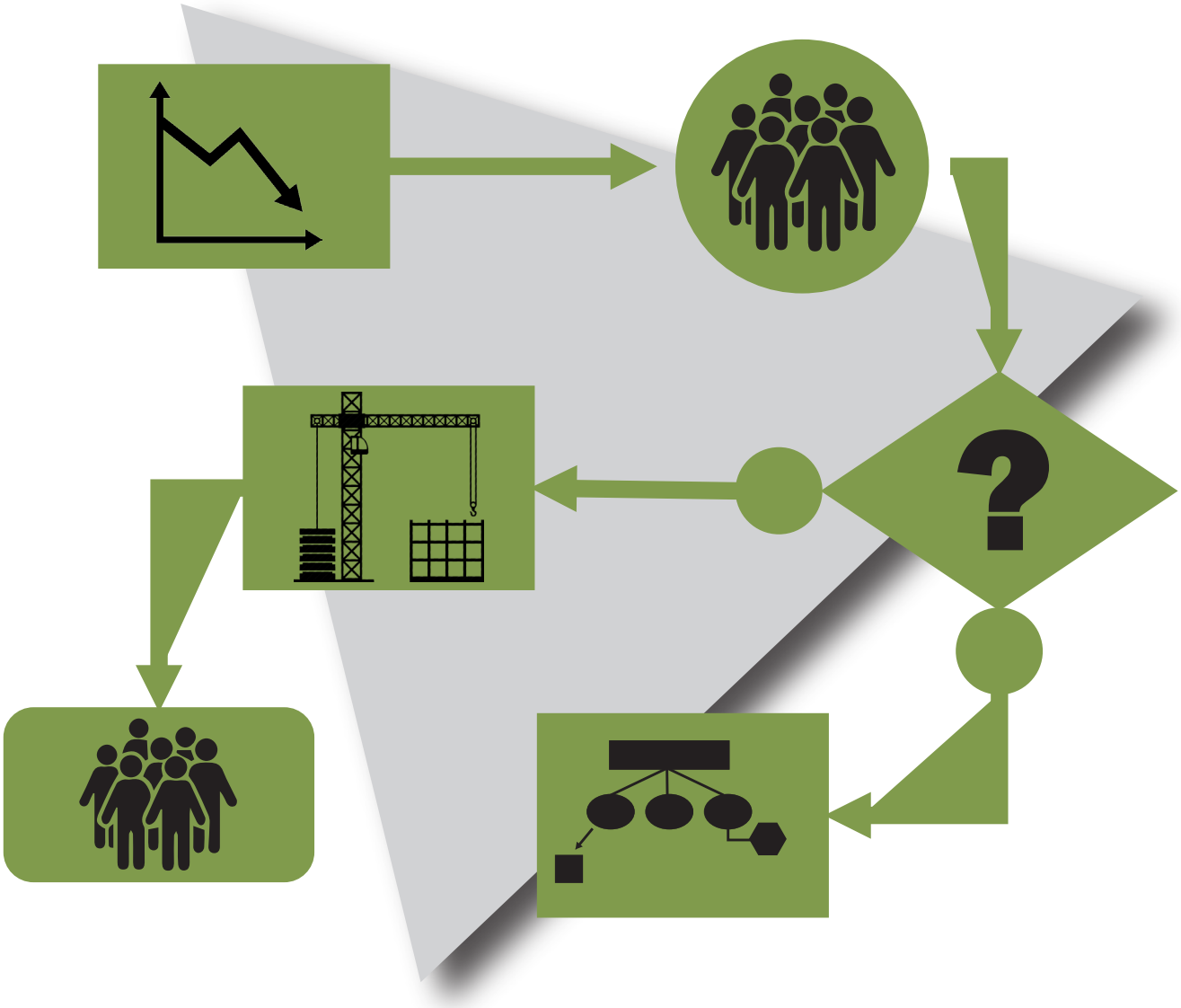
LEADING CHANGE
IN MILITARY ORGANIZATIONS

EXPERIENTIAL ACTIVITY WORKBOOK



2ND EDITION

DEPARTMENT OF COMMAND, LEADERSHIP, AND MANAGEMENT

UNITED STATES ARMY WAR COLLEGE

Leading Change in Military Organizations

Experiential Activity Book

2nd Edition (2025 Update)

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Table of Contents

List of Figures

List of Tables

Preface: How to Use This Activity Book

Since 2014, when I assumed responsibility for the Leading Change elective in the U.S. Army War College resident program, students wanted tools to help them navigate the difficult terrain of leading and managing change. While the eight-step approach of Kotter (2012)[1] was helpful, there were unanswered questions when the steps were applied in military organizations. A general explanation came from the works of Andrew Pettigrew who showed how the processes of change, the problem itself, and the external and internal contexts are interdependent.[2] In my doctoral studies, I learned from experienced scholars and consultants from organizational behavior, design, and development that many of the unanswered questions and debates among War College students in seminar had answers among the classics of organizational theory.

The initial result was the monograph *Leading Change in Military Organizations*,[3] now available through the U.S. Army War College's *WAR ROOM* site. But this was just a first step. I saw leading change as both a communication skill and an art. While traditional seminar dialogue helped address some of the ideas and concepts of change, students needed to learn by doing – by putting the tools into practice at a low level and experimenting. In academic years 2017-2019, I developed a series of workshops to help students put what they learned int practice. Students came into the course with a problem to solve necessitating a change effort, and I reserved times for experiential workshops that a process of organizational diagnosis that I learned in one of my doctoral courses.[4]

The 2019 iteration of the course saw these activities stabilize and mature – not only through use in the resident program but also as external and internal consultant with various organizations, and in communications with scholars and professional military educators. This activity book will *not* be a silver bullet for any change effort but provides a slate of activities and exercises that can be used in educational or leader development settings to help organizations understand the complexity and dynamics of leading change – and eschew the idea that any simple model will lead to success.

Organization of the text

This text contains six activities representing six discrete actions in preparing for planned change. These are shown in Figure 1, and each one has an activity established for it. Each activity is presented in two forms – (1) *long form* for field use where all steps should be completed, and (2) *short form* for introductory use in educational settings. I recommend that long form activities be conducted in a facilitated setting or under the advice of a consultant who is familiar with the underlying literature. Done properly in large complex organizations, some activities can (perhaps should) take weeks or months to complete. Moreover, as Figure 1**.** shows, the completion of an activity may result in adjustments to previous results. The feedback loops in Figure 1 cannot be overemphasized.

The short forms are designed for students conducting the activity over a 30 to 60-minute period on a problem of their own choice. Each activity includes a target time frame based on my experience, but this is just a guide. Completing the activities in a facilitated in-person environment always takes less time than doing them remotely or in isolation from others. The short forms have been used in both synchronous and asynchronous settings.

Cautions and limitations

There are important limitations to using this activity book. In practice, these activities represent only a small portion of the work required to thoughtfully plan a change effort.

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[1] John P. Kotter, *Leading Change* (Boston, MA: Harvard University Press, 2012).

[2] Andrew M. Pettigrew, "Context and Action in the Transformation of the Firm," *Journal of Management Studies* 24, no. 6 (1987): 649-670.

[3] Tom Galvin, *Leading Change in Military Organizations: Primer for Senior Leaders,* 2nd ed. (Carlisle, PA: Department of Command, Leadership, and Management, 2023). Hereafter "Primer."

[4] Syllabus for "Organizational Diagnosis," HOL 8702, The George Washington University, 2013.

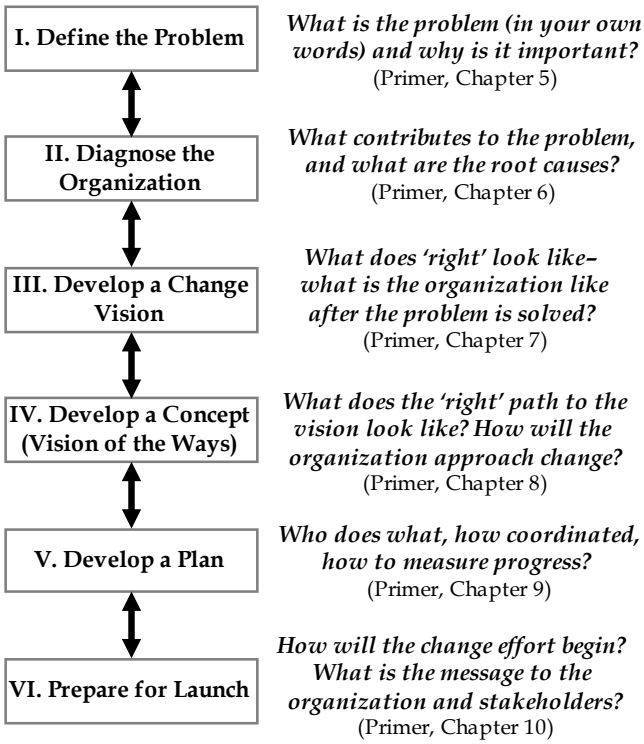

Figure 1. The six activities in this book[5]

Broad-based changes in large organizations could take weeks or months to plan, and this workbook does not promise shortcuts. Rather, it provides opportunities to plan change efforts more efficiently and with improved participation from members. It is recommended that each activity be afforded reflection time by the participants which should keep all their journals and after-action review notes. Reflection addresses the artistic and creative challenges associated with change. Finding the best words to capture the essence of the Activity may take time. One should not rush.

Do not treat the activities as strictly sequential. The conduct of later activities may necessitate updates or adjustments to earlier ones. This is normal and to be expected. In some instances, it may be necessary to re-state the problem if the resulting plan proves infeasible or unsustainable. In other instances, circumstances (e.g., external pressures, crisis situations) necessitate quick action. Leaders may need to anchor on the vision to get the process moving. As Pettigrew's work shows, context drives processes for planning and implementing change.

Feedback is welcome and encouraged. The intent for this activity book to be revised and released as needed, commensurate with updates to its companion monograph *Leading Change in Military Organizations*, 2nd edition, published in 2023 (hereafter "Primer"). Figure 1 includes references the associated chapters in the Primer to orient readers.

Using the Workbook

To get the most out of the Activity Book, readers should identify real change problems. In educational settings, this should be a problem that the students are sufficiently familiar with so they can perform the Activities without need for significant outside research. In professional settings, the problem can be anything including one that is not yet well defined or understood.

Participants should scan through the book first to see the overall flow of the activities before beginning Activity One. Participants will benefit from understanding the roadmap that this activity book follows and the logic that binds all these activities together. Participants must be willing and prepared to backtrack to previous activities as added information emerges. Do not look upon these activities in a linear fashion. Developing the plan may expose new ideas about the original problem statement. A successful launch may require adjustments to the concept. Be flexible and open.

Acknowledgements

I wish to acknowledge all the faculty and students whose comments and support over the years has led to the publication of this second edition. I especially wish to acknowledge the students in the U.S. Army War College resident and distance programs for their comments and feedback on the quality and simplicity of the exercises. Thank you all so very much!

[5] Original graphic by author.

Activity I: Define the Problem

There is always a problem to be solved in military organizations. Something is broken, inefficient, unbalanced, underperforming – it can be described in many ways. If you are the one perceiving the problem, how are you going to convince leaders that your problem has merit and is worth solving?

What we want to do is make sure that you have identified the problem in your own mind and using your own words. If you cannot articulate the problem to yourself, it will be that much more difficult to articulate the problem to others, including leaders who could champion the effort.

One approach is to organize the problem into a change story, one that shows the compelling need for change rationally and logically, yet also in an inspiring way. It puts the onus on the leader to make a choice – to continue along the present path that may lead to greater problems, or to implement change and move the organization in a different, better direction. This activity will help you develop a good change story, one that convincingly explains the need for change.

What is the problem?

It helps to define what is meant by "problem." For the purposes of this Activity Book, a *problem* is something about the organization with which one is dissatisfied. The assumption is that this problem is something you want to change. It might not be – maybe something is dissatisfactory but tolerable. But this workbook is here to help you identify and communicate what you want to change.[6]

But you cannot do this alone. You need friends. So when defining the problem, you need to find ways to convince others to see the same problem and be motivated to help you, in other words join your *guiding coalition*, or "coalition" for short.[7] To do that, one must develop a convincing argument that the problem is serious and action must be taken. Otherwise, others may not see the problem as so severe as you do or may offer reasons not to do anything about it. Perhaps, there is a legitimate reason not to act and you are not aware of it. More than likely, however, there is no reason other than there being barriers to fixing the problem that no one wishes or feels empowered to overcome.

The thing about problems is that they tend to get worse over time if no one does anything. A rule regarding information security ceases being followed in one location, and then becomes violated in other locations, and soon the organization creates a gaping vulnerability for adversaries to exploit. Or there are quality control problems and soldiers are not getting their beans and bullets on time, leading to distrust in the supply system. Or the soldiers are unhappy about administrative procedures like award submissions and promotion packets that takes far too long to do something simple, causing backlogs that are difficult to overcome.

The idea is that if the organization felt that the problem was bad enough, it would already be acting on it. The *current state*, the situation you find yourself in, is (apparently) considered tolerable. So, the aims of this Activity are two-fold: (1) to help you define the problem well enough to show that it really should not be tolerated, and (2) to help you communicate this to others, especially the leader whose decision may be needed to spur action.

The approach is to define the problem using a *change story* rather than just a bulletized list of facts bearing on the problem. Spurring change takes more than pointing out the organization's faults, it takes inspiring others to act.

The change story

Humans are natural storytellers. We love a good story, and all good stories are about *change*—ordinarily in the protagonist. Consider popular stories like the *Harry Potter* series. Each book placed the protagonist, Harry Potter, in a situation demanding change. From the need to leave the home of the Dursleys and attend Hogwarts in the first novel to overcoming self-

[6] Most of this chapter derives from Primer, Chapter 5.

[7] Kotter, *Leading Change*, chapter 4.

doubt to face Lord Voldemort in the decisive battle, Harry underwent tremendous growth and maturity in each adventure. Audiences loved them. As of 2023, over 600 million Harry Potter books have been sold worldwide.[8]

Successful fiction writing involves conflict and tension – *on every single page!*[9] If there is no conflict, there is no story. Readers will simply put the book down. Conflict not only engages the reader, but it also makes characters memorable. We empathize with characters who overcome conflict, change, and grow.

Can one leverage this in organizational settings to spur change? Absolutely, but is not easy. Organizations make difficult protagonists. It is tough to convey the same sense of conflict and tension in such an abstract entity. So, the approach taken in this Activity is to situate the decision maker as the protagonist. The organization has a problem and sits at a crossroad. The decision is a simple one – stay the course and risk failure or chart a new course and fix the problem.

Table 1 shows the structure of a change story, and the following sections briefly describe each element. The change story situates the protagonist at the *current state*, in which the problem is present and apparent—the organization is broken, inefficient, unbalanced, underperforming, or something else. The protagonist now faces a choice. One option is to keep the organization on the present path, which may lead to a future state where the organization is weaker, the *undesired future state*. The other, preferred, option is to change the organization's course to a better situation where the problem is corrected (or at least mitigated). This is the *desired future state.*

But of course, constructing this story means that the problem is clearly defined and well understood. That is also not as easy as it sounds. Defining the problem is also best-done using stories – allowing people to see the problem through the eyes of someone experiencing its effects.

The most important part of crafting the change story is that you express the problem *in your own words*. You will see that this Activity will cause you to consider how to express the problem in words that others can grasp, but ultimately you must retain your individual perspective of the problem, because it is likely that the change effort undertaken may not address everything you see as wrong. You should strive not to give it up and look for opportunities to correct what is left unaddressed (see Activities III-V).

Common mistakes

Before getting into the details of Activity I, I will offer some common errors I see both in classroom settings and when consulting with military organizations. These come primarily from experience.

The first common mistake is *embedding the solution into the problem statement*. This is an outgrowth of military culture whereby junior leaders are continuously instructed to avoid bringing problems to leaders unless they also bring a solution. While this may be reasonable advice for a small-scale problem where the solutions are probably evident, it does not always work as well in large, complex organizations. Any initial solution proposed at this stage requires further exploration and may only provide a partial answer. Worse, if the solution is promoted too aggressively and too quickly, it will enable opponents to thwart the change effort at its inception. The focus is to elevate awareness of the problem and enable dialogue about potential solutions instead.

The second most common mistake is *taking a mechanical approach to answering the questions* rather than exercising critical thinking. A sign of this is that the desired future state reads as a negation of the undesired future state. Like this:

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[8] "Scholastic marks 25 year anniversary of the publication of J.K. Rowling's *Harry Potter and the Sorcerer's Stone,*" Scholastic.com, February 6, 2023, https://mediaroom.scholastic.com/index.php?q=press-release/scholastic-marks-25-year-anniversary-publication-jk-rowling-s-harry-potter-and-sorcere

[9] Many thanks to the great writers who conducted the *A Novel Idea* series of fiction-writing workshops (Perry County Center for the Arts, Perry County, Pennsylvania) for this insight. They stressed that non-fiction writing also benefits from the same idea. Any strategy, plan, or other communication must place the central choice or tension out front and focus on it throughout the text. This both makes the text more interesting to read and helps the recommendations more closely solve the underlying problem.

- Current state = "we don't have enough people"
- Undesired future state = "we lose a lot of people and readiness suffers"
- Desired future state = "we have enough people"

While the above appears comical, it reflects another problematic aspect of military culture – the push to get to the point as quickly as possible. There is a reticence to express feelings and experiences, but these are critical for understanding the urgency of the problem. The mechanical approach leads to expressions of problems that generate little to no reaction – people neither understand nor care about the problem as you see it. They respond to the above with, "So what? Everyone is short people. Deal with it!" To a certain extent, they are right. If the organization were aware of the impact of not having enough people, they would be better postured to argue for increases of personnel or some matter of relief in the tasks assigned or other options.

The third mistake is when the *problem expressed is about the change agent rather than the customer or decision maker*. Signs of this are easy to spot. Everything offered in the Activity is couched in terms of the change agent's perspective without sufficient regard to those who the organization serves. I might characterize the problem like this:

- Current state = "there is a backlog of adminstrative actions and soldiers are not being taken care of"
- Undesired future state = "the backlog gets worse and the organization fails its mission"
- Desired future state = "there is no backlog and everything is done on time"

In my experience, "backlogs" are a part of organizational life and do not by themselves warrant a change effort. The change agent sees the problem as one of performance – the organization is not processing administrative actions as fast as it should – but who is the one most impacted? The "soldier" of course! So how to put the "soldier" into the story? Here is how I might do it:

- Undesired future state = "significant retention problem because soldiers' awards and promotion packets miss deadlines"
- Desired future state = "deserving soldiers trust that their hard work will be recognized through awards and promotions"

Putting the soldier into the center of the story avoids the mechanical response problem. The undesired and desired future states are still opposites, but they contrast better. The listener imagines two clear pictures of the organization's future behaviors and it more likely to be emotionally invested and committed.

Here are a few other common errors or pitfalls to avoid. One is *personalizing the problem*, such as pointing the finger at someone. This is not helpful. The focus should always be on the problem, not the people potentially involved. Another is the problem of *alarmism*, which is making everything sound worse than it is. Defining the problem properly requires critical and rational thinking. Emotions are useful and help the story become convincing, but they can also turn other off if the change agent is making mountains out of molehills. And finally, there is the tendency to *burden the problem description with jargon*. Just because the problem manifests itself as a technical issue does not mean that the technical details are necessary. The aim is plainspeak – use ordinary words that ordinary people use. Decision makers are likely multiple echelons above the organizations affected by the problem, and if they cannot understand the terms used, they will be less likely to support the effort.

Structure of the Activity

The Activity is divided into four steps and follows the general structure in Figure 2. The short form, designed for classroom use or in hasty situations, only produces an outline of the change story that a change agent can then communicate orally to others, such as to help build the guiding coalition. The long form is more deliberate and should result in a "white paper" style document designed to communicate the problem much more formally to a wider audience. Because the short form constitutes a subset of the long form, one can take the results

of the short form and expand upon it using the steps in this Activity to generate a white paper.

A critical difference is that the end product of the short form is a problem statement written in the words of the change agent. The long form white paper is written from the perspective of a decision maker. The latter is used for higher-level socialization but the change agent's own problem statement is also retained (see Activity III).

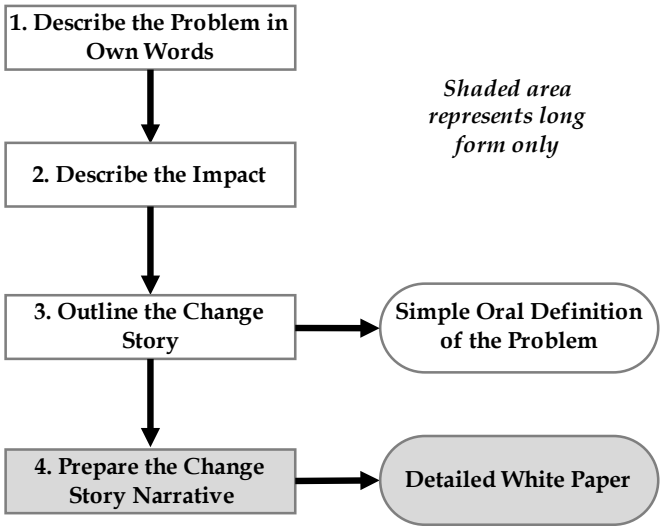


Figure 2. Structure of Activity I: Define the problem

Step 1 is about describing the problem, beginning with the lived experiences of one or more members or stakeholders of the organization in question through *vignettes*, "brief, evocative descriptions, accounts, or episodes,"[10] and concluding with classifying the problem as one or more of several varieties – problems of alignment, performance, and commitment. Steps 2 and 3 help translate this into a change story; first by describing the impact that the problem has on the organization and then presenting it as the decision facing the organization. Step 4 is about crafting the change story in narrative form. The short form of this Activity excludes Step 4.

Step 1. Describe the problem in own words

Step 1 is intended to allow you to put your initial thoughts down on paper – what is bothering you about the organization such that a change effort is potentially needed? This step operationalizes Spradlin's (2012) three questions for problem definition expressed in the Primer but adds a couple additional actions to help with formulating the change story.[11]

Steps 1a and 1b require you to name the organization and then describe the problem (Spradlin's first question). Naming the organization is important because it allows you to scope the problem and orient it toward a decision maker – usually the leader or "champion" who will help you drive the effort. Note that if you are the decision maker and are exploring leading the change effort, you must avoid personal bias in your answers to this Activity and throughout the workbook.

Step 1c asks for vignettes, or personalized experiences. This is one way to explain the problem in terms of the impact felt on others. Choose the protagonist wisely – it should be the customer of the process or system involved in the program, not necessarily those running the system.

Step 1d then asks you to justify the problem in one of three ways – as one of alignment, performance, or commitment. Problems of alignment are those where the organization is not designed properly for its mission, whereas performance assumes proper design, but the organization is not completing those tasks efficiently or effectively. Commitment is about how members feel about the organization and its mission, and problems often manifest in expressions of dissatisfaction, stress, or unresolved conflict.

Finally, Step 1e (long-form only) asks about the history of the problem. What has been tried before? Why did it not work? This is helpful information since many problems recur. Past efforts to fix the problem may not have worked, and members will remember that and resist solutions that employ the same approaches.

Step 2. Describe the impact

Militaries are preparedness organizations whose day-to-day activities serve to ensure the

[10] Oxford Dictionary online, s. v. "Vignette."

[11] Dwayne Spradlin, "Are you solving the right problem?" *Harvard Business Review* (September 2012), https://hbr.org/2012/09/are-you-solving-the-right-problem

organization is prepared to perform its mission—such as prosecuting war or maintaining peace. Military preparedness literature provides various descriptors of comparative advantage, which is the impact of a problem on a military's potential abilities to fight and win on the battlefield. These are the nine Principles of Preparedness and are elaborated in Table 1:

- *Aligned with Assigned Roles and Missions* – How well does the organization's mission and structure align with what is needed to fight and win? Problems of alignment see the organization having the wrong capabilities for the fight.

- *Overmatch (or Qualitative Superiority)* – Does the organization lack capabilities needed to fight and win against anticipated opponents? Do adversaries have better capabilities?

- *Sufficient (or Quantitatively Superior)* – Does the organization lack capacity (e.g., manpower, materiel, information, etc.) to fulfill its mission? Numbers of ready units provide only part of the answer. How many can deploy where needed and when to influence the situation?

- *Adaptable* – To what extent is the organization ill-structured, equipped, trained, and ready to handle uncertainty, or the requisite variety of missions it may face? What if the organization finds itself incapable of realigning or restructuring its capabilities as required to sustain comparative advantage?

- *Interoperable* – Does the problem indicate an inability to plug-and-play with others, internally or externally? Is the organization inhibited from assembling capabilities into tailored force packages for employment? Is the organization unable to add or subtract capabilities with minimal disruption to those employed? Can the force package interoperate with external entities, such as other government agencies or allies and coalition partners? Interoperable organizations maximize strengths and minimize the weaknesses of its parts.

- *Mobilizable* – Can the organization respond to a mission requirement as quickly as needed? It can also address surge capacity to set the theater and project national power.

- *Sustainable* – Can the organization stay resilient over the long haul? Are available facilities, infrastructure, outsourced capabilities, logistics, and other critical support for operations enough to support fighting forces?

- *With Foresight* – How well does (or can) the organization balance short-term with long-term requirements, such as ensuring proper manning and equipping for today while continuously modernizing for the future? This principle speaks to risks associated with trading current unit readiness for modernization. Balance is critical.

- *With Will to be Prepared* – Is the organization lacking the resources or access to national resources such that it is unable to be prepared? Or is the organization signaling to adversaries that the organization is in any way unprepared to fight and win and appears unable to become prepared?

The next step is to forecast the future given the persistence of the current state. Table 1 shows one option with a straight arrow – leading from the current state to the *undesired future state*, a future in which the organization is worse off in some way. This depicts a decision to sustain the status quo or exercise the wrong decision that keeps the organization on the same path.

To determine the most probable undesired future state you will project the current state into the future. You will use the Principles of Preparedness to logically derive a future where things get worse or degenerate. Some examples:

- If the current state includes a condition where an adversary has overmatch (superior capabilities), then one can forecast that if the organization does nothing, it will succumb to *defeat* or *irrelevance* against said adversary.

- If the current state includes a problem with interoperability, then the future may see *conflict* or *disunity* during operations because the organization cannot work with others.

Note that the forecast is constructed rationally and logically – not emotionally. You wish to avoid sounding alarmist by overstating the effects of the wrong decision. A rationally derived outcome is more likely to convince others of the severity of the problem.

You will then derive the *desired future state*, in which a proper decision is made, and a change effort takes place. At this point, it is not necessary to know what the change effort will look like, only to assume that a decision to pursue change will alter the path of the organization. The same principles of preparedness can be used to generate the desired forecasts, as follows:

- If the current state describes the inability to mobilize or surge capabilities in response to changes in the environment, then a choice for change should lead to the organization being able to *grow* and be more *responsive* to the environment.
- If the current state includes a lack of capacity to perform its mission to the fullest extent expected, the choice for change should lead to *robustness*.

Step 3. Outline the change story

The aim of Step 3 is to synthesize the work done in the previous steps so the change story can be communicated to prospective members of the guiding coalition. Steps 3a, b, and c are syntheses of the dissatisfactions expressed and their urgency. Together, they represent the change story from your vantage point and are ready to share with members of the guiding coalition.. *If doing the short form, STOP here*.

Step 4. Prepare the change story narrative (long form only)

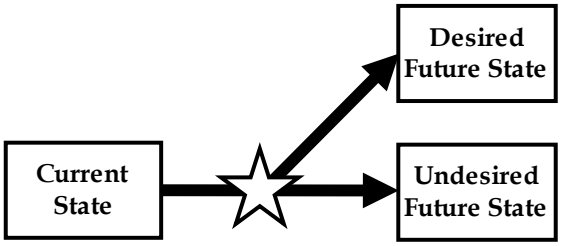
Key is a shift in perspective. Steps 1-3 were done from your perspective as the change agent. Step 4 puts the change story in the perspective of the decision maker, usually a higher-level commander with oversight over the whole organization and who will have the overall responsibility to ensure the success of the change effort. This version of the change story is more deliberate and should result in a White Paper or similar product capturing the full change story and its logic. Most of the information required will come from the steps already completed, but with additional information that one might need to consider when preparing the white paper. So, step 4a has you identify the decision maker whose perspective will inform the change narrative the most.

The next steps are exercises in strategic empathy. As you consider the possible responses of others from the results of Step 3, you will want to consider how others may interpret your raising awareness of the problem as a criticism or challenge against them? Step 4b asks for factors or conditions within the change story that can provoke or trigger strong negative responses and why. This can help you present the change story in a more thoughtful or supportive way or to avoid putting the recipients on the defensive.

Steps 4c and 4d go together. You will consider the history of the problem. You wish to avoid your change story being dismissed because of past experiences. Can you incorporate that history to show that the urgency is now greater or that the conditions changed so the lessons of the past no longer apply? Can the history highlight barriers relevant to fixing the problem?

Finally in step 4e, you will build the change story as a narrative that would serve as the core for the white paper. It is important to write the narrative from the perspective of the decision maker, which may mean that the terminology used or the descriptions of the problem may deviate from your perspective captured in Steps 1-3. The narrative should be shared with others to garner feedback and refined as needed.

Table 1. Elements of the change story and the Principles of Preparedness



Current State – Indicators of the problem as presently perceived by the change agent

Undesired Future State – Change agent forecast of the the future where the current state is combined with the wrong decision or a non-decision (maintain current path)

Desired Future State – Change agent forecast of the the future where the right decision to pursue change corrects or mitigates the problems of the current state.

Principle of Preparedness	*(A) Descriptors for Current State*	*(B) Forecasting Undesired Future State*	*(C) Forecasting Desired Future State*
Alignment	Misalignment; incorrect roles or missions	Irrelevance; Obsolescence	Clarified roles and missions; ready for next mission
Overmatch	Overmatched against enemy; lack of capability to perform mission	Defeat; Being Deterred or Dissuaded; Forced to Retreat	Sustained/re-established advantage; position of strength
Sufficiency	Insufficient quantity or capacity to satisfy operational demand	Running out; over-expenditure; lost quality; breakdown of capability	Robust; versatile; responsive
Interoperability	Not interoperable; cannot connect to (plug-and-play) or work with others	Conflict; disunity; tension; disagreement; barriers to unity	Plug and play capability; connected; unified effort / action
Adaptability	Stuck; stovepiped; rigid; inflexible	Forfeited competitive advantage; unable to respond or keep up	Versatile; agile; responsive; forward-thinking
Mobilizability	Unable to generate new capabilities or increase capacity when needed	Fragile; slow; vulnerable	Capacity for growth and transformation; responsive
Sustainability	Unable to sustain capability over the long haul	Atrophy; competitive advantage weakened gradually	Maintaining persistent commitment to mission; resilient
Foresight	Unable to balance current and future needs; short-term focus	Loss of vision; short-sighted; reactive; a step behind others	Forward-leaning; innovative; strategic; leading organization
Will	Lack of initiative; ability to devote energy, resources, etc. to mission	Stagnant; overworked; underfunded; low morale; broken culture and climate	Proactive; anticipating; energetic; exciting; inspiring; motivating

Conduct of Activity I: Define the Problem

For the short form of this activity, complete items marked with a star (★) – steps 1abcd, 2abc, and 3abc. Some steps have additional instructions for the short & long forms. Estimated time to complete short form is 45 minutes.

Step 1. Describe the problem in your own words

★ 1.a. Name your organization. *For the duration of this activity (and all subsequent activities) to consistently take the perspective of this organization and its leaders.*

★ 1.b. Describe the problem in a couple sentences. What is wrong, or what can be better?

★ 1.c. Describe the nature of the problem using vignettes of a few sentences or paragraph. Choose someone (yourself, an individual service member or dependent, a commander, or a staff officer) who is negatively affected by the problem. Include their goals, their attempts at achieving their goals, and what happens that causes those goals to be unfulfilled. Include why if possible. *For short form, only one vignette is needed. For long form, you should include several and they should all be distinct from one another.*

★1.d. Characterize the problem as one of more of the following: *alignment* (not doing the right things), *performance* (not doing things right), or *commitment* (the people are not behind the organization). Refer to Table 2 below for ideas. It will be helpful if you can provide data or evidence to support your answers. Note: Your vignette from step 1c should reflect some of your entries.

Table 2. Three Types of Problems

Problems of Alignment	Problems of Performance	Problems of Commitment
Organization is not designed to perform its present tasks	*Organization is not performing its tasks as it is designed to do*	*Members of the organization are dissatisfied or disagree with the organization's purpose*
• Changes in requirements that the organization has not adapted to • Reduced resources or lack of skills or talent, thus the organization no longer has the capacity to do its tasks	• Performance metrics are below established standards • Performance goals that the organization is designed to meet but cannot • Quality control issues where performance is faulty	• Members do not like being a part of the organization, feel no obligation to it, or see greener pastures elsewhere • Signs of stress – e.g., high turnover, absenteeism, unresolved conflict • Distrust in leaders

For short form, provide 2-3 bullets. For long form, provide as many indicators as possible.

1.e. If known, provide the history of the problem. Is it a continuous or recurring issue? What has been tried before to solve it, and did it work?

Step 2. Describe the impact of the problem if left unresolved

In this step, you will develop the elements of the story – the current state, undesired future state, and desired future state – and situate a leader at the decision point where two choices lie. The leader may do nothing and the organization follows its current path to the undesired future state, or may implement a change effort to steer the organization toward a desired future state.

You will use Table 1 on page 4 of this workbook to help you complete this step. *For the short form, you only need to fill in 2 or 3 rows. For the long form, fill in as many as you can.*

Read the example given. This is a case where the organization should have the capacity to do something but does not. Therefore, the principle at play is Sufficiency. Review how the current state, undesired future state, and the desired future state descriptors align with the corresponding descriptors in Table 1 under Sufficiency.

★2.a. Urgency of the Current State. Using your responses to Step 1 and the current state descriptors in Table 1 (page 4), fill in Column A of Table 3 below with how your problem places the organization at a competitive disadvantage. For each row you complete, do the following.

- From Table 1, choose one of the nine principles of preparedness whose current state description most closely matches some of the indicators of your problem. Enter it in the blank in Column A.
- Underneath, enter a statement describing the organization's problem using the current state description. Do not just repeat the vignette – the vignette is an example, not the whole problem!

In the example in Table 3, *Sufficiency is entered as the principle, and the descriptor presents the shortfall (language specialists) and the impact (ability to operate in the area of responsibility).*

★2.b. Risks of the Undesired Future State. For each entry from Step 2a, forecast the future if the organization fails to take action to correct the problem. How could this get much worse? Refer to the factors from Table 1 that you chose and look at Column B for corresponding descriptors of the undesired future state. Adapt those descriptors and place your forecasts in Column B of Table 3.

Continuing the example – under Sufficiency in Table 1, Column B says "Running out; overexpenditure; lost quality; breakdown of capability." How might these play out in the future if the current state insufficiency is not addressed? In the Sample block of Table 3, Column B, you can see how this is applied to the lack of trained language experts and what could go wrong if capacity is not increased.

★2.c. Potential of the Desired Future State. Repeat the process for the desired future state in Column C. What would the organization look like if/when this problem is solved? *Important: Do not include any proposed solution or corrective action! It will anchor the change effort and enable your opposition!*

Continuing the example – under Sufficiency in Table 1, Column C says "Robust; versatile; responsive." Which of these describe what the organization looks like if the problem is fixed? Table 3, Column C, Sample block provides an entry for how the organization looks when it has built up its language capacity. Note that the entry says nothing about how – that will come about in later Activities.

★2.d. Check your work. Step 2 is complete if each block of Column A in Table 3 has a corresponding entry in blocks B and C and there is a clear and logical connection among those entries. Also, the vignettes from Step 1 should be represented in the table. *Be sure that you only provide descriptions of the problem and the end states – and that you did not include a specific solution or course of action.*

Table 3. Worksheet for the elements of your change story

(A) Descriptors for Current State	***(B) Forecasting Undesired Future State***	***(C) Forecasting Desired Future State***
Sample. Principle: *Sufficiency* *We do not have enough language specialists to operate in our anticipated area of operations.*	Sample. *Not enough language experts to deal with local populations – leading to distrust among locals who may hinder our advances to the objective.*	Sample. *Sufficient language experts will allow us to build trust with locals and encourage them to help us or at least stay out of the way.*
1. Principle: _____	1.	1.
2. Principle: _____	2.	2.
3. Principle: _____	3.	3.
4. Principle: _____	4.	4.
5. Principle: _____	5.	5.

Step 3. Outline the change story

Next is to prepare the change story to true story form as prepared *in your own words*. Take the current state and the two forecasts and rewrite as a simple narrative, situating the leader at the decision point, represented by the decision point star in Table 1. Explain in the narrative that the current state places the leader at the decision point, because doing nothing or making the wrong decision will make things worse, as described by the undesired future state. Then explain what urgency of change, showing how a right decision (again, the details of which are not yet known) would lead the organization to a desired future state. *Note: The short form stops here – the outline will be sufficient to continue.*

★ 3.a. Using the results of Steps 1 & 2 – re-state the current state *from your standpoint* and why it is a problem. Note: This should differ from what you wrote in Step 2 which is from your perspective.

★ 3.b. Using the results of Steps 1 & 2 – re-state the undesired future state *from your standpoint* and why it is imperative that the organization take action to avoid it.

★ 3.c. Using the results of Steps 1 & 2 – re-state the desired future state *from your standpoint* and why it is imperative that the organization pursue it. Address its feasibility, if appropriate.

If doing the short form, STOP.

Step 4. Prepare the change story narrative

This step is for the long form where the outcome is a full narrative that integrates the above three steps. It will be useful if the change story contains elements that are controversial or would foster early mobilization of resistance. You as the change agent do not wish your version of the story to be countered before you have had a reasonable chance to shared it with others, particularly allies and leaders. The approach below should not negate the story you wish to tell, but to allow you to set conditions whereby the more controversial aspects can be addressed later.

4.a. Who is the decision maker? *Enter below the lowest level leader with the authorities to initiate change.*

4.b. List elements of the change story that are controversial such that sharing the story could provoke unwanted negative reactions or derail the effort. Identify the potential controversy and the risk of inflaming it. Examples include, but are not limited to:

- Criticisms (direct or indirect) of leaders, power structures, or decisions
- Criticisms (direct or indirect) of policies or strategic direction set by the leadership
- Criticisms (direct or indirect) of stakeholders or other outside organizations.
- Direct criticisms of particular subgroups or members of the organization. *Note: Indirect criticisms are likely embedded in elements of the change story and might not be avoidable.*

4.c. Consider the history of the problem from Step 1e, how might this present barriers to fixing the problem (e.g., "we tried that before," "it will not work," etc.)?

4.d. List down talking points or ideas that you or others could use to mitigate the barriers expressed in 4a and 4b. General strategies include:

- Limit the use of value judgments or identifying fault – focus on the problem
- Identify conditions that may have changed from when past efforts to fix the problem were tried
- Continue to avoid putting the solution into the story – it is more important to convince the decision maker that action is needed, than what the action is (that is for later activities)

4.e. Prepare the full change story in narrative form using the following structure. Be sure to incorporate others' perspectives such as the *decision maker's* standpoint when writing the narrative:

- Introduce the story using one or more of the vignettes from Step 1c
- Bridge the story to the problem description as a restatement of 1b and Step 3b showing that the vignette is an indicator of a larger (i.e., organization-wide) problem
- Provide the background of the problem, incorporating its history from Step 1e and elaborating details on the current state from Step 3b. As appropriate include barriers from Steps 4a & 4b
- Describe the decision facing the decision maker – present the undesired and desire future states from Steps 3c and 3d
- Discuss the barriers from 4a and 4b and describe potential mitigation strategies from Step 4c
- Conclude with a restatement of the decision facing the leader – to act and pursue the desired future state or maintain current path to the undesired future state. Incorporate the vignette to connect the story to its beginning and remind the decision maker of the urgency to act.

Activity II: Diagnose the Organization

Ordinarily, one might expect that problems should be diagnosed first, before developing the change story. At the strategic level, however, things are different. The information necessary to define the problem in detail is not always available as internal and external stakeholders may not be able or willing to provide the information without justification. When a leader legitimizes the change story, the organization is provided suitable justification for supporting the effort and contributing to the extra effort needed to perform data collection and analysis.

Throughout the history of organizational development, scholars have endeavored to devise practical tools to help leaders perform data collection and data analysis. Most tools provide ready-made categorizations of information and expected relationships among them. Some are intended for use in facilitated participatory sessions, while others involve surveys to be administered among members across the organization. Some are complex, others simple. Regardless, each tool represents a way of looking at the problem and determining what information is on-hand or needed.

This activity allows students to conduct rudimentary data collection and analysis using one tool – Weisbord's six-box model. However, the activity is designed such that any preferred diagnostic model can be used.

To effect change, it is important to determine what needs to be changed.[12] This obvious statement belies a complex issue. It is typically easy to identify outcomes that one finds problematic, but it is the inputs and the processes that one must change. But in exceptionally large organizations, *which* inputs and processes must change? The environment is naturally dynamic, so finding the true root causes of the organization's problems is difficult. For military organizations, the hierarchy adds to the complexity of seeking root causes as one must decide both what needs to be changed *and at which level*. Different subunits may have completely different perspectives on whether a change effort is urgent or even required. An Army-level mandate from the Pentagon may not resonate for a battalion in Fort X in the continental U.S. or Base Y in an overseas location.

The challenge for change agents within an exceptionally large organization is to get past the symptoms and indicators of a problem and seek the root causes. This helps address the issue of changes being, or appearing to be, externally driven. Recasting the sense of urgency in terms of underlying causes help separate the crisis from the problem and positions leaders to demonstrate more ownership of the change. There are many diagnostic models available, but most have a common structure that involves feedback loops – moving from signal detection to data collection to analysis to findings. As internal consultants, leaders identify signals of problems through interactions with other members and stakeholders, observations, and performance indicators. Complaints, difficulties, or unsatisfying experiences are potential signals. If the leader chooses to investigate, the next step is to determine what data to collect, from where, and how.

There is an art and a science to diagnosis—most academic work has fallen more in the science arena. This activity involves the use of tools developed scientifically, but also incorporates the art of diagnostic reasoning to answer the question *what is the best explanation for the situation we find ourselves?* This Activity will use on diagnostic tool – Weisbord's six-box model[13] -- but other diagnostic tools can be used as a substitute.

The art of diagnosis

Diagnosis takes the available observations and data about a phenomenon and determines

[12] This Activity is based on Chapter 6 of the Primer.

[13] Marvin R. Weisbord, "Organizational Diagnosis: Six Places to Look for Trouble With or Without a Theory," *Group and Organizational Dynamics* 1, no. 4 (December 1976): 430-447.

the best possible explanation for its occurrence. It exercises one's intuition and professional judgment. It differs from traditional scientific methods of generating hypotheses (known as *induction*) and then testing them (*deduction*). While some data collection methods, like surveys, will use scientific methods, much of what goes into diagnosing the ailments of an organization is subjective. Change agents will instead rely on intuition and professional judgment to determine what is important and not important, and what is supported by evidence and not.

Diagnosis involves two sets of data – symptoms and causes. Organizational problems leave indicators, such as those items you entered for the current state of Activity I. These are *symptoms*, and now you as the change agent are going to play the role of doctor. What is the root cause behind why those symptoms are appearing? Just like in medicine, the same symptoms can result from multiple pathologies. For example, command climate issues such as workplace stress and turnover can be caused by many things – internal problems of the organization such as poor leadership, or external problems such as the political or economic situation. Your goal is to uncover the cause of the symptoms, then uncover the causes of the causes, until you have identified the disease that the organization suffers from.

Consider a medical doctor communicating with a patient complaining of a cough. To a non-professional, a basic internal search is likely to generate dozens of possible explanations for the cough – from minor issues such as the common cold or allergic reaction to serious diseases such as emphysema or lung cancer.[14] But to a doctor, there are other important data points to consider where determining which of these explanations are best. What are the age, gender, medical history, and recent activities (e.g., travel) of the patient? What kind of cough is it? Intuition allows the doctor to connect data points together or identify gaps in knowledge or understanding, suggesting additional questions to ask of the patient. As more knowledge is gathered, some explanations are ruled out as unlikely, while other new ones emerge as possibilities. By the end, the doctor has: (a) confidently diagnosed the problem and prescribes treatment, (b) narrowed it down to a very select few possible causes and orders more tests, (c) recognizes a lack of sufficient expertise to confirm a diagnosis and refers the patient to an expert or specialist, or (d) some combination of the above.[15]

Of course, most internal consultants in the military are not experts in diagnosing organizations like paid consultants, but they do not need to be. Steeped in basic understandings of organizational culture, much of the art of diagnosis is applied common sense and figuring out what can be explained easily and what might require external expertise.

What is most troublesome?

In problems where the assertions are straightforward and evidence is plentiful, it is easy to separate the important from the unimportant. But for large, complex problems in big organizations, it is likely to find the change agent inundated with data. Some of it can be misleading because it relates to a different problem than the one the change agent cares most about. Just as not every medical symptom demands a treatment, not every negative indicator in an organization demands an intervention. Weisbord identified three questions that can help separate what requires intervention and what might not.[16] This helps focus the rest of the diagnostic process. These questions are sequenced such that a problem found from the first question should be addressed before problems found from the others.

1. To what extent does the symptom reflect a general misalignment with the environment? For example, it reflects the organization exercising the wrong roles and missions.

2. To what extent does the symptom reflect a structural misalignment, such that the organization has the wrong capabilities

[14] See Mayo Clinic Staff, "Symptoms: Cough," *Mayo Clinic Website,* January 11, 2018, available at https://www.mayoclinic.org/symptoms/cough/basics/causes/sym-20050846 (accessed May 7, 2019).

[15] For a more thorough treatment of backward chaining, see Stuart J. Russell and Peter Norvig, *Artificial intelligence: a modern approach*, 3rd ed. (Harlow, UK: Pearson, 2009), 337-344.

[16] Weisbord, "Organizational diagnosis," 444.

or design to perform its roles and missions?

3. To what extent does the symptom reflect a normative misalignment, such that the organization's behavior is based on a discrepancy between its formal and informal systems?

These become new assertions that will be added to the six boxes and should be supported by information previously gathered. But they also generate more 'why' questions – such as how did these misalignments come to be? These should lead the change agent to investigate further.

How to sift through the symptoms?

In their book on conduct qualitative analysis, Miles & Hubermann (1994) describe people as "meaning-finders," capable of making sense of dynamic and complex phenomena. They subsequently provide a series of common tactics for finding meaning among the assertions collected in the Weisbord boxes. The following is not comprehensive (they listed thirteen in total), but represent the simplest and most used in this author's experience:[17]

- *Noting recurring relationships in the data*. For example, each time you noted X, you also noted Y. Do X and Y mean something together? Might X be the reason for Y, or vice versa?
- *Seeing plausibility*. Identifying an interesting finding that begs for an explanation that is not among the data collected so far. Consider this the *why* question that cannot be answered but the change agent determines *must* be answered.
- *Clustering*. As data accumulates, it is possible to identify ways of separating related data into 'bins' or 'buckets.' One example is identifying a set of smaller subproblems and dividing up the available data accordingly.
- *Making metaphors*. Taking abstract or intangible data and making it concrete. If there is a common attribute or factor among several pieces of data, a metaphor can attach meaning to it. It answers the question, "If I only had two words to describe [these findings], what would they be?" (p. 252).
- *Counting*. How many instances of something is present in the data? Does that reflect greater significance?
- *Comparisons and Contrasts*. Are there important similarities or differences among the data based on context? Location? Echelon? Etc.?

As with the previous subsection on misalignment, the above meaning-making exercises become new assertions to be added to Weisbord's six boxes. The data utilized becomes the evidence supporting the new assertions, and more 'why' questions should naturally follow.

What is the best explanation?

While there are simple rules that can help eliminate possibilities or generate new ones, the art of diagnosis comes in the weighing of different explanations that both appear plausible, while recognizing that neither can be proven true.[18] Various heuristics can be used to help the change agent make such a determination. The following are examples of such heuristics. If we have two potential causes (A and B) as possible explanations for a set of 'symptoms' or outcomes E, we might choose A over B if:

- A explains E better than B
- A explains a larger subset of E than B
- A provides a more statistically probable explanation of E than B
- There is greater uncertainty in B than there is in A in explaining E[19]

[17] Based on Matthew B. Miles & A. Michael Hubermann, *Qualitative Data Analysis*, 2nd ed. (Thousand Oaka, CA: Sage, 1994), 245-262. This list reflects the first six of their 13 tactics listed.

[18] This is known as *abductive reasoning*. See Igor Douven, "Abduction," *Stanford Encyclopedia of Philosophy*, revised April 28, 2017, https://plato.stanford.edu/entries/abduction/#DedIndAbd (accessed May 7, 2019).

[19] These draw from a wide range of possible logics of abductive reasoning, Tom Bylander et al., "The computational complexity of abduction," *Artificial Intelligence* 489, no. 1-3 (May 1991): 25-60.

Now, if A is determined to be a cause of the symptoms present, what caused A? And might that provide a better explanation for the symptoms observed? This is where backward chaining can become both blessing and curse. It is possible that there is a greater "root" cause that, if corrected, could solve the problem. But that "root" cause could be a symptom of something else. Such comparisons of explanations are valuable information to capture. In effect, these are additional assertions related to the interpretation of data that lead to more 'why' questions.

Challenges of doing a diagnosis

For large, distributed organizations like militaries, the desired data may not be readily available. One cause is that the data might not exist and must be generated. Although bureaucracies naturally collect and manage lots of data, it is possible that none of it provides useful information about the present problem. If this is the case, gathering the data requires extra effort and energy on the part of the organization, energy already in short supply. The second problem is when the data is context-specific that aggregating or synthesizing it may lead to skewed analysis. A third challenge is need-to-know or other sensitivities suggesting that data is available but not appropriate for provision to a change agent. So, the change agent must plan for the data collection—what is the data needed, where would it come from, how would it be defined, and what are the risks to its handling and exposure?

Another challenge is showing causation. In complex adaptive systems, causation is indeed difficult to show. But producing explanations for negative indicators uncovered in the previous activity will be difficult.

A third challenge is the degree to which the diagnostic effort influences the organization. Knowledge that a diagnostic effort is underway can cause members of the organization to react or respond—negatively or positively. But even in position situations, unwanted or unneeded support or facilitation in data gathering can lead to a skewed diagnosis, and one must question whether there are attempts to hide or suppress 'bad' data.

In a 1990 article, change scholar Michael Harrison presented three dilemmas that consultants and change agents typically face.[20] The first is the *goals dilemma* that governs the scope of the effort. Is the intent to pursue a narrow issue that change agents can diagnose and report upon quickly, or does it require a much broader and longer-term effort? The second is the *participation dilemma*, described as follows: Does the consultant decide to do it all, or involve others? Discretion may mandate the former, especially if the subject of the diagnosis is sensitive and ripe for organizational backlash. The third dilemma relates to *politics*, which Harrison defined as regarding who benefits from the organizational assessment – the whole organization or just a specific entity?[21]

The above also highlights two important ethical concerns that warrant the internal consultant's attention. First is the importance of *confidentiality*, particularly when studying problems within an organization that may shed light on poor performance of individuals.[22] Trust is absolutely critical for the internal consultant, both with the sponsor and with any and all participants; the internal consultant must do everything possible to maintain this trust.

The second is *objectivity* and removal of bias, including when the sponsor is pursuing the study with preconceived outcomes in mind.[23] This is particularly important in defense enterprise situations whereby senior defense officials are looking to justify a *fait accompli* despite substantive evidence supporting a different course of action. Unfortunately, the pre-made decision may well have come from much higher authorities and the sponsor may have no choice. In such cases, the consultant has a responsibility to present, in an unbiased manner, the available evidence and his/her recommendation in the best interest of the

[20] Michael I. Harrison, "Hard Choices in Diagnosing Organizations," *Journal of Management Consulting* 6, no. 1 (1990): 13-21.

[21] Harrison, "Hard Choices," 18.

[22] Harrison, "Hard Choices," 18.

[23] Gordon Lippitt and Ronald Lippitt, *The Consulting Process in Action*, 2nd ed. (San Diego, CA: University Associates, 1994), 97.

organization. This is not always easy and may require courage on the part of the change agent.

Common mistakes

There are many common mistakes that I encounter with students and practitioners attempting to perform a diagnosis. I'll offer three, each the result of bias. The most common and insidious in my experience is *predetermining the cause*. Rather than allow the diagnostic process to work, the impatient change agent or leader goes in already convinced of the root cause, usually in the form of a potential scapegoat, and biasing the data collection to prove oneself correct.

Resisting this temptation is hard when one knows the organization well enough to identify such potential scapegoats. But objectivity remains important. The pre-determined cause may be a true cause, but jumping to conclusions may mask a deeper cause that could remain hidden and preclude success in the change effort.

A similar problem is *predetermining the solution*, in which the treatment is written into the diagnosis. Change agents and consultants alike may try too hard to foist a preferred tool onto the organization's problem. This anchors the organization and makes it more difficult to consider other, better solutions. The risk is that applying the wrong tool may make things worse rather than better.

The third frequent problem I see is that the change agent *tows the party line*. The change agent parrots the official statement of what the organization should be rather than what really is going on. And part of this may be because some symptoms are undiscussable.[24] Leaders may not wish certain things to be exposed in the diagnosis process for fear of them being leaked outside the organization, paraded on social media or the news, or enabling critics. The Primer includes a discussion about the general perils of internal consultancy which include the need to navigate the political landscape of the leader. The answer, however, is to still perform the diagnosis and keep good internal records. This may mean keeping two sets of records – one being internal close hold for coalition use and the other being what is shared more openly. One last point about the conduct of diagnosis using a model like Weisbord. It matters much more that you capture symptoms and reason about their root causes than worry about what "box" is falls in. The categorizations are there as an aid, not a requirement. Diagnostic models are useful for explaining how some factors may relate to other factors, making problems more difficult or less tractable. Do they also help with comprehensiveness – answering questions like *Did I miss anything?* Or justifying requirements for surveys or interviews, such as *I need this data and here is why*.

Structure of the activity

This is the most complex of the six Activities in this workbook and represents actions that would take a long time to do. Change efforts in large military organizations may involve extensive surveys or focus group interviews for fact-finding. Sometimes the military will contract the diagnosis and fact-finding out to a think tank or research firm. In such cases, the report may itself have to be cross-examined before it is operationalized as the problem may have evolved in the meantime.

This Activity was written to be done "in-house" by internal consultants. Political and other considerations are not directly included – it is left to the user to determine how to address sensitive matters or filter out what should be kept internal and what is to be openly released.

This structure of the Activity is shown in Figure 3. The short form operates as a single iteration where the change agent lists everything they know going in. They may have done since preliminary digging around but perhaps little else. Once they have begun identifying what they do not know, the short form stops, and the change agent can take the analysis and begin working with the coalition to spur deeper investigation into the problem.

The long form continues from that point. The data sought is now collected from interviews,

[24] Chris Argyris, "Making the undiscussable and its undiscussability discussable," *Public Administration Review* 40, no. 3 (May-June 1980): 205-213.

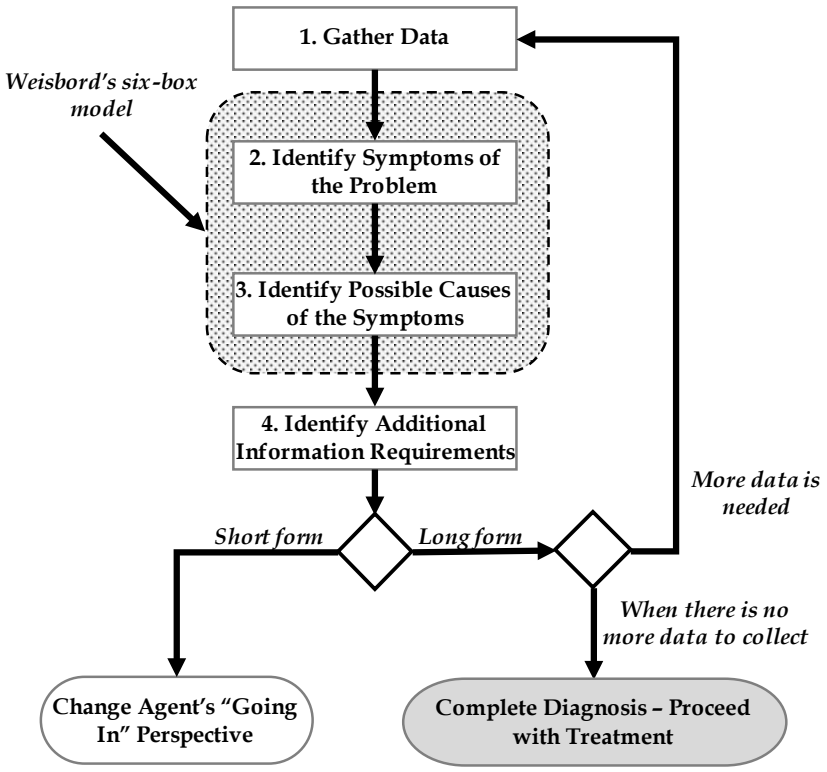


Figure 3. Structure of Activity II: Diagnose the problem

surveys, observations, examination of the organization's records, etc. Then the cycle repeats. What new symptoms were found? What causes have been identified? What else do we need to know? Get the data, loop again, and keep repeating until there is nothing else to find and the root causes have been found. Two iterations may be enough, however – the first getting you to the "going in" perspective and the second iteration constitutes the one shot you get to dig into the organization and learn what you can.

Step 1. Gather data

The Activity begins with ensuring that the basic information about the organization is available. To identify symptoms as symptoms, it is best to contrast them against the espoused norms, values, purposes, procedures, etc. of the organization and any data available. At a minimum, the change agent should collect two things: (1) the foundational texts that include the organization's mission, vision, strategies, and so on, and (2) the key direction it is getting from external stakeholders. These should be permanent or enduring elements that reflect what the organization espouses. So, step 1a should read like the organization's library. As you iterate through the activity (if doing the long form), you should add to this list any official documents related to the data that you need to collect.

Step 1b is about external relationships and what the organization is being told to do beyond what the organization has already encoded in its foundational texts. What are the mandates or strategic direction given? What resources are provided to fulfill those mandates? These should also accumulate in the long form as you iterate – new symptoms may indicate as-of-yet other causes or challenges not considered.

Step 1c is solely for the long form after the first iteration. Each iteration will conclude with a list of things to investigate in the organization to plug knowledge gaps. This step has two subparts – the data collection plan and the findings and results. Both are important, particularly if the findings prove incomplete, inconclusive, or contradictory. In practice, you may choose to continue the loop as each set of findings come in or wait until the entire data collection plan is complete before proceeding.

Step 2. Identify symptoms of the problem

Collecting the facts alone can help us understand *what* is wrong with the organization but does not necessarily tell us *why*. The goal of diagnosing the organization is to find the root causes of our problem. From the indicators and evidence gather, it becomes the change agent's responsibility to begin asking the *why* questions. *Why is this true? Why is that not performing the way it should? Why is there conflict? Why <fill in the blank>?* This is all part of the art of diagnosis.

Because this Activity is based on the Weisbord six-box model, Step 2 is designed around that construct. If you use a different diagnostic model, then the identification and classification of organizational factors will follow that of the other model, but the process is the same. You collect and then classify the data according to the model chosen.

Weisbord's six boxes are established as steps 2a-f – Purposes, Structure, Relationships, Rewards, Helpful Mechanisms, and Leadership. The key is to identify symptoms – indicators of the current state that help describe the problem you wish to solve. Step 2g provides some ways of capturing additional information from the symptoms along such as what may be correlated or causal, what may be episodic vice persistent, etc. The aim is to gather as many symptoms as possible.

Step 3. Identify probable causes of the symptoms

It is assumed that the change agent has a "going-in" sense of what the symptoms and root causes are, so this will be a challenging step to undertake as it requires an objective view. The short form of this Activity is enough to develop the change agent's initial or *preliminary* diagnosis to socialize the concerns with others. The long form is the complete process of diagnosis, concluding hopefully with the true root cause that requires treatment. The actions in this step begin with brainstorming potential causes or explanations and then sorting through them to determine those requiring more information to confirm that they are the best explanations. The outputs will include identifying knowledge gaps which will feed into Step 4.

Step 3a asks for potential causes or explanations for the symptoms seen. A complete answer should include identification of what symptoms are explained by the cause and how confident you are in that explanation.

Step 4. Identify additional information requirements

Naturally, the data collected in the first iteration will be incomplete. In practice, one may populate the boxes with assertions and beliefs for the purposes of putting thoughts down on paper for later analysis. Or such assertions may be dictated by a senior leader or stakeholder who is convinced beyond the shadow of a doubt that an assertion is fact. The change agent may not be able to separate facts from assumptions (at least not yet) but can separate what are supported by evidence versus what are not.

Thus, it is important that the data be sorted or annotated according to the availability of such evidence. Supported assertions should see both the assertion and the evidence entered into the appropriate boxes. Assertions that are unsupported need to be annotated as to who is making the assertion and why or identified as requiring further investigation.

Weisbord lists four basic methods for collecting supporting evidence – observation, written documents, interviews, and surveys. It is beyond the scope of this activity book to go into detail in each of these tools, however the change agent must decide which method appears most likely to generate the needed evidence within available time.[25] Change agents can expect that members will not necessarily support multiple attempts at data collection. For example, if a survey instrument is used, members may participate. But when diagnosis later results in the need for a second survey (or worse, one that repeats portions of the first), members may be less likely to participate and may question the efficacy of data collection. Change agents should minimize disruption whenever possible.

[25] Weisbord, "Organizational Diagnosis," 435.

Conduct of Activity II: Diagnose the Organization

For the short form of this activity, complete items marked with a star <u>once</u> (★) – steps 1ab, 2abcdef, 3ac, 4ab. Some steps have additional instructions for the short & long forms. Estimated time to complete short form is 120 minutes.

The long form is <u>iterative and all entries are cumulative</u> – data is added with each turn, not removed or replaced.

<u>Step 1. Gather data</u>

★ 1.a. Identify the organization's foundational texts of relevance to its mission and intentions – include mission statements, vision statements, organizational structures, relevant policies and regulations, etc.

★1.b. List key influences of the external environment with respect to the problem being studied. Consider stakeholder mandates, institutional rules or norms, and legal changes (such as in authorities and responsibilities vested in organizational leaders).

1.c. *After first iteration* only – For each item in Step 4, implement data collection. Some guidelines:

- For each unresolved 'why' question in Step 4a – these will be most likely interview-based (formal or informal). Think about who you would need to talk with to get the information. The goal is to uncover additional symptoms of the problem or factors / causes contributing to the problem.
- For each empirical item in Steps 4b and 4c – consider what data collection method may be most suitable. Include outsourcing as an option for data that cannot be feasibly collected in house.
    - Written documents and reports if they are available and contain relevant data – be sure to verify that the data is aligned with your efforts to identify symptoms and root causes. Note any limitations identified in the reports.
    - Observations may be better when there is great uncertainty about the context and it is not practical to formulate interview questions or surveys – observations may help clarify the situation so interviews and surveys may proceed.
    - Interviews may be better when the factor being explored is not fully understood or you are not sure that you have enough information to collect reliable survey data.
    - Surveys may be better when the factor is understood and you are looking to collect data to confirm that the factor is contributing to the problem
- Write down the data collection plan:

1.d. Once data collection is complete, list any overall results and findings, and then add them to the appropriate boxes in Step 2:

Step 2. Identify symptoms of the problem (Weisbord Six-Box Model Version)[26]

For each of the following six "boxes" from the Weisbord six-box model, provide as much relevant information as possible. For the long form after the first iteration (i.e., completion of Step 5), add your new findings to the appropriate box. *For short form, provide 2-3 potential symptoms per box as appropriate.*

★ 2.a. PURPOSES: How does the mission and its clarity and acceptance relate to the problem? Consider the following and list potential indicators or symptoms of the problem as appropriate. In what ways does the problem indicate misalignment between the mission and the environmental factors in Step 1? Consider the following from Weisbord (1976):

- Goal fit – Are this organization's purposes ones that society or other stakeholders value?
- Goal clarity – "How well articulated are these goals in the formal system?" In other words, do members of the organization or stakeholders understand the organization's purposes?
- Goal agreement – To what extent do people understand and support the organization's purposes?

[26] Steps 2a-2f uses Weisbord, "Organizational Diagnosis," as its basis. The reader may substitute any data collection model desired; it will not have an effect on other steps in the Activity.

★ 2.b. STRUCTURE: What aspects of the formal organization affect the problem? Consider the formal organizational structure that establishes both the staff and the subordinate elements, and any vertical and horizontal command and control arrangements

★ 2.c. RELATIONSHIPS: Where are relationships inhibiting or interfering with the organization fulfilling its purposes? Who needs to be working well together but aren't? Who do not need to be working well together but are forced to? In what ways is conflict managed or mismanaged?

- Consider the following conflict management norms that Weisbord identifies. Which are manifesting in the organization in ways that aggravate to or possibly reduce the problem?
    - *Forcing*. "The more powerful get their way"
    - *Smoothing*. "Reducing differences by pretending there are none"
    - *Avoiding or Suppressing*. "Make it disloyal to raise disagreements openly"
    - *Bargaining*. Negotiate differences but skew the negotiation toward an advantageous outcome
    - *Confronting*. Maximum transparency and open debate

★ 2.d. REWARDS: How do incentives and disincentives in the organization contribute or influence the problem? Consider some of the following as possible symptoms:

- Are monetary and other benefits directly tied to the worth of the work performed?
- Is the reward system administered fairly and equitably?
- What do people feel rewarded for? Punished for? Especially should deviate from stated intent
- Are there barriers or norms preventing individuals from doing their best or committing to the organization?

★ 2.e. HELPFUL MECHANISMS: Consider all procedures, policies, 'battle rhythm' events, communication channels, reporting requirements, staff actions, facilities and infrastructure capabilities and limitations, programming and budgeting, and other activities embedded in the culture influence the problem. Of particular importance consider those that are involved in *planning*, *programming and budgeting*, *command and control*, and *measurement and assessment* and the extent to which the Helpful Mechanisms supporting these functions contribute to the problem.

★ 2.f. LEADERSHIP: What actions of the leaders (commander/director or leadership team) are involved in the problem space? Consider how leaders define the mission and purpose of the organization, exercise presence or embody the organization, manage and resolve conflict, interact with the external environment, etc. Consider the following as possible symptoms of the problem:

- How well they define the purposes of the organization and its parts
- How well they embody those purposes in what they do
- How well they defend and protect the organization
- How well they manage internal conflict

2.g. From the above, are there patterns to the symptoms that may be symptoms themselves? Consider the following and annotate them in the space below.[27]

- Do some symptoms seem to correlate or occur together?
- Do certain symptoms appear under one set of conditions while disappearing at others?
- Do certain symptoms appear more pronounced in some parts of the organization than others?
- Is there a symptom with no clear explanation?
- Are certain symptoms chronic, persistent, or cyclic? What contributes to their coming and going?

Step 3. Identify probable causes of the symptoms

The aim of this step is to make sense of the data collected and diagnose possible causes for the above symptoms. Some root causes you may be able to identify while others may require further investigation.

★ 3.a. Identify probable causes or contributing factors for the symptoms seen or update based on new information in Step 2.

★ (1) Probable cause or explanation:

- Explains which symptoms?
- Confidence level? Very Confident Somewhat A Little Not at All

★ (2) Probable cause or explanation:

- Explains which symptoms?
- Confidence level? Very Confident Somewhat A Little Not at All

[27] This step is based on Miles & Hubermann, *Qualitative Data Analysis*, Chapter 10.

(3) Probable cause or explanation:

- Explains which symptoms?
- Confidence level? Very Confident Somewhat A Little Not at All

(4) Probable cause or explanation:

- Explains which symptoms?
- Confidence level? Very Confident Somewhat A Little Not at All

3.b. If there are multiple explanations for some of the same symptoms, determine if there is a "better" or "stronger" explanation using the following rules of thumb. Annotate in Step 3a.

- Is one a simpler explanation than the other?
- Does one explain a greater subset of symptoms than the other?
- Is one more statistically probable than the other?
- Is there more uncertainty in one over the other?

★ 3.c. Consider Weisbord's three levels of diagnosis,[28] and sort the explanations from highest to lowest priority as follows:

- Priority 1: *General alignment* – The organization is not properly designed to fulfill its purposes
- Priority 2: *Structural alignment* (includes problems of performance) -- The organization is not structured to to fulfill its purposes or is not performing its mission correctly
- Priority 3: *Normative alignment* (includes problems of commitment) – There are discrepancies between the organization's formal and informal structures, in other words, what it claims or espouses is not what it does or enacts, thereby creating conflict and tension
- Include confidence levels – Very confident Somewhat A Little

3.d. Identify knowledge gaps. What additional information would you need to raise the confidence level in your explanations or what might help rule them out to narrow the diagnosis?

[28] Weisbord, *Organizational Diagnosis*, 444.

Step 4. Identify additional information requirements

★ 4.a. From steps 2 and 3, *identify 'why' questions* for further exploration. These would include any symptoms or patterns of symptoms that lack explanation to this point or that confidence in the explanation is too low (Step 3d).

★ 4.b. From steps 2 and 3a above, identify assumptions you may be making that need to be challenged. For example, identify symptoms whose certainty is questionable (e.g., you observe it locally in your context but is it really true across the organization?) and list what additional data may support the prevalence of that symptom.

For the short form, STOP.

4.c. From steps 2 and 3a above, identify potential gaps in the overall understanding of the organization. What is presently not known that may be contributing to the problem or may indicate other symptoms that have not yet been uncovered?

4.d. Are you finished? If you answer 'yes' to any of these questions, go to Step 4.e. Otherwise, go to Step 1.

- Are you confident that you have reached a clear diagnosis and can proceed with a solution?
- Is there no more data to be collected or worth pursuing? (i.e., you have reached saturation)
- Are you prevented from continuing the diagnosis (e.g., due to lack of time or resources) and therefore must go with what you have?

4.e. Prepare a short narrative with the summary of the diagnosis – what are the critical contributors to the problem that the change effort would need to address, then *STOP*.

Activity III: Develop the Change Vision

What does a successful future for the organization look like after the change effort is "complete"? This is the purpose of vision, a mental image of a desired future state. After determining the problem and its likely causes, the senior leader develops a vision and disseminates it internally and externally. The goal is a shared understanding of the desired future with the problem solved, in hopes of building of unified effort in support of the change.

You may be asking about the difference between the vision in this activity and the desired future state built into the change story in Activity I. In this activity, one bounds the desired future state based on what a leader determines is suitable, feasible, and acceptable for the change effort. It may be less or more than what the change story addresses, usually less. And if it is less, it means that the change effort will only solve a part of the problem – the unsolved portion therefore becomes a matter of a subsequent change effort or assumed by the leader as risk.

This activity takes the change story and the diagnosis and develops what is, in essence, a marketing plan for the change effort. Not only will it produce a clear and consistent vision, but it will also foster the leader's ability to communicate it to others, in hopes of generating the needed resources and energy to put the change effort into motion.

Legitimacy become critical from here on out.[29] Leading change is impossible without buy-in, and others may not see the problem the way you do. The first two Activities helped you develop a full understanding of the problem from your perspective, with the help of others. Moving from diagnosis to action – what Activities III-VI are about – means that others' perspectives become necessarily integrated into the effort so it can be legitimized by the leadership. The change vision is the first step in getting that legitimacy. Your goal is to sell your version of the problem and it diagnosis on the basis of the hard work done to this point. Through the deeper understanding of the problem you have built, you hope to convince others to adopt your perspective to the maximum extent possible.

Challenges of developing a vision

Visioning is hard to do. You may have cringed when you posted the organization's vision statement in Activity II, Step 1a. If so, do not feel bad—such statements are often written for external stakeholders and serve outside interests, therefore internal members may not find them so inspiring. But good ones take a lot of time to write. When it was formed, US Africa Command needed eight months to craft, socialize, and gain acceptance of its initial statement before it was published.[30]

The good news is that *change visions*, what organizations will look like following change efforts, are easier to do. One may have to socialize change visions with external stakeholders, but internal audiences are also important. You have already formulated your change vision when you built the desired future state in Activity I. Now, if the change effort fixes the entire problem as you see it, then the desired future state and the change vision are one and the same.

Sadly, this is rarely the case. See Figure 4. Parts of the desired future state may be beyond the time frame, scope, or resources that leaders are willing to commit to the change effort for now. For example, the desired future state may take ten years to achieve, but the leaders must act within a two- or three-year-time frame commensurate with their tenures and defer the rest to their successors. Or the budget or time and resources available constrain leaders to pursuing only partial solutions. Or some part of your desired future state is not accepted by parts of the organization. So, in addition to expressing what the change effort will accomplish, the change

[29] This Activity is based on Chapter 7 of the Primer.

[30] Thomas P. Galvin, *Two case studies of successful strategic communication campaigns* (Carlisle, PA: Strategic Studies Institute, 2018), chapter 4.

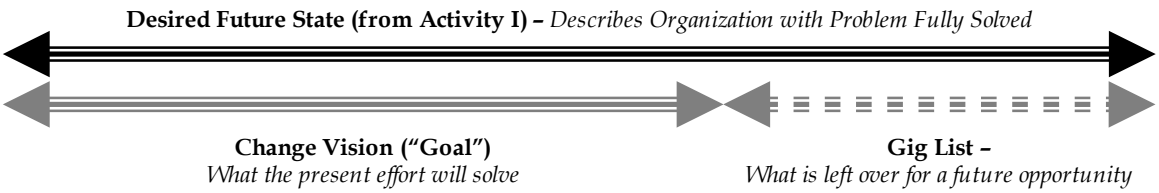


Figure 4. Relationship between desired future state and the change vision

vision needs to do two other things: (1) it needs to nest within the organization's mission and vision statements to minimize rejection of the change effort, and (2) it needs to project the change effort as a viable step forward for achieving the overall desired future state. Your goal is to build consensus over time that the desired future state is more widely accepted and supported, and the change effort will spur more change. **Please note that in Activities V and VI, the term *goal* will be used interchangeably with change vision for simplicity in communicating the change effort with others.**

There are two parts of the change vision – the vision statement with accompanying narrative and branding. I will briefly introduce each.

Vision statement and accompanying narrative

The *change vision* is a narrative that restates the desired future state, accounting for present and anticipated constraints. It is a subset of the desired future state but may contain additional elements that other stakeholders want included as conditions for granting legitimacy to the effort. So long as the additional elements do not conflict with or present barriers to achieving your goals, this should not be a problem. However, one should be careful about mission creep or potential competition over limited resources devoted to the change effort.

However, narratives can be difficult to remember. Thus, a short-hand version of the change vision can ease communication. This is the *change vision statement* (hereafter simply "vision statement") that summarizes the change vision in one sentence. Good vision statements allow others to recreate the change vision in their own minds, encouraging them to accept it and welcome the change effort.

A trick with writing change visions and vision statements is that they should avoid expressing what the organization will *become* because of the effort but instead what it will *do*. In other words, the change vision should be a *vision of action*. Express the vision as how the organization will function and perform its tasks better or what it will be able to do that it cannot now. This approach will cause you to write the vision using verbs which are easier to communicate rather than adjectives or adverbs that are more likely to confuse people.

Here is an example for illustration. Let's assume a leader in an unnamed command has decided to use "A Winning Organization" as an expression of the change vision. There may be reasons to like it – arguably "winning" would be seen by many as a positive and desirable thing. But words can mean many things, and sometimes a particular word can unexpectedly trigger an undesirable response from the audience. For those with bad prior experiences, "winning" could mean something like "winning at all costs, including misuse or abuse of members." The problem is that words like "winning" are adjectives and are prone to misinterpretation.

So instead of "a winning organization," one might instead incorporate action phrases to describe how the organization will be better and more competitive, such as "mobilize rapidly," "reward innovation," "operate better with allies and partners," or "defeat any adversary." Each of these can convey the same sense of winning but the verbs allow members to see themselves participating in the change. Write such phrases so they both reflect how the organization behaves in the future with the problem solved, and how the members will behave and act in that future time.

Branding

In the present context, *branding* constructs an identity for the change effort that fosters its dissemination across the organization. The change effort's brand should convey the answers to some basic questions about the effort such as

what it is, who it is for, and what is the benefit.[31] The vision statement is part of the brand. In military organizations, insignia and colors are examples of branding. In the Army, the crossed rifles of infantry or the signal corps' semaphore flags symbolize those branches and convey meaning to others. Change efforts likewise can be branded. The example of US Africa Command's establishment, like the establishment of any new organization, included discussions over what the command should be called (e.g., "Africa" or "African") and what its seal will look like. The Future Combat System, also known as FCS, had a name and logo to enhance recognition. It also included the brands of several weapons systems programs and an ancillary symbol "18+1+1" that represented its architecture – 18 weapons systems, "plus the network (18+1), plus the Soldier (18+1+1)."[32]

Military enterprises may have sufficient resources to develop comprehensive branding for large scale efforts (e.g., reorganizations, transformations). However, many organizational change efforts do not require much branding, just enough to help members identify the change effort and separate it from other organizational activities. It may be enough to only name the change effort or have a separate logo, insignia, symbol, or social media elements (e.g., hashtags).

Implications

Two critical points must be made. First, *from here on, everything you do is more than about fostering the current change effort, it is about sustaining conditions in the organization that fosters climates supportive of future change efforts.* If the organization has a predisposition against change due to past failures or other factors, you will need to overcome that for the present effort, but you also do not want the present effort to get in the way of other needed changes. So you will want to avoid conflict with existing change efforts.

Second, *everything you do must be red-teamed.* Activities III-VI result in products of the change effort and require legitimacy from the organization. The products will be imperfect, but members will forgive the imperfections if they felt that they had a voice in developing the change effort. You want to set conditions by which the change vision will be accepted as much as possible and not dismissed out of hand.

Common mistakes

So long as the change vision appears nested within or consistent with the desired future state and all the branding elements logically follow, it should be fine. The problems in my experience come during branding. Here are a couple of indicators that the branding is probably not going to sell particularly well.

The most common mistake is branding is trying too hard to please everyone. For example, naming the effort using an established motto or unit symbol as the basis (for example, if a unit's nickname is "Eagles," then everything gets named "Eagle _____"). While sometimes this can work out well, sometimes it can cause members or others to cringe or fail to connect the name to the change effort.

Another indicator of a problem is when a favored pre-determined solution has found its way into the vision or branding. That is, the change agent had already predetermined a name brand or a logo even though the results of defining and diagnosing the problem have taken the effort in a completely different direction. One can usually tell this is happening when said favored solution appears in the definition and diagnosis phases and the change agent does not follow anyone's feedback suggesting problems with the brand. Red-teaming is an important tool for avoiding this problem, but the feedback must be considered and incorporated into the vision. Dismissing such feedback will likely cause the change effort to lose legitimacy.

One must also avoid overbranding. Sometimes users of workbooks such as this one feel as though all elements are mandatory when they are not. Many change efforts do not really need a logo and having one may provoke negative reactions rather than positive ones.

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[31] J. R. Rossiter, "'Branding' explained: defining and measuring brand awareness and brand attitude," *Journal of Brand Management* 21, no. 7/8 (2014): 533-540, https://ro.uow.edu.au/cgi/viewcontent.cgi?article=1637&context=buspapers

[32] Program Manager – Future Combat Systems, *FCS 18+1+1* (white paper, Washington, DC: US Army Training and Doctrine Command, 2004), https://www.govinfo.gov/content/pkg/GOVPUB-D101-PURL-LPS62251/pdf/GOVPUB-D101-PURL-LPS62251.pdf

Other times I encounter change agents who are convinced that the style components of the change effort are more important than the substance. For example, the vision statement might be unclear or not thought through, but the graphics are richly detailed and the change agent has designed an overly robust social media campaign. The most important output of this Activity is the change vision, from which all the branding should depend.

Structure of the Activity

There are three steps to this Activity, as depicted in Figure 5. Step 1 is the expression of the change vision and the gig list optional in the short form). Step 2 is about the branding. The short form only requires a vision statement and a short name while logos and other graphics are optional. Step 3 is long form only -- red-teaming the vision and branding, then refining the contents of Steps 1 & 2 accordingly.

Step 1. Crafting the change vision

There are four parts to this step that culminate with preparing the change vision as a paragraph in Step 1d. Step 1a asks for the timeframe of the change effort which is an important constraint to consider when writing the vision. A change vision for an effort lasting six months should be feasible in six months.

Steps 1b and 1c answer the two parts of the divided timeline in Figure 5 – what will be accomplished and what will not – in other words, the gig list of what the change effort will not accomplish. The gig list is not for wider dissemination, rather it is a tool of the change effort to capture what remains to be done so it is not forgotten. With this, you will write the resulting change vision in Step 1d.

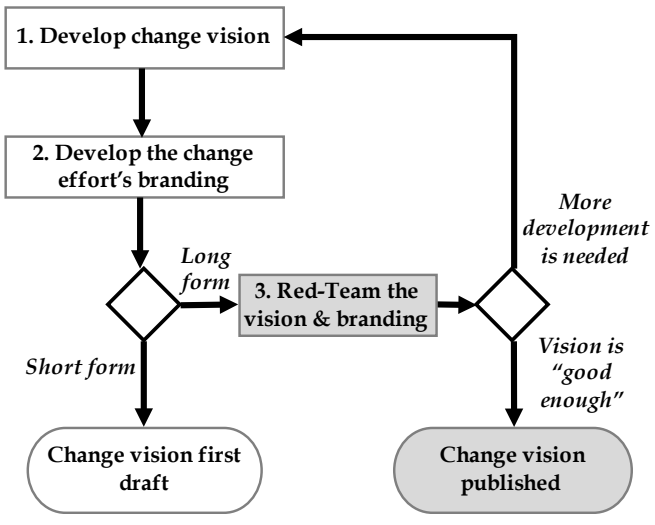

Figure 5. Structure of Activity III: Develop the change vision

Step 2. Branding the change vision

The change effort's branding is deceptively hard. Writing vision statements, constructing logos, and the like requires some creativity. For Step 2a, the vision statement is one sentence (or two – shorter is better) that summarizes the vision and is intended to be passed around. In addition to being simple, memorable, inspiring, etc., it should invite interested members to learn more such as by reading the full change vision.

Step 2b calls for the (optional) name of the change effort which can be a phrase, an acronym, or other symbol. Avoid using acronyms as they can get lost among all the other acronyms that military organizations may be using.

Steps 2c and 2d cover graphics and other marketing needs that may be part of the brand. Despite it being reserved for the long form, trying to develop such branding elements can be a particularly useful exercise. Fancier graphics are not necessarily better, in fact simpler graphics are usually recommended. The graphics should aid in spreading the word, so should draw attention to the change effort naturally without the excessive need for explanation by the change agent or guiding coalition.

Step 3. Red-team the vision & branding

This step may be reserved for the long form but is an all-around good idea. The only way to properly judge the vision & branding to get the reactions of others. Signs of poor design choices may include that the branding generates unfavorable reactions (e.g., rejection or derision), fails to distinguish the change effort from other activities (e.g., looks like something else), or is confusing or unclear to organizational members. Consequently, it is useful for change agents to socialize or red-team their ideas with others to see what works and what does not work.

Conduct of Activity III: Develop the Change Vision

For the short form of this activity, complete items marked with a star (★) – steps 1ad and 2ab. Some steps have additional instructions for the short & long forms. Estimated time to complete short form is 30-45 minutes.

Step 1. Develop the change vision

For this step, refer to your answers in Activity I, Step 3 for the Desired Future State.

★ 1.a. Set parameters of the change effort, which may differ from the original change story as expressed in Activity One. What is the timeframe for the change effort, which may be less than the time necessary to achieve the full desired future state? Justify the timeframe (e.g., based on senior leader mandate or constraints placed on the organization)? What will you be allowed or not allowed to accomplish?

1.b. Construct the anticipated outcomes of the change effort based on the parameters in Step 1.a. (Most will be for dissemination in the change vision but some may be kept close hold)

1.c. Construct the "gig list," what will be left as follow-on (branch or sequel) efforts to this change, or be addressed under a different change effort. What opportunities can be sought to act on the gig list if known? (This list will likely be kept close hold)

★ 1.d. Prepare the change vision in a paragraph. What will be accomplished within the designated time frame? What might not be accomplished or might have to be accomplished another way?

Step 2. Develop the change effort's branding

The *vision statement* is a word-symbol of the change effort that captures the essence and meaning of the vision without unnecessary details. Vision statements should be short, inspiring, simple, and easily spread among members and external audiences. However, they must also reflect the purpose and urgency of the change effort, and avoid being potentially confused with other initiatives.

★ 2.a. Prepare a change vision statement that is short, no more than one sentence, that fits the above description (there is no target word length, but shorter is generally better). Ensure that the statement aligns with the change vision in Step 1.d.

★ 2.b. Choose a short name for the change effort, such as a 2-4 word title, an acronym (e.g., SHARP) or other mix of words and symbols (e.g., WIN-T), or explain why a short name will not be used.

2.c. Develop graphic branding for the change effort as appropriate. List items to be designed and produced to aid with communicating the vision. Attach graphic files or hand drawings as applicable for further development. Examples include logos, insignia, and templates for apps and software applications.

- Include intended meaning of any symbols or colors used in these graphics

2.d. Develop other branding products as appropriate (e.g., may include physical products such as pens, mugs, bookmarks, flags, coins, social media handles, etc.)

- Include considerations for their production, distribution, and usage; particularly legal constraints

Step 3. Red-Team the vision & branding and refine

Share the above products with your guiding coalition and other members and stakeholders of the organization to gather feedback. Make notes of negative or ho-hum responses. What is found to be bothersome or uninspiring? What improvements can be made? What in the vision strikes them as infeasible, unsuitable, or unacceptable?

Make adjustments to the products in Steps 1 and 2 and socialize again. Repeat as needed.

Activity IV: Develop the Concept (Vision of the Ways)

Now attention turns to the second level of visioning--the vision of the ways. In other words, what does the path from current state to desired future state look like? This will be referred to using the common military term of concept to differentiate it from strategy or plan. Strategies and plans come about once enough details about the change effort are sufficiently clear that the leaders and change agents can negotiate the means required. At the concept stage, the means discussion is actually a barrier to change. Members and stakeholders alike may fall into a zero-sum trap where they protect resources against harvesting and defend the status quo rather than listen to the proposed change effort and judge it on its merits.

It is important to recognize that there is no one solution or 'best way' to pursue a change effort. In fact, there are many approaches one can take. Organization scholars Chin and Benne consolidated the full range of extant change approaches into three general classes, and each of them can be used to pursue any change effort. This activity uses the familiar structure of a commander's intent to produce the backbone of a concept, largely focused on tying ends and ways with less (but not zero) regard for means.

Concepts are familiar to military personnel.[33] They provide clarity in presenting new ways of fighting, employing new capabilities, or looking at the complexity of future environments. For organizational change efforts, concepts perform an important visioning function, allowing others to visualize *how* the change effort will solve the problem identified in the change story and achieve the change vision.

Another way of looking at concepts is the function they perform in providing the leader's intentions – how does the leader see the organization participating in the effort? How will the organization achieve the change goals and ultimately solve the problem? What are the critical tasks that the organization must perform for the change effort to succeed?

Based on this, the *commander's intent* as expressed in U.S. military doctrine will serve as the primary construct, but also incorporate change approaches from Chin and Benne (1989) to describe the character of activities that the organization will perform.

Statements of intent

Military officers are accustomed to concepts, whether it is the concept of operations for a battle and a concept for large-scale organizational transformation such as the Army Operating Concept.[34] The Primer will adapt the structure of the U.S. military's *commander's intent* as it contains the main elements of a concept. The commander's intent is defined as follows:

> *A clear and concise expression of the* ***purpose of the operation and the desired military end state*** *that supports mission command,* ***provides focus*** *to the staff, and* ***helps subordinate and supporting commanders act*** *to achieve the commander's desired results* ***without further orders****, even when the operation does not unfold as planned.*[35]

For organizational change efforts, the above translates to the purpose of the change, the key tasks that the organization must accomplish, and how the change effort will be governed until termination when the desired future state is achieved. The purpose should express both the urgency of avoiding the undesired future state and the importance of pursuing the desired future state. The key tasks should list broad approaches to adjusting each of the preparedness variable, such as "what must the organization do to increase its capacity? Establish overmatch? Improve interoperability?" and so on. The governance structure can include estimates or expectations of time frame to complete the

[33] This Activity is based on Chapter 8 of the Primer.

[34] U.S. Department of the Army, *The Operations Process*, Army Doctrinal Reference Publication 5-0 (Washington, DC: U.S. Department of the Army, May 2012).

[35] U.S. Joint Staff, *Joint Operations*, Joint Publication 3-0 (Washington, DC: U.S. Joint Staff, January 2017). Hereafter JP 3-0.

change, methods of oversight and reporting, and communication and synchronization tasks.

Like the vision of the ends, the concept should not include negations but may include actions to avoid and key risk factors that could cause early termination of the effort. Once all the elements are established, the concept should be described as a story telling of the journey from the current state to the desired state. Obstacles and barriers should be presented as challenges that the organization can and must overcome.

The four components of a concept are: (1) statement of purpose about what the change effort will accomplish and why, (2) listing of key tasks, (3) explanation the transition, and (4) how the change effort will end (hopefully as a success). The first, second, and fourth derive directly from the commanders' intent construct, but the third is new and will require additional explanation.

Purpose for the change

It might at first glance seem like this was already provided in the visioning exercise in Activity III. In practice, there are several reasons why it is usually necessary to re-state the change vision in the concept. First, the concept is necessarily closer to implementation, leading to expectations of stronger ties between the vision and the activities that the organization will undertake to achieve it.

Second, the change vision might be more externally focused, whereas the purpose statement may be directed more toward internal audiences – commanders, service members, civilians, dependents, etc. The purpose statement, therefore, must be tailorable by leaders at each echelon to avoid misinterpretations and miscommunication down the line. It should also be self-contained and easy to transmit with limited need for re-interpretation. Jargon, acronyms, and other limited-use terms should be avoided.

A third reason is the matter of time. The change vision may be crafted quickly by leaders looking to spur interest and actions among stakeholders. The concept, however, might be developed by senior staff members who are more deliberate and sensitive to feasibility, suitability, and acceptability of the result. The concept and plan (Activity V) might be done closer together, or the concept may be done by a separate organization from the plan. The development incurs time which can cause changes to the situation that may introduce differences between the change vision and the concept.

Key tasks

This is straightforward. The set of key tasks should express the necessary (and sufficient, if possible) requirements for accomplishing the change vision. It is a bullet list and should be self-explanatory.

To be a key task, the bullet should begin with an action verb. Examples of action verbs are *build, develop*, and *implement*. Passive verbs that should be avoided include *foster*, *provide*, and *support*. The task should clearly state what the organization overall must do. Well-stated key tasks are easier to subdivide into smaller tasks.

Key tasks are also fully independent of each other. Sometimes users will list the key tasks in some sort of sequence whereby the first key task is a prerequisite of the second, for example. Such dependencies mean that those two tasks are just one key task with multiple parts.

The accomplishment of all key tasks should equal or exceed the achievement of the change vision. There should be no obvious gaps.

There is no "right number" of key tasks except that more complex or larger efforts will likely have more of them. A rule of thumb (which is to say, a suggestion) is that smaller-scaled efforts will have about 3-5 while larger-scaled efforts might have up to ten. Do not consider that a hard and fast rule.

Explaining the transition

There is an old military adage that no plan survives first contact with the enemy. The implication is that members need to be prepared to deal with the uncertainties of battle, adjust, and continue toward the objective.

The same idea applies to change efforts. The *transition* describes the lived experience of members going through the change effort and the difficulties and discomfort they are likely to face. As explained in the Primer, transitions occur in

three overlapping phases: (1) the old ways are broken, (2) the organization moves to the new ways, (3) the new ways are embedded and sustained. The middle phase is the troublesome part as that is when the greatest discomfort occurs.[36] Leaders and change agents need to ensure to avoid this discomfort eroding commitment to the effort and seeing members looking back and re-establishing the comfortable old ways.

The aim is to forecast what the sources of discomfort might be and explain those to members. They should therefore be postured to anticipate difficulties as the change effort is implemented and be prepared to overcome them. There should also be some sort of emergency service (like a "help desk" for the change effort) that members know who to contact.

Throughout, members should be encouraged to look forward rather than look back. Members must know that the organization has their back and is willing to help when things go wrong.

Describe indicators of progress and termination conditions

Change efforts should never go on forever. When they success in achieving the change vision, they should end. When they see no further progress is possible, they should end. When the conditions change such that existing efforts are no longer valid, they should end. This part of the concept explains how the organization will know whether progress is being made and when it is time to stop. An effort that lacks clear termination conditions risks being perceived as a so-called self-licking ice cream cone, devoid of direction and being continued for its own sake.

How will leaders and members know the extent to which progress is being made? There is a tendency to want to dive into the numbers and specify metrics, but for the concept this is generally not necessary and are better left for the plan (Activity V). The concept should instead list a few indicators of success that can be quantified (probably as a suite of metrics rather than one) later. It is the subjectivity of these indicators, however, that will make it necessary to build a concept narrative.

Communicating the concept

The previous section helps assemble the elements of the concept but are not sufficient for convincing members of the organization that this is the best way to go. The *concept narrative* is what will pull all the elements together and explain to members how the change effort will proceed.

To make the narrative clear and acceptable, it is important to understand how leaders and members prefer to perform their tasks. An organization's culture and the preferences of leaders can greatly influence what types of activities it will perform and how the indicators of progress will be interpreted.[37] This is the central point of the "Story of the Four Commanders" described in the Primer.[38] Organizations that have data-driven cultures or emphasize evidence-based decision-making are going to behave differently from organizations that normally operate using participative activities and knowledge sharing. The story also highlights how the same indicators of progress can result in different types of metrics, data collection, and reporting mechanisms. To measure a culture change, one organization may view progress as to what extent the members are exhibiting desired in behaviors through the successful application of incentives while others may be satisfied if everyone has received training and is therefore presumed to having adopted the right behaviors as a result.

Each concept therefore has a situationally-dependent character. Sometimes that character is determined by the leader's individual preferences, as the "story of the four commanders" describes. Sometimes it is determined by the organization's culture – the members of the organization collectively lean one way, although some individuals may differ. Other times, it may be determined by the community of practice or military service. A branch (e.g., infantry, signal, engineer) may have preferences that apply across units. Because such

[36] William Bridges, *Managing Transitions: Making the Most of Change*, 1st ed. (Reading, MA: Addison-Wesley, 1991),

[37] Robert Chin and Kenneth D. Benne, "General Strategies for Effecting Changes in Human Systems," in W. G. Bennis, Kenneth D. Benne, and Robert Chin (Eds.), *The Planning of Change*, 4th ed. (Fort Worth, TX: Harcourt, 1985), 22-45.

[38] Primer, 88-90, presents "The Story of the Four Commanders."

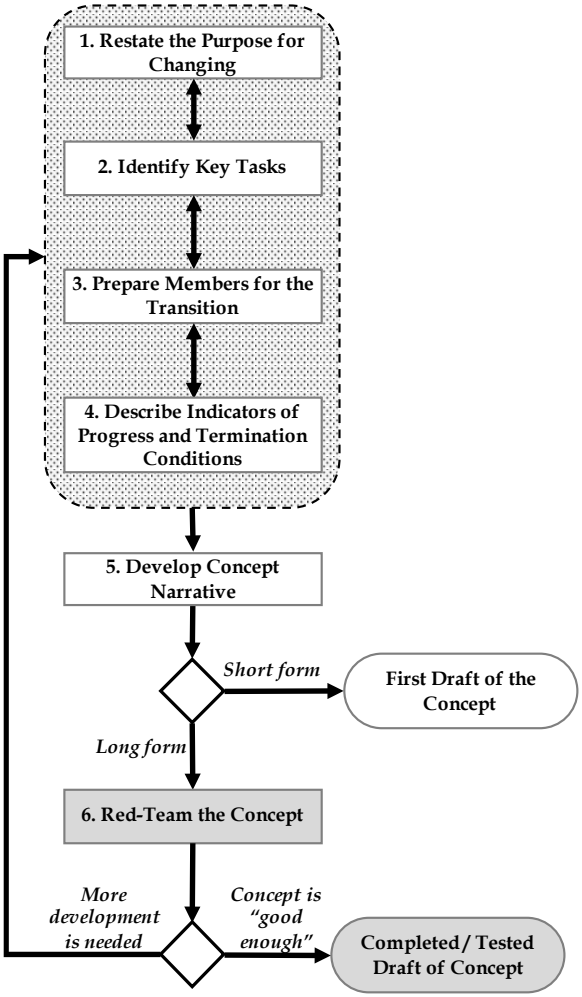

Figure 6. Structure of Activity IV: Develop the Concept

preferences are not necessarily universal among all members, there can be conflict. Those who are data-driven may not appreciate a concept that favors participative activities.

Common mistakes

In addition to the points made on individual steps throughout this chapter, there is a tendency to be overly detailed and turn the concept into a plan. The risk is that members will get distracted by too much specificity and nitpick the strategy as a way of resisting change. It is best to build a shared understanding of the intent first and use it to provide guidance to the planners who will dive into the details in Activity V.

The other general mistake is when the change agent or guiding coalition chooses the character of the effort based on their own preferences and not those of the leaders or the culture, even trying to use the concept as a tool to guide leader behaviors. This can occur when the guiding coalition is frustrated with the way business is being done and wants to push others to work differently. While there are times when the concept narrative may need to be countercultural, leaders need to embrace the difference otherwise the change effort will struggle to maintain legitimacy. Even when leaders accept the guiding coalition's views, going against leader preferences can be risky and result in leaders being uncomfortable or losing commitment in the effort over time.

Structure of the activity

The structure of the Activity is shown in Figure 6. The four components of the concept are built first in Steps 1-4, then synthesized with the cultural elements in Step 5 to produce a concept narrative. For the short form, the Activity stops at Step 5 with the first draft of the concept ready for socialization.

In the long form, the Activity continues to Step 6, where the change agent red-teams the concept with others in the organization to gather feedback. If there are shortcomings uncovered in the concept, then revert to Step 1, adjust, and socialize again as needed. Repeat until there is satisfaction that the concept has been sufficiently improved so any objections are addressed or the risks are deemed acceptable. The result will be a completed and tested (or battle-hardened) concept that is ready to give to the planners.

Conduct of Activity IV: Develop the Concept (Vision of the Ways)

For the short form of this activity, complete items marked with a star (★) – steps 1ab, 2a, 3ab, 4ab, and 5a. Some steps have additional instructions for the short & long forms. Estimated time to complete short form is 45 minutes.

Step 1. Restate the purpose for changing[39]

★ 1.a. Restate the change vision from Activity III, Step 1, making changes as needed. *For the short form, if nothing has changed from Activity III, then mark "Unchanged from Activity III."*

★ 1.b. Provide a justification for "why" this change effort is necessary, drawing from the results of previous activities. *For the short form, one sentence should be sufficient.*

[39] Steps 1, 2, and 4 are based on JP 3-0.

Step 2. Identify key tasks

★ 2.a. Develop an initial list of "key" tasks – activities that must be completed for the vision to be achieved. Brainstorm as many as you can, and then look to combine them into a shorter yet comprehensive list. Consider key enabling tasks in areas such as manpower, logistics, training or education, facilities or infrastructure, mobilization, resources, etc.

2.b. Continue to refine the above until you have reduced the list: (1) for smaller or homogeneous organizations, three to five; (2) for larger, more complex endeavors, seven to ten. Ensure the sum of accomplishing the tasks is aligned with vision achievement. Also, ensure that everyone in the organization is involved with and contributes to at least one key task.

Step 3. Prepare members for transitioning during the change effort[40]

Identify possible ways that members of the organization will feel significant discomfort during the change effort. Consider key structures, processes, systems, habits, norms, or values that members depend upon that may be disrupted during the effort and probably gapped – the new structure, process, etc. is likely to still be developing. Propose ways to reassure members that the disruption will be expected, should be temporary, and that they should stay the course rather than revert to the "old ways."

★ 3.a. Forecast potential difficulties that the change effort may face and explain why and how members can overcome them. *For short form, two factors are sufficient. For the long form, use continuation sheets for additional factors.*

(1) Difficulty #1. Answer the following:

Name something that will be disrupted during the change effort that may make members uncomfortable or concerned about continuing on.

Why might members be uncomfortable such that they might try going back to the old ways?

What indicators would you look for that members might be experiencing difficulties and are seeking to go back to the old ways, putting the change effort at risk?

How do you explain to members to expect this problem to occur and convince them that it is better to stay the course?

[40] Step 3 is based on Bridges, *Managing Transitions*, chapter 1.

(2) Difficulty #2. Answer the following:

Name something that will be disrupted during the change effort that may make members uncomfortable or concerned about continuing on.

Why might members be uncomfortable such that they might try going back to the old ways?

What indicators would you look for that members might be experiencing difficulties and are seeking to go back to the old ways, putting the change effort at risk?

How do you explain to members to expect this problem to occur and convince them that it is better to stay the course?

★ 3.b. Describe "help desk" or similar services. Who should members do if they face difficulties? Who should they contact? Will it be a single POC or a proponent office? What information should members provide to help responders provide a resolution? What communication tools should be available to broadcast solutions more widely?

Step 4. Describe indicators of progress and termination conditions:

★ 4.a. Provide a set of indicators—measures of success or conditions in the environment—that signal completion of the change effort (or the accomplishment of one or more key tasks).

4.b. Provide a set of indicators – conditions in the environment – that signal the possibility that the change effort is reaching the point of diminishing returns, has stalled, or otherwise reached a barrier that would seem difficult to overcome.

Step 5. Develop the concept narrative

For this step, you will use Table 4 below. The aim is to account for leader and cultural preferences over how the change effort would proceed, which may influence the measures used to gauge progress, the leaders' contributing actions, and the organization's overall sense of accomplishment. Refer to the "Story of the Four Commanders" section in the Primer for more information.

Table 4. The four approaches summarized[41]

RATIONAL-EMPIRICAL:	POWER-COERCIVE:
• Relies on data and metrics to drive change • Goal may be expressed as metrics being at certain levels; progress is understood by seeing the metrics move in desired directions • Activities that tend to be favored: data gathering and analysis activities (surveys, etc.), status reporting, using dashboards and common operating pictures to show real-time status • Strengths: Objectivity, reliability, consistency, fosters implementation of common standards and evaluation methods, simplifies administration • Vulnerabilities: Metrics may be out of synch with true measures of progress; can cause the change effort to seem impersonal; members may resort to gaming the metrics to look good	• Relies on rewards & sanctions[42] to drive change • Goal may be expressed in any fashion, progress is felt as members come to desire the rewards and avoid the sanctions, slow progress may be tolerable if esprit de corps is high and goal is still desired • Activities that tend to be favored: leadership by walking around, all-hands or other leader-centered activities, public ceremonies or rituals (incl. where rewards & sanctions are distributed), selection boards and other activities that manage the reward system to ensure fairness • Strengths: Can be powerful tools for changing behavior; can be flexible and responsive (e.g., on-the-spot rewards like giving out commander coins • Vulnerabilities: Need consistent & fair application over time across whole org.; rewards can lose meaning if everyone (or no one) gets them; danger of perverse incentives & unintended consequences
RE-EDUCATIVE:	NORMATIVE:
• Relies on training & education to drive change • Goal may be expressed as levels of training or expertise achieved, progress often understood as higher quantities of personnel trained & certified or instances of successful application of knowledge • Activities that tend to be favored: Training, education, exercises, wargames, simulations, leader development, evaluation & certification activities, publications (internal or external), knowledge management, self-development, chain teaching • Strengths: Task orientation; meritocratic; fosters delegation of responsibilities, initiative, & innovation; powerful when routinized • Vulnerabilities: Training can become stale over time or not properly followed-up; members may fail to enact the trained behaviors; potential for meaningless check-the-block certifications; time and expense of conducting large-scale activities	• Relies on participative activities to drive change • Goal may be expressed as a function of morale and unity, progress is felt as levels of participation in the change are heightened and members feel they contribute to the change effort at personel levels • Activities that tend to be favored: after-action reviews, focus groups & sensing sessions, collaboration activities, "tiger teams," boards and working groups/committees, command inquiries • Strengths: Empowering for members; useful when change is of a corrective nature or when solution is unknown and best determined through member participation • Vulnerabilities: Approach tends to be slow and time-consuming; participatory activities may seem unhelpful, wastes of time, or slow-rolling by leaders; members may want more top-down direction; change effort may face distractions

[41] Based on Chin and Benne, "General Strategies for Effecting Changes."
[42] This can also mean punishments or disincentives.

★ 5.a. Based on the answers thus far in this Activity, your knowledge of the leaders and their preferences, and your understanding of cultural norms in the organization, which *one* of the four approaches do you believe best describes the way the organization will implement the change effort?

(circle one) Rational-Empirical Power-Coercive Re-Educative Normative

★ 5.b. Based on this choice, answer the following questions:

What types of activities would be considered most useful to accomplish the key tasks (Step 2)?

What ways or measures (Step 4) would be considered most effective or useful at demonstrating progress in the change effort or achievement of the goal?

If short form, STOP. The above answers comprise an initial draft of the concept for socialization.

5.c. How might conflict arise, such as differences between a leader's preferences and the prevailing organizational culture?

5.d. Write the concept narrative based on the above answers. The narrative should integrate all the responses in Steps 1-4, with Steps 5abc used to enhance the suitability and acceptability of the change effort among members.

5.d. Write the concept narrative (continued)

Step 6. Red-team the concept and refine

Share the above products with your guiding coalition and other members and stakeholders of the organization to gather feedback. Make notes of negative or ho-hum responses. What is found to be bothersome or uninspiring? What improvements can be made? What in the concept strikes them as infeasible, unsuitable, or unacceptable?

Make adjustments to the products in Steps 1-5 and socialize again. Repeat as needed.

Activity V: Develop the Plan

With the vision and concept established, leaders turn their attention to planning. The aims are to allocate means (personnel, time, facilities, activities) against the ends and ways. Ideally, the organization assembles a planning team to handle the requisite details of putting the concept into action. However, leaders should still make the major decisions about structuring the change effort.

Military members are likely to recognize a common architecture – where a change effort is subdivided like a military campaign into 'lines of effort' representing subordinate efforts that are coordinated such that each reaches the same goal concurrently. There is analogously a main effort and supporting efforts with coordinating mechanisms and command and control oversight. However, this architecture only works well for certain types of change efforts and applying it to other forms of change could result in change failure.

This activity covers several important elements of a plan architecture – how the work will be divided, how coordination among the divisions will occur, how the effort will be phased, and how progress will be measured and reported. Key will be to maintain suitability, feasibility, and acceptability of the plan as it comes to fruition while staying within the concept established in the previous activity. Although it might be desirable to have the concept and plan developed together, this may happen in cases where the concept is needed for the organization to request the necessary resources, the allocation of which is necessary for prudent planning.

Planning is important for fostering successful change, but that does not mean that only the most detailed plans succeed. In large, complex organizations, detailed planning can be a detractor, draining needed energy away from other priority activities while causing the effort to appear top-heavy and driven-from-above.[43] Those who have ever been on the wrong end of the 'ten-thousand-mile screwdriver' may rightfully complain if they perceived that the plan micromanages them. Sometimes change efforts can leverage existing bureaucratic structures that facilitate an efficient division of the work. Other times, these same structures can get in the way or be misapplied toward a change. Proper planning helps balance competing perspectives on the change effort and provides leaders with a useful blueprint that maximizes the chance of success.

This activity is the most complicated of all those in this book, because it is divided into modules that are completed depending on the character of the effort. Some change efforts will rely on detailed deliberate planning while others will be more emergent, ad hoc, or spontaneous. The architecture will be built based on four "motors" of change. The effort may use only one motor start to finish, or a combination of motors are needed for different phases or to achieve different key tasks from the concept. This chapter will explain the three phases of change implementation, the governance structure that all change efforts must specify, and the four motors plus how and when to use them.

Three phases of change plans

There are three phases in a change plan and these are shown in Figure 7 and are based on comparable phases from Kurt Lewin's three phases of change.[44] In Lewin's model, the organization must *unfreeze* its old ways to foster the movement do the organization can *move* to the new ways and then *refreeze* the new ways as permanent. Figure 7 expresses these phases as a *preparatory phase*, *main effort*, and *sustainment phase*.

From a planner's perspective, there may not be a need to plan the preparatory and sustainment phases in detail if, for example, there are no requirements to allocate dedicated resources. Unfreezing and refreezing may be

[43] This Activity is based on Chapter 9 of the Primer.

[44] Kurt Lewin, *Field Theory in Social Science* (New York: Harper & Row, 1951); explained in Primer, 38. Figure 7 is an original graphic by the author.

entirely the responsibilities of leaders and the guiding coalition to communicate support for the change. They are therefore embedded in the main effort already.

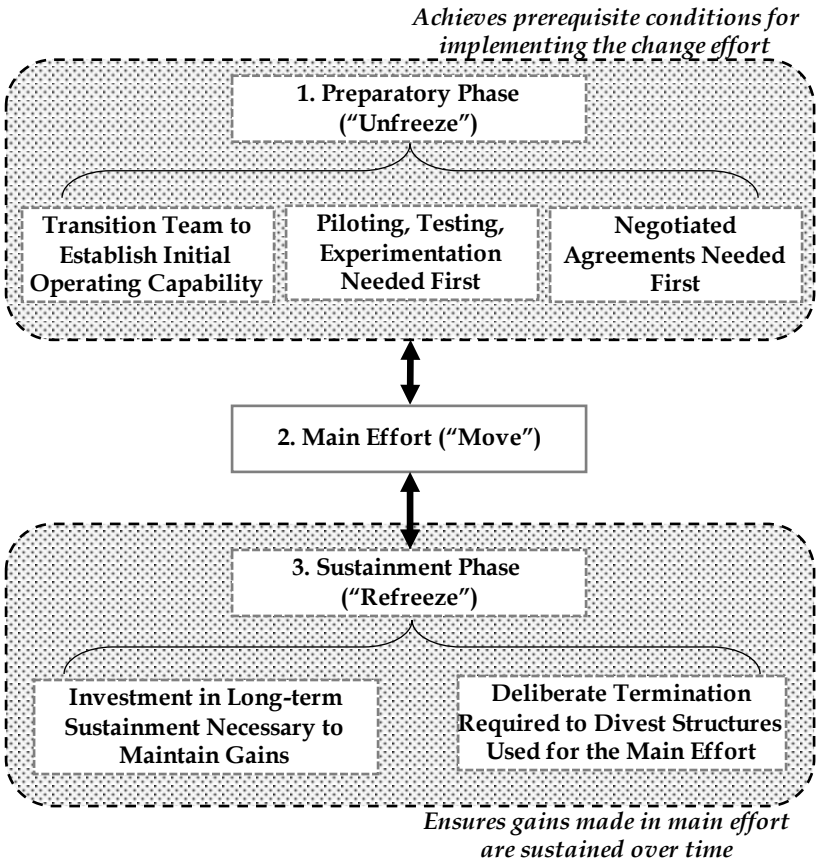

Figure 7. Three phases of change plans

However, in military change efforts, there are several instances where deliberate planning of preparatory and sustainment phases is useful. Various scenarios are depicted in Figure 7. For example, one should consider deliberately planning the preparatory phase when one of at least three different situations are present whereby preconditions must be satisfied before the main effort can begin. The first is when the change effort explicitly includes the intermediate requirement of achieving an "initial operating capability" (IOC) such as often found in standing up new commands. IOC often involves designating some sort of "transition team" whose roles are to bring the new organization to IOC and then serve as the core of the new organization as it grows to full operational capability (FOC).

The second example is often found in large-scale transformations or defense acquisition projects where there is a strong desire for testing and experimentation prior to adoption across the full organization. Efforts may include basic or applied research and development, field studies, or wargames and simulations. Such a phase can take months to years to complete and require extensive resources, and therefore may require separate planning to take place.

The third scenario is when the change effort hinges on an external negotiation, without which the main effort cannot proceed. For example, a change effort might require negotiation with a union or a host nation labor board, a legislative body through the budgetary process, or host community leaders.

On the sustainment phase side, typically change efforts do not call for much planning in advance. Usually, the situation at the time when the change effort is to be declared over will dictate what needs to occur (refer to the Primer, Chapter 12 for more). However, there are instances where the need for deliberate sustainment planning is useful. The first is a natural component of defense acquisition and procurement activities. Completion of the main effort means that the new capabilities have been fully fielded with the initial training and certifications having taken place, organizational structures changed, and so on. Successful fielding means that the program enters a new phase whereby the new capability is normalized into the logistics system, such as service members relying on the ordinary supply system for spare parts. Much of this type of sustainment phase may be known in advance and therefore planned for, but with some flexibility to respond to the actual conditions as the fielding is completed.

The other is when it is known in advance that the change effort will include a deliberate

termination phase that requires planning. For example, a unit or organization may be formally established for a specific period due to external mandates or negotiations. When the time is up or the conditions dictate, stand down must begin. The purpose of the termination is more than just tearing everything down – it should also to the maximum extent possible set conditions by which the benefits of the change effort are as self-sustaining as possible. Termination plans should include transfers of authorities and responsibilities from the responsible unit to another party, for example, and include a favorable or constructive disposition of property.

From here on, the descriptions of the Activity will focus on the main effort as planning for the preparatory and sustainment phases will be similar. Planners should always consider beginning with the main effort to determine whether these other phases are needed or can be wholly incorporated into one plan.

The "Core Architecture"

The core architecture sets six parameters for the change effort – (1) the *start point*, (2) the *goal*, (3) the *measures of merit*, (4) the *governance mechanism*, (5) the *primary motor of change*, and (6) *coordinating mechanisms*.

Start point, goal, and measures of merit

The first three are mostly drawn from the concept but again restated as needed given that, in practice, time may have elapsed and the conditions associated with the effort may have changed. Moreover, the plan will require more detail than generally included in the concept. For each measure, there must be someone designated to monitor and collect the data, analyze it, and report findings. Others in the organization may need to be aware that such data is being collected, especially if the data is controlled or personal information subject to constraints and restrictions on its use.

Governance mechanism

The governance mechanism establishes authorities and responsibilities for overseeing the effort and ensuring progress. This will be done through designation of an *office of primary responsibility* (OPR), which can be an established formal organization or cross-functional working group. This may differ from the guiding coalition, although coalition members will often remain involved. OPRs require the following:

- Sufficient capability and capacity to monitor activities associated with the change effort. The OPR must be able to collect and analyze the necessary data to measure progress.
- Sufficient authority to direct activities on behalf of the senior leader.
- Sufficient authority and capacity to develop and publish reports to the senior leader as required or directed. This includes routine in-progress reviews. Such reports should also be available to the organizational membership.

These cannot be taken for granted, as one must assume that the OPR is not necessarily resourced for the additional responsibilities of managing a change effort. Or, if the OPR is to be assembled from within the organization, that there could be an impact on other duties. Also, OPR responsibilities are inherent to the organization and cannot be outsourced. Even if capabilities and responsibilities are awarded to contractors, the decision-making authorities that ensue are specifically vested in the organization's organic leadership.

Primary motor of change

The four motors of change describe four different ways of moving from a start point to the goal. Unlike for the concept where there are several strategies that can be equally applies in most cases depending on the leader preferences and organizational culture, planners must choose the right motor (or right combinations of motors) for the right job.

To recap from the Primer,[45] the *life-cycle* motor is used when there is a clear division of labor whereby the effort can be expressed as several distinct lines of effort whose collective completion results in achieving the goal. The

[45] This section elaborates on Primer, 102-116, which is based on Andrew H. Van de Ven and Marshall S. Poole, "Explaining Development and Change in Organizations," *Academy of Management Review* 20, no. 3 (July 1995): 510-540.

teleological motor describes change plans where the organization must comply with certain standards or requirements expressed in the goal. The change plan is iterative, driven by a continuous need to progress forward but also occasionally subject to reversals (the "diet rollercoaster" is a useful metaphor). The *evolutionary* motor is used for planning decentralized change efforts where each unit, locality, or other subdivision has independence and freedom to pursue the goal as they see fit, and the OPR monitors the activity to draw and share best practices while preventing the possible emergence of bad habits. This is a useful approach when experimentation and innovation is needed or standard one-size-fits-all solutions will not work. Finally, the *dialectic* motor is used when there are two or more subdivisions in the organization with completely different and incompatible worldviews that requires negotiation, otherwise the change effort will either be infeasible or only satisfy the needs of one (or some) worldview(s) while ignoring or harming others. Each of these are summarized below.

Life-cycle motor and hierarchical planning

Many military change efforts will exercise the life-cycle motor as it represents cultural preferences for single, unified efforts toward a clear goal, deliberate management of risk, and strong coordination mechanisms. Organizational change is made to look like a war plan.

The primary characteristic of a life-cycle type change is how it is expressed hierarchically. The change effort is divided into lines of effort, which may be further divided into subordinate objectives. Each line of effort constitutes a change effort on its own, complete with its own start point, goal, measures of merit, and OPR. If the change effort is large and complex enough, the lines of effort may be further subdivided into subordinate lines of effort each with their own goals, measures, and OPRs. It is also important to note that each line of effort may adopt different motors of change! An example is fielding a new capability using the DOTMLPF construct. Some lines of effort such as Doctrine, Organization, and Materiel may have fixed start points and goals whereas others such as Training and Leader Development and Education may not. The implications of this will be presented in the Structure of the Activity section.

Teleological motor and compliance monitoring

The second most-common motor used in the core architecture is the teleological motor, and it is applied in instances of culture change. It functions on a cycle of negative feedback, in which the organization acts ostensibly to pursue the goal and then adjusts based on the remaining delta to the goal, which Van de Van and Poole (1995) called *dissatisfaction.*[46] The goal is described as 100% compliance in some behavior or attitude, and thus this motor will hereafter be referred to as the *compliance motor.*

Change efforts using the compliance motor operate with a single OPR that governs the whole effort. However, the OPR might be supported by a network spread across the entire organization who aids progress monitoring. For example, a change effort to improve compliance with information assurance requirements and regulations may fall upon a J-6 or corporate information officer (CIO) as OPR. The J-6/CIO may require assistance from a network of service, unit, or base 6 or CIO entities to monitor local activities and report local data. The difference from life-cycle is that these subordinate actors do not enjoy the same independence as the line of effort OPRs do. The authorities and responsibilities are limited to what is necessary for the change effort's OPR to manage the change effort, including identification of possible reversals or impending crises.

Evolutionary motor and mission command

When the *evolutionary* motor is exercised, subordinate elements pursue the overall goal as they see fit, harnessing so-called best practices and abandoning those that do not work as well. Surviving ideas are adapted as the environment changes. New competing ideas continuous enter the fray. However, it is recognized that not all surviving ideas are good ones. In fact, bad habits, inappropriate workarounds, and unwanted

[46] Van de Ven and Poole, "Explaining Development and Change," 520.

behaviors can be somehow rewarded and shared. These bad habits can crowd out the desired behaviors and present barriers to the desired future state. Thus, it is important for leaders to establish conditions by which selection of best practices is purposeful unwanted ones eliminated.

The overall OPR for a change effort driven by the evolutionary motor is usually weaker than one for a teleological one. The OPRs role is primarily coordination and informational, guiding rather than directing subordinate elements. In fact, subordinate elements may see fit to redefine the problem, the start point, the goal, and the measures of merit. Thus like the teleological motor, the OPR will be dependent on a network to ensure adequate information flow, stabilized reporting mechanisms, and centralized assessments of progress without stepping on the authorities vesting in subordinate commanders. Hence, "mission command" is a useful if imperfect metaphor to describe the character of these types of change efforts. Delegation of responsibilities to localized contexts (e.g., experimental or contained, geographic, sub-organizational, functional) provides the freedom for communities to experiment and innovate. Managing shared understandings is key to helping the whole organization maintain focus on the overall goal and identify when and to what extent the goal needs to shift.

Dialectic motor and negotiated change

This final motor is one that is often problematic for military culture. Unity of effort may be the espoused norm, but this motor of change functions on division – the kinds of division that would be natural in any large complex organization. The *dialectic* motor operates in the opposite fashion from the life-cycle motor – multiple entities with distinct worldviews in competition with each other but whose differences must be addressed in some form of *synthesis* for the change effort to progress and ultimately succeed.

There are three types of synthesis. One involves a negotiated settlement where the conflict is resolved, at least temporarily. The decision may be to divide the change effort along the disparate perspectives and let each exercise their own path to the goal, useful primarily when such divisions of work involve minimal overlap so to reduce potential mutual interference. Or the leadership decides that one side or perspective must prevail and the other side will be ignored at the risk of the change effort being vulnerable to the concerns that the losing perspective will have. None of these syntheses are durable. As conditions change, the settlement will need to break and a new one established.

The commander or senior leader is the OPR for any change effort exercising this motor. Only the senior leader has the needed authorities and responsibilities to navigate the persistent tensions expressed in the dialectic and make the needed decisions to forge and enforce any synthesis. In practice, there will be a separate OPR with the day-to-day responsibilities to monitor the change effort and identify when conditions are necessitating a re-examination of the synthesis. However, it still rests on the commander or senior leader personally to determine when a synthesis must break.

Coordinating mechanisms

Change in large, complex organizations can take a long time—typically extending beyond the tenure of the leaders and change agents. Consequently, coordinating mechanisms are needed that enable the OPR to accomplish assigned goals. These are natural extensions of Gersick's (1994) conceptions of time-driven and event-driven change.[47] Time-driven change establishes benchmarks and decisions based on the calendar, such as annual budgets or summer personnel rotations. Event-driven change causes decisions to occur based on conditions, often in the form of achieving measured progress. Defense acquisition "Milestone" decisions are examples – the decision is based on an acquisition program having satisfied conditions, thereby bringing about a decision brief to determine

[47] Connie J. G. Gersick, "Pacing Strategic Change: The Case of a New Venture," *Academy of Management Journal 37*, no. 1 (February 1994): 9-45.

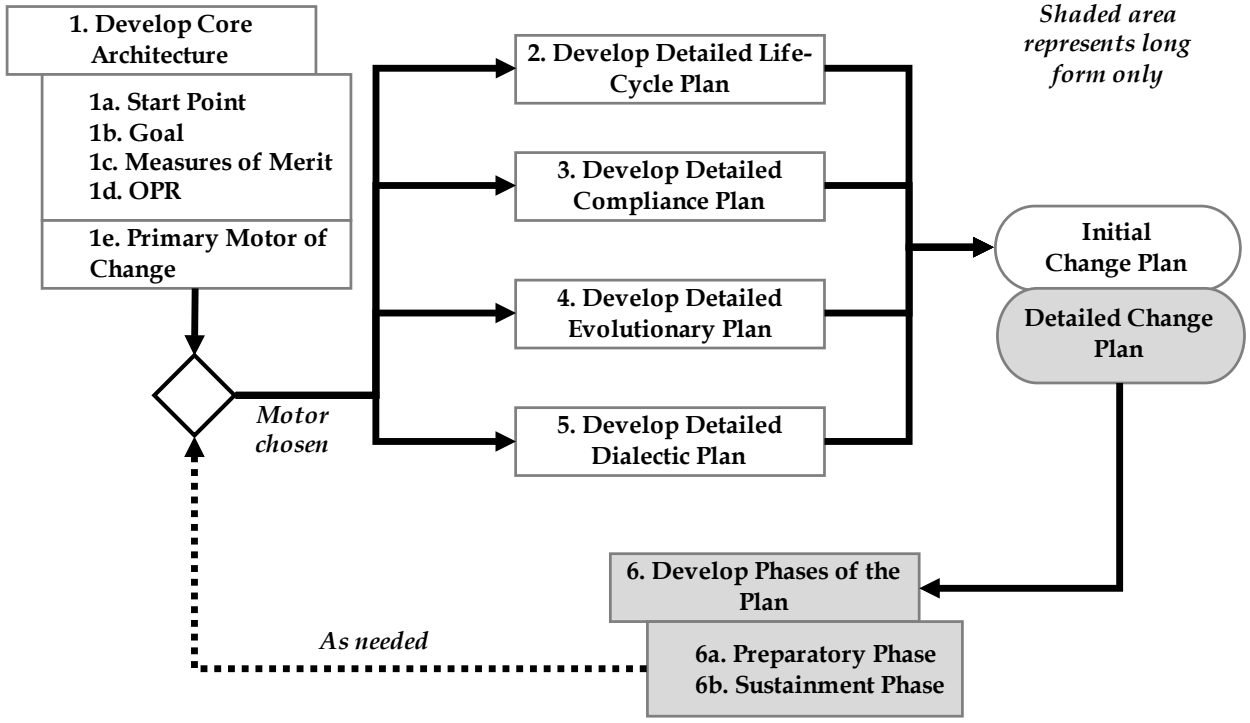

Figure 8. Structure of Activity V: Develop the Plan

whether to continue. When the *life-cycle* motor is exercised, one can break the change effort into *phases*, with intermediate goals as short-term targets indicating progress toward the overall vision. As conditions within each line of effort meet the goal for the given phase, a decision can be made to move to the next phase.

Coordinating mechanisms could also involve regular *communications* to ensure continued attention on the effort. One can use in-progress reviews on a timely basis (e.g., monthly, quarterly), newsletters or other routine materials, and town hall meetings or similar gatherings to disseminate progress reports.

An important note about communicating the change effort is that the military preference for hierarchy and unity of effort means that the life-cycle motor is sometimes used metaphorically to describe the change effort even though different motors of change are in use. For example, the organization may mask the divisive and uncomfortable use of the dialectic motor by declaring the two perspectives to represent two separate lines of effort that must coordinate with each other occasionally (such as when the extant synthesis must break and a new synthesis negotiated). This is understandable and okay for helping present the change effort in an acceptable way, so long as the actual behaviors inherent in dialectic change are not masked or suppressed. Forcing a change effort to adopt the behaviors of the wrong motor can lead to confusion over who has what authorities and responsibilities to implement change. In the case of the dialectic motor, an OPR operating under the presumption of the life-cycle approach may determine they have more authorities to drive change than they actually do and attempt to force negotiations with the different perspectives. This can lead to increased conflict and tension within the organization.

Structure of the Activity

This activity is complicated because depending on the central motor of change chosen, the architecture of the change effort differs tremendously. Figure 8 shows the overall approach to the Activity. There are common mistakes and misconceptions associated with each step, so those will be presented in the descriptions below.

Step 1. Develop core architecture

Specifying the six elements is simple and applies to all change efforts. Many of the answers to the are drawn from previous Activities, updated and expanded to include sufficient detail for further planning. Users should ensure consistency with the concept (Activity IV) in all answers given. Note that consistent with Activity III, the term "Goal" in Step 1b means the change vision. Calling it a goal encourages members to accept the vision as their own, whereas continuing to call it a "Change Vision" risks them seeing it as someone else's idea.

Identifying the OPR (Step 1d) can be challenging as sometimes change agents are reticent to pin responsibilities on an actor or organization they do not supervise or control. Or they will presume the guiding coalition will be or will provide the OPR. Hence the wording of the question is such that the answer is a recommendation to the leadership who would ultimately make the decision. In practice, it is presumed that the planners will contact the recommended agencies as part of the planning process.

Table 5 summarizes the characteristics of each motor to aid with the choice in Step 1e that will determine which step follows.

Step 2. Life-cycle motor

If the life-cycle motor was chosen, then planners will perform Step 2 to divide the work into lines of effort (LOE). Conceptually this is simple because in effect the same questions from Step 1 are repeated for each LOE. The Start Point, Goal, and measures specific to that LOE are lifted from the overall change effort (Steps 1abc) although sometimes the terms used will differ. For example, it is not uncommon for the overall effort to have a "goal" and each LOE have "objectives," even though the purpose and meaning are similar if not the same. Each LOE will have its own distinct OPR.

There are a couple common mistakes made when developing LOEs. One of that the LOEs may overlap too much. It is important that the LOEs be distinct and independent to the maximum extent possible. What is done in one LOE should have limited direct impact on others. If the LOEs are too interdependent, the benefits of dividing the work will not be realized. Coordination mechanisms should be used only sparingly to address challenges as they arise, not to become the primary governing mechanism. LOE OPRs need freedom and autonomy to contribute appropriately to the effort.

Another mistake is in designating the LOE OPRs. An LOE OPR should be answerable to the change effort OPR in some way. It could be a subdivision of the OPR or an equivalent level peer organization granted the authorities by their higher to participate in the effort. I have seen instances where one will designate the overall OPR to be an O-6-led organization but a 1-star flag officer designated as an LOE OPR. This obviously will not work. There is also a tendency to have the same OPR designated as lead for more than one LOE or to be both an overall OPR and an LOE OPR. Those arrangements do not work either. If the OPR is a staff division, it would make more sense for a branch of that staff division to be the LOE OPR. The rule of thumb is that the set of OPRs should represent a workable command and control structure. If it does not, then one of the OPR designations is likely wrong.

Step 3. Compliance motor

This Step is like the life-cycle motor with a single LOE but with some key differences focused on the potential for regression and reversals. The OPR therefore requires additional information on its authorities, responsibilities, and available resources to identify and proactively address those issues as they arise. Steps 3abc mirror Steps 1abc except the calls for additional information helpful for the identification of potential problem areas. For the short form, steps 3a and 3b are skipped. Step 3d identifies the network or mechanisms by which the OPR is able to monitor the organization, collect the data, analyze it, and detect potential problems. Step 3e asks for the embedding and reinforcing mechanisms used to ensure the change effort achieves and sustains the goal.

Common concerns raised in this step include identifying indicators that are infeasible to collect data on or monitor. While this is perhaps true across all measures addressed in this Activity Book, because efforts using this motor tend to

involve culture change, much of the kinds of data desired would often be unmeasurable or the phenomena unobservable.

A second common challenge is identifying a viable network in Step 3d. Being designated as part of the support structure does not necessarily mean actors will have the capacity to comply. While some can rely on technical means to automate data collection and analysis in real-time (e.g., online mandatory training activities), others will need human intervention.

Step 4. Evolutionary motor

The evolutionary motor looks like a life-cycle change effort with only one LOE, but with dispersed activity. Because the OPR is a coordinator and information distributor rather than a driver of the effort, the questions in this step need not be answered with much fidelity. However, the questions include culture and climate factors conducive to this style of change effort – for instance, a climate of innovation whereby elements in the organization are willing to take independent action and contribute to achieving the overall Goal.

The most common mistake in building a change effort using the evolutionary motor is having too strong an OPR. That is, the motor is designed for maximum delegation and mission command but the OPR is given too much authority to drive the effort which over time will stifle innovation. If due to habits or cultural reasons, the organization cannot tolerate an OPR that is passive, then it may be worth considering using the life-cycle motor instead. However, the better answer may be that the organizational culture should change to allow the right kinds of mission command with its experimentation and innovation benefits to blossom.

Step 5. Dialectic motor

The first thing that planners need to do for a change effort built on the dialectic motor is to clearly define and describe the multiple perspectives and worldviews present. To what extent do their goals conflict with the Goal of the change effort? To what extent do their measures of progress differ from each other and complicate the overall sense of progress? Under what conditions or indicators should the senior leader be alerted to when the synthesis must be broken and a new one forged between the two parties?

Steps 5abc are constructed in parallel to provide the Start Points, Goals, and Measures of Merit relevant to each party. Table 5 in the Activity is set for a dialectic of two parties, the table can be extended for additional perspectives if needed. The remaining questions regard the roles and responsibilities divided among the senior leader and the OPR to manage the conflict, followed by describing the ideal synthesis that would foster the most efficient achievement of the goal. Steps 5fgh are long form only and request more fidelity on the conditions that might indicate the need to break the existing synthesis and renegotiate or that the synthesis is a poor one and no progress is possible.

The one common mistake is presuming that a negotiated agreement between the parties is good and that other forms of synthesis are bad. There are benefits to the other options. Stalemate is perfectly fine if there is no reason for the two perspectives to be brought together and it would be more effective to let the two parties go their own way. Forcing them to come together can cause more problems than they solve. Domination is also useful when conditions dictate that one perspective must be favored in total. An example is how current readiness may need to be prioritized over modernization. However, this may only work in the short term as modernization cannot be forsaken for long without incurring risks to future readiness.

Step 6. Develop phases of the plan

Step 6 is a repeat of Step 1 for the preparatory (step 6a) and sustainment (step 6b) phases if they are needed. Planners should check the scenarios opening each question to see which apply. If none apply, the Activity concludes with no further action. Otherwise, planners answer questions similar to those of Step 1 that apply to the phase in question and then choose the best motor of change for the phase. Note that the OPR may differ from that of the overall change effort, such as an advanced party or transition team in a preparatory phase whose role is to handle the administration necessary before the main effort proceeds.

Conduct of Activity V: Develop the Plan

For the short form of this activity, complete items marked with a star (★) – step 1 (all) followed by one of Steps 2-5 depending on answer to 1e. This Activity should take 90-120 minutes depending on the plan's complexity.

Step 1. Develop core architecture of the change effort:

★ 1.a. Start Point. Restate the current state projected to the time or conditions when the change effort would be launched. Refer to previous Activities (Activity I, Step 3; Activity II, Step 3; Activity IV, Step 1) for earlier conceptions of the current state. *For the short form, 2-3 bullets will suffice.*

★ 1.b. Goal.[48] Restate the change vision projected to the time or conditions when the change effort would be launched. Refer to previous Activities (Activity I, Step 3; Activity III, Step 1; Activity IV, Step 1) for earlier ideas on how success has been described. *For the short form, 2-3 bullets will suffice.*

[48] Reminder that "goal" is the equivalent of the change vision. See text of Activity V.

★ 1.c. Overarching measures of merit. List these based on the indicators of progress from the concept (Activity IV, Steps 4 and 5). For each measure, identify the following in broad terms (*who* and *how*): (1) data entry and capture, (2) data analysis responsibilities, and (3) data reporting. *For the short form, 2-3 measures will suffice.*

★ 1.d. Office of Primary Responsibility (OPR). Who should be recommended as the Office of Primary Responsibility (representative of the senior leader or commander) for the change effort and why? What impacts may this designation have on the OPR's ordinary duties, and how can that be mitigated?

★ 1.e. Primary Motor of Change. Review Table 5 (next page) and choose which plan architecture best fits the change effort. Circle the chosen architecture and justify.

Circle one: Life-Cycle Compliance Evolutionary Dialectic

Your Justification:

If you chose the *life-cycle* motor, go to Step 2

If you chose the *compliance* motor, go to Step 3

If you chose the *evolutionary* motor, proceed to Step 4

If you chose the *dialectic* motor, proceed to Step 5

Table 5. Van de Ven & Poole's motors (adapted for planned change)[49]

LIFE-CYCLE (TOP-DOWN):	TELEOLOGICAL (COMPLIANCE):
• Change effort can be divided into discrete subordinate efforts (*lines of effort*) whose effects will combine to achieve the vision • Coordination is vital to ensure progress among all lines of effort is aligned. • Authorities and responsibilities for each line of effort must be clearly defined. • Useful when the key tasks (Activity IV) can be readily divided among subordinate orgs. • Risks being monolithic; can inhibit local emergent change which may be more effective • Example: Acquisition (e.g., DOTMLPF)	• Change effort depends on changes in organizational behavior and attitudes that are difficult to measure and can be reversed • Effort will include routinely measuring the gap between current and desired behaviors and conduct activities to close the gap • Generally conducted as a single line of effort oriented on the change goal monitored by a single "office of primary responsibility" (OPR) • Goals can be flexible and subject to change • Can frustrate members; changes difficult to observe • Example: Culture changes (e.g., SHARP)
EVOLUTIONARY (BOTTOM-UP):	DIALECTIC (NEGOTIATED):
• Bottom-up form of change in which units perform independent activities to pursue the change goal; best practices shared • Can involve planned experimentation, so long as the organization allows emergent bottom-up ideas (otherwise, it is probably life-cycle) • OPR monitors local activities to capture best practices and inhibit bad habits • Risks members developing improper work-arounds or undesired behaviors, which are then shared across the organization; also the outcomes and progress are far less certain • Example: Professional education, that relies on individuals for curriculum development	• Recognizes a powerful paradox that can either enable or inhibit change • Change occurs through efforts to build synthesis between two perspectives and maintain the synthesis as long as possible • Synthesis is not durable, and when it breaks it needs to be re-formed to avoid regression • Difficult to 'plan' – synthesis could involve negotiation or choosing one side or another, alienating the opposing perspective • Risks conflict (would be present anyway) • Examples: Human resource and manning, which often face the dialectic between the needs of the individual vs. organization

[49] This step and the contents of Steps 2-5 based on Van de Ven and Poole, "Explaining development and change," 512-519.

Step 2. Develop the detailed plan (life-cycle motor)

For the short form of this step, complete items marked with a star (★) – portions of step 2a and provide a summary (2-3 bullets) for step 2b. Students should identify at least two lines of effort to show division of labor.

If you did not choose the life-cycle motor as your answer to 1.e., do not do this step (recheck 1.e.)

You have described a change effort that will be managed top-down and divided into separate lines of effort, each of which constitute a change effort in itself. The approach is to define each lines of effort independently, using Step 1 as a template, and add coordinating mechanisms. You will use the Key Tasks from Activity IV as the basis for dividing responsibilities.

Each line of effort need not follow the top-down template but will exercise motors of change that align with the key tasks being performed. Follow the instructions at the end of this step to further develop the plan. Space is provided for identifying four lines of effort below.

2.a. Identify the Lines of Effort (LOE) – including key tasks performed, offices of primary responsibility, and measures of success. Ensure that the sum of the key tasks across all LOEs include all key tasks of the entire effort as identified in Activity IV, Step 2. *For short form, 2 LOEs will usually be sufficient, but you may include as many LOEs as needed. If more than four are identified, use a continuation sheet.*

★ (1) Line of Effort 1 -- _____

- Describe LOE 1's Start Point if different from Step 1a

- Describe LOE 1's Goal ("objectives" or subset of Step 1b) and contribution to the overall effort – include key tasks LOE 1 is responsible for from Activity IV

- Identify measures of merit for LOE 1 (should be independent subset of Step 1c)

- Identify the Office of Primary Responsibility (should be subordinate or answerable to overall OPR from Step 1d) for LOE 1 and describe role

★ (2) Line of Effort 2 -- _____

- Describe LOE 2's Start Point if different from Step 1a

- Describe LOE 2's Goal ("objectives" or subset of Step 1b) and contribution to the overall effort – include key tasks LOE 2 is responsible for from Activity IV

- Identify measures of merit for LOE 2 (should be independent subset of Step 1c)

- Identify the Office of Primary Responsibility (should be subordinate or answerable to overall OPR from Step 1d) for LOE 2 and describe role

(3) Line of Effort 3 -- _____

- Describe LOE 3's Start Point if different from Step 1a

- Describe LOE 3's Goal ("objectives" or subset of Step 1b) and contribution to the overall effort – include key tasks LOE 3 is responsible for from Activity IV

- Identify measures of merit for LOE 3 (should be independent subset of Step 1c)

- Identify the Office of Primary Responsibility (should be subordinate or answerable to overall OPR from Step 1d) for LOE 3 and describe role

(4) Line of Effort 4 -- _____

- Describe LOE 4's Start Point if different from Step 1a

- Describe LOE 4's Goal ("objectives" or subset of Step 1b) and contribution to the overall effort – include key tasks LOE 4 is responsible for from Activity IV

- Identify measures of merit for LOE 4 (should be independent subset of Step 1c)

- Identify the Office of Primary Responsibility (should be subordinate or answerable to overall OPR from Step 1d) for LOE 4 and describe role

(5) For LOE 5 and above, use continuation sheets and answer the same questions as above for each.

★ 2.b. Identify coordinating mechanisms. Describe the coordination strategy. How will the OPRs work together and how often. How will the overall OPR keep the senior leadership team informed of progress? What will be the data collection and reporting requirements or other preparatory activities required?

If short form, STOP.

2.c. Recursive development of the plan. For each LOE, issue the above information as guidance for the respective Offices of Primary Responsibility to conduct internal planning using Activity V. What is provided to them in steps 2a and 2b above becomes their mandate that populates their Step 1.

If long form, go to Step 6.

Step 3. Develop the detailed plan (compliance motor)

For the short form of this step, complete items marked with a star (★) – steps 3cde.

If you did not choose the compliance motor as your answer to 1.e., do not do this step (recheck 1.e.)

You have described a change effort that will be managed top-down as a single monolithic effort to change behaviors and attitudes across the entire organization. The path to the goal may be uncertain and the effort will experience periods of progress and regress (things could get worse before they improve, for example). The effort can also plateau, meaning that further expenditure of energy may not produce additional benefits, but regression could be significant if the effort terminates. The effort may also experience episodic behavior or be significantly influenced by external social or cultural factors.

The Start Point and Goal for Step 3 will be the same as for the overall change effort (Steps 1ab). However, the measures of merit (Step 1c) will need to be supplemented to cover indicators of possible regression or crises. This will allow the organization to proactively respond if the effort is about to regress. Also, the OPR (Step 1d) will need assistance from a network of helpers to ensure consistent implementation of the change effort across the organization.

3.a. Update the Start Point (Step 1a) with factors known and present that could lead to possible reversals or regression such as what might trigger the organization falling out of compliance.

3.b. Update the Goal (Step 1b) with factors already known and anticipated that could lead to goal moving or changing, present persistent barriers to goal achievement, or cause achievement of goal to be temporary or short-lived before organization falls out of compliance.

★ 3.c. Update the Measures of Merit (Step 1c) with additional indicators that may help proactively identify a potential oncoming regression or reversal of progress or change in goal.

★ 3.d. Identify the OPR's network, those elements inside the organization who would help collect and/or analyze data, conduct information sharing, and aid in the change effort's implementation at the local level to include completion of all key tasks (Activity IV). What will be the coordinating mechanisms for overseeing progress and responding to disruptions?

★ 3.e. Describe mechanisms for the change effort to achieve and sustain the Goal:

- Embedding mechanisms of the culture change – actions to instigate and drive the culture change, including systems and processes to monitor progress and the measures of success. Examples:
    - What leaders pay attention to, measure, and control on a daily basis
    - How leaders react to critical incidents and organizational crises
    - Observed criteria by which leaders allocate scarce resources
    - Deliberate role modeling, teaching, and coaching
    - Observed criteria by which leaders recruit, select, promote, and separate/retire members
    - Observed criteria by which leaders allocate rewards and status

- Reinforcing mechanisms of the culture change – routines and processes to ensure visibility of the change and its progress toward the goal. Examples:
    - Organizational systems, procedures, designs, and structures
    - Designs of real property, including facilities, infrastructure, training areas, etc.
    - Formal statements of organizational norms, values, ethos
    - Organizational rites, rituals, etc. celebrating successes or acknowledging shortcomings
    - Stories, legends, and myths about people and events

If short form, STOP. If long form, go to Step 6.

Step 4. Develop the detailed plan (evolutionary motor)

For the short form of this step, complete items marked with a star (★) – Steps 4abcd.

If you did not choose the evolutionary motor as your answer to 1.e., do not do this step (recheck 1.e.)

You have described a change effort that will be managed bottom-up as a (largely uncontrolled) multitude of localized, distributed change efforts ostensibly, but not necessarily, oriented on the same goal. The headquarters takes a more hands-off approach, largely monitoring these change efforts to identify best practices and lessons learned, plus fostering the sharing of information across the organization. It is possible, but generally not expected, that the efforts will converge into a single best method (at which point this may become a top-down style change effort – requiring a different architecture).

Key to the exercise of this motor is the restraint of the organization's headquarters to allow localized solutions to flourish. The headquarters should limit its control over the effort, working instead to discourage localized efforts that appear to result in unnecessary duplication or outcomes that deviate from the overall effort. This motor also may not produce progress on the same timeline as the headquarters, and in fact may experience many failures. If the desired outcomes are in fact bound by a timeline or where risk tolerance is low, the headquarters should consider a different motor as its central architecture.

★ 4.a. Update the Start Point (Step 1a) with any factors that describe the extent to which elements across the organization are empowered to experiment or innovate in support of the change effort. What can be done to encourage more innovation?

★ 4.b. Update the Goal (Step 1b) with any factors incentivizing or encouraging cultures of experimentation and innovation. To what extent should the change effort foster a climate of continuous change?

★ 4.c. Update the Measures of Merit (Step 1c) with include factors that can motivate organizations to perform innovative activities and experiments.

★ 4.d. Identify elements in the organization who should serve as part of the OPR's network, helping to collect and/or analyze data, conduct information sharing, and aid in the change effort's implementation to include completion of all key tasks (Activity IV). How will they be empowered to support?

If short form, STOP.

4.e. Describe coordinating mechanisms for the change effort to encourage retention and sharing of successes and discourage those of failures:

- Describe indicators related to the measures of merit that will aid the OPR in identifying successes and failures of localized efforts

- Describe mechanisms to sustain the change effort over time, such as reporting requirements to the leadership and conferences or other venues to allow collaboration by subordinate elements

- Describe the communication channels to be exercised among the OPR and participating subordinate elements (include both routine and ad hoc means) – how will successes and failures be shared across the organization?

For long form, go to Step 6.

Step 5. Develop the detailed plan (dialectic motor)

For the short form of this step, complete items marked with a star (★) – steps 5abcdef.

If you did not choose the dialectic motor as your answer to 1.e., do not do this step (recheck 1.e.)

You have described a change effort that is particularly challenging to implement as its central architecture brings together two parties or perspectives that are mutually exclusive and/or intractable. No permanent solution exists to the problem. Instead, the effort is characterized by a synthesis solution between the two parties, during which progress is made until the synthesis must break due to changes in circumstances. The synthesis is often a product of negotiation that can result in one of three outcomes:

- *Agreement* – Negotiation results in a (provisional) settlement whereby each side sustains its interests and progress is presumed to be mutually beneficial (generally the most preferred)
- *Stalemate* – Negotiation essentially fails or produces a settlement by which each side sustains its own perspective, resulting in two possibly conflicting or redundant change efforts by the parties
- *Domination* – One side prevails and dominates the change effort to the exclusion of the other perspective

Important note is that agreement does not necessarily equal greatest progress. Domination may result in progress until the 'losing' side's perspective regains strength which could result in the 'winning' side regressing in the next round of negotiation. Stalemate could cause regression or a widening gulf between the parties whereby future agreement may be more difficult.

Change efforts based on the dialectic motor are overall exceedingly difficult to plan as there is much uncertainty associated with the resolution between the two sides (each cycle of negotiation may bring about vastly different resolution as well). Therefore, the approach here is to acknowledge the two sides and the points of conflict concerning methods, key tasks, and measures of success. It will also assume that the desired exercise of this motor of change is a cycle of agreements.

Table 6. Identifying the opposing parties and their perspectives

★ 5.a. Identify the two parties A and B and describe their respective Start Points, emphasizing areas of *persistent* conflict, tension, or differences with each other.	
A=	B=

★ 5.b. Describe the respective interpretations of the Goal (step 1b), emphasizing areas of conflict, tension, or differences with each other or with the Goal of the overall change effort	
A=	B=
★ 5.c. Describe the respective measures of merit above those for the overall change effort (step 1c) that are indicative of how each party views progress toward their Goals, especially if their Goals conflict with the Goal of the overall change effort	
A=	B=

★ 5.d. Expound on the governance function in the change effort and how the conflict or tension between A and B will be managed. Recall that only the commander or director has the proper authority to establish synthesis (e.g., negotiated settlement or choosing one perspective over the other) between A and B. The OPR can only assist by helping conduct negotiations or advising the commander.

- Responsibilities of the commander / director of the organization

- Responsibilities of the Office of Primary Responsibility

- Responsibilities generally conferred on parties A and B. Identify those that both parties may perform and those that fall on A and B separately

★ 5.e. Describe the ideal synthesis of A and B under which the greatest progress toward the measures of success could be made. What kind of settlement does this look like and how would the change effort progress under it? What may cause such a settlement to break later? *For short form, one bullet is sufficient*

★ 5.f. Describe coordinating mechanisms, such as reporting requirements to the leadership and conferences or other venues to allow collaboration among the headquarters and the different parties. *For short form, 1 or 2 will suffice.*

5.g. Describe additional indicators suggesting that the settlement could be in jeopardy or that a re-negotiation is required. Who monitors these indicators?

5.h. Describe risks associated with either having a poor settlement or no settlement at all. What factors or conditions could encourage a better settlement or a re-negotiation?

If short form, STOP. Otherwise continue to Step 6.

Step 6. Develop phases of the plan

This step is used when implementing the change effort has two or more distinct phases that may benefit from separate planning activities. An example is a two-phase plan including a preliminary phase leading to "initial operating capability" and a main phase using the core architecture from steps 1-5. You will review the core architecture and determine whether other phases need to be planned separately.

6.a. Consider the need for a preparatory phase prior to the core effort. Check one box if any of the below apply:

- A need for interim "initial operating capability" (IOC) conditions that would foster the change effort? *Preparatory phase likely compliance motor with IOC as the desired state.*
- An experimentation phase needed to clarify some of the uncertain elements in the change effort? *Preparatory phase likely evolutionary motor with the successful completion of experiments, pilots, and other exploratory activities as the desired state*
- A negotiation phase needed to establish conditions by which the core effort can proceed? *Preparatory phase likely dialectic motor with the successful completion of negotiations as the desired state*

If you checked one of the above, do the following (note that the Start Point is the same as Step 1a):

(1) Preliminary Phase Goal. Describe the conditions that the the preliminary phase needs to set for the core effort to proceed.

(2) Preliminary Phase Measures of Success. Identify needed measures of success not listed in Step 1c.

(3) Preliminary Phase OPR. Identify the Office of Primary Responsibility for the preliminary phase, especially if different from Step 1d.

(4) Preliminary Phase Plan (optional). Choose the motor of change based on the above. Complete the *short form* of the appropriate step for the preliminary phase plan, then go to Step 6b.

Circle one: Life-Cycle Teleological (Compliance) Evolutionary Dialectic

If you chose the *life-cycle* motor, go to Step 2 If you chose the *teleological* motor, go to Step 3

If you chose the *evolutionary* motor, proceed to Step 4 If you chose the *dialectic* motor, proceed to Step 5

6.b. Consider the need for a predetermined follow-on sustainment or termination phase after the core effort concludes. Check the box if either apply or identify other conditions requiring sustainment:

- Core effort develops and fields new or improved capabilities that need to be sustained? Sustainment phase likely compliance motor with the maximum readiness of such capabilities as the desired state
- Core effort must be followed by a deliberate stand-down, such as the disbandment of offices or commands established for the effort and associated divestment of resources? Sustainment phase likely on of:
    - *For larger, more complicated efforts -- life-cycle motor with lines of effort devoted to discrete stand-down activities and the desired state as the stand-down fully completed, or*
    - *For smaller, simpler efforts -- compliance motor in which the desired state is a variation of the organizational structures prior to the core effort.*

If you checked one of the above, do the following:

(1) Sustainment Phase Start Point. These should be the overall Goal listed in Step 1b.

(2) Sustainment Phase Goal. These should be overall Goal listed in Step 1b maintained plus any additional goals specifically associated with the sustainment phase.

(3) Sustainment Phase Measures of Success. Identify needed measures of success not listed in Step 1c.

(4) Sustainment Phase OPR. Identify the Office of Primary Responsibility for the sustainment phase, especially if different from Step 1d.

(5) Sustainment Plan (optional). Choose the motor of change based on the above. Complete the *short form* of the appropriate step for the preliminary phase plan, then STOP.

Circle one: Life-Cycle Teleological (Compliance) Evolutionary Dialectic

If you chose the *life-cycle* motor, go to Step 2 If you chose the *teleological* motor, go to Step 3

If you chose the *evolutionary* motor, proceed to Step 4 If you chose the *dialectic* motor, proceed to Step 5

Activity VI: Prepare for Launch

To this point, all the activities have focused on pre-launch planning. The organization has been committed to organizing a change effort but has not yet 'launched' it – meaning that the leader can still stop the effort with minimal impact on the organization. This is despite the fact that knowledge of the organization's efforts thus far has already changed the organization, and the cancellation of the effort will be greeted with some combination of disappointment from supporters and elation from detractors.

'Launch' represents the point of no return. The leader has fully committed to the effort and organizational effort has gone beyond planning and into implementation.

However, there is no one way to launch the change effort. You may be accustomed to seeing a change effort announced publicly through a ceremony, with the senior leader speaking and something (a capability, logo, or guidon) being unveiled. However, strategic level change sees launch not necessarily as a single event but as a phase of activities taking days to possible months and requiring extensive organizational energy – especially among the organization's leaders. OR, it may be completely subtle, known only to the leaders and OPR. Why? Perhaps the change effort's success depends on its activities blending in with ordinary routine activities. Perhaps there is significant resistance against the change from external stakeholders and there is a need to limit attention. But regardless, once the launch phase begins, it essentially takes another change effort to reverse the organization to the prior status quo.

The idea of launch as a phase comes from W. Warner Burke, who proposed three distinct phases in planned change – pre-launch, launch, and post-launch.[50] Key is he viewed launch as a phase with multiple activities. He described it as:

> *Our connectors, mavens, and salespeople go forth to spread the message, or the story. … The launching of initial, key activities is essentially, in Gladwell's (2000) language, an effort to change the context.*[51]

Activities I through V represented pre-launch planning and preparations. Launch represents the mobilization of the guiding coalition, the chain of command, and everyone else involved to start implementing the change effort. The launch phase involves significant communication. Activities often associated with launch phases include: (a) ceremonies that announce the beginning of implementation, (b) *road shows* where leaders or change agents travel around the organization or among external actors to engage and inform others over time, and (c) command communications such as town hall meetings or all-hands, announcements over e-mail or social media or other, media activities, and others. Getting the word out is only half the battle. It is also about ensuring the purpose of the change effort and its plan are heard and understood among audiences.

In large, complex organizations, the launch phase can take weeks or months, because it may take that long before the organization routinizes the change effort. Pre-planned short-term wins are also part of the launch phase as they demonstrate successful implementation and illustrate achievement of the vision. It is therefore important that such pre-planned events are postured for success while remaining authentic exemplars that could fail or underperform. Otherwise, it would be like an experiment designed to prove the hypothesis true – it will generate cynicism and distrust in the change. As it is, the launch phase is when resistance to change can be most acute, as detractors may take extensive measures to stop the effort while others who are more ambivalent will seek to distance themselves from the effort and avoid getting

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[50] This Activity is based on Chapter 10 of the Primer. Also W. Warner Burke, *Organization change: Theory and practice* (Thousand Oaks, CA: Sage, 2002), 273-295; also Primer, 99-102.

[51] Burke, *Organizational change*, 280.

involved due to the potential disruption to their routines or schedule.

But one thing about launch requires emphasis, *once launch begins, the change effort is underway*. It is like crossing the line of departure – there is no going back. If the change effort must be stopped or turned off, it takes a second change effort to do so.[52] Thus, leaders should avoid launching change efforts on a whim. Launches should be deliberately planned yet sufficiently flexible to allow response to conditions present when launch ultimately occurs.

Launching through messages

What constitutes launch? The first thing that might come to mind is an event that includes a ribbon cutting, the unfurling of a new unit flag, or the public release of a new logo for a product, program, or other initiative. Photos are taken, speeches are made, social media is engaged, and then the change effort is underway. This will be hereafter referred to as the *seminal launch event* and most change efforts will have one.

However, this does not mean that all seminal launch events are public, just that it conveys a clear and enduring signal that the change effort has begun. A commander can launch a change effort at a staff meeting through a simple pronouncement. A commander can also launch it in a private meeting, telling the change agent or OPR that they are clear to proceed. Or a commander can launch it at a regular all-hands gathering of the organization. When to launch should be a deliberate decision so that the guiding coalition can be postured to help.

The question going through the guiding coalition's mind should never be *now what?* Rather, planning the follow-on launch activities of engaging members and stakeholders should have been done already. For example, once the all-hands meeting ends and members start asking the questions about what the change is about, the guiding coalition should be ready and prepped with all the answers. More of those answers were developed in the previous Activities. Activity I provides answers to what problems the leaders are trying to solve. Activity II exposes the root causes that the change effort will influence. Activities III-V answer how the change effort will proceed and how leaders will measure progress and know that success has been achieved.

Launch will bring about new questions, such as *why now* or *how will this affect me now*? Some of the questions will indicate potential misunderstandings or misperceptions of what the leader said, or things that the leader may have failed to mention or misspoke about. The guiding coalition's job is to address these problems quickly and reassure members. This is especially important in instances where the change effort could be highly disruptive or provoke emotional responses, such as with pending reorganizations or rightsizing. Clarity and consistency is delivering messages is important, but the guiding coalition also needs rules of engagement to deal with unanticipated questions, unforeseen circumstances, or errors in communication.

Launching through action

Thus far, the Activities have emphasized action – what the organization must do and what it will be capable of doing because of the change effort. Launch is no different. It is critical that the organization *show* members and stakeholders the benefits and not merely tell them.

A great example was the launch of the U.S. Africa Command in the late 2000s. U.S. Africa Command was formed in response to the rising importance of Africa to U.S. security interests but that no existing command had Africa as its top priority. However, opponents were convinced that the command was created to impose U.S. will on African nations, such as to steal resources as past colonial powers had done.

A significant part of the command's launch was the onset of a pilot program for bolstering African maritime security in West Africa. The Africa Partnership Station was program where a naval vessel conducted military partnership and training activities up and down the western coast over a six-month period and it began during the launch phase. Thus, as the command fanned out

[52] Saku Mantere, Henri A. Schildt, and John A. A. Sillince, "Reversal of strategic change," *Academy of Management journal* 55, no. 1 (2012): 172-196.

and engaged with potential partners in the fall of 2007, they pointed out the Africa Partnership Station as proof of their message that the goal was to build African partner security capacity. In the end, this proved highly effective in convincing others of the benevolent purposes behind establishing the command.

"Show don't tell" is a common saying in communication and it applies to launching change efforts.[53] The more than members can see, touch, and feel the change happening, the easier it will be for them to see the benefits and understand the launch messages. I will hereafter refer to such planned launch events as *demonstrations* for consistency, but they encompass pilots, experiments, and other activities and events that would serve as short-term wins for the change effort.

Demonstrations are not without pitfalls. I will offer three based on my personal experience. The first is that others may view demonstrations as staged or crafted specifically to make the change effort look good, believing that the benefits will not scale to the whole organization. Such ambivalence among members is natural but made worse when the leadership is pushing for the change without having garnered a lot of support, and they conduct the demonstration without sufficient transparency. Others may view this as attempts to justify predetermined solutions that may not work. Therefore, planning demonstrations should incorporate appropriate levels of transparency to encourage sharing of information while providing protection to the participants.

Another pitfall is when the organization overinvests in the demonstration to ensure the short-term gains are realized but this renders the whole effort unsustainable to the same degree. The organization may not be able to replicate success as the effort scales organization-wide. Thus to some extent any demonstration should be treated as learning events and less so "proofs of concept" that may place undue pressure for the demonstration to come out perfect.

The third pitfall is that the subunit performing the demonstration is the one that most obviously benefits so the demonstration appeared effortless. However, everyone else was left unconvinced because they knew it would likely be much harder for them to participate. Therefore, the guiding coalition should be careful not to make the demonstrations too easy such that others will remain reticent to participate.

Common mistakes

In addition to the aforementioned pitfalls, there are other common mistakes made when planning launch. First is a matter of timing. Many change efforts will be constrained by external factors such as the budgetary cycle, and thus the timing of such launches should incorporate programming and budgeting considerations. In military organizations, this is why some change efforts may launch as a fiscal year begins.

The second mistake is trying too hard to control the message. Risk aversion is already enough of a problem discouraging change as it is. If risk aversion leads to restrictions on the guiding coalition's ability to engage with members and answer questions, such as talking points that must be repeated verbatim without adjustment, then the guiding coalition may be unable to address potential resistance.

Structure of the activity

This activity will allow you to develop the beginnings of a launch plan, which will include the following elements (see Figure 9[54]): (1) the key messages and the audiences who must receive them, (2) responses to resistance, (3) a slate of events or activities for launch, and (4) measures of performance for launch events. These four elements must be aligned with the change effort, but do not have to match the character of the plan. Rather, the launch phase is most likely conducted using the life-cycle motor as described in Activity V. This is because the roles and requirements of a launch plan are straightforward and depend upon legitimacy conferred by the leader. Although some specific responsibilities could be delegated to members,

[53] Donald Maase, *Writing the breakout novel* (Penguin, 2002).

[54] Original graphic by author based on Tom Galvin, *Communication Campaigning: Experiential Activity Book*, 1st ed. (Carlisle, PA: Department of Command, Leadership, and Management, 2020), "Activity VII: Develop the Launch Plan."

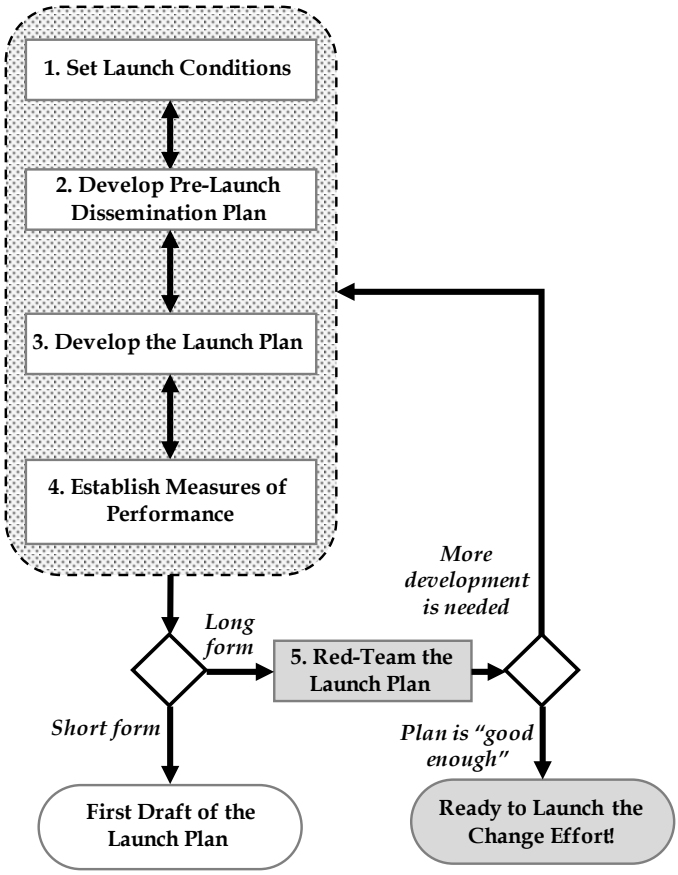


Figure 9. Structure of Activity VI: Prepare for Launch

the leader must own the launch, otherwise the members will presume a lack of leader commitment to the problem and the change effort.

Step 1. Set the launch conditions

You must first determine the conditions under which the campaign can launch. There are two ways to set these conditions – *time-driven* or *event-driven.*

Time-driven launches are set to fixed dates on the calendar. The fixed date can be determined in many ways but is often tied to an external condition that the organization either does not control or must leverage in order to bring attention to the campaign. At the enterprise level, launches might be based on the fiscal year to leverage the budgetary situation. Sometimes campaigns are time-driven based on the tenure of a senior leader or stakeholder whose departure could negatively affect the campaign. Other times they may be set arbitrarily, such as a leader deadline for action (e.g., "I want X done in 30 days").

Event-driven launches are conditions-based. Once pre-determined desirable conditions have been verified in the environment, launch occurs as soon as practical. Or, if the campaign is the result of a crisis situation, the conditions have essentially already been met and launch must be immediate. There can be greater flexibility in event-driven launches for leaders to delay if the conditions aren't right – for example, socialization is incomplete, certain barriers to communication are not yet lifted, or the effects of other strategic events are unknown. However, leaders should be concerned about the length of time that passes, as the organization's commitment to the campaign can wither away, rendering the campaign overcome by other activities and forgotten.

Step 1a requires choosing whether a time- or event-driven launch is required and Step 1b requires the justification. Oftentimes, change agents will say that the change effort needs to proceed immediately or as soon as possible. This would be considered an event-driven launch with the current state as creating conditions necessitating immediate action. However, even a short-term delay (such as a week) may provide time to properly posture the guiding coalition and reduce the risks of error – in such cases, maybe a time-driven change effort with a short planning window would be better.

Step 2. Develop the pre-launch socialization plan

Especially in large, complex organizations, the information about the forthcoming launch must be pre-positioned among those who would help spread the message. The pre-launch dissemination plan establishes the launch posture – what the guiding coalition members and others need to know about the impending launch and what information must be kept protected or in limited distribution to keep potential opponents from mobilizing in advance and possibly disrupting the launch.

The pre-launch socialization plan identifies the key internal audience members and external stakeholders that have a need to know prior to launch. This is the purpose behind steps 2a

through 2c which comprise the short form. There is no hard and fast rule about how many to include, rather it will be situationally dependent.

Step 2a focuses on internal audiences, and typically pre-launch socialization will follow established communication protocols within the organization. For example, it may require socializing among all the division chiefs, including those presumably staunchly opposed. Excluding them might be perceived as improper or a sign of mistrust, possibly causing even supporters to question the effort's legitimacy. Otherwise, internal audiences should include those needed for disseminating launch messages and answering questions.

In step 2b, external stakeholders should be assessed based on how they might respond to the launch if not consulted beforehand. If they would view the effort as an internal matter, they can be omitted. However, if the effort would inherently include requests for resources or additional authorities, they may require advance notification or consultation to ensure they would not mobilize against the change effort.

Step 2c contains questions similar to 2b but applied to other external audiences. In general, the only ones that would be included here are strong supporters or allies whose involvement will greatly benefit the effort such as providing external legitimacy or as a partner in the effort.

The other steps are presently only done for the long form but can be considered optional for all change efforts. Step 2d focuses on who needs to be explicitly excluded from knowledge of the launch as they may be staunch opponents who would mobilize against the effort if they knew launch was impending. These should not be included among the must-socialize list built in 2a through 2c that may include some opponents who must be co-opted. Steps 2e and 2f ask respectively for plans on how to protect the change effort from leakage to such opponents and what to do in the event of leaks.

Step 3. Develop the launch plan

Step 3 covers the launch actions themselves – the seminal launch event and all the follow-on communications and engagements with stakeholders. How is the sequencing of these events determined? What will be conducted directly (e.g., face-to-face) vs. indirectly (e.g., social media and the like)? The short form of this Activity includes only steps 3a and b that define the seminal launch event and the major follow-on events such as engagements and demonstrations.

The seminal launch event (Step 3a) should be planned in sufficient detail so that the activity performed comports with the message to be conveyed. A ribbon cutting conveys that a facility or organization is open for business and ready to perform its mission. An announcement at an all-hands gathering denotes a change effort that involves or affects everyone roughly equally, but an announcement by a leader at a staff call means that only the leadership will be directly involved and directors will be responsible for internal dissemination of the message. Planners should consider the audiences in step 2 and who among them are going to participate or be present in the seminal launch event. How will the word get to everyone who is not there?

Step 3b covers other "major activities" during the launch phase such as demonstrations and large-scale engagement plans such as road shows. These activities should be ones requiring investment of personnel, time, and resources that might need to be programmed or budgeted (or an IOU or unfunded requirement placed in the unit's budget) for the launch to proceed. This would theoretically mean that resource managers should appear in the answers to step 2a.

Steps 3c and 3d covers everything else, to include how to reach lower priority audiences and the public, respectively. Sometimes the answers to 3d will satisfy 3c – meaning that general audiences will be handled mainly through public activities such as social media releases. However, one should consider to what extent will important audiences rely on indirect means like social media, for example, for receiving information about change.

Step 4. Establish measures of performance

Determining measures of performance is the final step – and these will include indicators of success and of mounting barriers against the change. Each of these will represent data needing to be collected and analyzed, so it is important to keep these to the minimum necessary to provide

a useful picture of the success of the launch. Although not explicit in this activity, it would be helpful for the measures to be also useful for (or at least aligned with) post-launch implementation.

Steps 4a, 4b, and 4e are included in the short form. The first two focus on two areas of performance – how well the messages were conveyed as intended and how well the messages are spreading. Planners should identify the right indicators (of errors or of the successful spread of messages) and assign responsibilities for data collection, analysis, and corrective or other actions. It is important to assess the capacity of units or elements to do the necessary data collection and analysis and for how long.

Step 4e is about the termination conditions for launch and is analogous to the termination conditions for the change effort in previous Activities. One should not assume that the launch phase ends when all planned launch actions are completed. An alternative view is that launch ends when all audiences have been reached, which may extend beyond the completion of actions identified to this point. Launch does need to end as the resources devoted to launch are also probably needed for successful implementation, so the answer to this step may include launch actions that simply get deferred to the implementation phase.

Step 5. Red-team the launch plan

Once again, the work must be checked and double-checked to uncover what could possibly go wrong. Lots can happen but forecasting them perfectly is not possible. The guiding coalition should arm members with messages they may need as mistakes are made during launch events. It should be assumed that leaders will misspeak, events will get delayed or canceled, and resistors will mobilize and try to sabotage the launch. These are reasonably predictable and therefore should be accounted for in the plan.

Conduct of Activity VI: Prepare for Launch[55]

For the short form of this activity, complete items marked with a star (★) – steps 1 (all), 2abc, 3ab, and 4abe. This Activity should take 30-60 minutes depending on the plan's complexity.

Step 1. Set the launch conditions

Will the launch conditions by time-driven or event-driven? *Time-driven* means set to a fixed date on the calendar or associated with some externally scheduled event. *Event-driven* means launch when certain conditions are met, independent of the timing.

★ 1.a. Select one:

____ (1) Launch is time-driven. Identify the preferred event and date below (if known)

____ (2) Launch is event-driven. Identify the conditions that will determine launch below (if known)

Note: If the launch is immediate (must begin now) – treat is as event-driven with the current state as the required conditions

★ 1.b. Explain the rationale of the above choices and how the organization will determine whether, respectively, conditions favor: (a) conduct the preferred event and date as planned or not, or (b) the necessary conditions are recognized so launch may proceed.

[55] This Activity is based on Galvin, *Communication Campaigning*, "Activity VII."

Step 2. Develop the pre-launch socialization plan

For the short form, provide one bullet or example for each item marked with a star (★).

★ 2.a. List internal audiences that have a need-to-know about the change effort prior to launch. Be sure to include those audiences required as part of standard staff action or administrative processes. What do they need to know, and how will the campaign benefit from their involvement?

★ 2.b. List external stakeholders that have a need-to-know about the change effort prior to launch. What do they need to know and what is the risk of not including them at this stage? Who are the appropriate members of the organization to engage with these stakeholders?

★ 2.c. List other external audiences who may serve an enabling role in setting favorable launch conditions or serving as trusted agents to the change effort. How may they contribute? Who should contact these audiences?

2.d. List audiences who must *not* be aware of the change effort prior to launch. You may list opponents, as they may mobilize upon knowledge of the campaign's development, but also include audiences who might present barriers to implementation even if their intentions are good.

Note: The answer to this question cannot overlap with 2a, 2b, or 2c that comprises the must-socialize list.

2.e. Develop a plan for avoiding audiences listed in step 2d. Include timing, pre-positioned messages and their handling (e.g., use of caveats such as 'predecisional'), talking points to address questions or controversies, and other instructions.

2.f. Develop a contingency response for when audiences listed in 2.d. gain premature knowledge of the launch plan and are actively mobilize to resist. Will the change effort launch early under such circumstances, will the organization deny or deflect questions about the change, or other response?

Step 3. Develop the launch plan

In practice, audiences listed in step 2abc as appropriate can be invited to participate in the launch plan development or consulted on the plan before launch.

★ 3.a. Identify the planned seminal launch event (e.g., ribbon cutting, unveiling, public announcement). Who will be the audiences present? Who are the important audiences who would not be present, and how will the information from the launch reach them?

★ 3.b. Identify other major activities for the launch phase (e.g., road shows, demonstrations) considered high priority for the success of the launch. Who will be the audiences present? Who are the intended audiences not present, and how will the information from the launch reach them? *For the short form, two activities will be sufficient; include a demonstration (p. 83) if feasible.*

3.c. Identify other minor follow-up events and engagements needed in this phase to reach other audiences in Steps 2abc, most likely after completing the events listed in 3b. What are those audiences and how do you plan to reach them?

3.d. To what extent should the change effort be more generally known among the public (which would naturally make the effort known to opponents)? What actions (e.g., social or traditional media) will you use for such public announcements? What is the relative timing of such releases compared to the seminal launch event in 3a? How will the organization be postured to address questions and garner feedback from the public?

Step 4. Establish measures of performance

For the short form, provide one to two examples for each item marked with a star (★).

The overall success of the change effort's launch is determined based on the following: (1) that the vision, concept, and plan are appropriately understood by all target audiences, and (2) that barriers to the change effort are mitigated such that the effort may proceed to implementation. The following categories represent different ways at analyzing the environment to determine the extent to which (1) and (2) are met.

★ 4.a. Identify measures indicating the consistency of the messages' delivery. How will the organization detect errors such as miscommunications, misstatements, and so on? Who will collect the data and analyze it? How will the organization measures its corrective actions to recover from such errors?

★ 4.b. Identify measures indicating the spread of the launch messages. This may include usage of social media or other means to further the messages (incl. without specific organization action) and the extent to which the messages are either opposed or modified in those spaces (e.g., due to misinformation, misunderstanding, or disinformation). Who will collect the data and analyze it?

4.c. Identify measures indicating internal member and external stakeholder acceptance of the messages. To what extent is their commitment strengthened (or weakened) by the change effort?

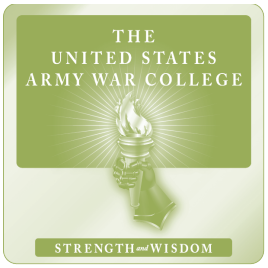
4.d. Identify measures indicative of the launch having failed to set conditions for successful change – e.g., significant new barriers to the change effort.

★ 4.e. Identify conditions that signal the achievement or culmination of the launch phase and movement to post-launch implementation.

Step 5. Red-team the launch plan

Socialize the launch plan as appropriate among audiences listed in Steps 2a, 2b, and 2c. Include assessments of the launch messages, demonstrations, and other activities for clarity, acceptability, and suitability. Validate need-to-know and ensure no audience is incorrectly or improperly included or excluded. Validate the measures, the organization's capacity to collect data on them, and their usefulness for making decisions on correcting problems during launch.

Make notes below on problems with the launch plan that necessitate further work and go back through Steps 1-4 as needed.



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