MARINE CORPS COMPONENT COMMANDER AS A FUNCTIONAL COMPONENT COMMANDER

Forward-deployed naval forces, including Marine Corps forces, are usually the first conventional forces to arrive in an austere theater or area of operations during expeditionary operations. The Marine Corps component commander's inherent capability to command and control Marine Corps forces and attached or assigned forces of other Services or nations allows him to serve as a functional component commander. Such assignments may be for limited contingencies or for some phases of a major operation or campaign, depending upon the size, scope, nature of the mission, and the functional area assigned. See MCWP 3-40.8, *Componency*, for additional information.

MARINE AIR-GROUND TASK FORCES

Marine Corps component commanders normally task-organize for operations by forming MAGTFs—balanced, air-ground, combined arms formations under a single commander. Due to the operational flexibility inherent in its construct, the MAGTF is the principal organization for all Marine Corps missions across the range of military operations. Expeditionary by nature, MAGTFs vary in size and capability according to their assigned or likely missions and are specifically equipped for rapid deployment by air or sea.

Elements of a MAGTF

All MAGTFs consist of four core elements—a command element, a ground combat element (GCE), an aviation combat element (ACE), and a logistics combat element (LCE), as illustrated in figure 2-4. Although MAGTFs differ in size and capabilities, standard procedures exist for organizing any MAGTF and for planning and executing its operations.

As a modular organization, the MAGTF is tailorable to its mission through task organization. This building block approach also makes reorganization a matter of routine. In addition to its Marine Corps units, a MAGTF may have attached forces from other Services and nations, such as naval construction battalions or infantry/armor brigades.

A key feature of the MAGTF is its expandability. Crisis response may require a larger force than what can initially be brought to bear. Being able to expand the original force—rather than replacing it with a larger one—promotes continuity of operations. The MAGTF's modular structure facilitates rapid expansion into a

larger force as a situation demands by simply adding forces as needed to the core units of each existing element.

Command Element

The command element is the MAGTF headquarters. As with all other MAGTF elements, the command element task-organizes to provide the command and control capabilities necessary for effective planning, execution, and assessment of operations.

Additionally, the command element can exercise command and control within a joint force from the sea or ashore and act as a joint task force headquarters core element. A command element may include additional command and control and intelligence capabilities from national and theater assets, force reconnaissance assets, signals intelligence capabilities from the radio battalion, and a force fires coordination center. A command element can employ additional major subordinate commands, such as the force artillery headquarters, naval construction regiments, or Army maneuver or engineering units.

Ground Combat Element

The GCE task-organizes to conduct ground operations in support of the MAGTF's mission. It usually forms around an infantry organization reinforced with artillery, reconnaissance, light armored reconnaissance, assault amphibian, tank, and engineer forces. The GCE can vary in size and composition—from a rifle platoon to one or more divisions. It is the only MAGTF element that can seize and occupy terrain.

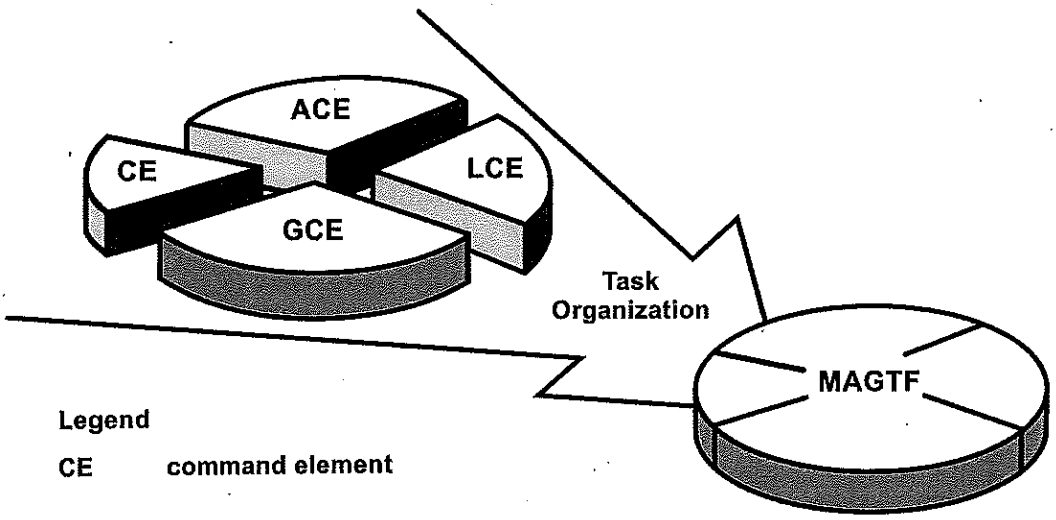


Figure 2-4. MAGTF Organization.

Aviation Combat Element

The ACE task-organizes to conduct air operations, project combat power, and contribute to battlespace dominance in support of the MAGTF's mission by performing some or all of the following six functions of Marine aviation:

- Antiair warfare.
- Assault support.
- Electronic warfare.
- Offensive air support.
- Air reconnaissance.
- Control of aircraft and missiles.

The ACE consists of an aviation headquarters with air control agencies, aircraft squadrons or groups, and logistic units. It can vary in size and composition from a small aviation detachment of specifically required aircraft to one or more Marine aircraft wings. The ACE may operate from ships or from austere expeditionary locations ashore and can readily transition between them without loss of capability. It exercises command and control throughout the battlespace.

Logistics Combat Element

The LCE task-organizes to provide all functions of tactical logistics necessary to support the continued readiness and sustainability of the MAGTF. The LCE performs some or all six functions of tactical logistics:

- Supply.
- Maintenance.
- Transportation.
- Health services.
- General engineering.
- Other services, which include legal, exchange, food, disbursing, postal, billeting, religious, mortuary, and morale and recreation services.

See MCWP 4-1, *Logistics Operations*, for a detailed discussion.

The LCE may vary in size and composition from a support detachment up to one or more logistic groups. The LCE operates from sea bases or from expeditionary bases established ashore. It may be the main effort of the MAGTF during foreign humanitarian assistance missions or selected phases of maritime prepositioning operations.

Types of MAGTFs

There are five types of MAGTFs—Marine expeditionary forces (MEFs), Marine expeditionary forces (Forward) (MEFs[Fwd]), Marine expeditionary brigades (MEBs), Marine expeditionary units (MEUs), and special purpose Marine air-ground task forces (SPMAGTFs), as illustrated in figure 2-5 on page 2-10.

Marine Expeditionary Force

The MEFs are the principal warfighting organizations of the Marine Corps, capable of conducting and sustaining expeditionary operations in any geographic environment. In addition to their warfighting role, MEFs routinely task-organize subordinate units into smaller MAGTFs or other formations to support the geographic combatant commander's ongoing engagement and episodic crisis response requirements. The three standing MEFs vary somewhat in size, with the largest being approximately 40,000 Marines and Sailors. Normally commanded by a lieutenant general, each includes—

- A command element of one MEF headquarters group.
- A GCE of one Marine division (MARDIV).
- An ACE of one Marine aircraft wing (MAW).
- An LCE of one Marine logistics group (MLG).

There are three standing MEFs:

- I MEF, based in southern California and Arizona, under Commander, MARFORPAC. The major subordinate commands within I MEF are the 1st MARDIV, 3d MAW, and 1st MLG.
- II MEF, based in North and South Carolina, under Commander, MARFORCOM. The major subordinate commands within II MEF are the 2d MARDIV, 2d MAW, and 2d MLG.
- III MEF, based in Okinawa, mainland Japan, Hawaii, and Guam, under Commander, MARFORPAC. The major subordinate commands within III MEF are the 3d MARDIV, 1st MAW, and 3d MLG.

A deployed MEF, in addition to its normally assigned units, may command units from other MEFs, the Marine Corps Forces Reserve, other Services and nations, and USSOCOM. When augmented with forces from other MEFs, a deployed MEF can have multiple GCEs, such as I MEF during Operation Desert Storm, which had both 1st and 2d MARDIVs as well as a US Army armored brigade. Augmenting aviation units from other Marine sources normally operate within a single ACE. Additional Marine Corps, Navy, and Army logistic units may

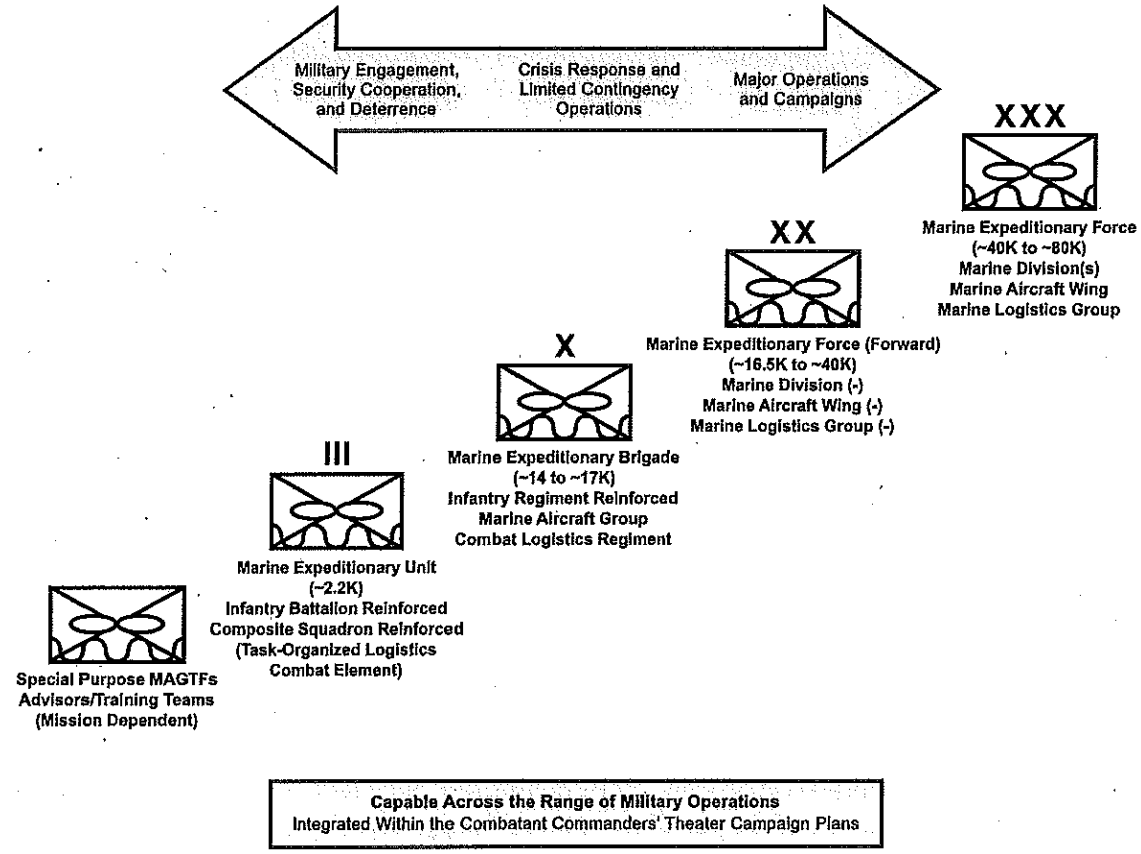


Figure 2-5. Types of MAGTF Organizations.

augment an LCE, as happened during Operation Desert Storm. Allied or coalition units may attach to a MEF, as the United Kingdom's 3 Commando Brigade did during Operation Iraqi Freedom. Given the foregoing, MEFs have grown to more than 90,000 Marines, Sailors, and Soldiers.

A MEF typically deploys by echelon with 60 days of sustainment, which can be extended through external support from other Services or a host nation. The MEF commander and his staff can form the nucleus for a joint task force, combined task force, or functional component headquarters.

Marine Expeditionary Force (Forward)

A MEF (Fwd) is normally the lead echelon of a MEF or, for some contingencies, it can be a stand alone MAGTF capable of sustained expeditionary operations. A MEF (Fwd) is normally smaller than a MEF and larger than a MEB. For

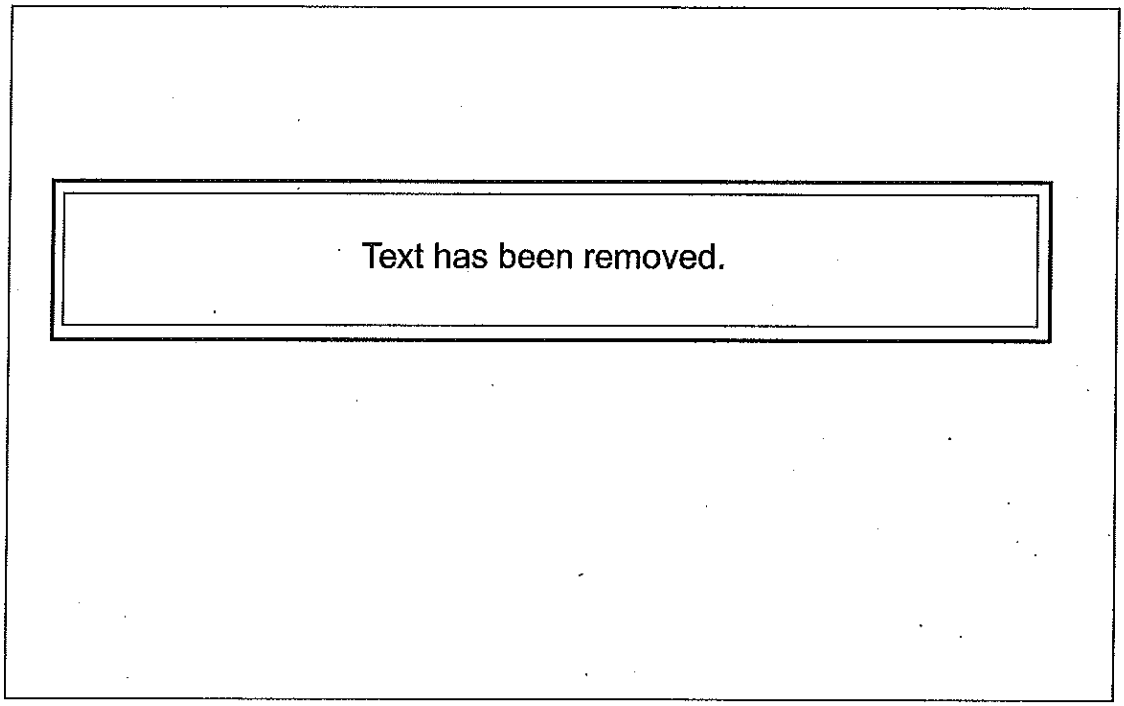
example, a MEF (Fwd) commanded by a Marine major general deployed on a rotational basis to execute combat operations in Operations Iraqi Freedom and Enduring Freedom. The GCE of the MEF (Fwd) normally consists of a division (-) or multiple regiments.

Marine Expeditionary Brigade

Mid-sized MAGTFs, MEBs conduct major security cooperation operations, respond to larger crises or contingencies, or participate in major operations and campaigns—such as MEB-Afghanistan. They provide the "building blocks" for forcible entry and other power projection operations, providing the landing forces for amphibious assault and the fly-in echelons that "marry-up" with equipment and supplies delivered by maritime prepositioning ships. During Operation Desert Shield, for example, two MEBs deployed via amphibious ships while Marines and Sailors from two other MEBs traveled to Saudi Arabia by intertheater airlift to fall in on equipment and 30 days of supplies delivered via maritime prepositioning ships. Normally commanded by brigadier generals, MEBs number approximately 16,000 Marines and Sailors once their subordinate units are assigned. A MEB normally consists of—

- A command element that may include additional assets, such as command and control, reconnaissance, signals intelligence capabilities from the radio battalion, and engineering capabilities from the naval construction regiments.
- A GCE composed of an infantry regiment reinforced with artillery, reconnaissance, engineer, light armored reconnaissance units, assault amphibian units, and other attachments as required.
- An ACE composed of a combat assault transport helicopter/tilt-rotor aircraft, utility and attack helicopters, vertical/short takeoff and landing fixed-wing attack aircraft, fighter/attack aircraft, electronic warfare aircraft, unmanned aircraft systems, air refuelers/transport aircraft, and requisite aviation logistic and command and control capabilities.
- An LCE task-organized around a combat logistics regiment. This element normally has engineering; supply; services; transportation; medical; maintenance capabilities; and landing support for beach, port, and airfield delivery operations.

The MEB command elements maintain close coordination and conduct operational planning with key joint and Service headquarters, and are capable of rapidly assuming control of forces for missions across the range of military operations.



Like the larger MEFs, MEBs may assimilate units from other Services or nations and grow beyond their notional size. The MEBs are the smallest MAGTFs capable of performing all six functions of Marine aviation. A MEB can conduct the full range of expeditionary operations and may serve as the lead echelon of the MEF. The MEB command element can also serve as the nucleus of a joint or multinational task force headquarters.

Marine Expeditionary Unit

The MEUs, embarked aboard Navy amphibious ready groups (ARGs), form ARG/MEUs. The ARG/MEUs provide continuous, forward naval presence in key regions to conduct steady-state security cooperation, military engagement, and deterrence, as well as immediate response to episodic crises and contingencies. The ARG/MEUs may also be called upon to support major operations and campaigns in a variety of ways, such as enabling the introduction of other forces, acting as the lead echelon for expansion to a larger formation, or providing the geographic combatant commander an inherently mobile and flexible sea-based reserve. A MEU is commanded by a colonel. When embarked

aboard an ARG, which is commanded by a Navy captain, a support relationship is normally established between them. A MEU normally consists of—

- A command element that may include additional command and control or signals intelligence assets.
- A GCE formed around an infantry battalion landing team reinforced with artillery, reconnaissance, engineer, tanks, light armored reconnaissance units, assault amphibian units, and other attachments, as required.
- An ACE composed of a combat assault transport helicopter/tilt-rotor squadron, utility and attack helicopters, vertical/short takeoff and landing fixed-wing attack aircraft, electronic warfare aircraft, unmanned aircraft systems, shore-based air refuelers/transport aircraft, and other detachments, as required.
- An LCE task-organized around a MEU combat logistics battalion, consisting of engineering, supply, services, transportation, landing support, medical, and maintenance capabilities.

There are seven standing MEU command elements. Six of them are in a rotation cycle that provides continuous forward presence with two ARG/MEUs in key regions. The seventh is permanently forward-deployed in United States Pacific Command. The seven MEU command elements are—

- 11th, 13th, and 15th MEU Command Elements, under Commander, MARFORPAC, which rotationally deploy with subordinate elements provided from I MEF.
- 22d, 24th, and 26th MEU Command Elements, under Commander, MARFORCOM, which rotationally deploy with subordinate elements provided from II MEF.
- 31st MEU Command Elements, under Commander, MARFORPAC, is part of the forward-deployed naval force in the Pacific. It periodically cruises with subordinate elements provided from III MEF. These elements include units that are permanently assigned and others temporarily provided to III MEF from the other MEFs through the unit deployment program.

The major subordinate elements are normally assigned to rotational MEU command elements several months prior to deployment to undergo, in concert with the ARG, an extensive training and certification process. They usually deploy for six to seven months, carrying enough supplies for the MEU to conduct operations ashore for fifteen days, beyond which they are normally sustained

through the integrated naval logistics system. The forward-deployed naval force ARG/MEU has a somewhat shorter work-up and deployment cycle. While forward, ARG/MEUs frequently conduct multiple, simultaneous missions distributed over a wide geographic area. In 2010, a single ARG/MEU concurrently conducted foreign humanitarian assistance operations in Pakistan, strike operations in Afghanistan, and counterpiracy operations in the Gulf of Aden. In other cases, ARG/MEUs may aggregate to conduct larger operations, as they did in 2001 to open a lodgment for the introduction of additional forces during Operation Enduring Freedom. Upon return from deployment, ARG/MEUs remain in a stand-by status for 30 to 60 days, prepared for immediate redeployment in response to crisis, as happened following the 2010 earthquake in Haiti.

Special Purpose MAGTF

When situations arise for which a MEU or other unit is either inappropriate or unavailable, a SPMAGTF is formed. A SPMAGTF may be of any size—but normally no larger than a MEU—with tailored capabilities required to accomplish a particular mission. It may be task-organized from nondeployed Marine Corps forces or formed on a contingency basis from a portion of a deployed MAGTF. Regimental-level headquarters often assume the role as a SPMAGTF command element and may conduct training in anticipated mission skills prior to establishment. A SPMAGTF may deploy using commercial shipping or aircraft, intertheater airlift, amphibious shipping, or organic Marine aviation.

Frequently, SPMAGTFs have conducted sea-based security cooperation activities, such as Unitas, Southern Partnership Station and Africa Partnership Station. Others have been formed to provide sea-based foreign humanitarian assistance or military support to civil authorities or participate in freedom of navigation operations.

An important type of SPMAGTF is an alert contingency MAGTF. Each of the MEFs usually maintain an alert contingency MAGTF as an on-call, rapid crisis response force. A MEF commander may prescribe that an alert contingency MAGTF be ready to initiate deployment to any location worldwide within a certain number of days or hours, depending on the indications and warnings associated with an emerging crisis. Because it may need to deploy so rapidly, readiness is paramount. Equipment and supplies intended for use as part of an alert contingency MAGTF are identified and, where appropriate, staged for immediate embarkation. The alert contingency MAGTF usually airlifts to a secure airfield and carries its initial sustainment. Deployment by air necessitates that the size and weight of an alert contingency MAGTF be kept to an absolute

minimum. An alert contingency MAGTF may employ independently or in conjunction with amphibious, maritime prepositioning, or other expeditionary forces. The rapid deployment of the II MEF alert contingency MAGTF following the 23 October 1983 terrorist bombing of the Marine Corps barracks in Lebanon is an example of expeditionary agility by a SPMAGTF.

OTHER TASK-ORGANIZED MARINE CORPS FORCES

On occasion, Marine Corps forces may task-organize to conduct operations outside of the MAGTF construct. These occasions usually occur when specific Marine Corps capabilities are required, singly or in concert with those provided by the other Services and USSOCOM, to conduct operations that are narrow in purpose, scope, or duration or to provide a joint force commander, another component, or civil authorities complementary capabilities or additional capacity.

Marine Corps fighter/attack squadrons, for example, are regularly assigned to carrier air groups in order to provide the additional capacity necessary to support rotational deployment of the Navy's aircraft carriers. Similarly, Marine Corps fighter/attack squadrons and detachments of electronic warfare aircraft operated from bases in the Mediterranean in support of allied air operations in the Balkans during the 1990s.

Other examples include the use of Marine rifle companies in 2003 to support the effort by US Army special forces to counter the Abu Sayyaf insurgency in the remote villages of the Philippines by providing security for Navy medical assistance teams. Given the geographic combatant commanders' growing requirements for similar engagement and protection activities, Marine Corps capabilities may employ from a variety of Navy and Military Sealift Command ships to conduct diverse security cooperation, foreign humanitarian assistance, and maritime security missions or to provide increased protection when those ships are transiting high-threat areas.

The Chemical Biological Incident Response Force (CBIRF) provides a scalable response capability for MAGTF operations and may provide direct support to the geographic combatant commanders. For example, CBIRF responded to the 2001 anthrax incident in the US Capitol. Whether capabilities are drawn from MAGTF assets or separate commands, task-organizing Marine Corps forces in nonstandard ways for employment in concert with a variety of partners requires the close involvement of the Marine Corps component commanders. They play a key role in identifying geographic combatant commander and other component commander requirements—especially those of their Navy and special operations counterparts—and developing innovative ways to meet them. The ability to plan,

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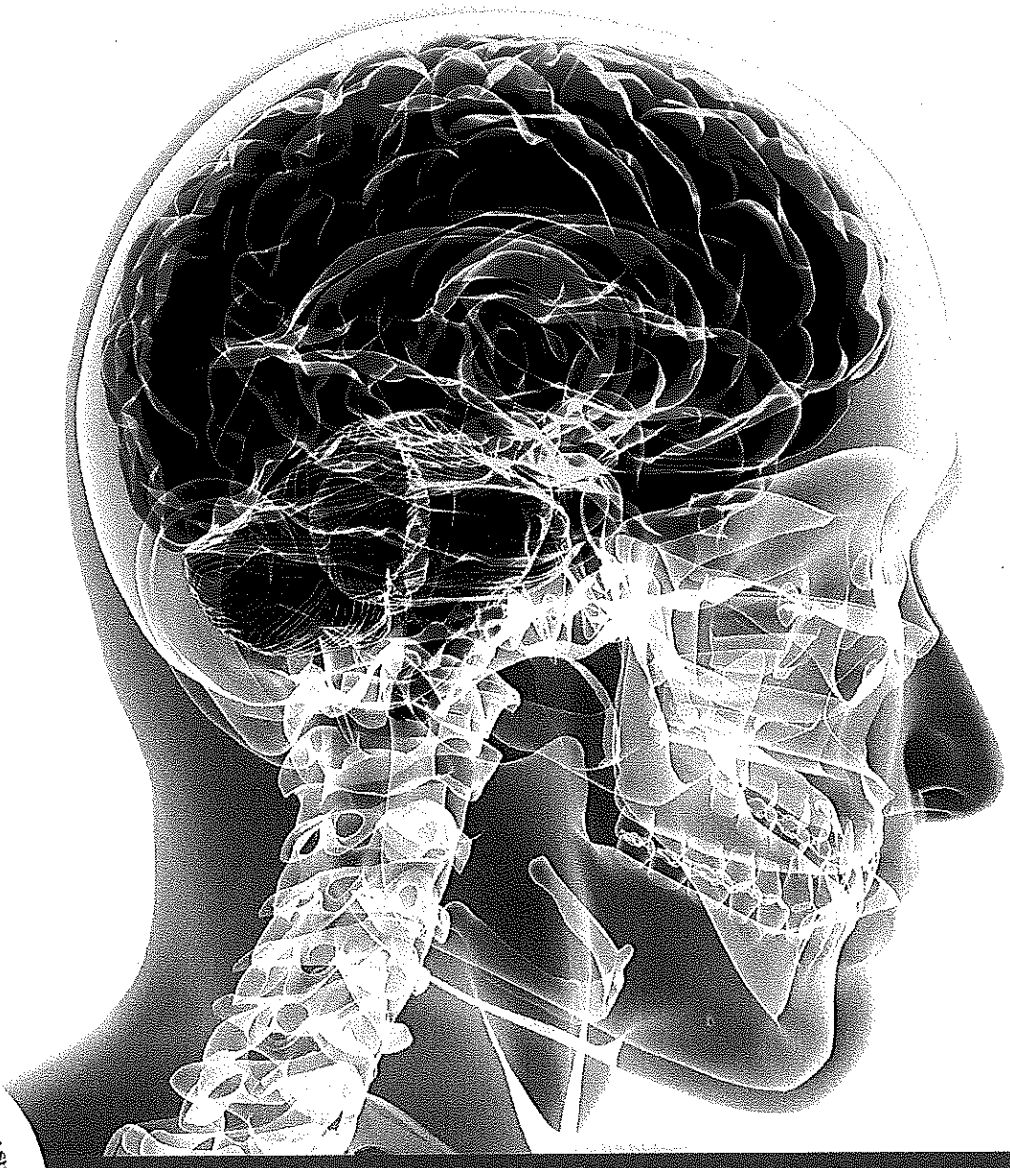

THE ARMY'S GUIDE TO
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Chapter 2

Self-Awareness and Reflection

"Only as you do know yourself can your brain serve you as a sharp and efficient tool. Know your own failings, passions, and prejudices so you can separate them from what you see."

Bernard Baruch, Presidential advisor to Woodrow Wilson (WWI) and Franklin D. Roosevelt (WWII)

Humans are more complex than we appear. Though outside observers might note our habits and routine behavior, they cannot easily observe or discern the experiences, values, psychological needs, and biases that cause us to act in specific ways. As the only one with an internal view, each individual is responsible for reflecting on and considering their own inner composition. Once we understand why we behave in certain ways, then can we act to overcome undesired or unproductive personal tendencies.

The journey to such understanding is that of becoming more self-aware. Self-awareness provides the ability to see the self as a separate entity, independent from others and the environment, yet continually influenced both by those factors

and by a lifetime of experiences. The need for such awareness shows itself every time we make a decision; objective evaluations and decisions can only be made by self-aware individuals who understand the characteristics of the self that would influence the end result.

Such an understanding can protect us from the pitfalls of modern life. Constant demands on our time, whether from family, work, or other obligations, push us toward making faster decisions based on instinct or intuition. While that technique certainly takes less time than reflecting on the issue, it often leaves no time to consider the subconscious memories, emotions, or biases involved in decision-making processes. Recognizing the factors that cause us to think or feel a certain way is the first step to making a better decision.

A self-aware person is more mindful of personal dispositions and biases, and recognizes internal cultural, contextual, and situational frames. This self-awareness benefits the Red Teamer and critical thinker by allowing us to understand not only our own baseline of thought and behavior, but also how external stimuli like exposure to other cultures or different ways of thinking impact that baseline. Self-awareness allows us to move beyond simply recognizing our emotions, into awareness of why those emotions exist in the first place. Beyond allowing us to understand ourselves, this deeper awareness can help strip away the barriers to understanding and empathizing with others.

Though discussed as a single discipline, self-awareness development at UFMCS employs a collection of lessons, techniques, and evaluations, all based on the theory of Self-Authorship. The combination includes:

1. Study of Temperament; Personality Dimensions®
2. Study of Emotional Intelligence and Well-being

3. Study of Interpersonal Communications
4. Introspection: Who Am I? Exercise
5. Introspection: Daily Journaling

Self-Authorship

Self-Authorship, first penned by developmental psychologist Robert Kegan and then further developed as a higher education model by Dr. Marcia Baxter Magolda, is a holistic model and approach to developing self-awareness. Self-Authorship generates an internal voice to guide responses to external realities and has value for critical thinking and decision making. It is a process whereby we develop the values and an internal compass that will enable us to deal with new information, ambiguities, and life challenges. Expanded into the Theory of Self-Authorship (see Figure 2.1), Dr. Baxter Magolda describes our ability to internally define our own beliefs, identities, and relationships as a key driver of personal growth and self-awareness. The theory is grounded in two assumptions about adult learning and knowledge. First, people create knowledge by interpreting their own personal experiences. They analyze and judge experiences from an individual perspective, and the resulting information is what we consider to be knowledge. Second, self-authorship, or the knowledge of one's self, has an underlying structure that is developmental in nature. As a person matures, the ability to know one's self-develops, changes, and matures as well.

The theory proposes three dimensions of self-authorship: epistemological/cognitive, intrapersonal, and interpersonal. The cognitive dimension employs meaning-making in ways that recognize the socially constructed and experiential nature of knowledge. The intrapersonal dimension considers our own personal beliefs, values, and goals, while the interpersonal dimension considers the same in others. Together, these three

areas provide insight into the nature of our knowledge, the roots of our personal philosophy, and the ways we relate to others.

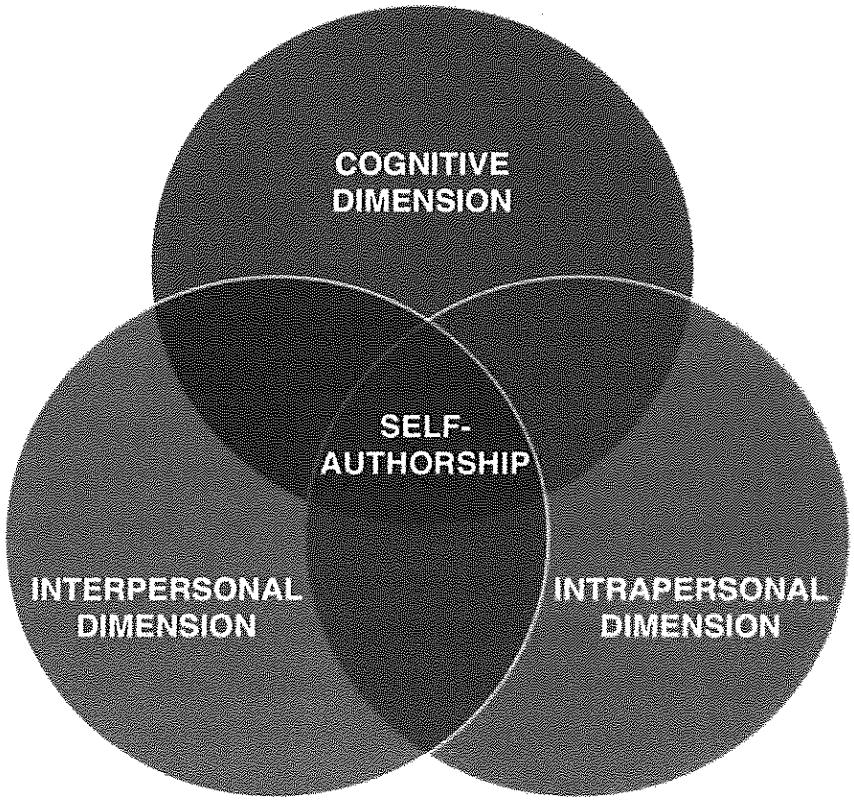

Figure 2.1 Self-Authorship Diagram

Temperament

> *One's temperament determines behavior, because a behavior is the instrument for getting us what we must have. Our behaviors cluster into activity patterns organized around themes of needs and core values specific to each temperament.*[1]

Temperament is one facet of our personality. It is habitual, often observable, and represents particular repeated patterns of behavior. It is the way we make decisions, communicate, and prioritize; it is our comfort zone. To explore temperament, UFMCS uses Personality Dimensions®. Rooted in Jungian Typology, Personality Dimensions® explores our preferences, needs (see Table 2.1), and orientation along a continuum

between introversion and extroversion.

Introversion involves:

- Directing our attention [energy] inward to internal stimuli.
- Thinking things through internally before we share any thoughts.
- Doing our best processing through quiet, individual contemplation.

Extroversion involves:

- Directing our attention [energy] outward for external stimuli.
- Thinking things through externally as we brainstorm out loud.
- Doing our best processing through collaborative group interaction.

Personality Dimensions®	Needs	Value
Inquiring Green	To achieve mastery; knowledge and competence	Concepts, theories, scientific inquiry, and consistent logic
Authentic Blue	To find significance and meaning; a unique identity	Harmony, cooperation, ethics, and authentic relationships
Organized Gold	To preserve the organism; procedures and responsibility	Belonging, stability, security, and group preservation duty
Resourceful Orange	To act in the moment; impact and expediency	Freedom, variety, adventure, and performance with skill

Table 2.1 Personality Dimensions Needs and Values

Complementing these dimensions, Linda Berens speaks to three layers of the self in *Understanding Yourself and Others: An Introduction to Temperament.*[2] The first and outermost is the contextual self, which examines how we prefer to act in the

moment of any given situation. The second is the developed self, representing behavior and skill we learn as we grow from those situations. The third and innermost layer is the core self, illustrated as genetic predispositions acquired at birth. Taken together, the models from Personality Dimensions® and Linda Berens provide a framework around which to build our understanding of the cognitive aspects of the Theory of Self-Authorship.

Emotional Intelligence

> *"Anyone can become angry, that is easy. But to be angry with the right person, to the right degree, at the right time, for the right purpose, and in the right way – that is not easy."*
>
> Aristotle

Emotional Intelligence is both the natural ability and the developed skills to recognize and understand emotions in one's self and in others. It also involves using this awareness to manage behavior and relationships. It affects critical thinking and decision making, as well as the navigation of social complexities.

The Emotional Intelligence Framework (see Figure 2.2), developed by Daniel Goleman, contains competencies in both personal and social realms. The personal competencies have two dimensions:

1. Self-Awareness of emotions as they occur and impact rational thought and influence personal outcomes.
2. Self-Management, or the ability and skill to identify and understand your emotional response to positively influence behavior, personal outcomes, work performance, and leadership, as well as to develop coping skills and resilience.

The social competencies also have two dimensions:

1. Social awareness developed through recognition of the emotions of others, which facilitates the development of cognitive empathy and the ability to understand another person's perspective. This is done through verbal interactions, active listening, and asking relevant, impactful questions, as well as by accurately interpreting non-verbal communications and cues.

2. Relationship Management, which occurs through accurately interpreting and interacting in social situations, networks, and systems. This involves the skills of persuasion, influence, and negotiation, as the practitioner works to facilitate cooperation, cohesion, and teamwork.

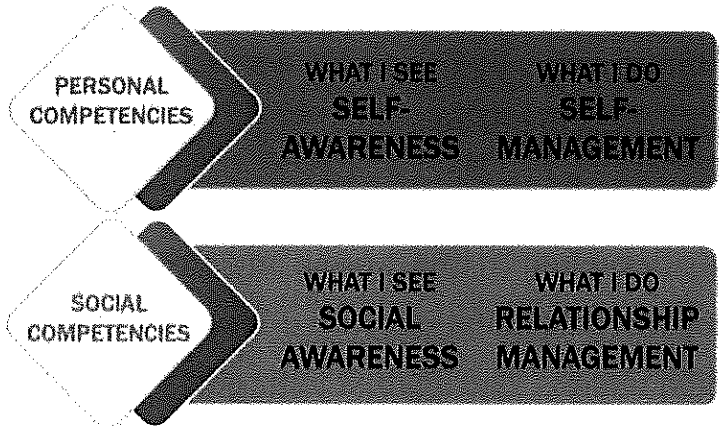

Figure 2.2 Emotional Intelligence Framework

Interpersonal Communication

Interpersonal communication is an exchange between two or more people conveying ideas, emotions, or information. This can be either verbal or nonverbal and includes semiotics. Interpersonal communication:

- Includes actions and ethics related to moral principles.
- Occurs between people who are themselves evolving and/or changing.

- Can attain mutual goals, when done intentionally; appropriate/effective.

For the Red Teamer, interpersonal communications go well beyond speaking, and relies heavily on three types of listening:

Strategic Listening is seeking information to facilitate choices or open a space for new ways of talking about a problem, using open and closed-ended questions [not a statement in the form of a question].

Use it when:

- Seeking clarification about the purpose of the interaction
- Shaping the outcome to accomplish your ends
- Thinking critically or solving a problem
- Fulfilling a role or responsibility

How to do it:

- Consider when to inject open and closed questioning
- Ask clarifying questions and offer paraphrases
- Weigh what is said against your goals
- Be on the lookout for discoveries

Empathic Listening is showing concern and identification in support of emotions. At the moment, it helps the person feel safe and understood. Its absence may suggest impatience, disinterest, or even dismissal.

Use it when:

- Trying to understand how your counterpart feels
- Trying to defuse strong emotions
- You are able to be sincere

How to do it:

- Ask indirect questions to echo pieces of what they say
- Don't interrupt, but murmur an emotional reaction
- Keep your eyes on the other's face (not just their mouth)
- Acknowledge their emotions

Active Listening is showing involvement and respect to foster social relationships. It is measured at the perceived quantity and quality of your interest. Its absence may show a lack of concern or importance.

Use it when:

- Complimenting strategic and empathetic listening
- Demonstrating that the topic and/or relationship matters

How to do it:

- Acknowledge what they are saying without interrupting
- Keep eye contact or your eyes on the other's face
- Expand on parts of what they are saying

Interpersonal Conflict

Competence in personality temperaments, emotional intelligence, and interpersonal communication are helpful safeguards when conflict arises. Managing conflict requires mutual participation but provides mutual benefit. Pausing to revisit ideas and reflect on similarities/differences between temperaments can reveal the relevant perceptions that led to conflict. The reflection in turn can be leveraged into bridging strategies that can help defuse the conflict.

Introspection

> *"Until you make the unconscious conscious, it will direct your life and you will call it fate."*

Carl Jung

Introspection allows us time to look inward, removing outside distractions, and consider ourselves, our thoughts, and our behavior. As practiced at UFMCS, it comprises daily journaling and the "Who Am I?" exercise.

Journaling is a fundamental requirement for UFMCS students. Daily reflection leads to written journals covering personal thoughts, discoveries, and questions, class topics, and an examination of applicability for each particular student. Entries reflect a deeper and more considered review of the day's topics; not a simple retelling of the day's events. It involves an emphasis on personal consciousness that is also paramount to critical thinking habits, and that is seldom explored in the normal course of a day. Time with personal thoughts/feelings often leads the writer to a synthesis with one's own life experiences, beliefs, attitudes, and values.

- What have I learned about myself or my emotional responses?
- What is my personal growth? Do I feel most proud/upset about?
- What topics/tasks did I respond to most easily/guardedly?

Who Am I? is an introspective exercise that works simultaneously on many levels. Participants take turns telling their story; an opportunity to practice active listening, deepen the understanding, and create an environment where alternate perspectives are valued, and successful listeners are ardently rewarded. Participants soon view themselves in a profound way, at a depth rarely welcomed in the military. Invariably, they find that they are not alone in coping with life's dilemmas.

As a result, participants feel significantly more connected to

the group and less alone in the world; a tremendous team building vehicle. The group learns about where others are coming from with ideas, values, and alternate perspectives. Participants are both liberated individually and bonded as a group.

Summary

Effective interpersonal communication will bring about more satisfying relationships and increase both personal and professional success.

Self-awareness is increased by reflecting and journaling daily, studying the Personality Dimensions model, and committing increased attention to interpersonal communication. Studying the four temperaments, identifying one's comfort zone, and examining preferences along the introversion/extroversion continuum will increase understanding of personal and social behavior. We have a better understanding of why and how we make decisions after careful thought and reflection regarding our personal needs, values, stressors, and biases.

Self-aware Red Teamers know that values, behaviors, beliefs, personal stories, motivations and goals differ from person to person. Most notably, he/she is mindful that how we see ourselves (what we say and what we do) may be quite different from how others perceive us, and vice versa. This Red Teamer also understands where they need improvement: empathy for others, critical thinking, interpersonal communication, cohesion within the group, etc.

As a self-aware individual, you are better equipped to:

- Optimize your interpersonal communication.
- Positively influence and persuade others.

- Leverage preferences, talents, and skills.
- Unravel gaps, differences, and conflicts.
- Appreciate and empathize with others.
- Consider others' perspectives.
- Think more broadly.

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[1] David Keirsey and Marilyn Bates, *Please Understand Me: Character & Temperament Types, 3rd ed. (Del Mar, California: Prometheus Nemesis, 1984).*

[2] Linda V. Berens, *Understanding Yourself & Others: An introduction to the 4 Temperaments, 4th ed.* (Huntington Beach, California, 2010).

Chapter 4

Applied Critical Thinking

Human beings think almost every waking minute; in fact, it can actually be harder to clear our minds and not think. Considering the huge amount of experience this gives us with the act of thinking, it should be surprising how often our thoughts lead us astray. We make unfounded assumptions, take mental shortcuts, and allow biases to hijack logic, all leading to decisions and actions that fail to satisfy our needs and wishes. By applying a level of criticality to the thinking process, Red Teaming helps not only to improve our decision-making processes, but also to improve the clarity of our worldview.

What is Applied Critical Thinking?

Psychologists and researchers have devoted a wide range of books and articles to the subject of critical thinking, and often debate the best definition for the term. While UFMCS uses and references many of those resources, they are not required for a basic understanding of the subject. As taught at UFMCS, Applied Critical Thinking (ACT) is the sum of the words. We think all the

time, so we can understand the mental process of making sense of the world around us, both the way we perceive it and the way we would like it to be. Being critical about that process means intentionally analyzing the merits and faults of those thoughts, to include evaluating our reasoning and logical processes. We apply the whole process by injecting the critical analysis of thought into our decision making to ensure sound, justifiable decisions. Putting these together, we can informally describe ACT as the deliberate process of analyzing and evaluating the way we perceive and interpret the world around us, performed to improve our understanding and decision making. It includes the key practice of making the implicit (our unseen and unexamined thoughts and beliefs) explicit so that we can judge their value and suitability to the situation.

For a more advanced understanding, we turn to our official definition:

> *Applied Critical Thinking (ACT) is the deliberate process of applying tools and methodologies to critically review problems by "asking better questions," such as deconstructing arguments, examining analogies, challenging assumptions, and exploring alternatives. Effective employment of ACT tools and methodologies cannot occur without self-awareness of one's own cognition, as how one "thinks about thinking": understanding biases, perception/interpretation, mental models, framing, and worldviews.*

The Time Factor

Describing ACT as a process can seem problematic at first. Many of our most important decisions, including those for which we have the greatest need for ACT, occur in time-sensitive environments. We speed toward events, knowing we have to make the correct decision before we reach a stage at which the

decision is overcome by events. In such a setting, it is easy to imagine there is no time to insert an additional process. The answer to this dilemma involves two parts: first, UFMCS provides reflexive ways to evaluate and adjust thinking that becomes natural with practice; and second, we provide structured tools designed to fit within time constraints while supporting ACT.

To make critical thinking reflexive or intuitive, we should first consider the common ways our brains approach thought. Most situations we face have some time constraint, whether explicit, implicit, or self-imposed. An explicit example might be a timed test or a work deadline; there is a distinct, known point at which the input is due. In an implicit case, there is still a time by which input is required, but the time has some sense of vagueness; consider the example of how long to wait before calling after a first date or a job interview. A self-imposed deadline can often be seen in the case of deciding when to purchase a vehicle. The important commonality in all these cases is that time matters, and it is often in short supply.

Thinking as often as we do and experiencing a range of scenarios in which time is limited, humans have developed shortcuts for the thinking process. We will often face situations in which we lack the information needed to make a good decision, but because of time constraints, our minds fill in a hopefully suitable representation for the missing data. In other words, we make assumptions. We also find circumstances in which events either mirror or conflict with our beliefs, and we pass judgment based on that agreement or disagreement in the form of biases (see Figure 4.1). That initial belief often lies below the surface, and only shows itself through our actions. Another time-saving thought process involves heuristics, or mental shortcuts that tell us to expect a certain outcome any time we

see a specific known behavior. Finally, we react to time constraints by settling, accepting a solution as good enough given the time available, even though we might prefer a different outcome.

Recency Bias – the expectation that events and trends that have occurred recently will have a higher likelihood of recurring or continuing

Mirror Imaging – the expectation that others will think and act like us despite having

Figure 4.1 Examples of Bias

Time for Red Teaming

With the understanding that we learned these behaviors, it is logical that in most cases we can learn to counter them. In cases where shortcuts are required, we can learn to use better ones. To address assumptions, for example, Red Teamers consider frames and mental models to establish an understanding of a person's point of view and belief system. Through repetition and comfort with tools like **Frame Audits** and **5 Whys**, a Red Teamer can rapidly examine a thinking process, highlight potential issues, and suggest techniques or apply tools that could provide more satisfactory outcomes.

That same repetition and comfort with thinking differently strengthens a Red Teamer's awareness, improving perception and increasing the likelihood of noticing things others might not. One of the most common events Red Teamers identify and challenge using ACT is "cognitive autopilot", meaning doing that which is mentally easy and/or familiar. For example, we often find that in response to a notional problem A, we automatically respond with solution B. Sometimes that works, but other times it might not. Because of the complexity of the world around us,

multiple instances of problem A might not always have the same cause or characteristics. That means we are failing to notice that we are not actually dealing with exactly the same problem, and therefore the exact same solution will not work. By using ACT skills and tools to identify the often-subtle differences between problems, we can alter our responses and apply more appropriate and effective solutions. As an added benefit, ACT also helps us avoid the undesired second-order effects that might spring from an imperfect solution.

Creating Space and Time

When there is time for a Red Teamer to perform structured group facilitation in support of ACT, practitioners can call on a wide range of tools with which to address the situation. Even in cases of formal decision-making or planning processes, in which the process requires questions at various points, Red Teams can help ensure participants are asking the right questions from the right points of view. For example, a group might ask, "Is a foreign military formation behaving in a threatening manner?" As military members directly opposed to that formation, troop movements might make it easy for us to respond in the affirmative and recommend action. As Red Teamers, however, we could use ACT tools like **4 Ways of Seeing** to determine if there are other reasons for the behavior, or tools like **6 Empathetic Questions** to examine motivation and highlight potential misunderstanding. On the other hand, the same tools used to examine seemingly mundane activity might reveal deception and a previously unseen threat.

The disconnect between behavior and perception, e.g., whether a certain behavior should be considered threatening, is often caused by differences in how we see the world, and how we expect the world to work. These viewpoints and beliefs are often characterized as frames and mental models but can also

be attributed to cultural differences. Using the cognitive autopilot discussed earlier, it would be easy to assume that everyone has the same values, beliefs, and desires that we do, but that conclusion would not stand up if we were thinking critically. Every person we encounter, whether a family member or military adversary, has a unique lifetime of experiences that shape their perception and beliefs. No two people have exactly the same experience, so no two people see the world exactly the same way. As human beings, we tend to group with those like us, but it is critical to realize that like us does not mean exactly the same as us.

With this understanding, Red Teamers use tools to create distance from the problem and allow themselves and others to adopt different perspectives to evaluate understanding. ACT tools like the **Onion Model** provide our minds freedom of maneuver to deconstruct culture, decipher explicit behavior, and reveal implicit belief and motivation. While this activity serves as a core component of the Red Teaming principle of Fostering Cultural Empathy, it also serves the principle of ACT by helping critically deconstruct assumptions and beliefs about others. Chief among these challenged assumptions is the idea that all members of a common group are the same; ACT combats this by suspending judgment while identifying the things that make people different using tools like **Stakeholder Mapping**, and then considering how those differences impact the situation.

In cases where answers remain hidden, Red Teamers explore alternatives. When an answer presents itself, Red Teamers practice healthy skepticism and continue to diverge, understanding that the first answer is often the easy one, and the easy answer is rarely the right one. Tools like **Brainstorming** and **Circle of Voices** facilitate divergence. Once sufficient divergence has occurred, Red Teamers apply further tools like **Dot Voting** to converge on appropriate solutions. With

this structure, they facilitate the collection of a wide range of solutions, then logically and critically narrow those solutions to find the ones that best suit the situation and the desired outcome.

Combining these activities and practicing them in a deliberate manner provides the opportunity to adjust our way of thinking concerning how we see ourselves, how we see the world, and what might be possible in the future. That altered and improved worldview, supported by Red Teaming techniques and tools, enhances our understanding of the operating environment and the involved stakeholders. Understanding that we are always thinking, judging, and deciding, ACT allows us to think more critically, judge more accurately, and decide more favorably.

Summary

Red Teams use structured tools and techniques to perform and facilitate Applied Critical Thinking. They do this by analyzing and evaluating perception and interpretation, with the goal of improving understanding and decision making. Due to time constraints in the decision-making process, Red Teamers internalize ACT principles when possible to make them second nature, as well as tailor activities to match the time available. During this practice, we identify assumptions, biases, and instances of cognitive autopilot, making the implicit explicit and guiding groups through exercises to improve understanding and outcomes. Finally, Red Teams help groups explore and evaluate alternatives, revealing previously unseen possibilities and providing freedom of maneuver.

Chapter 5

Groupthink Mitigation and Decision Support

Organizational decisions, though normally made by a single person, are often based on the input and support of groups of people. Commanders weigh the input of their staff when making decisions and executives consider advice from their senior managers. The dynamics of such groups directly impact the quality of the information they provide, and consequently weigh on the decision's outcome. Red Teaming addresses the group dynamics and issues in decision-making activities present in these scenarios through the principle of Groupthink Mitigation (GTM) and Decision Support.

Group Dynamics and Groupthink

The benefit of using a group for Decision Support lies in the varied experience, knowledge, and perspectives of the participants; a group will naturally have a wider range of these elements than would a single person. As discussed in previous chapters, considering alternative perspectives and approaching problems from multiple directions leads to better

understanding and better decisions. A collection of people employing good group dynamics is well-suited to provide exactly this to a decision maker, but group dynamics is often precisely what gets Red Teamers into trouble. The problem, at least in part, lies in the human affinity for grouping and hierarchy.

Categorization and ranking are inherent parts of Western culture. We group similar things, then establish a hierarchy to determine relative merit. This behavior is particularly prevalent any time people gather in groups; we naturally and automatically identify subgroups and arrange people by seniority, importance, or other categories. Perhaps nowhere is this more prevalent than in the military, where we categorize by service, branch, unit, staff section, etc., and prioritize by the rank clearly displayed on a member's uniform. Though this behavior helps us to understand the elements of our environment and our comparative place in it, this categorization can directly harm the effective group dynamics required for providing Decision Support.

Psychologist Irving Janis noted that such behavior is so common and harmful that he popularized the term "groupthink" to describe what often happens when we join together. Groupthink comprises multiple elements, all of which can contribute to unsatisfactory outcomes. First, the forming of a group can immediately create an "us-against-them" mentality. This leads to both an often-unfounded sense of moral and intellectual superiority for group members and a sense of pressure toward conformity and uniformity for members. Rather than exploiting the range of knowledge, experience, and viewpoints mentioned earlier to generate multiple options, this pressure artificially drives group members to agree on a single line of reasoning. It also impacts the group's perception of adversaries by assuming they have the same level of group

conformity; misperception can be particularly harmful when a single person displays hostility. In such a case, a group can incorrectly assume hostility from all members of the adversarial group, leading to unnecessary conflict.

A second issue of groupthink presents itself in actual and perceived hierarchy. Few people willingly and openly challenge their superiors in a group setting, as disagreeing with your boss can be detrimental to your career. In other instances, senior individuals establish themselves as "mind guards" and prevent the group from following certain lines of reasoning, therefore limiting the divergence that might be required to find a suitable solution. Likewise, groups can evolve into a hierarchy of extroverts and introverts, with the former dominating the conversation while the latter's ideas remain unspoken. Whether the censorship of people and ideas is directed or self-imposed, it always limits and sometimes destroys the effectiveness of the group.

Harmful group dynamics and groupthink can also set the stage for the "everyone knows" phenomenon. Whether presented by a senior member or a forceful personality, statements like, "We can all agree that..." and "Everyone knows that..." typically shut down questions or conversation of alternatives, even when people do not agree. Group members often choose to avoid challenging such statements in the belief that doing so would be ineffective or would derail the group's progress. In either case, valuable opinions and information remain unspoken while the group drives on unaware.

Groupthink Mitigation

To combat such behavior and support better decision making, Red Teamers practice Groupthink Mitigation. This act helps groups establish dynamics more conducive to the free

flow and sharing of information and the generation of quality alternatives.

> *Groupthink Mitigation (GTM) is the application of tools designed to foster divergent thinking during problem solving by including the perspectives of every member of the group before converging on a course of action. Inherent in the GTM techniques are the requirements of the individual to consider and record their thoughts before group engagement and use anonymity to encourage feedback.*

GTM fundamentals include countering hierarchy, exploiting anonymity, and providing time and space.

To counter the negative aspects of hierarchy, Red Teamers focus on removing the fear of recrimination and embracing the democratization of thought. Anyone can have a good idea, but that is of little value if the person is afraid to speak up. In cases where participants are willing to share, but simply afraid of contradicting superiors, Red Teamers use tools like **Circle of Voices** to solicit input, combined with the strategy of starting with the most junior group member and moving up in rank. This provides an opportunity to hear honest opinions that have not been influenced by statements from senior members.

In cases where group members still resist providing information, or where senior members automatically prefer the opinions of certain individuals over those of others, anonymity becomes a useful approach. Participants are freed to diverge and present ideas outside the realm of the expected, which often opens new and useful avenues to address the problem. Red Teamers accomplish anonymity by employing tools like **5 Will Get You 25** or by soliciting written information from group members and sharing without attributing sources. Such methods allow groups to discuss ideas without attaching them

to personalities or positions, and therefore evaluate them purely on the merits of the idea. Anonymity also helps avoid peer pressure, as it forces participants to generate their own ideas without knowing what others will provide.

Personality and temperament can also present challenges in a group setting, which Red Teamers counter by providing space. While some people enjoy aggressively attacking problems in a group setting, others prefer to contemplate the problems and think them through fully before discussing. For these scenarios, Red Teams leverage awareness of such preferences to identify those people and ensure they have an opportunity to contribute by using tools like **Think-Write-Share** or **Think-Draw-Share** and intentionally allowing time before requesting input.

Decision Support

The combination of GTM tools and techniques improves group dynamics and restores the value of having a range of participants in a group. Once a group overcomes the natural predilection toward groupthink, Red Teamers leverage the knowledge and expertise of the group members to facilitate divergence. As discussed earlier, variety of experience, knowledge, and perspective helps a group provide higher quality support to decision makers. Divergence continues that variety by allowing members to explore a range of non-intuitive ideas and previously unrecognized options. Tools like **Brainstorming** and **Mind Mapping** contribute to this first part of the **Ideal Group Process**, focusing on generating options without passing judgment.

After a period of initial debate on the divergent ideas, the process continues to convergence. In this phase, Red Teamers help groups evaluate the merits and applicability of the generated ideas using tools like **Dot Voting**. While providing a

decision maker with options can be beneficial, providing too many options becomes overwhelming and counterproductive. Convergence ensures the best of the generated ideas make their way to the top, to present the decision maker with options the group determines are most appropriate to the situation and most likely to accomplish the desired results.

Summary

Groups often provide decision makers with a wide range of experience, knowledge, and perspectives on which to rely, but group dynamics and groupthink can sabotage that effort. This typically happens because of categorization and hierarchy. Red Teamers apply tools and facilitate groups to mitigate these issues and empower all group members to participate. Once the group is functioning properly, structured approaches support divergence of thought to generate alternatives and convergence to narrow those alternatives to the best options to support the decision-making process.

Chapter 6

Thinking Creatively

"The only thing harder than getting a new idea into the military mind is getting an old one out."

Basil Liddell Hart, Thoughts on War, 1944

The ability to think creatively, that is, the ability and disposition to generate ideas that are both new and useful, is very important for military leaders, teams, and staffs. However, many aspects of military culture tend to impede creative thinking. Some of the barriers to creative thinking include time pressures, hierarchical structures, emphasis on uniformity and training standards, and a predilection for risk avoidance due to the potential for severely negative outcomes of flawed decisions.

The Creative Thought Process

The thoughts and actions by which people generate novel and adaptive ideas can be modeled by a 5-stage process. Although the linear model depicted below is a useful tool for describing and understanding how creative ideas are generated, in actual inventive situations the stages of the process tend to

blend together, and the progression is iterative and nonlinear.

Stage 1: Problem-Finding

The first stage in the creative thought process is **problem-finding** (see Figure 6.1). Many successful innovators believe that this is the most crucial stage of the process.[1] The key in this stage is to see beyond the symptoms and gain an understanding of the underlying or root causes of the problem, and how the current situation differs from the desired state.

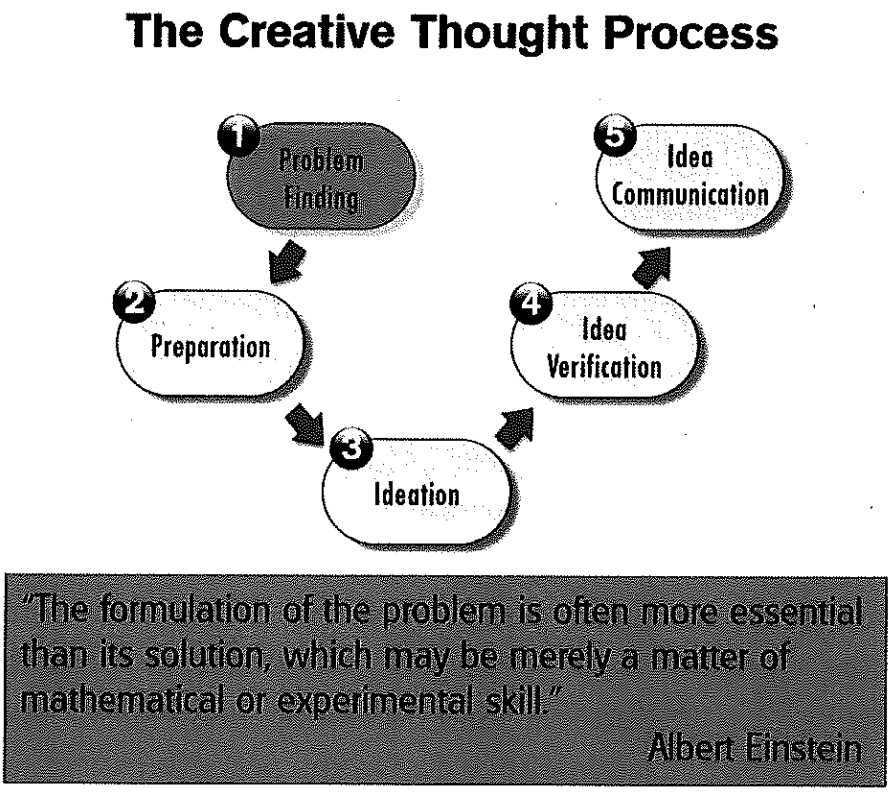

Figure 6.1 Creative Thought Process - Problem Finding

Effective **problem-finding** can be very difficult when facing complex or unstructured problems. Additionally, when teams conduct **problem-finding** in organizational settings, they often face significant challenges such as groupthink, confirmation bias, motivated reasoning, and egocentrism.

Red Team Tools:

Red Teamers can greatly assist leaders during this stage of the creative thought process by using Red Team Tools, especially:

Shifting the Burden **Stakeholder Mapping**

Problem Framing **Cultural Perception Framework**

4 Ways of Seeing **5 Whys**

Analysis of Competing Hypotheses

***Alternative Futures Analysis** is also a very useful way for leaders to anticipate and prevent future problems.

Stage 2: Preparation

After finding the problem, the team immerses itself in the problem. During the **preparation** stage (see Figure 6.2), the team typically tries all previously known solutions. If they discover a solution that works during this initial search, they apply the solution and move on, especially in time-sensitive situations.

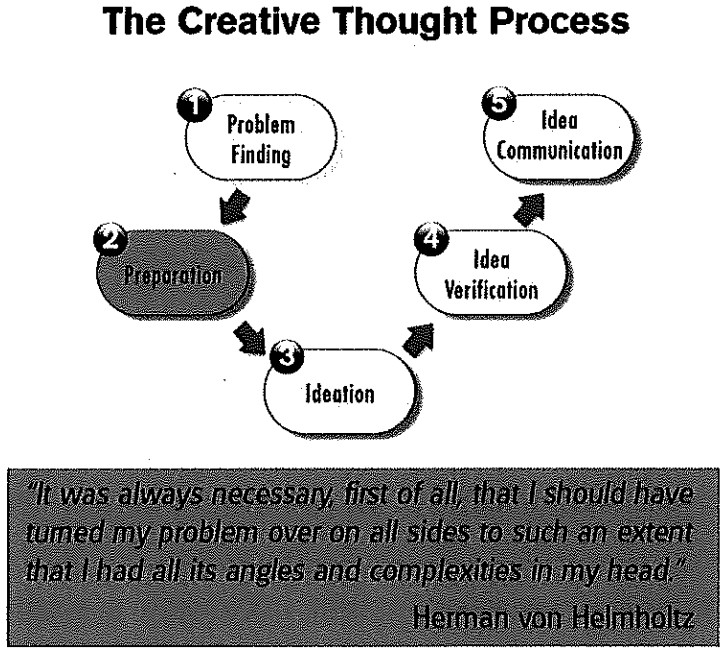

Figure 6.2 Creative Thought Process - Preparation

The goal during **preparation** is to learn as much as possible about the problem, the context, and even how similar problems have been solved in different domains. There are also significant challenges to teams in this stage, including:

1. The tendency to interpret the situation in such a way as to erroneously identify the problem to be like one that they have previously experienced and to which they have a known solution
2. The tendency to over-simplify complex problems
3. The tendency for groupthink
4. Failure to challenge, or even to be aware of assumptions
5. The tendency to minimize or deny the presence of problems in order to avoid blame or the appearance of weakness / ignorance

Red Team Tools:

Red Teamers can assist leaders and teams during the **preparation** stage using Red Team tools such as:

Key Assumptions Check **Fishbowl**

Think -Write- Share **5 Whys**

The **preparation** stage continues until the team either finds a potential applicable solution to try or ceases mental work on the problem.

Stage 3: Ideation

The third stage of the creative thought process, **ideation**, is probably the stage most often associated with creativity (see Figure 6.3). This stage also is an individual action. Even when the planning or problem solving is conducted collaboratively by a team, the initial creative insight occurs to a single person. Having said that, working collaboratively in the **preparation** stage can significantly increase the chances of any individual in

the group experiencing a creative insight, especially in teams comprising people with diverse perspectives, experiences, and areas of expertise.

Beginning with Graham Wallas' book, The Art of Thought published in 1926, there has been a widely accepted notion that the **ideation** stage consists of: Step 1 – **Incubation**, Step 2 – **Illumination**.

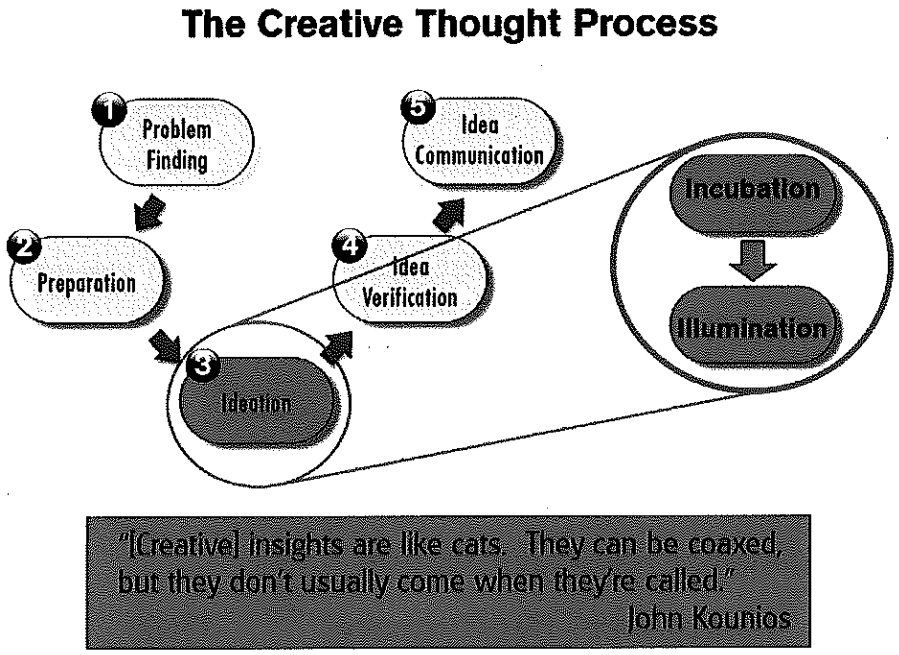

Figure 6.3 Creative Thought Process - Ideation

Incubation begins when the leader or team working on the problem puts the problem aside and either begins deliberate work on a different problem or enters a state of cognitive relaxation. Although creative insights rarely occur while the person is studying and actively thinking about the problem (the **preparation** stage), they are much more likely to occur if the **preparation** stage was thorough, and the person consciously thought about the problem in detail and from different perspectives.

At some point during the **incubation** stage, an insight

comes to mind, often suddenly. This is the **illumination**. One of the best, accounts of the **incubation – illumination** stages was from German Scientist and prolific inventor, Herman von Helmholtz, who said during a speech,

> *"Often... [ideas] appeared without any effort on my part, like an inspiration. They never came to a fatigued brain and never at the writing desk. It was always necessary, first of all, that I should have turned my problem over on all sides to such an extent that I had all its angles and complexities in my head. Then there must come an hour of complete physical freshness and quiet well-being before the good ideas arrived. Often, they were there in the morning when I first awoke. But they liked especially to make their appearance while I was taking an easy walk over wooded hills in sunny weather."*[2]

Red Team Tools:

Red Teamers can assist leaders and teams during this stage to think more divergently and bring about more creative insights using Red Team tools such as:

Divergence - Convergence **TRIZ**

Structured Brainstorming

Stage 4: Idea Verification

Once the person has experienced the insight and has a new and creative idea, they share it with the team. The team members need to think it through, asking themselves questions such as, "Will this actually work?" and, "What would happen if...?" In most cases, the creative insight generated during the illumination arrives into the person's conscious mind incomplete. As psychologist J.S. Dacey noted about the **idea verification** stage (see Figure 6.4), this is where "the idea must be tested against the cold reality of fact."[3]

Teams tend to be more effective at **idea verification** than individuals for a few reasons:

Teams can help mitigate the natural tendency to "fall in love with your idea," and disregard all potential causes of failure due to wishful thinking, pride, and protective instinct. It is very natural for a person to develop a personal attachment to their new idea. It is critical, but indeed not natural, to dispassionately and objectively analyze and critique your own new idea. **NOTE:** Teams are only better than individuals during this stage if they operate in a climate conducive to candor and characterized by intra-team trust. To be successful, it is also very important for them to have processes in place to mitigate the tendency for groupthink.

Teams, especially when comprising members with diverse areas of expertise and perspectives, can better anticipate how the implementation of the new idea might impact other aspects of the organization.

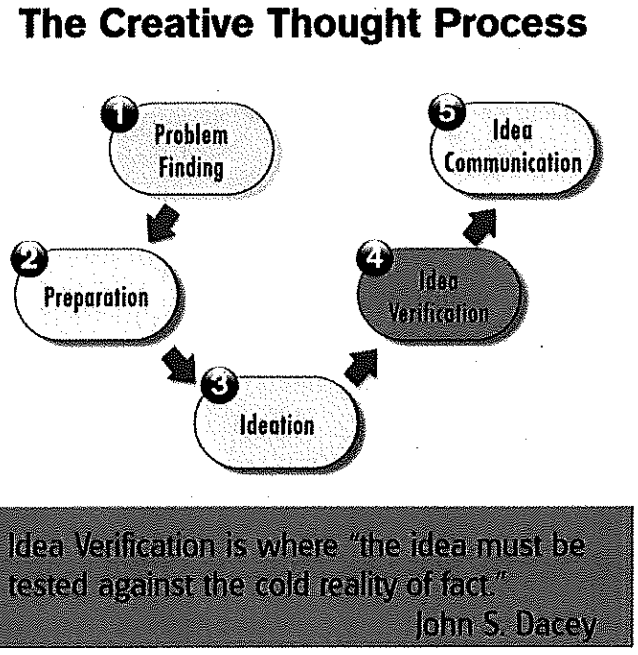

Figure 6.4 Creative Thought Process - Idea Verification

Red Team Tools:

Red Teaming tools, and especially a Red Teaming mindset can greatly enhance the effectiveness of individuals and teams during the idea verification stage. The Red Team Tools that tend to be most useful during this stage:

Premortem Analysis **What if? Analysis**

Stakeholder Mapping **Fishbowl**

Stage 5: Communication

During the **communication** stage (see Figure 6.5), the person or team that generated the new idea informs the relevant organizational stakeholders of the idea.

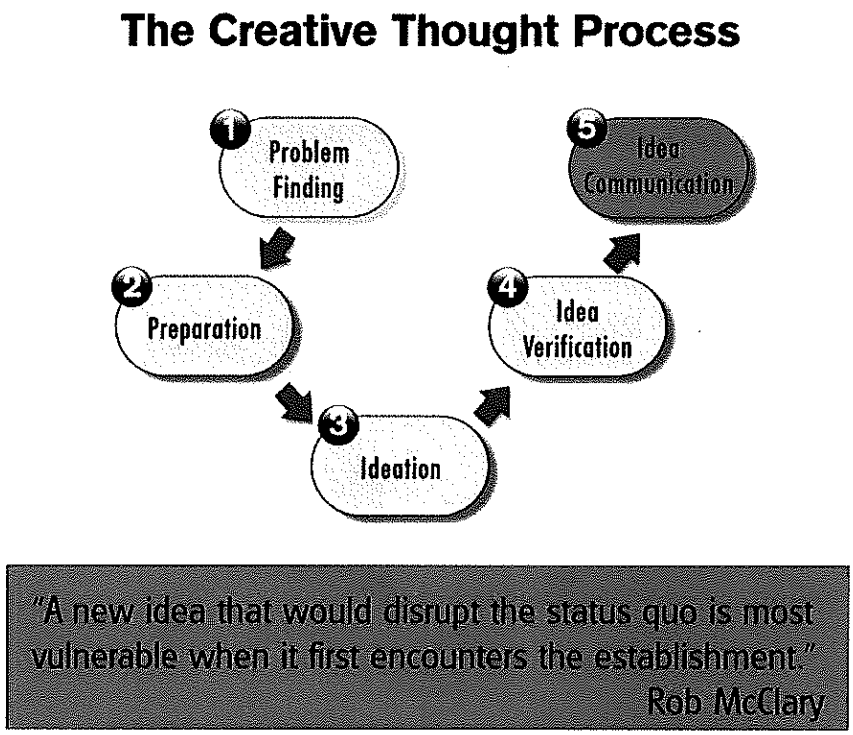

Figure 6.5 Creative Thought Process - Idea Communication

The goal at this stage is to communicate the new idea in a way that the relevant stakeholder:

1. Understands the idea, the problem that the idea is meant to solve, and the associated costs and risks of implementing the new idea, and

2. Supports the idea. This is, of course, a critical step because having a new idea, no matter how brilliant, is of no value to the organization until it gets implemented. And to get implemented, the idea must be shared with those in the organization who can direct actions such as committing resources, changing policy, or reprioritizing efforts and assets.

For ease of description, **communication** is listed here as a single stage. However, in practice, especially in collaborative settings, the communication of a new idea is often done in multiple steps, interwoven with the **idea verification** stage in an iterative sequence.

There are a few significant challenges to success during this stage as well, especially if the person with the creative idea is not among the organization's senior leaders. These challenges include:

1. The organizational climate in hierarchical units can often appear to its members as unreceptive to ideas that challenge the status quo. Such organizational climates can deter members who aren't senior leaders from sharing their creative ideas.

2. The creative person needs to be able to communicate the new idea in a manner that is understandable by the leaders. The more creative the idea is, the tougher it will tend to be for people unfamiliar with the idea to understand it.

Red Team Tools:

The Red Team methods and tools that can best assist

leaders and teams during this stage include:

- **Stakeholder Mapping**, specifically the analysis of interests step. Identifying the specific interests of key stakeholders enables the creative team to effectively articulate how the implementation of the new idea would serve the stakeholders' interests.
- A variation of **Argument Deconstruction**, specifically using the tool to help construct a compelling argument that ensures sound logic with clearly stated premises that sufficiently support the desired conclusion.
- A variation of **Determining the Suitability of an Analogy** combined with the **4 Ways of Seeing**. Using an analogy can be an effective way to use a familiar concept to communicate an unfamiliar concept (the new idea) in a compelling manner.[4] To be effective, the communicator must be sure that the receiver is indeed familiar with the source concept and perceives it in a favorable way. The **4 Ways of Seeing** is a tool to help envision another person's perspective and thereby gain empathic accuracy.

Summary

The ability to think creatively promises to be increasingly important for Army leaders and teams. With some practice and study, the Red Team Tools described in this book can significantly enhance leaders' abilities to both think creatively and foster organizational climates in their units that develop and facilitate their subordinates' creative thinking.

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[1] M. A. Runco and C. Ivonne, "Problem Finding, Problem Solving, and Creativity," in Problem Finding, Problem Solving, and Creativity, edited

by Mark A. Runco (Norwood, NJ: Greenwood Publishing Company, 1994): 40.

[2] John Kounios and Mark Beeman. The Eureka Factor: Aha Moments, Creative Insights, and the Brain. (NY: Random House, 2015): 29.

[3] John S. Dacey. Fundamentals of creative thinking, (Lexington, MA: Lexington Books, 1989): 86.

[4] Cynthia Sifonis, Adrian Chernoff, and Kevin Kolpasky. "Analogy as a Tool for Communicating about Innovation." International Journal of Innovation and Technology Management. Vol 3, no. 1 (2006): 1-19.

4 Ways of Seeing

This ACT tool was designed by the University of Foreign Military and Culture Studies.[3] This fundamental tool helps users examine two entities (people, organizations, nations, etc.) and gain a better understanding of perception, motivation, opportunity, opposition, and potential misunderstanding.

When to Use

Use when a situation or decision involves two or more stakeholders.

Value Added

Per the diagram below, the tool can be used to examine two groups and their views of one another. It can (and should) also be used in multiple iterations to examine the complex interconnections in scenarios with more than two participants.

The Method

1. Given two stakeholders, identify one as X and the other as Y.
2. Create a 2-by-2 matrix and insert X and Y identifiers (see Table 7.2) as illustrated below. Ensure each cell is clearly labelled with the entities' actual names, e.g., "How red sees blue".
3. Addressing one cell at a time, solicit group input for each cell using a tool like brainstorming or circle of voices. In addition to the labelled views, participants should consider topics like how each stakeholder views the operational environment (OE) and how culture, ideology, and situation influence their views.
4. Once all cells are filled, participants identify points of commonality, opposition, and potential misunderstanding between the stakeholders. This

information can be used to highlight opportunities and red lines.

How X Sees X	How X Sees Y
How Y Sees X	How Y Sees Y

Table 7.2 Four Ways of Seeing

Caution

Thorough research should be conducted to complete the analysis of these perceptions. It is more complex than the simple model implies. Some areas for further thought are:

- Seldom, if ever, will there be only two stakeholders in the system under study.
- Consider all the stakeholders' perceptions and inter-relationships within the system in order to provide context for the analysis.
- Consider how each stakeholder perceives and defines the OE, legitimate targets, and acceptable actions and weapons.
- All stakeholders hold values, beliefs, and perceptions that they view as right and rational.
- Consider stakeholder perceptions of the external audience(s).

See Also

Brainstorming, Circle of Voices, Devil's Advocacy

5 Whys

This ACT tool is a question-asking technique developed by Toyota executive *Taiichi Ohno* to explore the cause-and-effect relationships underlying a particular problem.[4] The technique is often used as part of the Lean Six Sigma process.

When to Use

To determine the root cause of a defect or problem symptom; however, the process can be used to go deeper to explore questions related to purpose rather than problems.

Value Added

Similar to Shifting the Burden, it is designed to push beyond the symptoms to get at the root of the problem.

The Method

Choose an issue or pose a question and ask participants to think about it for at least a minute. Pair up or form a small group and choose one person to state their thoughts on the issue. Each participant gets a turn in this role of explaining their thoughts and position on an issue of their choice.

The role of the others in the group is at first to be active listeners. Let the speaker complete their thoughts; do not interrupt for clarification or any other purpose. Once the speaker is done, ask "why?" at least five times, e.g., "Why is that important? Why should my staff section care about that? Why should resources be applied against that effort now?"

NOTE: If before asking 'Why' five times it looks like answers are circling back to the original statement or question, asking a 'How' question will change the perspective of analyzing the answer to continue researching for the root cause of the issue or problem. When seeking new opportunities, also consider asking

"why not?"

In addition to 5 whys, several "what" and "who" questions should arise as a result, like "what should we do now? What are the implications of what is suggested? Who else needs to know?"

It is important to begin with "why" questions. The answers to "why" questions get at causal links behind events and problem symptoms. "What" questions tend toward simple data collection and are subject to confirmation biases.

Example

Toyota provides the following example on their global website:

1. **"Why did the robot stop?"**

   The circuit has overloaded, causing a fuse to blow.

2. **"Why is the circuit overloaded?"**

   The bearings were insufficiently lubricated, so they locked up.

3. **"Why was there insufficient lubrication on the bearings?"**

   The oil pump on the robot is not circulating sufficient oil.

4. **"Why is the oil pump not circulating sufficient oil?"**

   The pump intake is clogged with metal shavings.

5. **"Why is the intake clogged with metal shavings?"**

   Because there is no filter in the pump.

5 Will Get You 25

This GTM tool is adopted by the University of Foreign Military and Cultural Studies from *The Surprising Power of Liberating Structures*.[5] This weighted anonymous feedback tool lets you solicit feedback a leader might not otherwise get from a staff, thereby providing the opportunity to identify opportunities and avoid unseen pitfalls.

When to Use

This tool allows for divergent thinking in generating ideas in an anonymous manner where hierarchy or introversion might inhibit these thoughts from being expressed to the entire group in open discussion. It also assists in convergence because it begins to whittle down the ideas that are rated as having sufficient merit for further evaluation.

Value Added

The idea sharing process can spark new ideas for the group, enhancing creativity and revealing new possibilities.

The Method

This tool generally starts with a question. Some examples are:

- What is the single greatest challenge for our organization?
- What is the biggest threat to this strategy?
- What is the primary obstacle to this plan?
- What is our core competency?

First: Ask the participants to think about the question and write their best answer or idea on a card as clearly, as legibly, and in as few words as possible – a bullet is better than an explanation.

Second: When everyone is finished, collect the cards, shuffle them, and deal them back to the group, giving each person one card. Once everyone has a card, have each person read the card silently and consider the response. Then on the back of the card, have them rate that response from 1 to 5, with 5 being brilliant and 1 being not good.

Third: Conduct the process five times, in five rounds, ensuring no one rates a card more than once. In each round, ensure the cards are passed with the scores facing down. It is important to ask people to mentally rank the card before looking at the numbers on the back so that they are not influenced by others' ratings. By round five, each card should have five ratings on the back of the card.

Fourth: Once the group is finished, have the participants tally the numbers on the back of the card they are holding. Call out descending scores starting with 25 ("25, 24, 23...", etc.) and write the responses that correspond to the highest three to five scores on a whiteboard or butcher paper. These top responses can be discussed and refined further as the group begins its convergence process.

See Also

Dot Voting

6 Empathetic Questions

This ACT tool was adopted from *Ken Booth, Strategy and Ethnocentrism.*[6] This tool is designed to make Red Teams more aware of their inherent ethnocentrism by consciously attempting to recreate the world through another's eyes; a set of questions for insight into another's worldview.

When to Use

To foster cultural empathy or to examine a partner, adversary, or non-aligned actor who is culturally different from us.

Value Added

As part of a country study, it might uncover characteristics or attitudes of an actor, society, or nation-state that might not manifest during the 4 Ways of Seeing. Although less intuitive, the Red Teamer roleplays the "other" through critical thinking and visualization techniques.

The Method

Visualize the world from the point of view of the other. Empathetically examine the world by answering from the other's perspective:

1. It is difficult to appreciate another's problems.
   What are the other's problems?
2. It is difficult to feel another's pain.
   What is the nature of the other's pain?
3. It is difficult to understand another's ambitions.
   What are the other's ambitions?
4. It is difficult to internalize another's experience.
   What is the other's experience?
5. It is difficult to understand how our actions appear to others.
   How do our own actions appear to others?
6. It is difficult to feel how threatened another may feel.
   Why does the other feel threatened?

6 Words

This tool, inspired by *Larry Smith, Six Word Memoir*[7], is an ACT tool designed to help Red Teamers focus on a core idea by writing a short phrase summarizing their thoughts into a set number of words that are clear, concise, and accurate. This idea is based on a complete short story written by Ernest Hemingway: "For sale, baby shoes – never worn." Six Words forces people to synthesize their ideas in a succinct and meaningful way, cutting away fluff and distilling the idea to its bare essence.

When to Use

Utilize the tool to encourage participants to critically think about ideas when writing down their ideas to share. This tool also mitigates others from sharing ideas out loud that are not well thought out.

Value Added

This tool can create pithy "bumper stickers" that communicate in a meaningful, memorable way.

The Method

When a priming question is asked, and participants are provided time to think, have them write down their ideas in 6 words or less. The facilitator will guide the students by collecting their ideas through storytelling, 5x8 cards, stickies or writing them down on a white board.

Circle of Voices

This GTM tool was adopted by the University of Foreign Military and Cultural Studies and designed by *Stephen Brookfield, The Skillful Teacher.*[17] This is a simple tool for facilitating a respectful group discussion.

When to Use

When you need to promote active listening and ensure everyone has an equal opportunity to contribute and participate in group discussions. It is a simple facilitation technique for stabilizing group participation.

Value Added

Participants discover that listening, appreciating, and synthesizing are just as crucial to good discussion as originating brilliant contributions.

The Method

1. Seat 5-6 in a small group circle and explain, "each person gets 1 minute of uninterrupted airtime to say what they wish about the topic before we discuss it," and share these operating principles:
   a. Pre-commit to no stress about who goes when or for how long.
   b. Do not speak a second time, until everyone has spoken once.
   c. Listen actively; seek to understand what is communicated.
2. Share the assigned topic and impose 60 seconds of silence to think.
3. The initial Circle of Voices – Everyone gets a 1-minute turn to speak.

   a. Person #1 gets their turn at "uninterrupted airtime" to say what they wish about the topic, while others listen actively.
   b. Going around the circle in order, person #2 gets their turn, and so on, to the last person, while others listen actively.
4. Once the initial Circle of Voices is complete, the facilitator can open the floor for anyone who wants to speak. The only restriction:
   a. Refrain from grandstanding. You may discuss another's idea (already expressed), but you may not expand on your own idea.
   b. When discussing another's idea, participants should utilize the Yes, and... technique.

Devil's Advocacy

This ACT/GTM tool was adopted by the University of Foreign Military and Cultural Studies from *Heuer and Pherson, Structured Analytic Techniques.*[22] Its purpose is to challenge a single, strongly held view or consensus by building the best possible case for an alternative explanation.

When to Use

Assertions have been formed prematurely, without first considering alternative perspectives. It is a technique designed to help expose implicit assumptions and faulty reasoning.

The logic behind Devil's Advocacy stems from the cognitive challenges of decision making discussed by *Richards Heuer* (*The Psychology of Intelligence Analysis*) and *Morgan D. Jones* (*The Thinkers Toolkit*):

- We commonly solve problems by first forming a conclusion, and then using available evidence to support it. "[We tend to] favor a particular outcome or solution early on in the analytic process...long before we can objectively analyze the evidence and reach a conclusion." (This is the cognitive bias known as confirmation bias.)
- We tend to perceive what we expect to perceive
- We tend to value information that is consistent with our views, and reject or overlook information that is not
- We can easily become wedded to a pre-existing plan, person's reputation, etc., which precludes us from continuing to think critically about that plan, person, etc.

Value Added

Devil's Advocacy helps Red Teams expose faulty reasoning, especially when the beliefs or assertions in question are the result of "conclusions jumped to." The tool will help establish

additional evidence which should have originally been considered; it helps illuminate evidence which was either intentionally or unintentionally disregarded or ignored.

The Method

Conducting Devil's Advocacy tool is simplified by demonstrating the opposite idea of a state belief or assertion. Do this by 1) considering the same evidence, some of which may have been disregarded or ignored, and by 2) finding new and disconfirming evidence originally unavailable.

Example

Given a stated position: "The U.S. Federal Government should not directly fund private schools"

- State and prove the position in its opposite form: "The U.S. Government should directly fund private schools, because..."
    - Enumerate reasons why this should be so. Consider all evidence originally available, especially that which was disregarded or ignored. Oftentimes, evidence can support several hypotheses, based upon its interpretation.
    - Actively search for new evidence which proves this opposite assertion.
- Disprove the original belief or assertion:
    - Reasons in the "stated position" which are faulty
    - Reasons in the "stated position" which were ignored/overlooked
    - Reasons which are missing from the "stated position"
    - Consider any implicit assumptions upon which the "stated position" rests

Frame Audit

This ACT tool was adopted by the University of Foreign Military and Cultural Studies from the book *Winning Decisions*.[26] We all have biases that shape the frames through which we view the world and make decisions. Being aware of frames, both our own and those of others, improves our view and appreciation of issues in ways that leads to better decision making.

When to Use

Use this tool to analyze a frame under consideration or currently in use.

Value Added

It can uncover faulty, unsatisfactory, or less-than-successful frames, allowing us to reframe an issue in a more logical, helpful way.

The Method

Separate the frame into individual components and ask:

1. What metaphors are used for the issue(s)?
2. Which issue(s) does the frame address most? Why?
3. What yardsticks and reference points measure success?
4. What does the frame emphasize or minimize, and why?
5. Why do we view the issue(s) in this way? What experiences frame our view?
6. How is the issue(s) bounded? What is included in the frame or left out of consideration?
7. Do others think about the issue(s) differently, how so, and why? How successful are their frames?

Caution

Examining frames is time-consuming, especially when you analyze the frames of others.

Mind Mapping

This ACT/GTM tool is adopted by the University of Foreign Military and Cultural Studies from *Anthony Peter Buzan, Mind Map Mastery.*[32] Mind Mapping is a graphical tool that allows users to diagram ideas and thoughts in ways that both promote clearer understanding and facilitate further development and creativity. This visualization process uses text, image, ratio, color, and spatial arrangement to illustrate concepts and spark associations in the brain.

When to Use

To visually represent the complex connections of an idea or topic to achieve better understanding, identify gaps, and spark creativity. It can be a useful way to take notes, brainstorm, plan, study, memorize, solve problems, research, or convert ideas into constructs (see Figure 7.8).

Value Added

In contrast to linear text and traditional note taking, information is structured in a way that resembles how your brain navigates it. This visual approach can be particularly useful when people are overwhelmed with typical blocks and pages of text, as it is both an analytical and artistic activity. Many software tools build mind maps, organize them, and save them for later. For example, these are the characteristics of mind mapping:

- The main topic crystallizes as the central focus.
- Key themes radiate from the central focus; branching in a nodal structure.
- Branches navigate key elements, where 'twigs' appear as the lesser ideas.

The Method

Get a marker/pen and a blank whiteboard or piece of paper (landscape). Start with a single word, symbol, or image. Let your imagination go and keep the labels as short as possible.

1. Think of your main theme and write or draw that word in the center.
2. Branch related subtopics around the topic. Use radial hierarchy to arrange your branches. Branch related elements to the subtopics. Attempt to think of at least two points off each branch. Develop lower-level elements as you see fit.
3. Amalgamate or look for opportunities to cluster, relate, conjoin, shorten, and improve labels. Be as visual as you can. Distinguish notions with the use of font, color, proportion, symbols, etc. Vary text size, color, and alignment. Provide copious visual cues.

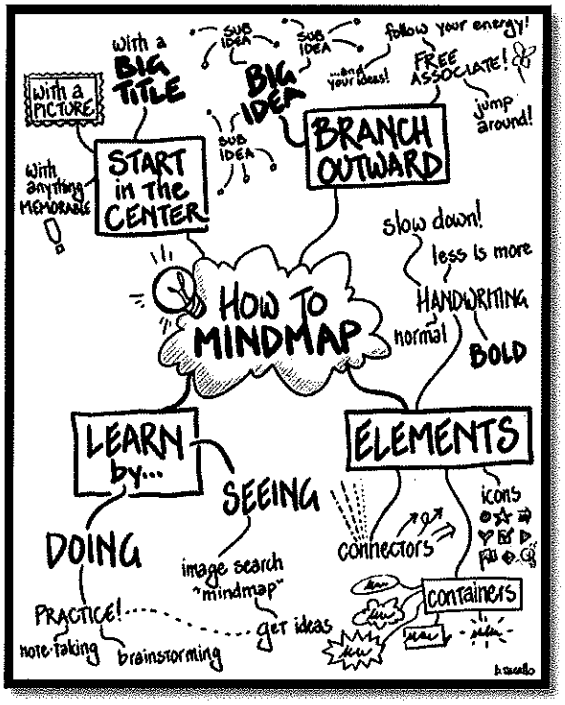


Figure 7. 8 Mind Mapping
(Reprinted with permission from Brian Tarallo, LizardBrainSolutions.com)

Problem Restatement

This ACT tool was adopted by the University of Foreign Military and Cultural Studies from *Morgan Jones, The Thinker's Toolkit.*[37] When presented with problems, we often define them too broadly, focus on only part of the issue, or make invalid assumptions. As a result, we identify and settle on solutions too quickly and fail to resolve the problem. Restating the problem in creative ways can lead us to reexamine our perspective by helping us identify the component issues and their relationships, thereby increasing our likelihood of finding a better solution.

When to Use

When framing a problem, especially if it seems tidy and straightforward.

Value Added

Restating the problem will often show that it is more complex than anticipated, but the practice can also reveal hidden pathways to a solution. By generating new insights into the problem, the process can help identify root causes, refocusing efforts on the real problem. The tool becomes doubly powerful when it integrates a divergent process, restating the problem in as many ways as possible.

The Method

Do any or all of these to improve the problem statement.

1. Paraphrase the problem statement. Restate it using different words without losing the original meaning. Try saying the same thing with different words. These variations put subtle spins on the meaning, triggering new perspectives or informative insights.
2. Turn the problem on its head. Restate it in an opposite manner. Similar to Devil's Advocacy, provide a view

from the opposite direction to reveal a counter perspective.

3. Expand the view. Restate the problem in a larger universal context to reveal a too-narrowly-defined problem statement.
4. Redirect the focus. Look for unexamined variables affecting the problem frame. Then consciously, openly, and boldly change the focus of the problem. For example, if the original focus was boosting sales, change it to cutting costs.
5. Employ "5 Whys". Formulate a "why" to the initial question, then answer it, then do it again, and again, etc. The effect may reveal insights obscured in the original framing of the problem, as well as any murky or unclear thinking.

Caution

The most common pitfalls lie in the problem's definition. The definition will often be misdirected, too narrow, too vague, or lack focus.

Example

- **What should we do about readiness?**

  This example does not identify the problem.

- **Unit readiness rates are slipping. How can we get unit commanders to focus on training?**

  This example is too narrow and misdirected.

- **How do we sway Division HQ to provide more billets and equipment to increase our capability for X, Y, or Z?**

  This example contains an assumed solution; if wrong, the statement again misdirects the focus of the analysis.

- **Unit readiness rates are slipping. How can we get unit commanders to focus on training?**

The unit commanders may not be the root problem or lack focus; if not, pressuring them might aggravate the problem. Examine the issue. If an assumption is invalid, the statement misdirects the focus of the analysis.

S-W-O-T Analysis

This ACT/GTM tool was adopted by the University of Foreign Military and Cultural Studies. [44] This framework, Strengths, Weaknesses, Opportunities and Threats, is designed to view a situation and its potential outcomes from four different perspectives.

When to Use

While SWOT can be used at any time, it is especially beneficial early in any analysis effort. Used in conjunction with the 4 Ways of Seeing, the tool can offer powerful insight. However, give some consideration to which of the two tools should be used first, and which should follow.

Value Added

SWOT helps to holistically reduce personal and cultural biases.

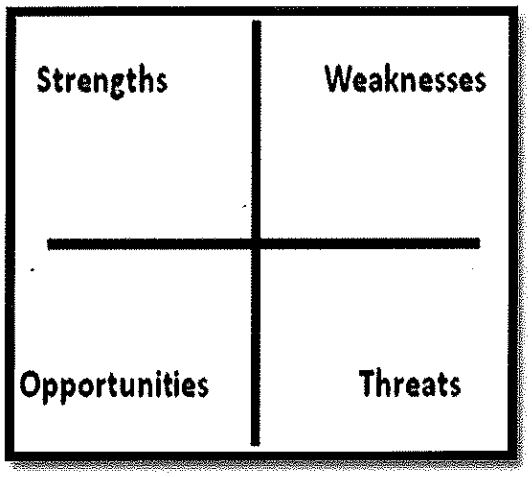
The Method

SWOT is a framework that adds value by essentially forcing the Red Team to think through the various perspectives of a given situation

1. Diagram four quadrants labeled: Strengths, Weaknesses, Opportunities, & Threats. (see figure below)

2. Brainstorm entries for each of the four quadrants.

3. Consider the scope of positive/negative consequences and respective impacts between quadrants or actors. Identify disconnects and plausible inferences of potential conflict.



Example

Analysts might recognize they are dealing with multiple political leaders on an economic issue within an area and must consider the interaction between the factions. The Red Team could analyze the potential inferences that actively affect the region's economy. Given the numerous actors, multiple iterations of SWOT Analyses with 4 Ways of Seeing would help consider factors influencing actor behavior as well as how each actor might view the others.

Think-Write-Share

This ACT/GTM tool was adopted by the University of Foreign Military and Cultural Studies.[46]Think-Write-Share (T-W-S) is designed to provide users a structured approach to critically think through any question and serves as a starting point for hearing all voices in any discussion. This tool is very effective for enabling critical and creative thinking.

When to Use

Groups can employ T-W-S before the employment of any ACT and GTM tools. This sequence provides any participant in a group discussion or meeting the time needed to independently develop and refine original ideas before presenting them for consideration by the group.

Value Added

Think-Write-Share is designed to mitigate fast thinking, grandstanding, thinking aloud, spring-butts/spot-light rangers, and the highest paid person's opinion (HIPPO). It supports reflection, increases reasoning, increases understanding, and creates new ideas. The tool allows time to create space between a question being asked, and the time an individual needs to think about them. Too often when collaborating with others, groups are challenged with dynamics that stifle the emergence of valuable ideas. Introverts usually develop better thoughts on their own, while extroverts synthesize the dialogue from others to create their improved ideas. T-W-S is the tool often used to foster critical and creative thinking for all group activities, no matter the size.

The Method

Facilitator: Identify a priming question for the participants to answer. Consider using 6 Words to get the participants to

think at the core of their ideas.

Self: THINK about the question. This engages individual thinking. WRITE down as many ideas as you can. Do not self-censor. Continue to write and revise to develop and refine your ideas. Transferring thoughts by writing them down forces the mind to engage in slow thinking and reflection of your thoughts.

Group: Identify a GTM tool for the group to share each other's ideas in a methodical manner. SHARE your ideas in a pair or within a small group.

Example

1. Before utilizing the tool, the facilitator is responsible for developing a priming question for the group to answer. The question needs to target key concepts of what the group is focusing on – demonstrating understanding, solving problems, building knowledge, examining information, or making recommendations.
2. STATE: Clearly state the question - "What are the key issues or challenges within your organization?" Provide a specific amount of time to the group - *"**THINK** for 5 minutes..."*
3. ELABORATE: "Keep an open mind and withhold judgment. **WRITE** down your ideas."
4. SELECT: Facilitator should select the appropriate GTM tool (*Circle of Voices, 1-2-4-Whole Group, Circular Response*, etc.) that supports the outcome they are trying to create. *"We will **SHARE** our ideas with a Circle of Voices."*
5. VARIATION: Facilitator can interchange Think-Write-Share with ***Think-Draw-Share.*** If you are trying to get participants to visualize the desired end state or complex ideas, drawing a diagram, model, or illustration can clarify ideas the participants are not able to express in words.

Who Am I?

This ACT/GTM tool was developed by the University of Foreign Military and Cultural Studies.[50] "Who Am I?" (WAI) is a story-telling exercise in which individual participants share watershed moments with the group. It is not an oral biography or resume, but rather an individual's choice of life-changing events that he/she perceives changed the way they think – both negative and positive – to share. The experience requires introspection and reflection for maximum benefit and attentive listening from other participants. The goal is to enhance the individual's self-awareness, while at the same time creating cohesion and relationship bonding within the group.

When to Use

The ideal time to use WAI is when a group is initially forming or reforming. However, WAI may also be effective when groups reorganize, take on new missions, or deploy.

Value Added

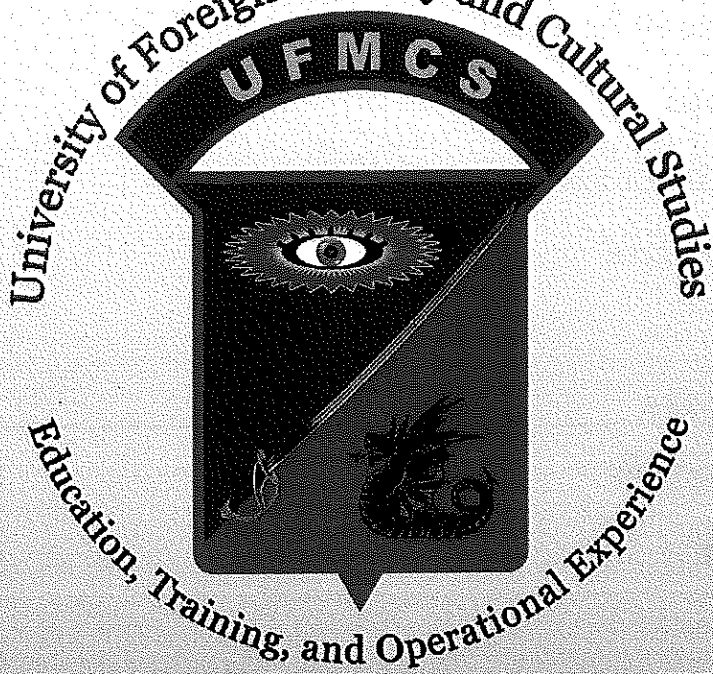
WAI develops relationships between members of a group that might otherwise take months or years to develop. In many cases, groups do not have that much time, yet high levels of trust are required for their work environment. Sharing watershed moments through WAI not only assists with group cohesion, but also helps participants improve self-awareness and reflection skills.

The Method

There are four elements to the WAI activity.

First: Individuals reflect on their own watershed moments. An effective method to accomplish this is to journal about key life events and their meaning, thinking about which events to share with the group. For some individuals, a drawing may be

Liberating Structures



Handbook

This handbook is derived from the Group Jazz publication, *Engaging Everyone with Liberating Structures.*
Group Jazz, 5505 Connecticut Ave. NW, Suite 286 Washington, DC 20015

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OWNERSHIP VERSUS BUY-IN

Ownership is when you own or share the ownership of an idea, a decision, an action plan, a choice. It means that you have participated in its development; that it is your choice freely made.

Buy-in is the exact opposite. Someone else, or some group of people, has done the development, the thinking and the deciding, and now they have to convince you to come along and buy-in to their idea -- so that you can implement their idea without your involvement in the initial conversations or resulting decisions. Aiming for buy-in creates lukewarm, pallid implementation and mediocre results.

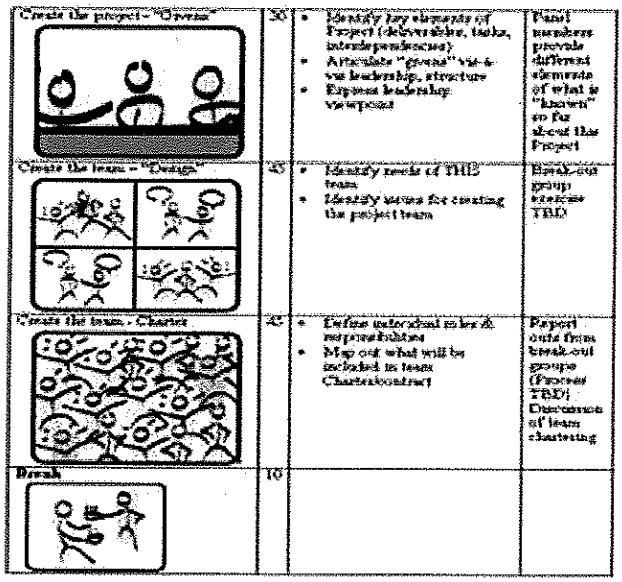
Liberating Structures help you create true ownership and avoid the pitfalls of buy-in.

When it comes to solving intractable socio-technical behavioral problems in systems the notion of buy-in is just not useful - people in the system need to own the new behaviors.

Anytime you or someone around you thinks or talks about buy-in, beware! It is a danger signal telling you that your development and implementation process is missing the essential ingredient of involving all who should be involved.

Liberating Structures are all about creating ownership.

STORYBOARD DESIGN AND PLANNING



Try using a storyboard instead of an agenda to design and plan a meeting, event, or even an initiative that will play out over time.

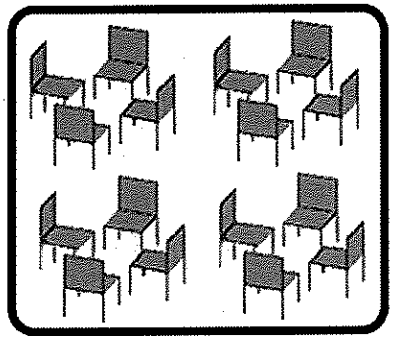
This can include everything any good plan might include (roles, topics, questions, timings, materials needed, etc.). Unlike an agenda, it also includes and illustrates something about what the participants will experience in the course of the meeting.

A storyboard makes it easier to design and plan collaboratively because it's easy for everyone to get a sense of the proposed flow of the gathering. For example, if you find your storyboard has a whole lot of podium sessions in a row, it's not going to be very engaging!

One technique that can work well is to use post-it notes to represent different components of the meeting so you can move them around to see how different combinations might feel.

Design your own icons or you can find a portfolio of possibilities you're welcome to use on the Group Jazz website.

KNEE-TO-KNEE CONVERSATION



Peter Block talks about the power of small groups sitting knee-to-knee - without the mediating effect of a table. Whenever possible invite participants to move closer together to create more intimacy. You can learn a lot more about the power of small groups at www.asmallgroup.net.

This can be a great way to start a meeting and it works with any number. Set up the chairs in small "knee-to-knee" groups before participants arrive. As they come in, they will naturally end up in small groups. When it's time for the session to start, invite all participants to find a place. Encourage them to sit with people they know less well than they know others and suggest they have a conversation based on the purpose and context of the meeting.

Possible questions:

What drew you to this meeting?

What are you most excited about in your work right now?

What are you bringing to this community?

What audacious goal could we have?

ONE MINUTE OF SILENCE

Give participants a full minute of silence to reflect on a question before starting an exercise.

A minute of reflection is not just for the introverts in your group. Everyone benefits from having a moment to think about something before jumping into a discussion. Participants have an opportunity to be fully present - leaving their last meeting, phone call, travel time, and so on, behind.

One strategy to help participants feel more comfortable with the idea of starting in silence is to make a big deal out of the amount of time by saying something along the lines of:

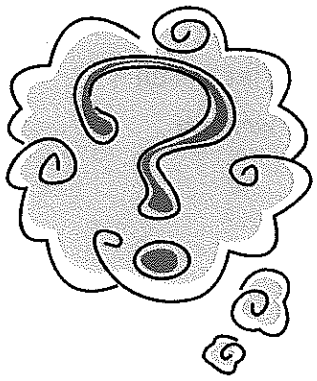
> *I'm giving you a full minute to think about this before we start and I'm going to time it so it's EXACTLY a minute. For some of you, this minute will go by in a flash. For others, it will seem like it's taking forever. But I promise, it will be exactly one minute. Ready?*

Later, when you debrief the LS process, invite participants to notice what the minute of silence contributed to the process if they don't bring it up themselves.

TAKING QUESTIONS

If you invite participants to ask questions or share comments after Celebrity Interviews or other exercises, have participants speak in batches (3-4 at a time) rather than 1 by 1.

This avoids a problem that can happen when the first question sends the conversation off in a weird direction.



It also avoids getting into a Q A Q A Q A Q A pattern that tends to reinforce the "central tendency" versus the distributed intelligence of the group. It makes it possible for many more participants to get their question into the mix. When you've heard several questions it feels more like you're getting a sense of the questions that are sitting in the group as a whole.

You can ask participants to write their questions on post-its or cards so that you can collect them all at the end of the exercise. You might post them somewhere or include them in the event proceedings.

The interviewer, volunteer participant, or meeting facilitator can elicit and listen to several questions and then invite the catalyst(s) to respond however they choose. This allows them to combine questions or select one that allows them to riff on the idea they find intriguing.

TAKE 10 (MINUTES)

It could be Take 7 or Take 15 or whatever amount of time seems right.

It may not seem like much - but giving participants a chunk of time to think on their own about something can generate tremendous benefits and allow the conversation to go deeper than it otherwise might. This can even be a good thing to do in the middle of a shorter meeting.

You can suggest that participants jot down some of their thoughts as they reflect. Tell them these notes are just for themselves, so they don't need to worry about writing them in a way anybody else can read or understand.

Give them a really juicy question to think about:

How has your thinking changed about [blank] since we started this morning?

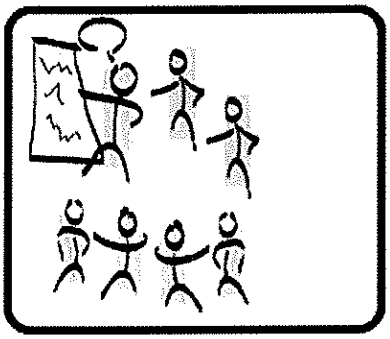
What have you heard that's really got your juices flowing?

What's the question you still need to answer for yourself to get to a significantly new place? Get unstuck?

What's been missing from our conversation so far?

Follow Take 10 with an exercise that lets participants share in a small group.

AFTER ACTION DEBRIEF: WHAT, SO WHAT, NOW WHAT?



At the conclusion, or sometimes in the middle, of a meeting it is very useful to ask the following questions in the following order:

WHAT?
What is emerging here? What data stands out? What actually happened?

SO WHAT?
What do the data imply? Do you see a pattern? Does it make a difference?

NOW WHAT?
What action may help us move forward? Who else should be here?

What? So What? Now What? is an exercise included many of the Center for Creative Leadership's creative thinking and leadership programs. Find out more at http://www.ccl.org.

LEVELS OF ACCOUNTABILITY

Take Action and Learn	**Make it happen, renewal**	
Find Solutions	**"This can work"**	*Learn & Grow*
Accept ownership	**"It starts with me"**	*Empowered*
Acknowledge situation	**"I'm a piece of the puzzle"**	
Wait 'n Hope	**"Somebody should do something"**	
Blame self	**"It's my fault," guilt**	
Blame others	**"It's their fault"**	*Protect & Defend*
		Disempowered
Denial	**"Woe is me"**	
	"This has nothing to do with me"	

What do we need to do to work "above the line?"

TAKE 20 SECONDS

(Pause and look at your shoes)

When it is ***more*** important to create a real conversation than it is to provide all the "right" answers, which is almost always, facilitators can do this by asking the assembled group good questions and then WAITING for people in the group to answer.

The most important thing to remember here is not to begin speaking too soon after you ask a question. Pose the question and then wait at least 20 seconds for someone else to speak.

20 seconds of silence in a group can feel like a very long time. On average, facilitators begin speaking after six seconds. So, increase your tolerance of loooong pauses.

During these long pauses people in the group are often formulating their answers and working up the courage to respond. If you start talking too soon, you truncate that process and communicate, unwittingly, that you're the one with the answers.

So, learn to pause for 20 seconds. Ask a partner to time you and find out how you're doing. Learn to count off 20 seconds in your head and stretch those pauses out to at least 20 seconds.

One good way to encourage the group to respond is to look down at your shoes, this disrupts your eye contact with members of the group, signals that this is time for reflection and thinking and takes a little of the pressure to begin talking off you.

Try it. You'll be surprised at the effectiveness of this trick!

This might be something that could come up in a debrief after another LS method where members of the group notice that pausing can be powerful even when you don't have someone carrying the role of facilitator.

MCDP 6

Command and Control

U.S. Marine Corps

PCN 142 000001 00

IMAGE THEORY

Human beings do not normally think in terms of data or even knowledge. People generally think in terms of ideas or images—mental pictures of a given situation. Not only do people generally think in images, they understand things best as images and are inspired most by images.[3]

We can say that an image is the embodiment of our understanding of a given situation or condition. (The term *coup d'oeil*, which refers to the ability of gifted commanders to intuitively grasp what is happening on the battlefield, means literally "stroke of the eye.") Images apply not only to the military problems we face but also to the solutions. For example, a well-conceived concept of operations and commander's intent should convey a clear and powerful image of the action and the desired outcome.

People assimilate information more quickly and effectively as visual images than in text. The implications of this are widespread and significant, ranging from technical matters of presentation—the use of maps, overlays, symbols, pictures, and other graphics to display and convey information visually—to conceptual matters of sharing situational awareness and intent.

Our image of a situation is based not just on the facts of the situation, but also on our interpretation of those facts. In other words, it is based on our intuition, appreciation, judgment, and

so on, which in turn are the products of our preconceptions, training, and past experiences. New information that does not agree with our existing image requires us to revalidate the image or revise it—not easily done in the turbulence and stress of combat. The images we create and communicate to others must approximate reality. Conversely, if we want to deceive our enemies, we try to present them with an image of the situation that does not match reality and so lead them to make poor decisions.

We generate images from others' observations as well as our own. In general, the higher the level of command, the more we depend on information from others and the less on our own observations. All but the smallest-unit commanders receive most of their information from others. This can cause several problems. First, when we observe a situation firsthand, we have an intuitive appreciation for the level of uncertainty—we have a sense for how reliable the image is—and we can act accordingly. But when we receive our information secondhand, we usually lose that sense. This is especially dangerous in a high-technology age in which impressively displayed information appears especially reliable. Second, we can sense more about a situation from firsthand observation than we can faithfully communicate to others or, at least, than we have time to communicate in a crisis. Third, since each of us interprets events differently, the information we communicate is distorted to some degree with each node that it passes through on its way to its final destination. And fourth, this same information is

likewise delayed at each node. Since the value of information exists in time, this delay can be critical.

Commanders need essentially three different pictures. The first is a closeup of the situation, a "feel" for the action gained best through personal observation and experience. From this picture, commanders gain a sense of what subordinates are experiencing—their physical and moral state. From this image, commanders get a sense of what they can and cannot demand of their people. In the words of Israeli General Yshayahor Gavish about his experience in the 1967 Arab-Israeli war: "There is no alternative to looking into a subordinate's eyes, listening to his tone of voice."[4]

The second picture is an overall view of the situation. From this view, commanders try to make sense of the relative dispositions of forces and the overall patterns of the unfolding situation. From this view, they also gauge the difference between the actual situation and the desired end state. The desired result of the overall view is a quality we can call "topsight"—a grasp of the big picture. If "*insight* is the illumination to be achieved by penetrating inner depths, *topsight* is what comes from a far-overhead vantage point, from a bird's eye view that reveals *the whole*—the big picture; how the parts fit together."[5]

The third picture we try to form is the action as seen through the eyes of the enemy commander from which we try to deduce possible enemy intentions and anticipate possible enemy moves. Of the three pictures, the first is clearly the most

detailed but usually offers a very narrow field of vision. Commanders who focus only on this image risk losing sight of the big picture. The second picture provides an overall image but lacks critical detail—just as a situation map does not capture more than a broad impression of the reality of events on the battlefield. Commanders who focus only on this image risk being out of touch with reality. The third picture is largely a mental exercise limited by the fact that we can never be sure of what our enemy is up to.

Squad leaders or fighter pilots may simultaneously be able to generate all three images largely from their own observations. Higher commanders, however, feel a tension between satisfying the need for both the closeup and overall images—the former best satisfied by personal observation at the front and the latter probably best satisfied from a more distant vantage point, such as a command post or higher headquarters.

As we have mentioned, any system which attempts to communicate information by transmitting images will suffer from a certain degree of distortion and delay. There are several ways to deal with this problem. The first is for commanders to view critical events directly to the greatest extent possible (consistent with the competing need to stay abreast of the overall situation). In this way they avoid the distortions and delays which occur when information filters through successive echelons.

Because as war has evolved, it has become increasingly complex and dispersed, commanders have found it increasingly difficult to observe all, or even most, critical events directly. One historical solution to this problem is a technique known as the *directed telescope*, which can be especially useful for gaining a closeup image. This technique involves using a dedicated information collector—whether a trusted and like-minded subordinate or a sensor—to observe selected events and report directly to the commander. Commanders may direct the "telescope" at the enemy, at the surroundings, or at their own forces. In theory, because these observers report directly, the information arrives with minimal delay or distortion. Directed telescopes should not replace regular reporting chains but should augment them—to avoid burdening lower echelons with additional information gathering and to check the validity of information flowing through regular channels. Improperly used, directed telescopes can damage the vital trust a commander seeks to build with subordinates.[6]

The second way to deal with the problems of delay and distortion of information is to rely on *implicit communications* to the greatest extent possible. Implicit communication minimizes the need for explicit transmission of information. Theoretically, because implicit communication requires indi- viduals who share a common perspective, information will suffer minimal distortion as it passes up or down the chain. We will discuss implicit communication in greater detail later.

The third way to deal with the problems of delay and distortion of information, also discussed later in more detail, is to decentralize decisionmaking authority so that the individual on the spot, the individual who has direct observation of the situation at that spot, is the person making the decisions.

THE COMMAND AND CONTROL SPECTRUM

Historically, there have been two basic responses to the fundamental problem of uncertainty: to pursue certainty as the basis for effective command and control or to accept uncertainty as a fact and to learn to function in spite of it.

The first response to uncertainty is to try to minimize it by creating a powerful, highly efficient command and control apparatus able to process huge amounts of information and intended to reduce nearly all unknowns. The result is *detailed* command and control. Such a system stems from the belief that if we can impose order and certainty on the disorderly and uncertain battlefield, then successful results are predictable. Such a system tends to be technology-intensive.

Detailed command and control can be described as *coercive*, a term which effectively describes the manner by which the commander achieves unity of effort.[7] In such a system, the commander holds a tight rein, commanding by personal di-

committed performance of subordinates and encourages subordinate initiative. Moreover, persuasive leadership reduces the need for continuous supervision, an important consideration on a dispersed and fluid battlefield on which continuous, detailed supervision is problematic.

PLANNING THEORY

Planning is the process of developing practical schemes for taking future actions. Planning may occur before a decision and so support decisionmaking—by analyzing the mission, the enemy, or the environment to help develop situational awareness or by studying the feasibility of different courses of action. Planning may also occur after a decision and so support its execution—by working out necessary coordination measures, allocation of resources, or timing and scheduling.

Planning facilitates future decisions and actions by helping commanders provide for those things which are not likely to change or which are fairly predictable (such as geography and certain aspects of supply or transport). Planning helps them to examine their assumptions, to come to a common understanding about the situation and its general direction, to anticipate possible enemy actions, and thus to consider possible counteractions. Planning helps to uncover and clarify potential opportunities and threats and to prepare for opportunities

and threats in advance. Conversely, planning helps to avoid preventable mistakes and missed opportunities.

By definition, planning is oriented on the future. It represents an effort to project our thoughts and designs forward in time and space. Because the future is always uncertain, planning should generally not seek to specify future actions with precision. The farther ahead we plan, the more time we allow ourselves to prepare, but the less certain and specific our plans can be. Planning ahead thus becomes less a matter of trying to direct events and more a matter of identifying options and possibilities.

Depending on the situation and the nature of the preparations, planning may be done rapidly or deliberately. Rapid/time-sensitive planning is conducted in response to existing conditions and is meant for immediate or near-future execution. In contrast, deliberate planning is based on anticipated future conditions and is intended for possible execution at some more distant time. We should keep in mind that all planning takes time and must facilitate the generation or maintenance of tempo, while ensuring that time allocated for planning does not adversely impact on tempo.

Planning routines can improve the proficiency of a staff by creating an effectiveness and efficiency of effort. The goal of the Marine Corps is to develop an institutionalized planning framework for use at all echelons of command. However, we must guard against using an institutionalized planning frame-

work in a lock-step fashion. We must ensure that the application of this planning process contributes to flexibility in conducting operations.

Planning occurs at different levels and manifests itself differently at these levels. At the highest level is what we can call conceptual planning which establishes aims, objectives, and intents and which involves developing tactical, operational, or strategic concepts for the overall conduct of military actions. Conceptual planning should provide the foundation for all subsequent planning, which we can call functional and detailed. These are the more routine and pragmatic elements of planning which are concerned with translating the concept into a complete and practicable plan. Functional planning is concerned with the various functional areas necessary to support the overall concept, such as subordinate concepts for mobilization, deployment, logistics, intelligence, and so on. Detailed planning encompasses the practical specifics of execution. Detailed planning deals primarily with scheduling, coordination, or technical matters required to move and sustain military forces, such as calculating the supplies or transport needed for a given operation.

In general, conceptual planning corresponds to the art of war, detailed planning applies to the science of war, and functional planning falls somewhere in between. Detailed and, to a lesser extent, functional planning may require deliberate and detailed calculations and may involve the development of detailed schedules or plans, such as landing tables, resupply

schedules, communications plans, or task organizations. However, the staff procedures which may be necessary in detailed and functional matters are generally not appropriate for broader conceptual planning. Rather, such planning should attempt to broadly influence rather than precisely direct future actions. Conceptual planning should impart intent, develop overall operating concepts, and identify contingencies and possible problems but otherwise should leave the subordinate broad latitude in the manner of functional or detailed execution.

ORGANIZATION THEORY

Organization is an important tool of command and control. How we organize can complicate or simplify the problems of execution. By task-organizing our force into capable subordinate elements and assigning each its own task, we also organize the overall mission into manageable parts. The organization of our force, then, should reflect the conceptual organization of the plan.

Specifically, what should organization accomplish for us? First, organization establishes the chain of command and the command and support relationships within the force. The chain of command establishes authority and responsibility in an unbroken succession directly from one commander to an-

DECISIONMAKING THEORY

A principal aim of command and control is to enhance the commander's ability to make sound and timely decisions. As we might expect, the defining features of command and control—uncertainty and time—exert a significant influence on decisionmaking.[15] All decisions must be made in the face of uncertainty. Theoretically, we can reduce uncertainty by gaining more information, but any such decrease in uncertainty occurs at the expense of time. And as we have already mentioned, it is not so much the amount of information that matters, but the right elements of information available at the right time and place.

There are two basic theories on how we make decisions.[16] The traditional view is that decisionmaking is an analytical process based on generating several different options, comparing all the options according to some set of criteria, and identifying the best option. The basic idea is that comparing multiple options concurrently will produce the optimal solution. As a result, analytical decisionmaking tends to be methodical and time-consuming. Theoretically, reasoning power matters more than experience.

The other basic approach, called intuitive decisionmaking, rejects the computational approach of the analytical method and instead relies on an experienced commander's (and staff's) intuitive ability to recognize the key elements of a

particular problem and arrive at the proper decision. Intuitive decisionmaking thus replaces methodical analysis with an intuitive skill for pattern-recognition based on experience and judgment. The intuitive approach focuses on situation assessment instead of on the comparison of multiple options. Intuitive decisionmaking aims at "satisficing," finding the first solution which will satisfactorily solve the problem, rather than on optimizing, as the analytical approach attempts to do.[17] The intuitive approach is based on the belief that, war being ultimately an art rather than a science, there is no absolutely right answer to any problem. Intuitive decisionmaking works on the further belief that, due to the judgment gained by experience, training, and reflection, the commander will generate a workable first solution, and therefore it is not necessary to generate multiple options. Because it does not involve comparing multiple options, intuitive decisionmaking is generally much faster than analytical decisionmaking. If time permits, the commander may further evaluate this decision; if it proves defective, the commander moves on to the next reasonable solution.

Each approach has different strengths and weaknesses, and determining which approach is better in a given situation depends on the nature of the situation, particularly on how much time and information are available. The analytical approach may be appropriate for prehostility decisions about mobilization or contingency planning when time is not a factor and extensive information can be gathered. It may be useful in

situations in which it is necessary to document or justify a decision or in decisions requiring complicated computations which simply cannot be done intuitively (such as in making decisions about supply rates). It may be appropriate when choosing from among several existing alternatives, as in equipment acquisition, for example. Finally, an analytical approach may have some merit in situations in which commanders are inexperienced or in which they face never-before-experienced problems. However, that said, the intuitive approach is more appropriate for the vast majority of typical tactical or operational decisions—decisions made in the fluid, rapidly changing conditions of war when time and uncertainty are critical factors, and creativity is a desirable trait.[18]

We frequently associate intuitive decisionmaking with rapid/time-sensitive planning and analytical decisionmaking with deliberate planning. This may often be the case but not necessarily. For example, a thorough, deliberate planning effort in advance of a crisis can provide the situational awareness that allows a commander to exercise effective intuitive decisionmaking. Conversely, the analytical approach of developing and selecting from several courses of action may be done rapidly. The point is that the planning model or process we choose, and the decisionmaking approach that supports it, should be based upon the situation, the time available, the knowledge and situational awareness of the organization, and the commander's involvement in the planning and decisionmaking process. While the two approaches to decisionmaking

are conceptually distinct, they are rarely mutually exclusive in practice.

CONCLUSION

Our view of the true nature of war leads us to one of two responses to dealing with the fundamental problem of command: either pursuing certainty or coping with uncertainty. These responses lead to two distinctly different theories of command and control. Each theory in turn imposes its own requirements on the various aspects of command and control—decisionmaking, communications, information management, planning, organization, training, education, doctrine, and so on—and so forms the basis for a distinct and comprehensive approach to command and control. The question is: Which approach do we adopt? The Marine Corps' concept of command and control is based on accepting uncertainty as an undeniable fact and being able to operate effectively despite it. The Marine Corps' command and control system is thus built around mission command and control which allows us to create tempo, flexibility, and the ability to exploit opportunities but which also requires us to decentralize and rely on low-level initiative. In the next chapter, we will discuss the features of such a command and control system.

DECISIONMAKING

Effective decisionmaking at all levels is essential to effective command and control. Several general principles apply. First, since war is a clash between opposing wills, all decisionmaking must first take our enemies into account, recognizing that while we are trying to impose our will on them, they are trying to do the same to us. Second, whoever can make and implement decisions faster, even to a small degree, gains a tremendous advantage. The ability to make decisions quickly on the basis of incomplete information is essential. Third, a military decision is not merely the product of a mathematical computation, but requires the intuitive and analytical ability to recognize the essence of a given problem and the creative ability to devise a practical solution. All Marine decisionmakers must demonstrate these intuitive, analytical, and creative skills which are the products of experience, intelligence, boldness, and perception. Fourth, since all decisions must be made in the face of uncertainty and since every situation is unique, there is no perfect solution to any battlefield problem; we should not agonize over one. We should adopt a promising scheme with an acceptable degree of risk, and do it more quickly than our foe. As General George Patton said, "A good plan violently executed *Now* is better than a perfect plan next week."[4] And finally, in general, the lower the eche-

lon of command, the faster and more direct is the decision process. A small-unit leader's decisions are based on factors usually observed firsthand. At successively higher echelons of command, the commander is further removed from events by time and distance. As a consequence, the lower we can push the decisionmaking threshold, the faster will be the decision cycle.

Maneuver warfare requires a decisionmaking approach that is appropriate to each situation. We must be able to adopt and combine the various aspects of both intuitive and analytical decisionmaking as required. Because uncertainty and time will drive most military decisions, we should emphasize intuitive decisionmaking as the norm and should develop our leaders accordingly. Emphasizing experienced judgment and intuition over deliberate analysis, the intuitive approach helps to generate tempo and to provide the flexibility to deal with uncertainty. Moreover, the intuitive approach is consistent with our view that there is no perfect solution to battlefield problems and with our belief that Marines at all levels are capable of sound judgment. However, understanding the factors that favor analytical decisionmaking—especially when time is not a critical factor—we should be able to adopt an analytical approach or to reinforce intuitive decisionmaking with more methodical analysis.

strategic questions and the most comprehensive. It will be given detailed study later, in the chapter on war plans.

It is enough, for the moment, to have reached this stage and to have established the cardinal point of view from which war and the theory of war have to be examined.

28. The Consequences for Theory

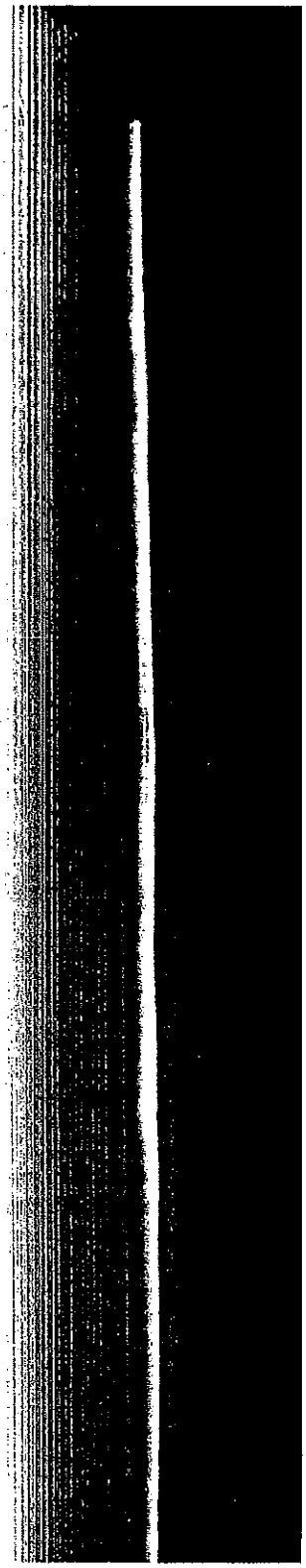
War is more than a true chameleon that slightly adapts its characteristics to the given case. As a total phenomenon its dominant tendencies always make war a paradoxical trinity—composed of primordial violence, hatred, and enmity, which are to be regarded as a blind natural force; of the play of chance and probability within which the creative spirit is free to roam; and of its element of subordination, as an instrument of policy, which makes it subject to reason alone.

The first of these three aspects mainly concerns the people; the second the commander and his army; the third the government. The passions that are to be kindled in war must already be inherent in the people; the scope which the play of courage and talent will enjoy in the realm of probability and chance depends on the particular character of the commander and the army; but the political aims are the business of government alone.

These three tendencies are like three different codes of law, deep-rooted in their subject and yet variable in their relationship to one another. A theory that ignores any one of them or seeks to fix an arbitrary relationship between them would conflict with reality to such an extent that for this reason alone it would be totally useless.

Our task therefore is to develop a theory that maintains a balance between these three tendencies, like an object suspended between three magnets.

What lines might best be followed to achieve this difficult task will be explored in the book on the theory of war [Book Two]. At any rate, the preliminary concept of war which we have formulated casts a first ray of light on the basic structure of theory, and enables us to make an initial differentiation and identification of its major components.



Clausewitz, Carl von. On War. Michael Howard and Peter Paret, eds. and trans.(Princeton, New Jersey: Princeton University Press, 1976), p. 89.

CHAPTER 2

ACADEMIC POLICIES AND PROCEDURES

SECTION 14: ACADEMIC INTEGRITY

21401. PURPOSE. To define the University's standards for academic integrity in terms of academic honesty, student collaboration, and plagiarism and to identify standard procedures to address cases of non-compliance.

21402. BACKGROUND. Academic integrity is a belief in academic honesty and an intolerance of acts of falsification, misrepresentation or deception. It is the standard at Marine Corps University for it rests upon an expectation that students and faculty will adhere to the core values and ethics embraced by the Marine Corps. Values such as honesty, trust, fairness, respect and responsibility form the basis of academic integrity. Honesty encourages a free exchange of ideas to achieve intellectual enlightenment. Trust fosters a willingness to engage collaboratively in the learning process, which involves sharing ideas in the quest for knowledge. Fairness is the foundation of educational inquiry. Respect allows for civility in public discourse. These values are fundamental elements sustaining the reputation and credibility of this institution's students and faculty, and the value of the education it delivers and the degrees it awards.

21403. COMPONENTS OF ACADEMIC INTEGRITY

1. Academic Honesty and Personal Integrity

a. Professional and Academic Credentials: Students and faculty must depict their educational credentials and professional backgrounds accurately and non-fraudulently.

b. Original Academic Submissions: Each student assignment is expected to be an original effort submitted in response to a specific graded event. Assignments, although original, completed in previous schools, courses, or blocks of instruction may not be simply "recycled" or subdivided and submitted anew as graded events for current requirements. Such behavior is academically dishonest and a hindrance to learning. However, expanding a theme or topic from a previously graded short paper into a more thoroughly researched and comprehensive written requirement (e.g., a paper of 20-30 pages) does not constitute a simple "recycling" of previous work. A student may incorporate the original

ideas from the short paper into the 20-30 page paper, for example, as long as those ideas are properly cited using the unpublished paper/working paper citation format defined in the *MCU Communications Style Guide*.

c. Archived Academic Submissions: Student learning requires effort. Simply utilizing the solutions devised by students from previous academic years, gleaned from archived schoolhouse files, library databases or the internet, as the solution to a problem, exercise, or assignment for credit in the current academic year is academically dishonest.

2. Collaboration. Collaboration consists of students working together discussing academic topics, assignments, or readings; proposing possible solutions to assigned problems or scenarios; and/or jointly producing academic deliverables. Collaboration between students is essential to learning at MCU, especially in the seminar format, and is always encouraged except in specific cases. In those cases in which collaboration is not permitted, the Faculty Advisor (FACAD), instructor, or Course Director must make clear that the effort is to be the student's individual work. Student handouts defining the requirements for graded assignments, events, or examinations that are meant to be individual student efforts MUST contain a statement indicating collaboration on the assignment, event, or examination is not permitted. Collaboration on assignments, events, or examinations that contain a statement prohibiting collaboration will be treated as instances of academic dishonesty and will be referred to a Student Evaluation and Performance Board for review. It is the students' responsibility to consult their FACAD, instructor, or Course Director if there is any doubt as to whether collaboration is permitted.

3. Plagiarism

a. Definition: Plagiarism is defined as the presentation of another's writing or ideas as one's own without appropriate citation or credit. The misuse of another author's writings, even when the exact wording is not lifted from the source, is unethical and academically dishonest. Such misuse includes not only the "limited" borrowing, without attribution, of another writer's distinctive and significant research findings, hypotheses, theories, rhetorical strategies, and interpretations, but also the "extended" borrowing, even with attribution, of another writer's ideas or interpretations to the extent that the student's paper no longer meets the requirement for original thought.

b. Forms of Plagiarism

(1) Plagiarism of Language: Appropriation of either whole papers or sections of exact phrasing or group of phrases lifted from another source without quotation marks and/or proper endnote or footnote attribution.

(2) Plagiarism of Ideas/Paraphrasing: The presentation of another writer's unique ideas, which derive from previously published works but which are not acknowledged as deriving from those sources. The appropriation of concepts, data, or notes disguised in newly crafted sentences; or reference to a borrowed work in an early endnote or footnote coupled with extensive further use without attribution.

(3) Self-plagiarism: The presentation of an article or paper to two different publications, or the submission of the same paper for two different courses. In submitting work for publication in journals, however, it is permissible to use the same data from one article to modify the focus of the paper in a significant manner and submit the newly revised paper for publication in a different journal.

(4) Improper use of material extracted from the Internet, other electronic sources, and verbatim passages used in oral presentations without proper acknowledgment.

c. Student Tools to Prevent Unintentional Plagiarism

(1) MCU Leadership Communication Skills Center (LCSC): The LCSC is a ready resource to students for all issues related to written or oral communications. The best defense against possible plagiarism is thorough documentation of the work. The *MCU Communications Style Guide*, available on the MCU and Gray Research Center (GRC) websites or at the LCSC, contains detailed examples of proper citation for attribution of another author's works or original thought.

(2) Plagiarism Detection Software: Although plagiarism can be intentional, it is often unintentional. In the process of conducting research for assigned academic papers, students inadvertently take unique ideas or even direct verbiage from sources and internalize them as their own. In such instances, students fail to attribute the ideas and verbiage to the source documents when they draft their papers. In an effort to ensure this does not happen, the University provides students access to plagiarism detection software either

through direct student access or through the LCSC. Prior to submitting written assignments to their instructors for grading, students should conduct a "self-check" against unintentional plagiarism through a software scrutiny of the draft assignment. The plagiarism detection software will identify the "probability" of plagiarism within the draft document and alert the students to unintentional plagiarism related to similarities in syntax, phrasing, and verbiage with published works. When the "probability" of plagiarism is detected by the software, students should review their work, appropriately edit the draft, and incorporate the proper citations and attributions prior to submitting the work to their instructors for grading. In addition to student utilization of plagiarism detection software, faculty members may utilize the software to detect instances of plagiarism in submitted student assignments.

(3) Preliminary Drafts of Written Assignments: Students should retain copies of preliminary drafts of their written work, as such drafts may help refute accusations of plagiarism, should they arise.

21404. PENALTIES FOR ACADEMIC DISHONESTY. Marine Corps University will pursue appropriate corrective courses of action for faculty or student cases of academic dishonesty. Such courses of action may include, but are not limited to: disenrollment; suspension; denial or revocation of degrees or diplomas; a grade of "no credit" with a transcript notation of "academic dishonesty;" rejection of the work submitted for credit; a letter of admonishment or other administrative measures. Additionally, student and faculty members of the United States military may be subject to appropriate administrative or disciplinary action under the Uniform Code of Military Justice for instances of academic dishonesty. Civilian or civil servant faculty or students who commit academic dishonesty may be subject to appropriate administrative or disciplinary action in accordance with the laws and regulations concerning federal employees.*

1. Student Performance Evaluation Boards. Cases of suspected academic dishonesty will be investigated by the Director of the appropriate University college, school, academy, or program. If warranted, the Director will convene a Student Performance Evaluation Board (SPEB) to further investigate and propose resolutions for alleged student academic dishonesty. The policies and procedures associated with an SPEB are explained in MCU Staff Regulations Chapter 2.

2. Faculty and Staff. Faculty and staff allegations of academic dishonesty may be addressed through procedures outlined in the JAGINST 5800.7 Manual of the Judge Advocate General (JAGMAN) and Manual for Courts-Martial United States for military members or through applicable civil service laws and regulations for federal employees.

21405. REPORTING ALLEGED INCIDENTS OF ACADEMIC DISHONESTY. Any MCU student, faculty, or staff member who suspects or becomes aware of a violation of the University's academic integrity policy is ethically bound to immediately report his/her suspicions to the FACAD, instructor, or immediate supervisor within the appropriate chain of command. All such reports of suspected violations must then expeditiously be reported to the Dean and Director of the appropriate University school, college, academy, or program, and in the case of the Staff Noncommissioned Officer academies, the Director of Enlisted PME. The Dean or Director will inform the Vice President for Academic Affairs (VPAA) of the suspected violation, for situational awareness. The recommended course of action in response to the allegation will be presented by the Director to the President of the University, in accordance with procedures outlined in Chapter 2 of the MCU Staff Regulations dealing with the Student Performance Evaluation Board.

21406. ACKNOWLEDGEMENT OF MCU'S ACADEMIC INTEGRITY POLICY
All students at MCU are required to read and acknowledge understanding of the MCU Staff Regulation on Academic Integrity during the first week of classes. A faculty member is also required to sign the document acknowledging that he/she has reviewed the academic integrity policy with the student (Figure 2-13). The administration office of each college, school, academy, or program will maintain a current file of signed acknowledgement forms for a period of five years.

21407. CANCELLATION OF 2009 PLAGIARISM STAFF REGULATION
This regulation supersedes previous MCU regulations pertaining to plagiarism (version 2009, Chapter 2, Section 14).

*MCU acknowledges the National Defense University's 2009 Statement on Academic Integrity as a source for specific verbiage and content incorporated within this staff regulation.

ACKNOWLEDGEMENT OF MCU'S POLICY ON ACADEMIC INTEGRITY

I have read and fully understand Marine Corps University's Statement on Academic Integrity.

STUDENT NAME: _____ ___

STUDENT SIGNATURE: _____ DATE _____

I have reviewed Marine Corps University's Statement on Academic Integrity with the above student.

FACULTY NAME: _____ ___

FACULTY SIGNATURE: _____

DATE_____

FACULTY POSITION: _____

Figure 2-13 ACKNOWLEDGEMENT OF MCU'S POLICY ON ACADEMIC INTEGRITY