

Engineering Management  
Field Project

# Leading through Change -

Preparing for and responding to change in a combat environment

By

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## **Executive Summary**

The field of battle today is ever changing, and change in any situation often generates utter chaos and confusion. If change cannot be controlled or mitigated, it has the potential to create grave danger to American fighting forces. Information developed in the research should aid in determining what actions could be taken to minimize the loss of life on battlefields as soldiers are introduced to unexpected changes.

The purpose of this research was to analyze how battlefield commanders' initially react to unexpected change in a combat environment. It is especially important that leaders remain vigilant when operating in hostile environments since there are few "second chances" in handling change; the consequences of experiencing unexpected change are often either survival or death. The initial reaction to change is crucial in determining whether mitigation strategies can be applied toward managing that change.

The general objectives for the research were to determine if training can improve how individuals adjust to change; to determine if individuals can minimize the effects of introduced change by taking specific, immediate actions; and to determine if such actions would ultimately be expected to lead to greater survivability.

One of the several specific realms of the research conducted involved determining whether training could help in identifying unexpected changes sooner, aiding in minimizing the effects of such changes. Another specific research realm involved analyzing how individuals work through unexpected change.

Various important issues relating to unexpected change were identified in the research. Carelessness and complacency were found to be important factors that can contribute to the impact of unexpected change. Another contributing factor is team

members not thinking alike, due to lack of experience in working together. When team members had little experience working together, outcomes were not in their favor.

The research revealed a considerable amount of useful information, helping to bridge the gap between the problem of unexpected change and its effective management. Results from a literature review were unanimous in supporting the idea that individuals need to specifically identify unexpected change as quickly as possible to increase the chances of survival – to the extent possible, even before the change occurs. To summarize other key literature findings in simple terms, soldiers are more successful when, faced with unexpected change, they keep an open mind, accept the change, and do what is necessary to get through the change.

Results from the original research conducted suggested that survival of unexpected change is directly proportional to how quickly individuals adapt to the change. This adaptability leads to individuals performing actions quicker than the enemy, or than the change being introduced, gaining important advantage.

Key elements in battlefield commanders' preparing for, and responding to unexpected change as identified from this research are mission debriefs and the sharing of lessons learned; but the most significant research finding was that the ability to predict change, or have almost instantaneous recognition of that change, is perhaps the most important capability for battlefield commanders in adjusting to change. Among other key elements in effectively reacting to unexpected change, better communication was also identified as tending to produce more positive results when unexpected change is encountered. Research results also suggested that better training made it easier for individuals to adjust to change. This training eventually led to soldiers reverting back to

the Commander's intent, enabling them to quickly decide on follow-on actions that helped them overcome change.

# Table of Contents

<b>Acknowledgements .....</b>	1
<b>Executive Summary.....</b>	3
<b>Chapter One: Introduction .....</b>	8
Research Focus .....	10
How Change Affected Warfare Throughout History .....	11
<b>Chapter Two: Literature Review .....</b>	16
Summarized Findings from Literature Review.....	26
<b>Chapter Three: Research Methods and Procedures .....</b>	28
Survey and Guided Discussion Procedures.....	29
Information and Data Collection .....	29
<b>Chapter Four: Results and Conclusion .....</b>	32
Introduction to the Change.....	33
The Decision Making Process .....	35
Actions Taken Upon the Change.....	36
Training and Preparedness .....	37
Team Chemistry .....	38
Outcome of the Introduced Change.....	39
Data Comparison.....	40
Determining the Gap .....	41
Summary .....	41
Conclusion .....	43
<b>Chapter Five: Suggestions for Additional Work.....</b>	45
<b>References.....</b>	47
<b>Glossary.....</b>	49

<b>Appendix A: Written Survey .....</b>	51
<b>Appendix B: Survey Summary .....</b>	57

## **Chapter One: Introduction**

It is 128 degrees Fahrenheit in the shade; there is nowhere to go to escape the intense heat. As the soldier looks around in an attempt to perform his job, all he can think about is the scorching heat pounding on his body. The only breeze present feels as if it is melting his face. During a short span of time, he loses all focus and becomes inattentive to his surroundings. His thoughts drive him to focus internally, leaving his entire team vulnerable to unexpected enemy actions. His lapse in attention provides all the time an insurgent needs to change the soldier's life forever.

The soldier needs to regain his focus immediately so that he can remain vigilant. As he regains the thinking he was trained for, he quickly begins to recall his immediate action (IA) drills – the drills he has rehearsed in case of enemy contact and which are essential to adjusting to any unexpected change. As his thoughts become clearer, the vehicle behind him strikes an improvised explosive device, and the patrol begins to take heavy fire. It becomes evident that the patrol has just entered an ambush and the original patrol plan will need to change dramatically. How will he react to the situation – the change – in order to help his fellow patrol members? These are the situations of unexpected change battlefield commanders must expect to face on modern fields of combat.

In today's world, the field of battle is continuously changing, introducing new challenges. Change in a battlefield situation often generates utter chaos and confusion, not only because of the nature of the change, but also because the change experienced in combat is more intense – dramatic in impact, instantaneous, involving multiple persons, etc. – than the types of change generally experienced elsewhere in life. These "unexpected

changes” in combat, if not controlled or mitigated, have the potential to create grave danger to American fighting forces.

Changes experienced on the battlefield are similar to those experienced by law enforcement and firefighting personnel. Law enforcement and firefighters constantly work around unexpected change, and their reaction to the change is what often keeps them alive. Their prior experience in dealing with particular situations allows them to be flexible enough to handle whatever change is presented. Similarly, American fighting forces must remain vigilant and flexible so they too can quickly identify the change in order to minimize its effects. The thought of assuming that change will not occur is not only foolish but can be catastrophic if lives are lost at its expense.

The particular interest driving this research is that of determining if battlefield commanders’ initial reactions to unexpected change can be improved. The initial reaction is crucial to ascertaining whether mitigation strategies can be applied toward managing the change. It is critical for soldiers to remain vigilant when operating in a hostile environment because there usually will not be a “second chance” to handle the problem of unexpected change.

For the purpose of this research, longer-term “sustained change” (i.e., change that takes place over hours, days, or longer time frames) does not represent subject matter toward which much effort will be directed. The research will, rather, explore “moments in time” when change is introduced, to determine if there are ways to improve reactions. Also, the research will explore unexpected change from the point of view of commanders on the battlefield, since it is commanders that guide immediate actions.

### Research Focus

The purpose of this research is to analyze how battlefield commanders initially react to unexpected change in a combat environment. The objectives for the research are as follows:

1. Determine if training can improve how individuals adjust to the change.
2. Determine if individuals can minimize the effects of the introduced change by the actions taken upon introduction.
3. Determine if these actions will ultimately lead to greater survivability.

As seen throughout history and up to the present time, change is a prominent feature of a combat environment. Individuals must first learn how to identify the change quickly if they want to have success adjusting to it.

The research is ultimately designed to analyze opportunities that may exist for improving individuals' preparations for, and reactions to unexpected change. With this emphasis, one obvious means of improvement is training, and it is important to determine whether training could help in identifying changes sooner, or aid in reacting to those changes. Knowing that lives could be saved by the initial reactions to introduced change gives this research the clear potential of having a high value. Initial reactions may be the most critical aspect of battlefield commanders' responsibilities, and could ultimately drive the end results of these situations – death or survival.

The research will analyze how battlefield commanders work through changes, and will also provide recommendations for tactics, techniques, and procedures (TTPs) that can help those commanders "lead" through the change. Among probable goals of the TTPs

would be the quick identification, or even prediction, of changes that occur. This would give the on-scene commanders a much needed advantage on the battlefield.

Battlefield commanders realize that unexpected change is inevitable, but if it can be better prepared for, and responded to, then improved results in the face of change is sure to come.

### How Change Affected Warfare Throughout History

Throughout warfare history it has been observed that unexpected change, when introduced at the right time, can directly influence the outcome of battles. People who do not know how to react to unexpected situation often find themselves at the mercy of the opposing force. This concept of exploiting an opponent's vulnerabilities dates back as far as the origins of warfare.

One example of unexpected change can be seen during Greco-Persian War when the Persians attempted to gain control over the Athenians. The Persians believed they could overtake Athens by drawing the Athenians out of the city to weaken their capabilities. The Persians had a good strategy when they decided to land in Marathon, which drew out the Athenians, but they remained idle waiting for the perfect opportunity to attack. When the Athenians realized the Persians were not attacking, they decided to bring the fight to the Persians. By doing so, the Persians were introduced with an unexpected change in their scheme to overthrow Athens. As a result of being surprised and not knowing what to do, the Persians could only retreat back to their ships as they were being slaughtered (Bartlett 1983). This situation showed that the Persians did not react appropriately to the change

that was introduced. If the Persians could have anticipated the attack or known what actions to take, the results of the engagement could have been significantly different.

Moving forward in time, similar results can be seen with Hannibal Barca and his campaign to expand the Carthaginian Empire. Hannibal introduced what some would consider a psychological effect on the battlefield with his employment of elephants. This change in tactics helped Hannibal gain a greater advantage over his enemies. Many of his opponents fled the scene of battle because they had never experienced battle against elephants. The majority of Hannibal's victories came as direct result of him introducing an unexpected change. Overall, it made Hannibal one of the most renowned tacticians of his time (Jones 1982).

Similarly unexpected results were seen in the early 1900s when the British and its allies waged war against the Turkish. The British believed that if they could gain control of Gallipoli, it could alleviate pressure from the Western Front. Unfortunately, the British and its allies failed to adjust to the unexpected change that was introduced. During the battle of Gallipoli, the Australian and New Zealand Army Corps (ANZACs) attempted to land on a particular beach that was key in gaining control of the area. As the forces began their landing, the boats drifted with the currents and ended up landing in the wrong area. With this new dilemma on their hands, the ANZACs did not know how to react, so they stood fast and awaited further instructions. As a result, the ANZACs were defeated, just as the Persians were defeated in the Battle of Marathon. Ultimately, the ANZACs' lack of decision-making and inability to adjust to an unexpected change resulted in the Turkish keeping control of the key piece of terrain (Moorehead 2002).

During World War II, U.S. forces encountered many changes on the battlefield. One of those changes involved a new style of warfare, known as “Cave Warfare,” that had never been seen before. This style of warfare hindered American forces in attempting to capture key terrain. Many of the U.S. forces simply assumed that heavy bombardment could clear the ground before a landing. Unfortunately, U.S. forces quickly realized that the bombardment had little effect due to the Japanese establishing these tunnels. U.S. forces were thoroughly surprised by the number of troops that still remained on the islands after the heavy bombings. Japanese fighters had essentially dug many underground tunnels that would provide them protection while at the same time allowed them freedom of movement throughout the island. This warfare was difficult to counter and many U.S. troops lost their lives as a result of this unexpected change in warfare (Potter 1981).

The Korean War also brought unique changes to the battlefield. U.S. forces had to overcome extreme cold and harsh mountainous terrain which they were ill prepared to handle. Many of the troops simply could not function in this type of environment. Essentially, this change probably had more of a psychological effect than anything else. Dealing with the psychological effects and then being confronted with Chinese forces simply overwhelmed the U.S. forces and gave the Koreans an added advantage. This was an unexpected surprise for U.S. forces since they believed they had gained the advantage by pushing the Koreans north. The U.S. forces did not expect the Chinese to retaliate, but their fear of U.S. forces pushing into China drove them to their actions. This unexpected change proved to be too much for the U.S. forces to handle and they eventually had to retreat from the area (Bartlett 1983).

Vietnam would prove to lead to similar results for U.S. forces. This war again introduced new tactics in the employment of forces. The Vietnamese believed in utilizing guerilla tactics as a way to fight against a more formalized conventional force. In many scenarios, fighting in the jungles of Vietnam made it difficult to locate the enemy. As a result, many U.S. forces were ambushed and had a hard time retaliating due to the Vietnamese fleeing after the initial engagement. This created a great amount of uncertainty for U.S. forces since they did not know whom to engage. It is simple to identify your opponent when engaged in battle with a uniformed force such as the North Vietnamese Army. What made the situation difficult was also being engaged by non-uniformed forces, such as the Viet Cong, who blended in with the population and did not use conventional tactics (Moore and Galloway 1993). As a result, all of the unexpected changes introduced by the Viet Cong required that U.S. forces find a solution to confront these tactics.

In more recent times, U.S. forces would be introduced to change by drug warlords and rebels within Somalia. This again was difficult to manage because U.S. forces were unsure of where and when they would encounter hostile action. It could come from any direction without any advance notice, which created an asymmetrical battlefield. The other factor was that U.S. forces under estimated the capabilities of their adversaries. This ultimately led to a state of confusion when U.S. forces would be engaged by weapon systems not known to be utilized by the rebels. This unexpected change introduced by the rebels created a lot of uncertainty which resulted in two H-60 Blackhawk helicopters being shot down (Bowden 1999). This event probably could have been prevented if unexpected changes could have been identified before they took place. The lack of situational awareness, tied in with overzealous U.S. forces, created this volatile situation.

Lastly, the utilization of guerilla tactics and insurgency warfare in Iraq and Afghanistan has also introduced new effects of change. U.S. forces are again not fighting against a conventional force or a traditional style of warfare, but rather an irregular style of warfare. In this particular style of warfare, the enemy is not easily identifiable. As such, it is the hardest to fight because individuals can be attacked from any side, creating an asymmetrical battlefield. Simply put, there are no “Front-Lines,” but rather everywhere is the “Front-Lines.” This type of warfare introduces many changes onto the battlefield that U.S. forces have to cope with in order to survive and win. Individuals have to know how to react to situations in order to increase their survivability rate. This requires individuals on the ground to be acutely aware of their surroundings so they can anticipate change before it occurs.

## **Chapter Two: Literature Review**

The literature review was conducted to help in analyzing individuals' preparations for, and reactions to unexpected change such as is experienced in a combat environment.

### *Leading Change - John P. Kotter*

In the book *Leading Change*, John P. Kotter describes how individuals or organizations can adjust to change in order to be successful. The author analyzes the transformations associated with going through an unexpected event or situation and applies an eight-stage process that can be utilized to get through it. He also believes that the success for overcoming the change is how well individuals or organizations can integrate the steps into the change process. Kotter suggest that implementing the steps will help minimize the adverse effects of the change. The eight-stage process is as follows:

1. Establishing a Sense of Urgency
2. Creating the Guiding Coalition
3. Developing a Vision and Strategy
4. Communicating the Change Vision
5. Empowering Employees for Broad-Based Action
6. Generating Short-Term Wins
7. Consolidating Gains and Producing More Change
8. Anchoring New Approaches in the Culture

The majority of Kotter's eight stages relate to changes that can be implemented over time. As such, these techniques can be easily implemented within an organization for those particular situations. The book does not specifically address the action that should be taken to react to a change that occurs instantly in which individuals must take immediate action. The study will not take into consideration a long adjustment period since we are evaluating life and death scenarios where every second counts. However, some of Kotter's points such as establishing a sense of urgency and generating short-term wins, could be useful when evaluating change that arises suddenly.

#### *Our Iceberg Is Melting - John Kotter and Holger Rathgeber*

The book, *Our Iceberg Is Melting*, similarly covers the topic of how to survive through change. While some of the topics discussed in the book are applicable to this research, most of this book focuses on accepting and working through a change that takes place over an extended time. A key point made in the book is "that real progress requires the participation of a team, where everyone has an important role... and everyone know his role" (Kotter and Rathgeber 2005, 146). This philosophy for success can be critical when applied into a combat scenario since soldiers always operate on some type of team. For survival, it becomes crucial that all members know their roles within the team, regardless of the team's size. Knowing their role will help soldiers increase their chance for survival, as well as help the team bond in order to overcome any unexpected changes.

The book also reinforces the concept that people should never give up, but rather "press harder and faster after the first success" (Kotter and Rathgeber 2005, 131). When applied to the battlefield, this concept can help individuals re-gain the momentum after the

change has been introduced and ultimately lead to overcoming the change. The concepts in this book clearly fall within the realm of this research study and can be evaluated further as they apply to the different scenarios.

*Marine Corps Doctrinal Publication 1 – Warfighting - Marine Corps*

The United States military is renowned for teaching its officers and senior enlisted the different aspects of leadership and management that allow them greater opportunity for success in a given scenario. Specifically, the Marine Corps places a great emphasis on knowing the Commander's intent, which is communicated to everyone at one time. Relaying this information to all of the troops helps to simplify the decision-making process when a decision has to be made at a moment's notice and in the absence of direct orders. This establishes what is known as decentralization of command. The decentralization allows the battlefield commanders to establish command and control for generating immediate actions (MCDP 1 1997, 78). Simply put, the Commander's intent is the driving factor for achieving success when operations are decentralized.

These concepts are captured in Marine Corps Doctrine so they may be analyzed and conceptualized by everyone. As such, reviewing Marine Corps Doctrinal Publication 1, *Warfighting*, allows individuals to get a better understanding of what is expected of them when they are faced with immediate adversity. As described in Marine Corps Doctrinal Publication (MCDP) 1, military leaders must, "be prepared to cope—even better, to thrive—in an environment of chaos, uncertainty, constant change, and friction" (MCDP 1 1997, 80). Essentially, individuals have to be prepared for anything that faces them while

engaged in combat. As these examples show, MCDP 1 analyzes different aspects of change than those associated with a general population.

MCDP 1 provides relevant information that can be applied to this research because it identifies a battlefield as ever changing. To be effective on the battlefield, individuals must be flexible enough to adjust to any situation. This is depicted in MCDP 1 when it establishes that, “war is a fluid phenomenon... [that] requires flexibility of thought. Success depends in large part on the ability to adapt—to proactively shape changing events to our advantage as well as to react quickly to constantly changing conditions” (MCDP 1 1997, 9). The art of survivability is based on time critical factors in which instant decisions must be made. For this reason, MCDP 1 provides good analytical material for the research.

In the other aspect identified in MCDP 1, having a decentralized command can speed up the process for resolving the situation immediately. Just as with the Commander’s intent, the battlefield commanders can take action without having to get approval from a higher element. Establishing this decentralized command allows the individuals being introduced to the unexpected change to develop a form of implicit communication. This form of communication “is a faster, more effective way to communicate” because there is a “mutual understanding [of] using a minimum of key, well-understood phrases or even anticipating each other’s thoughts” (MCDP 1 1997, 78). For these reasons, decentralization of command and a Commander’s intent work conjointly to help individuals make quicker decisions on the battlefield.

*The Passion of Command - Col B. P. McCoy*

In Colonel B. P. McCoy's book, *The Passion of Command*, he analyzes how individuals act when faced with the rigors of combat as well as how they react to certain situations. He identifies that being adequately trained will prepare individuals for adjusting to the unexpected and is one of the keys to surviving any enemy interaction. McCoy also comments that success on the battlefield is developed by "the exacting standards and discipline enforced by small-unit leaders who bore detailed rehearsals and pre-combat check and inspections" (McCoy 2007, 40). Essentially, he is implying that the way a unit trains will be the way it will perform when the time comes in a combat environment.

The book also analyzes the mental/psychological aspect of dealing with the rigors of combat. McCoy states that if individuals are mentally prepared, then they will be capable of dealing with the unexpected (McCoy 2007, 21). McCoy also emphasizes that another key to success is for individuals to trust their own instincts when making decisions and base them off of the Commander's intent when faced with the unexpected on the battlefield (McCoy 2007, 38). In utilizing these concepts, McCoy clearly distinguishes a difference between tactical and analytical thinking.

*Leading Change: The Military as a Learning Organization - Maj Richard M. Burr, Australian Army*

In Major Burr's (Australian Army) study from the U.S. Marine Corps' Command and Staff College, he pursues the topic of leading an organization though change. The research he conducts analyzes similar concepts presented by civilian organizations that are in transition with a new change. Again, there is a gap between the typical change

management analysis and the research being conducted in the study. However, Major Burr does bring up certain components that can be utilized in this research. In one instance, Burr explains that “the cost of failure is measured in human lives, [and] the lessons of others provides a logical preventative measure” (Burr 1998, 13). This analysis of learning from others’ experience does prove to be effective for situations that are not predictable. If soldiers know how to react to certain situations from prior experiences, they will be more effective in increasing their chances for survival. Proving the effectiveness of this theory, all of the military services have established centers for lessons learned so individuals can learn from others’ experiences while either in training or combat.

Burr also suggests that being able to anticipate or adapt to a situation will help in succeeding through the introduced change (Burr 1998, 13). This is another valuable concept that can be applied to the research being conducted and which could ultimately lead to success on the battlefield. Although Major Burr’s study ventures in a different direction than what is being analyzed in this research study, he does provide valuable information that can be taken into consideration. Burr’s concept of how to adjust to change is definitely a point of interest that can be further analyzed. Overall, the concepts introduced by Burr will be evaluated to determine if they can be used to improve an individual’s chance of surviving the introduced change.

*Joint Force Quarterly: “Can the Army Become A Learning Organization?” – Dr. Anthony J. DiBella*

Dr. Anthony DiBella’s article, “Can the Army Become a Learning Organization?” evaluates how the Army can learn to change by implementing key concepts within the

institution. It is evident that today's military must be flexible enough to adapt to its environment in order to minimize vulnerabilities. As DiBella describes, "learning is linked to adaptation, whether to external events or knowledge gained internally through experience" (DiBella 2010, 118). This statement implies that the key to success is based on how quickly individuals can adapt to the given situation. By reviewing and understanding previous events, individuals can learn from others' experiences so they may be able to develop a better solution when placed in similar situations. This method also gives organizations a better chance to achieve the best possible outcome when presented with a critical decision. The points made by DiBella are designed to benefit an organization such as the Army, but they can easily be applied to individuals for similar positive results. As such, the topics will be further analyzed within this research study in order to help develop a full operating picture of the change situation.

DiBella also conveys General Petraeus' counterinsurgency concept of, "[being] as flexible and adaptive as one's foes, if not more" to show that flexibility is essential for survival (DiBella 2010, 118). By having the flexibility to adapt quickly, individuals have the best possible opportunity to survive the enemy encounter. Flexibility is a major contributor to success especially when dealing with unexpected change in a combat environment. Lastly DiBella states, "The only sustainable way to stay ahead on one's competitors [or enemies is] to learn faster" (DiBella 2010, 118). Through learning or adapting faster than the enemy, individuals can gain the required momentum to maintain control of the situation. This article clearly addresses certain concepts that enable an organization to gain greater overall results if it can adjust appropriately. Hence, this article

will help establish a clear picture of what areas to focus on in this research study, mainly regarding situations where quick adaption is necessary for survival.

*Effecting Strategic Change: The Dragon Can Be Led - LtCol Paul C. Gibbons, USMC*

In LtCol Gibbons' thesis report from the Marine Corps Command and Staff College, he analyzes the topic of change at the strategic level. Although he focuses on change from a higher level than is being evaluated in this research, he provides information that can be relevant. One of those items that can be applied to the research is the concept of establishing a new focus upon the introduction of the change. As Gibbons states, "Change hinges on the new thing, but psychological transition depends on letting go of the old identity you had before the change took place" (Gibbons 1997, 11). This point touches on the psychological aspects involved with the change which will help individuals adjust to the change if handled appropriately. Gibbons also goes on to comment that "when one thinks of change, he normally focuses on the outcome that the change will produce" (Gibbons 1997, 11). As a result, individuals should not focus on the end result but rather focus on the transition period which can help achieve the desired results. Gibbons continues with the concept that confronting a new experience involves going through multiple phases that start with the original plan and ends with the final outcome of the change (Gibbons 1997, 10). Overall, Gibbons' study provides valuable information for the research although his focus was on a grander scale. His research shows that when change is introduced it can be handled similarly regardless of what level it is being encountered.

*Marine Officers Must Lead and Manage – Maj Theodore Rubsamen III, USMC*

Major Theodore Rubsamen's thesis report produced while he was a student at the Marine Corps Command and Staff College covers the area of improving the leadership and management process for Marine officers. Rubsamen considers that a better approach to adjusting to an introduced change can be achieved through prior management instruction. This prior instruction will allow individuals to develop a quick adaption process which ultimately leads to increased survivability. Rubsamen states that through this process, "in order to survive and succeed in this dynamic situation... [people] must cope with and adapt to change and uncertainty" (Rubsamen 2004, 21). He also emphasizes that proper management can help individuals or organizations adapt to the highly active environment (Rubsamen 2004, 21). In the report, Rubsamen stresses that "planning forces managers to think ahead. It leads to the development of standards and measures of effectiveness that enable more precise control [over the situation]" (Rubsamen 2004, 21). This implies that one way individuals can minimize the effects of a change is to plan ahead so they can quickly adjust or deviate from the original plan. These are very effective tools that can be applied to any situation within an environment that is ever changing.

"Leadership and Change Management: Navigating the Turbulent Frontier" – June Kaminski

June Kaminski's article relates to the effects that leadership has when dealing with change management. Many of the topics covered in the article are directly related to an organization and how to implement change for a lasting effect. Although she does venture into a different area than what is being researched, she does provide good input that could be implemented into a change situation found on the battlefield. As Kaminski states,

“Change is something we have to learn to live with... and the winners will be the ones who cope with it” (Kaminski 2000, 1), which is applicable to a combat environment. The quote implies that regardless of the situation, one must be able to adjust and cope with change if they want to survive. Kaminski also goes on to state that “change is disruptive, messy, and complicated. Even with the best laid plans, events rarely occur exactly as they were predicted” (Kaminski 2000, 1). This comment is exactly what is taught to junior officers when teaching them to develop flexibility in their plans since it is inevitable that the plan will change.

Another concept that Kaminski discusses is the fact that leaders must also plan for the unexpected. She describes this process when she states, “Change has become... unpredictable, but [it] is still manageable.... Strategies to deal with unplanned change are just as necessary as planned ones” (Kaminski 2000, 2). Clearly this idea defines the importance to planning for the unexpected. Lastly, Kaminski goes on to describe how individuals must develop a sense of anticipating change so they can adjust rather than react to a situation. In her article she describes this concept by stating, “Anticipatory change is done in the absence of threat, and in preparation for anticipated environmental changes. Reactive changes represent the opposite of anticipatory change, and are responses to threats and competition in the environment” (Kaminski 2000, 4). All of Kaminski’s concepts can easily be applied to a situation in combat in order to help individuals survive. As such, her concepts will be taken into consideration when conducting the research.

An Army at War: Change in the Midst of Conflict – John J. McGrath

The proceedings from the 2005 Military History Symposium evaluated the topic of change within a combat environment. It covered a variety of subjects that were relevant to the research being conducted. One of the topics covered involved adjusting to what the enemy introduces to the immediate surroundings. The case study goes on to state that “knowing the enemy and adapting to the way he fights has got to be tied into the way the enemy adapts to us” (McGrath 2005, 19). Another discussion about the importance of adaptation can be seen by the following case study comments:

Osama bin Laden doesn’t care about joint doctrine. He controls the clock, he’s driving change, he’s adapted very quickly, and he really doesn’t care about any of our structures, about mimicking anything that we do whatsoever.

So what does that mean—for you? What it means, is the onus for adaptation—for increasing the pace of adaptation—is on you, not on him. Until we’re able to do that, until we’re able to cast forward and get away from the practical present and think of the theoretical future, we’ll never be able to close that gap. (McGrath 2005, 20)

Again, these comments imply that individuals must adapt as quick as the enemy is adapting to us in order to maintain the advantage of a given combat situation. This method of coping with the introduced enemy actions can also be applied to the research for a full evaluation to the topic. Overall, this symposium provided a great deal of useful and detailed information that was required for a full analysis of the research topic.

Summarized Findings from Literature Review

In conclusion, the topics analyzed in the Literature Review either focused on change in the leadership structure within an organization or on a particular direction in which the organization was going to venture. Although the current state of literature on change

management revolves around the normal workforce, certain key elements can be extracted from the material in order to help bridge the gap in research and apply these concepts to the combat setting. Many of the key elements that will be evaluated in the research dealt with how quickly individuals could adjust to a change. Another example lies within the realm of learning from others' mistakes or experiences, which will be helpful when evaluating the actions collected in the research. Other key points extracted from the Literature Review were to never give up when change is introduced and to establish good communications throughout the process. Basically, it comes down to accepting a level of uncertainty and being flexible enough to adapt faster than the opponent since most plans do not go as expected.

Although the research will expound on particular key points discovered within the Literature Review, certain items can be explored further within a wider area of study. Those items in particular deal with management training that takes place prior to particular events that cause change. Another interesting concept that can be further researched deals with the anticipation of change. If individuals can successfully anticipate the change before it occurs, survivability can increase immensely on the battlefield. As a whole, the Literature Review proved to be a vital part of the overall research to determine how individuals can survive unexpected change in a chaotic and unforgiving environment.

## **Chapter Three: Research Methods and Procedures**

The methods utilized for this research required direct input from individuals in leadership positions within a combat environment. As such, the targeted audience was predominately military personnel. In order to fully evaluate the topic of change within a combat environment, it was determined that twenty surveys needed to be administered, as well as a facilitated group discussion. Similar questions were utilized for both the survey and the group discussion to avoid any irregularities with the research. The questions utilized for the survey and group discussion are shown in Appendix A.

Once the methods for data collection were identified, the surveys were distributed. The surveys specifically went out to a wide group of military veterans that could not come together for the discussion. As for the discussion group, verbal invitations were disseminated among the different units on a particular military installation in order to draw the right members for the discussion. Once the discussion group was organized, a facilitator led the discussion based off of the questions derived from the survey (Appendix A). For the purpose of this research, the individuals that took the survey and the individuals that took part in the facilitated discussion will be identified as “participants.”

Both methods, the survey and discussion, provided valuable information that could be analyzed to establish useful results. The procedures utilized were the foundation of the data collection since the literature review provided minimal information on the related topic. As a result, it allowed for a better analysis of improvement methods for coping with an unexpected change.

### Survey and Guided Discussion Procedures

The administered surveys were a critical aspect of the research that intended to gather information from a specific group. The targeted individuals were those that maintained a leadership position while deployed to a combat environment. Similarly, the guided discussion captured the same information but from a larger group. The surveys consisted of guided questions that helped keep the individual focused in the specific area of research. On the other hand, the guided discussion allowed for more open commentary, which provided a wide range of information. These procedures intended to help identify any trends taking place in a combat environment when soldiers are introduced to an unexpected change. With the data collected, the research could be used to evaluate the specific actions taken in response to these trends. That is why both the surveys and the discussion focused on the effects of change during a specific point in time. Finding a trend in the process to analyze and develop further may reveal useful information that could potentially lead to survival while on the battlefield.

### Information and Data Collection

The research involved collecting data in six different areas of interest as follows:

1. Introduction to Change
2. Decision Making Process
3. Actions Taken
4. Training and Preparedness
5. Team Chemistry
6. Outcome

The “Introduction to Change” area addressed how the change was introduced and if it was part of the original planning consideration to account for unexpected change. It also explored the area of predictability by determining if there were any identifiable items that preceded the unexpected change.

The “Decision Making Process” area related to what actions the individual took upon the change introduction. It also viewed how the individual reacted with team members and if any action was taken to minimize the effects of the change.

The “Actions Taken” area described how individuals overcame the change or rather how the change overcame them. It also determined whether or not individuals utilized the Commander’s intent when deciding the actions to take when the change was introduced. It also evaluated whether or not the solution was kept simple in order to have a greater effect on overcoming the change.

The next area, “Training and Preparedness,” was intended to determine whether individuals had any prior training that helped with the situation of overcoming the change. For example, did the unit conduct IA drills? These are drills designed to establish muscle memory when under an immediate attack. This section also tried to determine if there was a particular type of training that could precede the deployment to help individuals react during a split second in time when the change is introduced.

The following area, “Team Chemistry,” explored how the Team was developed from its infancy through the deployment. Items such as training, organization, workability, and reputation were analyzed together in this section to understand what a team went through in its preparation and how they interacted or reacted as a team when a new situation developed.

Lastly, the “Outcome” area intended to verify if anything different could have been done in order to improve the situation. This area also helped determine whether it was important to train for change, so that unexpected situations could have been minimized. As such, the outcome of the situation had a significant impact on how change was evaluated.

## **Chapter Four: Results and Conclusion**

Results of the surveys were collected over a six-month period, while the group discussion was a onetime event that occurred during the same six-month period. The collected information helped determine what actions, if any, could be taken to minimize the loss of life on the battlefield when soldiers are introduced to an unexpected change. The collection methods utilized for this research involved a written survey (Appendix A) and a facilitated group discussion. A total of 20 surveys were evaluated and the participants ranged from non-commissioned officers to field grade officers. The surveys had specific questions that helped determine how individuals react to change. The group discussion involved 12 participants who were mid-level officers (Captains and Majors). The group discussion followed a similar format as the survey questions but allowed the group to stray from the format and explore new ideas. The areas covered in the survey and discussion group were as follows: Introduction to change; Decision making process; Actions taken upon change; Training and preparedness; Team chemistry; and Outcome. The participant breakdown (by rank) for the survey questionnaire was determined as follows: 10 percent junior enlisted; 25 percent senior enlisted; 35 percent junior officers; and 30 percent senior officers. A summary of the survey results can be seen in Appendix B. The intended target audience for the survey was personnel that had combat experience. As such, all participants met that requirement, and 91 percent of the participants were considered to have been in a leadership position.

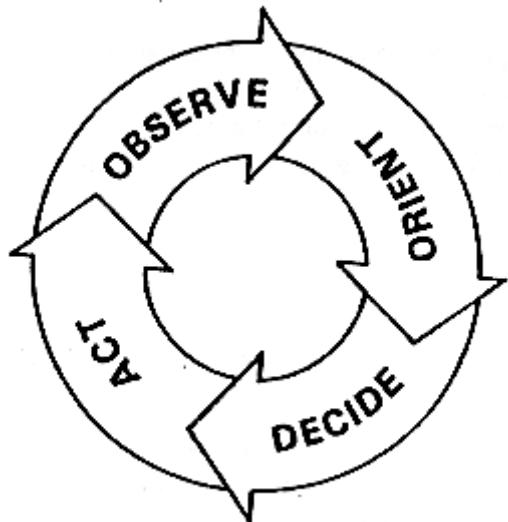
### Introduction to the Change

Of all the participants, over 75 percent experienced some type of unexpected change during their combat deployment. All of those individuals also stated that they accepted the change that was introduced, which could have had an impact on the overall results of the situation. Surprisingly, the majority of them also stated that they felt prepared to handle the new situation that derived from the introduced change. Mainly, this preparedness was the result of quick thinking along with the ability to adjust at a moment's notice from previous training. Basically, individuals accepted change due to it taking place within a combat environment.

The majority of the participants also explained how they quickly identified the change. In a combat environment, unexpected change is easily identifiable when introduced. However, the key to survivability in a volatile environment is being able to identify the event before it occurs. If individuals can identify the change, then they can adjust to it as it is introduced so the mission can continue. Surprisingly, less than 15 percent of the participants were able to predict that a change was about to occur. As such, everyone agreed that it was important to identify the change as quickly as possible in order to increase the chances of survivability. Once the change was identified, appropriate actions were immediately taken, whether this meant departing the ambush kill zone or redirecting troops to a more advantageous position that allowed for regaining momentum. The lack of awareness in identifying the change or inability to respond quickly resulted in more casualties taken as a whole. Carelessness and complacency ultimately sacrificed success on the battlefield. It was also evident that when individuals worked together prior to their deployment they were able to respond more quickly since they could almost

predict each other's actions upon an introduced change. Quicker adjustments to the change meant increased survivability, hence making survivability directly proportional to how quickly one adjusts to change.

When questioned whether they had aid to quickly identify a change, the participants agreed that training and experience were key. Again, previous working relations proved vital for teams. The pre-established relationships allowed them to focus on other events since they knew how the other team members would react in a crisis situation. Communication was another major contributor that helped quickly identify change.



The results of the surveys also suggested that individuals on effective teams were able to process information quickly, which allowed them to get through the situation. An interesting point brought up during the research revolved around a decision-making process referred to as the OODA Loop. The OODA Loop concept, developed by Air Force Colonel John Boyd, determines how quickly individuals can make decisions. According to Colonel Boyd, the decision-making process involves four phases: Observe, Orient, Decide, and Act, as depicted in the accompanying figure. It is a continuous process that, when interrupted by an act, will cause a restart of the evaluation process (MCDP 1 1997, 102). The OODA Loop process could assist in quickly adjusting to a change, potentially leading to increased survivability. A few participants brought up the OODA Loop concept as a method they have used to help them process the information that

was introduced. Another method that assisted in processing the information was reviewing after-action reports. Through the reports, individuals could learn a better course of action for particular situations.

### The Decision Making Process

When participants were asked whether or not they evaluated the risk associated with the decision that was made, most of them (~90 percent) stated that they evaluated the risk. The majority of the risk taken was considered moderate to significant, which implied that an outcome could lead to potential loss of life. The participants determined that input from other team members was critical since lives were at risk. They also solicited opinions of others to assist in the synchronization process with one another. On the other hand, other participants believed that there was not enough time to get input from the other team members. Rather, they simply relied on pre-established standard operating procedures to help them through the situation. Overall, the research implied that input was taken from the other team members only when it was deemed necessary. The majority of the participants also kept an open mind when faced with unexpected change. This enabled them to think rationally and not be overwhelmed by the events.

The majority (over 75 percent) of the participants replied positively when asked if they attempted to minimize the effects of the change. Individuals stated that they made attempts to minimize the effects of the change by instinctively reacting as rehearsed with the IA battle drills. Other methods utilized for the transition phase included conducting pre-established procedures or simply continuing with the mission without deviating from

the original plan. The research also determined that there were no particular advantages to either overcoming the effects as whole versus utilizing a short-term win to overcome the effects. Some participants did reply that they utilized a combination of both styles, which potentially could produce better overall results. The majority of the participants also stated that they did not attempt alternative solutions due to the lack of available time. However, some participants stated they always tried new strategies, but when faced with a life or death situation they simply reverted back to prior training or pre-established TTPs. Lastly, the results showed an about even split between those individuals who had to take a new course of action and those who simply stuck with the original plan. Ultimately, the participants determined that success was dependent on how well the unit had previously trained together.

#### Actions Taken Upon the Change

The participants responded that once the change was introduced, they overcame it through several methods. The methods utilized ranged from remaining calm with a clear head, to reverting back to rehearsals conducted, to simple perseverance. Slightly more than 50 percent of the participants also stated that they could have handled the situation better. It was obvious that they wanted to resolve the situation quickly, which resulted in a myriad of solutions for overcoming the change.

When questioned on whether urgency was a crucial aspect of decision making, over 90 percent of the participants responded positively. This response clearly identified that change had a direct impact on the lives of their team members. It was also noted that the

individuals involved with the change believed that persistence was a major factor in overcoming the change. Another factor that had a direct impact on survivability was how quickly decisions were made upon the change.

Interestingly, in every instance the Commander's intent was taken into consideration when deciding on the actions to be taken. This finding shows that a Commander's intent is a critical factor of the pre-mission brief and must be understood by all personnel. Individuals also kept solutions to the change simple. Keeping simple solutions allowed the individuals to quickly react to their surroundings. Lastly, it was important for individuals to conduct a debrief of the situation so further evaluation could take place. A debrief could also help other individuals improve upon their results by studying previous analysis.

### Training and Preparedness

When the preparedness of the participants was reviewed, it was noticed that around 85 percent believed that they and their team were adequately prepared to handle any change. The majority (~75 percent) agreed that training did help with the introduced change. In particular, IA drills were particularly useful to help the team adjust to the introduced change. Surprisingly, around 60 percent of the participants claimed that no other training could be taught for helping out with similar situations when dealing with unexpected change.

### Team Chemistry

With regard to developing team chemistry, the research revealed that approximately 45 percent of the participants worked with their team between six to twelve months. This result reflects that most individuals come together around the 180 day mark for the unit's pre-deployment training phase. Only about 20 percent of the participants stated that they either trained together for one to six months prior to deployment or trained together longer than a year prior to deployment. Approximately 15 percent of the participants stated that they only worked with their team for less than a month prior to deployment. The main cause of this scenario was a result of individuals being assigned to fill a critical shortfall for that deploying unit.

All participants agreed that communication was a key factor in developing the team's chemistry and that all members of the team were given the opportunity to provide input in any situation. The teams also felt that it was important to properly develop and train all new members before the deployment. The reason for this mentality was that it was easier to train outside of a combat environment. An interesting point noted in the research was that the majority (~75 percent) of the leadership agreed that it was critical to empower all team members to make decisions at the lowest levels. By doing so, it helped expedite the situation which was presented.

About half of the participants stated that team members were responsive during the introduction of the change. Another key factor in overcoming the introduced change was that the teams understood and knew the Commander's intent prior to the mission. As a result, the teams were able to determine what was required in order to overcome the change. About 65 percent of participants felt that envisioning success gave them a better

chance for survival of the situation. Surprisingly after all of the training, most (~70 percent) of the participants did not believe that the entire team was thinking alike after the change was introduced. This lack of thinking alike could have spawned from insufficient training.

#### Outcome of the Introduced Change

The results from the surveys illustrated that all of the participants were successful in overcoming the introduced change. This success could be attributed to all of the previous training or the simple fact that they survived the situation. The participants also stated that they were able to keep an open mind when the change was introduced, which allowed them to remain focused on the task at hand. Another factor that kept the individuals focused was that they did not get over zealous with the situation and declare victory too soon. The participants also stated that they did not underestimate the change, which could have been a critical factor in determining the success of the mission. Only about 15 percent of the participants stated that the change was introduced as a result of complacency. This result shows that each of the participants kept their troops focused and on task even through the change. Another point identified by the research was that leading by example had a positive impact on the troops, helping drive them to success. Lastly, the participants commented that they were trained to always be ready and be prepared to adjust to any situation that may arise. Others stated that the training and experience level was what helped them get through the change.

### Data Comparison

Throughout the research, data were collected in two formats, surveys and facilitated group discussions. As such, some of the data varied depending on the method of data collection. Participants in the group discussions tended to provide more specific information and went further into areas that the research did not explore. For this reason, some of the information from the group discussion had to be filtered. However, there were also participants in the group discussion that did not offer any input. This situation rendered insufficient information for the study.

The surveys produced similar results as the discussion. Some survey participants only provided basic or minimal information, while others went into full detail. However, more information was pulled from the surveys because the surveys guided the participants into a particular direction and they were not able to divert from the topic at hand. When the results of the two methods were compared, the surveys were a better and more reliable format for collecting the data.

In conclusion, the study addressed the gap in research on the topic that was pursued. The methods of data collection helped determine whether individuals can essentially predict the change prior to it occurring in order to allow maximum survivability during that event. As seen through the literature review, many studies have dealt with change management but they mainly revolved around adjusting to change within an organization. The lack of research on change in other situations allowed this study to explore a moment in time when individuals have to react immediately to an introduced change. The research was intended to identify if specific actions allowed for greater survivability.

### Determining the Gap

The gap in research tends to lie within the aspect of evaluating one's actions upon a particular point in time when change is introduced. Many researchers have gone on to explain how to deal with change over a period of time and how to adjust to the change in order to be successful. These aspects might be effective for a corporation but when dealing with combat situations it is not practical or feasible. It is evident that there is a gap due to minimal research in exploiting a particular moment in time. The particular moment in time can be designated critical in decision making.

### Summary

In summary, the research revealed a great deal of information that helped bridge the gap in research. The research identified that over 75 percent of the participants experienced some type of unexpected change and felt that they were prepared to handle any new situation that may have arisen. Results were unanimous that individuals needed to identify the change immediately in order to increase the chances of survivability. The participants also pointed out that individuals needed to remain flexible, with an open mind, so they could think rationally during the change of events. It was also determined that over 75 percent of the participants felt as if they needed to minimize the effects of the change. In doing so, they utilized IA drills to help minimize those effects. Another important factor was that over 80 percent of the participants claimed that they did not underestimate the change that was introduced. They simply kept an open mind, accepted the change, and did what was necessary to get through the change.

The issues identified in the research that caused the change to occur did not vary much since they mainly revolved around carelessness and complacency. The research also identified that there was no particular advantage in either overcoming the effects as a whole or implementing short-term wins. However, the research did show that a combination of both, overcoming the effects as a whole and implementing short-term wins, was a better solution for handling the change. The consensus was also that there was a need for improvement since the majority of the participants believed they could have handled the situation better. Another contributing factor that resulted in a negative change situation came as a result of team members not thinking alike due to a lack of working together. If the team members could have developed a prior working relationship, the outcome could have been different.

Some of the key elements from the research showed that mission debriefs and lessons learned have the potential to help in future scenarios where change is introduced. The participants also stated that prior training was valuable when presented with an unexpected change. Another main point addressed for working through change was how well the team communicated with one another. Essentially, better communication tended to produce positive results. A form of implied communication also had positive results in changing situations. Many of the participants and their team members simply relied on standard operating procedures for helping them get through the change. By reverting to the standard operating procedures, individuals did not have to communicate since the task was understood by all. Participants also stated that their experience level helped identify the change sooner, which ultimately assisted them in overcoming it.

## Conclusion

In conclusion, the conducted research produced valuable results that could potentially lead to helping individuals cope with or adjust to change that is introduced on the battlefield. One of those valuable results identified that survivability was directly proportional to how quickly individuals adapted to the change. Basically, this implies that the quicker individuals adapted to the change, the better their chance of survival. By adapting quickly, the members were able to apply the OODA Loop process in assisting them make quicker decisions. The OODA Loop process enabled individuals to observe, orient, decide, and act. By performing these actions quicker than the enemy or than the change being introduced, they were able to gain an advantage over the situation.

Another key component that proved valuable under duress revolved around how well individuals were trained prior to their encounter with change. The better the individuals were trained, the easier it was for them to adjust to the change. The only issue was that there was no set specific training identified that produced positive results when faced with an unexpected change. Prior training also enabled teams to work together, which allowed them to understand how they would react in particular situations. Essentially, better results were produced by teams that had worked together for a set amount of time. This process could be further researched since minimal details were gathered from the research and it could potentially lead to or evolve into a pre-deployment standard.

A simple but key element in helping overcome change was a direct result of simply being persistent. Most military personnel are inherently persistent which gives them an edge when faced with an unexpected scenario. Similarly, the majority of the individuals

that were successful in overcoming change simply kept an open mind throughout the process. They did not allow themselves to get internally focused which would cause them to lose focus of what actually needed to get done. This finding indicates that individuals who keep an open mind and work through a problem often are successful in their actions. The participants also stated that remembering the Commander's intent helped them remain focused through the change. Using the Commander's intent enabled them to quickly decide on follow-on actions that could help them overcome the introduced change.

Lastly, the most valuable piece of information gathered from the research showed that only about 15 percent of the participants were able to identify or predict the change before it occurred. It was suggested throughout the research that if individuals were able to predict or identify change, then survivability would increase. Since predicting or quickly identifying change was not fully evaluated in the research, it is a valuable area that could be explored further to provide useful information on possible ways for identifying change.

## **Chapter Five: Suggestions for Additional Work**

The intent behind the research was to gain information on how individuals react to unexpected change within a combat environment and how they are able to overcome the change. A main aspect of the research was to determine an individual's initial thoughts when the change is introduced. The actions taken based on the initial thoughts could potential lead to specific training that could be implemented for individuals getting ready to deploy. In particular, training that could prepare individuals to cope with an introduced change is an area that could be further explored. Since change that is introduced on a battlefield cannot always be duplicated, it would be important to focus the efforts of the training on general scenarios. In doing so, individuals could be prepared for a multitude of situations on the battlefield, ultimately helping them to survive various scenarios.

Another concept that can be further researched is the anticipation of change. When individuals can anticipate or predict change before it occurs, it can have a direct relation with survivability on a battlefield. The key is how to teach individuals the methods to predict a change in a particular scenario. People normally are not accustomed to identifying particulars that could lead to change. Most people usually identify those particulars as coincidences. The question that has to be asked is, "Are those particulars more than just coincidences?" There is reason to believe that those particulars presented in a small window of time could be the beginning stages of a change that will be introduced. An example could be when a patrol enters a normally well populated village, but no one is present. In these scenarios, when individuals come across a few of these anomalies, chances are that a change will occur soon. These scenarios can keep going indefinitely,

which is why it is suited for further evaluation and research. This particular topic was identified during the collection process of the research.

It is evident that there are still more areas to be investigated within the realm of change management. Further analysis into the areas previously described could potentially lead to establishing new or improved TTPs for forward deployed military forces. These improved TTPs could ultimately lead to saved lives in the long haul of war.

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## Glossary

**Commander's intent** – The commanding officers main goal for achieving the mission or obtaining the end goal.

**Commanding officer** – A commissioned officer who is the overall leader of a unit or organization.

**Company grade officer** – Commissioned military officer between the ranks of O-1 and O-3, such as a second lieutenant or captain, who holds leadership positions at the platoon or company levels.

**Deployment** – A period that is spent away from the normal duty location that is associated with conducting some type of mission or operation; normally ranges anywhere between 90 days and 18 months.

**Field grade officer** – Commissioned military officer between the ranks of O-4 and O-6, such as a major, lieutenant colonel, or colonel, who holds a leadership position at the battalion level or higher.

**Junior enlisted** – Enlisted military personnel between the ranks of E-1 and E-5, such as privates, privates first class, lance corporals, corporals, and sergeants.

**Junior officer** – Commissioned military officer between the ranks of O-1 and O-3; can be associated with company grade officers.

**Kill zone** – A particular location normally within an ambush site that causes the most number of casualties at any given time.

**Immediate action drills** – Rehearsal drills performed repetitiously to become second nature in the event of an incident.

**Non-commissioned Officer** – Enlisted military personnel between the ranks of E-4 and E-5, such as a corporal or sergeant, who is usually appointed to some form of leadership.

**OODA Loop** – A decision making process that was developed by Air Force Colonel John Boyd that determines how quickly individuals make decisions. It is a four-phase cycle of observe, orient, decide, and act.

**Senior enlisted** – Enlisted military personnel between the ranks of E-6 and E-9; can be associated with Staff Non-commissioned Officers.

**Senior officer** – Commissioned military officer between the ranks of O-4 and O-6; can be associated with field grade officers.

**Staff Non-commissioned Officer** – Enlisted military personnel between the ranks of E-6 and E-9, such as a staff sergeant, master sergeant, or sergeant major, who is appointed to a senior enlisted leadership position.

**Standard operating procedures** – Common procedures that are performed on such a frequent basis that they become normal procedures for performing a particular act or process.

# **Appendix A: Written Survey**

## **Survey Questionnaire**

This survey is intended to gain information on how individuals deal with unexpected change that is introduced in a combat environment. Unexpected change is defined as anything that is introduced to your current situation that causes you to react in a different way than originally planned or expected. Examples would be improvised explosive devices (IED) that are detonated while on patrol (either on foot or vehicle); being on the receiving end of an ambush; receiving indirect fire (either by mortars, rockets, or artillery); or any other situations but not limited to those mentioned. The survey is mainly intended for individuals who fulfilled a leadership position (fire team leader or higher), but can be taken by anyone else in order to get their perspective on the situations faced.

Individual results will not be shared, but the overall results will be reported in a field project report.

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### **INDIVIDUAL INFORMATION**

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Service: Select One: Army, Airforce, Marine Corps, Navy

Rank: Select One: E-1 through E-9; W-1 through W-5; O-1 through O-6

Combat Arms MOS/Field: Select One: Yes or No

Unit (at time of deployment):

Deployment location:

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### **BACKGROUND INFORMATION**

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1. Have you been deployed to a combat zone?  
Select One: Yes or No
2. During your combat deployment, were you in a leadership position?  
Select One: Yes or No
3. What was the leadership position you held while deployed in combat? (if no leadership role, then state your role).

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### **CHANGE – INTRODUCTION**

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1. Did you experience any unexpected changes during your combat deployment?  
Select One: Yes or No
  - a. If yes, describe the change that you experienced.

2. Did you account for flexibility in your original plan (deciding how to act)?

Select One: Yes or No

3. Did you feel prepared for handling the change that was introduced?

Select One: Yes or No

a. State why or why not.

4. Were you able to identify the change?

Select One: Yes or No

a. If yes, how did you first identify the change?

5. Do you think it was important to quickly identify the change in order to be successful?

Select One: Yes or No

a. Explain, why or why not.

6. Do you feel there was anything that could help you identify these changes as quickly as possible?

Select One: Yes or No

a. If yes, what would that be?

7. How did you process the information that was introduced when the change occurred?

8. Did you accept the change that was introduced?

Select One: Yes or No

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#### **CHANGE – DECISION MAKING PROCESS**

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1. Did you evaluate the level of risk associated in your decision on how to overcome the change?

Select One: Yes or No

2. What was the level of risk with your decision?

Select One: Significant, Moderate, Minimal

3. Were options solicited from other team members?

Select One: Yes or No

a. Explain, why or why not?

4. Did you maintain an open mind when the change was introduced?

Select One: Yes or No

a. To any solutions recommended?

Select One: Yes or No

5. Did you attempt to minimize the effects of the change?

Select One: Yes or No

a. If yes, what did you do to minimize the effects?

6. Were you focused on accomplishing short-term wins or overcoming the effects as a whole?

7. Did you look for or try alternative solutions?

Select One: Yes or No

a. If yes, describe that process.

8. Did you try to find a new and better way to act at the moment the change was introduced?

Select One: Yes or No

a. If yes, explain.

9. Did you pursue a new course of action or did you remain with the original course of action?

Select One: New Course of Action or Original Course of Action

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#### CHANGE – ACTIONS

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1. Describe how you overcame the change that was introduced.

2. Do you feel the situation could have been handled better?

Select One: Yes or No

a. If yes, explain.

3. Do you feel there was a sense of urgency to overcome the change?

Select One: Yes or No

4. Were you persistent in overcoming the change?

Select One: Yes or No

- a. If yes, why were you persistent?
5. Were decisions made quickly?  
Select One: Yes or No
  - a. If yes, did it help to overcome the change?  
Select One: Yes or No
  - b. Explain how it helped.
6. Was the commander's intent taken into effect when deciding on what to do when the change was introduced?  
Select One: Yes or No
7. Did you keep your solutions as simple as possible?  
Select One: Yes or No
  - a. Explain, why or why not.
8. Did you de-brief the situation and analyze it?  
Select One: Yes or No

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#### TRAINING/PREPAREDNESS

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1. Do you feel you were prepared to handle the change that was introduced?  
Select One: Yes or No
2. Do you feel training could have helped with the situation?  
Select One: Yes or No
  - a. If yes, how do you feel it could have helped?
3. Were immediate action (IA) drills an important factor in overcoming the change that was introduced?  
Select One: Yes or No
  - a. If yes, how often were the IA drills performed?

4. Do you think a specific type of training should be taught in schools?  
Select One: Yes or No

a. If yes, what type of training?

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#### TEAM CHEMISTRY

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1. How long has your team been working together?  
Select One: Less than 1 month, 1-6 months, 6 months-1 year, greater than 1 year
2. Do you think it is important to have good communication amongst the team?  
Select One: Yes or No
  - a. Explain, why or why not.
3. Do you think it was critical to bring new members up to speed with the other team members?  
Select One: Yes or No
  - a. Explain, why or why not.
4. Were team members empowered to make decisions?  
Select One: Yes or No
  - a. If yes, explain how.
5. Do you feel any of your team members were complacent?  
Select One: Yes or No
  - a. Explain, why or why not.
6. Did all team members know the commander's intent?  
Select One: Yes or No
  - a. Did it help to know the commander's intent?  
Select One: Yes or No
    - i. Explain how it helped.
7. Could all team members envision success when the change was introduced?  
Select One: Yes or No

8. Was everyone involved with the situation thinking the same way (knowing what one another is thinking within the group)?

Select One: Yes or No

- a. If yes, did it help to overcome the change that was introduced? Explain how.

Select One: Yes or No

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#### OUTCOME

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1. Were you successful in overcoming the change that was introduced?

Select One: Yes or No

2. Did keeping an open mind help you overcome the change?

Select One: Yes or No

- a. If yes, how did it help?

3. If the mission was not successful, was victory declared too soon?

Select One: Yes or No

4. Was the change under estimated?

Select One: Yes or No

5. Was complacency a main reason why the change was introduced?

Select One: Yes or No

- a. What do you think could have prevented the complacency?

6. Do you believe it would help to display the philosophy of "leading by example?"

Select One: Yes or No

7. Any other comments or additional information you feel is pertinent to this survey.

## Appendix B: Survey Summary

Member Surveyed	1	2	3	4	5	6	7	8	9	10
<b>Individual Information</b>										
Service	USMC	USMC	USMC	USMC	USMC	USMC	USMC	USMC	USMC	USMC
Rank	Maj	Maj	Ssgt	Maj	Msgt	Capt	Cpl	CWO2	Maj	Msgt
Combat Arms	Yes	No	No	Yes	Yes	No	No	No	No	No
Deployed Location	AFG	IRQ	IRQ	AFG	IRQ	IRQ	IRQ	AFG	IRQ	AFG
<b>Background Information</b>										
1. Deployed to Combat Zone	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
2. Leadership Position	No	Yes	Yes	Yes	Yes	Yes	No	Yes	Yes	Yes
<b>Change - Introduction</b>										
1. Experienced any unexpected change?	Yes	Yes	Yes	No	No	Yes	Yes	Yes	No	No
2. Account for flexibility in plan?	Yes	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes
3. Prepared for handling the change?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
4. Identify the change?	Yes	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes
5. Important to quickly identify the change	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
6. Anything to help identify the change	Yes	Yes	No	No	Yes	No	No	Yes	No	Yes
7. How was the information processed when the change was introduced?	Slowly	Gathering	Quickly	Adjusting	Did not	OPTs	Checking	React quickly	Mentally prepared	Rapidly
8. Accept the change?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
<b>Change - Decision Making Process</b>										
1. Evaluate the risk associated with the decision made?	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes	No
2. Level of risk?	Moderate	Moderate	Significant	Significant	Minimal	Moderate	Moderate	Moderate	Significant	Minimal
3. Were options solicited?	Yes	Yes	No	Yes	Yes	Yes	No	Yes	Yes	Yes
4. Maintain an open mind?	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
5. Attempt to minimize the effects of the change?	Yes	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	No
6. Short term wins or overcome effects as a whole?	Short-term	Overcome	Overcome	Short-term	Short-term	Overcome	Short-term	Both	Overcome	Overcome
7. Attempt any alternative solutions?	No	Yes	No	Yes	No	Yes	No	Yes	Yes	Yes
8. Attempt to find a better solution?	No	Yes	No	Yes	No	No	No	Yes	No	No
9. Pursue new COA or remained with original COA?	New	New	Original	New	Original	Original	Original	Original	New	New
<b>Change - Actions</b>										
1. How overcame the change?	Reorganization	Leveraging	Clear head	How gathered	Minimal	Understanding	Common sense	Rehearsals	Thought out	Fluidity
2. Could have been handled better?	Yes	No	No	Yes	No	Yes	No	No	No	No
3. Was there a sense of urgency?	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	Yes
4. Persistent in overcoming the change?	No	Yes	Yes	Yes	No	No	Yes	Yes	No	Yes
5. Quick decisions?	Yes	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes
6. Commander's Intent taken into consideration?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
7. Solution kept simple?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
8. De-brief and analyze solution?	Yes	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes
<b>Training and Preparedness</b>										
1. Prepared to handle the change?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
2. Could training have helped the situation?	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes	No	No
3. Were IA drills a factor in resolving the change?	No	No	Yes	Yes	No	No	Yes	Yes	Yes	No
4. Training that could be taught to help?	No	Yes	No	Yes	No	Yes	Yes	Yes	No	No
<b>Team Chemistry</b>										
1. How long team together?	1-6 mo.	6-12 mo.	6-12 mo.	1-6 mo.	< 1 mo.	6-12 mo.	6-12 mo.	1-6 mo.	< 1 mo.	> 12 mo.
2. Communication amongst the team?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
3. Bring new members up to speed?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
4. Team empowered to make decisions?	No	Yes	No	Yes	No	Yes	Yes	Yes	Yes	Yes
5. Team members complacent?	Yes	Yes	No	No	Yes	Yes	No	No	No	No
6. Team members know Commander's Intent?	No	Yes	Yes	Yes	No	No	Yes	Yes	Yes	Yes
7. Team members envisioned success?	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
8. Everyone thinking the same way?	No	Yes	No	Yes	No	No	No	Yes	Yes	No
<b>Outcome</b>										
1. Successful in overcoming the change?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
2. Open mind kept during the process?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
3. Victory declared to soon?	N/A	N/A	No	No	No	No	No	No	No	No
4. Underestimated the change?	Yes	No	No	No	No	No	No	No	No	No
5. Complacency introduced the change?	No	No	Yes	No	No	No	No	No	No	No
6. Could leading by example help the situation?	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes
7. Other comments?	New Commander	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	always ready

Member Surveyed	11	12	13	14	15	16	17	18	19	20
<b>Individual Information</b>										
Service	USMC	USMC	USMC	USMC	USMC	USMC	USMC	USMC	USMC	USMC
Rank	Maj	CWO3	MSgt	Sgt	Maj	CWO4	1stSgt	Capt	Capt	Capt
Combat Arms	Yes	No	Yes	Yes	No	Yes	No	Yes	No	No
Deployed Location	AFG	AFG	IRQ	AFG	IRQ	IRQ	IRQ	AFG	IRQ	IRQ
<b>Background Information</b>										
1. Deployed to Combat Zone	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
2. Leadership Position	Yes	Yes	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes
<b>Change - Introduction</b>										
1. Experienced any unexpected change?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	Yes
2. Account for flexibility in plan?	Yes	Yes	Yes	Yes	Yes	No	Yes	Yes	Yes	No
3. Prepared for handling the change?	No	Yes	No	Yes	No	Yes	No	Yes	Yes	Yes
4. Identify the change?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	No
5. Important to quickly identify the change	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
6. Anything to help identify the change	Yes	Yes	Yes	Yes	No	No	No	Yes	Yes	Yes
7. How was the information processed when the change was introduced?	Interaction	Quick process	Lessons learned	Catagorize	Identify	Not happy	considered mission	OODA loop	Quickly	Quickly
8. Accept the change?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
<b>Change - Decision Making Process</b>										
1. Evaluate the risk associated with the decision made?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
2. Level of risk?	Significant	Significant	Significant	Significant	Significant	Moderate	Significant	Significant	Minimal	Moderate
3. Were options solicited?	Yes	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes
4. Maintain an open mind?	Yes	Yes	Yes	Yes	Yes	Yes	No	Yes	Yes	Yes
5. Attempt to minimize the effects of the change?	Yes	Yes	No	No	Yes	Yes	Yes	Yes	No	Yes
6. Short term wins or overcome effects as a whole?	Short-term	Overcome	Overcome	Both	Short-term	Short-term	Short-term	Both	Overcome	Overcome
7. Attempt any alternative solutions?	Yes	No	No	No	No	No	No	Yes	Yes	No
8. Attempt to find a better solution?	No	Yes	Yes	No	No	Yes	No	Yes	Yes	No
9. Pursue new COA or remained with original COA?	New	Original	New	Original	Original	Original	New	Original	New	Original
<b>Change - Actions</b>										
1. How overcame the change?	hard work	Quickly	Reservations	Training	remained calm	Training	Sec Patrols	perseverance	new process	Persistent
2. Could have been handled better?	Yes	No	Yes	Yes	No	Yes	Yes	Yes	No	No
3. Was there a sense of urgency?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
4. Persistent in overcoming the change?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
5. Quick decisions?	Yes	Yes	No	No	Yes	Yes	Yes	Yes	No	Yes
6. Commander's Intent taken into consideration?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
7. Solution kept simple?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
8. De-brief and analyze solution?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
<b>Training and Preparedness</b>										
1. Prepared to handle the change?	No	Yes	Yes	Yes	Yes	Yes	No	Yes	Yes	No
2. Could training have helped the situation?	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes	No	Yes
3. Were IA drills a factor in resolving the change?	Yes	Yes	Yes	Yes	Yes	Yes	No	Yes	No	No
4. Training that could be taught to help?	Yes	No	No	No	No	No	No	Yes	No	Yes
<b>Team Chemistry</b>										
1. How long team together?	> 12 mo.	> 12 mo.	6-12 mo.	< 1 mo.	6-12 mo.	6-12 mo.	1-6 mo.	> 12 mo.	6-12 mo.	6-12 mo.
2. Communication amongst the team?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
3. Bring new members up to speed?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
4. Team empowered to make decisions?	Yes	Yes	Yes	Yes	Yes	No	No	Yes	Yes	Yes
5. Team members complacent?	Yes	Yes	Yes	Yes	No	No	Yes	Yes	Yes	Yes
6. Team members know Commander's Intent?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	No	Yes
7. Team members envisioned success?	No	Yes	No	Yes	Yes	No	Yes	No	No	No
8. Everyone thinking the same way?	No	No	No	Yes	No	No	Yes	No	No	No
<b>Outcome</b>										
1. Successful in overcoming the change?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
2. Open mind kept during the process?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
3. Victory declared to soon?	No	Yes	No	No	No	No	No	No	No	No
4. Underestimated the change?	No	No	Yes	No	No	Yes	Yes	No	No	No
5. Complacency introduced the change?	No	No	No	Yes	No	No	Yes	No	No	No
6. Could leading by example help the situation?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
7. Other comments?	N/A	training, experience, leadership	N/A	N/A	N/A	N/A	role of a leader	N/A	uneventful	N/A