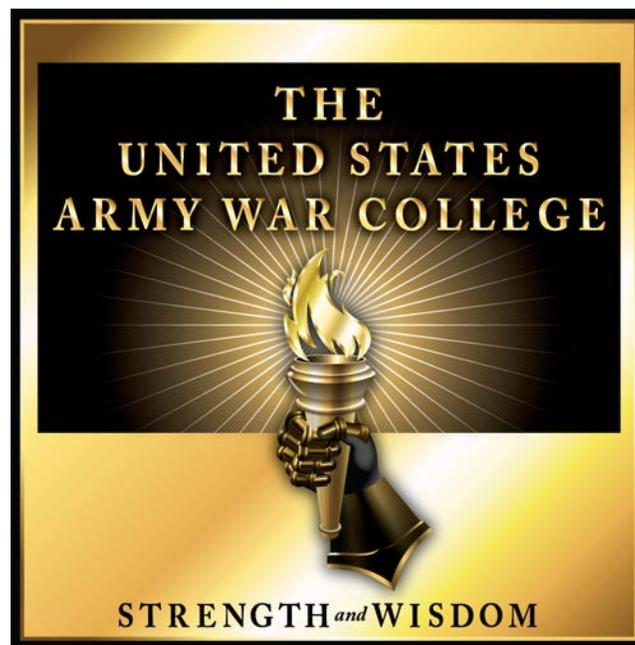


**U.S. ARMY WAR COLLEGE  
ACADEMIC YEAR 2016**

**CORE CURRICULUM**

**STRATEGIC LEADERSHIP  
COURSE**

**DIRECTIVE**



**U.S. Army War College, Carlisle, PA 17013-5050  
28 August - 8 September and 8 - 26 October 2015**

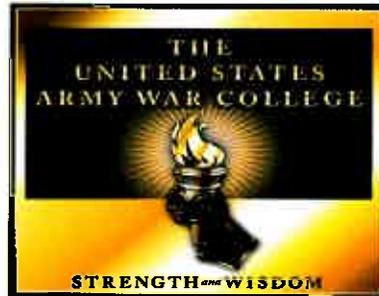
This document contains educational material designed to promote discussion among students of the U.S. Army War College. It does not necessarily reflect the views of the Department of the Army.

### **UPDATES as of 21 August 2015:**

- 1) Calendar (page 8): **Change Date** - NTL: Dr. Snider from 2 Sep 15 to **1 Sep 15**
- 2) Calendar (page 8): 19 Oct 15 - **Add NTL: MG Rapp**
- 3) Calendar (page 8): **Change Time** - SAF on 20 Oct 15 from 1145-1330 to **1630-1830**
- 4) Lesson 1 (page 12): **Change E-Book Link** - Focused Reading (3) Lewis, *When Cultures Collide: Leading across Cultures*, from <http://usawc.libguides.com/content.php?pid=560316&sid=4618795> to <http://usawc.libguides.com/content.php?pid=646725&sid=5353448>.
- 5) Lesson 3 (page 18): **Follow your DCLM Instructor's directions** - If below Reading is not required, delete 2nd Learning Objective, paragraph 2b.
- 6) Lesson 3 (page 19): **Follow your DCLM Instructor's directions if reading is assigned.** Required Reading (2) from Andrew Hill and Craig Trebilcock, *Stuff Happens: Meeting the Complexity Challenge through Four Causal Perspectives* to **Andrew Hill, *Stuff Happens: A Strategic Framework for Thinking about Causation in Complex Systems*, Working Paper (Carlisle Barracks, PA: U.S. Army War College, August 2015).**  
**[Blackboard]**
- 7) Lesson 16 (page 70): **Change** - paragraph 1b. - from former Secretary of Defense Robert Gates to **Mr. Bob Woodward & *Duty to Obama's War*.**
- 8) Lesson 16 (page 71): **Change** - Required Reading (2) changed from *Duty to Obama's War* - Bob Woodward, *Obama's Wars* (New York: Simon & Schuster, 2010), 157-171, 185-201, 257-265, 334-345. (Read Chapters 14, 16, 22, and, 29). **[Student Issue]**
- 9) Enduring Themes (page 87): **Add** fifth sub bullet to Strategic Leadership and the exercise of discretionary judgment: **Analyze the framework for leading and managing strategic change, specifically the components of organizational change and the process by which organizations change.**

## ACADEMIC YEAR 2016

### STRATEGIC LEADERSHIP



COURSE DIRECTOR  
DR. GEORGE J. WOODS III

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Col RICHARD E. WAGNER  
COL DALE E. WATSON  
CDR MICHELLE D. WINEGARDNER  
PROF LOUIS G. YUENGERT

A handwritten signature in black ink, appearing to read "Robert M. Mundell".

ROBERT M. MUNDELL,  
COL, IN  
CHAIRMAN, DEPARTMENT OF  
COMMAND, LEADERSHIP,  
AND MANAGEMENT

A handwritten signature in black ink, appearing to read "Richard A. Lacquement, Jr.".

RICHARD A. LACQUEMENT, JR., Ph.D.  
DEAN, SCHOOL OF STRATEGIC  
LANDPOWER

DISTRIBUTION: USAWC Students, AHEC/USAWC Library (6), DCLM (35),  
DMSPO (1), DNSS (1), PKSOI (1), IF Office (2), G3 (4), Assessment Office (3)

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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 with the Diplomatic, Information, Military, and Economic elements of national power, 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 will 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. Objectives.

- 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.

4. Themes and Learning Areas (LAs) for Joint Professional Military Education (JLA). 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 objectives as noted in each of the individual lesson directives. This course will build a firm foundation for an in-depth study of these objectives throughout the academic year.

5. Curriculum Relationships.

a. This course, following on the heels of the Introduction to Strategic Studies course, establishes the 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.

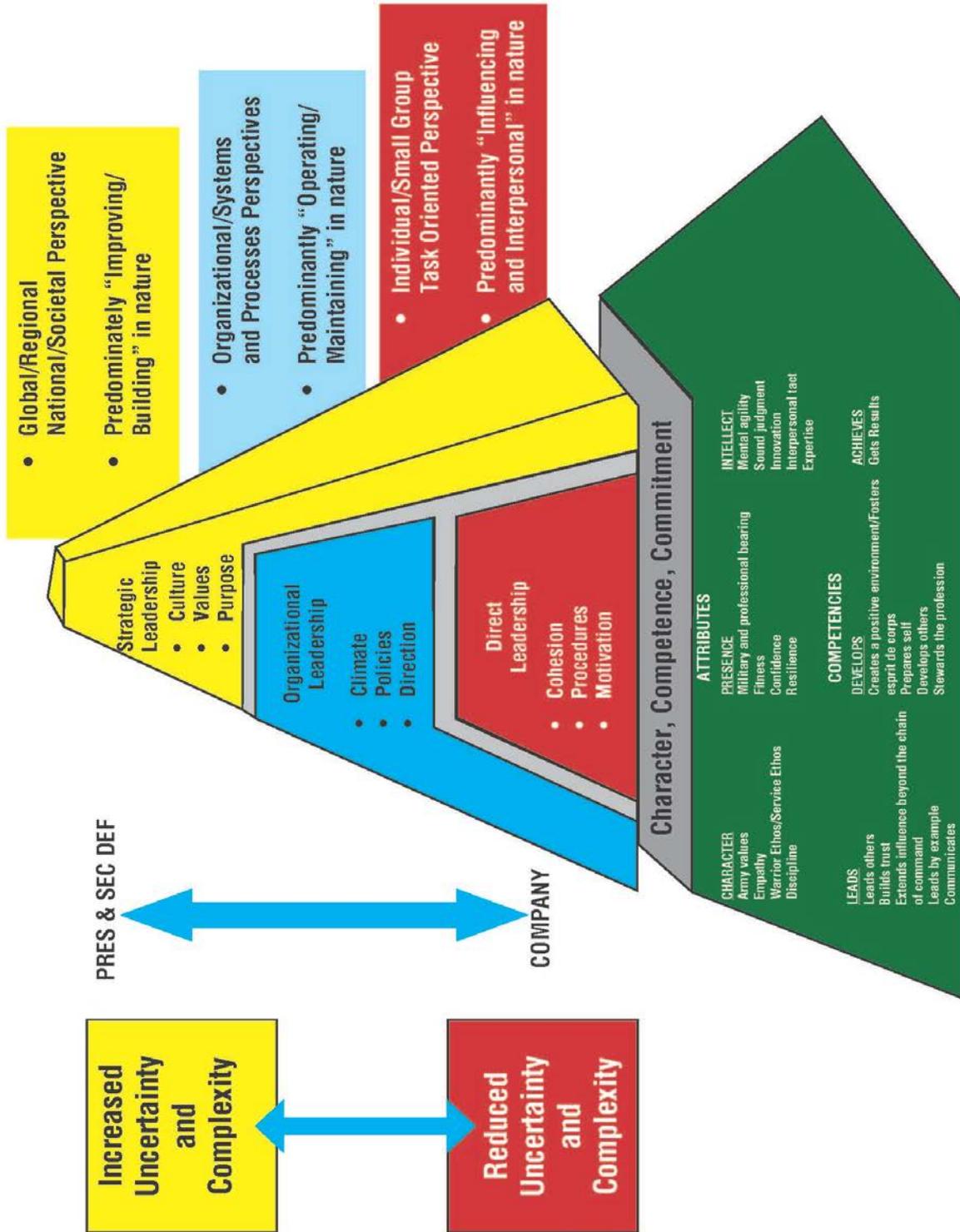


Figure 1. The Army Leadership Framework

## 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, exercises and oral presentations), 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 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. Additionally, you will provide a one-page executive summary of your analysis and recommendations that your seminar mates will read in preparation for the next day's exercise. You will read their summaries as well. **Your one-page executive summary is due to your DCLM Faculty Instructor no later than 1600 on Friday, 23 October 2015 and your paper is due no later than 1600 on Monday, 26 October 2015.**

(1) The one-page executive summary's intent is to concisely share the identification of your assigned issue, your analysis of why the problem exists (informed by material covered in the course), and recommendations consistent with your analysis that you think will achieve the outcomes you are trying to effect. Your one-page executive summary will be read by your study group and used to derive a collective analysis and set of recommendations. It accounts for 30% of your written evaluation. Group work occurs during the Capstone Exercise Lesson on 26 October 2015. See Lesson 17 directive pages for more information.

(2) The second paper (6 to 8 pages) is due the final day of the course. It comprises 70% of your written evaluation. 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 objectives 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. The grades for the two written requirements will be averaged and will comprise 45 percent of the overall SL grade.

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 and, therefore, their work should be used to good effect to make your paper more persuasive.

**SECTION III**  
**AY16 Strategic Leadership**  
**28 August - 8 September and 8 - 26 October 2015**

<b>AUGUST / SEPTEMBER</b>				
<i>Monday</i>	<i>Tuesday</i>	<i>Wednesday</i>	<i>Thursday</i>	<i>Friday</i>
<b>AUGUST 24</b> Intro to Strategic Studies Course	<b>25</b> Intro to Strategic Studies Course	<b>26</b> RWR	<b>27</b> SRP	<b>28</b> Lesson 1-L/S Intro to SL / Self-Awareness (0830-1130)
<b>31</b> Lesson 2-S Critical Thinking (0830-1130)	<b>SEPTEMBER 1</b> Lesson 3-S Systems Thinking (0830-1130)  NTL: Dr. Snider	<b>2</b> Lesson 4-S Ethical Reasoning (0830-1130)	<b>3</b> Lesson 5-S Institutional and Individual Ethics (0830-1130)	<b>4</b> RWR / Training Holiday
<b>7</b> Labor Day Holiday	<b>8</b> Lesson 6-S Creative Thinking / Innovation (0830-1130)	<b>9</b> TWS	<b>10</b> TWS	<b>11</b> TWS
<b>OCTOBER</b>				
<b>5</b> TWS	<b>6</b> Gettysburg Staff Ride / SRP	<b>7</b> Gettysburg Staff Ride / SRP	<b>8</b> Lesson 7-L/S Managing the Strategic Environment (0830 -1130)	<b>9</b> Lesson 8-EX Scenario-Based Forecasting (0830-1130)
<b>12</b> Columbus Day Holiday	<b>13</b> Lesson 9-S Leading Organizational Change and Vision (0830-1130)	<b>14</b> Lesson 10-S Organizational Culture and Leadership (0830-1130)  NTL: Dr. Hill	<b>15</b> Lesson 11-S Command Climate and Team Building (0830 -1130)  NTL: Dr. Wong SAF (1630-1800)	<b>16</b> Lesson 12-L/S Leading Diverse Organizations (0830-1130)
<b>19</b> Lesson 13-S Senior Leader Communication (0830-1130)  NTL: MG Rapp	<b>20</b> Lesson 14-L/S Negotiations (0830-1130)  SAF (1630-1830)	<b>21</b> Lesson 15-EX Negotiations Exercise (0830-1130)	<b>22</b> Lesson 16-L/S Strategic Decision Making (0830-1130)	<b>23</b> RWR
<b>26</b> Lesson 17-EX Capstone Exercise (0830-1600)	<b>27</b> SRP	<b>28</b> NSPS	<b>29</b> NSPS	<b>30</b> NSPS

## SECTION IV

### LESSON INDEX

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## INTRODUCTION TO STRATEGIC LEADERSHIP / SELF-AWARENESS

Mode: Lecture/Seminar

SL-1-L/S

### 1. Introduction.

a. This lesson introduces you to the course that will set the foundation for your 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. The course then 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. Consequently, this lesson focuses on enhancing self-awareness to facilitate your developmental efforts during your attendance at the USAWC.

c. The USAWC's Leadership Feedback Program (LFP) 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 LFP 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 LFP was introduced during zero-week activities, your Faculty Instructor can provide you with more information about this valuable program.

## 2. Learning Objectives.

- 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 Senior Leader Development and Resiliency Office 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 easy (or hard) 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 2016 Strategic Leadership Course Directive* (Carlisle Barracks, PA: U.S. Army War College, June 2015). **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, October 28, 2013). **Read** the Executive Summary and **Scan** the Monograph. **[Blackboard]**

### c. Focused Readings.

(1) R. Craig Bullis, "The NFP Strategic Leader," *Parameters* 39, no. 4 (Winter 2009/2010): 32-44, in ProQuest (accessed May 28, 2015). **[Database]**

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

(3) Richard D. Lewis, *When Cultures Collide: Leading across Cultures*, 3rd ed. (Boston: Nicholas Brealey Publishing, 2006), <http://usawc.libguides.com/content.php?pid=646725&sid=5353448> (accessed August 6, 2015). **Read** Chapter 3 and **Scan** the additional chapters associated with the International Fellows from your seminar. **[Curriculum E-Book] Link Updated**

(4) R. Craig Bullis, "Self-Awareness: Enhancing Strategic Leader Development," in *Strategic Leadership: The General's Art*, ed. Mark Grandstaff and Georgia Sorenson (Vienna, VA: Management Concepts, 2009), 69-86. **[Library Course Reserve]**

#### 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?

#### 5. Relationship to USAWC Core Courses, Joint Learning Areas (JLAs) and Objectives, USAWC Program Learning Objectives (PLOs), and Enduring and Special Themes.

a. Relationship to USAWC Core Courses. Increased self-awareness is fundamental to recognizing one's potential strengths and limitations, both individually as well as in the context of the seminar. The results are complementary to and aid in better understanding one's results of the Leader Feedback Program.

##### b. Relationship to JLAs and Objectives.

(1) JLA 4.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.

(2) JLA 5.a. Evaluate the skills, character attributes and behaviors needed to lead in a dynamic joint, interagency, intergovernmental and multinational strategic environment.

(3) JLA 5.b. Evaluate critical strategic thinking, decisionmaking and communication by strategic leaders.

(4) JLA 5.d. Evaluate how strategic leaders communicate a vision; challenge assumptions; and anticipate, plan, implement and lead strategic change in complex joint or combined organizations.

c. Relationship to USAWC PLOs and Enduring Themes.

(1) PLO 1. Apply critical and creative thinking to national security issues and the environment at the strategic level.

(2) PLO 3. Demonstrate anticipation and adaptation to surprise and uncertainty.

(3) PLO 9. Assess the processes and relationships of the Department of Defense, as well as those of interagency, intergovernmental, multinational, and nongovernmental organizations.

(4) Enduring Theme. Strategic Leadership and the exercise of discretionary judgment.

## 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 Objectives.

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 reading on critical thinking and 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 on May 29, 2015). **[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?

#### 5. Relationship to USAWC Core Courses, Joint Learning Areas (JLAs) and Objectives, USAWC Program Learning Objectives (PLOs), and Enduring and Special Themes.

a. Relationship to USAWC Core Courses. USAWC espouses to educate its students to enable a higher level of critical thinking on key issues. The first step in this goal is to teach the foundations of critical thinking that can then be applied in every Core Course at USAWC.

b. Relationship to JLAs and Objectives.

(1) JLA 1.a. Apply key strategic concepts, critical thinking and analytical frameworks to formulate and execute strategy.

(2) JLA 5.a. Evaluate the skills, character attributes and behaviors needed to lead in a dynamic joint, interagency, intergovernmental and multinational strategic environment.

(3) JLA 5.b. Evaluate critical strategic thinking, decisionmaking and communication by strategic leaders.

(4) JLA 5.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.

(5) JLA 5.d. Evaluate how strategic leaders communicate a vision; challenge assumptions; and anticipate, plan, implement and lead strategic change in complex joint or combined organizations.

c. Relationship to USAWC PLOs and Enduring Themes.

(1) PLO 1. Apply critical and creative thinking to national security issues and the environment at the strategic level.

(2) PLO 2. Demonstrate the ability to communicate clearly, persuasively, and candidly.

(3) Enduring Themes. Professional ethics; and Strategic Leadership and the exercise of discretionary judgment.

## 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 a case on the attempts to eradicate malaria (the Gladwell reading) to examine some basic concepts in systems behavior. You will then examine a more complex strategic issue (transnational gangs), applying concepts from complex adaptive systems to examine the nature of the problem and potential successful interventions.

## 2. Learning Objectives.

- 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. **Follow your DCLM Instructor's directions – Delete this objective if Reading (2) below is not assigned.**

- c. Apply systems thinking in the analysis of a historical example of a CAS.
- d. Analyze the application of the instruments of power to change a complex adaptive system in the current security environment.

### 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, June 2014). **[Blackboard]**

(2) Andrew Hill, *Stuff Happens: A Strategic Framework for Thinking about Causation in Complex Systems*, Working Paper (Carlisle Barracks, PA: U.S. Army War College, August 2015). **[Blackboard]** **Follow your DCLM Instructor's directions if reading is assigned.**

(3) Malcolm Gladwell, "The Mosquito Killer," *The New Yorker* 77, no. 17 (July 2, 2001): 42-51, in ProQuest (accessed May 26, 2015). **[Database]**

(4) USAID Bureau for Latin America and the Caribbean, Office of Regional Sustainable Development, "Central America and Mexico Gang Assessment," April 2006, 9-40. **[Blackboard]**

(5) Clare Ribando Seelke, *Gangs in Central America* (Washington, DC: U.S. Library of Congress, Congressional Research Service, February 20, 2014), 1-21. **[Blackboard]**

(6) Ana Arana, "How the Street Gangs Took Central America," *Foreign Affairs* 84, no. 3 (May 2005): 98-110, in ProQuest (accessed May 26, 2015). **[Database]**

### 4. Points to Consider.

- a. Thinking about Systems and Causes (Hill, Hill & Trebilcock 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. Changing a System: The Case of Malaria Eradication (Gladwell reading).

(1) What is the system of malaria? That is, how does the malaria parasite perpetuate itself? In what ways is malaria a complex adaptive system? In what ways is malaria resistant to public health interventions?

(2) How did Fred Soper understand the system of malaria? What did he do right? In what ways was his understanding faulty?

(3) Malaria eradication had its genesis in military necessity, but transformed into an international social program. What other systems affected the success of the malaria eradication program? What current military adaptations have potential to migrate to other domains or elements of the world system?

(4) What was the role of human agents in the evolution of the malarial system and in changes to the other systems that affected it?

c. Strategic Challenges of Complex Adaptive Systems (Readings on gangs).

(1) Consider the attributes of complex, adaptive systems. In what way are transnational gangs a CAS? How have state policies (United States, Central American nations) affected the development and activities of transnational gangs?

(2) Gangs are generally a law enforcement issue. In what ways do gangs resemble states? How do they differ? What challenge do they pose to traditional law enforcement?

(3) In what ways do the activities of transnational gangs and drug trafficking pertain to military power? What implications does that present for effectively combating transnational gangs? In what ways are military solutions inadequate or incomplete? What other instruments of power are essential to combating gangs?

(4) What are some appropriate objectives in combating transnational gangs? Is eradication one of them? Why or why not?

5. Relationship to USAWC Core Courses, Joint Learning Areas (JLAs) and Objectives, USAWC Program Learning Objectives (PLOs), and Enduring and Special Themes.

a. Relationship to USAWC Core Courses. At the strategic level, all systems are complex. Changing such systems is a huge challenge, but is also at the heart of strategic leadership. It is required for effective campaign planning, for integration of the DIME, for developing a trained and ready force, and so on. Systems thinking is integral to all aspects of the SSL curriculum.

b. Relationship to JLAs and Objectives.

- (1) JLA 1.a. Apply key strategic concepts, critical thinking and analytical frameworks to formulate and execute strategy.
- (2) JLA 1.c. Evaluate historical and/or contemporary security environments and applications of strategies across the range of military operations.
- (3) JLA 2.e. Evaluate how strategic level plans anticipate and respond to surprise, uncertainty, and emerging conditions.
- (4) JLA 3.d. Value a joint perspective and appreciate the increased power available to commanders through joint, interagency, intergovernmental and multinational efforts.
- (5) JLA 5.a. Evaluate the skills needed to lead in a joint, interagency, intergovernmental, and multinational strategic environment.
- (6) JLA 5.b. Evaluate critical strategic thinking, decisionmaking and communication by strategic leaders.
- (7) JLA 5.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.

c. Relationship to USAWC PLOs and Enduring Themes.

- (1) PLO 1. Apply critical and creative thinking to national security issues and the environment at the strategic level.
- (2) PLO 3. Demonstrate anticipation and adaption to surprise and uncertainty.
- (3) PLO 8. Apply theories of war and strategy to national security challenges.
- (4) PLO 9. Assess the processes and relationships of the Department of Defense, as well as those of interagency, intergovernmental, and multinational, and non-governmental organizations.
- (5) Enduring Themes. History as a vehicle for understanding strategic alternatives and choices; and Strategic Leadership and the exercise of discretionary judgment.

## **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 of many 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 the importance of the character of the strategic leader, discretionary moral judgment within the profession, moral aspects of strategic choices, the just war tradition in the exercise of Landpower, moral complexities in leading organizations at the strategic level, 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 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 (ends/teleology), the nature of the act itself (ways/deontology), the fitting use of resources (means/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 the 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. Pojman and Fieser take the prescriptive approach of virtue ethics, the basis for the Army Ethic. 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 Objectives.

- 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 ends, deontological ways, utilitarian means, the actor’s moral agency, and the cross-cultural environment.
- 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) Jonathan E. Shaw, *“The Cruel Sea” Case Study—Student Sheet*, Faculty Paper (Carlisle Barracks, PA: U.S. Army War College, May 2015). **[Blackboard]**

(4) 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]**

(5) Louis P. Pojman and James Fieser, “Virtue Theory,” in *Ethics: Discovering Right and Wrong*, 7th ed. (Boston: Wadsworth, 2012), 146-152. **[Blackboard]**

c. Focused Readings.

(1) David Whetham, "The Challenge of Ethical Relativism in a Coalition Environment," *Journal of Military Ethics* 7, no. 4, December 2008, 302-313, <http://usawc.idm.oclc.org/login?url=http://dx.doi.org/10.1080/15027570802509983> (accessed May 26, 2015). **Skip** "A Useful Test" on pp. 309-310. **[Online]**

(2) Eric W. Dolan, "Liberals and Conservatives Approach Moral Judgments in Fundamentally Different Ways," June 22, 2013, *PsyPost*. **[Blackboard – Limited Access]**

(3) Peter Olsthoorn, "Virtue Ethics in the Military," in *The Handbook of Virtue Ethics*, ed. Stan van Hooft (New York: Routledge, 2014), 365-374. **[Instructor Handout]**

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—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?

5. Relationship to USAWC Core Courses, Joint Learning Areas (JLAs) and Objectives, USAWC Program Learning Objectives (PLOs), and Enduring and Special Themes.

a. Relationship to USAWC Core Courses.

(1) Moral challenges and the need to apply an ethical reasoning process abound in virtually every strategic-level decision and pertain to every core course.

(2) The applied ethical framework of teleological ends, deontological ways, utilitarian means, the actor's moral agency, and the cross-cultural moral environment provides moral analysis for:

(a) Strategy formulation (ends, ways, means, risk) studied in the National Security Policy and Strategy course.

(b) Army design methodology (understanding the environment and problem, and developing an approach) studied in the Theater Strategy and Campaigning course.

b. Relationship to JLAs and Objectives.

(1) JLA 1.a. Apply key strategic concepts, critical thinking and analytical frameworks to formulate and execute strategy.

(2) JLA 2.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.

(3) JLA 3.a. Analyze how DoD, interagency and intergovernmental structures, processes, and perspectives reconcile, integrate and apply national ends, ways and means.

(4) JLA 5.a. Evaluate the skills, character attributes and behaviors needed to lead in a dynamic joint, interagency, intergovernmental and multinational strategic environment.

(5) JLA 5.b. Evaluate critical strategic thinking, decisionmaking and communication by strategic leaders.

(6) JLA 5.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.

c. Relationship to USAWC PLOs and Enduring Themes.

(1) PLO 1. Apply critical and creative thinking to national security issues and the environment at the strategic level.

(2) PLO 5. Analyze ethical decisions and distinguish military cultures that reflect the values and traditions of the American profession of arms.

(3) PLO 8. Apply theories of war and strategy to national security challenges.

(4) Enduring Themes. Professional ethics; Strategic Leadership and the exercise of discretionary judgment; and Relationship of policy and strategy (relationship between ends, ways, and means).

## **INSTITUTIONAL AND INDIVIDUAL ETHICS: ON PROFESSIONS AND PROFESSIONALS**

Mode: Seminar

SL-5-S

### 1. Introduction.

a. As military and civilian leaders, we can encounter ethical challenges at any stage of our careers. As we rise in our organizations, the nature of these challenges changes, and the impact 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 temptations and inner trials associated with increasing levels of individual responsibility, privilege and autonomy coupled with institutional stewardship as 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 something about such basic things as stewardship, responsibility and duty as junior officers, but that was before we lived through many challenges and observed even more. Now, with decades of service and many data points, 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. Such stewardship issues include personal integrity, financial stewardship, veracity in military acquisition, developing and caring for people, crisis leadership, Roles and Missions discussions, team leadership in institutional management, and maintenance of the public trust.

d. As we prepare for command, staff, and advisory positions as future strategic leaders, this is the time to challenge ourselves to continue the transition from focusing on our own development to focusing on the development of our profession; to appreciating the amplified impact of our decisions; and to thinking strategically about the long-term implications of issues we choose to address, as well as those we choose to defer.

e. We also 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. If you accept the premise that one role of ethics in senior leadership is to help us consider the appropriate use of power, then these three articles can inform useful seminar dialogue.

## 2. Learning Objectives.

- 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 May 21, 2015). **[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 May 21, 2015). **[Database]**

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

(4) 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), 1-16. **[Blackboard]**

Non-U.S. Army Students:

(5) Martin E. Dempsey, "America's Military – A Profession of Arms," (Washington, DC: U.S. Joint Chiefs of Staff, n.d.) <http://www.jcs.mil/Portals/36/Documents/Publications/aprofessionofarms.pdf> (accessed June 19, 2015). **[Blackboard]**

U.S. Army Students:

(6) 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 19, 2015). Read Chapters 1, 5, and 6. **[Blackboard]**

c. Focused Readings.

(1) 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]**

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

(3) Albert Shanker, "The Making of a Profession," *Journal of Negro Education* 55, no. 3 (Summer 1986): 405-421, in JSTOR (accessed May 21, 2015). **[Database]**

(4) Sydney Finkelstein, "Seven Habits of Spectacularly Unsuccessful People," in *Why Smart Executives Fail: And What You Can Learn From Their Mistakes* (New York: Penguin, 2003), 213-240. **[Instructor Handout]**

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

j. 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?

5. Relationship to USAWC Core Courses, Joint Learning Areas (JLAs) and Objectives, USAWC Program Learning Objectives (PLOs), and Enduring and Special Themes.

a. Relationship to USAWC Core Courses. This lesson explores in detail the meaning and application at the strategic level of the core ethical principle of personal integrity as well as strategic leadership of the military profession. As such it relies on conceptual and theoretical foundations established in the Ethical Reasoning lesson in Strategic Leadership. This lesson can also be seen as applying elements of Critical Thinking and highlighting important aspects of Organizational Culture and Leadership. The topic of personal integrity and its impact upon organizations, people and institutional stewardship are emerging themes which complement the Just War Theory (JWT) lesson in the Theories of War and Strategy core course. Finally, it provides an ethical backdrop for some significant issues in Civil-Military Relations that will be examined more systematically in the upcoming course on National Security Policy and Strategy.

b. Relationship to JLAs and Objectives.

(1) JLA 5.a. Evaluate the skills, character attributes and behaviors needed to lead in a dynamic joint, interagency, intergovernmental and multinational strategic environment.

(2) JLA 5.f. Evaluate how strategic leaders foster responsibility, accountability, selflessness and trust in complex joint or combined organizations.

(3) JLA 5.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.

c. Relationship to USAWC PLOs and Enduring Themes.

(1) PLO 2. Demonstrate the ability to communicate clearly, persuasively, and candidly.

(2) PLO 5. Analyze ethical decisions and distinguish military cultures that reflect the values and traditions of the American profession of arms.

(3) PLO 9. Assess the processes and relationships of the Department of Defense, as well as those of interagency, intergovernmental, multinational, and non-governmental organizations.

(4) Enduring Themes. Professional ethics; Civil-military relations; Strategic Leadership and the exercise of discretionary judgment; and History as a vehicle for understanding strategic alternatives and choices.

## CREATIVE THINKING / INNOVATION

Mode: Seminar

SL-6-S

### 1. Introduction.

a. Leadership at all levels is involved with 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. Thus, creativity is 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 will present and ask 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.

b. Accordingly, innovation is a constant part of organizational life, particularly in professions, 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. Through this lesson, you will also gain understanding the organizational forces that enable or hinder innovation, and to explore what leaders can do to improve both the development and application of innovation.

### 2. Learning Objectives.

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. Comprehend the enablers of—and barriers to—innovation in organizations and their application to the profession of arms.
- d. Analyze the role of leaders in fostering (or hindering) innovation 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 (both provided on-line via the Senior Leader Development and Resiliency (SDLR) website).

#### 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) Julian Birkinshaw, Cyril Bouquet, and Jean-Louis Barsoux, "The 5 Myths of Innovation," *MIT Sloan Management Review* 52, no. 2 (Winter 2011): 43-50, in ProQuest (accessed May 26, 2015). **[Database]**

(5) Linda A. Hill et al., "Collective Genius," *Harvard Business Review*, June 2014, 95-102. **[Instructor Handout]**

(6) Linda A. Hill, "Innovation is a collective genius," October 28, 2014, *YouTube*, streaming video, 17:29, <https://www.youtube.com/watch?v=ImmtTHYU5GQ> (accessed May 26, 2015). **[Online]**

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

c. Focused Reading.

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

4. Points to Consider.

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

b. What do my Big Five Personality Assessment 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?

d. What is the strategic importance of innovation?

e. Where does innovation occur in the military context? What is necessary in order for innovation to happen? In what ways does innovation involve non-technological aspects of the organization?

f. What are the unique aspects and considerations for innovation within the military profession? Given preceding lessons on strategic thinking frameworks, how do you incorporate them into a frame of reference as a military professional?

5. Relationship to USAWC Core Courses, Joint Learning Areas (JLAs) and Objectives, USAWC Program Learning Objectives (PLOs), and Enduring and Special Themes.

a. Relationship to USAWC Core Courses. Learning objectives support an understanding of the value of diversity in creative thinking and the application of creative thinking and innovation to issues related to strategic vision, homeland security, transformation and 21st century warfare. Readings touch on strategic vision and human dimensions of strategic leadership. The points to consider touch on human dimensions of strategic leadership, transformation, and 21st century warfare. USAWC seeks to educate its students to be creative leaders who enable innovation within organizations in the strategic environment. An essential step is to teach the foundations of creative thinking that can then be applied in every Core Course at USAWC. The main challenge to leading organizations in innovative environments is not technological, but organizational. Thus, leading innovation is an integral part of policy and strategy formulation, military planning, and force development and sustainment.

b. Relationship to JLAs and Objectives.

(1) JLA 1.a. Apply key strategic concepts, critical thinking, and analytical frameworks to formulate and execute strategy.

(2) JLA 5.a. Evaluate the skills, character attributes, and behaviors needed to lead in a dynamic joint, interagency, intergovernmental, and multinational strategic environment.

(3) JLA 5.b. Evaluate critical strategic thinking, decisionmaking and communication by strategic leaders.

(4) JLA 5.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.

c. Relationship to USAWC PLOs and Enduring Themes.

(1) PLO 1. Apply critical and creative thinking to national security issues and the environment at the strategic level.

(2) PLO 3. Demonstrate anticipation and adaptation to surprise and uncertainty.

(3) PLO 9. Assess the processes and relationships of the Department of Defense, as well as those of interagency, intergovernmental, multinational, and non-governmental organizations.

(4) Enduring Theme. Strategic Leadership and the exercise of discretionary judgment.

## MANAGING THE STRATEGIC ENVIRONMENT

Mode: Lecture/Seminar

SL-7-L/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 discretion of senior leaders. This lesson, in combination with the next lesson on Scenario-based Forecasting, is intentionally designed to focus on the external environment. These lessons will consider the identification of critical elements of the current and future environment that can impact strategic leader discretion, the ways they consider how to interact with that environment, and then how they consider methods to forecast changes in the external environment that potentially impact all elements of national power.

b. From a very 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. Recent events affecting the United States and the rest of the world have reinforced the requirement for senior leaders to continually examine changes in the external environment and then interpret those changes so that our organizations can meet the ever-demanding challenges of the future. 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 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 external environment and 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 Objectives.

a. Understand the importance of environmental scanning for long-term organizational effectiveness.

b. Analyze the roles and responsibilities of strategic leaders as they interpret and interact with entities in the external environment.

c. Evaluate how constant and accelerating rates of change will affect the future national security environment and the strategic leaders' professional responsibilities in that environment.

### 3. Student Requirements.

a. Tasks. Consider the application of the readings to senior leader responsibilities to your organization within its strategic environment.

#### b. Required Readings.

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

(2) U.S. Joint Chiefs of Staff, "Introduction," and "The Future Security Environment," in *Capstone Concept for Joint Operations: Joint Force 2020* (Washington, DC: U.S. Joint Chiefs of Staff, September 10, 2012), [http://www.defenseinnovationmarketplace.mil/resources/JV2020\\_Capstone.pdf](http://www.defenseinnovationmarketplace.mil/resources/JV2020_Capstone.pdf) (accessed May 26, 2015), 1-4. **[Blackboard]**

(3) 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 May 26, 2015), i-xiv. **[Blackboard]**

(4) 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. **[Student Issue / Blackboard]**  
<http://www.carlisle.army.mil/orgs/SSL/dclm/pubs/slp3.pdf> (accessed May 26, 2015).

### 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 accelerating change for the military profession?

### 5. Relationship to USAWC Core Courses, Joint Learning Areas (JLAs) and Objectives, USAWC Program Learning Objectives (PLOs), and Enduring and Special Themes.

This lesson and its objectives support an understanding of the value of monitoring the external environment and the potential impact of that environment on military activities

at all levels. As such, it applies both to the fundamental aspects of strategic responsibilities as outlined in the Strategic Leadership Course, as well as to the environmental influences on the development of national policy (TWS and NSPS), the initial processes in the Design Methodology (TSC) and the Force Management Processes in the Military (DM).

a. Relationship to USAWC Core Courses.

(1) This lesson addresses the complexity of the strategic leader's environment. It provides a more sophisticated understanding of the Leading and Managing Change lesson and supports lessons on Strategic Decision making and Scenario-Based Forecasting with respect to national security.

(2) It is the foundational lesson for students to mentally prepare themselves for Regional Strategic Appraisals conducted by DNSS faculty as well as the scenarios developed in other core courses.

(3) It provides the student a framework to address the various Joint and Army processes covered in Defense Management.

(4) National interests are addressed in the context of the evolving world environment. The nature of globalization and the international system are further developed in TWS and NSPS.

b. Relationship to JLAs and Objectives.

(1) JLA 1.a. Apply key strategic concepts, critical thinking and analytical frameworks to formulate and execute strategy.

(2) JLA 2.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.

(3) JLA 3.e. Analyze the likely attributes of the future joint force and the challenges faced to plan, organize, prepare, conduct and assess operations.

(4) JLA 5.a. Evaluate the skills, character attributes and behaviors needed to lead in a dynamic joint, interagency, intergovernmental and multinational strategic environment.

(5) JLA 5.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.

(6) JLA 5.d. Evaluate how strategic leaders communicate a vision; challenge assumptions; and anticipate, plan, implement and lead strategic change in complex joint or combined organizations.

c. Relationship to USAWC PLOs and Enduring Themes.

(1) PLO 1. Apply critical and creative thinking to national security issues and the environment at the strategic level.

(2) PLO 3. Demonstrate anticipation and adaption to surprise and uncertainty.

(3) PLO 4. Understand how to recognize change and lead transitions.

(4) PLO 7. Assess the strategic security environment and the contributions of all instruments of national power.

(5) Enduring Theme. Strategic Leadership and the exercise of discretionary judgment.

## SCENARIO-BASED FORECASTING

Mode: Exercise

SL-8-EX

### 1. Introduction.

a. This is the second of two lessons that focuses explicitly on the strategic leader's responsibility to think "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 provides an introduction to 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 Objectives.

a. Synthesize the relationships and connections between visioning, environmental scanning, and planning for the future.

b. Evaluate the scenario-based forecasting method to explore alternative futures that the U.S. and the military might face.

### 3. Student Requirements.

a. Tasks. Complete the required readings to prepare for seminar dialogue on scenario-based planning. 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 Working 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 May 26, 2015). **[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 May 26, 2015). **[Online]**

c. Focused Readings.

(1) 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 May 26, 2015). **[Blackboard]**

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

(3) 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?

5. Relationship to USAWC Core Courses, Joint Learning Areas (JLAs) and Objectives, USAWC Program Learning Objectives (PLOs), and Enduring and Special Themes.

a. Relationship to USAWC Core Courses. Strategic leaders must be aware of changes and trends in the external environment in which their organizations function. This supports the role of leaders in envisioning the future and directing organizational change to successfully adapt to the future environments. It is an excellent opportunity to apply critical thinking, creative thinking, and systems thinking skills.

b. Relationship to JLAs and Objectives.

(1) JLA 1.a. Apply key strategic concepts, critical thinking and analytical frameworks to formulate and execute strategy.

(2) JLA 2.e. Evaluate how strategic level plans anticipate and respond to surprise, uncertainty, and emerging conditions.

(3) JLA 3.e. Analyze the likely attributes of the future joint force and the challenges faced to plan, organize, prepare, conduct and assess operations.

(4) JLA 5.a. Evaluate the skills, character attributes and behaviors needed to lead in a dynamic joint, interagency, intergovernmental and multinational strategic environment.

(5) JLA 5.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.

(6) JLA 5.d. Evaluate how strategic leaders communicate a vision; challenge assumptions; and anticipate, plan, implement and lead strategic change in complex joint or combined organizations.

c. Relationship to USAWC PLOs and Enduring Themes.

(1) PLO 1. Apply critical and creative thinking to national security issues and the environment at the strategic level.

(2) PLO 3. Demonstrate anticipation and adapt to surprise and uncertainty.

(3) PLO 4. Understand how to recognize change and lead transitions.

(4) PLO 7. Assess the strategic security environment and the contributions of all instruments of national power.

(5) Enduring Theme. Strategic Leadership and the exercise of discretionary judgment.

## LEADING ORGANIZATIONAL CHANGE AND VISION

Mode: Seminar

SL-9-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 Objectives.

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 -- Senate Armed Services Committee (Budget Request)*, March 18, 2015, [http://www.armed-services.senate.gov/imo/media/doc/Carter\\_03-03-15.pdf](http://www.armed-services.senate.gov/imo/media/doc/Carter_03-03-15.pdf) (accessed May 28, 2015). **[Blackboard]**

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

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?

## 5. Relationship to USAWC Core Courses, Joint Learning Areas (JLAs) and Objectives, USAWC Program Learning Objectives (PLOs), and Enduring and Special Themes.

This lesson provides an opportunity to better understand if change is needed and how to implement change.

### a. Relationship to USAWC Core Courses.

(1) Visioning and leading change build upon prior lessons in the Strategic Leadership course such as creative thinking, critical thinking, systems thinking, and environmental scanning. Subsequent lessons such as organizational culture and leadership, and command climate/team building provide the opportunity to apply leading change concepts.

(2) The change process is one of the main challenges for strategic leaders. At the strategic level, it requires them to view the organization holistically and in time. Leaders must then provide guidelines for a healthy transition for all subsystems of the organization, whether for an incremental or a transformational change. The considerations of organizational change are relevant to subsequent core courses as students discuss the implications of change in the national defense establishment.

### b. Relationship to JLAs and Objectives.

(1) JLA 5.a. Evaluate the skills, character attributes, and behaviors needed to lead in a dynamic joint, interagency, intergovernmental, and multinational strategic environment.

(2) JLA 5.b. Evaluate critical strategic thinking, decisionmaking and communication by strategic leaders.

(3) JLA 5.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.

(4) JLA 5.d. Evaluate how strategic leaders communicate a vision; challenge assumptions; and anticipate, plan, implement and lead strategic change in complex joint or combined operations.

### c. Relationship to USAWC PLOs and Enduring Themes.

(1) PLO 3. Demonstrate anticipate and adapt to surprise and uncertainty.

(2) PLO 4. Understand how to recognize change and lead transitions.

(3) PLO 7. Assess the strategic security environment and the contributions of all instruments of national power.

(4) PLO 9. Assess the processes and relationships of the Department of Defense, as well as those of interagency, intergovernmental, multinational, and non-governmental organization.

(5) Enduring Themes. Strategic Leadership and the exercise of discretionary judgment; Civil-military relations; and History as a vehicle for understanding strategic alternatives and choices.

## 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.

### 2. Learning Objectives.

- 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, May 12, 2014), 1-4. **[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, <http://www.corporateculturepros.com/2013/07/the-real-secret-of-googles-corporate-culture/> (accessed May 21, 2015). **[Online]**

(3) Charles A. O'Reilly 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 profession 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?

5. Relationship to USAWC Core Courses, Joint Learning Areas (JLAs) and Objectives, USAWC Program Learning Objectives (PLOs), and Enduring and Special Themes.

Learning objectives will support an understanding of the uniqueness of strategic leadership including interpersonal competencies, tasks, and environment. Specifically, learning objectives support appreciation of the nature of strategic-level adaptation, both individually and organizationally. Points to consider will generate critical thinking on a wide range of strategic contemporary leadership issues that will help the student develop his/her own personal and intuitive theory of adaptive strategic leadership. Transformation of the Department of Defense in the 21st century sometimes requires countercultural ways of processing information and adaptation.

a. Relationship to USAWC Core Courses.

(1) Organizational culture will affect every action attempted by strategic leaders, both supporting and resisting those intents.

(2) In subsequent USAWC core courses, the proposed processes involve multiple agencies and ideologies that must be reconciled to achieve the desired results. Understanding the cultural implications of those interactions is critical for effective policy development.

b. Relationship to JLAs and Objectives.

(1) JLA 5.a. Evaluate the skills, character attributes and behaviors needed to lead in a dynamic joint, interagency, intergovernmental and multinational strategic environment.

(2) JLA 5.b. Evaluate critical strategic thinking, decisionmaking and communication by strategic leaders.

(3) JLA 5.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.

(4) JLA 5.d. Evaluate how strategic leaders communicate a vision; challenge assumptions; and anticipate, plan, implement and lead strategic change in complex joint or combined organizations.

(5) JLA 5.e. Evaluate historic and contemporary applications of the elements of mission command by strategic-level leaders in pursuit of national objectives.

(6) JLA 5.f. Evaluate how strategic leaders foster responsibility, accountability, selflessness and trust in complex joint or combined organizations.

(7) JLA 5.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.

c. Relationship to USAWC PLOs and Enduring Themes.

(1) PLO 3. Distinguish the uniqueness of strategic-level leadership and apply competencies required by strategic leaders.

(2) PLO 4. Study and confer on the American military profession and guide its future direction.

(3) PLO 5. Analyze ethical decisions and distinguish military cultures that reflect the values and traditions of the American profession of arms.

(4) PLO 6. Understand the ability to operate on intent through trust, empowerment, and understanding (Mission Command).

(5) Enduring Themes. Professional ethics; and Strategic Leadership and the exercise of discretionary judgment.

## COMMAND CLIMATE AND TEAM BUILDING

Mode: Seminar

SL-11-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 Objectives.

- 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* (Carlisle Barracks, PA: U.S. Army War College, Strategic Studies Institute, 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) Walter F. Ulmer, Jr. et al., *Leadership Lessons at Division Command Level – 2010*, Executive Summary (Carlisle Barracks, PA: U.S. Army War College, January 20, 2011). **[Blackboard]**

(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) David Larter, "Report: Destroyer's Command Triad Blamed for Suicide, Assaults," *Navy Times*, December 16, 2014, <http://www.navytimes.com/story/military/2014/12/15/destroyer-james-e-williams-command-triad-investigative-report-command-climate/20454555/> (accessed May 28, 2015). **[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?
- k. When does a leader put society before his/her organization?

#### 5. Relationship to USAWC Core Courses, Joint Learning Areas (JLAs) and Objectives, USAWC Program Learning Objectives (PLOs), and Enduring and Special Themes.

a. Relationship to USAWC Core Courses. USAWC graduates will most certainly be working as a member of a team both during the academic year and upon their graduation. Consideration of team processes enhances the understanding of the political nature of all strategic responsibilities, including the development of national strategy, the drafting of military campaigns, and the resource management of appropriated assets.

##### b. Relationship to JLAs and Objectives.

(1) JLA 5.a. Evaluate the skills, character attributes and behaviors needed to lead in a dynamic joint, interagency, intergovernmental and multinational strategic environment.

(2) JLA 5.b. Evaluate critical strategic thinking, decisionmaking and communication by strategic leaders.

(3) JLA 5.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.

(4) JLA 5.d. Evaluate how strategic leaders communicate a vision; challenge assumptions; and anticipate, plan, implement and lead strategic change in complex joint or combined organizations.

(5) JLA 5.e. Evaluate historic and contemporary applications of the elements of mission command by strategic-level leaders in pursuit of national objectives.

(6) JLA 5.f. Evaluate how strategic leaders foster responsibility, accountability, selflessness and trust in complex joint or combined organizations.

(7) JLA 5.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.

c. Relationship to USAWC PLOs and Enduring Themes.

(1) PLO 4. Understand how to recognize change and lead transitions.

(2) PLO 6. Understand the ability to operate on intent through trust, empowerment, and understanding (Mission Command).

(3) Enduring Theme. Strategic Leadership and the exercise of discretionary judgment.

## LEADING DIVERSE ORGANIZATIONS

Mode: Lecture/Seminar

SL-12-L/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. Furthermore, as the military continues to operate more frequently with diverse interagency and coalition partners, diversity leadership clearly emerges as an important leader competency. This 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. The lesson emphasizes the importance of continued senior leader commitment to diversity by characterizing diversity leadership as a core competency, analyzes the influence that leader prototypes and assimilation have on realizing the promise of diversity, and points out that just because we are diverse, it doesn’t automatically mean that we are great. Aspects of diversity must be managed to make it a positive attribute for the organization.

### 2. Learning Objectives.

- a. Evaluate the importance of continued leader commitment to diversity.
- b. Analyze the challenges associated with leading diverse organizations.

### 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) Jane Hyun and Audrey S. Lee, "Flex: The New Playbook for Managing Across Differences," *Soundview Executive Book Summaries* 36, no. 7 (July 2014) Part 3, 1–8. **[Blackboard]**

(3) Anna North, "The Benefits of Being Politically Correct," *New York Times*, November 10, 2014, [http://op-talk.blogs.nytimes.com/2014/11/10/the-benefits-of-being-politically-correct/?\\_r=0](http://op-talk.blogs.nytimes.com/2014/11/10/the-benefits-of-being-politically-correct/?_r=0) (accessed May 28, 2015). **[Online]**

c. Focused Readings.

(1) 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]**

(2) 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 May 28, 2015). **[Blackboard – Limited Access]**

(3) Robert M. Mundell, *Leader Prototypes and Assimilation: A Challenge to the Promise of Diversity*, Faculty Paper (Carlisle Barracks, PA: U.S. Army War College, May 2014). **[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. How do leader prototypes and assimilation influence the military's ability to leverage diversity?

e. 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?

## 5. Relationship to USAWC Core Courses, Joint Learning Areas (JLAs) and Objectives, USAWC Program Learning Objectives (PLOs), and Enduring and Special Themes.

### a. Relationship to USAWC Core Courses.

(1) This lesson aids in enabling students to distinguish the uniqueness of strategic-level leadership and allows them to consider some of the senior leader competencies required to lead and operate effectively in diverse organizations.

(2) All of the concepts conveyed in this lesson have direct application to follow on core courses and provide students with a fundamental baseline understanding of the individual skills and competencies required to operate in the Joint, Interagency, Intergovernmental and Multinational Strategic Environment (JIIM). This lesson builds on the skills, concepts, and theories presented in previous leadership course lessons.

### b. Relationship to JLAs and Objectives.

(1) JLA 1.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) JLA 3.e. Analyze the likely attributes of the future joint force and the challenges faced to plan, organize, prepare, conduct and assess operations.

(3) JLA 4.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.

(4) JLA 5.a. Evaluate the skills, character attributes and behaviors needed to lead in a dynamic joint, interagency, intergovernmental and multinational strategic environment.

(5) JLA 5.d. Evaluate how strategic leaders communicate a vision; challenge assumptions; and anticipate, plan, implement and lead strategic change in complex joint or combined organizations.

(6) JLA 5.f. Evaluate how strategic leaders foster responsibility, accountability, selflessness and trust in complex joint or combined organizations.

### c. Relationship to USAWC PLOs and Enduring Themes.

(1) PLO 1. Apply critical and creative thinking to national security issues and the environment at the strategic level.

(2) PLO 2. Demonstrate the ability to communicate clearly, persuasively, and candidly.

(3) PLO 4. Understand how to recognize change and lead transitions.

(4) PLO 5. Analyze ethical decisions and distinguish military cultures that reflect the values and traditions of the American profession of arms.

(5) Enduring Theme. Strategic Leadership and the exercise of discretionary judgment.

## SENIOR LEADER COMMUNICATION

Mode: Seminar

SL-13-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. 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. Rather than focus on senior leaders’ preparation and performance in a single communications event, this lesson focuses on the considerations in synchronizing a message, including determining the overall communications 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 contexts –deliberate (i.e., steady state or long-term) and in time of crisis:

(1) Deliberate communications 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) Crisis situations constitute special cases where ineffective or errant messaging can undermine professional effectiveness, even more so in today's rapid and volatile information environment. 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 Objectives.

a. Comprehend the senior leader roles and skills, and the processes required to effectively communicate at the strategic level.

b. Analyze senior leader effectiveness in delivering intended strategic messages to internal and external audiences, including determining the effectiveness of the messaging.

c. Comprehend how senior leaders leverage communications processes to effectively navigate crises or catastrophic 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), 4-19 and 29-30 in ProQuest (accessed May 28, 2015). **[Database]**

b. Focused Readings.

(1) James T. Currie, "Will the Army Ever Learn Good Media Relations Techniques? Walter Reed as a Case Study," *Military Review* 88, no. 3 (May-June 2008): 92-99, in ProQuest (accessed May 28, 2015). **[Database]**

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

(3) Pamela Walaski, "Social Media, Powerful Tools for SH&E Professionals," *Professional Safety*, April 2013, [http://www.asse.org/assets/1/7/F1Wala\\_0413.pdf](http://www.asse.org/assets/1/7/F1Wala_0413.pdf) (accessed May 28, 2015). **[Online]**

(4) David Barno, "Barno: Generals Who Can't Handle Dealing with the Media Aren't Very Good Generals," *Foreign Policy*, November 8, 2011, posted by Thomas E. Ricks [http://ricks.foreignpolicy.com/posts/2011/11/08/barno\\_generals\\_who\\_cant\\_handle\\_dealing\\_with\\_the\\_media\\_arent\\_very\\_good\\_generals](http://ricks.foreignpolicy.com/posts/2011/11/08/barno_generals_who_cant_handle_dealing_with_the_media_arent_very_good_generals) (accessed May 13, 2015). **[Online]**

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, particularly the society they serve?
- c. What messages should senior leaders carry in person and when? What should be left to organizational actors, stakeholders, or third parties and when?
- d. In a global, rapidly changing media environment, how can senior leaders control the message? Is "control" even possible? How does social media affect these dynamics?
- e. What are the keys to establishing and maintaining professional credibility with audiences? Do the keys differ depending on the audience?
- f. Are there any particular stakeholders with whom military leaders typically struggle in developing effective relationships? Why?

g. How can senior leaders execute mission command with respect to strategic communications? What is the proper balance between control over the message (ensuring uniformity), versus a decentralized approach that encourages wider engagement but induces more risk?

h. What is the proper balance of speed versus accuracy, if both cannot be simultaneously achieved?

i. What behaviors are most likely to build society's trust of military professionals? Conversely, what behaviors undermine trust in military professionals? How do senior leader communications build or endanger trust?

5. Relationship to USAWC Core Courses, Joint Learning Areas (JLAs) and Objectives, USAWC Program Learning Objectives (PLOs), and Enduring and Special Themes.

a. Relationship to USAWC Core Courses. Senior leader strategic communications serves as a foundation lesson for the USAWC focus on communications at the strategic level; specifically, strategic diplomacy and information operations, in the National Security Policy and Strategy and Theater Strategy and Campaigning courses, respectively.

b. Relationship to JLAs and Objectives.

(1) JLA 4.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.

(2) JLA 5.b. Evaluate critical strategic thinking, decision making, and communication by strategic leaders.

(3) JLA 5.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.

(4) JLA 5.d. Evaluate how strategic leaders communicate a vision; challenge assumptions; and anticipate, plan, implement and lead strategic change in a complex joint or combined organizations.

(5) JLA 5.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.

c. Relationship to USAWC PLOs and Enduring Themes.

(1) PLO 2. Demonstrate the ability to communicate clearly, persuasively, and candidly.

(2) PLO 3. Demonstrate anticipation and adaptation to surprise and uncertainty.

(3) PLO 4. Understand how to recognize change and lead transitions.

(4) PLO 6. Understand the ability to operate on intent through trust, empowerment, and understanding (Mission Command).

(5) Enduring Themes. Strategic Leadership and the exercise of discretionary judgment, Professional ethics.

## NEGOTIATIONS

Mode: Lecture/Seminar

SL-14-L/S

1. Introduction. Strategic leadership requires the successful application of key conceptual, technical, and interpersonal 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 compromise 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 Objectives.

- a. Comprehend key negotiation principles and concepts in the strategic environment.
- b. Comprehend skills required for effective negotiating.
- c. Evaluate the seven elements model as a framework 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 Weiss, Adjunct Professor of Business Administration, Tuck School of Business, Dartmouth. Mr. Weiss is also the founder and current co-Director of the West Point Negotiation Project.

#### b. Required Readings.

(1) 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]**

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

5. Relationship to USAWC Core Courses, Joint Learning Areas (JLAs) and Objectives, USAWC Program Learning Objectives (PLOs), and Enduring and Special Themes.

a. Relationship to USAWC Core Courses.

(1) The Introduction to Strategic Studies Course used the Gulf War as the central focus of the course. How was the coalition negotiated and how was conflict termination negotiated? Were these good or poor examples of negotiated agreements?

(2) The Theory of War and Strategy course discussed the international system and introduced the major concepts of power, values, *interests*, war, and strategy. It further introduced the philosophical assumptions (idealism, realism, or constructivism) that frame the strategies nations adopt in dealing with the international community. Effective or ineffective negotiations, across all the instruments of national power, may therefore prevent or promote war.

(3) The National Security Policy and Strategy course addresses the interagency process, aspects of negotiating between agencies and nations--from both historical and current perspectives--and how the U.S. governmental system is based on conflict resolution and consensus-building. Negotiating is an essential part of interagency relations and policy development. Healthy civil-military relations require constant negotiations between US civilian and military leaders to clarify expertise, jurisdictions of practice, and hence, boundaries of professional military discretionary judgment.

(4) Negotiations relate to, affect, or set the conditions for conflict resolution and conflict termination covered in several lessons in the Theater Strategy and Campaigning (TSC) course. Further, it provides depth in how the formal systems taught in the Defense Management course can enhance these systems through intraorganizational (within a Service), interorganizational (joint or interagency), and/or informal (in a professional/business context) relations. Negotiating not only affects the decision to go to war, but how wars terminate (successfully or not). Further, negotiations affect force management decisions and outcomes as well as how joint relations are established and sustained.

(5) The Defense Management course addresses negotiations between the military services, the office of the Secretary of Defense, other executive branch agencies, and the Congress to develop and manage resources in the complex quest to meet society's national security needs.

b. Relationship to JLAs and Objectives.

(1) JLA 5.a. Evaluate the skills, character attributes and behaviors needed to lead in a dynamic joint, interagency, intergovernmental and multinational strategic environment.

(2) JLA 5.d. Evaluate how strategic leaders communicate a vision; challenge assumptions; and anticipate, plan, implement and lead strategic change in complex joint or combined organizations.

(3) JLA 5.f. Evaluate how strategic leaders foster responsibility, accountability, selflessness and trust in complex joint or combined organizations.

(4) JLA 5.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.

c. Relationship to USAWC PLOs and Enduring Themes.

(1) PLO 2. Demonstrate the ability to communicate clearly, persuasively, and candidly.

(2) PLO 3. Demonstrate anticipation and adaptation to surprise and uncertainty.

(3) PLO 5. Analyze ethical decisions and distinguish military cultures that reflect the values and traditions of the American profession of arms.

(4) Enduring Themes. Strategic Leadership and the exercise of discretionary judgment; and Professional ethics.

## NEGOTIATIONS EXERCISE

Mode: Exercise

SL-15-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 other situations, negotiations may be more formal and may involve relationships between parties that are adversarial in nature. 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 . This lesson will afford an opportunity to apply the negotiation principles set forth in Lesson SL-14-L/S. It will also prepare 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” in the water. 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 and 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 Objectives.

- 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.

(1) Complete the Management of Differences Exercise scale. **[Instructor Handout]**.

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

(3) Jonathan Hughes et al., "Negotiation Systems and Strategies," in *International Contract Manual* (Boston: Thomson Reuters/West, 2008). **Read** 6-10 and 17-32. **Scan** the rest. **[Blackboard]**

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?

5. Relationship to USAWC Core Courses, Joint Learning Areas (JLAs) and Objectives, USAWC Program Learning Objectives (PLOs), and Enduring and Special Themes.

a. Relationship to USAWC Core Courses. Same as Lesson SL-14-L/S.

b. Relationship to JLAs and Objectives.

(1) JLA 5.a. Evaluate the skills, character attributes and behaviors needed to lead in a dynamic joint, interagency, intergovernmental and multinational strategic environment.

(2) JLA 5.d. Evaluate how strategic leaders communicate a vision; challenge assumptions; and anticipate, plan, implement and lead strategic change in complex joint or combined organizations.

(3) JLA 5.f. Evaluate how strategic leaders foster responsibility, accountability, selflessness and trust in complex joint or combined organizations.

(4) JLA 5.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.

c. Relationship to USAWC PLOs and Enduring Themes.

(1) PLO 2. Practice communicating clearly, persuasively, and courageously.

(2) PLO 3. Demonstrate anticipation and adaptation to surprise and uncertainty.

(3) PLO 5. Analyze ethical decisions and distinguish military cultures that reflect the values and traditions of the Profession of Arms.

(4) Enduring Themes. Strategic Leadership and the exercise of discretionary judgment; and Professional ethics.

## STRATEGIC DECISION MAKING

Mode: Lecture/Seminar

SL-16-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 decision making at the organizational and strategic levels. The primary vehicle for our analysis of these concepts will be observations, insights, and conclusions of **Mr. Bob Woodward** on the strategic decision making process of the U.S. commander-in-chief and the senior leaders of the military as presented in *Obama's War*.

c. Strategic decision making 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 decision making approach that is so embedded at the tactical and operational levels.

d. Typically, USAWC students are trained to use the Military Decision Making 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 decision making approaches will be helpful to the strategic leader.

### 2. Learning Objectives.

a. Analyze how decision making is different at the strategic level.

b. Evaluate decision making 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 decision making.

### 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 May 28, 2015). **[Database]**

(2) Bob Woodward, *Obama's Wars* (New York: Simon & Schuster, 2010), 157-171, 185-201, 257-265, 334-345. (Read Chapters 14, 16, 22, and, 29). **[Student Issue]**

(3) Charles D. Allen, Breena E. Coates, and George J. Woods III, *Strategic Decision Making 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. **[Instructor Handout]**

(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 decision making in a profession (in particular the national security and/or military profession)? How does it differ from decision making in large organizations and from professional decision making at the tactical level?

b. From the required readings, how can we know what kind of decision making 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 decision making skills. How can one maximize the advantages of intuition in decision making while minimizing its disadvantages?

5. Relationship to USAWC Core Courses, Joint Learning Areas (JLAs) and Objectives, USAWC Program Learning Objectives (PLOs), and Enduring and Special Themes.

Learning objectives will support an understanding of the uniqueness of strategic leadership including interpersonal competencies, tasks, and environment. Specifically, learning objectives support appreciation of the nature of strategic-level decision making, critical thinking, and the patterned (rather than rational) thinking required in complex, and ambiguous decision situations. Points to consider will generate critical thinking on a wide range of decisions that will help the student appreciate the complexities of strategic decision making.

a. Relationship to USAWC Core Courses.

(1) This foundational lesson links with critical and creative thinking lessons earlier in the course and highlights approaches that will be used in all subsequent courses.

(2) This lesson also links to discussions of the interagency process and the policy process included in National Security Policy and Strategy course.

b. Relationship to JLAs and Objectives.

(1) JLA 1.a. Apply key strategic concepts, critical thinking, and analytical frameworks to the formulation and evaluation of strategy.

(2) JLA 5.a. Evaluate the skills, character attributes, and behaviors needed to lead in a dynamic joint, interagency, intergovernmental, and multinational strategic environment.

(3) JLA 5.b. Evaluate critical strategic thinking, decisionmaking and communication by strategic leaders.

(4) JLA 5.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.

(5) JLA 5.d. Evaluate how strategic leaders communicate a vision; challenge assumptions; and anticipate, plan, implement and lead strategic change in complex joint or combined operations.

(6) JLA 5.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.

c. Relationship to USAWC PLOs and Enduring Themes.

- (1) PLO 4. Understand how to recognize change and lead transitions.
- (2) PLO 7. Assess the strategic security environment and the contributions of all instruments of national power.
- (3) PLO 9. Assess the processes and relationships of the Department of Defense, as well as those of interagency, intergovernmental, multinational, and non-governmental organizations.
- (4) Enduring Theme. Strategic Leadership and the exercise of discretionary judgment.

## STRATEGIC LEADERSHIP CAPSTONE EXERCISE

Mode: Exercise

SL-17-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, Sexual Assault Prevention and Response, 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 Objectives.

- 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 one-page executive summary will be submitted to your DCLM faculty instructor **NLT Friday, 23 October 2015** and your paper is due **NLT 1600 on Monday, 26 October 2015**. Faculty will facilitate distributing all executive summaries to the class. These must be read prior to the exercise. For seminar on Monday, 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 the other group presents to your study group. Your instructor will provide specific details on the conduct of the lesson in your seminar. Students should also view the documentary, *The Invisible War*, sometime prior to the capstone lesson if they have not seen it before. It was the genesis of much of Congress' visceral reaction and motive to initiate legislation to direct change in the Department of Defense. Coordinate with your Faculty instructor for times and/or a copy of the documentary.

### b. Required Readings.

(1) Read the Executive Summaries of your group and the other 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 May 28, 2015). **[Blackboard]**

(b) Secretary of Defense Robert M. Gates, "United States Military Academy," speech, U.S. Military Academy, West Point, NY, February 25, 2011, <http://www.defense.gov/speeches/speech.aspx?speechid=1539> (accessed May 28, 2015). **[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 May 28, 2015). **[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), 645 – 672, <http://usawc.idm.oclc.org/login?url=http://dx.doi.org/10.1080/01402390.2010.498244> (accessed May 28, 2015). **[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 May 29, 2015). **[Blackboard]**

(g) Additional optional references can be found at: [http://usawc.libguides.com/mission\\_command](http://usawc.libguides.com/mission_command) (accessed May 29, 2015). **[Online]**

### (3) **Sexual Assault Prevention and Response study group readings:**

#### (a) The Media/Interest Groups:

i. "Documentary 'Invisible War' Reveals Culture of Sexual Assault in the Military," February 18, 2013, *PBS*, streaming video, 8:49, [http://www.pbs.org/newshour/bb/entertainment-jan-june13-invisiblewar\\_02-18/](http://www.pbs.org/newshour/bb/entertainment-jan-june13-invisiblewar_02-18/) (accessed May 29, 2015). **[Online]**

ii. Anu Bhagwati, Testimony for Senate Armed Services Committee Subcommittee on Personnel Hearing on Military Sexual Violence, 113th Cong., 1st sess., March 13, 2013, <http://servicewomen.org/wp-content/uploads/2013/03/Anu-Bhagwati-Senate-Testimony-Final.pdf> (accessed May 22, 2015). **[Online]**

(b) U.S. Congress:

i. Barbara Salazar Torreon, *Military Sexual Assault: Chronology of Activity in Congress and Related Resources* (Washington, DC: U.S. Library of Congress, Congressional Research Service, July 30, 2013), SCAN 1-14. **[Blackboard]**

ii. Donna Cassata, "Senate Heading Toward Vote on New Military Sexual Assault Bill," *The Huffington Post*, March 10, 2014, [http://www.huffingtonpost.com/2014/03/10/senate-military-assault\\_n\\_4936169.html](http://www.huffingtonpost.com/2014/03/10/senate-military-assault_n_4936169.html) (accessed May 29, 2015). **[Online]**

(c) Independent research agencies:

i. RAND National Defense Research Institute, "Sexual Assault and Sexual Harassment in the U.S. Military, Top-Line Estimates for Active-Duty Service Members from the 2014 RAND Military Workplace Study," 2014, [http://www.rand.org/content/dam/rand/pubs/research\\_reports/RR800/RR870/RAND\\_RR870.pdf](http://www.rand.org/content/dam/rand/pubs/research_reports/RR800/RR870/RAND_RR870.pdf) (accessed May 29, 2015). **Read** vii-xi. **[Online]**

ii. U.S. Government Accountability Office, *Military Personnel: Actions Needed to Address Sexual Assaults of Male Service members*, GAO-15-284 (Washington, DC: U.S. Government Accountability Office, March 2015), Summary and 33-36, <http://www.gao.gov/products/GAO-15-284> (accessed April 24, 2015). **[Blackboard]**

(d) Department of Defense:

i. Department of Defense, *Sexual Assault Prevention and Response Fact Sheet* (Washington, DC: Sexual Assault Prevention and Response Office, April 2015), [http://sapr.mil/public/docs/saapm/2015/SAPR\\_Fact\\_Sheet\\_201504.pdf](http://sapr.mil/public/docs/saapm/2015/SAPR_Fact_Sheet_201504.pdf) (accessed May 29, 2015). **[Blackboard]**

ii. Chuck Hagel, *Department of Defense Report to the President of the United States on Sexual Assault Prevention and Response* (Washington, DC: DOD, November 25, 2014), 11-24, [http://sapr.mil/public/docs/reports/FY14\\_POTUS/FY14\\_DoD\\_Report\\_to\\_POTUS\\_SAPRO\\_Report.pdf](http://sapr.mil/public/docs/reports/FY14_POTUS/FY14_DoD_Report_to_POTUS_SAPRO_Report.pdf) (accessed May 29, 2015). **[Blackboard]**

iii. U.S. Department of Defense, *Sexual Assault and Prevention Response*, <http://sapr.mil/index.php/annual-reports> (accessed May 29, 2015). **Note:** Report to the President tab includes overall DoD report, metrics, and reports by service (includes the USCG). **Scan** executive summary for your service or component. **[Blackboard]**

iv. Brad Carson, *Annual Report on Sexual Assault in the Military: Fiscal Year 2014* (Washington, DC: Department of Defense, April 29, 2015), 1-14, 51-55, [http://sapr.mil/public/docs/reports/FY14\\_Annual/FY14\\_DoD\\_SAPRO\\_Annual\\_Report\\_on\\_Sexual\\_Assault.pdf](http://sapr.mil/public/docs/reports/FY14_Annual/FY14_DoD_SAPRO_Annual_Report_on_Sexual_Assault.pdf) (accessed May 20, 2015). **[Blackboard]**

v. Jessica Wright, *Sexual Assault and Prevention Response Office*, Annual Report on Sexual Harassment and Violence at the Military Service Academies Academic Program Year 2013-2014 (Washington, DC: U.S. Department of Defense, February 2015) 1-13, [http://sapr.mil/public/docs/reports/MSA/APY\\_13-14\\_MSA\\_Report.pdf](http://sapr.mil/public/docs/reports/MSA/APY_13-14_MSA_Report.pdf) (accessed May 20, 2015). **[Blackboard]**

vi. U.S. Department of Defense Sexual Assault and Prevention Response Office, "Retaliation Overview Judicial Proceedings Panel Public Meeting," April 10, 2015, [http://sapr.mil/public/docs/speeches/DoD\\_SAPRO\\_JPP\\_Retaliation\\_Overview\\_20150410.pdf](http://sapr.mil/public/docs/speeches/DoD_SAPRO_JPP_Retaliation_Overview_20150410.pdf) (accessed May 20, 2015). **[Blackboard]**

vii. U.S. Secretary of Defense Chuck Hagel, "Annual Review of the DoD Sexual Assault Prevention and Response Strategic Plan," memorandum for Secretaries of the Military Departments, Washington, DC, January 26, 2015, [http://www.sapr.mil/public/docs/reports/SecDef\\_SAPR\\_Memo\\_Strategy\\_Atch\\_20150126.pdf](http://www.sapr.mil/public/docs/reports/SecDef_SAPR_Memo_Strategy_Atch_20150126.pdf) (accessed May 20, 2015) **[Blackboard]**

viii. Additional optional references can be found at: <http://usawc.libguides.com/content.php?pid=582097&sid=4798138> (accessed May 29, 2015). **[Online]**

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

(a) Todd Harrison, *The New Guns versus Butter Debate*, Center for Strategic and Budgetary Assessments (Washington, DC: CSBA, May 2010) 1-11, <http://csbaonline.org/publications/2010/05/the-new-guns-versus-butter-debate/> (accessed May 29, 2015). **[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 May 29, 2015). **[Online]**

(c) Zach Huitink, "Beyond Business as Usual? Better Buying Power and the Prospects for Change in Defense Acquisition," presented at the Proceedings of the Eleventh Annual Acquisition Research Symposium, Graduate School of Business & Public Policy, Monterey, CA. April 30, 2014, <http://oai.dtic.mil/oai/oai?verb=getRecord&metadataPrefix=html&identifier=ADA612561> (accessed May 29, 2015). **[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 May 29, 2015). **[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 May 29, 2015). **[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 May 29, 2015). **[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 May 22, 2015). **[Online]**

(h) 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) **Sexual Assault Prevention and Response study group:**

(a) Why is Sexual Assault Prevention and Response an issue of strategic level importance?

(b) Using concepts from the course, analyze why sexual assault prevention and implementing appropriate 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 Sexual Assault Prevention and Response.

(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?

#### 5. Relationship to USAWC Core Courses, Joint Learning Areas (JLAs) and Objectives, USAWC Program Learning Objectives (PLOs), and Enduring and Special Themes.

Learning objectives of this lesson support an understanding of the unique skills, knowledge, and attributes required for strategic leadership. This lesson is a capstone integrative exercise designed to provide an opportunity for students to operate at the upper level of Bloom's taxonomy. Points to consider will generate critical thinking and discussion on a wide range of topics included throughout the academic year to date.

a. Relationship to USAWC Core Courses. This integrative lesson links with all prior lessons and provides a foundation for subsequent courses.

##### b. Relationship to JLAs and Objectives.

(1) JLA 1.a. Apply key strategic concepts, critical thinking, and analytical frameworks to formulate and evaluate strategy.

(2) JLA 1.e. Evaluate how the capabilities and limitations of the U.S. Force structure affect the development and implementation of security, defense and military strategies.

(3) JLA 2.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.

(4) JLA 3.d. Value a joint perspective and appreciate the increased power available to commanders through joint, interagency, intergovernmental and multinational efforts.

(5) JLA 3.e. Analyze the likely attributes of the future joint force and the challenges faced to plan, organize, prepare, conduct and assess operations.

(6) JLA 4.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.

(7) JLA 5.a. Evaluate the skills, character attributes and behaviors needed to lead in a dynamic joint, interagency, intergovernmental and multinational strategic environment.

(8) JLA 5.b. Evaluate critical strategic thinking, decisionmaking and communication by strategic leaders.

(9) JLA 5.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.

(10) JLA 5.d. Evaluate how strategic leaders communicate a vision; challenge assumptions; and anticipate, plan, implement and lead strategic change in complex joint or combined organizations.

(11) JLA 5.e. Evaluate historic and contemporary applications of the elements of mission command by strategic-level leaders in pursuit of national objectives.

(12) JLA 5.f. Evaluate how strategic leaders foster responsibility, accountability, selflessness and trust in complex joint or combined organizations.

(13) JLA 5.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.

c. Relationship to USAWC PLOs and Enduring Themes.

(1) PLO 1. Apply critical and creative thinking to joint warfighting principles at the strategic level.

(2) PLO 2. Practice communicating clearly, persuasively, and courageously.

(3) PLO 3. Illustrate anticipation and adaptation to surprise and uncertainty.

(4) PLO 4. Recognize change and lead transitions.

(5) PLO 5. Analyze ethical decisions and distinguish military cultures that reflect the values and traditions of the Profession of Arms.

(6) PLO 6. Demonstrate the ability to operate on intent through trust, empowerment, and understanding (Mission Command).

(7) PLO 9. Assess the processes and relationships of the Department of Defense, as well as those of interagency, intergovernmental, multinational, and non-governmental organizations.

(8) Enduring Themes. Professional ethics; Civil-military Relations; History as a vehicle for understanding strategic alternatives and choices; and Strategic Leadership and the exercise of discretionary judgment.

## **SECTION V – APPENDIX**

### **USAWC MISSION**

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

### **PROGRAM LEARNING OBJECTIVES (PLOS)**

The School of Strategic Landpower (SSL) establishes program learning objectives (PLO) that delineate 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.

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

PLO 1. Apply critical and creative thinking to national security issues and the environment at the strategic level.

PLO 2. Demonstrate the ability to communicate clearly, persuasively, and candidly.

PLO 3. Demonstrate anticipation and adaptation to surprise and uncertainty.

PLO 4. Understand how to recognize change and lead transitions.

PLO 5. Analyze ethical decisions and distinguish military cultures that reflect the values and traditions of the American profession of arms.

PLO 6. Understand the ability to operate on intent through trust, empowerment, and understanding (Mission Command).

PLO 7. Assess the strategic security environment and the contributions of all instruments of national power.

PLO 8. Apply theories of war and strategy to national security challenges.

PLO 9. Assess the processes and relationships of the Department of Defense, as well as those of interagency, intergovernmental, multinational, and nongovernmental organizations.

PLO 10. Understand the utility of Landpower in joint, interagency, intergovernmental, and multinational operations.

**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, Enclosure E-E-1.

1. Learning Area 1 - National Security Strategy.

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.

## **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 (2nd and 3rd 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 bellum)
  - 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

### **ENDURING LANDPOWER THEME (by core course)**

**Strategic Leadership:** 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).

### **SPECIAL THEME FOR COMMANDANT’S LECTURE SERIES (CLS)**

The AY16 special theme is “**Educating and Developing Adaptive Senior Leaders for a Complex World.**” This draws on key elements from the Chief of Staff of the Army priorities: “Adaptive Army Leaders for a Complex World” and “A Globally Responsive and Regionally Engaged Army.”

Supporting elements of the theme:

- Analyze means for strengthening education and life-long learning
- Evaluate the evolving roles and challenges for strategic leaders
- Evaluate and refine concepts of strategic leadership and mission command
- Evaluate ways to better work across domains (land, sea, air, space, and cyber)
- Understand and evaluate competing visions of American grand strategy as they affect evolving joint concepts and capabilities, particularly with respect to Landpower

- Understand the International environment, particularly the ‘security paradox’ posed by positive global trends potentially subject to increasingly dangerous threats
- Understand American domestic political priorities and constraints
- Evaluate Integration with allies and partners--traditional and non-traditional
- Evaluate the relevance of post-9/11 experience with respect to anticipated future challenges

The Commandant’s Lecture Series (CLS) presents prominent speakers of the highest quality, representing diverse backgrounds, expertise, and varied perspectives. A limited number of lecturers, with a formal invitation by the Commandant, will explore the special theme. Chairman DMSPO, with the assistance of the Deputy Dean, will schedule the lectures throughout the academic year. Faculty will nominate speakers and the Commandant will approve speakers and topics. Students may have assigned readings to provide context and background information for the series and will have seminar time to reflect upon the lecture.