

# TRANSFORMING THE ARMY WITH MISSION COMMAND

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Command and General Staff College in partial  
fulfillment of the requirements for the  
degree

MASTER OF MILITARY ART AND SCIENCE  
General Studies

by

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The opinions and conclusions expressed herein are those of the student author and do not necessarily represent the views of the U.S. Army Command and General Staff College or any other governmental agency. (References to this study should include the foregoing statement.)

## ABSTRACT

TRANSFORMING THE ARMY WITH MISSION COMMAND, by Major LaShell Y. Davis, 101 pages.

The Army's 38th Chief of Staff, General Raymond T. Odierno deemed mission command as important and necessary in order for the Army to succeed in the future. This research looked at the Army's command philosophy of mission command and analyzed the current doctrine that outlines how leaders should instill mission command within their organizations. In doing so, this research examined the Army's plans and processes for implementing mission command through the lens of a well-respected scholarly model of organizational change. The reason for scrutinizing the mission command implementation plans against a well-respected scholarly model of change was to determine if there were processes that could improve the Army's current implementation plans. The main research question was: Can the Army improve their plans for inculcating mission command throughout the total force by using Kotter's Eight-Stage Process of Creating Major Change? The secondary research questions were: Why mission command? What is the Army's plan to inculcate mission command? How does the Army's plan for implementing mission command compare when assessed against the processes of Kotter's Eight-Stage Process? Based on Kotter's process, can the Army do better with defining and inculcating mission command? Based on the research, the author was able to create a framework that can be utilized by the United States Army for further development and inculcation of the command philosophy of mission command.

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## ACRONYMS

|        |                                          |
|--------|------------------------------------------|
| ADP    | Army Doctrine Publication                |
| ADRP   | Army Doctrine Reference Publication      |
| AES    | Army Education System                    |
| ALDS   | Army Leadership Development Strategy     |
| ALRM   | Army Leadership Requirement Model        |
| AMCAP  | Army Mission Command Assessment Plan     |
| AMCS   | Army Mission Command Strategy            |
| AR     | Army Regulation                          |
| ATS    | Army Training Strategy                   |
| CSA    | Chief of Staff of the Army               |
| DAIG   | Department of the Army Inspector General |
| FM     | Field Manual                             |
| JP     | Joint Publication                        |
| LDTF   | Leader Development Task Force            |
| MCCoE  | Mission Command Center of Excellence     |
| MOE    | Measure of Effectiveness                 |
| PAM    | Pamphlet                                 |
| TRADOC | Training and Doctrine Command            |
| WfF    | Warfighting Function                     |

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## CHAPTER 1

### INTRODUCTION

We will empower Soldiers, Squads, and Commanders at every level so that they may rapidly respond to the demands of the incredibly complex environment in which they are asked to operate. Mission command is about simplifying the chaos that surrounds you so that you can lead your unit to take decisive action. The most important action you can take on a daily basis is to communicate. Communicate your vision, your intent, your left and right limits to your Soldiers.

— General Raymond T. Odierno, Chief of Staff of the Army  
Addressing the USMA Class of 2013

#### Background

The mention of mission command concepts in early manuals can be traced back to 1905 with the publication of Field Service Regulations, the first true combined arms manual approved by the War Department (Ancker 2013, 43). “However, the United States Army originally adopted mission orders and mission command into its doctrine in the early 1980s to provide subordinates the freedom to find and employ unique and innovative solutions to mission problems” (TRADOC 2010, 9). The current concept of mission command as a command philosophy evolved from over twelve years of combat operations. “In 2009, the U.S. Army Training and Doctrine Command (TRADOC) Commander, General Martin Dempsey, decided the term command and control had become too centered on technology and that the Army had to get back to a function that acknowledged the centrality of the commander and the essentially human nature of the function” (Ancker 2013, 51). To make this focus clear and unmistakable, he along with the then Chief of Staff of the Army (CSA), General George Casey decided to change the name of the function from command and control to mission command. Based on this

guidance, mission command as a command philosophy and warfighting function (WfF) made their debuts in 2010 with the publication of Field Manual (FM) 3-0, *Unified Land Operations*, Change 1.

“Mission command is not a new concept and can be dated back to World War I when the German Army adopted elastic defense in depth tactics and assault tactics. Elastic defense in depth tactics and assault tactics required decentralized command and required commanders to accept prudent risk by permitting subordinates to make critical decisions. The Prussian Army introduced Auftragstakik during World War II, which functioned under the same concepts of decentralized command and fostered flexibility and decision-making authority at the lower level. Auftragstakik believed each German commissioned and noncommissioned officer was duty bound to do whatever the situation required, as they personally perceived what was required to complete the mission” (TRADOC 2010, 9).

Transformation to new doctrine that dictates how an organization operates in wartime is not new to the United States Army. Because this concept is not new, it is important for the Army to continually study the impact that change can have on an organization of its size. To promote change, leaders need to set daring goals that are modest, predetermined, far out and hard-pressed (Roberto 2011, 15). There are five strategic and operational factors associated with mission command. Those factors are: “(1) the broad range of potential missions; (2) increasingly uncertain and complex operational environment; (3) ill-structured situations; (4) replacement of the command and control WfF with mission command; and (5) the establishment of the Mission Command Center of Excellence (MCCoE)” (TRADOC 2010, 3-15).

Army Doctrine Publication (ADP) 6-0, *Mission Command*, defines mission command as: “Exercise of authority and direction by the commander using mission orders to enable disciplined initiative within the commander’s intent to empower agile and adaptive leaders in the conduct of unified land operations.” There are six principles associated with mission command: (1) Create shared understanding; (2) Provide clear commander’s intent; (3) Exercise disciplined initiative; (4) Use mission orders; (5) Accept prudent risk; and (6) Build cohesive teams through mutual trust (HQDA 2012e). “Through mission orders, the commander gives their intent and empowers subordinates by allowing them to use critical thinking, knowledge, and experiences to determine the best course of action required to meet the commander’s intent” (HQDA 2014c, 13).

The current framework for mission command is primarily contingent upon understanding ADP 6-22, *Army Leadership*; Army Doctrine Reference Publication (ADRP) 6-22, *Army Leadership*; FM 6-22, *Army Leadership*; ADP 6-0, *Mission Command*; ADRP 6-0, *Mission Command*; FM 6-0, *Mission Command*; ADP 3-0, *Unified Land Operations*; ADRP 3-0, *Unified Land Operations*; ADP 5-0, *The Operations Process*; and ADRP 5-0, *The Operations Process*; and being able to operate and execute according to concepts outlined in the aforementioned doctrine. This research examined the Army’s current plan for indoctrinating the command philosophy of mission command during a turbulent transition, which includes realignment of the total force and the decrease in missions, and drawdown of personnel and equipment. One key component of the Army’s ability to transition to mission command is how the organization uses current practices developed by leadership scholars and practitioners. In

doing so, this research examined the Army's plan for implementing mission command into the total force through the lens of a well-respected scholarly model of organizational change.

Adaptive leadership is the daily opportunity to mobilize the resources of people to thrive in a changing and challenging world (Heifetz, Grashow, and Linsky 2009, 69).

"Principle-centered leadership is practiced from the inside out on four levels. The four levels are: (1) personal; (2) interpersonal; (3) managerial; and (4) organizational" (Covey 1991, 31). When General Raymond T. Odierno assumed duties as the 38th CSA, he immediately assessed the organization and decided on a course of organizational change to address warfighting requirements. His vision for the Army's future was and continues to be: "The All-Volunteer Army will remain the most highly trained and professional land force in the world. It is uniquely organized with the capability and capacity to provide expeditionary, decisive land power to the Joint Force and ready to perform across the range of military operations to Prevent, Shape, and Win in support of combatant commanders to defend the Nation and its interests at home and abroad, both today and against emerging threats" (CSA 2012).

In January 2012, the "Marching Orders 38th Chief of Staff, U.S. Army: America's Force of Decisive Action" (CSA 2012) were published to outline his intent and priorities for sustaining a high quality, all volunteer Army and to describe his guiding principles and the fundamental characteristics of the future force. In January 2013, as a follow up to his "Marching Orders," "Waypoint #1" was published, to highlight the Army's progress of the Army initiatives, programs, and modernization efforts and to guide the efforts in 2013. In February 2014, "Waypoint #2" was published to describe the

CSA's five strategic priorities in detail. The purpose of the CSA outlining his vision, strategies, and waypoints was twofold: (1) to prepare the Army for organizational change; and (2) to prepare the Army for the future (CSA 2014).

The purpose of evaluating mission command, the command philosophy through the lens of a well-respected scholarly model of organizational change was to effectively gauge strengths, weaknesses, success, and failures of the Army's current implementation plans. After reviewing General Odierno's expectations of his leaders, it was clear that his expectations were somewhat similar to and may even be aligned with the steps outlined in Kotter's Eight-Stage Process. General Odierno's expectations to his leaders were: (1) have a vision and lead change; (2) be your formation's moral and ethical compass; (3) learn, think and adapt; (4) balance risk and opportunity to retain the initiative; (5) build agile, effective, high-performing teams; (6) empower subordinates and underwrite risk; (7) develop bold, adaptive, and broadened leaders; and (8) communicate-up, down, and laterally; tell the whole story (CSA 2012).

This research sought to determine the following: Can the Army improve their plans for instilling mission command throughout the total force by using Kotter's Eight-Stage Process of Creating Major Change? Why mission command? What is the Army's plan to inculcate mission command into their organization? How does the Army's plan for implementing mission command compare when assessed against the processes of Kotter's Eight-Stage Process? Based on Kotter's processes, can the Army do better with defining and inculcating mission command?

Kotter's Eight-Stage Process provided one form of analysis that ultimately assisted with determining the success of the Army's mission command implementation

plans. Successful integration of mission command into Army's organization can only be accomplished by careful, yet deliberate development of leadership principles. Once evaluated through the lens of a well-respected scholarly model of organizational change, the Army may discover additional methods to improve their current implementation plans.

### Purpose

The Army needs mission command to work to support a military force of the future that will fight and win our nations wars. The purpose of this research was to analyze the Army's command philosophy of mission command and review the current doctrine that outlines how leaders should instill mission command within their organizations. In doing so, this research studied four processes identified as pertinent for analyzing the Army's mission command implementation plans. These four processes consisted of: (1) doctrine; (2) MCCoE; (3) CSA guidance; and (4) inspections and surveys to determine if Kotter's Eight-Stage Process could be integrated to better support the current implementation plans.

The main research question was: Can the Army improve their plans for inculcating mission command throughout the total force by using the Kotter Eight-Stage Process? The secondary research questions were: Why mission command? What is the Army's plan to inculcate mission command? How does the Army's plan for implementing mission command compare when assessed against the processes of Kotter's Eight-Stage Process? Based on Kotter's process, can the Army do better with defining and inculcating mission command? Based on the research, the author was able to

create a framework that can be utilized by the United States Army for further development and inculcation of the mission command philosophy.

The importance of this research was twofold: (1) the Army's ability to successfully operate in a complex environment is contingent upon the understanding and execution of the command philosophy of mission command; and (2) the Army has not fully implemented mission command into the Army at all levels, which allowed the researcher the opportunity to offer recommendations for changes prior to the full inculcation of mission command. Based on the importance of inculcating mission command into the Army, leaders need and deserve a simple framework that translates down to all levels which allows leaders to create a climate that not only applies the operations process but also leverages the Army Leadership Requirements Model (ALRM) in tandem with the mission command principles.

### Issues

Based on the implementation plans for mission command, there were two issues that the researcher addressed: (1) Is the Army's current plan and processes for implementing mission command into the Army sufficient? and (2) Are there processes missing from the current implementation plans that could better support the command philosophy?

### Problem

This thesis sought to study the command philosophy of mission command. After twelve years of fighting two simultaneous wars, the Army is going through a transformation that is multifaceted. Decreases in combat operations, downsizing of the

force, and reshaping the force for a new environment, are all changes that are pulling the Army in different directions. Due to the downsize, the Army will be required to do more with less, and in order to continue winning our nation's wars, leaders will be required to depend more heavily on their subordinates to utilize mission orders when executing the commander's intent. In order to implement mission command within their organizations, leaders and subordinates have to build trust and inculcate a culture of change.

There were three problems that mission command the command philosophy presented during this research. First, the command philosophy of mission command is complex and can be easily misunderstood by subordinates. If the intent for implementing decentralized command was to ensure subordinates down to the lowest level understand the commander's intent and operate under mission orders, then the philosophy needs to be simplified. Second, according to the Department of the Army Inspector General (DAIG) inspection, division and higher level commanders understand mission command better than battalion and below commanders. The premise behind mission command is for it to be executed at the company and platoon level, and if company level leaders do not understand the philosophy, how can it resonate throughout the force? Third, the Army has not fully implemented the mission command philosophy into the Army Education System (AES). This leads to the fourth issue, which was identified as lack of training. Commanders have an unreasonable expectation that mission command is being taught at professional military schools, but that is far from reality because AES has not fully implemented mission command training throughout the total force. In order to ensure implementation, training will have to be a focal point. The goal was to determine if the

Army should integrate processes from Kotter's Eight-Stage Process of Creating Major Change into the current mission command implementation plans.

### Research Questions

#### Primary Research Question

1. Can the Army improve their plans for inculcating mission command throughout the total force by using Kotter's Eight-Stage Process of Creating Major Change?

#### Secondary Questions

1. Why mission command?
2. What is the Army's plan to inculcate mission command?
3. How does the Army's process for implementing mission command compare to Kotter's Eight-Stage Process?
4. Based on the Kotter model, can the Army do better with defining and inculcating mission command?

### Assumptions

There are three assumptions that can be made about mission command

1. The Army believes their current doctrine, framework and plan for inculcating mission command is adequate.
2. Because the current plan and processes for implementing mission command into the AES span from 2014-2018, everyone in the Army has not been exposed or educated on the command philosophy of mission command.

3. Based on the resources put into implementing mission command, it appears to be an enduring concept, which means the Army has no plans of getting rid of the philosophy.

### Limitations

The limitations for this research consisted of the time allocated for completing and submitting the thesis. Surveys and interviews were not conducted during this research, which may have narrowed the researcher's understanding and ability to analyze the topic. Additional limitations include the researcher's limited knowledge about the command philosophy of mission command and research utilized was narrowed to doctrine and scholarly journal articles. Limitations also existed because the researcher evaluated the mission command philosophy through the lens of only one well-respected scholarly model of organizational change and could have offered additional options if additional models had also been evaluated. Another limitation worth mentioning is that the researcher did not gather insight from other branches or nations to determine if their organization operated under decentralized command.

### Scope and Delimitations

This study will not attempt to determine how Army personnel feel about mission command, nor will it attempt to determine whether leaders are utilizing the philosophy within their organizations. There are two components of mission command, the WfF and the command philosophy. The command philosophy is the art and the WfF is the science. This study will not make any assessments of the science of mission command, which is the WfF. Additionally, this study will not determine if mission command is the best

practice for the United States Army and whether or not the Army needs to get rid of the command philosophy of mission command and adopt a new concept.

#### Significance of this Study

This study will help the United States Army identify ways to facilitate inculcating mission command into all Army organizations. This study may also contribute to additional processes that the Army can incorporate into the current implementation plans centered on the command philosophy of mission command. The researcher hopes that by comparing the mission command implementation plans to the processes of Kotter's Eight-Stage Process, this research will be able to offer suggestions and recommendations that the Army can leverage for the purpose of enhancing their implementation plans which are rooted in transforming the organization towards fully operating under decentralized orders during a complex environment of the future.

## CHAPTER 2

### LITERATURE REVIEW

It is change, continuing change, inevitable change that is the dominant factor in society today. No sensible decision can be made any longer without taking into account not only the world as it is, but the world as it will be.

— Isaac Asimov, “Asimov on Science Fiction”

#### Introduction

The Army needs mission command to work to support a military force of the future that will fight and win our nations wars. The purpose of this research was to analyze the Army’s command philosophy of mission command and review the current doctrine that outlines how leaders should instill mission command within their organizations. In doing so, this research studied four processes identified as pertinent for analyzing the Army’s mission command implementation plans. These four processes consisted of: (1) doctrine; (2) MCCoE; (3) CSA guidance; and (4) inspections and surveys to determine if Kotter’s Eight-Stage Process could be integrated to better support the current implementation plans.

The main research question was: Can the Army improve their plans for inculcating mission command throughout the total force by using Kotter’s Eight-Stage Process? The secondary research questions were: Why mission command? What is the Army’s plan to inculcate mission command? How does the Army’s plan for implementing mission command compare when assessed against the processes of Kotter’s Eight-Stage Process? Based on the Kotter’s processes, can the Army do better with defining and inculcating mission command? Based on the research, the author was

able to create a framework that can be utilized by the United States Army for further development and inculcation of the mission command philosophy.

There were several documents utilized to answer the primary and secondary research questions which assisted the researcher with developing an analysis of the research topic. The documents that assisted the researcher were: ADPs, ADRPs, FMs, TRADOC PAMs, White Papers, “CSA Marching Orders,” speeches, inspections, assessments, MCCoE, and scholarly written articles. The researcher further classified the documents into four processes, which were doctrine, CSA guidance, MCCoE, and inspections and assessments.

The importance of this research was twofold: (1) the Army’s ability to successfully operate in a complex environment is contingent upon the understanding and execution of the command philosophy of mission command; and (2) the Army has not fully implemented mission command into the Army at all levels, which allowed the researcher the opportunity to offer recommendations for changes prior to the full inculcation of mission command. Based on the importance of inculcating mission command into the Army, leaders need and deserve a simple framework that translates down to all levels which allows leaders to create a climate that not only applies the operations process but also leverages the ALRM in tandem with the mission command principles.

### Chapter Organization

This chapter was organized into five sections. The first section analyzed the command philosophy of mission command. The second section discussed the Army’s plan for implementing mission command. In order to determine if the current plan for

implementing mission command was sufficient, it was important to analyze the various methods that the Army developed. The third section explained the Army's Leadership Requirements Model. This model was required because it is one of two frameworks utilized to understand and execute the Army's command philosophy of mission command. The fourth section will discuss the Army's Operations Process, which is the second guiding framework for mission command. The fifth section outlined Kotter's Eight-Stage Process of Creating Major Change. This model was significant because it offered an organizational change model that the Army can potentially utilize as an example of best practices and future modeling for continuous implementation of the command philosophy of mission command.

#### Command Philosophy of Mission Command

According to TRADOC Pamphlet (PAM) 525-3-3, *The United States Army Functional Concept for Mission Command*, mission command replaces the term battle command and is a product of the Army Concept Framework (TRADOC 2010, 1). "Mission command is the exercise of authority and direction by the commander using mission orders to enable disciplined initiative within the commander's intent to empower agile and adaptive leaders in the conduct of unified land operations" (HQDA 2012b, 1). "Mission command helps commanders capitalize on the human ability to take action to develop the situation and integrate military operations to achieve the commander's intent and desired end state" (HQDA 2014b, 1-1 ). The philosophy underlines centralized intent and distributed execution through disciplined initiative.

The emphasis for mission command is on the commanders and leaders at every level in the Army. In addition to being a command philosophy, the term mission

command is also defined and associated as a being a WfF. To sum it up, mission command is both a philosophy of command and a WfF. Commanders have four different tasks when performing mission command. The four tasks are: “(1) drive the operations process; (2) understand, visualize, describe, direct, lead and assess; (3) develop teams among modular formations and joint interagency, intergovernmental and multinational partners; and (4) lead, inform and influence activities. Mission command provides a means for both senior and junior leaders to create a more thorough understanding of the operational environment and of the problems to be addressed” (TRADCO 2010, 19).

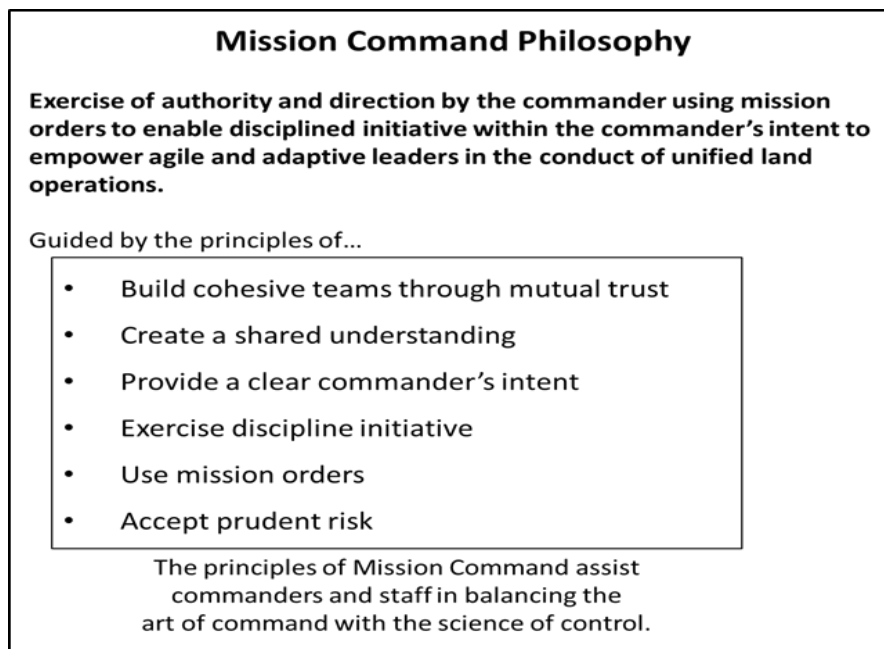


Figure 1. Mission Command Philosophy

Source: Headquarters, Department of the Army, Army Doctrine Reference Publication 6-0, Change 2, *Mission Command* (Washington, DC: Government Printing Office, 2014), 1-3.

“An effective approach to mission command must be wide-ranging, without being unbending, because military operations as a whole confront orderly, efficient, and precise control” (HQDA 2012e, 1). “Mission command is based on mutual trust and shared understanding and purpose. Commanders understand that some decisions have to be made quickly at the point of action. It demands every Soldier to be prepared to assume responsibility, maintain unity of effort, take prudent action, and act resourcefully within the commander’s intent. Under the philosophy of mission command, commanders understand their leadership guides the actions of the force” (HQDA 2012e, 1).

“Commanders, assisted by their staffs, use the six principles of mission command to balance the command philosophy with the WfF. Commanders use art command philosophy to exercise authority, to provide leadership and to make timely decisions. Commanders and staffs use the WfFs to regulate forces and direct the execution of operations to conform to their commander’s intent” (HQDA 2012e, 1-2).

Army doctrine defines the art of command as “the creative and skillful exercise of authority through timely decision-making and leadership. As an art, command requires exercising judgment and providing leadership. Leadership is the process of influencing people by providing purpose, direction, and motivation to accomplish the mission and improve the organization. Decision-making requires knowing if, when, and what to decide and understanding the potential and actual consequences of any decision. Commanders use experience, training, and study to inform their decisions” (HQDA 2012e, 2-7).

Control is the “regulation of forces and WfFs to accomplish the mission in accordance with the commander’s intent. Science of control consists of systems and

procedures used to improve the commander's understanding and support accomplishing missions. "The science of control is based on objectivity, facts, empirical methods, and analysis. Control relies on continuous flow of information between the commander, staff, subordinates, and unified action partners about the unfolding situation" (HQDA 2012e, 2-13 ).

The science of control depends on four standards. The four standards are: (1) information; (2) communication; (3) structure; and (4) degree of control. "Information imparts structure and shape to military operations. It fuels understanding and fosters initiative. Communications is the means through which commanders exercise immediate and personal control over their forces" (HQDA 2012b, 6-8). Mission command requires interactive communications characterized by continuous vertical and horizontal feedback. Structure refers to a defined organization that establishes relationships and guides interactions among elements. A key aspect of mission command is determining the appropriate degree of control to impose on subordinates. The appropriate degree of control varies with each situation and is not easy to determine. The appropriate degree of control affords subordinates sufficient latitude to exploit opportunities to seize, retain, and exploit the initiative (HQDA 2012d, 1-2).

Successful commanders understand that their leadership directs the development of teams and helps to establish mutual trust and shared understanding throughout the force. Commanders provide a clear intent to their forces that guides subordinates' actions while promoting freedom of action and initiative. They encourage subordinates to take action, and they accept prudent risks to create opportunity and to seize the initiative. Commanders at all levels need education, rigorous training, and experience to apply these

principles effectively. “Mission command operates more on self-discipline than imposed discipline” (HQDA 2014b, 1-4).

The first principle of mission command is build cohesive teams through mutual trust. “Mutual trust is shared confidence among commanders, subordinates, and partners. There are few shortcuts to gaining the trust of others. Commanders earn trust by upholding the Army values and exercising leadership consistent with the Army’s leadership principles. Effective commanders build teams within their own organization and with unified action partners through interpersonal relationships” (HQDA 2012e, 2-1).

The second principle of mission command is create shared understanding. “Shared understanding and purpose form the basis for unity of effort and trust. Commanders use collaboration to establish human connections, build trust, and create and maintain shared understanding and purpose. Through collaboration and dialogue, participants share information and perspectives, question assumptions, and exchange ideas to help create and maintain a shared understanding and purpose” (HQDA 2012e, 2-2).

The third principle of mission command is provide a clear commander’s intent. “The commander’s intent is a clear and concise expression of the purpose of the operation and the desired military end state that supports mission command, provides focus to the staff, and helps subordinates and supporting commanders act to achieve the commander’s desired results without further orders, even when the operation does not unfold as planned” (HQDA 2012e, 2-3). A clear commander’s intent that lower-level leaders can understand is key to maintaining unity of effort (HQDA 2012d, 2-19).

Subordinates aware of the commander's intent are far more likely to exercise initiative in unexpected situations.

The fourth principle of mission command is exercise disciplined initiative.

“Disciplined initiative is action in absence of orders, when existing orders no longer fit the situation, or when unforeseen opportunities or threats arise. This willingness to act helps develop and maintain operational initiative that sets or dictates the terms of action throughout an operation. Using disciplined initiative, subordinates strive to solve many unanticipated problems” (HQDA 2012e, 2-4).

The fifth principle of mission command is use mission orders. “Mission orders are directives that emphasize to subordinates the results to be attained, not how they are to achieve them. Mission orders seek to maximize individual initiative, while relying on lateral coordination between units and vertical coordination up and down the chain of command” (HQDA 2012e, 2-4). Throughout the mission orders process, commander's accept prudent risk and build trust with subordinates by allowing them to operate in a decentralized environment.

The sixth principle of mission command is accept prudent risk. “Prudent risk is a deliberate exposure to potential injury or loss when the commander judges the outcome in terms of mission accomplishment as worth the cost. The willingness to accept prudent risk is often the key to exposing enemy weaknesses. Making reasonable estimates and intentionally accepting prudent risk are fundamental to mission command” (HQDA 2012e, 2-5).

Mission command evolved in tandem with the Army Capstone Concept central idea of operational adaptability and the Army Operating Concept central ideas of

combined arms maneuver and wide area security. “Mission command enables both and contributes to the disintegration of the enemy’s coherence and will. Commanders face four key challenges when conducting mission command: understanding the environment; executing the role of commander by driving the operations process through visualizing, describing, directing and assessing the process; partnering and building teams; and leading inform and influence activities by establishing themes and messages and personally engaging key players” (TRADOC 2010, 19).

“Commanders determine the extent to which they centralize or decentralize authority and combined arms capabilities based upon their understanding of the situation, their concept for accomplishing the mission, the mutual trust and confidence shared with subordinate, the need to subsequently re-aggregate the capabilities, and other key variables. The level of centralization or decentralization is applied along a continuum. Supporting ideas that compliment mission command are: “(1) empower the lowest level echelon; (2) become skilled in the art of design in addition to the other components of the operations process; and (3) educate and train the force for the uncertain and complex future operational environment” (TRADOC 2010, 16). Mission command requires that leaders receive training, education, and experience to become the following:

- Critical and creative thinkers, agile and able to make decisions in OEs
- Experts of design and the remaining components of the operations process, capable of framing and reframing problems and shifting rapidly from preplanned action.
- Skilled communications able to engender understanding and support for the mission from relevant publics, actors, and third party validators.
- Clever and nimble practitioners who are able to integrate their efforts with unified action partners.

- Inspirational leaders who are able to engender utmost trust and confidence with and among subordinates and fellow leaders.
- Lifelong students of the profession of arms, increasingly able to design, plan, execute, assess and adapt military activities to prevail in three dimensions of full-spectrum operation; contest of wills, strategic engagement and cyber/electromagnetic contest.
- Adaptive leaders, skilled in the art of negotiation and mediation, prepared to develop host nation capabilities or exercise governance and support transitions to a more stable, credible and legitimate government operating within the rule of law.
- Competent leaders, skilled in the tools, processes, network ND external enablers. (TRADOC 2010, 22-23).

The Army has prescribed an extensive plan for implementing the command philosophy of mission command. Some of these plans include the re-write of doctrine, to include the philosophy. Throughout the research, the author found a multitude of doctrine that had been published or revised to address mission command. The doctrine found pertinent for this research, which was not all inclusive consisted of: ADP 6-0, ADRP 6-0, FM 6-0, ADP 5-0, ADRP 5-0, ADP 3-0, ADRP 3-0, ADP 6-22, ADRP 6-22, TRADOC PAM 525-3-3, and Army Regulation (AR) 350-1, *Army Training and Leader Development*.

In addition to the aforementioned doctrine, the Army has also created the MCCoE, *U.S. Army Mission Command Strategy FY 13-19* (AMCS), Leader Development Task Force (LDTF), and revamped the AES to include Professional Military Education that teaches current and future personnel about the command philosophy. Additional imperatives included inspections and assessments conducted for the purpose of supporting, advancing and understanding the command philosophy of mission command. The two pertinent inspections and assessments for this research were: DAIG *Army*

*Leader Development Inspection: 13 June 2014-05 December 2014 and United States Army Mission Command Assessment Plan (AMCAP) FY 15-19 (AMCAP).* The Center of Army Profession which falls under the guidance of the MCCoE has also augmented mission command terminology into the Army Ethic and General Dempsey published a White Paper in 2012 entitled “Mission Command” to address the importance and way ahead for mission command.

TRADOC established MCCoE to drive force modernization for mission command and supporting capabilities for the Army. The MCCoE was established in September of 2010 as the Army lead for implementing mission command across the force. The evolved concept of mission command recognizes that each mission situation is unique. The MCCoE “develops, integrates, and synchronizes leader development, Army profession and mission command requirements and solutions to prepare leaders and units to successfully exercise mission command during the execution of Unified Land Operations” (CAC 2015).

The motto of MCCoE is: “We develop leaders to exercise mission command” (MCCoE 2014). “The enduring efforts of MCCoE are: implement leader development strategy, implement mission command strategy, deliver doctrine 2015, institutionalize and strengthen the Army profession, manage Army lessons learned program, develop and deliver mission command capability, training and leader development and support the warfighter” (MCCoE 2014).

TRADOC PAM 525-3-3 describes how “Army forces as part of unified actions, apply mission command during full-spectrum operations, and identifies the capabilities required to apply mission command successfully in the uncertain and complex future of

operational environment” (TRADOC 2010, 31). Looking over the Army’s history, previously written articles show that mission command is an evolved concept. The developed concept of mission command embraces both the Army’s philosophy of command pointed at acclimating and accomplishing the advantage in complex and uncertain operational environments and the adding function that combines the competencies of all WfFs to accomplish the mission.

In October 2011, the CSA visited the United States Military Academy at West Point and directed the Academy along with Headquarters Department of the Army Deployment Cycle Support, G1, G3, G5, G7, TRADOC, the Assistant Secretary of the Army for Manpower and Reserve Affairs and several other Army agencies to review officer leader development. The CSA explained that the Army is at an important inflection point in history. Based on the CSA guidance, in November of 2013, the 2013 CSA LDTF began their work (Adamshick 2013).

The CSA directed that the LDTF’s review should: (1)” conduct a comprehensive appraisal of officer leader development; (2) determine the major leader attributes and leader development experiences that enabled the superb combat performance of the Army; (3) assess where leader development might have eroded over the past ten years; (4) make recommendations to ensure leader development programs continue to develop and sustain an exceptional officer corps to operate across Army, joint, interagency, intergovernmental and multinational operations; (5) be inclusive of all Army officer cohorts to include pre-commissioning; and (6) include personnel external to the Army profession with appropriate expertise” (Adamshick 2013).

The task force analyzed several variables shaping leader development. Some of the variables included were: (1) drawdown of deployed forces; (2) force posture shift to regionally aligned forces concept; (3) end strength reduction; (4) *Army Leader Development Strategy 2013* (ALDS); (5) *Army Training Strategy* (ATS); (6) AMCS; and (7) AR 350-1 revision. The intent of the report was to recognize the many factors affecting Army officer leader development and leverage this inflection point in the Army's mission to capitalize lessons learned, proactively adjust areas of leader development that need improvement, and chart a course for developing leaders for the Army of 2020. The study identified three strategic recommendations to prepare officers to lead Army 2020: "(1) embed mission command; (2) strengthen the Army's focus of the development of others in the leader development system; and (3) transform officer career management" (Adamshick 2013, v).

The data collected through surveys and interviews established that neither the command philosophy of mission command, nor how it applies in non-operational duties is well understood in the force. While many units exercise the philosophy and principles of mission command, ample data demonstrates that mission command has not been implemented universally in the Army. Key findings of the study showed that there is still a large part of the force that is functioning or perceived by a large part of the force to be functioning in a command environment that is not guided by the principles of mission command (Adamschick 2013).

The AMCS which was published in June 2012 was the results of the LDTF findings and recommendations. The AMCS provides a common understanding, a shared vision, and a framework to achieve unity of effort for implementing mission command.

The AMCS supports the ALDS and ATS by focusing on the mission command aspects of training, education, and experiences. The AMCS provides a framework for the integration and synchronization of mission command training, education and modernization efforts. The ALDS provides vision and guidance on aligning training, education, and experiences to prepare leaders of all cohorts who exercise mission command to prevail in unified land operations (HQDA 2013a). “The ATS provides guidance for training Soldiers, leaders, Army Civilians and units to support operational adaptability and sustain readiness” (HQDA 2013b, 8).

AMCS has three strategic ends and six strategic objectives. The strategic ends are: “SE1-all Army leaders understand and practice mission command; SE2-commanders with staffs effectively execute mission command WfF tasks; and SE3-the mission command system enables commanders, staffs, and units to effectively execute the mission command WfF” (HQDA 2013b, 8). Of the three listed strategic ends, SE1 is the only one that applied to the command philosophy of mission command. The strategic objectives that support SE1 are: “SO1-all Army leaders understand the mission command philosophy; and SO2-all Army leaders are proficient in the practice of the mission command philosophy” (HQDA 2013b, 5). “Setting goals and objectives allow large and complex undertakings to be broken into manageable and feasible subsets” (Netting, Kettner, and McMurtry 1998, 233).

The AMCAP, which is currently in draft form and published as not for implementation is an extension of the AMCS. AMCAP supports the concept of the Total Force achieving AMCS strategic ends. “AMCAP established measures of effectiveness (MOEs) with standards, identified assessment indicators, and assigned roles and

responsibilities to assess the Total Force's progress in achieving the three AMCS strategic ends and six strategic objectives" (TRADOC 2014a, iv).

As previously mentioned, SE1 is the only AMCS strategic ends that applies to the command philosophy of mission command and the other two strategic ends apply to mission command the WfF. There were two AMCAP MOEs established for SE1 which are: "MOE 1-Army leaders demonstrate an understanding of the mission command philosophy during Primary Military Education-Civilian Education System; and MOE 2-Army leaders demonstrate proficiency in the practice of the mission command philosophy during training, operations, garrison and institutional activities" (TRADOC 2014a, 36). There are six standards, which align with the mission command principles that apply to both MOE 1, which TRADOC holds responsibility for execution and oversight and MOE 2, which Army leadership holds responsibility for execution and oversight (TRADOC 2014a).

The first mission command standard was develop a cohesive team through mutual trust. "The team develops confidence in the character, integrity, professional competence, commitment, and abilities of each other while engaging in the first principle of mission command, build cohesive teams through mutual trust. Team members give of their own resources and expertise to achieve shared understanding and common goals. Team leader(s) develop shared confidence by consistently employing interpersonal tact to foster effective open communication. The team, led by the team leader, completes its assigned or designated end-state with all team members contributing in their designated roles and responsibilities to the entire team effort" (TRADOC 2014a, 38).

The second mission command standard was Create a Shared Understanding. The leader builds and maintains a shared understanding through deliberate actions within the force and with unified action partners while leading the operations process. The leader establishes continuous collaboration within the force and unified action partners by developing a clear commander's intent, sharing information, questioning assumptions, exchanging ideas, resolving potential misunderstandings, and assessing progress. The leader verifies the understanding of the commander's intent, desired end state, and concept of operations using the leader's dialogue, back briefs, rehearsals, and other means. "The leader confirms the staff uses the mission command system and standard operating procedures to cultivate shared understanding by identifying critical information and fostering understanding laterally and horizontally amongst other staffs" (TRADOC 2014a, 39).

The third mission command standard was Provide Clear Commander's Intent. "The commander, with input from the staff as needed, develops, and communicates the commander's intent as a clear and concise expression of the purpose of the operation, key tasks, and the desired military end state within a maximum of three to five sentences. The commander's intent aligns with higher headquarters intent, provides focus to the staff, and helps subordinate and supporting commanders act to achieve the commander's desired results without further orders, even when the operation does not unfold as planned" (TRADOC 2014a, 39).

The fourth mission command standard was Exercise Disciplined Initiative. "The Soldier exercises disciplined initiative within the commander's intent by taking action in the absence of orders to develop an unforeseen situation, gain, maintain, or exploit a

position of relative advantage, or make progress to achieve the desired end state. Soldiers exercising disciplined initiative inform their immediate superior as soon as possible” (TRADOC 2014a, 38).

The fifth mission command standard was Use Mission Orders. “The leader develops and directs operations with a mission order by focusing on the purpose of the operation rather than on the details of how to perform assigned tasks. The leader mission order institutes the minimum controls required and allows subordinates to exercise initiative in seizing opportunities and/or to react effectively to unforeseen enemy actions and changes in the environment” (TRADOC 2014a, 39).

The sixth mission command standard was Accept Prudent Risk. “The leader accepts prudent risk during military operations to maximize the operational effects and take advantage of opportunities while minimizing potential loss of life and resources. The leader identifies advantages and costs to determine whether the deliberate exposure of the force or elements to potential injury or loss is worth the advantage of the action. The leader identifies the risks, decides what risks to accept, and mitigates the accepted risk. The leader communicates risk decisions to the force and continuously manages risk through the operation” (TRADOC 2014a, 40).

Appendix B of *AMCAP* list indicators that support the two MOEs. Some of the indicators include command climate surveys, Inspector General inspections relevant to mission command, Mission Essential Task List, and Multi-Source Assessment and Feedback. Additional indicators are Center for Army Professional Ethic, Center for Army Leadership, Civilian Education System and Combat Training Center mission command Trends (TRADOC 2014a).

The DAIG was directed by the Secretary of the Army to conduct a six-month inspection of Army Leader Development to assess understanding and implementation of Army Leader Development guidance across the total force. The findings as it pertains to mission command were: senior leaders have a better understanding of mission command principles than junior leaders. Some (eight of twenty-six) Army Commands, Army Service Component Commands, and Direct Reporting Units published mission command guidance in their training guidance. Other commanders leveraged the institutional domain to educate Soldiers and Army civilians on mission command prior to coming to the unit and then reinforced mission command with training guidance. Half (eleven of twenty) of the brigade command teams understood and incorporated mission command into training. The majority of leaders conducted training to alleviate confusion. The majority (twenty-two of thirty-eight) of the battalion command teams understood and incorporated mission command into training. Some (forty-three of ninety-seven) of the company command teams understood incorporated mission command into training. Company command teams were not as familiar with mission command. Many commanders admitted that mission command was neither “understood, nor could it be articulated” (DAIG 2014, 27).

### ALRM

The ALRM conveys the expectations that the Army wants leaders to meet. The model is based on the Be, Know and Do concept which outlines attributes and competencies that leaders should possess. The model’s components center on what a leader is (attributes) and what a leader does (competencies). “The Army encapsulates leadership at all levels by focusing on these three aspects” (Hesselbein and Shinseki 2004, 8). It is hard to discuss the Be, Know, Do competencies without mentioning the

seven Army Values which are: loyalty, duty, respect, selfless service, honor, integrity and personal courage. The Army values personify what being, knowing, and doing represent. The Army leadership concepts and overall structures are interrelated, you cannot talk about one without the other and if one is deficient or missing, than the other concepts will not be effective and ultimately fail.

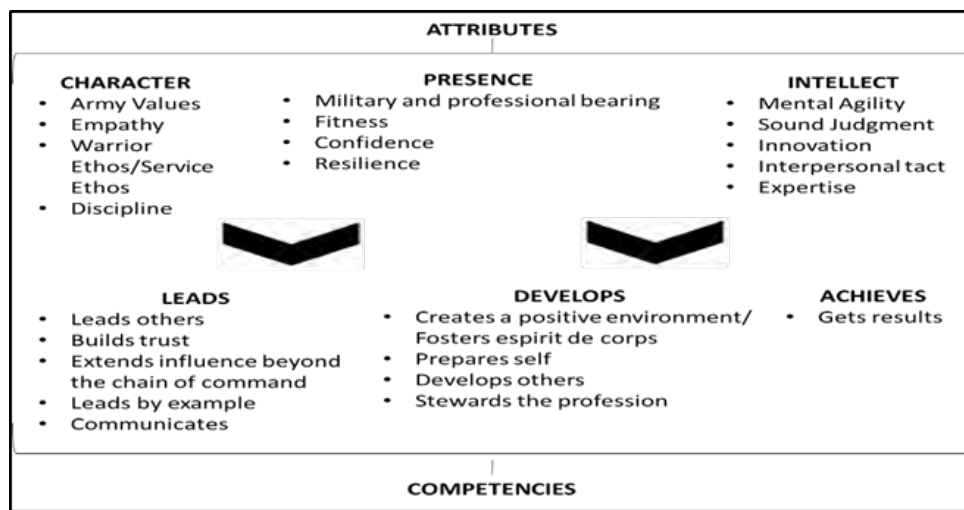


Figure 2. ALRM

Source: Headquarters, Department of the Army, Army Doctrine Publication 6-22, *Army Leadership* (Washington, DC: Government Printing Office, 2012), 5.

Leadership attributes consists of character, presence, and intellect. “These attributes represent the values and identity of the leader (character) with how the leader is perceived by followers and others (presence), and with the mental and social faculties that the leader applies in the act of leading (intellect)” (HDQA 2012f, 1-5). A leader with character displays the Army Values, empathy, warrior ethos, service ethos, and discipline. A leader with presence displays military and professional bearing, fitness,

confidence, and resilience. A leader with intellect displays mental agility, sound judgment, innovation, interpersonal tact, and expertise (HQDA 2012f).

When attempting to influence any change within the organization, character is very important for the leader or change agent to possess. “Character helps a leader determine what is right and gives a leader motivation to do what is appropriate, regardless of the circumstances and consequences. Presence is not just a matter of showing up; it involves the example that the leader portrays to inspire others to do their best and follow their lead. Intelligence draws from conceptual abilities which enable effective problem solving and sound judgment” (HQDA 2012e, 1-5).

In addition to being a leader of character, competence can play an integral role when trying to change the culture of the environment. “Competencies consists of leads, develops and achieves. Leader competence develops from a balanced combination of institutional schooling, self-development, realistic training, and professional experience. A leader that leads displays the following: leads others, builds trust, extends influence beyond the chain of command, leads by example, and communicates. A leader that develops does the following: creates a positive environment, fosters esprit-de-corps, prepares self, develop others, and stewards the profession. A leader that achieves gets results. “Competencies provide a clear and consistent way of conveying expectations for Army leaders. Leader competencies can be developed, displayed, and achieved” (HQDA 2012f, 1-6).

### Operations Process

“The Army’s framework for exercising mission command is the operations process—the major mission command activities performed during operations: planning,

preparing, executing, and continuously assessing the operation. Commanders are the most important participants in the operations process. While staffs perform essential functions that amplify the effectiveness of operations, commanders use the operations process to drive the planning necessary to understand, visualize, and describe their unique operational environments, make and articulate decisions; and direct, lead, and assess military operations” (HQDA 2012a, 1-3).

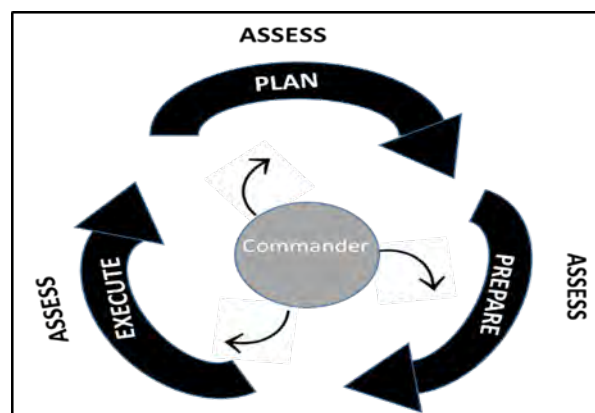


Figure 3. The Operations Process

Source: Headquarters, Department of the Army, Army Doctrine Publication 5-0, *The Operations Process* (Washington, DC: Government Printing Office, 2012), 1.

Operational Design supports commanders and staffs in their application of operational art with tools and a methodology to conceive of and construct operations and campaigns. Operational Design has three components: understanding the environment, define the problem, and operational approach. Understand the environment is the key component in identifying the problem and starting to link ends, ways, and means, as well

as to identify risk involved. The process of understand is iterative, you never actually get to a complete understanding (HQDA 2012a, 7).

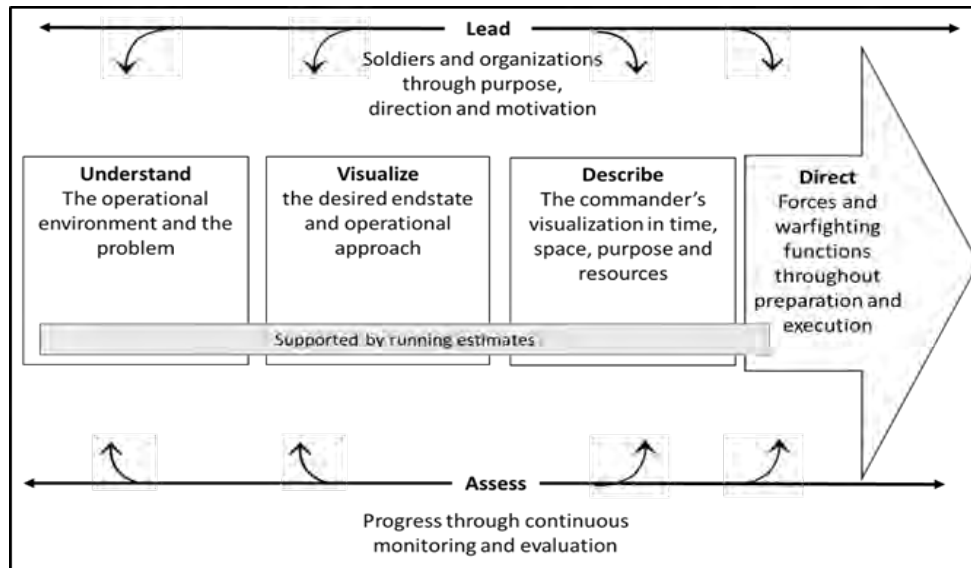


Figure 4. Commander's Role in the Operations Process

Source: Dr. Jack D. Kem, *Planning for Action: Campaign Concepts and Tools* (Ft Leavenworth, KS: U.S. Command and General Staff College, June 2013), 74.

Understanding the three levels of war, which are strategic, tactical, and operational are important to the operational process. Operational art falls into the operational level of war and supports detailed planning required for the commander to conduct mission analysis. "Operational art is the cognitive approach by commanders and staffs-supported by their skill, knowledge, experience, creativity and judgment-to develop strategies, campaigns and operations to organize and employ military forces by integrating ends, ways, and means" (Kem 2012, 42). It is through this process where the

commander gives guidance and intent to the staff for the purpose of planning and issuing guidance to subordinates.

“Commander’s visualization is the mental process of developing situational understanding, determining a desired end state, and envisioning an operational approach by which the force will achieve that end state. During visualization, commanders are using their personal knowledge and intuition, as well as collaboration with subordinates, staff, and other commanders” (Kem 2012, 49). This important component of visualize is a critical step in the Army Design Methodology. “Army Design Methodology is a methodology for applying critical and creative thinking to understand, visualize, and describe unfamiliar problems and approaches to solving them (Kem 2012, 51). “The objective in visualization is to refine the end state and to develop a broad approach to resolve a complex problem” (Kem 2012, 57). “After commanders visualize an operation, they describe it to their staffs and subordinates to facilitate shared understanding and purpose” (Kem 2012, 62).

### Kotter’s Eight-Stage Process of Creating Major Change

When attempting to implement transformational change within organizations the work of John Kotter has served as a useful guide. “Changing behavior is less a matter of giving people analysis to influence their thoughts than helping them to see a truth to influence their feelings” (Kotter and Cohen 2002, 2). There are two primary reasons why Kotter’s model of change was chosen for this research. The first reason was based on the fact that Kotter’s framework is well respected and considered a prominent change model for organizational transformation within large organizations. The second significance of Kotter’s model is because it aligns with the CSA’s leader expectations which are:

“(1) have a vision and lead change; (2) be your formation’s moral and ethical compass; (3) learn, think and adapt; (4) balance risk and opportunity to retain the initiative; (5) build agile, effective, high-performing teams; (6) empower subordinates and underwrite risk; (7) develop bold, adaptive, and broadened leaders; and (8) communicate-up, down, and laterally; tell the whole story” (HQDA 2012c, foreward). For these same reasons, Kotter’s model applies well to the Army as a whole and additionally this model has been proven to work well within large organizations undergoing far-reaching transformation.

John Kotter’s Eight-Stage Process of Creating Major Change comprises of eight overlapping steps. The framework outlines eight steps that are necessary for organizational change. Successful large-scale change is a complex affair that happens in eight stages (Kotter and Cohen 2001, 2). The first three steps of Kotter’s Eight-Stage Process creates a climate for change. The next four steps of the process engages and enables the organization to create a climate of change. The last of the Eight-Stage Process, fosters a culture to implement and sustain thee change (Kotter 1996, 22).

The eight steps identified in the Kotter model are: “(1) establish sense of urgency; (2) create the guiding coalition; (3) develop strategy and vision; (4) communicate the vision; (5) empower broad-based action; (6) generate short-term wins; (7) consolidate gains and produce more changes; and (8) anchor new approaches in the culture” (Kotter 1996, 21).

- 1) Establish sense of urgency
- 2) Create the guiding coalition
- 3) Develop s vision and strategy
- 4) Communicate the vision
- 5) Empower broad-based action
- 6) Generate short-term wins
- 7) Consolidate gain and produce more changes
- 8) Anchor new approaches in the culture

Figure 5. The Eight-Stage Process of Creating Change

Source: John P. Kotter, *Leading Change* (Boston: Harvard Business School Press, 1996), 21.

The aforementioned change model was based on Kotter's observations as to why organizations fail. Kotter identified eight most common errors that organizations plunge into in his book entitled *Leading Change*. The eight common errors identified were: "(1) allowing too much complacency; (2) failing to create a sufficiently powerful guiding coalition; (3) understanding the power of vision; (4) under-communicating the vision; (5) permitting obstacles to block the vision; (6) failing to create short-term wins; (7) declaring victory too soon; and (8) neglecting to anchor changes firmly in the corporate culture" (Kotter 1996, 16).

According to Kotter, people often try to transform organizations by undertaking only steps five, and seven, or they race through steps whether finished or not. "Successful change of any magnitude goes through all eight steps and skipping even a single step or getting too far ahead without a solid base almost always creates problems. Normally, people skip steps because they are feeling pressure to produce. The truth is, when you

“neglect any of the warm-up or defrosting activities (steps one to four), you rarely establish a solid enough base on which to proceed” (Kotter 1996, 20).

Kotter analyzed the difference between management and leadership and made it clear that there was a distinction between the two. “Management is a set of processes that can keep a complicated system of people and technology running smoothly. However, leadership is a set of processes that creates organizations in the first place or adapts them to significantly changing circumstances” (Kotter 1996, 25). With a strong emphasis on management but not on leadership, bureaucracy, and an inward focus take over. The combination of cultures that resist change and managers who have not been taught how to create change is lethal. This lethal mentality can create an over managed, under led corporate culture (Kotter 1996).

According to Kotter, making any of the eight errors common to transformation efforts can have serious consequences. Kotter outlined five consequences that result from the common transformation errors. The five consequences were: “(1) new strategies are not implemented well; (2) acquisitions do not receive expected synergies; (3) reengineering takes too long and cost too much; (4) downsizing does not get cost under control; and (5) quality programs do not deliver hoped-for results” (Kotter 1996, 16).

The first step of the Kotter’s Eight-Stage Process of Creating Major Change discussed establishing a sense of urgency. This step entails identifying and discussing crises, potential crises, or major opportunities. Establishing a sense of urgency is crucial to gaining needed cooperation. “Without enough urgency, large-scale change can become an exercise in pushing a gigantic bolder up a very small mountain” (Kotter and Cohen

2002, 15). Four steps of behavior commonly stop the launch of needed change (Kotter and Cohen 2002). “The first step is complacency, driven by false pride or arrogance. The second is immobilization, self-protection, a sort of hiding in the closet, driven by fear or panic. The third is you cannot make me move deviance, driven by anger. The last is a very pessimistic attitude that leads to constant hesitation” (Kotter 1996, 17).

Complacency can hinder establishing a sense of urgency in any organization (Kotter 1996). There are several sources of complacency that Kotter alludes to. These sources are: “(1) the absence of a major and visible crisis, (2) too many visible resources; (3) low overall performance standards; (4) organizational structures that focus employees on narrow functional goals; (5) internal measurement systems that focus on the wrong performance indexes; (6) a lack of sufficient performance feedback from external sources; (7) a kill-the messenger-of bad-news, low-candor, low confrontation culture; (8) human nature, with its capacity for denial, especially if people are already busy or stressed; and (9) too much happy talk from senior management” (Kotter 1996, 36). “Creating a strong sense of urgency usually demands bold or even risky actions people normally associate with good leadership” (Kotter 1996, 40).

The second step of Kotter’s Eight-Stage Process of Creating Major Change explained creating the guiding coalition. “A feeling of urgency helps greatly in putting together the right group to guide change and in creating essential teamwork within the group” (Kotter and Cohen 2002, 37). A powerful guiding group has two characteristics. Those characteristics are: (1) it is made up of the right people and (2) it demonstrates teamwork (Kotter and Cohen 2002, 43). “A guiding coalition with good managers but poor leaders will not succeed” (Kotter 1996, 58).

Four key characteristics seem to be essential to effective guiding coalitions. The four characteristics are: “(1) Position Power-Are enough key players on board, especially main line managers, so that those left out cannot easily block progress? (2) Expertise-are the various points of view; in terms of discipline, work experience, and nationality to the task at hand adequately represented so that informed, intelligent decisions will be made? (3) Credibility-does the group have enough people with good reputations in the firm so that its pronouncements will be taken seriously by other employees? and (4) Leadership-does the group include enough proven leaders to be able to drive the change process?” (Kotter 1996, 57).

According to the Kotter model, there are two types of people that should be avoided when putting together guiding coalitions. The first have egos that fill up a room, leaving no space for anybody else. The second are snakes, people who create enough mistrust to kill teamwork. Trust is a major component when creating teamwork. When trust is present, you will usually be able to create teamwork. When it is missing, you will not be able to create the teamwork required to build trust. “The combination of trust and a common goal shared by people with the right characteristics can make for a powerful team. Building a coalition that can make change happen consists of: (1) finding the right people; (2) creating trust; and (3) developing a common goal” (Kotter 1996, 66).

The third step of Kotter’s Eight-Stage Process of Creating Major Change described developing a vision and strategy. According to James Collins and Jerry Porras, “vision has become one of the most overused words and least understood words in the language” (Collins and Porras 2002, 218). They said an effective vision has three parts: purpose, values, and what they termed BHAG, a Big, Hairy, Audacious, Goal (Collins

and Porras 2002). “A BHAG engages people, it reaches out and grabs them in the gut” (Collins and Porras 2002, 94). A BHAG should be so clear and compelling that it requires little or no explanation” (Collins and Porras 2002, 111).

“In successful large-scale change, a well-functioning guiding team answers the questions required to produce a clear sense of direction” (Kotter and Cohen 2002, 61). Vision refers to a picture of the future with some implicit or explicit commentary on why people strive to create that future. A good vision serves three important purposes. “First, it clarifies the direction for change. Second, it motivates people to take action in the right direction. Third, it helps coordinate the actions of different people in a remarkably fast and efficient way. A vision can be mundane and simple because in successful transformations it is only one element in a larger system that also includes strategies, plans, and budgets” (Kotter 1996, 69-70).

Whether mundane sounding or not, effective visions seem to have at least six key characteristics: “(1) Imaginable-conveys a picture of what the future will look like; (2) Desirable-appeals to the long-term interests of employees, customers, stockholders and others who have a stake in the enterprise; (3) Feasible-comprises realistic, attainable goals; (4) Focused-is clear enough to provide guidance in decision making; (5) Flexible-is general enough to allow individual initiative and alternative responses in light of changing conditions; and (6) Communicable-is easy to communicate; can successfully be explained in five minutes” (Kotter 1996, 72).

Whether the organization is big or small, having a clear vision is very important. When creating a vision, there are several considerations that organizations need to consider. Kotter lists seven steps to creating an effective vision. The steps are: “(1) first

draft; (2) role of the guiding coalition; (3) importance of teamwork; (4) role of the head and the heart; (5) messiness of the process; (6) time frame; and (7) end product” (Kotter 1996, 81). What really works during this step is showing enthusiasm to help draw the right people into the group and modeling the trust and teamwork needed in the group (Kotter and Cohen 2002).

The fourth step of the Kotter’s Eight-Stage Process of Creating Major Change discussed communicating the change vision. This step entails using every vehicle possible to constantly communicate “communicate change visions and strategies effectively to create both understanding and a gut-level buy-in” (Kotter and Cohen 2002, 83). The challenge with simple and direct communications is that it requires great clarity. Vision is usually communicated most effectively when many different vehicles are used. There are seven key elements required in the effective communications of vision. The steps are: “(1) simplicity, (2) metaphor, analogy, and example; (3) multiple forums; (4) repetition; (5) leadership by example; (6) explanation of seeming inconsistencies; and (7) give-and-take” (Kotter 1996, 90). What works during this step is “keeping communication simple and using new technologies to help see the vision” (Kotter and Cohen 2002, 101).

The fifth step of Kotter’s Eight-Stage Process of Creating Major Change detailed empowering employees for broad-based action. The purpose of step five is to “empower a broad base of people by removing as many barriers to the implementation of the change vision as possible at this point in the process often the single biggest barrier is a boss or someone higher in the hierarchy” (Kotter and Cohen 2002, 104). During this step, “employees understand the vision and want to make it a reality, but are hampered by

barriers to empowerment” (Kotter 1996, 102). The barriers to empowerment are: “(1) formal structures make it difficult to act; (2) a lack of needed skills undermines action; (3) personnel and information systems make it difficult to act; and (4) bosses discourage actions aimed at implementing the new vision” (Kotter 1996, 102). The best way of removing the barriers is with the right structure, training systems, and supervisors to build on a well-communicated vision. What works during this step is “finding individuals with change experience and feedback that can help people make better vision related decisions” (Kotter and Cohen 2002, 123).

The sixth step of Kotter’s Eight-Stage Process of Creating Major Change outlined generating short-term wins. “Generating short-term wins consists of planning for visible improvements, creating those wins, and visibly rewarding people who made those wins possible” (Kotter 1996, 122). In successful change efforts, empowered people create short-term wins that nourish faith in the change effort, emotionally reward the hard workers, keep the critics at bay, and build momentum (Kotter and Cohen 2002). A good short-term win has at least three characteristics. These characteristics are: “(1) it is visible; (2) it is unambiguous; and (3 ) it is clearly related to the change effort” (Kotter 1996, 121). Short-term performance improvements help transformation in at least six ways. “First, they provide evidence that sacrifice is worth it. Second, for those driving the change, these little wins offer an opportunity to relax for a few minutes and celebrate. Third, the process of producing short-term wins can help a guiding coalition test its vision against concrete conditions. Fourth, quick performance efforts undermine the efforts of cynics. Fifth, visible results help retain the essential support of bosses. Sixth, it helps build necessary momentum” (Kotter 1996, 123). What works during this step are

“wins that are visible to as many people as possible, wins that are meaningful to others, and wins that speak to powerful players whose support you need and do not yet have” (Kotter and Cohen 2002, 141).

The seventh step of Kotter’s Eight-Stage Process of Creating Major Change illustrated consolidating gains and producing more change. This step involves using increased credibility to change all systems, structures, and policies that do not fit together and do not fit the transformation vision. It also includes hiring, promoting, and developing people who can implement the change vision and reinvigorating the process with new projects, themes, and change agents. The most common at this stage in change efforts is sagging urgency (Kotter and Cohen 2002).

The qualities characterizing a successful, major change effort are: “(1) more change, not less; (2) more help; (3) leadership from senior management; (4) project management and leadership from below; and (5) reduction of unnecessary interdependencies” (Kotter 1996, 143). Major change often takes a long time, especially in big organizations. “Because changing anything of significance in highly interdependent systems often means changing nearly everything, business transformation can become a huge exercise that plays itself out over years, not months” (Kotter 1996, 132). What works during this step is “aggressively ridding yourself of work that wears you down and looking constantly for ways to keep urgency up” (Kotter and Cohen 2002, 159).

The eighth step of Kotter’s Eight-Stage Process of Creating Major Change expounded upon anchoring new approaches in the culture. “Tradition is a powerful force. A supportive culture provides roots for the new ways of operating” (Kotter and Cohen

2002, 161). This step entails creating better performance through customer and productively oriented behavior. The step also includes articulating the connection between new behaviors and organizational success and developing means to ensure leadership development and success. “Culture plays a key role, not only during this stage, but throughout the entire transformation. Culture refers to norms of behavior and shared values among a group of people. Successful change is more fragile than people often think” (Kotter and Cohen 2002, 162). “When the new practices made in transformation effort are not compatible with the relevant cultures, they will always be subjective to regression” (Kotter 1996, 148).

“The components of corporate culture are norms of group behavior and shared values. “Norms of behavior are common pervasive ways of acting that are found in a group and that persist because group members tend to behave in ways that teach these practices to new members, rewarding those who fit in and sanctioning those who do not. Shared values are important concerns and goals shared by most of the people in a group that tend to shape group behavior and that often persist over time even when group membership changes. Regardless of level or location, culture is important because it can powerfully influence human behavior, because it can be difficult to change than norms of behavior” (Kotter 1996, 148).

In order to anchor change within the culture, Kotter suggests a good rule of thumb: “(1) comes last, not first; (2) depends on results; (3) requires a lot of talk, (4) may involve turnover; and (5) makes decisions on succession crucial. The biggest impediment to creating change in a group is culture. Therefore, the first step in a major transformation

is to alter the norms and values. After the culture has been satisfied, the rest of the change effort becomes more feasible and easier to put into effect” (Kotter 1996, 156).

*The Heart of Change* by John Kotter and Dan Cohen offered a number of case studies to illustrate how organizations can sustain change. According to Kotter and Cohen, successful change leaders find a problem or a solution to a problem and then show people using engaging and compelling situations to change behavior. They recommend a people-driven approach that helps people to see the reason for change. They argue that people change when they are shown the truth because this influences their feelings. What works during this step is “not stopping at step seven and making absolutely sure you have the continuity of behavior and results that helps a new culture grow” (Kotter and Cohen 2002, 177).

There are a few limitations and critiques of Kotter’s model that would support utilizing a different organizational change model to evaluate the Army’s plans for the implementation of mission command. Some of the limitations and critiques of the Kotter model are: (1) it is linear and organizations cannot progress without accomplishing the previous step and all steps may not be applicable or necessary for the organizational change; (2) it requires a tremendous amount of time and resources to complete all eight steps; (3) successful transformation is contingent upon having a clear vision and if the vision is not clear, then the organization is susceptible to failure; and (4) some critics suggest that the steps are out of sequence and create a vision should occur before building a guiding coalition.

## Summary and Conclusions

Mission command as a command philosophy requires drastic organizational change for the Army. This organizational change consists of change in behavior, norms, structure, and other components that support the current culture of the organization. There was a substantial amount of literature available that pertained to the history of mission command as a command philosophy. However, the literature used for this research consisted of only Army doctrine that focused on the evolution and explanation of mission command principles, framework, and implementation plans. Additionally, literature offering a detailed explanation of Kotter's Eight-Stage Process of Creating Major Change was utilized. This provided the researcher with a foundation for understanding and subsequently comparing the model to the mission command philosophy.

The majority of the literature review was devoted to Army doctrine and Kotter's Eight-Stage Process of Creating Major Change. The Army offered various regulations that explained or discussed mission command in detail. The primary source for gathering data about the Kotter model were the books entitled *Leading Change* by John Kotter, and *The Heart of Change* by John Kotter and Dan Cohen. By primarily focusing on these two areas, the researcher was able to extrapolate data and formulate a framework that integrated the Army's mission command implementation plans with steps from the Kotter model.

## CHAPTER 3

### RESEARCH METHODOLOGY

The most important action you can take on a daily basis is to communicate. Communicate your vision, your intent, your left and right limits to your Soldiers. Yes, and I mean this, even a Second Lieutenant needs to have a vision of what he or she wants to accomplish in whatever job they have. To execute the Mission Command philosophy effectively, you must foster a climate in which shared understanding, mutual trust, and a common sense of purpose are the standard every day.

— General Raymond T. Odierno, Chief of Staff of the Army  
Addressing the USMA Class of 2013

#### Introduction

The Army needs mission command to work to support a military force of the future that will fight and win the nation's wars. The purpose of this research was to analyze the Army's command philosophy of mission command and review the current doctrine that outlines how leaders should instill mission command within their organizations. In doing so, this research studied four processes identified as pertinent for analyzing the Army's mission command implementation plans. These four processes consisted of: (1) doctrine; (2) MCCoE; (3) CSA guidance; and (4) inspections and surveys to determine if Kotter's Eight-Stage Process could be integrated to better support the current implementation plans.

The main research question was: Can the Army improve their plans for inculcating mission command throughout the total force by using the Kotter Eight-Stage Process? The secondary research questions were: Why mission command? What is the Army's plan to inculcate mission command? How does the Army's plan for implementing mission command compare when assessed against the processes of

Kotter's Eight-Stage Process? Based on Kotter's process, can the Army do better with defining and inculcating mission command? Based on the research, the author was able to create a framework that can be utilized by the United States Army for further development and inculcation of the mission command philosophy.

There were several documents utilized to answer the primary and secondary research questions and which assisted the researcher with developing an analysis of the research topic. The documents that assisted the researcher were: ADPs, ADRPs, FMs, TRADOC PAMs, White Papers, "CSA Marching Orders," speeches, inspections, assessments, MCCoE, and scholarly written articles. The researcher further classified the documents into four processes, which were doctrine, CSA guidance, MCCoE, and inspections and assessments.

The importance of this research was twofold: (1) the Army's ability to successfully operate in a complex environment is contingent upon the understanding and execution of the command philosophy of mission command; and (2) the Army has not fully implemented mission command into the Army at all levels, which allowed the researcher the opportunity to offer recommendations for changes prior to the full inculcation of mission command. Based on the importance of inculcating mission command into the Army, leaders need and deserve a simple framework that translates down to all levels which allows leaders to create a climate that not only applies the operations process but also leverages the ALRM in tandem with the mission command principles.

### Research Methodology

The researcher used exploratory research design in this research to determine if the Army can improve their plan for implementing mission command in the force by viewing the process through the lens of a well-respected scholarly model of organizational change. The researcher utilized Army doctrine, scholarly published journal articles, books, and various websites to analyze and articulate this research. In doing so, the researcher sought to understand if there was additional direction that the Army could provide as the organization moves towards fully implementing mission command the command philosophy. The researcher used instrumental case study to examine the current doctrine and underlying concept of the Army's plan to implement mission command.

“Exploratory research is research conducted for a problem that has not been clearly defined. It often occurs before we know enough to make conceptual distinctions or suggest an explanatory relationship. Exploratory research helps determine the best research design, data collection method, and selection of subjects” (Singh 2007, 54). This research was exploratory in nature because it assisted the researcher with understanding the mission command philosophy, determine the feasibility of the processes, gain insight into the Army's current plan for implementing mission command, and discernment of a well-respected change model.

The primary reason behind instrumental case study was to assist the researcher with creating a framework that allows leaders and subordinates a simple tool for leveraging the mission command philosophy and implementing the philosophy within their organization (Algozzine and Hancock 2011, 16). This research was considered instrumental case study because the researcher sought to gather data from a variety of

sources with different techniques to create a rich description of a situation tightly bounded in time and place, for the purpose of supportive effective decision-making by policy makers (Creswell 1998, 61). Additionally, case study “offers a rich and detailed analysis that is grounded in deep and varied sources of information” (Algozzine and Hancock 2011, 16). In order to do this, the research involved comparing the Army’s mission command implementation plans to Kotter’s Eight-Stage Process of Creating Major Change. In doing so, the researcher was able to get a broader understanding of the processes and circumstances surrounding mission command. Upon completion of comparison, the researcher measured the Army’s mission command implementation plans through the lens of Kotter’s organizational change model using the following criteria: good in all areas, good in some areas, weak in some areas, or weak in all areas.

The standard established for good in all areas was: did the evaluated document meet all eight of the steps outlined in the Kotter model? The standard established for good in some areas was: did the evaluated document meet between six and seven steps outlined in the Kotter model? The standard established for weak in some areas was: did the evaluated document meet five steps outlined in the Kotter model? The standard established for weak in all areas was: did the evaluated document met between one and four of the steps outlined in the Kotter model?

The values assigned to the standards were: good in all areas signified by the letter grade A, good in some areas signified by the letter grade B, weak in some areas signified by the letter grade C and weak in all areas signified by the letter grade F. For example, step one of Kotter’s model is to establish a sense of urgency. The question that the researcher asked was: Did the process of published or revised doctrine establish a sense

of urgency as defined by Kotter? Did the process meet the standards outlined by Kotter? The available responses were Yes or No. Once all steps were answered, the Yes or No responses were tallied to determine if the process met the above criteria. The available options were: good in all areas, good in some areas, weak in some areas, or weak in all areas as compared to Kotter's Eight-Stage Process. Based on the answers, the Army was given a letter, which corresponded with the aforementioned criteria.

Table 1. Analysis Criteria: Initial

|               | <b>Kotter</b>                             | <b>Army</b>         | <b>Analysis</b>                          | <b>Results</b> |
|---------------|-------------------------------------------|---------------------|------------------------------------------|----------------|
| <b>Step 1</b> | Establish Sense of Urgency                | What is being done? | Did the Army meet Kotter's requirements? | Yes or No      |
| <b>Step 2</b> | Create Guiding Coalition                  | What is being done? | Did the Army meet Kotter's requirements? | Yes or No      |
| <b>Step 3</b> | Develop Vision and Strategy               | What is being done? | Did the Army meet Kotter's requirements? | Yes or No      |
| <b>Step 4</b> | Communicate the Vision                    | What is being done? | Did the Army meet Kotter's requirements? | Yes or No      |
| <b>Step 5</b> | Empower Broad Based Action                | What is being done? | Did the Army meet Kotter's requirements? | Yes or No      |
| <b>Step 6</b> | Generate Short-term Wins                  | What is being done? | Did the Army meet Kotter's requirements? | Yes or No      |
| <b>Step 7</b> | Consolidate Gains and Produce More Change | What is being done? | Did the Army meet Kotter's requirements? | Yes or No      |
| <b>Step 8</b> | Anchor New Approaches in the Culture      | What is being done? | Did the Army meet Kotter's requirements? | Yes or No      |

Source: Created by author.

Table 2. Analysis Criteria

| Process                                                      | Analysis                        | Criteria                                                                                   | Grade         |
|--------------------------------------------------------------|---------------------------------|--------------------------------------------------------------------------------------------|---------------|
| Doctrine<br>CSA Guidance<br>MCCoE<br>Inspections/Assessments | Quantity of<br>Yes<br>Responses | Good in All Areas,<br>Good in Some<br>Areas, Weak in<br>Some Areas or<br>Weak in All Areas | A, B, C, or F |

*Source:* Created by author.

### Summary and Conclusion

In order to analyze the mission command philosophy, it was important for the researcher to gather data from various sources and not rely on one source or only Army references for conducting the research. Comparing Kotter's Eight-Stage Process of Creating Major Change to the mission command implementation plans allowed the researcher to analyze best practices, compare them to the Army's current framework for inculcating mission command and offer a framework or processes that could potentially integrate steps from Kotter's Eight-Stage Process into the current mission command implementation plans developed by the Army for the purpose of training the Total Force.

## CHAPTER 4

### ANALYSIS

#### Introduction

Our need to pursue, instill, and foster mission command is critical to our future success in defending the nation in an increasingly complex and uncertain operating environment.

— General Martin E. Dempsey, “Mission Command”

The Army needs mission command to work to support a military force of the future that will fight and win this nation’s wars. The purpose of this research was to analyze the Army’s command philosophy of mission command and review the current doctrine that outlines how leaders should instill mission command within their organizations. In doing so, this research studied four processes identified as pertinent for analyzing the Army’s mission command implementation plans. These four processes consisted of: (1) doctrine; (2) MCCoE; (3) CSA guidance; and (4) inspections and surveys to determine if Kotter’s Eight-Stage Process could be integrated to better support the current implementation plans.

The main research question was: Can the Army improve their plans for inculcating mission command throughout the total force by using the Kotter Eight-Stage Process? The secondary research questions were: Why mission command? What is the Army’s plan to inculcate mission command? How does the Army’s plan for implementing mission command compare when assessed against the processes of Kotter’s Eight-Stage Process? Based on Kotter’s process, can the Army do better with defining and inculcating mission command? Based on the research, the author was able to

create a framework that can be utilized by the United States Army for further development and inculcation of the mission command philosophy.

There were several documents utilized to answer the primary and secondary research questions and which assisted the researcher with developing an analysis of the research topic. The documents that assisted the researcher were: ADPs, ADRPs, FMs, TRADOC PAMs, White Papers, “CSA Marching Orders,” speeches, inspections, assessments, MCCoE, and scholarly written articles. The researcher further classified the documents into four processes, which were doctrine, CSA guidance, MCCoE, and inspections and assessments.

The importance of this research was twofold: (1) the Army’s ability to successfully operate in a complex environment is contingent upon the understanding and execution of the command philosophy of mission command; and (2) the Army has not fully implemented mission command into the Army at all levels, which allowed the researcher the opportunity to offer recommendations for changes prior to the full inculcation of mission command. Based on the importance of inculcating mission command into the Army, leaders need and deserve a simple framework that translates down to all levels which allows leaders to create a climate that not only applies the operations process but also leverages the ALRM in tandem with the mission command principles

### Chapter Organization

The researcher organized this chapter into two sections. The first section outlined the primary research question. The second section outlined the secondary research questions. In doing so, the researcher analyzed the Army’s mission command

implementation plans, which included procedures and documents included in those procedures through the lens of the eight steps outlined in Kotter's Process of Creating Major Change. The researcher ended this chapter with a conclusion and summary explaining the analysis and findings of the overall research.

### Research Question

#### Primary Research Question

The primary research question analyzed was: Can the Army improve their plans for implementing mission command in the force by using the Kotter's Eight-Stage Process of Creating Major Change? "Doctrine is dynamic and changing based on lessons learned in current operations and training, adaptive enemies and changes in force structure, technology, and social values" (HQDA 2014a, 9). To capitalize on understanding this question, the following military doctrine was utilized which afforded the researcher an opportunity to better understand the Army's current plan for implementing mission command. TRADOC PAM 525-3-3, CSA Vision and ADP/ADRP/FM 6-0 were also significant sources which assisted the researcher with answering the primary research question. In addition to the aforementioned doctrine, the researcher utilized resources from the MCCoE, AMCS, LDTF, and the AES. The following assessments also provided the researcher with valuable knowledge: DAIG Army Leader Development Inspection, AMCAP, Center of Army Profession and Ethic, and General Dempsey's "Mission Command" White Paper. According to Army doctrine referenced by the author during this research, mission command is defined as "the exercise of authority and direction by the commander using mission orders to enable

disciplined initiative within the commander's intent to empower agile and adaptive leaders in the conduct of unified land operations" (2014c, 13).

Given the extensive research conducted as it pertains to the command philosophy of mission command, there seems to be some ambiguity surrounding the philosophy. The first item of interest that was addressed was the DAIG report, which identified that "senior leaders have a better understanding of mission command principles than junior leaders" (DAIG 2014, 21). The same report also concluded that "senior leaders relied upon the institutional domain to educate Soldiers and civilians on mission command prior to coming to the unit" (DAIG 2014, 21). Here is where a significant problem presents itself with the current implementation plans of mission command. If AMCS has not fully implemented mission command into all levels of AES and leaders are expecting subordinates to report with an understanding of mission command, where and when are Soldiers and civilians supposed to learn the concept?

Keeping that in mind, the term mission command must be addressed or analyzed. Another problem presents itself when analyzing the term mission command because it is a homonym. Homonym is defined as "one of a group of words that share the same spelling and pronunciation but have different meanings" (Dictionary.com 2015). Mission command is not only a command philosophy (the art) but also a WfF (the science) which can lead to some confusion when trying to explain the concept to leaders and subordinates. Another problem that presents itself with the command philosophy of mission command, is that there is not one single source for understanding and implementing the command philosophy.

Mission command is not a stand-alone concept, in order for mission command to work effectively, it must be integrated within the operations process as outlined in ADP 3-0. “During the Operations process, commanders apply the Army Design Methodology and use the elements of operational art when developing and describing the commander’s visualization. “Commander’s visualization is the mental process of developing situational understanding, determining a desired end state, and envisioning an operational approach by which the force will achieve that end state” (Kem 2012, 49). Mission orders are key to mission command. Through mission orders, commander’s give their intent and guidance to their subordinates (the what) and subordinates determine the actions required (the how) to meet that commanders intent and accomplish the mission.

When looking at the mission command principles, one would think the concept was a stand-alone concept but when you further examine, you realize that in addition to application of the Operations Process and the prescribed definition and principles, leaders and subordinates must also utilize the Army Leadership Requirement Model to understand and implement the philosophy. The command philosophy of mission command can almost be viewed as a system. “A system is a functionally related group of elements forming a complex whole or a relevant environment” (Eikmeier 2014, 15). “These systems are all distinct but together they form a complex environment” (Eikmeier 2014, 15).

Based on the aforementioned problems that mission command presents and figure 6, the researcher believes that there may be slight ambiguity associated with the command philosophy of mission command. If the frameworks associated with mission command are the operations process and the ALRM that are outlined in separate doctrine,

then is it fair to say that in order to understand and execute the philosophy one would need to have knowledge of the two guiding frameworks.

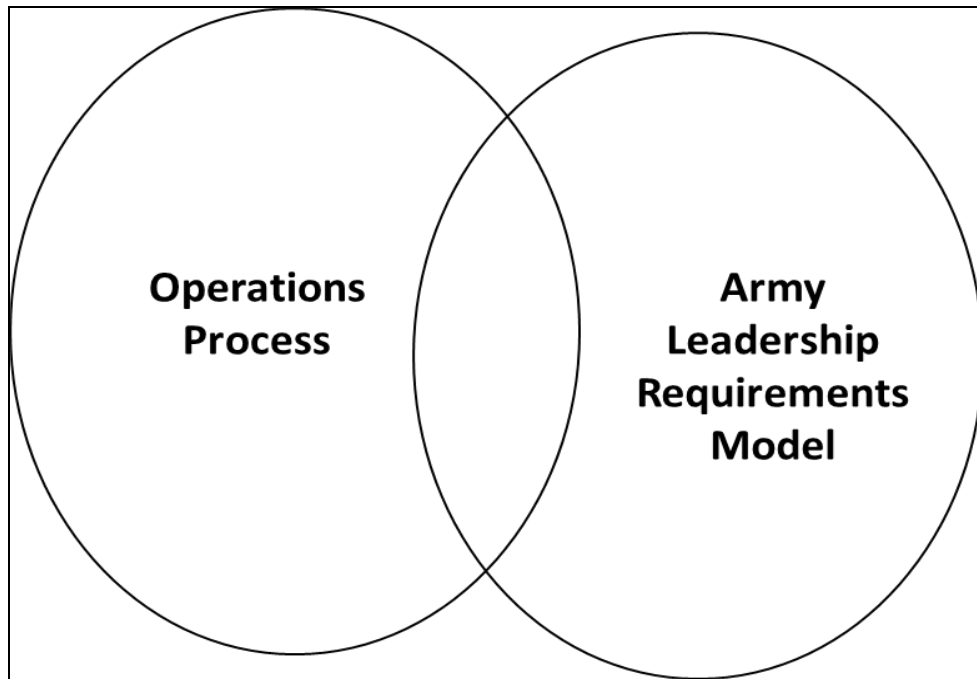


Figure 6. Overlap of Frameworks

*Source:* Created by author.

In reviewing figure 6, the overlap or interconnectedness between the operations process, ALRM, and mission command principles can be seen. The above figure will serve as a point of reference throughout and assist the researcher with understanding that the Army's implementation plans for mission command should include the integration of both frameworks either prior to or during the initial stage of teaching the philosophy to ensure Soldiers down to the lowest level understand the relation between the two frameworks and the philosophy. The above figure also serves as a visual tool for

explaining some of the complexities of implementing the command philosophy of mission command and how the Army can use the processes of Kotter's Eight-Stage Process to better execute their plan. According to leadership paper written by U.S. Army Command and General Staff College student, Major Gregory Blom, mission command and Army leadership doctrine needs alignment. Major Blom suggested modifying the current ALRM to better support the principles outlined in the command philosophy of mission command (Blom 2015).

### Secondary Research Questions

The secondary research questions were: Why mission command? To better understand the importance of mission command, the researcher used the "CSA Marching Orders," which included "Waypoint #1," and "Waypoint #2," and scholarly written articles that outline the importance of mission command in today's Army. The CSA's major objectives for the future include: (1) Adaptive Army Leaders for a Complex World; (2) A Globally Responsive and Regionally Engaged Army; (3) A Ready and Modern Army; (4) Soldiers Committed to Our Army Profession; and (5) The Premier All-Volunteer Army (CSA 2012).

The traits that the Army's CSA envisioned for adaptive Army leaders for a complex world are:

Continue to foster the individual toughness, battlefield skill, and fighting spirit that have always typified the American Soldier.

Educate and develop all Soldiers and civilians to grow the intellectual capacity to understand the complex contemporary security environment to better lead Army, Joint, Interagency, and Multinational task forces and teams.

Evolve the Total Army (active Army, the Army National Guard, and the U.S. Army Reserve) school system to provide the right education and training to the

right individuals at the right time, while broadening joint and interagency school and exchange opportunities to assure a common knowledge of Unified Action partner capabilities.

Retain tactical competence and technical proficiency while cultivating strategic perspective and leadership from senior Non-Commissioned Officer, to field grade officers, to general officer ranks.

Actively manage talent (assignments and education) to broaden leader experience and better align individual desires with Army requirements.

Institute new evaluation and assessment tools that enable Army leaders to more clearly identify the best talent and encourage leaders to seek self-improvement. (CSA 2014)

The traits that the Army's CSA envisioned for a globally responsive and regionally engaged Army are:

A Globally Responsive Army:

Downsize, transition, and then sustain a smaller, but ready and capable Total Army that provides Joint and Combined forces with expeditionary and enduring land power for the range of military operations and features unique competencies such as operational leadership, mobility, command and control, and theater logistics at all echelons.

Rapidly deploy, fight, and win whenever and wherever our national interests are threatened.

Maintain a responsive force posture and effective network of installations and capabilities at home and abroad to protect U.S. interests and those of our Allies.

Aggressively pursue improvements to deployment processes to eliminate institutional impediments and expedite movement of ready forces in response to Global Combatant Command requirements.

Support the Joint Force with critical enablers such as aviation, intelligence engineers, logistics, medical, signal, and special operations; both while en-route to, and operating within, expeditionary environments alongside Unified Action Partners. (CSA 2014)

Regionally Engaged Army:

Provide deployable and scalable regionally focused Army forces task organized for direct support of Geographic and Functional Combatant Commands and Joint requirements.

Shape and set theaters for regional commanders employing unique Total Army characteristics and capabilities to influence the security environment, build trust, develop relationships, and gain access through rotational forces, multilateral exercises, mil-to-mil engagements, coalition training, and other opportunities.

Assure the readiness of forward-deployed and rotational forces in support of the Defense Strategic Guidance.

Deepen regional understanding in line with Regionally Aligned Forces by Soldiers, leaders, and units to sharpen tactical, operational and strategic planning and operations.

Continue to improve Special Operation-Conventional Forces interdependence and integration in pursuit of a Prevent-Shape-Win strategy. (CSA 2014)

The traits that the Army's CSA envisioned for a ready and modern Army are:

#### A Ready Army:

Train and equip the Total Army to rapidly deploy, fight, sustain itself, and win against complex state and non-state threats in austere environments and rugged terrain (the expeditionary mindset).

Ensure the right mix of operationally ready and responsive Total Army forces and capabilities to meet emergent Global Combatant Command requirements while maintaining an operational and strategic land power reserve.

Rebuild the Army's combined army maneuver and wide-area security capabilities employing our CTCs to challenge and certify Total Army formations in a comprehensive and realistic decisive action training environment.

Conduct tough, realistic multi-echelon home station training utilizing live, virtual, and constructive capabilities to efficiently and effectively assure individual, leader and unit competencies.

Leverage multi-echelon Joint and Multi-National command post exercises, staff rides, simulations, and MCTP-supported training events to produce regionally capable JFLCC and JTF headquarters. (CSA 2014)

#### A Modern Army:

Prioritize Soldier-centered modernization and procurement of proven technologies so that Soldiers have the best weapons, equipment, and protection to accomplish every mission.

Seek fundamental improvements to Soldier and unit system lethality, survivability, mobility, and network functionality to ensure the American Soldier remains the most discriminately lethal force on the battlefield.

Focus Science and Technology investment to maximize the potential of emerging game-changing land power technologies to counter emerging threats and to ensure that the Army formations retain a decisive materiel edge and tactical overmatch across the range of military operations, to include missions such as cyber, space, CWMD, and Weapons of Mass Destruction Elimination.

Ensure that Army units are prepared for new, emerging and evolving missions in areas such as space, cyberspace, missile defense, and countering Weapons of Mass Destruction. ( CSA 2014)

The traits that the Army's CSA envisioned for: Soldiers committed to our army profession are:

Preserve the earned trust of the American people and their confidence in our Army.

Enforce a professional environment across our Army, free of harassment that promotes and respects the individual dignity of all Soldiers and civilians, allowing them to realize their full potential.

Renew the foundation of our Army's strength by daily living the Values of our Profession and exhibiting the character, competence and commitment that are hallmarks of an Army Professional.

Build the comprehensive physical, mental, emotional, and spiritual resiliency of our Soldiers, civilians and their families to enable them to thrive personally and professionally.

Serve as a Total Army: Soldiers, civilians and families of the Active Army, the Army National Guard, and the U.S. Army Reserve, who share the same professional ethic and commitment to the defense of our nation and way of life.

Accentuate the military expertise, honorable service, esprit de corps, and professional stewardship that mark our Army's heritage as the defender of our Nation in peace and war, since 1775. The 187 Campaign Streamers that adorn the Army flag today are proud testimony to our Army's service. CSA 2014)

The traits that the Army's CSA envisioned for the premier all-volunteer army are:

Honor the service and sacrifice of our veterans, retirees, wounded warriors and families by preserving the highest possible quality of life, on our installations, and wherever Soldiers serve and live. Assist Soldiers transitioning out of Army

service to return to civilian occupations successfully. “Once a Soldier, Always a Soldier.”

Support a level of Regular Military Compensation (RMC), retirement, and health care that assures the highest quality Soldiers and civilians are recruited and incentivized to remain with the Army for a career in uniform, and a lifetime of service through retirement.

Uphold the Army’s responsibility to provide benefits and high-quality services such as MWR, education assistance, exchanges, housing, dependent schools, commissaries, and child and youth programs that are components of a professional force dedicated to the Army for the long term. (CSA 2014)

When analyzing the Army CSA major objectives the command philosophy of mission command resonates throughout. The CSA has made leadership his number one priority and mission command is a leadership concept. Without placing the correct emphasis, training, and importance of mission command on today’s leader, the philosophy will not mature beyond the current stage that is it operating under and thus lose any momentum that is required to implement the plans. The objectives outlined by the CSA are not a catchall and they may not have been intended to do so, but they are a force multiplier towards the hopes of operating in a complex environment with agile and adaptive leaders.

What is the Army’s plan to instill mission command? To understand the Army’s plan for introducing mission command, the researcher analyzed the MCCoE, AMCS, ALDS, AMCAP, and TRADOC PAM 525-3-3. How does the Army’s plan for implementing mission command compare to Kotter’s Eight-Stage Process? To analyze this concept, the researcher compared the various mission command implementation plans to Kotter’s Eight-Stage Process of Creating Major Change. The researcher asked two questions which assisted with evaluating the implementation plans against the

processes of the Kotter model. The two questions were: (1) What is being done by the Army; and (2) How well did the Army do when compared to Kotter?

Based on Kotter's Eight-Stage Process, can the Army do better with defining and inculcating mission command? In order to answer this question, the researcher established a scale for comparing the mission command principles to Kotter's Eight-Stage Process of Creating Major Change. The scale compared the Kotter processes to the current implementation plans published by the Army. The criteria for comparing the processes were good in all areas, good in some areas, weak in some areas, or weak in all areas.

The researcher used the above-mentioned criteria and analyzed the Army's various processes for implementing mission command through the lens of Kotter's Eight-Stage Process. The researcher deemed four processes that included various documents pertinent for analyzing the command philosophy of mission command. The four processes included published and revised doctrine, "CSA Marching Orders," MCCoE and Army LDTF/inspections/assessments. Published and revised doctrine consisted of ADPs, ADRPs, and TRADOC PAMs that explained mission command. The "CSA Marching Orders" included "Waypoint # 1" and "Waypoint #2," various speeches, forums, and additional guidance outlined by the CSA deemed necessary for the Army of the future. Analysis of the MCCoE consisted of analyzing the Army's strategy for implementing mission command, various MCCoE brochures, and the MCCoE website that supports the command philosophy. LDTF, inspections, and assessments consisted of the DAIG mission command inspection, the CSA mandated LDTF, and AMCAP.

This research analyzed four processes of the Army's mission command implementation plans. The four identified processes were: (1) doctrine; (2) CSA guidance; (3) establishment of MCCoE; and (4) inspections and assessments. In doing so, the four processes were analyzed through the lens of Kotter's Eight-Stage Process. The analysis was conducted by individually running the four processes that included supporting documents and concepts through each step of the Kotter model. By doing this, the researcher was able to measure how the Army's mission command implementation plans compared to Kotter's Eight-Stage Process and how Kotter would measure the steps the Army has taken to promote organizational change.

In 2012, the Army introduced new and revised doctrine that specifically provided leaders and subordinates with tangible guidelines for executing the command philosophy of mission command. Doctrine was the first process analyzed through the lens of Kotter's Eight-Stage Process of Creating Major Change. Doctrine analyzed for this research included pertinent Army doctrine that detailed or explained the command philosophy of mission command. The documents supported by and reviewed during this process were ADP 6-22, ADRP 6-22, FM 6-22, ADP 6-0, ADRP 6-0, FM 6-0, ADP 3-0, ADRP 3-0, ADP 5-0, ADRP 5-0 and TRADOC PAM 525-3-3. This was a long and tedious process because the researcher evaluated all four processes, to include supporting documents through each of the eight steps that Kotter deemed necessary for organizational change.

The analysis started with step one by evaluating doctrine through the lens of Kotter's model. Did published and revised doctrine, the first reviewed process, establish sense of urgency? The research conducted said yes; publishing new doctrine and revising previous doctrine can be considered a bold or risky action that Kotter explained as being

important during step one. Additionally, this process can also eliminate complacency that Kotter mentioned as one of the barriers to create sense of urgency.

The researcher then reviewed the CSA's guidance through the lens of step one of the Kotter model. The researcher labeled the CSA's guidance as the second process included in the Army's mission command implementation plan. The CSA's guidance included his "Marching Orders," which was published in 2012, his "Waypoint #1," which was published in 2013, "Waypoint #2," which was published in 2014, and the CSA's AUSA speech that was delivered in 2014.

Did the second reviewed process, which included the CSA's overall vision for the Army of the future, create a sense of urgency? Very similar to the sense of urgency that doctrine created, the CSA guidance did likewise. The CSA is one of the highest positions in the Army and when he endorsed decentralized command as the future of the Army, it sent a message to everyone and created the senses of urgency that Kotter outlined in his change model. The CSA used adaptive leadership to further create sense of urgency that circulated throughout the Army.

Establishment of the MCCoE was the third process analyzed through the lens of Kotter's Eight-Stage Process. During this analysis, the MCCoE documents on the website, brochures, mission statement, and AMCS were reviewed to determine what the Army had already accomplished and intended to accomplish moving forward. AMCS was the most supportive and in depth document provided by MCCoE which assisted the researcher with gathering valuable information that pertained to the Army's overall plan and way ahead for the implementation of mission command.

Did the third reviewed process, which was the establishment of MCCoE, create sense of urgency? Kotter discussed the importance of see, feel, and change throughout all eight steps of his model. However, the see was outlined as being important during step one of creating sense of urgency. Based on the importance of see, establishing MCCoE did just that. The MCCoE website provides detailed reports that support and facilitate a sense of urgency and ultimately promote mission command throughout the total force.

Analysis of step one concluded with LDTF, inspections, and assessments previously conducted by the Army over the past three years. LDTF was the direct result of the CSA putting together a team of credible and experienced personnel and agencies to analyze mission command. LDTF, inspections, and assessments pertained to the command philosophy of mission command and how well the Army was or was not doing with their implementation plan. The inspections included the DAIG mission command inspection and CSA's LDTF. The assessment utilized for this research was AMCAP, which was a result of the CSA's LDTF.

Did the fourth reviewed process, which was inspections and assessments, create sense of urgency? Based on analysis of Kotter's model, LDTF, inspections and assessments do not fall within the realm of creating a sense of urgency. Therefore, the answer is no; inspections and assessments did not create a sense of urgency. Inspections and assessments support later steps outlined in Kotter's Eight-Stage Process.

The analysis continued with step two and evaluated doctrine through the lens of Kotter's model. Did the first reviewed process, which comprised of important doctrine that outlines and details the command philosophy of mission command, create the

guiding coalition? The same doctrine that was analyzed during the previous process was also analyzed during this process.

Kotter listed four characteristics required for accomplishment of this step. The four characteristics were: (1) enough key players on board; (2) experts from various points of view, (3) credibility; and (4) proven leaders. Based on the aforementioned characteristics, the answer was yes; the Army did create a guiding coalition during the doctrine phase of their implementation plans.

Step two analysis continued with the review of the second process of the Army's mission command implementation plan, which was the CSA's guidance. The CSA's guidance was analyzed through the lens of step two of the Kotter's model. The analysis included the same documents that were analyzed in step one of this research.

Did the second reviewed process, which consisted of CSA's guidance, create the guiding coalition? The CSA's marching orders, waypoints, and speeches captured the same momentum and depicted the same characteristics as doctrine. Kotter mentioned three steps necessary during this step. The three steps were: (1) find the right people; (2) develop trust; and (3) create common goal. With that being said, the CSA guidance did create the guiding coalition required to implement change.

The next process analyzed through the lens of step two of the Kotter model was establishment of MCCoE. As with the previous processes, the same documents used during step one were used during this step. AMCS was published by MCCoE and provided a significant amount of data required for this research.

Did the third reviewed process, which was establishment of MCCoE, build the guiding coalition? Establishing MCCoE allowed the Army to assemble a credible team

that was able to work together and form the trust required to build the guiding coalition. Based on to these two initiatives, the answer is yes; establishing the MCCoE did build the guiding coalition.

Analysis of step two concluded with LDTF, inspections, and assessments previously conducted by the Army over the past three years. DAIG mission command inspection and LDTF were both mandated evaluation tools that provided the Army with feedback on the command philosophy of mission command. AMCAP was a direct result of the findings from the LDTF.

Did the fourth reviewed process which was LDTF, inspections, and assessments build the guiding coalition? The LDTF was assembled from various agencies and departments with the Army. Inspections and assessments consisted of the three characteristics that Kotter detailed as being important to create the guiding coalition. Because these two initiatives met all three of those characteristics, the answer was yes; LDTF, inspections, and assessments did build the guiding coalition.

Analysis of step three of the Kotter model started with the first process, which was doctrine. The research analyzed doctrine through the lens of step three of the Kotter model. The same doctrine that was analyzed during the previous process was also analyzed during this process.

Did published and revised mission command doctrine develop a vision and strategy? Vision can offer clarification and provide coordination required to produce the desired change. Additionally, strategy can motivate and promote the desired change. Based on these observations, the answer is yes; published and revised doctrine did develop a vision and strategy.

Did the second reviewed process, which was the CSA's guidance, develop a vision and strategy? As the aforementioned process of doctrine, the CSA's guidance outlined a clear vision and strategy for the Army of the future. The key component of the CSA's guidance was it displayed the six characteristics that Kotter stated are necessary during this step. The six characteristics were: (1) imaginable; (2) desirable; (3) feasible; (4) focused; (5) flexible; and (6) communicable.

Did the third reviewed process, which was establishment of MCCoE, develop a vision and strategy? As with the previous processes of doctrine and CSA guidance, establishing the MCCoE adhered to step three of the Kotter model. Establishing the MCCoE did in fact develop a vision and strategy as outlined in the Kotter model. Kotter listed seven steps required for creating a vision and analysis. After analysis, it was determined that step seven, which was create an end product, supported the establishment of MCCoE. The work being conducted by MCCoE has evolved and is an enduring effort as the Army moves towards Total Force implementation of the command philosophy of mission command.

Did the fourth reviewed process, which was LDTF, inspections, and assessments, develop a vision and strategy? Inspections and assessments conducted by the Army were viewed as not being relevant to every step of the Kotter model. With that being said, LDTF, inspections, and assessments did not develop vision and strategy.

Analysis of step four of the Kotter model started with the first process, which was doctrine. The research analyzed doctrine through the lens of step four of the Kotter model. The same doctrine that was analyzed during the previous process was also analyzed during this process. Did published and revised doctrine communicate the

change vision? Kotter listed seven key elements required to effectively communicate a vision. When analyzed against the purpose of creating and revising doctrine, element one: simplicity; and element six: explanation of inconsistencies; assisted with a yes response as to whether or not this process communicated the change vision.

Did the CSA's guidance communicate the change vision? Step four of the Kotter is very important for buy-in of the vision and strategy. Keeping with the seven characteristics that Kotter described as key for effectively communicating a vision, element three-multiple forums, and element four-leadership by example, assisted with being able to say yes to this process. Did establishment of MCCoE communicate the change vision? Once again, all seven elements can support establishment of MCCoE. However, element six-explanation of inconsistencies, and element seven-give and take, lend credence to how the establishment of the MCCoE communicated the change vision.

Did inspections and assessments communicate the change vision? As with step three; LDTF, inspections, and assessments, do not communicate the change vision as outlined in Kotter's model. This process has significance in later steps of the model but does not support standards outlined in the earlier steps of the model.

Analysis of step five of the Kotter model started with the first process, which was doctrine. The research analyzed doctrine through the lens of step five of the Kotter model. The same doctrine that was analyzed during the previous process was also analyzed during this process. Did doctrine empower broad based action? Yes, because doctrine provided leaders and subordinates with a tangible item that will be able to support continuous education of the command philosophy and it also remove of barriers

that can exist due to lack of knowledge or education about the vision, strategy, and change.

Did the CSA's guidance empower broad based action? In addition to publishing his marching orders and waypoints, the CSA also sought feedback from the leaders and subordinates through speeches and forums. Because the military is a hierarchical organization, sometimes rank can cause a barrier, but the CSA's guidance provided an example to remove any barriers that may prevent the promotion and execution of organizational change he envisioned for the Army of the future.

Did creation of MCCoE empower broad based action? The establishment of MCCoE was a force multiplier for the previous processes and enhanced the overall implementation of the plan. Establishment of the MCCoE did empower broad based action because it removed barriers and gave leaders and subordinates a resource that they can utilize to learn about the philosophy

Did LDTF, inspections, and assessments empower broad based action? Yes, the inspections and surveys emphasized empowerment of broad based action. The inspections and surveys conducted were all inclusive and encompassed leaders and subordinates. Additionally, the LDTF included personnel from various agencies that fostered and promoted the empowered broad base action required for organizational change. The publication of AMCAP after conducting surveys and inspections supported those views expressed by leaders and subordinates and could have facilitated empowerment of broad based action.

Analysis of step six of the Kotter model started with the first process that was doctrine. The research analyzed doctrine through the lens of step six of the Kotter model.

The same doctrine that was analyzed during the previous process was also analyzed during this process. Did published and revised doctrine generate short-term wins? This step is about creating wins and rewarding. Doctrine did not generate short term-wins. According to Kotter, the characteristics for generating short-term wins are (1) visible; (2) unambiguous; and (3) related to change.

Did CSA's guidance generate short-term wins? No, the CSA did not address short-term wins as defined by Kotter in his marching orders or waypoints. Did establishment of MCCoE generate short-term wins? One could argue that the establishment of MCCoE generated short-term wins because of visibility and unambiguity. However based on how Kotter would define short-term wins, establishment of MCCoE would also fail at step six. Did LDTF, inspections, and assessments generate short-term wins? LDTF, inspections, and assessments were conducted to create short-term wins but not sure that it generated short-term wins as defined by Kotter. All four processes that encompass the Army's mission command implementation plan failed at step six of the Kotter model.

Analysis of step seven of the Kotter model started with the first process, which was doctrine. The research analyzed doctrine through the lens of step seven of the Kotter model. The same doctrine that was analyzed during the previous process was also analyzed during this process. Did published and revised doctrine consolidate gains and produce more wins? Yes, it showed more change and not less, and offered more help and guidance. It also offered a change to processes and structures do not align with decentralized command.

Did the CSA's guidance consolidate gains and produce more wins? Yes, it showed leadership from senior management and reduction of unnecessary interdependencies. Did establishment of MCCoE consolidate gains and produce more wins? Yes, MCCoE analyzed previous practices and eliminated and revised processes that will no longer work when operating under decentralized command. Did LDTF, inspections, and assessments consolidate gains and produce more wins? Yes, it fostered management and leadership from below and purged the Army of practices that wear down the overall organizational change

Analysis of step eight of the Kotter model started with the first process, which was doctrine. The research analyzed doctrine through the lens of step eight of the Kotter model. The same doctrine that was analyzed during the previous process was also analyzed during this process. Did published and revised doctrine anchor new approaches in the culture? No, published or revised doctrine did not anchor new approaches to the culture as expressed in Kotter's model because none of the doctrine analyzed articulated or linked the impact that behavioral change can have on organizational change. Did the CSA's guidance anchor new approaches in the culture? No, the CSA guidance did not anchor new approaches to the culture because it did not address the linkage between the impact that culture of the organization has on people's ability to grasp and embrace new ideas.

Did establishment of MCCoE anchor new approaches in the culture? No, the research did not provide any evidence or supporting documentation that showed MCCoE addressed the importance of altering norms or values. Mission command is a values based concept that requires a change in the entire culture and without embracing that

ideology, you cannot expect new approaches to occur in the culture. Did LDTF, inspections, and assessments anchor new approaches in the culture? Yes, it provided a tool that served as catalyst for understanding the disconnect between what leaders think and what subordinates know as it relates to the command philosophy of mission command. Kotter said results are one of the rules of thumb during this stage and inspections and assessments provide results.

Table 3. Analysis and Findings

| Processes Evaluated               | Kotter: Step 1 Establish Urgency | Kotter: Step 2 Create Coalition | Kotter: Step 3 Develop Vision | Kotter: Step 4 Communicate Vision | Kotter: Step 5 Empower Broad Based Action | Kotter: Step 6 Generate Short-Term Wins | Kotter: Step 7 Consolidate Gains | Kotter: Step 8 Anchor New Approaches | Findings   | Results            | Grade |
|-----------------------------------|----------------------------------|---------------------------------|-------------------------------|-----------------------------------|-------------------------------------------|-----------------------------------------|----------------------------------|--------------------------------------|------------|--------------------|-------|
| 1) Doctrine                       | ✓                                | ✓                               | ✓                             | ✓                                 | ✓                                         | ✗                                       | ✓                                | ✗                                    | 6 out of 8 | Good in Some Areas | B     |
| 2) CSA Vision                     | ✓                                | ✓                               | ✓                             | ✓                                 | ✓                                         | ✗                                       | ✓                                | ✗                                    | 6 out of 8 | Good in Some Areas | B     |
| 3) MCCoE                          | ✓                                | ✓                               | ✓                             | ✓                                 | ✓                                         | ✗                                       | ✓                                | ✗                                    | 6 out of 8 | Good in Some Areas | B     |
| 4) LDTF/ Assessments/ Inspections | ✗                                | ✓                               | ✗                             | ✗                                 | ✓                                         | ✗                                       | ✗                                | ✓                                    | 3 out of 8 | Weak in all areas  | F     |

Source: Created by author.

### Summary and Conclusions

When comparing the Army's plans or processes for inculcating mission command throughout the total force to Kotter's Eight-Stage Process of Creating Major Change, there appeared to be a significant gap or oversight. The particular gap or oversight that was identified when compared to Kotter's Eight-Stage Process was step six which is generate short-term wins. After reviewing the four processes that the researcher deemed

as significant aspects of the Army's mission command implementation plans, none of the processes clearly identified or mentioned how, or if, the Army planned on generating short-term wins. Based on Kotter's model, the Army missed a step and in order for organizational change to be successful, all steps must be adhered to in the sequential order outlined by Kotter. According to Kotter, creating short-term wins is balance by good leadership and good management. Kotter saw the significance that leaders and managers play when trying to promote major change within a large organization.

The overall analysis of the Army's current mission command implementation plans displayed that the Army has a good basis for moving towards decentralized command. The comparison of the four processes to Kotter's eight steps gave the organization an overall rating of good in some areas with a letter grade of B in three of the four processes. The processes that received a letter grade of B were: doctrine, CSA guidance and MCCoE. The fourth process which consisted of LDTF, inspections, and assessments received weak in all areas (three out of eight) and a letter grade of F. This supports one of the critiques of Kotter's model that a particular organization may not need to accomplish all steps to impact change. Based on the analysis, the main points that Kotter may suggest to the Army are the following: (1) the Army's processes are all over the place and do not follow the sequential standard that Kotter suggest; (2) the current implementation plan does not specifically address step six of his model, which is generate short-term wins; and (3) the overall plan needs to be simplified so it is understood at every level of leadership throughout the total force.

## CHAPTER 5

### CONCLUSIONS AND RECOMMENDATIONS

While the Army's ability to develop leaders is already a competitive advantage for our Nation, we are confident the steps we are taking will further enhance leader skills while also improving the management of our talent and fortifying ethical behavior. Leadership underpins everything the Army does, which is why we will continue to invest in our people, even during times of austerity.

— Headquarters, Department of the Army,  
*Army Leader Development Strategy 2013*

#### Purpose

The Army needs mission command to work to support a military force of the future that will fight and win our nations wars. The purpose of this research was to analyze the Army's command philosophy of mission command and review the current doctrine that outlines how leaders should instill mission command within their organizations. In doing so, this research studied four processes identified as pertinent for analyzing the Army's mission command implementation plans. These four processes consisted of: (1) doctrine; (2) MCCoE; (3) CSA guidance; and (4) inspections and surveys to determine if Kotter's Eight-Stage Process could be integrated to better support the current implementation plans.

The main research question was: Can the Army improve their plans for inculcating mission command throughout the total force by using the Kotter Eight-Stage Process? The secondary research questions were: Why mission command? What is the Army's plan to inculcate mission command? How does the Army's plan for implementing mission command compare when assessed against the processes of Kotter's Eight-Stage Process? Based on Kotter's process, can the Army do better with

defining and inculcating mission command? Based on the research, the author was able to create a framework that can be utilized by the United States Army for further development and inculcation of the mission command philosophy.

There were several documents utilized to answer the primary and secondary research questions and which assisted the researcher with developing an analysis of the research topic. The documents that assisted the researcher were: ADPs, ADRPs, FMs, TRADOC PAMs, White Papers, “CSA Marching Orders,” speeches, inspections, assessments, MCCoE, and scholarly written articles. The researcher further classified the documents into four processes, which were doctrine, CSA guidance, MCCoE, and inspections and assessments.

The importance of this research was twofold: (1) the Army’s ability to successfully operate in a complex environment is contingent upon the understanding and execution of the command philosophy of mission command; and (2) the Army has not fully implemented mission command into the Army at all levels, which allowed the researcher the opportunity to offer recommendations for changes prior to the full inculcation of mission command. Based on the importance of inculcating mission command into the Army, leaders need and deserve a simple framework that translates down to all levels which allows leaders to create a climate that not only applies the operations process but also leverages the ALRM in tandem with the mission command principles.

### Chapter Organization

This chapter was organized into five sections. The first section consisted the summary of the findings for this research. The second section included interpretation of

the research findings. The third section discussed recommendations for further study as it pertained to the research topic. The fourth section consisted of recommendations for action as the Army moves forward with their organizational change of decentralized command. The fifth section included summary and conclusion of the overall research.

### Summary of Findings

The most valuable point derived from this research surfaced from the comparison of the Army's mission command implementation plans to a well-known organizational change model. The well-known organizational model utilized for comparison was Kotter's Eight-Stage Process of Creating Major Change. Throughout chapter 4, the researcher compared Kotter's Eight-Stage Process to four processes that were identified as being pertinent to the Army's mission command implementation plans. The comparison answered the primary research question: Can the Army improve their implementation plans for inculcating mission command throughout the total force by using Kotter's Eight-Stage Process?

The analysis showed that the Army's current mission command implementation plans and processes were somewhat aligned with the processes that Kotter suggests in his model of change. The analysis further identified that the Army's current plans and processes do not specifically address how, or if, the Army will generate short-term wins within their mission command implementation plans.

At least one, and in some cases all of the four processes possessed elements of establish a sense of urgency, create the guiding coalition, develop a vision and strategy, communicate the vision, empower broad based action, consolidate gains and produce more change, and anchor new approaches in the culture. The one area where all of the

processes lacked was generate short-term wins. According to Kotter, this step is paramount because it recognizes and rewards those that support the vision, strategy, and organizational change. Additionally, the fourth process which consisted of LDTF, inspections, and assessment created short-term wins but did not align with all steps outlined in Kotter's model.

### Interpretation of Findings

In chapter 4, the researcher analyzed four processes and compared each process individually to include supporting documents for those processes to Kotter's Eight-Stage Process of Creating Major Change. In doing so, the researcher was able to gather data to support and answer the primary and secondary research questions presented in this thesis.

Based on the analysis, the researcher found that the first three processes of the implementation plans were good in some areas by meeting six out of the eight steps outlined in Kotter's model and received a letter grade of B. However, the fourth process only met three out of eight steps outlined in the Kotter model and received weak in all areas with a letter grade of F.

The implications for these findings are: if the Army does not address or develop processes to integrate step six of the Kotter model into their current mission command implementation plans, they may not be able to produce the environment necessary for creating change. Additionally, if the future of the Army is contingent upon operating in a complex environment, mission command is important to future operations because without proper understanding subordinates may not be able to successfully execute their commander's intent.

### Recommendations for Further Study

Based on the research and comparative analysis conducted, the following is recommended as the Army moves towards a mission command philosophy. There were several parallels between the Army's plans for implementation of the command philosophy of mission command and Kotter's Eight-Stage Process of Creating Major Change. However, there was one step that was not aligned with the Army's current plans and processes.

Step six of the Kotter model details the importance of generating short-term wins. Short-term wins can keep the guiding coalition focused and can bring on additional supporters who may not have originally supported the organizational change. Short-term wins offer reinforcement of the vision and strategy of the organization. The key for creating short-term wins is to build momentum for step seven of the model with the ultimate goal of producing more change and then anchoring the new ideas into the culture of the organization.

### Recommendations for Actions

Recommendations for the Army as they move towards a military of decentralized command is the following: (1) Utilize one simple framework for implementing mission command; (2) Integrate processes from the Kotter Eight-Stage Process of Creating Major Change into the current implementation plan; (3) create a framework that offers a continuous yet sequential build-up of mission command principles, provides overall understanding of the philosophy and reward units for meeting the requirements; (4) Utilize separate terminology to differentiate between the art and science of mission command; and (5) create an information operations campaign to highlight the command

philosophy of mission command and ensure that the total force is aware of the philosophy and leverage what has worked thus far and improve upon these efforts.

Even though ADP, ADRP, and FM 6-0 are entitled *Mission Command*, they are not the single source doctrines for understanding the philosophy. In order to grasp the concept and overall philosophy, one must understand *The Operations Process* which consists of ADP, ADRP and FM 5-0, *Army Leadership* which consists of ADP, ADRP and FM 6-22, *Unified Land Operations* which consists of ADP, ADRP and FM 3-0 and a plethora of other guidelines, memos, and directives. If mission command is the future approach that the Army intends to operate under, then leaders and subordinates need a single source document that gives them the what, when, why, how, and where of the philosophy.

The current implementation plans for inculcating the command philosophy of mission command lack awards or incentives that provide motivation for individuals or units. “Motivation can be defined as forces coming from within a person that account for the willful direction, intensity and persistence of the person’s efforts toward achieving specific goals” (Hitt, Miller, and Colella 2006, 199). “If you want to direct the behavior of people in an organization, you tell them a target and offer then an incentive” (Simon 2013, 122). According to Maslow, people are motivated by their desire to satisfy specific needs. Maslow’s need hierarchy suggests that behavior is motivated by needs reflecting a human desire to be recognized. McClelland’s Needs Theory said people were motivated by a need for: (1) power; (2) affiliation; or (3) achievement (Weinbach 2003). Whether you support Maslow’s or McClelland’s theories, they both express the significance of providing purpose that can create short-term wins and anchor new approaches.

During the analysis, the researcher was unable to find data that explained or supported whether or not the Army utilized an organizational change model prior to establishing their mission command implementation plans. Therefore, the researcher used the Kotter model to analyze the Army's plans. "Principle-centered leadership suggests centering life on four dimensions can align shared values, structures, and systems. The four dimensions are security, guidance, wisdom, and power (Covey 1991). "Security addressed sense of worth and personal strength. Guidance entailed the direction people take and derives from standards, principles, or criterias that govern decision-making. "Wisdom centered on a sense of balance, judgment, discernment, and comprehension. Power outlined the capacity to act, the strength and courage to accomplish something" (Covey 1991, 21).

The mission command principles are intangibles, which makes it complicated when trying to gauge whether or not units have met the requirements for the principle. Based on the research, the recommendation is that the Army creates a sequential process for implementing mission command throughout the Army. In the Kotter model, the eight steps are sequential and you cannot successfully complete the next step until you accomplish the previous step.

When you think about it, can you create a shared understanding without first building cohesive teams through mutual trust? Stephen Covey outlined the downward spiral of codependency and stated that the "widespread reluctance to take initiative, to act independently, only fuels formal leaders' imperative to direct or manage their subordinates" (Covey 2004, 84). The suggested sequential or hierarchical model would look like figure 7. The first step would start at the bottom of the pyramid and as the unit

accomplishes a level, they would proceed up the pyramid with the hopes of reaching the top, where the commander is able to accept prudent risk. Once units reach the pinnacle of the hierarchy, award them with a streamer or some type of incentive to signify their accomplishment.



Figure 7. Hierarchy: Command Philosophy of Mission Command

*Source:* Created by author using principles from Headquarters, Department of the Army, Army Doctrine Publication 6-0, *Mission Command* (Washington, DC: Government Printing Office, 2012); Headquarters, Department of the Army, Army Doctrine Reference Publication 6-0, *Mission Command* (Washington, DC: Government Printing Office, 2012); Headquarters, Department of the Army, Field Manual 6-0, *Mission Command* (Washington, DC: Government Printing Office, 2014).

The Army Award for Maintenance Excellence and Phillip A. Connelly Award are examples on how incentives can support an initiative. The Army Award for Maintenance Excellence, a two-phased competition, was created to provide positive incentives for extraordinary maintenance efforts. “The Connelly Award serves in the same capacity as

the Army Award for Maintenance Excellence and was created to provide recognition for excellence in the preparation and serving of food in army troop dining facilities and during field kitchen operations” (USA Quartermaster Corps and Quartermaster School 2013).

In 2013, the Army revamped the officer evaluation report and officer evaluation report support form to strengthen rater culpability and echo the attributes and competencies outlined in the ALRM. This was a huge step towards merging mission command principles into the officer’s evaluation system. Additionally, it emphasized the significance of integrating mission command and leadership traits.

The researcher does not have suggestions for new terminology as it pertains to calling the art of mission command something different from science of mission command. Because mission command has been deemed so important to the Army’s future, it is important to make it as clear as possible to leaders at all levels within the organization.

### Summary and Conclusions

Based on the analysis and findings incorporating processes from Kotter’s Eight-Stage Process of Creating Major Change could help the Army with inculcating their current mission command philosophy. By doing so, the Army would be offering a force multiplier to the current strategies that the MCCoE offer and have outlined as it pertains to the philosophy. Mission command is an enduring concept for the Army and only through detailed planning, training, patience and messaging will the philosophy gain momentum and marinate throughout the total force.

In a speech to the U.S. Army Command and General Staff College, General Dennis L. Via stated that organizations are built on the power of trust. He went on to add that the Army is in transition and in order to create change within any organization everyone had to be on-board. He used the rowboat analogy to make the point that there are four rules needed for organizations to be successful. The four rules were: everyone in the boat, get buy-in, set the direction or vision, and everyone rowing in the same direction (Via 2015). This sums up what mission command the command philosophy is all about, because in order to create this type of climate, leaders must build trust within their organization and develop Soldiers that want to get in the boat and row in the same direction.

## GLOSSARY

**Adaptive Leadership.** A daily opportunity to mobilize the resources of people to thrive in a changing and challenging world (Heifetz, Grashow, and Linsky 2009, 69).

**Army Concept Framework.** describes how the Army will employ forces and capabilities in complex environments against increasingly capable opponents (United States Army Capabilities Integration Center).

**Commander's Intent.** A clear and concise expression of the purpose of the operation and the desired military end state that supports mission command, provides focus to the staff and help subordinate and supporting commanders act to achieve the commander's desired results without further orders, even when the operation does not unfold as planned (HQDA 2012d, glossary 1).

**Decentralized Command.** The dispersion or distribution of power from a central authority to regional and local authorities (TRADOC 2010, 47)

**Operating Decentralized.** A manner of conducting military operations which enable subordinates to act aggressively and independently with disciplined initiative to develop the situation; seize, retain and exploit the initiative; and cope with uncertainty to accomplish the mission within the commander's intent (TRADOC PAM, 61).

**Organizational Change.** A process in which a large company or organization changes its working methods or aims in order to develop and deal with new situations (Cambridge Dictionaries Online)

**Total Force.** Integration of the Army's active component and reserve component.

**Transformational Leadership.** One who appeals to the moral values of the followers, trying to mobilize them to affect a major change in society (Roberto 2011, 402).

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