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Forging Netherlands Maritime Special Operations Forces

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THESIS

FORGING NETHERLANDS MARITIME SPECIAL OPERATIONS FORCES

by

Andy Kraag

June 2012

Thesis Advisor: Kalev Sepp
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13. ABSTRACT

In 2009, the Royal Netherlands Marine Corps started merging its two SOF units into one: *The Netherlands Maritime Special Operation Forces (NL MARSOF)*. This newly formed unit is envisioned as a unique mixture of "traditional" maritime special operations and national counter-terrorism capabilities. Even though the creation of NL MARSOF marks significant progress in the professionalization of Dutch maritime SOF, new challenges in determining its strategic utility and cultural differences between NL MARSOF's sub-units hamper its optimal development and effectiveness.

Based on an organizational model of unit culture and a theoretical framework based on SOF's strategic utility, this research explored how NL MARSOF can better unify its culture and clarify its strategic utility. Governing document analysis, survey research, and interviews with key members of NL MARSOF revealed several shortcomings that should be addressed in order to improve NL MARSOF's effectiveness and ensure its survival during times in which the Dutch Ministry of Defense faces the largest budget cutbacks in its history.

The survey results and interviews indicate that NL MARSOF is experiencing a sort of "identity crisis." Even though NL MARSOF leadership has focused on (infra-)structural elements of the reorganization, it failed to define and communicate a clear mission supported by the majority of the community, and thus offered neither a sense of purpose nor sufficient guidance. This lack of a long-term vision set out in strategic direction now negatively affects the overall performance of NL MARSOF. The way forward is to get NL MARSOF members involved in the process of defining the unit's "way ahead."

S*trategic management sessions* will define the way ahead for NL MARSOF, thereby clarifying its strategic utility. These sessions are the vital first step in improving operational effectiveness. A *working group on symbols & traditions* will give NL MARSOF its much-needed professional "face" and provide the symbols (logos, insignias, traditions, and customs) to strengthen the shared system of beliefs and values and thus create a stronger unit culture. Finally, training courses in *change management* and *team-building sessions* will help smooth the transition to one NL MARSOF.

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FORGING NETHERLANDS MARITIME SPECIAL OPERATIONS FORCES

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Submitted in partial fulfillment of the
requirements for the degree of

MASTER OF SCIENCE IN DEFENSE ANALYSIS

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LIST OF ACRONYMS AND ABBREVIATIONS

7 Troop SBS	7th Troop Special Boat Service (Dutch frogmen)
BBE	*Bijzondere Bijstandseenheid* (former name of the UIM)
BPT	Brigade Patrol Troop (UK Royal Marines)
CJSOTF	Combined Joint Special Operations Task Force
CT	Counterterrorism
DA	Direct Action
DSI	*Dienst Speciale Interventies* (Special Intervention Service)
GSG-9	*GrenzSchutzGruppe* 9 (National Police Counterterrorism Force of Germany)
GIGN	*Groupe d'Intervention Gendarmerie Nationale* (National Police Counterterrorism Force of France)
MA	Military Assistance
ML Recce Troop	Mountain Leader Reconnaissance troop
MoD	Ministry of Defense (NL)
MoJ	Ministry of Justice (NL)
MSO-Coy	Maritime Special Operations Company
NL MARSOF	Netherlands Maritime Special Operations Forces
NPS	Naval Postgraduate School (U.S. Navy)
NSCC	NATO SOF Coordination Center
NSHQ	NATO SOF Headquarters
NSTEP	NATO SOF Training and Education Program
RNLMC	Royal Netherlands Marine Corps
RNLN	Royal Netherlands Navy
UIM	Unit Intervention Marines
UK SBS	UK Special Boat Service, Royal Marines
UK DSF	United Kingdom Directorate Special Forces
U.S. SOCOM	United States Special Operations Command

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ACKNOWLEDGMENTS

The idea for this thesis started long before I entered the gates of the Naval Postgraduate School in Monterey. My beloved Netherlands Maritime Special Operations Forces (NL MARSOF), in which I was "born and raised," had been facing difficulties for some time and I felt obligated to do my utmost best to help the unit. The Naval Postgraduate School provided the opportunity. I certainly hope my efforts to improve NL MARSOF are not in vain.

I feel honored and privileged that the Commandant of the Royal Netherlands Marine Corps has given me this incredible opportunity to be the first Dutch SOF officer to attend the Defense Analysis curriculum at the Naval Postgraduate School. This program is truly unique and valuable for every SOF officer. I have been lucky to meet many new SOF brothers from all over the world, and I am sure we will meet again soon somewhere down range. I will cherish this experience for the rest of my military career.

I would like to thank the Defense Analysis Department of the Naval Postgraduate School for enabling me to conduct this research for my unit and giving me thoughts, concepts and ideas I can use to benefit NL MARSOF. Professor Gordon McCormick, the department you have built is one of a kind. Thank you for your hospitality.

Professor Kalev "Gunner" Sepp, your assistance has been outstanding. Your knowledge, experience and "executive" insights have all deeply impressed me. Thank you for guiding me through this process. I will miss our meetings and your great stories and anecdotes. Professor Erik Jansen, your assistance has been equally outstanding. I sincerely could not have done this research without your expertise and help. Thank you for believing in my work. Also, I would like to thank Professor Ron Fricker for teaching me some basic, but indispensable, empirical research techniques.

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I. TRANSFORMATION TO NL MARITIME SPECIAL OPERATIONS FORCES (NL MARSOF)

A. THE DEVELOPMENT OF DUTCH MARITIME SOF

Dutch maritime Special Operations Forces (SOF) capability resides within the Royal Netherlands Marine Corps. Until 2008, this maritime SOF capability consisted of three distinct units: the *Dutch Frogmen Platoon*, the *Mountain Leader Reconnaissance Troop*, and the *Unit Intervention Marines.*

The oldest of these units is the *Dutch Frogmen Platoon*, a specialized diving unit created in 1959.[1] Its original task was to conduct demolition and sabotage missions on ships, as done numerous times by British and Italian frogmen during World War II.[2] Over the last fifty years, the Dutch Frogmen Platoon developed into a small maritime special operations unit able to conduct the full spectrum of special operations,[3] although it naturally specialized in diving operations. The Dutch Frogmen historically have had a strong connection with the UK Special Boat Service (UK SBS).[4]

The second unit, the *Mountain Leader Reconnaissance Troop* (ML Recce Troop), was formed in 1990 and modeled after the UK Brigade Patrol Troop

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[1] *Fifty years of Frogmen in the Royal Netherlands Marine Corps* [50 Jaar Kikvorsmannen bij het Korps Mariniers] (Den Helder: Royal Netherlands Navy, 2010).

[2] John Parker, *SBS: the inside Story of the Special Boat Service* (London: Headline, 2004).

[3] The NATO SOF HQ identifies four principle special operation tasks: (1) Special Reconnaissance and Surveillance, (2) Direct Action, (3) Military Assistance, and (4) additional activities of Allied Joint Special Operations Forces. Source: North Atlantic Treaty Organization [NATO] Special Operations Coordination Center (NSCC)*, Allied Joint Doctrine for Special Operations (AJP-3.5)* (Mons, Belgium: NSCC, January 2009)

[4] The UK SBS is a Special Forces unit that specializes in special operations at sea, along coastlines and on river networks. The SBS also has a team on standby for maritime counter-terrorism (MCT) operations. Source: "Special Boat Service," http://www.specialboatservice.co.uk/

(UKBPT) of the UK Royal Marines.[5] The ML Recce Troop's primary mission was to serve as a long-range special reconnaissance unit for all the operational battalions of the Dutch Marines. Most of its members get their initial training from the Mountain Leader Cadre of the UK Royal Marines and, therefore, have a strong connection with the members of the UK BPT. The ML Recce Troop quickly evolved into a small troop able to conduct full-spectrum special operations in mountainous and arctic environments.[6]

The Dutch government formed the third unit, the *Unit Intervention Marines (UIM),* on 22 February 1973, in response to a rising threat of terrorist attacks in Europe.[7] The most infamous of these terrorist assaults was perpetrated during the Olympic Games in Munich, when Palestine militants of the Black September terrorist organization murdered 11 Israeli athletes. The German police were improperly equipped and unprepared to deal with such assaults. Their rescue attempt failed.[8] The Dutch government realized the need to protect the nation against such incidents.

The UIM focuses solely on countering national terrorist threats. The Royal Netherlands Marine Corps was assigned to form this special counterterrorism unit from a selection of its members. At its inception, the unit was named *Bijzondere Bijstandseenheid* (trans. Special Assistance Unit). In 2006, as a result of a classified government efficiency report, the *Dienst Speciale Interventies*

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[5] UK BPT is a special reconnaissance unit within 3 Commando Brigade, Royal Marines. Brigade Patrol Troop (BPT) will insert ahead of an amphibious landing or other RM operation to gather intelligence on the surrounding area. The Marines of the Brigade Patrol Troop are comparable in role and proficiency to the Para's Pathfinder Platoon. While not technically special forces, they are certainly an elite within an elite. Source: "Elite UK Forces, Brigade Patrol Troop," http://www.eliteukforces.info/royal-marines/brigade-reconnaissance-force/

[6] Head of the Netherlands Center of Expertise in Military Operations Under Extreme Environmental Circumstances (KCMox), conversation with author, Doorn, the Netherlands, December, 2010.

[7] Royal Netherland Navy Staff, *Unit Intervention Marines manual* [Handboek Unit Interventie Mariniers] (Den Helder, the Netherlands: 2011).

[8] In reaction to the failed rescue attempt, the German government created the GSG-9 (Grenzschutzgruppe 9) in 1972 as a special counter-terrorism unit within the German national police. Source: "GrenzSchutzGruppe 9 (GSG-9)," http://www.bundespolizei.de/nn_249940/DE/Home/03__Organisation/1Bundespolizeipraesidium/GSG9/gsg9__node.html?__nnn=true

(DSI) was created as a special national police service responsible for all domestic counterterrorism activities. The DSI formed its own Intervention Unit and Support Unit to counter small-scale terrorism. The *Bijzondere Bijstandseenheid* changed its name to *Unit Intervention Marines*; it acts as a counterterrorist force in the event of large-scale or specific terrorist threats. During operations, the UIM resides under the operational command of the DSI. Figure 1 depicts a simplified (unclassified) version of the organizational structure for the UIM.
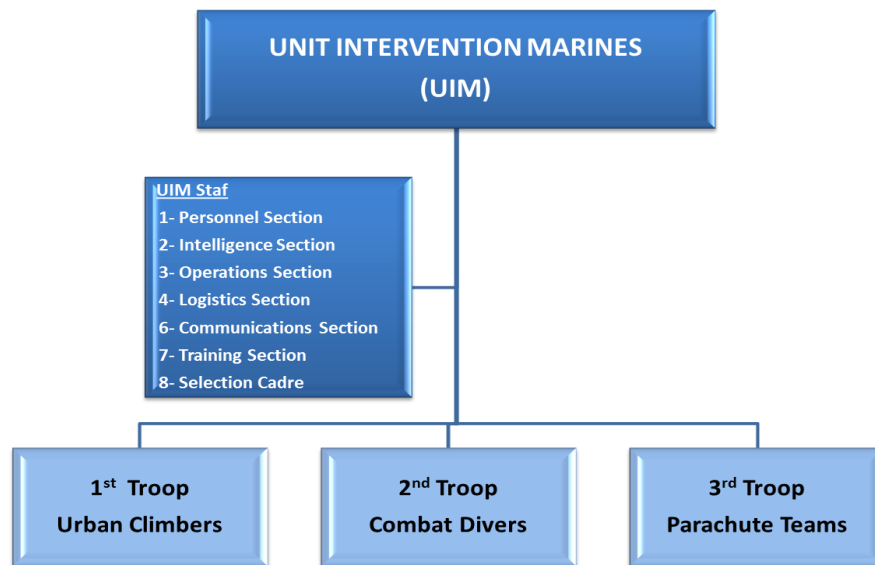
Figure 1.   Organization of Unit Intervention Marines

In March 2008, the Dutch Frogmen Platoon and the ML Recce Troop merged into the Maritime Special Operations Company (MSO-Coy) and were tasked with all amphibious shaping operations for the Royal Netherlands Navy, including cliff assaults and maritime special operations.[9] The organizational chart below shows a simplified (unclassified) version of the organizational structure for the MSO-Coy.

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[9] Royal Netherlands Navy Staff, *Reorganization plan: integration Amphibious Support Battalion & Fighting Support Battalion* [Reorganisatieplan Integreren AMFOSTBAT & GEVSTBAT] (Den Helder, the Netherlands: 2007).
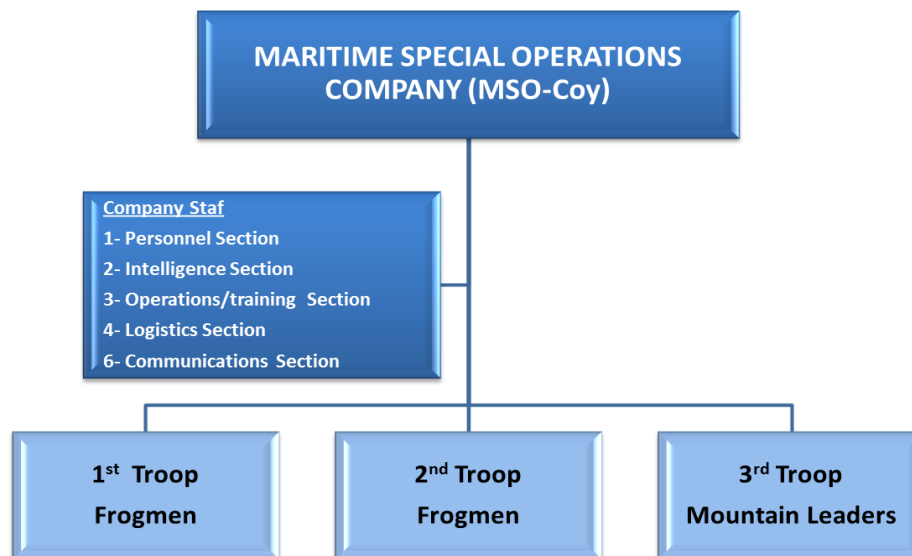
Figure 2.   Organization of Maritime Special Operations Company

In retrospect, the creation of the MSO-Coy in 2008 can be seen as the first step in forming a new and better-organized maritime SOF unit.[10] Finally, in 2009 the senior members of the MSO-Coy and the UIM took the initiative to merge their units into one, The Netherlands Maritime Special Operation Forces (NL MARSOF). This merger is still informal, but the Royal Netherlands Marine Corps (RNLMC) staff is developing the necessary reorganization plans to approve the formal creation of NL MARSOF.[11] Within these plans, NL MARSOF will still be one of the subunits of the RNLMC, under direct command of the Commandant of the RNLMC. NL MARSOF will consist of three squadron-size units. Conventional-Squadron (C-Squadron) is tasked with full spectrum special operations *outside* the Netherlands, and Maritime-Squadron (M-Squadron) is dedicated to national counterterrorism missions under operational command of the DSI. Training-Squadron (T-Squadron) will support both M-Squadron and C-

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[10] Based on author's own experience with the MSO-Coy, in addition to views expressed through conversations with NL MARSOF personnel.

[11] Royal Netherlands Navy Staff, *Policy proposal: restructuring Netherlands Maritime Special Operations Forces (NL MARSOF) core capacity* [Beleidsvoornemen: herschikken kerncapaciteit Netherlands Maritime Special Operations Forces (NL MARSOF)] (Den Helder, the Netherlands: Royal Netherlands Navy, 2011).

Squadron in their training and is responsible for the selection of new members of NL MARSOF.[12] The organizational chart below illustrates the desired organizational structure and position of NL MARSOF. On an informal basis, the units are already partly working within this structure.
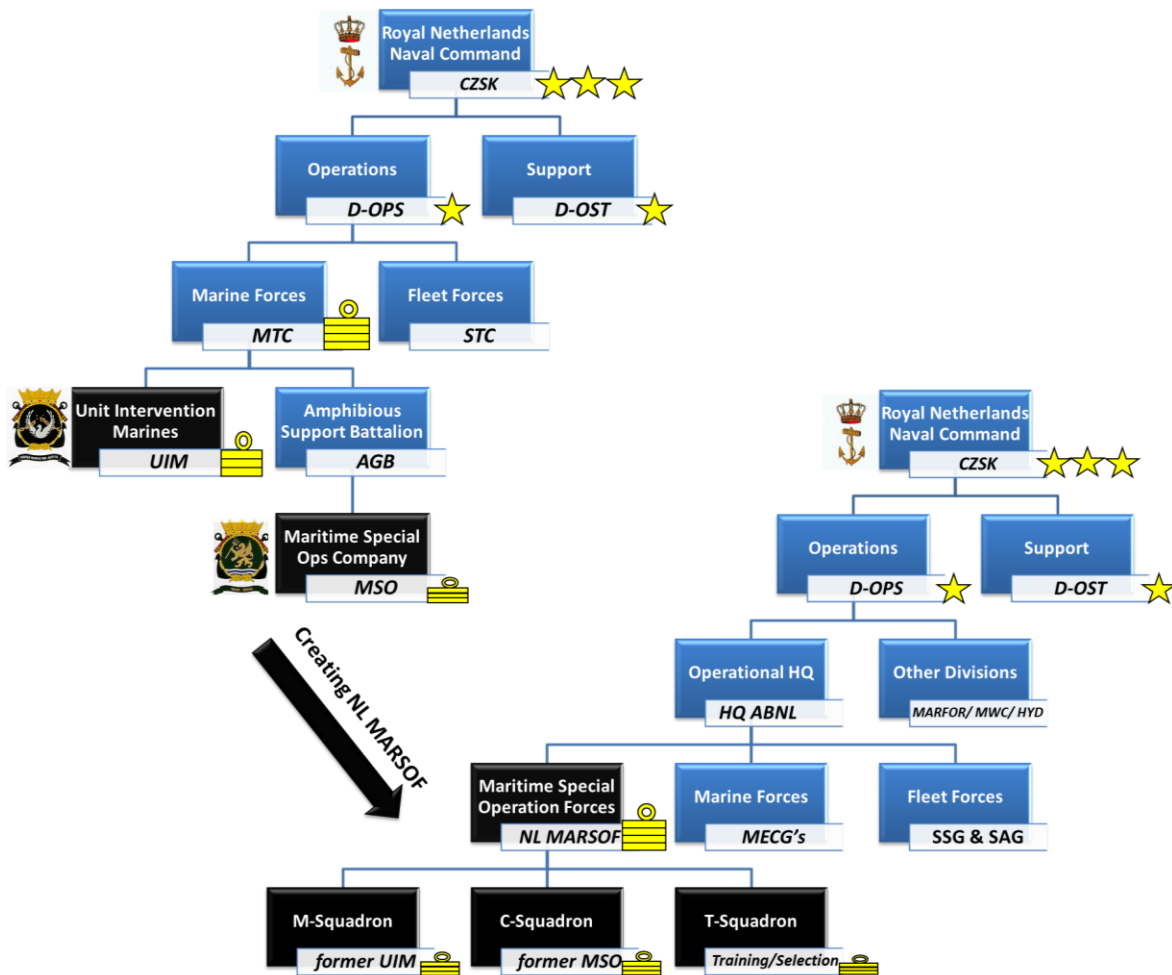
Figure 3. Organization and Position of NL MARSOF

The initiative to create NL MARSOF had two main justifications. Firstly, the separation of the relatively small SOF units within the Dutch Royal Navy

[12] Royal Netherlands Navy Staff, *Policy proposal: restructuring Netherlands Maritime Special Operations Forces (NL MARSOF) core capacity* [Beleidsvoornemen: herschikken kerncapaciteit Netherlands Maritime Special Operations Forces (NL MARSOF)] (Den Helder, the Netherlands: Royal Netherlands Navy, 2011).

made SOF management inefficient and SOF operational capability unbalanced. The imbalance arose from the difference in operational *demand* between maritime SOF and domestic CT forces. Over the last decade, the demand for SOF has grown exponentially, but demand for domestic CT forces remained relatively stable. Constant SOF deployments abroad overstretched the teams of MSO-Coy, while the teams of the UIM were tied to stand-by missions in the Netherlands. The dislocation between the MSO-Coy and the UIM and the difference in hierarchal position within the RNLMC organizational structure contributed to the lack of efficiency in allocation management of Navy SOF operations.[13] The merger of MSO-Coy and the UIM will enable a more efficient management of scarce SOF. The creation of NL MARSOF resolves the issue of organizational position, which will improve the allocation management.

Secondly, other Dutch units tasked with special operations and national counterterrorism responsibilities have emerged over recent years. All "bid for" different SOF tasks and missions, increasing the competition to the MSO-Coy and UIM at the national level. The larger Dutch ARMY SOF unit (The Dutch Commandos) has professionalized immensely, becoming a well-respected force within the Netherlands Defense Forces. It thus has an increasingly strong position over the MSO-Coy in national-level prioritization of different SOF tasks and missions. The creation of the national special police service DSI, with its own Intervention Unit, has also increased the "competition" with the UIM in the national allocation of the already limited CT tasks.[14] The merger of MSO-Coy and UIM into one larger and better-organized NL MARSOF having unified management and greater operational endurance will give the maritime SOF units a better position towards the "competition."

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[13] The UIM and MSO are located on different bases. In addition, the commander of the UIM is placed higher in the RNLMC chain of command than the commander of the MSO-Coy.

[14] Royal Netherlands Navy Staff, *Short study on enhancing SOF capabilities of the Royal Netherlands Navy* [Korte Studie naar versterking van de SOF capaciteit van CZSK] (Den Helder, the Netherlands: 18 November 2009).

Figure 4 shows the evolution of NL MARSOF up to mid-2011, which is the planned date to formalize the creation of NL MARSOF.
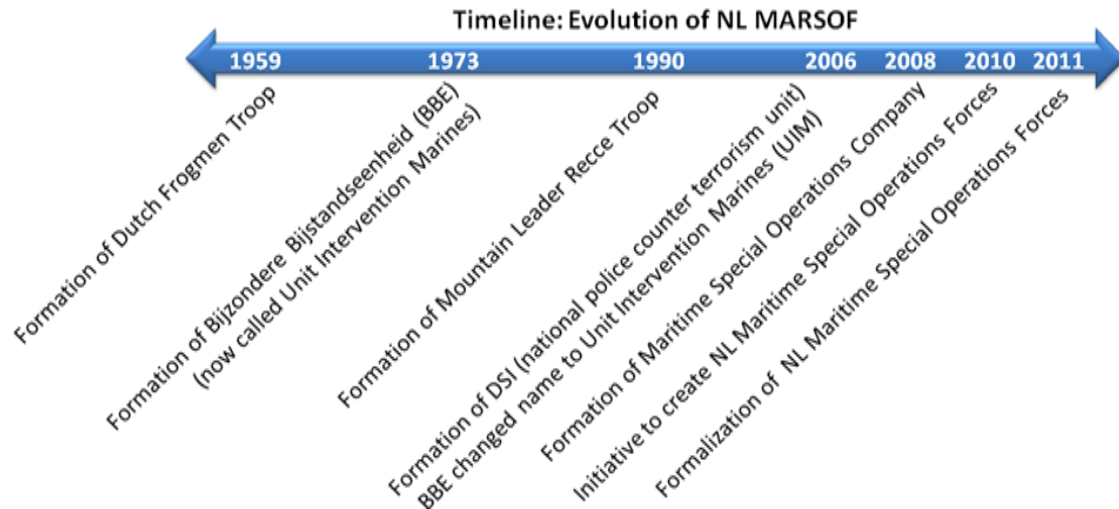
Figure 4.   Timeline: Evolution of NL MARSOF

In a 1989 *Marine Corps Gazette* article, William Lind, Keith Nightengale, and John Schmitt described and predicted the changing nature of warfare. They divided the history of warfare into three generations and argued that we were entering the fourth generation of warfare, in which weaker forces are increasingly adopting unconventional methods (such as terrorism) to defeat stronger foes.[15] In 2007, John Robb described this Fourth Generation Warfare (4GW) as the "death of conventional warfare and the rise of unconventional warfare," in which the use of insurgent and terrorist proxies serve as the primary means of warfare between state and non-state actors.[16] As a result of these particularly new security challenges of 4GW, the international community, as well as the National Dutch decision making branch, recognize the increasing generic need for SOF

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[15] William S. Lind, Keith Nightengale, John F. Schmitt, Joseph W. Sutton, and Gary I. Wilson, "The Changing Face of War: Into the Fourth Generation," *Marine Corps Gazette* 85, no. 11 (Nov, 2001): 65–68.

[16] John Robb, *Brave New War – The next stage of terrorism and the end of globalization* (Wiley, New Jersey: 2007), 24.

capability and maritime SOF capability in particular.[17] The recent increase in actual SOF missions and overall demand for Dutch SOF capability gives ample evidence for this increased need.[18] These changes in the operating environment only further strengthen the initial reasons to professionalize maritime SOF units and form NL MARSOF.

B. PURPOSE AND SCOPE

A practical purpose of this thesis is to help improve the operational effectiveness of the newly formed Maritime Special Operations Forces (NL MARSOF). By investigating its strategic utility and organizational culture, the thesis makes recommendations to unify NL MARSOF's members in culture and clarify strategic utility, in order to ultimately improve the operational effectiveness of NL MARSOF.

Because NL MARSOF is still an informal organization, procedures and organizational design are fluid and amenable to reasonable change In addition, the recent growth of and organizational changes within the Joint Special

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[17] North Atlantic Treaty Organization [NATO] Special Operations Coordination Center (NSCC), *The North Atlantic Treaty Organization Special Operations Forces Study* (Mons, Belgium: NSCC, December 2008.); North Atlantic Treaty Organization [NATO] Special Operations Coordination Center (NSCC)*, Allied Joint Doctrine for Special Operations (AJP-3.5)* (Mons: Belgium: NSCC, January 2009); North Atlantic Treaty Organization [NATO], *Military Committee Decision 437/1, Special Operations Policy* (June 11 2006). Minister of Defense (NL)*, The Netherlands Defense Forces, to serve worldwide* [Defensie, Wereldwijd Dienstbaar] (Den Haag, the Netherlands, 18 September 2007),14; Ministry of Defense (NL), *Study: Special Operations Forces moving to 2020* (Den Haag, the Netherlands: MoD, 2010); Royal Netherlands Navy Staff, *Maritime strategy. The Royal Netherlands Navy in 2030, for security on and from the sea* [Maritieme Visie, De Koninklijke marine in 2030, Voor veiligheid op en vanuit zee] (Den Helder, the Netherlands: Royal Netherlands Navy, March, 2009); Royal Netherlands Navy Staff, *The Royal Netherlands Marine Corps Commandant vision 2015* [De Visie van de Commandant van het Korps Mariniers op de Ontwikkeling van het Korps tot 2015] (Den Helder, the Netherlands: Royal Netherlands Navy, 2008).

[18] Post 9/11, the Dutch SOF troops have been constantly deployed in various missions in Afghanistan, Iraq, the former Yugoslavian countries, and the Horn of Africa. In the former Yugoslavian countries, Dutch SOF has conducted detention operations to bring PIFWC's (Persons Indicted for War Crimes) to trial in the International War Tribunal in Scheveningen, the Netherlands. In southern Iraq, Dutch SOF has conducted various HUMINT and offensive operations by deploying Field HUMINT Teams (and other special mission units). In Afghanistan they have been part of OEF (Operation Enduring Freedom). As Task Force Orange, they were embedded in Task Force Uruzgan in the South of Afghanistan as Special Task Unit Viper, and they were part of ISAF SOF as Task Force 55. For the last few years Dutch SOF have embarked on Dutch Naval vessels to conduct anti-piracy operations in the Horn of Africa.

Operations Branch of the Operations Staff of The Netherlands Defense Forces makes a holistic analysis of Dutch maritime special operations forces prudent.[19]

C.   TARGET AUDIENCE

The findings of this thesis are for the use of the NL MARSOF community. In the proper spirit of SOF, the early initiative by senior members of NL MARSOF to form this new organization showed dedication, innovation, and boldness. The previously mentioned internal and external pressures induced the strong urge to change and improve Dutch maritime SOF units. However, the rapidity of this organizational change for the MSO-Coy and UIM has resulted in new challenges for NL MARSOF that must be addressed.

The thesis addresses a research problem recognized by NL MARSOF and the RNLMC. The problem requires a holistic analysis to determine and optimize operational effectiveness in order for the NL MARSOF to survive as a new organization and meet the challenges of the 21st century. The research findings will be outlined in a formal report to the Commanding General of the Royal Netherlands Marine Corps, the Commander of all the fighting units of the RNLMC, the Commander of The Netherlands Maritime Special Operations Forces (NL MARSOF), and the head of the Joint Special Operations Branch of the Operational Staff of The Netherlands Defense Forces.

D.   THE PROBLEM

1.   History Explored

In *Commandos and Politicians*, Eliot Cohen examines the birth and evolution of elite units. He studied U.S., British, French, and Israeli elite military units to describe the developmental stages of elite units.[20] Cohen was primarily interested in the interplay of civil-military affairs related to elite units, and he

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[19] Head of Joint Special Operations Branch Netherlands MoD, conversation with author, Den Haag, the Netherlands, 13 December, 2010

[20] Eliot A. Cohen, *Commandos and Politicians – Elite Military Units in Modern Democracies* (Cambridge: Center for International Affairs, Harvard University, 1978).

emphasized the political aspects that appear at the birth of elite units and the difficulties these new elite units face in their struggle with bureaucratic predators.[21] The survival of new elite units depends on: (1) their ability to quickly show their military utility to military leaders; (2) their natural appeal to influential sponsors in their "romantic image of war"; and (3) the political benefits SOF offers to politicians.[22] As Cohen writes:

> An elite unit must be justifiable to a degree if it is to exist at all. In order to grow, however, it must either attract a high-level patron of the romantic type or offer political benefits to less heroically-minded politicians.[23]

Elite units, therefore, sometimes undertake missions to prove their worth to regular army and political skeptics. For example, the British SAS took on tasks during WWII for which they were neither suited nor equipped, for no other reason than to prove their adaptability to circumstances and insure their organizational survivability after the war.[24] In her book *Unconventional Warfare: Rebuilding U.S. Special Operations Forces,*[25] Susan Marquis stresses the necessity for "bureaucratic guerillas" during this initial phase of SOF units' existence. This coalition of passionate, capable, and experienced SOF supporters, which

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[21] Eliot A. Cohen, *Commandos and Politicians – Elite Military Units in Modern Democracies* (Cambridge: Center for International Affairs, Harvard University, 1978), 27.

22 The military utility of SOF can be describes as the unit's ability to conduct full spectrum special operations. Source: Eliot A. Cohen, *Commandos and Politicians – Elite Military Units in Modern Democracies* (Cambridge: Center for International Affairs, Harvard University, 1978). "Special Operations are military activities conducted by specially designed, organized, trained and equipped forces using operational techniques and modes of employment not standard to conventional forces. These activities are conducted across the full range of military operations independently or in coordination with operations of conventional forces to achieve political, military, psychological and economic objectives. Politico-military considerations may require clandestine, covert or discreet techniques and the acceptance of a degree of physical and political risk not associated with conventional operations." Source: North Atlantic Treaty Organization [NATO], *Military Committee Decision 437/1, Special Operations Policy* (June 11 2006). This distinctiveness in missions for SOF defines the "organizational essence" of elite units, i.e. SOF.

23 Eliot A. Cohen, *Commandos and Politicians – Elite Military Units in Modern Democracies* (Cambridge: Center for International Affairs, Harvard University, 1978), 56.

24 Ibid., 59.

25 Susan L. Marquis, *Unconventional Warfare – Rebuilding U.S. Special Operations Forces* (Washington, D.C. Brookings Institution Press, 1997), 266.

promotes and protects the interests of SOF, is vital to the survival of the organization. Like Cohen, she also points out the predicament in which new SOF units find themselves.

In his book *U.S. Special Operations Forces in Action*,[26] Thomas Adams also underscores the hard struggle new SOF units face in "the bureaucratic jungle." He describes the tough bureaucratic environment of internal rivalry, the vital importance of competent sponsors to protect SOF interests, and the adaptations SOF had to make towards conventional units to be accepted. Even though Adams predominantly focuses on Army SOF, the parallels with Cohen's and Marquis' findings are remarkable. David Tucker and Christopher Lamb also describe the particular struggle of several U.S. SOF units during their birth and evolution in their book *United States Special Operations Forces*,[27] and they describe the recurring tensions between conventional and unconventional, i.e., special forces. Therefore, Tucker and Lamb highlighted the vital importance of good performance during the first operations in which SOF units from U.S. SOCOM were showcased almost directly after its activation.[28] The detailed description of the problems the new U.S. SOF units faced, as described by Tucker, Lamb, Marquis, and Adams, serve as lessons learned to prepare other new SOF units in their own struggle.

NL MARSOF appears to face the same political and organizational pressure that Cohen identified almost 35 years ago, and that Tucker and Lamb, Adams, and Marquis described in the case of U.S. SOF. Even though the original units that form NL MARSOF have a solid "elite reputation of bravura and success," NL MARSOF is the new kid on the military block and needs to build on creating a new, unique, elite reputation based on success. Recent Dutch SOF deployments (after the attacks on the World Trade Center on 11 September

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26 Thomas K. Adams, *U.S. Special Operations Forces in Action – The challenge of Unconventional Warfare* (New York: Frank Cass Publishers, 2001).

27 David Tucker and Christopher J. Lamb, *United States Special Operations Forces* (New York: Columbia University Press, 2007).

28 Ibid., 99.

2001) have demonstrated the political benefits of SOF to Dutch politicians.[29] Nevertheless, as history has demonstrated for most new SOF units, NL MARSOF is likely to struggle with its modern-day bureaucratic predators, and it needs to demonstrate its specific military utility to the political and military leadership. If the initiative of NL MARSOF is to succeed, it has to perform at its best to overcome the bureaucratic resistance of those conventional or SOF units, which might feel their interests and authority threatened by this new unit.[30] Ineffectiveness and inefficiency in NL MARSOF arising from cultural difference, or misunderstanding about goals and purpose, will weaken NL MARSOF's external position in this struggle for survival at birth.

In 1982, two management consultants, Thomas Peters and Robert Waterman, argued that organizations with a strong culture and clear objectives or aims performed best.[31] They argued that a coherent culture and clear, consistent objectives positively affect the performance of organizations. This positive influence of cultural coherence and clear, consistent objectives to organizational performance corresponds directly with the first ground truth of SOF, namely, the recognition that "*humans are more important than hardware in special operations.*"[32] The importance of the human factor in performance outcome is caustically illustrated in the saying "All the gear, but no idea," to criticize high-tech military units without superior military personnel. This simple phrase captures the importance of human quality over technological quality in SOF operations.

The previous USSOCOM commander, Admiral Eric T. Olson, also points to the human factor in successful SOF: "Investments in weapons platforms and

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[29] Head of Joint Special Operations Branch Netherlands MoD, conversation with author, Den Haag, the Netherlands, 13 December, 2010.

[30] Norbert Tajti, *Enhancing Hungarian Special Forces Through Transformation–the Shift to Special Operations Forces* (master's thesis, Monterey, California: Naval Postgraduate School, 2010), 26.

[31] Thomas J. Peters & Robert H. Waterman, *In Search of Excellence: Lessons from America's Best-run Companies* (New York: Harper & Row, 1982).

[32] "The Five SOF Truths," *Soldiers* 64, no. 11 (Nov, 2009): 6.

technologies are incomplete without the right people to employ those systems."[33] The USSOCOM Posture Statement 2006 again gives another example to emphasize the importance of the human factor in SOF: "SOF's core philosophy centers on the human as the most critical capability in special operations and as foundation of USSOCOM's success in meeting the daunting challenges of defeating global terrorist networks."[34] Therefore, despite resources like high-tech equipment and large training facilities, the overall organizational performance of SOF cannot be optimal unless the human factor is optimized.

Dr. Robert Spulak describes the importance of humans in SOF operations in several publications for the Strategic Studies Department of the Joint Special Operations University (JSOU) in Florida.[35] He argues that it is not the specific missions that are assigned to SOF that define special operations. The missions can change, but the ability to overcome the limitations of conventional forces is embodied in the SOF personnel itself. Their qualities and attributes are critical in successful conduct of SOF operations.

Within the Netherlands Ministry of Defense, NL MARSOF is envisioned as a unique mixture of "traditional" maritime SOF units and a national counterterrorism unit. Even though the first step in the creation of NL MARSOF has marked a significant progress in the professionalization of maritime SOF capability in the Netherlands, new challenges in unit culture and purpose determination can hamper the optimal development and utilization of NL MARSOF.

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[33] Eric T. Olson, "U.S. Special Operations: Context and Capabilities in Irregular Warfare." *Joint Forces Quarterly (JFQ)* n58, no. 1st quarter 2010 (January, 2010): 64–70.

[34] United States Special Operations Command, *Posture Statement 2006 United States Special Operations Command*, 2006.

[35] Robert G. Spulak, Jr., "A Theory of Special Operations: The Origin, Qualities and Use of SOF," *JSOU Report 07–07, Joint Special Operations University* (2007): 23–28.

2. Identified Friction Points

The first year after the initiative to form NL MARSOF from the UIM and the MSO-Coy, key members observed some internal and external misunder-standings in unit culture and unit purpose.[36] These misunderstandings have resulted in several friction points. Internal friction points surfaced when members of NL MARSOF, who originated from the two separate SOF units, failed to agree on common practices, behavior, and goals. External friction points emerged when other organizations (conventional forces, other Dutch SOF, and police forces) misinterpreted or misperceived, or even worse, second-guessed the general purpose for NL MARSOF.

These friction points can be divided into four different categories: (1) the selection process for organization members; (2) the way the organization trains and prepares for its missions; (3) the generally accepted customs and traditions of the organization members; and (4) the specific kind of operations that have been conducted.[37] The remainder of this section summarizes some of the most apparent friction points within these four categories: *selection*, *training*, *customs and traditions*, and *missions*.

a. Selection Process

The selection processes for the three separate SOF units were originally very different. The Frogmen do a physically intense eight-month course in which they learn all the crafts of maritime special operations and combat diving in particular.[38] The whole course focuses on aptitude testing of the individuals, and, for that purpose, they undergo arduous physical and mental training. Sleep deprivation, hazing rituals, and constant physical and mental pressure are

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[36] Key NCO's and Officers of NL MARSOF, conversations with author, Doorn, the Netherlands, 2010.

[37] Author's own synthesis from friction points expressed through conversations with key NCO's and officers of NL MARSOF.

[38] *Fifty years of Frogmen in the Royal Netherlands Marine Corps* [50 Jaar Kikvorsmannen bij het Korps Mariniers] (Den Helder: Royal Netherlands Navy, 2010).

considered a vital part of the selection to assess whether candidates are suitable for the unit and fit in the distinct unit culture.[39]

Most of the members of the ML Recce Troop undergo the UK Royal Marine Mountain Leader course. This eight-month course takes place in Southern coastal parts of England, the highlands of Scotland, and the arctic climate of Norway. It is considered one of the most arduous and physically demanding courses the UK has to offer, and it emphasizes long-range reconnaissance in mountainous and arctic environments. Again, common factors like sleep deprivation, initiation rituals, and constant physical and mental pressure are part of the aptitude testing in this course.[40]

To become a member of the Unit Intervention Marines requires a five-month training period. The training starts with a one-week test phase, in which the aptitude and trainability of the candidates is tested through a high number of intense physical and mental exercises. Afterwards, the candidates undergo training that emphasizes acquiring excellent shooting skills and close quarter battle (CQB)[41] skills needed in counter terrorist operations.[42] Aptitude testing, such as sleep deprivation, mental pressure through hazing, and arduous physical training are not part of the training. Instead, the members and training cadre of the UIM deliberately treat candidates more or less as equals to create a better learning environment.

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[39] Head of the Frogmen Selection Course at the Royal Navy Dive School (H-KVM, DDS), conversation with author, Den Helder, the Netherlands, December, 2010.

[40] The Mountain Leaders course is one of the hardest in the British military, as indicated by its 20% pass rate. To gain the Mountain Leaders (ML2) specialty, a Royal Marine must go through an eight-month training course, which features: climbing cliffs, free climbing (without ropes), mountaineering, survival, resistance to interrogation (RTI) training, ice climbing, arctic survival, arctic navigation, and long distance skiing. Once qualified, a Mountain Leader (ML2) will usually be integrated into the Commandos, often into the Brigade Patrol Troop. Source: "Elite UK Forces, Brigade Patrol Troop," http://www.eliteukforces.info/royal-marines/mountain-leaders/

[41] Close Quarter Battle (CQB) is a type of fighting in which small units engage the enemy with personal weapons at very short range, in which specific methods of room entry and room clearance are used, needed to either obtain a suspect or rescue a hostage.

[42] The selection course for the Unit Intervention Marines (UIM) focuses on shooting skills, close quarter battle, and hand-to-hand fighting. This enables an UIM operator to conduct high-risk arrest operations and hostage rescue missions under the most rigorous circumstances and demanding environments, like the sea.

These differences in selection process have historically resulted in different beliefs about the emphasis on physical toughness and the necessity for aptitude testing between the two separate units. These deeply held beliefs about selection processes within the current members of NL MARSOF will not change overnight with the merger of MSO-Coy and the UIM. NL MARSOF already identified and implemented the long-term solution. All new members of NL MARSOF have to go through a newly developed joint selection, so that over the long run all members of NL MARSOF will share the same selection background.[43] However, at this time the majority of NL MARSOF personnel still does not.

b. Training

The training philosophy, the type of training, the training locations, and the duration of the main exercises of the MSO-Coy and UIM have historically been quite different. These differences in training are not surprising given the different tasks originally assigned to the units. The Dutch frogmen and the ML Recce Troop, now merged into the MSO-Coy, generally conduct long and physically demanding exercises in which they train in all aspects of special operations. The MSO-Coy training philosophy emphasizes physical and mental fitness. Arctic warfare training of two to three months, mountain warfare training of approximately two months, specific dive or rock-climb exercises of multiple weeks, desert training and jungle training of up to three months are common recurring exercises in their yearly training cycle.[44] Adding the duration of these exercises up shows that, excluding real-time deployments, the members are conducting long exercises up to nine months of each year.

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[43] Head of the Frogmen Selection Course at the Royal Navy Dive School (H-KVM, DDS), conversation with author, Den Helder, the Netherlands, December, 2010.

[44] Maritime Special Operations Company Staff, *Operational year plans Maritime Special Operations Company* [Operationele Jaarplannen MSO-Coy (OJP)] (Den Helder, the Netherlands).

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The Unit Intervention Marines predominantly focus on domestic counterterrorism. For this main task, the UIM members are on constant readiness alert in the Netherlands. This precludes the members from engaging in long exercises abroad. The yearly training cycle of the Unit Intervention Marines consists of short (up to a week) exercises in or near the Netherlands.[45] Except for multiple weeklong exercises each year, the members are predominantly doing daily training activities. During these short evolutions, the training philosophy emphasizes shooting skills and tactical procedures. These differences in the yearly training cycle of the MSO-Coy and the Unit Intervention Marines have historically resulted in distinct customs and views in training philosophy and methods.

c.   Customs and Traditions

The UIM and MSO-Coy have developed different customs and traditions. The frogmen and the ML Recce Troop historically have had a strong connection with their British counterparts. Since 1969, the Dutch Frogmen Troop has trained extensively with the UK Special Boat Service (SBS), which has also given them the name of the 7th Troop SBS.[46] Adding to that strong connection, the Dutch frogmen also modeled their selection course closer to the UK SBS selection.[47] Because of their common selection course and similar mission set, the ML Recce Troop has trained extensively with the UK Brigade Patrol Troop (BPT). Even after the merger to MSO-Coy the historical ties to either UK SBS or

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[45] Unit Intervention Marines Staff, *Operational year plans Unit Intervention Marines* [Operationele Jaarplannen UIM (OJP)] (Doorn, the Netherlands).

[46] Before 1987, when the UK SBS was still part of the UK Royal Marines and not taken under control of Directorate of Special Forces (DSF), their C-Squadron consisted of 6 Troops. Because of the intense cooperation of C-Squadron with the Dutch Frogmen Platoon, the UK SBS called the Dutch Frogmen 7th Troop SBS. The Dutch Frogmen also used this name when presenting itself internationally. Source: Royal Netherlands Navy Staff, *NL guidelines for amphibious operations* [Leidraad Amfibisch Optreden] (Den Helder, the Netherlands: Royal Netherlands Navy, 2010).

[47] Head of the Frogmen Selection Course at the Royal Navy Dive School (H-KVM, DDS), conversation with author, Den Helder, the Netherlands, December, 2010.

UK BPT have remained. The Frogmen and ML Troops of MSO-Coy are currently conducting annual exercises and cross-training with the UK SBS and the UK BPT.[48]

The Unit Intervention Marines, on the other hand, historically have had strong connections with Dutch police units and other European counterparts, such as the GSG-9 in Germany, the AKS in Denmark, and GIGN in France.[49] The UIM trained extensively with these highly specialized CT units, who predominantly originated from their respective country's police forces. The establishment of the National Police Service DSI in 2006, which has operational control of the UIM in domestic CT operations, has only further emphasized the close connection with the police forces. Due to this historical difference in partnership and training, the developed customs and habits within the MSO-Coy and UIM also display differences.

One difference between the UIM and the Dutch frogmen is the importance its members place on unit traditions. For instance, the Dutch frogmen platoon has specific hazing traditions for new members that serve to imbue the new members with the norms, authority relations, and codes of conduct within the unit. Most of these customs are similar to their UK SBS counterpart. Although considered somewhat old-fashioned to most outside observers, this practice is still highly valued in most military organizations, because it implies a reward

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[48] Maritime Special Operations Company Staff, *Operational year plans Maritime Special Operations Company* [Operationele Jaarplannen MSO-Coy (OJP)] (Den Helder, the Netherlands).

[49] Unit Intervention Marines Staff, *Operational year plans Unit Intervention Marines* [Operationele Jaarplannen UIM (OJP)] (Doorn, the Netherlands).

Aktionsstyrken of Action Force (AKS) is a SWAT unit of the National Danish Police, trained in hostage rescue techniques. They are approximately 70 strong, broken down into 8 man assault units. Source: "Aktionsstyrken (AKS)," http://www.specialoperations.com/Foreign/Denmark/

The National Gendarmes Intervention Group, or Groupement d'Intervention de la Gendarmerie Nationale (GIGN), is France's counterterrorist Force. It was created in 1974 following not only the Munich Olympic incident, but more directly because of the Saudi Arabian embassy incident in Paris in 1973. They are approximately 90 strong, broken down into four assault groups and a support group. Source: "Groupe de Sécurité et d'Intervention de la Gendarmerie Nationale (GIGN)," http://www.specialoperations.com/Foreign/France/GIGN/default.htm

system in which ultimately becoming a member *is* the reward.[50] The UIM does not have this long tradition of "degreening."[51] Instead, the new members of the UIM deliberately do not undergo any type of hazing. Hazing is actually considered inappropriate within the UIM. Instead, the members create an environment more open to critique from new, fresh members.

Another example is the difference in social interaction between members of the units. Because the members of the MSO-Coy practically live together for almost nine months of the year, they have more opportunities to bond and form friendships than the members of the UIM. The separate geographic location of the two home bases of the MSO-Coy and the UIM reinforces this difference in social interaction. The MSO-Coy is remotely located at the coast in the city of Den Helder, so the majority of its members are forced to live with each other on base during the weeks they are not on exercise. The UIM is located in the city of Doorn in the centre in the Netherlands, which gives its members the opportunity to live off base during the week.

One last example is the difference in hierarchy between members of the units. The leadership of the UIM tends to be more hierarchic than the leadership of the MSO-Coy. The distance between officers, NCOs and enlisted men within the UIM tends to be greater than within the MSO-Coy. Within the MSO-Coy it is generally considered normal to be on a first-name basis with every member. Within the UIM more traditional hierarchy interaction, in which members address each other with ranks, is considered more appropriate. This simple custom reveals an important, subtle difference in social distance between the members of the units. During previous combined exercises and missions, the

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[50] A new member's transition into a new social role and status within a specific organization is a process that at the United States Military Academy at West Point is called the "plebe system." It is known as the "degreening" program in European military academies. Source: Joseph L. Soeters, "Culture in Uniformed Organizations," in *Handbook of Organizational Culture & Climate*, edited by Neal M. Ashkanasy, Celeste Wilderom and Mark F. Peterson (Thousand Oaks, Calif: Sage Publications, 2000), 465–481.

[51] Joseph L. Soeters, "Culture in Uniformed Organizations," in *Handbook of Organizational Culture & Climate*, edited by Neal M. Ashkanasy, Celeste Wilderom and Mark F. Peterson (Thousand Oaks, California: Sage Publications, 2000), 465–481.

difference in social interaction and distance has resulted in internal friction. The most recent example is the pre-deployment build-up phase for the latest mission in Afghanistan.[52]

d. Missions

These three different units—The Dutch Frogmen Platoon, The ML Recce Troop, and the UIM—have in the past conducted numerous SOF operations domestically and abroad in regions such as Afghanistan, Iraq, the former Yugoslavia, and the Horn of Africa. However, the types of operations differed significantly among the three units. The Dutch Frogmen and the ML Recce Troop predominantly focused on special operations abroad with an emphasis on the two NATO SOF principle tasks of Special Reconnaissance and Military Assistance.[53] Within these tasks, they primarily conducted environmental reconnaissance, target assessment, and training missions.[54] The UIM have predominantly focused on the two principle NATO SOF tasks of Direct Action and Additional Activities, primarily hostage release operations, direct assaults, and opposed boarding operations.[55]

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[52] In 2009, teams and staff members form the UIM and the MSO-Coy formed a Task Force 55 SOTG as part of ISAF SOF. The six-month pre-deployment build-up phase marked several incidents between members of the MSO-Coy and the UIM related to social interaction and distance.

[53] Special reconnaissance and surveillance complements national and Allied theatre intelligence collection assets and systems by obtaining specific, well-defined, and possibly time-sensitive information of strategic or operational significance. It is a pre-dominantly HUMINT function that places eyes-on-target. Military Assistance is a broad spectrum of measures in support of friendly forces throughout the spectrum of conflict. Source: North Atlantic Treaty Organization [NATO] Special Operations Coordination Center (NSCC), *Allied Joint Doctrine for Special Operations (AJP-3.5)* (Mons: Belgium: NSCC, January 2009), 2–1.

[54] Environmental reconnaissance is conducted to collect and report critical geospatial information. Target assessment is conducted to detect, identify, locate, and assess a target to determine the most effective employment of weapons. Training missions are conducted to militarily train host nation forces to protect from threats, and to develop individual, leader, and organizational skills. Source: North Atlantic Treaty Organization [NATO] Special Operations Coordination Center (NSCC), *Allied Joint Doctrine for Special Operations (AJP-3.5)* (Mons: Belgium: NSCC, January 2009), 2–1.

[55] Direct Actions are precise (usually offensive) operations on specific well-defined strategic or operational targets. Additional Activities is an overarching umbrella of specific missions dedicated to NATO SOF, like CT operations and hostage release operations.

Until the terrorist attacks on the World Trade Center in 2001, this rough division of labor in SOF tasks remained intact. However, after the global war on terror started, the increasing demand for SOF units caused some capacity issues for the maritime SOF units. The demand for SOF units abroad outpaced the capacity of the MSO-Coy. Therefore, on occasion teams from the UIM have been used for these special operations abroad and teams from the MSO-Coy have been used for national stand-by mission to fulfill domestic counterterrorism responsibilities.[56] While this mixed employment of UIM and MSO-Coy teams resolved some of the capacity problems, the mixing of teams for different missions abroad and domestically has revealed the aforementioned internal friction points even more. Differences in operational experience, selection background, training level, and traditional customs have resulted in initial reluctance between the MSO-Coy and the UIM to work together and necessitated the need for longer pre-deployment preparation.

The mixed employment of UIM abroad and MSO-Coy teams also domestically created misunderstandings at other Dutch SOF and police forces about the exact purpose and missions for NL MARSOF. As a result, the Dutch Army SOF—the Dutch Commandos—have formally expressed doubts in the SOF capabilities of NL MARSOF.[57] The National Police Service DSI has also

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Hostage release operations are offensive operations conducted to secure the safe release of hostages. Direct assaults typically involve attacking critical military targets of significance, capturing designated personnel or material, or neutralizing adversary's capabilities. Opposed boarding operations are the forced entering of uncooperative maritime vessels or platforms. Source: North Atlantic Treaty Organization [NATO] Special Operations Coordination Center (NSCC), *Allied Joint Doctrine for Special Operations (AJP-3.5)* (Mons: Belgium: NSCC, January 2009), 2–1.

[56] The deployment of maritime SOF units as part of *Task Force Orange, Special Operations Task Unit Viper,* and *Task Force 55* in Afghanistan has consisted of teams both of the MSO-Coy and the Unit Intervention Marines. The MSO-Coy teams that returned from deployments were put on stand-by for the domestic counterterrorism tasks. That way the members of MSO-teams were operating in the Netherlands close to their respective families, and the UIM teams were able to go abroad for missions.

[57] During post-deployment evaluations of SOTU Viper in Afghanistan, the Dutch Army SOF had critical comments on the capabilities of NL MARSOF units. These comments varied from lack of specific skill sets and training, lack of experience, and difference in SOF mindset. Source: classified Army post-deployment report to the Joint Special Operations Branch MoD.

expressed concerns about the recent mixed deployments. The DSI fears a change of priorities in preparing and training the UIM-teams for its primary domestic counterterrorism tasks.[58]

e. *Friction Points Related to Strategic Utility and Unit Culture*

The identified friction points in the four categories of selection, training, customs and traditions, and missions are related to either the absence of one strong cohesive unit culture or the lack of clarity in strategic utility for NL MARSOF. The schematic overview below summarizes the main identified friction points and shows the relationship to unit culture and strategic utility. This categorization in mission, selection, training, and customs and traditions as well as the connection to unit culture and strategic utility is imperfect. Categories overlap. For instance, the training philosophy is connected to strategic utility as well as unit culture. Nevertheless, the categorization and connection is useful since it illustrates the broad range of friction points in relation to unit culture and strategic utility.

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[58] Views expressed through conversations with members of the management team of the Special Intervention Service (DSI) in March 2009.
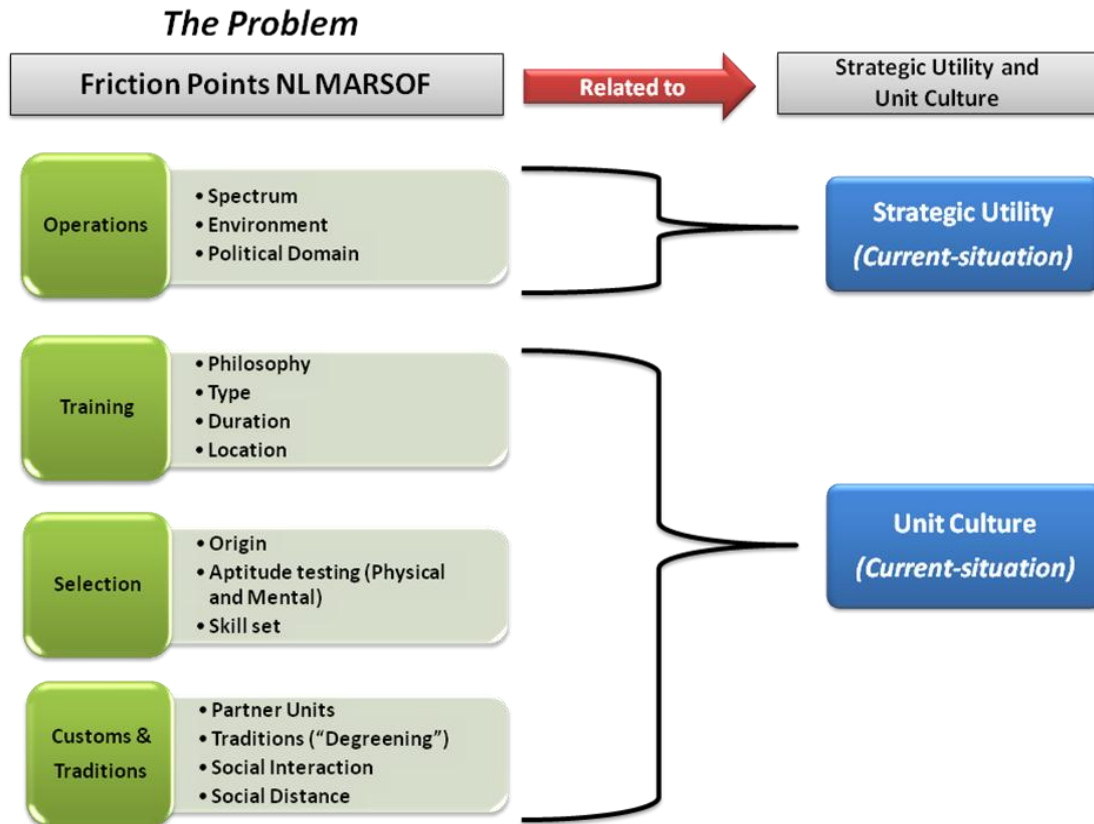
Figure 5.   Schematic Overview of Identified Friction Points Connected to
Strategic Utility and Unit Culture

The fact that NL MARSOF still is an initiative and currently in the
process of being formalized within the RNLMC organization arguably contributes
to the observed internal friction points in selection, training, and organizational
customs.

E.   RESEARCH QUESTION

This research intends to find remedies to the observed internal and
external friction points in this precarious phase of existence. As mentioned in
previous sections, the specific circumstance is the NL MARSOF's organizational
developmental phase as a new organization. As history has shown, new SOF
units at birth are vulnerable to external bureaucratic forces and therefore have to
be quite strong or enjoy the protection of a powerful guardian to survive this

crucial phase. The observed friction points resulted from quickly bringing two distinct units with different tasks and history together and asking its members to form a new unit. The identified friction points can result from a lack of clarity in strategic utility and disparate unit cultures. By answering the following research question, these probable deficiencies are addressed and investigated, ultimately aiming to make NL MARSOF strong enough to stand up to the challenges it faces in its early days:

> *How can NL MARSOF better unify its culture and clarify its strategic utility in order to improve its organizational effectiveness?*

In this main research question, "clarifying strategic utility" means developing the process to define the strategic utility for NL MARSOF's members. The definition of *unify* is "to join (one or more) to or with another, so as to form one whole or unit."[59] Unifying NL MARSOF culture, therefore, means reconciling the cognitive processes of the members of the previous different SOF units to form one effective whole.

Two professors in organizational behavior, Joseph Soeters and Tibor Tresh, have used a framework (developed by the cross-cultural psychologist John Berry[60]) to distinguish different levels of unifying military organizations.[61] Based on this framework three strategies of organizational unification achieve an acceptable level of effectiveness. The first strategy, *assimilation*, is when one organization becomes more similar to the other(s), either because the latter appears to be "better" or has the power to force adaptation. The second strategy, *separation*, is when two or more organizations cooperate, but keep their own cultural characteristics, because they perceive their own organization as being

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59 *Oxford English Dictionary Online*, s.v. "unify," accessed December, 2010, http://www.oed.com

60 John Berry, "Fundamental Psychological Processes in Intercultural Relations," in *Handbook of Intercultural Training,* edited by D. Landis, J.M. Bennett and M.J. Bennett (eds.) (Thousand Oaks, CA: Sage, 2004), 166–184. As cited in Joseph Soeters and Tibor Tresch, "Towards Cultural Integration in Multinational Peace Operations," *Defence Studies* 10, no. 1/2 (Mar-Jun, 2010): 272–287.

61 Joseph Soeters and Tibor Tresch, "Towards Cultural Integration in Multinational Peace Operations," *Defence Studies* 10, no. 1/2 (Mar–Jun, 2010): 272–287.

equal or better than the other ones. The third strategy, *integration*, is when two or more organizations cooperate, and try to adapt to the best cultural characteristics and qualities of one another. In other words, integration identifies and combines the strengths of each organization into one better overarching organization. The best strategy to unify NL MARSOF—assimilation, separation, or integration—will depend on the research findings.

Two hypotheses will help answer the above-stated main research question. The hypotheses capture the effect of strategic utility and unit culture on operational effectiveness. They incorporate the following three key terms: operational effectiveness, strategic utility, and unit culture. The following chapters will explain these key terms more in detail.

Hypothesis 1: Clearing up misunderstanding and misperception in strategic utility leads to purpose and direction, which positively affects NL MARSOF's organizational effectiveness.

This hypothesis entails the clarity in strategic utility and addresses internal and external misunderstandings about the general mission and purpose of NL MARSOF. Strategic utility is the strategic value of SOF, by which it contributes to national goals and policy. The hypothesis describes the difference between what the strategic utility of NL MARSOF should be (*required-situation*), as stated by the Kingdom of the Netherlands and how members actually interpret and perceive the strategic utility of NL MARSOF (*current-situation*).

The hypothesis builds on the causal assumption that the more consistent the perceived strategic utility is with required strategic utility for NL MARSOF on the national and military service level, the more focused the unit is in organizational purpose and direction; hence, the more effective NL MARSOF can achieve its objectives and aims. Several researchers in organizational culture and effectiveness emphasize the importance of a clear mission to an organization. The following quote clearly describes the current situation of NL MARSOF and captures its difficulties:

The importance of mission to culture and effectiveness was […] supported by the observation that the most critical crises in each organization came when the basic mission was questioned or altered. Each of the organizations provided a compelling example of the close relationship between the overall purpose and direction of the firm, and the meaning held by each of the organizational members. This loss of meaning and direction seemed to coincide with significant losses of momentum and effectiveness.[62]

Hypothesis 2: One strong and cohesive culture for NL MARSOF creates more organizational commitment that positively affects organizational effectiveness.

The second hypothesis focuses on the cultural differences between NL MARSOF sub-units in order to examine internal friction points in selection, training, and customs and tradition. It captures the degree of cultural strength and coherence within NL MARSOF and assumes that cultural strength positively effects operational effectiveness. The hypothesis builds on the assumption that dominance of a strong and coherent culture is an essential quality for excellent organizations, and strong organizational culture permeates the most successful groups.[63]

F.   CAUSAL FRAMEWORK OF DEPENDENT AND INDEPENDENT VARIABLES

Each developed hypothesis covers one independent variable against the dependent variable. Hypothesis 1 covers strategic utility; Hypothesis 2 covers unit culture. Figure 6 gives a schematic overview of the causal relation between these independent variables, unit culture and strategic utility; and the dependent variable, organizational effectiveness.

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[62] Daniel R. Denison and Aneil K. Mishra, "Toward a Theory of Organizational Culture and Effectiveness," *Organization Science* 6, no. 2 (Mar–Apr, 1995): 216.

[63] Thomas J. Peters and Robert H. Waterman, *In Search of Excellence: Lessons from America's Best-Run Companies* (New York: Harper & Row, 1982), 75. This assertion is also made by other renowned organizational culture researchers such as Daniel Denison, John P. Kotter, and James L. Heskett.
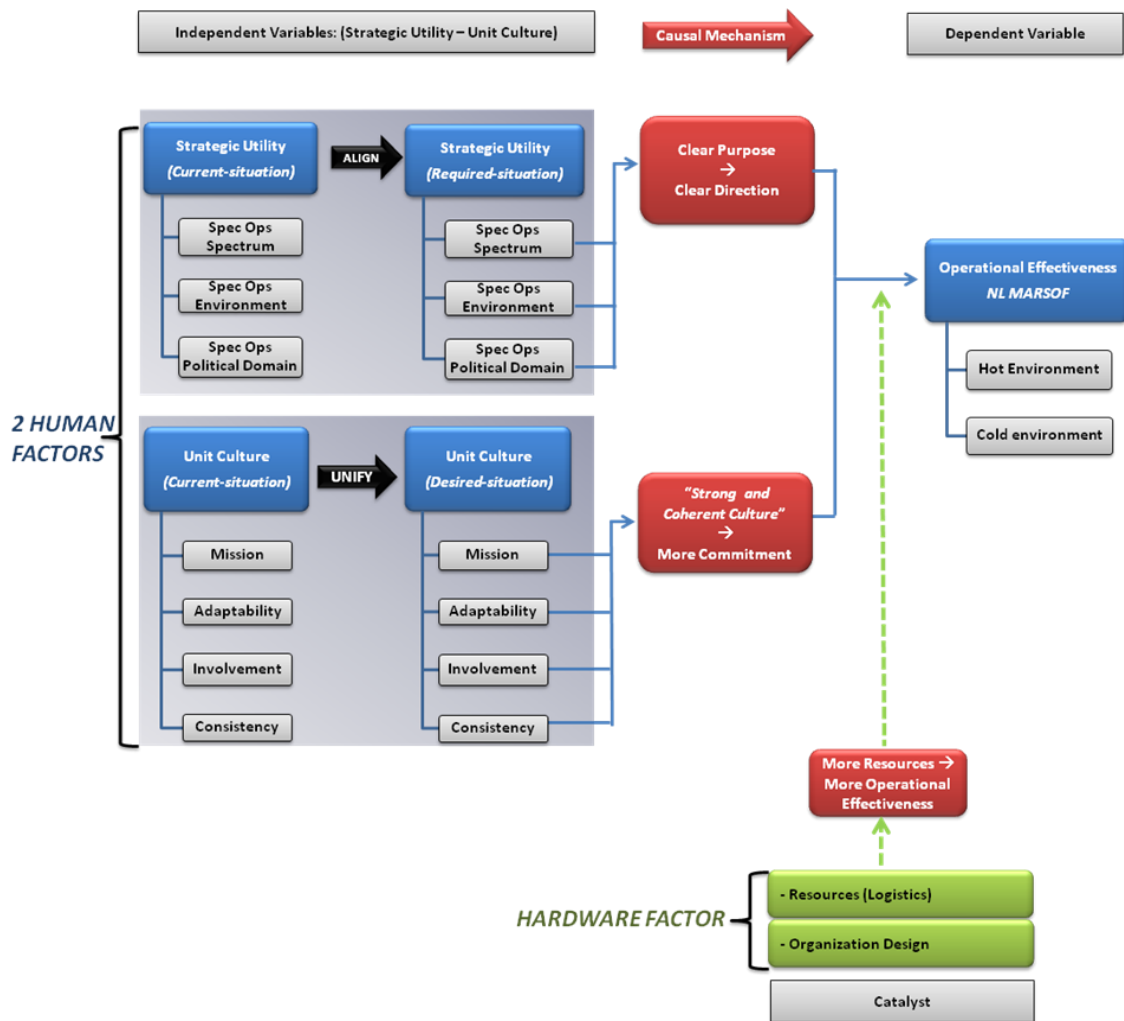
Figure 6.   Model of Variables and Causal Mechanism

The first independent variable, strategic utility, is broken down into three dimensions: special operations spectrum, operating environment, and political domain. Chapter III explains these dimensions in detail. The second dependent variable, unit culture, is broken down in four cultural traits: *mission, adaptability, involvement*, and *consistency*, all derived from Denison's model of organizational

culture.[64] Chapter IV explains these cultural traits in detail. The causal mechanisms for both independent variables related positive to operational effectiveness for NL MARSOF. Operational effectiveness can affect the hot and cold side of organization. Chapter II explains this delineation in detail.

The hardware factor consists of all factors (other than the two human factors) that can positively influence organizational effectiveness. Resources and structural design are the most obvious examples of these hardware factors. The hardware factor is presumed to complement the human factor in operational effectiveness. In other words, the human factor is necessary in achieving operational effectiveness in SOF, which the hardware factor complements. This research examines only the two human factors—unit culture and strategic utility—in relation to organizational effectiveness.

G.   RESEARCH DESIGN

To answer both hypotheses, a specific research strategy is developed to investigate both and ultimately answer the research question. Figure 7 gives a schematic overview of the complete research strategy, containing the use of surveys, governing document analysis, and potential follow up interviews. The remainder of this chapter describes all research methods in detail and explains the connection to the main research question and both hypotheses.

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[64] Daniel R. Denison, "Bringing Corporate Culture to the Bottom Line," *Organizational Dynamics* (1984): 5–22; Daniel R. Denison, *Corporate Culture and Organizational Effectiveness* (New York: John Wiley & Sons, 1990); Daniel R. Denison and Aneil K. Mishra, "Toward a Theory of Organizational Culture and Effectiveness," *Organization Science* 6, no. 2 (Mar–Apr, 1995): 204–223; Daniel R. Denison, S. Haaland, and P. Goelzer, "Corporate Culture and Organizational Effectiveness: Is there a Similar Pattern Around the World," *Advances in Global Leadership* 3 (2003): 205–227.
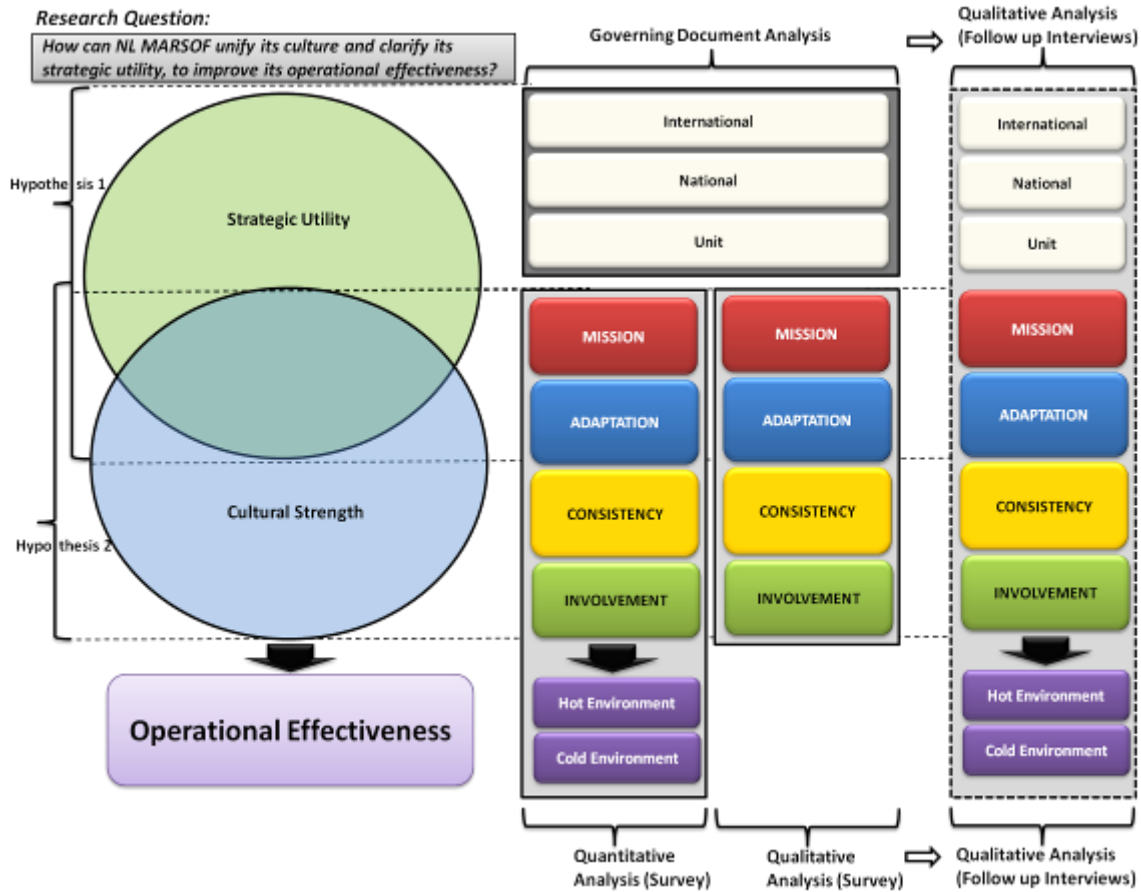
Figure 7.   Research Strategy

Hypothesis 1: Clearing up misunderstanding and misperception in strategic utility leads to clear purpose and direction, which positively affects NL MARSOF's operational effectiveness.

Survey research determines the current perceptions of strategic utility for NL MARSOF. Concurrently, unit history, relevant SOF theory, and governing documents are analyzed on three levels (international, national, and unit) to determine the required strategic utility for NL MARSOF. Observed differences between the current and the required strategic utility are discussed in follow-up interviews that lead to practical recommendations for creating clear purpose and direction. Figure 8 illustrates the connection of the chosen methods in the research strategy to Hypothesis 1.
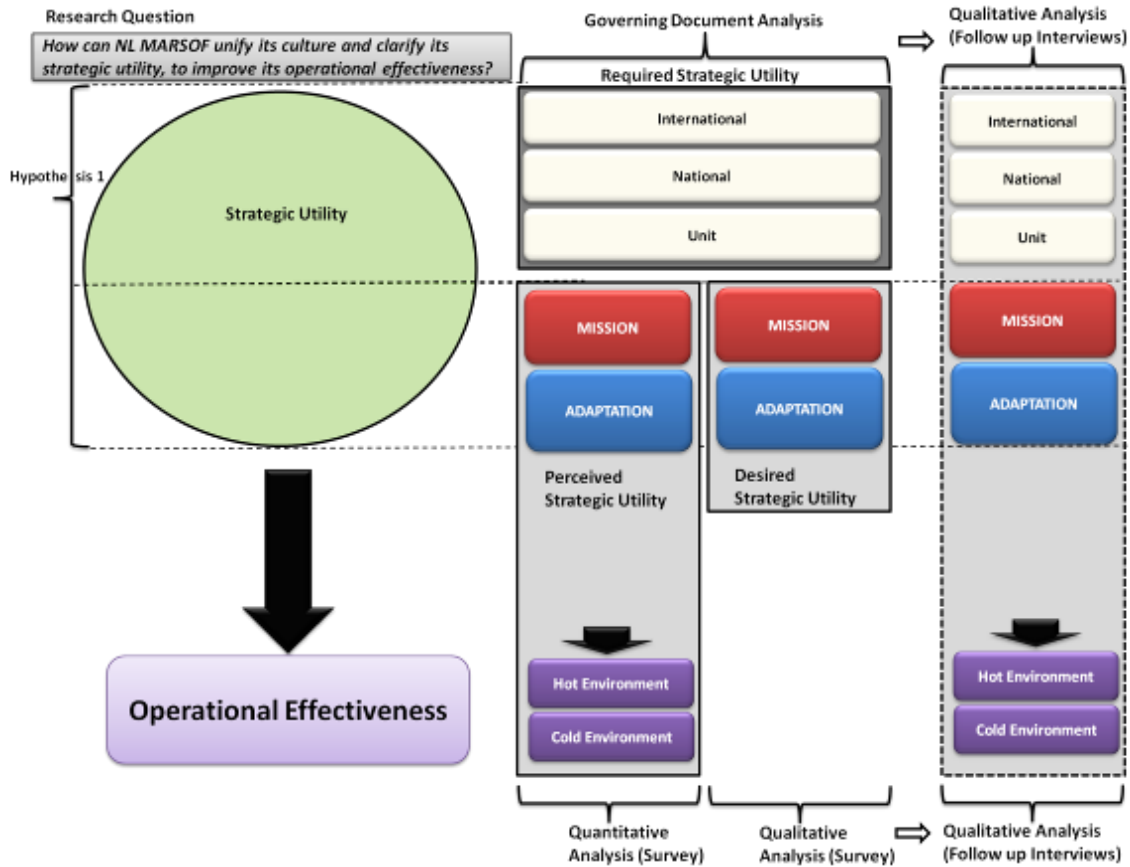
Figure 8.   Research Strategy in Relation to Hypothesis 1: Strategic Utility

Hypothesis 2: One strong and cohesive culture for NL MARSOF creates more organizational commitment that positively affects operational effectiveness.

Survey research is used to determine the current and desired unit culture within NL MARSOF. Observed differences between the current and the desired unit culture are discussed in follow-on interviews that lead to practical recommendations. These recommendations are intended to set the path to the desired unit culture and ultimately improve cultural coherence and strength. Figure 9 illustrates the connection of the chosen research methods to Hypothesis 2.
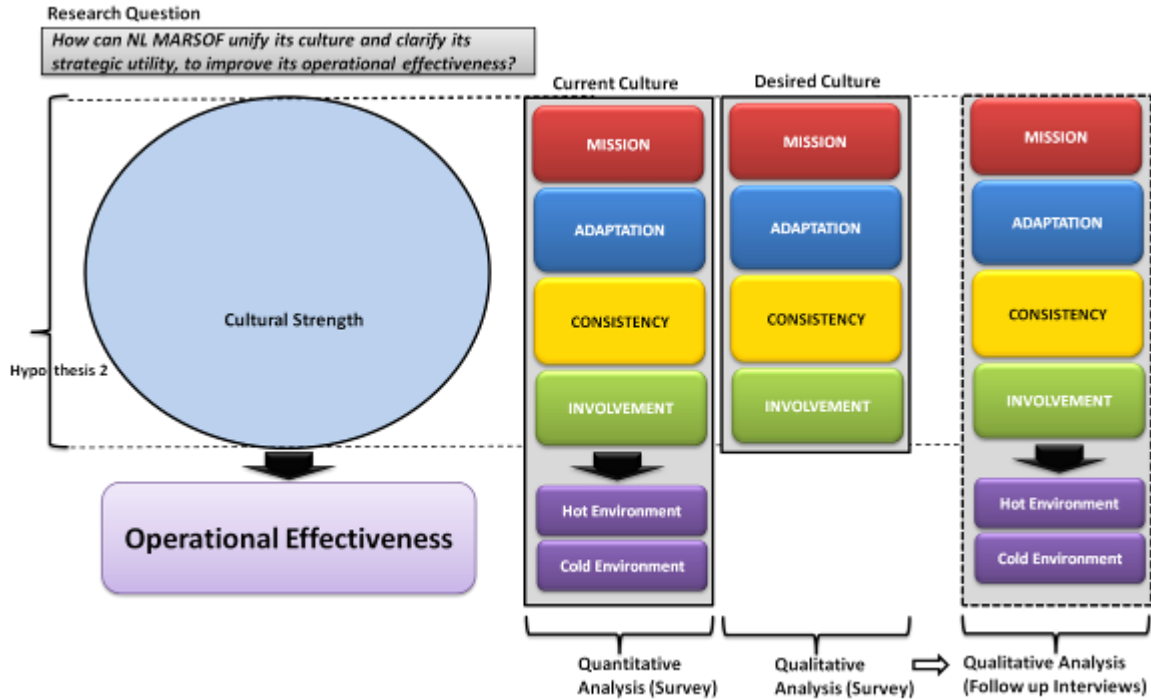
Figure 9.   Research Strategy in Relation to Hypothesis 2: Unit Culture

1.   Methods

Three data-gathering methods are used to collect the necessary data for the research. These methods provide quantitative as well as qualitative information. The primary collection method is survey research, augmented by document analysis and follow-up interviews. The use of these three methods to provide quantitative and qualitative information allows for statistical analysis as well as in-depth analysis. This provides richer research data than when using either quantitative or qualitative data separately and, therefore, enhances better understanding of NL MARSOF's unique cultural characteristics.

a.   Surveys

This method employs a survey questionnaire designed to test the independent variables (strategic utility and unit culture) in relation to the dependant variable (organizational effectiveness). Figure 10 illustrates the

quantitative and qualitative part of the survey in relation to the main research question and the two hypotheses. Chapter V explains the survey design, parts, and connections in detail.
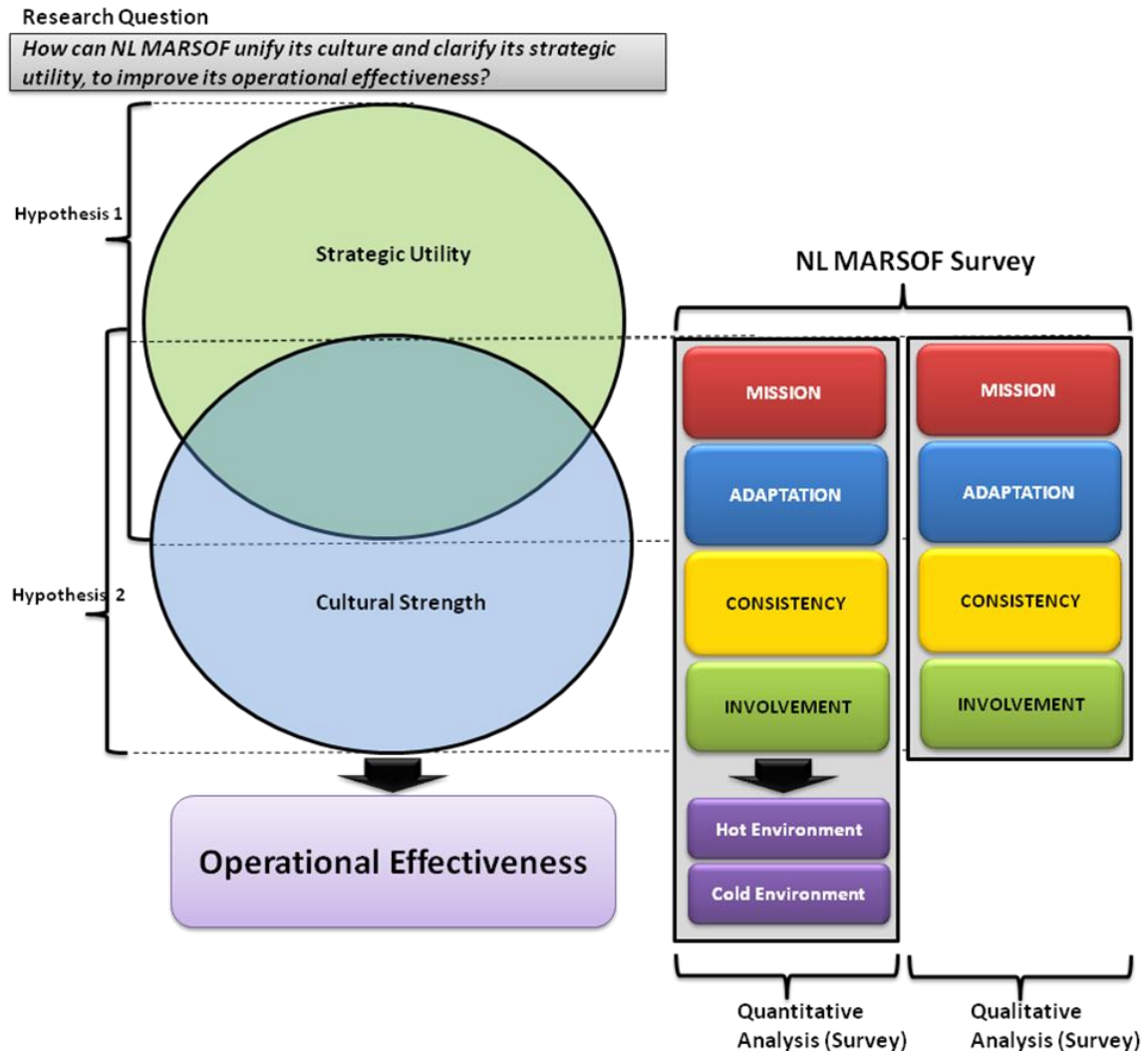
Figure 10.   NL MARSOF Survey in Relation to Both Hypotheses.

b.   Governing Document Analysis

Current policy documents, various studies, and doctrine are analyzed to investigate the required strategic utility for NL MARSOF. Figure 11

illustrates the governing document analysis in relation to the main research question and Hypothesis 1. The next section explains this relationship in detail.
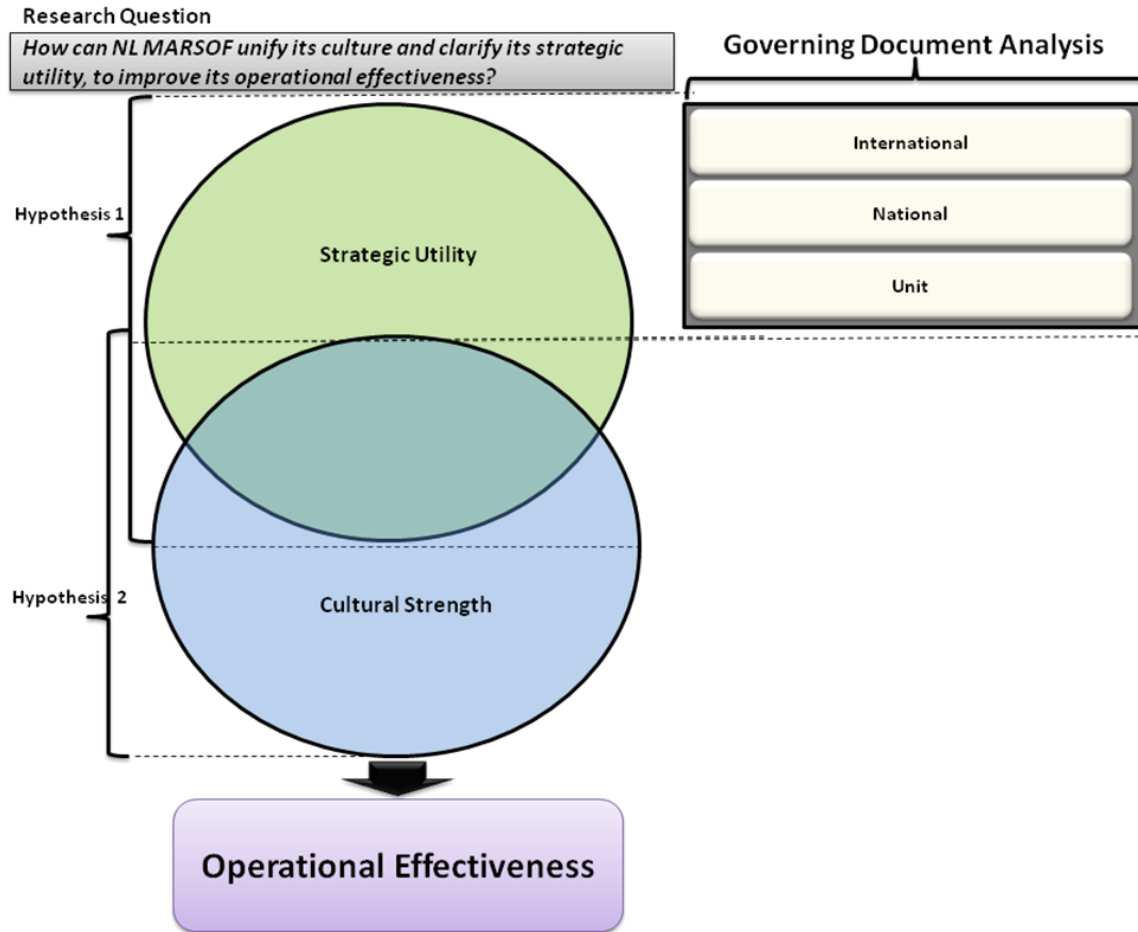
Figure 11.   Governing Document Analysis in Relation to Hypothesis 1: Strategic Utility

The governing documents can be divided into three levels of analysis: international level, national level, and unit level.

Figure 12.   Governing Document Analysis

At the international level, the documents produced and published by NATO SOF Headquarters (NSHQ) lead in determining strategic utility. Of these documents, the *NATO SOF Study* (2008) sought input from NATO SOF personnel to examine broad trends in SOF structure, organization, capabilities, interoperability, and resourcing. Other documents produced by the NSHQ include *MC-437/1—Military Committee Special Operations Forces* and *AJP 3–5—Allied Joint Doctrine for Special Operations Forces.*

At the national level, the governing documents produced and published by the Ministry of Defense are examined. Though most of the NL MoD documents concerning SOF are classified, sanitized parts were used for this thesis. The NL Ministry of Justice (MoJ) has also produced several (classified) documents concerning the domestic employment of Special Forces in a counter terrorist role.

At the military service level, the Royal Netherlands Navy has traditionally been weak in producing doctrine and policy documents, compared to

the Royal Dutch Army. Nevertheless, several documents have been recently published in which policy concerning the employment of maritime special operations forces is described.

c.   Interviews

Upon completion and analysis of the survey, interviews were held with key members of NL MARSOF in order to gather qualitative information pertaining to the survey results. Figure 7 illustrated the follow-up interviews with key members of NL MARSOF in relation to the main research question and both hypotheses.

The purpose of conducting these interviews is twofold. Firstly, interviews conducted after the survey allow in-depth questions to address any anomalies in the collected data or to expand any area needing further scrutiny. This qualitative information is compared to the survey results in an effort to validate the overall survey results.

Secondly, depending on the survey results, viable possibilities for improvement are discussed with key members to formulate recommendations. The target sample for these interviews was a random selection of officers and senior enlisted members, because they can provide the most comprehensive view on the NL MARSOF organization and have the authority and influence to either support or reject recommendations.

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II. ORGANIZATIONAL EFFECTIVENESS

A. ORGANIZATIONAL EFFECTIVENESS REVIEWED

Organizational effectiveness is the degree to which the organization reaches its goal or mission. This overall goal, or mission, is the organization's reason for existence. The organization's leadership usually writes this overall mission down in a formal mission statement, which describes the organization's purpose, vision, and shared values and beliefs.[65] This overall purpose is broken down into several operating goals that describe specific, measurable outcomes. For not-for-profit organizations such as the military, these outcomes specify the degree to which the organization provides specific utility.

Pierre Richard, Timothy Devinney, George Yip, and Gerry Johnson (from the business universities in Sydney, Rotterdam, and Lancaster) study organizational performance and distinguish between organizational performance and effectiveness. "Organizational *performance* encompasses three specific areas of firm outcomes: (a) financial performance; (b) product market performance; and (c) shareholder return. Organizational *effectiveness* is broader and captures organizational performance plus the plethora of internal performance outcomes normally associated with more efficient or effective operations and other external measures that relate to considerations that are broader than those simply associated with economic valuation."[66] The latter definition of organizational effectiveness fits the military better, because it entails more than just economic output. Therefore, this thesis uses the term *effectiveness* instead of *performance*.

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[65] Richard L. Daft, *Organization Theory and Design*, 8th ed. (Mason, Ohio: Thomson/South-Western, 2004), 18.

[66] Pierre J. Richard, Timothy Devinney, George Yip, and Gerry Johnson. "Measuring Organizational Performance: Towards Methodological Best Practice," *Journal of Management* 35, no. 3 (Jun, 2009): 722.

Richard Daft, a noted expert in organizational behavior and organizational design, provides a simple definition of organizational effectiveness that captures the same meaning. "Organizational effectiveness is the degree to which an organization realizes its goals. Effectiveness evaluates the extent to which multiple goals are attained."[67]

Three experts in military organization and effectiveness, Allan Millett, Williamson Murray, and Kenneth Watman, define military effectiveness as "the process by which armed forces convert resources into intended fighting power."[68] In their definition, a fully effective military unit derives maximum intended combat power from the resources physically and politically available.

In 2000, the Center for Strategic and International Studies (CSIS) conducted an extensive survey within the U.S. military on a variety of matters concerning military culture in relation to military effectiveness.[69] CSIS simply defined military effectiveness as "the ability to accommodate assigned missions within an appropriate amount of time with minimal casualties and an appropriate expenditure of resources."

B.   MEASURING ORGANIZATIONAL EFFECTIVENESS

Daft et al. discuss the difficulty of measuring organizational effectiveness because of its multidimensional conceptualization related to stakeholders, heterogeneity in resources, environment, strategic choice, and timeframe.[70] To address this difficulty of multidimensional conceptualization, Daft identified

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[67] Richard L. Daft, *Organization Theory and Design*, 8th ed. (Mason, Ohio: Thomson/South-Western, 2004), 24.

[68] Allen R. Millett, Williamson Murray, and Kenneth H. Watman, "The Effectiveness of Military Organizations," *International Security* 11, no. 1 (Summer, 1986): 37.

[69] Walter F. Ulmer, Joseph J. Collins, T. O. Jacobs, and Center for Strategic and International Studies, *American Military Culture in the Twenty-First Century: A Report of the CSIS International Security Program*, CSIS Report (Washington, D.C: Center for Strategic and International Studies, 2000).

[70] Pierre J. Richard, Timothy Devinney, George Yip, and Gerry Johnson, "Measuring Organizational Performance: Towards Methodological Best Practice," *Journal of Management* 35, no. 3 (Jun, 2009): 718–804.

several approaches to measuring organizational effectiveness.[71] These approaches measure effectiveness by focusing on different parts of the organizational process of input, transformation, and output. The following explains the three approaches:

> The *goal approach* to organizational effectiveness is concerned with the output side, and whether the organization achieves its goals in terms of desired levels of output. The *resource-based approach* assesses effectiveness by observing the beginning of the process and evaluating whether the organization effectively obtains resources necessary for high performance. The *internal process approach* looks at internal activities and assesses effectiveness by indicators of internal health and efficiency.[72]

Millett et al. argue that military effectiveness is not measured just in terms of victory. Instead, one can measure military effectiveness at four different levels: *political, strategic, operational,* and *tactical*.[73] *Political effectiveness* is the proficiency achieved in acquiring resources for military activity. The resources allocated depend on the degree to which politicians regard the military unit as valuable. *Strategic effectiveness* is the degree to which armed forces obtain national goals as stated by political leadership. *Operational effectiveness* is the degree to which the military develops successful concepts and doctrine for effective employment of forces. Finally, *tactical effectiveness* is the way the organization successfully uses specific military techniques to win engagements. In comparing his categorization of military effectiveness in four levels to Daft's three approaches, one can observe a similarity. Political effectiveness focuses on the input side of the organization, operational and tactical effectiveness focus on the transformation side, and strategic effectiveness focuses on the output side.

Joseph Soeters, a Dutch military organizational behavior professor, distinguishes between two subcultures of the uniformed organization. One

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71 Richard L. Daft, Organization Theory and Design, 8th ed. (Mason, Ohio: Thomson/South-Western, 2004), 24.

72 Ibid., 24.

73 Allen R. Millett, Williamson Murray, and Kenneth H. Watman, "The Effectiveness of Military Organizations," International Security 11, no. 1 (Summer, 1986): 37–71.

subculture focuses on prevention, facilitation, and preparation, and one subculture focuses on the real action. The former, which refers to headquarters and garrison life, is called the "cold" side, and the latter, which refers to the real-time military operations, is called the "hot" side of the uniformed organization. The cold subculture is highly bureaucratic and process-oriented, while the hot subculture tends to be more flexible and goal-oriented because the latter occurs in critical, dangerous, and ambiguous circumstances.[74] Measuring military effectiveness on the cold side focuses on the input (resource-based approach) and transformation (internal process approach) part of organizations. Measuring military effectiveness on the hot side focuses on the output (goal approach) and transformation part (internal process approach) of organizations.

The bulk of the substantial modern research on military culture in relation to organizational performance focuses on this hot subculture and the importance of military cohesion in this particular subculture. Within that narrow focus of military culture, the literature is heavily weighted toward studies on cohesion in the U.S. Armed Forces. [75] The published scholarly literature on cohesion relating to performance in the Dutch Armed Forces is, by comparison, limited. Some exceptions might be Peter Boer's early research on a wartime squadron of the Netherlands East India Air Force and the research of Joseph Soeters in Dutch military culture.[76] Therefore, the majority of literature used in this thesis is necessarily not Dutch, which raises a question as to whether this literature is applicable to Dutch Forces in general and Dutch SOF in particular.

The forces in the Netherlands are organizationally and culturally distinct, having different histories and traditions arising out of different national cultures. This thesis, however, assumes that general research findings about military

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[74] Joseph L. Soeters, "Culture in Uniformed Organizations," in *Handbook of Organizational Culture & Climate*, edited by Neal M. Ashkanasy, Celeste Wilderom and Mark F. Peterson (Thousand Oaks, California: Sage Publications, 2000), 465–481.

[75] Charles Kirke, "Group Cohesion, Culture, and Practice," *Armed Forces and Society* 35, no. 4 (Jul, 2009): 143–159.

[76] Peter C. Boer, "Small Unit Cohesion: The Case of Fighter Squadron 3-VI.GIV," *Armed Forces and Society*, vol. 28. (2001), 2–15.

cohesion in relation to effectiveness are relevant to the present case of the Dutch Forces, except where there are visible, scientifically supported contra-indications. This is a realistic measure, reflecting both the quality and the quantity of the international scholarship, and the relative scarcity of published work directly applied to the Dutch Armed Forces.

Examining military cohesion in relation to military effectiveness only during real-time missions (i.e., the hot side of the organization) is too narrow a view of military effectiveness. To survive at birth, NL MARSOF needs to be effective on the cold side as well.

This thesis does not take one singular approach to effectiveness, because they all are too narrow to encompass the military effectiveness needed at this stage of NL MARSOF's development. Therefore, this thesis synthesizes Daft's definition of organizational effectiveness with the above-mentioned military scholarly literature on effectiveness. To wit:

> Organizational effectiveness is the degree to which an organization achieves its goals on the hot and cold side of the organization. Effectiveness evaluates the extent to which multiple goals at the cold side, as well as the hot side, are attained.

Figure 13 synthesizes the views on military effectiveness to Daft's approaches in measuring effectiveness.
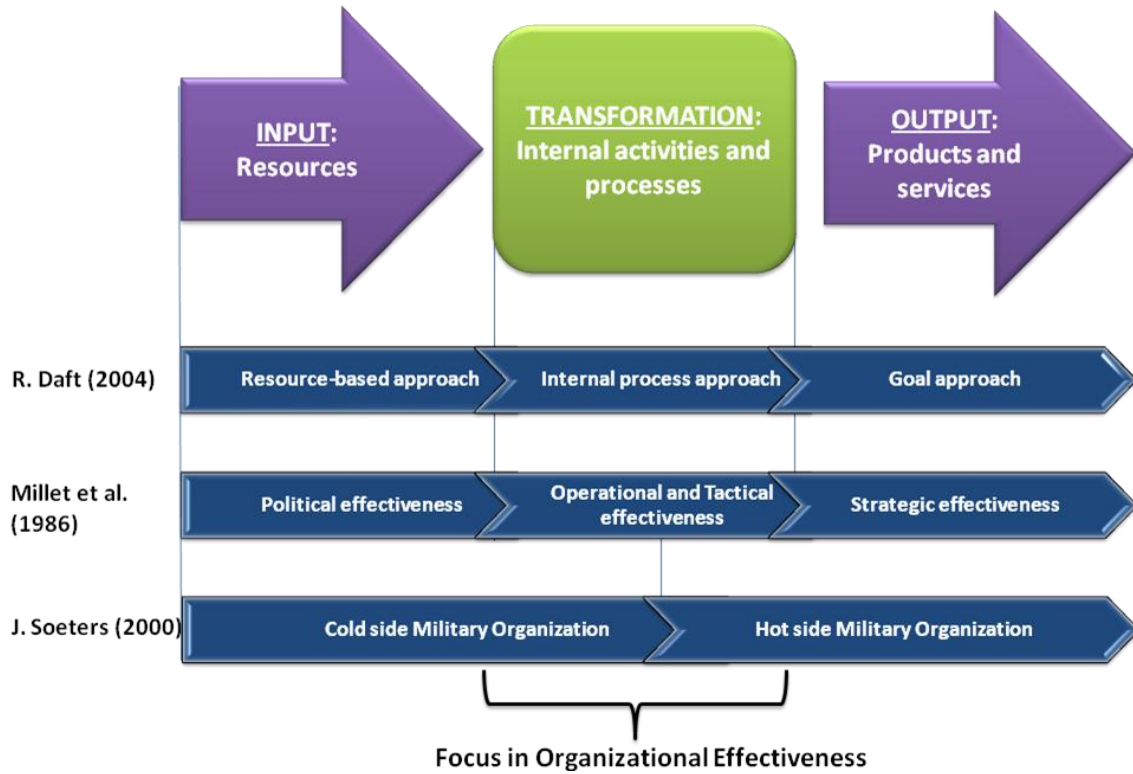
Figure 13.   Focus in Measurement of Military Effectiveness

To answer the main research question, this thesis investigates NL MARSOF's strategic utility and unit culture, under the assumption that clear strategic utility and strong and cohesive culture improve the degree to which an organization achieves its goals on its hot *and* cold side (i.e., improves organizational effectiveness).

III. STRATEGIC UTILITY EXPLORED

A. STRATEGIC UTILITY DEFINED

Before clearly stating the strategic utility of NL MARSOF, a short historical review of the discussion on SOF strategic utility is needed. This section reviews the historical works of Eliot Cohen, Edward Luttwak, Colin Gray, Thomas Adams, and Susan Marquis, as well as the recent works of David Tucker and Christopher Lamb, Hy Rothstein, James Kiras, Robert Spulak, and Joseph Celeski. This review presents and analyzes different approaches and definitions of strategic utility, and develops a conceptual framework to define the strategic utility of NL MARSOF. This framework separates the more theoretical approaches in defining SOF strategic utility from the more pragmatic approaches.

1. Review Strategic Utility SOF

In 1983, security analyst Edward Luttwak gave his theoretical perspective on the strategic utility of SOF and proposed that SOF are best suited for relational-maneuver warfare. He countered the armed forces' assumption that low-intensity conflicts[77] can be placed in a one-dimensional scale from low- to high-intensity conflicts, where low is just "lesser" form of the high-intensity conflicts such as full-scale conventional war.[78]

He argued that the assumption implied by this one-dimensional scale— that forces that perform well in high-intensity conflicts will automatically perform

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[77] According to the U.S. Army's 1990 doctrinal manual, low-intensity conflict is a political-military confrontation between contending states or groups below the level of conventional war and above the routine, peaceful competition among states. Low-intensity conflict frequently involves protracted struggles of competing principles and ideologies. It ranges from subversion to the use of armed force. It is waged by a combination of means, employing political, economic, informational, and military instruments. Low-intensity conflicts are often localized, generally in the Third World, but contain regional and global security implications. Source: United States Department of the Army, *Field Manual 100–20 Military Operations in Low-Intensity Conflicts* (1990).

[78] Edward N. Luttwak, "Notes on Low-Intensity Warfare," *Parameters* [U.S. Army War College] XX, no. 4 (December 1983).

well in low intensity conflicts—is false. Instead, he proposed a scale from attrition-based warfare to relational-maneuver-based warfare.

In attrition warfare, victory is obtained by superior material resources (i.e., firepower and number of forces). In relational-maneuver warfare, victory is obtained by identifying specific weaknesses of the enemy and reconfiguring one's own capabilities to exploit those weaknesses. "The closer [armed forces] are to the theoretical extreme of pure attrition, the more armed forces tend to be focused on their own internal administration and operations, being correspondingly less responsive to the external environment comprising the enemy, the terrain, and the specific phenomena of any particular conflict."[79] For these types of forces, optimization of standard operating procedures for general application, easily interchangeable personnel, and an emphasis on strong logistics are important. "By contrast, the closer [armed forces] are to the relational-maneuver end of the spectrum, the more armed forces will tend to be outer-regarding."[80] Flexible adaptation to each operating environment, highly specialized personnel, and low demand for logistic support are important to these forces.

To the degree that the intensity of a conflict declines because the targets are less visible, less defined and more dispersed—as is the case in, for instance, counterinsurgencies—the usefulness of attrition also declines. Therefore, trying to fight a low-intensity conflict with forces focused on attrition is ineffective. Instead, forces with an outward-regarding focus are needed to distinguish between the enemy and the population and identify the enemy's weakness. Special operations forces naturally fall into that relational-maneuver category. "SOF use human judgment and persistent surveillance at the scene to discover

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[79] Edward N. Luttwak, "Notes on Low-Intensity Warfare," *Parameters* [U.S. Army War College] XIII, no. 4 (December 1983), 336.

[80] Ibid., 337.

what is hidden in plain sight; that is to discriminate between real targets and fake ones that deceive nonhuman sensors."[81] Conventional forces naturally fall into the attrition category.

In 1993, Lucien Vandenbroucke, a Foreign Service Officer in the U.S. Department of State, distinguished strategic special operations from regular special operations as having a larger impact on U.S. foreign policy and, therefore, requiring approval at the highest level of the U.S. government.[82] These missions are also high-risk because of the difficulty of the objective and the limited means. The strategic utility of these strategic special operations, therefore, lies in the degree to which they affect foreign policy. In his book *Perilous Options, Special Operations as an Instrument of U.S. Foreign Policy,* Vandenbroucke describes several recurring problems that have hindered the success of strategic special operations: faulty intelligence, poor joint and interagency cooperation and coordination, inadequate information provided to decision makers, wishful thinking on the part of decision makers, and micromanagement of mission execution from afar.

In 1998, security consultant Thomas Adams argued that one must conceptually separate the tasks and missions more suited to conventional forces from the tasks and missions more suited to unconventional forces such as SOF. Specific SOF strategic utility lies in the latter set of tasks and missions because conventional forces do not have the skill set for these missions, but SOF does.[83]

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[81] David Tucker and Christopher J. Lamb, *United States Special Operations Forces* (New York: Columbia University Press, 2007), 51.

[82] Lucien S. Vandenbroucke, *Perilous Options: Special Operations as an Instrument of U.S. Foreign Policy* (New York: Oxford University Press, 1993).

[83] Thomas K. Adams, *U.S. Special Operations Forces in Action—The Challenge of Unconventional Warfare* (New York: Frank Cass Publishers, 2001).

The core activities assigned to SOCOM[84] can be divided into two types of missions. The first are missions that include truly special activities that are not part of conventional war fighting. The second are missions that are essentially conventional warfare activities, but are special because they have to be done with a high level of proficiency and special equipment under difficult circumstances.

In the first type, the mission itself is special, such as Foreign Internal Defense (FID) and Security Force Assistance (SFA). In the second type, the unit conducting the mission is special, like Direct Action (DA) and Special Reconnaissance (SR).[85] Adams calls the former missions *unconventional warfare missions* and proposes to re-order and assign these missions to an Unconventional Operations Force (UOF).[86] In his opinion, Army SOF—specifically Army SF, PsyOps, and Civil Affairs units—are best suited to form this UOF. By differentiating tasks, SOF can even better prepare and train in these difficult special tasks and missions. According to Adams, SOF are not just better at doing the same things as conventional forces, but have capabilities distinct from conventional forces and need to exploit these capabilities to generate the best strategic value.

In 2006, Hy Rothstein, a retired Army Special Forces colonel and lecturer at the Naval Postgraduate School, also stressed the importance of a force—

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[84] The nine SOF core activities for USSOCOM are: (1) Direct Action, (2) Special Reconnaissance, (3) Foreign Internal Defense, (4) Unconventional Warfare, (5) Counterterrorism, (6) Counter-proliferation of Weapons of Mass Destruction, (7) Civil Affairs Operations, (8) Psychological Operations/Military Information–support Operations, and (9) Information Operations. Source: Department of Defense, JP *3–05 Doctrine for Joint Special Operations* (2003). The current USSOCOM commander recently added two more activities to these core tasks: (10) security-force assistance by sustaining and assisting host-nation or regional security forces in support of a legitimate authority through the unified action of the joint, interagency, intergovernmental and multinational communities, and (11) other activities specified by the president or secretary of defense. Source: Olson, E. T. "U.S. Special Operations: Context and Capabilities in Irregular Warfare." *Joint Forces Quarterly (JFQ)* n58, no. 1st quarter 2010 (January, 2010): 64–70.

[85] FID, SA, DA, and SR are defined in U.S. Department of Defense, *JP 3–05 Doctrine for Joint Special Operations* (2003). See Appendix F: U.S. SOF Doctrine.

[86] Thomas K. Adams, *U.S. Special Operations Forces in Action—The Challenge of Unconventional Warfare* (New York: Frank Cass Publishers, 2001), 305.

USSOF—capable of conducting unconventional warfare to meet current and future threats. The progress of the war in Afghanistan showed a U.S. Army that struggled with accepting and conducting unconventional warfare. The initial unconventional warfare proposal to confront the Taliban in Afghanistan was developed by the CIA, not the Army. According to President Bush, the Army put forth "unimaginative plans." Furthermore, when the big Army took over from the USSF teams in Afghanistan: "[the Army] snatched defeat from the jaws of victory. As the war became increasingly unconventional, the command & control arrangements became more conventional. The command arrangement evolved into a large and complex structure that could not adequately respond to the new unconventional setting. The bureaucratized military reproduced their own image."[87]

In 2006, Professor James Kiras of the U.S. School of Advanced Air and Space Studies examined the connection between special operations and strategy by, on the one hand, countering grossly exaggerated claims of special operations strategic effects in war and conflict and, on the other hand, countering reductionists who were critical of any claim of strategic utility of special operations. Kiras made the counterintuitive argument that SOF strategic utility lays in its ability to inflict strategic attrition.[88] This strategic attrition not only contains the more widely known material dimension of combat power destruction, but specifically the moral dimension. "The cumulative effect of a number of special operations focused against an enemy's moral and material vulnerabilities, in conjunction with conventional operations, is a more rapid and less costly dissolution of an enemy's will to fight than by conventional means alone."[89] Special operations are defined throughout his work as: "Unconventional actions against enemy vulnerabilities in a sustained campaign, undertaken by specially

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[87] Hy S. Rothstein, *Afghanistan and the Troubled Future of Unconventional Warfare* (Annapolis, Md: Naval Institute Press, 2006), 14.

[88] James Kiras, *Special Operations and Strategy: From World War II to the War on Terrorism* (Cass Series–Strategy and History, 17. London; New York: Routledge, 2006).

[89] Ibid., 3.

designated units, to enable conventional operations and/or resolve economically politico-military problems at the operational or strategic level that are difficult or impossible to accomplish with conventional forces alone."[90] Kiras' theory of SOF strategic utility draws from the classic work of Clausewitz. Kiras methodologically supports his argument of strategic attrition with a less known historical SOF case study of the British SAS campaign of attrition in Normandy, 1944. In this case study, he identifies the difficulty for special operations in conducting a sustained campaign, in conjunction with conventional forces, to extend and expand upon the moral and material effects they both generate cumulatively at the strategic level. In the modern fight against terrorism, special operations get their strategic utility not only from depriving these terrorists of their leaders and logistical support, but specifically from neutralizing the ideology that fuels recruitment and sustains their will to fight.

In their 2007 book *United States Special Operations Forces*, Professor David Tucker of the Naval Postgraduate School) and Christopher Lamb, director of the Center for Strategic Research Institute for National Strategic Studies of the National Defense University, described strategic utility in "roles and missions." SOF's military *roles* are defined by the broad and enduring purposes (implementing national policy) for which Congress established SOCOM; the *missions* are the more specific tasks assigned to combatant commanders.[91]

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[90] James Kiras, *Special Operations and Strategy: From World War II to the War on Terrorism* (Cass Series–Strategy and History, 17. London; New York: Routledge, 2006), 5.

[91] David Tucker and Christopher J. Lamb, *United States Special Operations Forces* (New York: Columbia University Press, 2007).

"SOF have the strategic role to attack adversaries and targets not vulnerable to conventional forces, and that unconventional warfare[92] is a mission that supports role."[93]

The strategic value of SOF is measured by the way it can best support national strategy for dealing with current and future security challenges. Without a clearly defined strategic utility, SOF is more likely to be ill-prepared and used ineffectively. SOF will also have more problems getting needed political support and material resources to conduct missions effectively. A well-defined strategic utility thus keeps the organization focused on what is most important. This strategic utility depends on three factors: (1) the unique force capabilities, (2) the national security challenges, and (3) the military requirements derived from national strategy. These three factors show much overlap with Eliot Cohen's reasons for creating elite units—military utility and political usefulness—and Colin Gray's main areas of SOF strategic utility—economy of force and expansion of choice. Both Cohen and Gray are discussed in following sections.

However, contrary to Eliot Cohen, Tucker and Lamb say the most distinguishing characteristic of SOF is that they are not just elite, but also special. SOF do not just perform military tasks with greater proficiency; instead, they conduct missions that conventional forces cannot perform at acceptable levels of risk and costs. SOF are, therefore, distinguished, not by their proficiency, but by their operating environment's unique characteristics and the specific capabilities required for successful operations.

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92 Unconventional warfare is described as operations that involve a broad spectrum of military and paramilitary operations, normally of long duration, predominantly conducted through, with, or by indigenous or surrogate forces who are organized, trained, equipped, supported, and directed in varying degrees by an external source. UW is unique in that it is a SO that can either be conducted as part of a geographic combatant commander's overall theater campaign, or as an independent, subordinate campaign. When conducted independently, the primary focus of UW is on political-military objectives and psychological objectives. UW includes military and paramilitary aspects of resistance movements. Source: U.S. Department of Defense, *JP 3–05 Doctrine for Joint Special Operations* (2003), II-7.

93 David Tucker and Christopher J. Lamb, *United States Special Operations Forces* (New York: Columbia University Press, 2007), 143.

Five requirements distinguish SOF: (1) SOF must possess political sophistication; (2) SOF must have an uncommon will to succeed; (3) SOF must use unorthodox approaches; (4) SOF require unconventional equipment and training; and (5) SOF have special intelligence requirements.[94] To be able to conduct the whole spectrum of special operations,[95] SOF have two unique sets of characteristics. *Commando skills* refers to their superior small unit penetration and precision strike skills, and *warrior-diplomat skills* refers to their political, cultural, and linguistic skills.

Tucker and Lamb split SOF missions into *direct* and *indirect* approaches to underscore the difference between commando and warrior-diplomat skills. The direct approach in special operations puts SOF against the enemy and, therefore, provides more control over outcomes. In his book, *Spec Ops*: *Case Studies in Special Operations Warfare: Theory & Practice* Admiral William McRaven has elaborated principles for successful conduct of these direct missions.[96] The indirect approach in special operations enables indigenous forces and populations to target the enemy and, therefore, reduces resource and political commitment. In his work, Thomas Adams called these indirect missions unconventional warfare missions.

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[94] David Tucker and Christopher J. Lamb, *United States Special Operations Forces* (New York: Columbia University Press, 2007), 148.

[95] Special operations are operations conducted in hostile, denied, or politically sensitive environments to achieve military, diplomatic, informational, and/or economic objectives employing military capabilities for which there is no broad conventional force requirement. These operations often require covert, clandestine, or low-visibility capabilities. SO are applicable across the range of military operations. They can be conducted independently or in conjunction with operations of conventional forces or other government agencies and may include operations by, with or through indigenous or surrogate forces. SO differ from conventional operations in degree of physical and political risk, operational techniques, mode of employment, independence from friendly support, and dependence on detailed operational intelligence and indigenous assets. Source: U.S. Department of Defense, *JP 3–05 Doctrine for Joint Special Operations* (2003), I-1.

[96] The six principles of direct special operations (simplicity, security, repetition, surprise, speed, and purpose), when applied appropriately to the planning, preparation, and execution phases of operations, will allow SOF to achieve relative superiority, necessary for successful completion of a special operations mission. William H. McRaven, *Spec Ops: Case Studies in Special Operations Warfare: Theory & Practice* (Novato, CA: Presidio, 1995).

Tucker and Lamb make the argument that the primary strategic value of the *commando* and *warrior-diplomat* skills of SOF is in their ability to counter unconventional threats. Given that SOF's unique warrior-diplomat skills differ most from conventional force skills, SOF indirect missions can make a comparatively larger strategic contribution than SOF direct missions. "Direct action missions in support of larger conventional force operations only hasten victory or retard defeat, which is pretty much the historical norm in the modern era for special operations."[97] Therefore, in these times of combating modern terrorism and counterinsurgency warfare, SOF should make better use of its strategic value as warrior-diplomats. In comparison to Edward Luttwak's theoretical spectrum of warfare, Tucker and Lamb argue that SOF naturally have the most strategic value at the relational-maneuver based end, because their commando skills and warrior-diplomat skills are particularly well suited to distinguish between the enemy and the population and identify the enemy's weakness.

In a 2008 article in the journal *Special Warfare,* Joseph Celeski, a retired Special Forces colonel and senior SOF Fellow with the Joint Special Operations University, makes a similar distinction between the direct and indirect approach. Celeski, however, argues that SOF demonstrate strategic utility primarily as a countervailing force that directly counteracts or neutralizes security threats and secondarily as an instrument of foreign policy that enables others to indirectly neutralize threats.[98] Contrary to Tucker and Lamb, Celeski thus emphasizes the SOF strategic utility of the direct approach mission over the indirect approach mission. Within this realm of direct and indirect missions, SOF strategic utility is then accomplished by: (1) improving the performance of conventional forces, (2) leading covert and clandestine operations (i.e., unconventional warfare), or (3) preventing war or conflict. This distinction between supporting missions (in which

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[97] David Tucker and Christopher J. Lamb, *United States Special Operations Forces* (New York: Columbia University Press, 2007), 159.

[98] Joseph D. Celeski, "Strategic Employment of SOF in a UW Environment," *Special Warfare* 21, no. 4 (Jul/Aug, 2008): 19–25.

SOF facilitate the achievement of conventional-force objectives) and independent missions (in which SOF take the lead as the primary force) has previously been made by Tucker and Lamb. The lack of a clear, unified and sound understanding of SOF strategic utility can hamper its correct employment.[99]

As early as 1978, future counselor to the Secretary of State Eliot Cohen studied the strategic utility of SOF and identified three reasons to create and maintain elite light infantry units (i.e., SOF).[100]

The first reason is military utility, in which the usefulness of elite units is considered from a military rational perspective. The military needs elite units, because their specialized skill set allows operations to be conducted in hazardous situations. The distinctiveness of these specialized hazardous missions defines the "organizational essence" of elite units. Elite units also inject fresh thinking into the mainstream of military thought by their "out of the box" nature and can develop leaders with special skills for the rest of the army. From the military utility perspective, the specialist function seems the most compelling military reason for elite units.

The second reason is what Cohen called the "romantic" image that elite units bring to the conduct of war. Their reputation as highly trained, professional, and fearless forces has appealed to certain highly ranked political leaders, like Churchill and Kennedy.

The third reason, Cohen argued, is the increased political usefulness of military actions other than war. This last argument for the usefulness of SOF has especially grown during the last decades. The fading distinction between war and peace, of which the Global War on Terrorism is the latest example, necessitates the particular skills of low visibility elite forces. Effective politico-military signaling can be better done by elite units than by regular forces, because of their

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[99] Joseph D. Celeski, "Strategic Employment of SOF in a UW Environment," *Special Warfare* 21, no. 4 (Jul/Aug, 2008): 19–25.

[100] Eliot A. Cohen, *Commandos and Politicians – Elite Military Units in Modern Democracies* (Cambridge, Mass: Center for International Affairs, Harvard University, 1978).

reputation and their better chances of success in performing sensitive signaling operations. For political purposes, elite units can also raise public morale with their reputation of heroism and bravery.

In his 1996 book *Explorations in Strategy,* the strategist Colin Gray describes the strategic utility of special operations forces in wars and conflicts.[101] To demonstrate the strategic use of SOF, its assigned mission and purpose must have strategic utility and clarity in assessing how SOF directly contributes to the outcome of a wars and conflicts. Gray categorized the general strategic utility of SOF in nine areas of military and/or political benefit: (1) economy of force, (2) expansion of choice, (3) Innovation, (4) morale, (5) showcasing of competence, (6) reassurance, (7) humiliation of the enemy, (8) control of escalation, and (9) shaping of the future.[102] Of those categories, economy of force (i.e., the achievement of significant results with limited forces) and expansion of choice (i.e., expanding the choices available for political and military leaders) are considered the most important areas of SOF strategic utility.[103] Even though some of these categories seem somewhat nebulous, the gist—that SOF creates the ability to facilitate others to military success or is an effective deterrent against hostilities—is valid.[104] Based on historical factors, Gray later also defines eleven independent conditions for success that can increase the prospect for achieving strategic affect. These conditions for success can be stated as recommendations for policy.[105]

In several studies published in 2007 by the Strategic Studies Department of the Joint Special Operations University (JSOU), Robert Spulak also

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[101] Colin S. Gray, *Explorations in Strategy*, Contributions in Military Studies, no. 164. (Westport, Conn: Greenwood Press, 1996).

[102] Ibid,169.

[103] Colin S. Gray, "Handfuls of Heroes on Desperate Ventures: When do Special Operations Succeed?" *Parameters* 29, no. 1 (Spring, 1999): 2–24.

[104] Colin S. Gray, *Explorations in Strategy*, Contributions in Military Studies, no. 164. (Westport, Conn: Greenwood Press, 1996), 168.

[105] Colin S. Gray, "Handfuls of Heroes on Desperate Ventures: When do Special Operations Succeed?" *Parameters* 29, no. 1 (Spring, 1999): 2–24.

categorizes the strategic utility of SOF into nine areas: (1) SOF provide unique capabilities to address strategic objectives; (2) SOF can create initiative by their offensive posture; (3) SOF can provide somebody else's mass by enabling partner nations' forces; (4) SOF can prevent the commitment of large numbers of conventional forces in conflicts; (5) SOF can create the right conditions for the maneuver of conventional forces; (6) SOF can perform liaison functions because of their cultural and language skills; (7) SOF can provide strategic security for the overall force; (8) SOF can create deception in military campaigns; and (9) SOF can sometimes just be the simplest way to achieve the strategic goal.[106] The utility categorization of Spulak shows much overlap with the two most important categories identified by Gray, namely, that SOF provide economy of force to the military and expansion of choice to politicians.

2.   Framework for Strategic Utility

SOF strategic utility can be illustrated in a theoretical framework that separates the more conceptual approaches in defining strategic utility from the more pragmatic approaches. This framework is not perfect, as several overlaps exist between the conceptual and more pragmatic approaches. However, this simple framework serves as a theoretical foundation from which three dimensions are formulated that capture Dutch SOF strategic utility. These dimensions can be used to distinguish NL MARSOF unique strategic utility from other Dutch SOF.

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[106] Robert G. Spulak, Jr., "A Theory of Special Operations: The Origin, Qualities and Use of SOF," *JSOU Report 07–07, Joint Special Operations University* (2007): 23–28.

Theoretical framework: Strategic Utility

Pragmatic Approach

Elliot Cohen: *Commnado's and Politicians* (1978)
Reasons to create elite units:
- Military utility (the specialist function)
- Romantic image of conducting war
- Political usefulness of military actions other than war

Colin Gray: *Explorations in Strategy* (1996)
Nine areas of political and military benefit of SOF
- Economy of Force (military utility)
- Expansion of Choice (political utility)

Robert Spulak: *A theory of Special Operations* (2007)
Nine categories of SOF strategic utility
- Resemblance to Colin Gray: Economy of Force and Expansion of Choice

Conceptual Approach

Edward Luttwak: *Notes on Low-Intensity Warfare* (1983)
Attrition Warfare   versus   Relation-maneuver Warfare
(Conventional Forces)   (Unconventional Forces)

Lucien Vandenbroucke: *Perilous Options* (1993)
Strategic Special Operations: utility lays in the degree to which these operations affect US foreign policy and, therefore, requiring approval at the highest level of the US government.

Thomas Adams: *US SOF in Action* (1998)
Conventional Missions   versus Unconventional Missions
The Force is special   The Mission is special
(Conventional Forces)   (Unconventional Forces)

Hy Rothstein: *Afghanistan: the troubled future of UW* (2006)
Conventional Warfare versus Unconventional Warfare
Thesis: The conduct of conventional warfare instead of Unconventional Warfare in Afghanistan

James Kiras: *Special operations and Strategy* (2006)
Strategic utility defined by strategic attrition
- Special operations *enable* conventional operations

Tucker & Lamb: *US Special Operations Forces* (2007)
Direct Approach   versus Indirect Approach
Commando Skills   Warrior-Diplomat Skills
(Conventional Forces)   (Unconventional Forces)

J. Celeski: *Strategic employment of SOF in UW* (2008)
Direct Approach   versus Indirect Approach
Primary: Countervailing force (Direct approach)
Secondary: Instrument of Foreign Policy (Indirect approach)

I. Special Operations Geographic Environment

II. Special Operations Political Domain

III. Special Operations Spectrum

3 Dimensions to define NL MARSOF Strategic Utility

Figure 14.   Theoretical Framework for Strategic Utility

The first dimension of the special operations geographic environment is derived from the more traditional approach to division of labor between land and maritime units. General SOF operating environment differs from conventional forces by their "conceptual and sometimes physical distance from [them] and/or

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their closer proximity to indigenous forces and populations."[107] Within this operating environment, SOF can distinguish themselves by the nature of their physical environment. This pragmatic approach categorizes SOF on the specific skill sets needed to operate in particular physical environments. The Netherlands does not have an SOF Air component. Dutch Army and Naval SOF forces use the air to insert, but will operate at sea, on land, or somewhere in between. Therefore, the second dimension will cover SOF missions from sea to land. Figure 15 illustrates the special operations geographic environment.

Dimension I. Geographic Environment

MARITIME — Sea– Littoral- Riverine | Inland — LAND
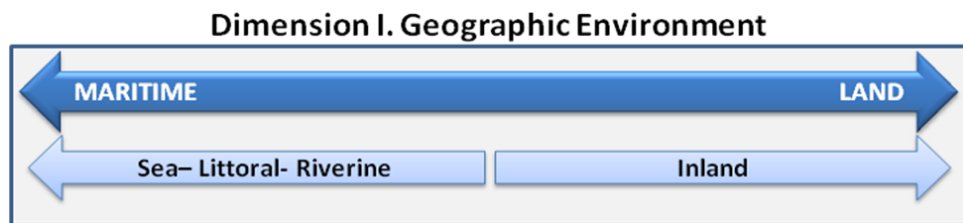
Figure 15.   Dimension I. Special Operations Geographic Environment

The second dimension, special operations in the political domain, is derived from the pragmatic approaches to strategic utility, separated in political and military utility. This domain can be divided into domestic counterterrorism missions and full-spectrum SOF activities abroad. Within the U.S., this division in political domain is represented by the organizational separation of the Department of Homeland Security and the Department of Defense. In the former, the SOF focus is predominantly domestic with the emphasis on counterterrorism to prevent and disrupt terrorist attacks.[108] For the latter, the SOF focus is predominantly on protection of the nation-state in accordance with the national

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107 David Tucker and Christopher J. Lamb, *United States Special Operations Forces* (New York: Columbia University Press, 2007), 148.

108 United States Homeland Security Counsel, *National Strategy for Homeland Security 2007* (United States Department of Homeland Security, October 2007).

military strategy with the emphasis on special operations abroad.[109] In the Netherlands, the employment of SOF abroad lies within the political domain of the Ministry of Defense. The employment of SOF for policing tasks such as domestic counterterrorism is grounded in the legislation Dutch Police Law articles 59 and 60. Figure 16 illustrates the political domain of special operations. The Dutch Special Intervention Service (DSI) of the national police has command authority in domestic counterterrorism missions and can employ Dutch SOF for these missions. This difference in political domain is also referred to as the difference in military and policing missions. In missions abroad, strategic utilization is found in the direct contribution to the outcome of a conflict. In domestic missions, strategic utilization is the degree to which the country is protected against terrorist threats.
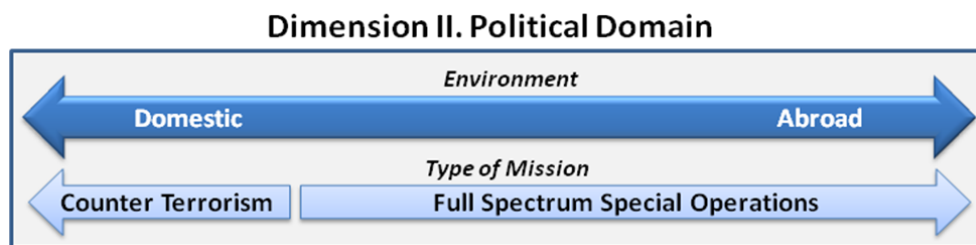
Figure 16.   Dimension II. Special Operations Political Domain

The final dimension of the special operations spectrum is derived from the more conceptual approaches to strategic utility. Almost three decades ago, Edward Luttwak defined the particular type of warfare in which SOF could operate best. However, Luttwak did not distinguish between different types of missions within this relation-based warfare, in which identifying and exploiting the specific weaknesses of the enemy is crucial, but extremely difficult. Within this difficult operating environment, Thomas Adams divided SOF missions into unconventional warfare missions and more conventional warfare missions;

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[109] "The CJCS vision is a joint force that provides military capability to defend our nation and allies, and to advance broader peace, security, and prosperity. Our military power is most effective when employed in support and in concert with other elements of power as part of whole-of-nation approaches to foreign policy." Source: United States Joint Chiefs of Staff, *The National Military Strategy of the United States of America: 2011 Redefining America's Military Leadership*: United States Department of Defense, 2011.

Tucker and Lamb subsequently placed these special operations in a spectrum from direct missions to indirect missions. SOF core missions according to U.S. doctrine (JP 3–05 Doctrine Joint Special Operations) and NATO doctrine (AJP-3.5 Allied Joint Doctrine for Special Operations) are positioned along this spectrum.[110] Figure 17 illustrates this spectrum of special operations.
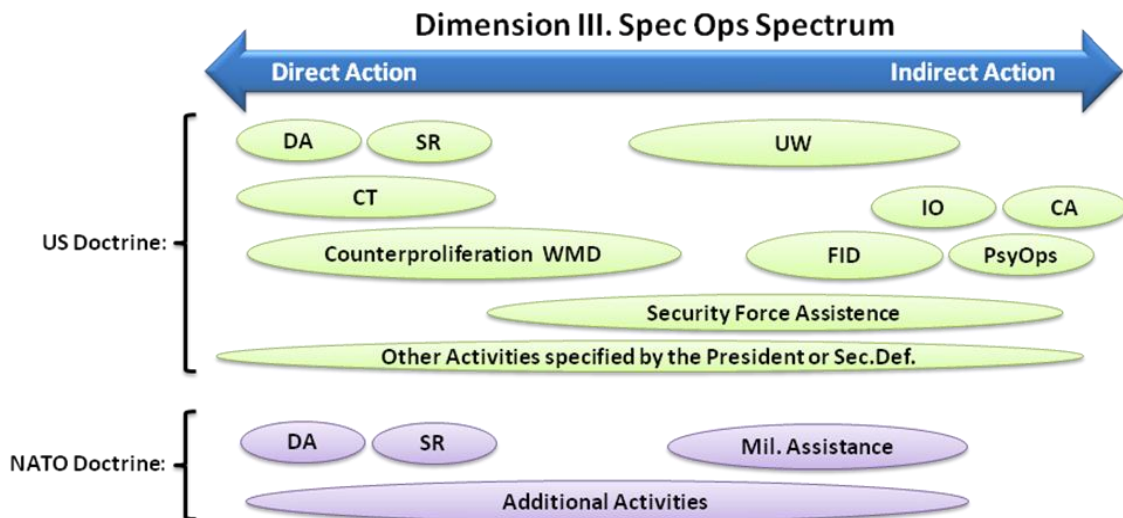
Figure 17.   Dimension III. Special Operations Spectrum

The 3-D Cube

The three dimensions (geographic, political and spectrum) described above can be placed on the three axes of a cube. This cube than represents the whole range in strategic utility of SOF. All possible identified SOF missions can be placed within the 3-dimensional context of the cube. Each of these SOF missions has specific strategic utility from a pragmatic or conceptual perspective described in the previous paragraphs.

It is possible to position every single SOF unit within this 3-D cube. By identifying the SOF unit's focus on each axis, their specific strategic range can be visualized. The visualization of strategic utility in these three dimensions is not

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110 See Appendix F for the definitions of the SOF core missions according to U.S. doctrine and see Appendix E for the definitions of the SOF core missions according to NATO doctrine.

perfect. When, for instance, looking at the historical employment of some SOF units, you can see that they have performed missions along the whole of all three dimensions. Nevertheless, one can always identify a particular focus in specific missions every SOF unit has conducted. Therefore, as a visual tool the 3-D cube is useful for comparison and contrast analysis.
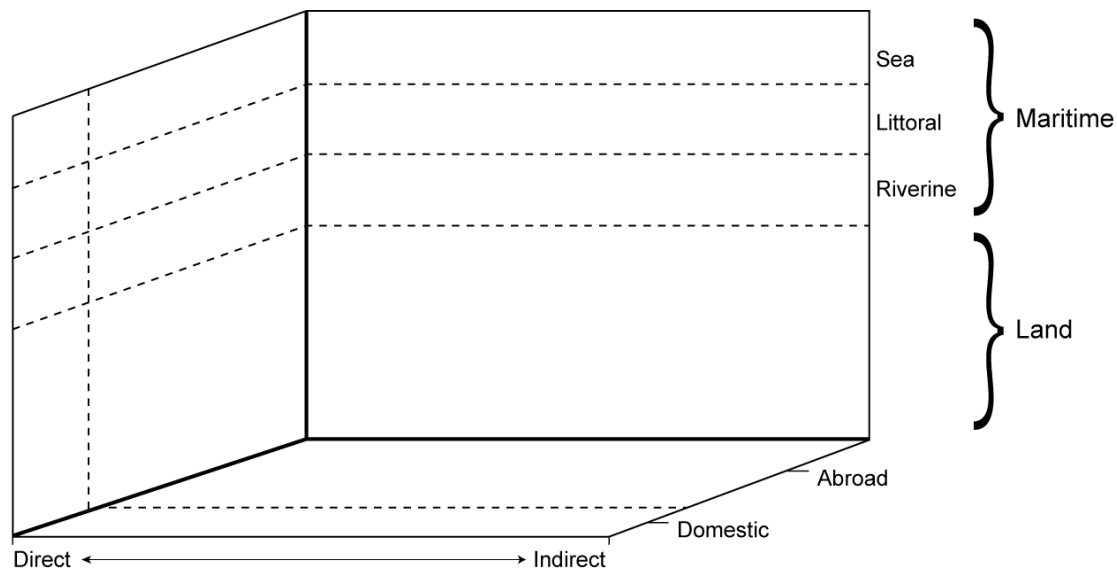
Figure 18.   Strategic Utility SOF

In the following sections, this thesis uses the 3-D cube for a comparison-contrast analysis by looking at desired/required strategic range versus actual strategic range. The required strategic utility can be derived from the analysis of governing documents and from a survey. The governing document analysis reveals the (inter)national demand in NL SOF, and the survey research exposes what the unit actually thinks its strategic value and utility should be. This strategic requirement in NL SOF is discussed in chapter III B. *NL MARSOF and Governing Documents, Doctrine, and Policy* and the desired strategic utility of NL MARSOF is analyzed in chapter V. *Empirical Research*.   The actual strategic range can be derived from the historic employment of NL SOF and is discussed in Chapter III C. *Historical Employment of NL SOF*.

B.   NL MARSOF AND GOVERNING DOCUMENTS, DOCTRINE, AND POLICY

The purpose of a governing document analysis is to identify the required strategic utility of NL MARSOF. The analysis uses the 3-D cube as a framework to look at how each document describes SOF strategic utility. The dimensions of the 3-D cube identify each document's priorities and focus within the whole range of SOF strategic utility.

As mentioned, the governing documents have three levels of analysis: from international level, to national level, and finally to Royal Netherlands Navy level. The analysis uses the 3-D cube framework to investigate documents, doctrine and policy in detail on each level and provides answers to the following questions in order to determine the required strategic utility of NL MARSOF:

- Is there a connection between the theoretical analysis of strategic utility (3-D cube) and NL MARSOF's required strategic utility?

- Is there a connection in NL MARSOF's required strategic utility among the different levels of governing document analysis?

- Is there a connection between future scenarios in political stability and NL MARSOF's required strategic utility?

- Does the required strategic utility for NL MARSOF give priorities in missions and allow for division of labor?

Positive answers to these questions would reveal a high degree of coherence in international, national, and unit policy concerning SOF utilization. The answers will also identify strategic utility by illustrating whether roles and missions are grounded in formal policy or not. Finally, the answers will help determine options for potential division of labor between Dutch SOF units. Figure 19 depicts the levels of analysis of the governing documents, in which the 3-D cube is used as a framework on each level.
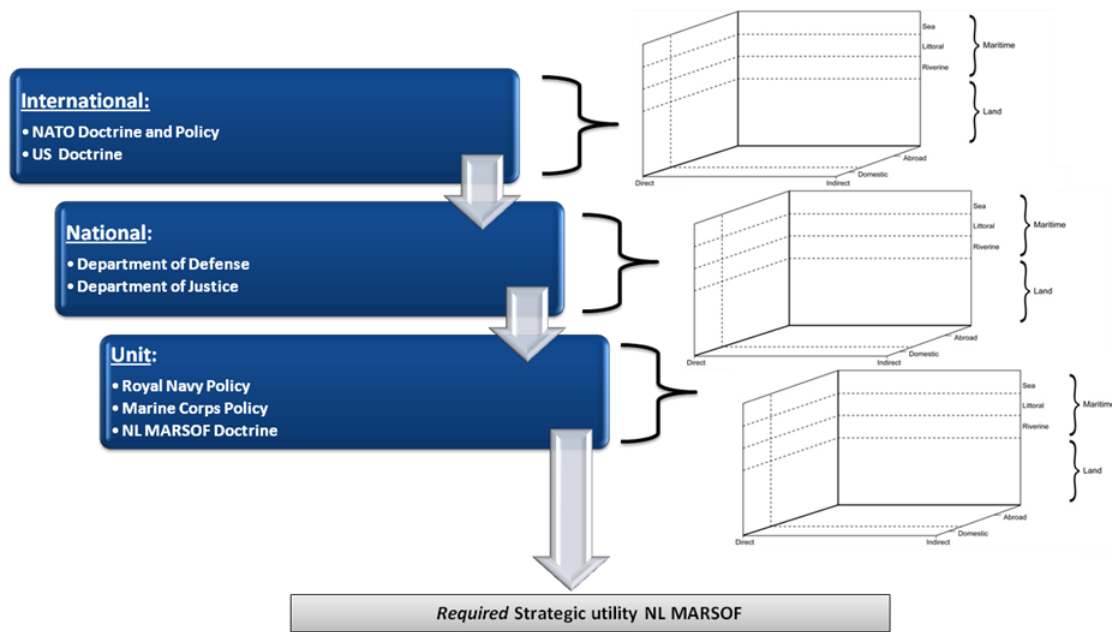
Figure 19.   Governing Document Analysis, Using the 3-D Cube as a Framework

1.   International Governing Documents, Doctrine, and Policy.

At the international level, the documents produced and published by NATO SOF Headquarters (NSHQ) lead in determining strategic utility. NATO SOF doctrine and policy are described in *AJP 3–5—Allied Joint Doctrine for Special Operations Forces* and *MC-437/1 en 2—Military Committee Special Operations Policy*. In addition, the *NATO SOF Study* from 2008 offers the most current NATO perspectives on SOF strategic utility. All three documents use the same cornerstone definition to characterize special operations for NATO members, including the Netherlands:

> Special Operations are military activities conducted by specially designated, organized, selected, trained, and equipped forces using unconventional techniques and modes of employment. These activities may be conducted across the full range of military operations independently or in conjunction with other joint forces to help achieve NATO's objectives.

Politico-military considerations may require discreet or covert techniques and the acceptance of a degree of political, military, or physical risk not associated with conventional operations.[111]

The NATO definition highlights the strategic nature of special operations by emphasizing that such operations are undertaken to achieve military, psychological, and informational objectives that represent the foundational instruments of national power.[112]

NATO AJP 3–5—Allied Joint Doctrine for Special Operations Forces

The 2009 *NATO AJP 3–5* refers to SOF's strategic utility in terms of high-value objectives. "Special operations should be directed at the accomplishment of high value, critical objectives that may entail high risk but also high pay-off value."[113] The high risk of these operations is justified by the potential high pay-off.

AJP 3–5 also gives specific special operations mission criteria for evaluating SOF employment. A special mission has to be appropriate, feasible, sustainable, and justifiable.[114] These criteria, however, are generic and do not give specific direction for SOF in gaining strategic utility.

Of further help in determining strategic utility of NATO SOF are the three defined principal tasks (Special Reconnaissance and Surveillance, Direct Action,

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[111] North Atlantic Treaty Organization [NATO] Special Operations Coordination Center (NSCC) *Allied Joint Doctrine for Special Operations (AJP-3.5)* (Mons: Belgium: NSCC, January 2009), North Atlantic Treaty Organization. *Military Committee Decision 437/2, Special Operations Policy*, (Belgium: NATO, 2006), and North Atlantic Treaty Organization [NATO] Special Operations Coordination Center (NSCC). *NATO Special Operations Forces Study* (Mons, Belgium: NSCC, December 2008).

[112] North Atlantic Treaty Organization [NATO] Special Operations Coordination Center (NSCC). *NATO Special Operations Forces Study* (Mons, Belgium: NSCC, December 2008), 8.

[113] North Atlantic Treaty Organization [NATO] Special Operations Coordination Center (NSCC) *Allied Joint Doctrine for Special Operations (AJP-3.5)* (Mons: Belgium: NSCC, January 2009), section 1–4.

[114] Ibid., section 1–5.

and Military Assistance) and additional activities.[115] These principal tasks can all be placed in the 3-D cube along Dimension III. Special Operations Spectrum.

Within the principal tasks, AJP 3–5 briefly discusses the distinction in special land operations, special air operations, and special maritime operation.[116] This traditional distinction is in accordance with Dimension I. Special Operations Geographic Environment.

Finally, AJP 3–5 mentions Hostage Release Operations (HRO) of one's own nationals as a "predominantly national responsibility." It is unlikely that nations would give operational control of such operations to NATO.[117] Here, it must be emphasized that this NATO policy in HRO does not fit Dimension II. Special Operations Political Domain. Even though NATO sees HRO as a national responsibility, the AJP 3–5 was intended for special operations abroad, which still falls within the political domain of the Ministry of Defense. Domestic (policing) operations by definition are not part of NATO operations.

NATO MC-437/1 and 2—Military Committee Special Operations Forces Policy

MC-437 defines SOF as a "strategic asset to be employed by a commander to help achieve specified operational-level objectives." Therefore, special operations can, but do not need to, have specific strategic goals. This also fits James Kiras' interpretation of strategic utility as the "cumulative effect of numerous special operations that have strategic attrition."

According to MC437/1 "SOF differ from other Joint forces principally through their unique capabilities, agility, and flexibility and are not a substitute for

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[115] Appendix E gives a detailed explanation of these tasks and activities. Source: North Atlantic Treaty Organization [NATO] Special Operations Coordination Center (NSCC) *Allied Joint Doctrine for Special Operations (AJP-3.5)* (Mons: Belgium: NSCC, January 2009), section 2–1 – 2–5.

[116] North Atlantic Treaty Organization [NATO] Special Operations Coordination Center (NSCC) *Allied Joint Doctrine for Special Operations (AJP-3.5)* (Mons: Belgium: NSCC, January 2009), section 2–6 – 2–8.

[117] Ibid., section 2–4.

conventional forces."[118] Their strategic utility thus lay in the fact that they are different from conventional forces in capabilities: they can react and move quickly, and they can continuously adapt to developing situations. The point that SOF has to be different (not just better) than conventional forces is also emphasized in the work of, for instance, Thomas Adams.

The latest versions of MC-437/1 and MC-437/2 also add several notes to the definitions of the three principle SOF tasks: special reconnaissance (SR), direct action (DA), and military assistance (MA). These additions address some of the recent discussion in tasking and strategic utility of NATO SOF. For instance, MC-437/1 and MC-437/2 state, "SOF conduct MA within their field of expertise and therefore MA is not exclusively a SOF task."[119] So, the domain of training, advising, and mentoring indigenous friendly assets is not exclusive to SOF anymore.[120] NATO concluded this after the recent experiences of conventional forces conducting similar tasks in Iraq and Afghanistan.

Finally, MC-437 states that "Direct Action (DA) differs from conventional offensive actions in the level of risk, techniques employed and the degree of precision utilized to achieve a specific effect" and "SOF employ unique capabilities for Special Reconnaissance (SR), like HUMINT activities, or the employment of ISR assets."[121] DA and SR missions, therefore, are not exclusive to SOF, and SOF's strategic utility lies in its unique abilities to mitigate the level of risk involved, to employ the special techniques and skills required, and the ability to discriminate in target acquisition.

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[118] North Atlantic Treaty Organization. *Military Committee Decision 437/1, Special Operations Policy* (Belgium: NATO, 2006), 1.

[119] North Atlantic Treaty Organization. *Military Committee Decision 437/2, Special Operations Policy* (Belgium: NATO, 2006), 3.

[120] This non-exclusiveness in tasks is also stated in a broader sense in the NATO SOF Study. "CT and COIN are not the exclusive domain of NATO SOF, but SOF can effectively complement the overarching application of diplomatic, economic, informational, and military operations applied in a COIN role." Source: North Atlantic Treaty Organization [NATO] Special Operations Coordination Center (NSCC). *NATO Special Operations Forces Study* (Mons, Belgium: NSCC, December 2008), 13.

[121] North Atlantic Treaty Organization. *Military Committee Decision 437/1, Special Operations Policy* (Belgium: NATO, 2006), 4.

Within the 3-D cube, MC-437/1 and MC-437/2 predominantly focus on describing the different kinds of special operations within the Special Operations Spectrum (Dimension III). The NATO document, for obvious reasons, does not address the realm of domestic counterterrorism (Dimension II) nor does it make distinctions in geographic environment (Dimension I) as does the Allied Joint Doctrine for Special Operations (AJP-3.5).

NATO Special Operations Forces Study (2008)

The 2008 NATO SOF Study's purpose was to examine broad trends in SOF structure, organization, capabilities, interoperability, and resourcing. The study specifically analyzed the roles and tasks of national SOF organizations. To that end, NATO SOF HQ interviewed personnel from twelve different NATO nations, including the Netherlands, to see which of three different types of national SOF organizational models would determine the optimal special operations organization.[122]

As strategic assets, SOF are understandably viewed primarily through the lens of national interest. However, the increasingly prevalent security perspective indicates that multinational collective security arrangements are a prerequisite for confronting the disparate and complex security challenges of the 21st century. NATO SOF derives its strategic utility from this anticipated security environment, abstracted from *NATO's Comprehensive Political Guidance.* This environment is characterized as "increasingly complex and unpredictable where more diverse, less visible and less predictable irregular threats create a state of low level

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[122] The three models from which NATO members can choose depending upon their national requirements and their stage of SOF development are: a National Military Staff Element; a Component Command; or a Military Service. The study concluded that the "critical ingredient to optimize SOF is a dedicated national special operations organization to provide coherent, long term stewardship, authority, and direction over all aspects of special operations." Source: North Atlantic Treaty Organization [NATO] Special Operations Coordination Center (NSCC). *NATO Special Operations Forces Study* (Mons, Belgium: NSCC, December 2008), 22.

persistent conflict for the foreseeable future."[123] Specific capabilities required to operate in this security environment are:[124]

- Strategic Anticipation: The capability for rapid and effective response to unforeseen circumstances. This requires high-readiness forces with the capability to analyze the environment and task-organize accordingly in order to deploy rapidly to provide tailored responses to many different situations.

- Deter, disrupt, defend and protect against terrorism: This capability is needed to protect the Alliance's populations, territory, critical infrastructure and forces, and to support consequence management.

- Support to Counter-Irregular threat activities: These activities are predominately related to CT and COIN operations.[125]

- Secure, interdict, destroy, or assist with rendering safe weapons of mass destruction: The additional pressing concern for NATO regarding future enemy capabilities in WMD has elevated the importance of this capability.

- Conduct operations in demanding geographical and climatic environments.

- Identify hostile elements, including in urban areas, in order to conduct operations in a way that minimizes unintended damage.

- The ability and flexibility to conduct operations in circumstances where the various efforts of several authorities, institutions and nations need to be coordinated in a comprehensive manner to achieve the desired results.

From this analysis of the security environment in which SOF should be able to operate, the study does not explicitly define NATO SOF strategic utility. The Study merely gives a series of statements that complement NATO's formal definition of special operations:

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[123] North Atlantic Treaty Organization [NATO] Special Operations Coordination Center (NSCC). *NATO Special Operations Forces Study* (Mons, Belgium: NSCC, December 2008), 11.

[124] North Atlantic Treaty Organization [NATO] "NATO Comprehensive Political Guidance." North Atlantic Treaty Organization [NATO].

[125] Counter-insurgency operations are those military, paramilitary, political, economic, psychological, and civic actions taken to defeat an insurgency. Counter-terrorism encompasses all offensive measures taken to neutralize terrorism before and after hostile acts are carried out. Source: North Atlantic Treaty Organization [NATO] Special Operations Coordination Center (NSCC) *Allied Joint Doctrine for Special Operations (AJP-3.5)* (Mons: Belgium: NSCC, January 2009), LEX-3.

- "SOF in essence provide a strategic offensive and defensive asymmetric capability."[126] SOF provides an alternative to overwhelming military force in the form of precision attacks against the enemy's critical vulnerabilities. Therefore, SOF gives political and military leaders "expansion of choice" and "economy of force."[127]

- "Military activities deemed special are outside the realm of conventional operations or beyond the standard capabilities of conventional forces."[128]

- "The full employment of SOF is brought to bear through the comple-mentary employment of direct and indirect approaches across the full range of potential military operations."[129]

- "The current and anticipated future security environments plagued with uncertainty and ambiguity are precisely those for which SOF are ideally suited." [130]

- Finally, "SOF can also maintain formal and informal relationships to domestic counter-terrorism organizations and can provide varying degrees of support when circumstances require additional capabilities and assistance is required."[131] This point emphasizes the homeland security utility of SOF.

Fitting NATO SOF Headquarters' perspective on SOF strategic utility to the 3-D cube framework of three dimensions reveals a substantial resemblance. The NATO SOF Study supports the applicability and relevance of all three dimensions. The relevance of "Dimension I: Special Operations Geographic Environment" is demonstrated, because SOF must be able to "conduct operations in demanding geographical and climatic environments." The NATO SOF Study supports the applicability and relevance of "Dimension II: Special Operations Political Domain," because it recognizes SOF's utility in the support of domestic counter-terrorism organizations for homeland security. Finally, the SOF

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[126] North Atlantic Treaty Organization [NATO] Special Operations Coordination Center (NSCC). *NATO Special Operations Forces Study* (Mons, Belgium: NSCC, December 2008), 10.

[127] Colin S. Gray, *Explorations in Strategy.* Contributions in Military Studies, no. 164. (Westport, Conn: Greenwood Press, 1996).

[128] North Atlantic Treaty Organization [NATO] Special Operations Coordination Center (NSCC). *NATO Special Operations Forces Study* (Mons, Belgium: NSCC, December 2008), 5.

[129] Ibid., 7.

[130] Ibid., 10.

[131] Ibid., 13.

study demonstrates the relevance of "Dimension III: Special Operations Spectrum," because NATO SOF has to be able to function "through the complementary employment of direct and indirect approaches across the full range of potential military operations."

In summary, the various relevant NATO studies and doctrine all support the applicability and relevance of the 3-D cube as a visual tool for showing the whole range of SOF strategic utility. However, as expected, the NATO guidelines are generic and all encompassing. They do not give strategic focus to specific NATO countries or specific NATO SOF units. This task is left to the discretion of the different NATO country members. Therefore, to discover further guidance on strategic utility for the two SOF elements in the Netherlands, this thesis must undertake the second level of analysis: the national governing documents, doctrine, and policy.

2.   National Governing Documents, Doctrine, and Policy

At the national level, the documents addressing SOF strategic utility are predominately produced by the Netherlands Ministry of Defense. However, the rules and regulations concerning the domestic counterterrorism task of MARSOF are described in legislation and documents from the Department of Justice.

National Defense policy and cooperation is laid out in the Minister of Defense's written policy in *Netherlands Defense Forces, to Serve Worldwide* from 2007, and this policy is in turn based on the publication *Netherlands National Security Strategy 2007*. The *Final Report on Explorations, Guidance for the Defense Forces of the Future* from 2010 describes future scenarios in global stability and the several policy options to address these scenarios. The Dutch Chief of Defense has formulated his military strategy accordingly in the *Dutch National Military Strategy 2010*.

As a final important point, the Dutch government recently decided to implement the most severe budget cutbacks in the history of the Dutch Military

Forces. This decision also has implications in national policy choices for the Dutch armed forces that this analysis will address.

Dutch National Security Strategy (2007) and Netherlands Defense Forces, to Serve Worldwide (2007)

The Dutch National Security Strategy states five vital interests for the Netherlands.[132] These interests are interconnected, as a breach in one interest can affect other interests as well.

1. Territorial Security: territorial integrity and independence of the Kingdom of the Netherlands

2. Economic Security: an undisturbed, effective and efficient economy

3. Ecologic Security: the capability to recover completely after environmental disasters

4. Physical Security: undisturbed living conditions for all citizens in the Netherlands by preventing and protecting against threats to national health, terrorism, and other, human inflicted disasters

5. Social and Political Stability: an undisturbed social climate where values such as tolerance, collaboration, and democracy prevail

Nine threats are identified that can disturb these vital national interests and cause social disruption in Dutch society. They are divided (and subdivided below) into: classic threats, socio-economic threats, and natural threats. Classic threats are CBRN attacks, terrorism, the degradation of international law and order, and international organized crime. Socio-economic threats are cyber attacks, resource attacks, and radicalization. Natural threats are climate change and natural disasters, and pandemic outbreaks.[133]

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[132] Department of State (NL), *Dutch national security strategy* [Strategie Nationale Veiligheid] (Den Haag, the Netherlands: DoS, 2007), 10.

[133] Ibid., 12.

The Dutch military forces' contribution in protecting the five vital interests from the aforementioned nine threats is grounded in the Dutch Constitution and legislation. The Constitution states that "the Dutch military forces are to protect the territory and interests of the Kingdom of The Netherlands and help maintain and promote international law and order."[134] To uphold this constitutional obligation, Dutch forces have three core tasks, recorded in various legislative acts:

1. The protection of national and allied territory, including the Dutch Antilles and Aruba;

2. Maintaining and promoting international law and order;

3. Supporting civil authorities, national as well as international, in law enforcement, disaster prevention, and humanitarian aid.

The 2007 policy statement from the Dutch Minister of Defense highlights the shift in Defense strategic focus to counter-insurgency capability. Besides the protection of territorial integrity and national interests, Dutch MoD is to remain an active and constructive partner within the international community (NATO, UN, and EU) in order to promote international law and order.[135]

The minister's policy statement addresses the change in the security environment to a more global nature with inherent growing threats, such as weak states, terrorism and weapons of mass destruction. Furthermore, the rise of powerful states like China as a world power is perceived as a potential threat.

To prepare for these threats the Dutch military forces need to be prepared to conduct effective security sector reform (SSR), operate in complex (human) environments, work amongst the local population, and integrate the military force

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[134] The protection of territorial integrity and national interests, and the promotion of international law and order is stated in the Dutch Constitution: "*Een krijgsmacht is ten behoeve van de verdediging en ter bescherming van de belangen van het Koninkrijk, alsmede ten behoeve van de handhaving en bevordering van de internationle rechtsorde.*" Source: Dutch Const. art. 97.

[135] Minister of Defense (NL), *The Netherlands Defense Forces, to serve worldwide.* [Defensie, Wereldwijd Dienstbaar.] (Den Haag, The Netherlands, 18 September 2007).

with the other instruments of power in a multinational operational environment. To that end, the Netherlands adopted the 3-D approach of Diplomacy, Defense, and Development as the way forward for Dutch foreign policy and defense capability.[136]

From a national security perspective, military disaster support capability and counterterrorism forces are required. This use of military force for domestic counterterrorism is grounded in legislation. Articles 59 and 60 of Dutch Police Law states that units that national counterterrorism capability (*bijstands-eenheden*) will be provided by special police forces as well as special defense forces.

Final Report on Strategic Explorations, Guidance for the Defense Forces of the Future (2010)

This study was the most extensive strategic exploration ever for the Netherlands defense forces. The Minister of Defense's policy statement *Netherlands Defense Forces, to Serve Worldwide* from 2007 led directly to this study. The study's purpose was to explore long-term global developments and construct policy options to best accommodate different future scenarios in political stability towards 2030. Depending on the likelihood of each scenario, policy makers can objectively assess choices in the future roles and missions of the Netherlands defense forces. Thorough analysis of the findings in this final report, therefore, is most relevant in determining the required Dutch (maritime) SOF strategic utility.

The study presents a quadrant of four different strategic scenarios that represent the hypothetical developments in future political stability around the

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[136] Interestingly, U.S. SOCOM also emphasizes the development of "3-D operators" to counter current and future threats.

world. These four scenarios give detailed insight in how—and with what consequences—the world could develop in the next two decennia. The scenarios are based on two core uncertainties:[137]

1. Is there a tendency toward global cooperation and integration, or self-reliance and fragmentation?

2. Is our security predominantly determined by state or non-state actors?
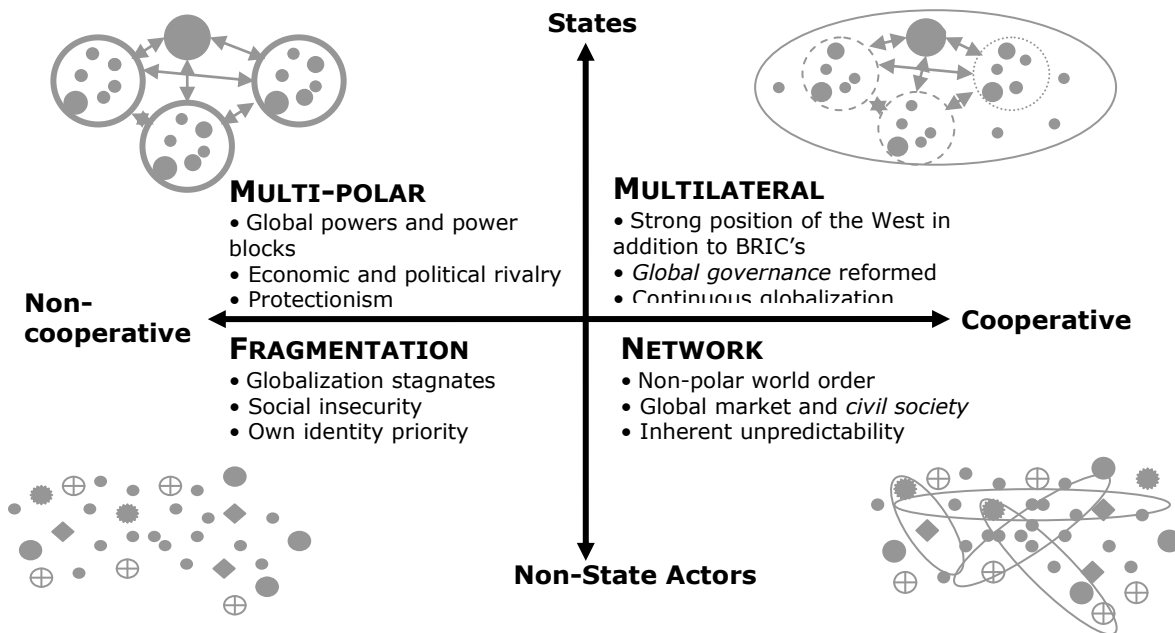
Figure 20.   Four Hypothetical Scenarios in Future Political Stability around the World. (After[138])

In the *multi-polar* scenario, state actors determine security and the states have formed multiple power blocks. In the *multilateral* scenario, state actors also

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[137] Ministry of Defense (NL), *Final report: explorations, guidance for the Defense Forces of the future* [Eindrapport: Verkenningen. Houvast voor de krijgsmacht van de toekomst] (Den Haag, The Netherlands: MoD, 2010).

[138] Ministry of Defense (NL), *Final report: explorations, guidance for the Defense Forces of the future* [Eindrapport: Verkenningen. Houvast voor de krijgsmacht van de toekomst] (Den Haag, The Netherlands: MoD, 2010), 128.

determine security, but states have formed well-functioning systems of international cooperation. In the *fragmentation* scenario, non-state actors determine security and the states have formed multiple power blocks. Finally, in the *network* scenario, non-state actors determine security, but states have formed well-functioning systems of international cooperation.

These scenarios all offer different implications for the "best fit" strategic focus of the Dutch defense forces. The study proposes different configurations in conventional forces for each scenario, but it emphasizes a growing need for special operations capability within all four future scenarios.[139] Having said that, the four scenarios do not explicitly mention a specific need and/or priority in one particular SOF principal tasks (e.g., Direct Action, Special Reconnaissance, Military Assistance, or Counter Terrorism).[140]

The study also divides the role of the Dutch military forces into seven strategic functions. These functions provide a coherent approach to looking at national security issues and help determine the role of Dutch military in each function.[141]

1. *Anticipation*: prepare for foreseen and unforeseen developments that affect the Netherlands' national interests and international law and order.

2. *Prevention*: conduct operations in and outside country borders to prevent threats to the Netherlands' national interests and international law and order from rising.

3. *Deterrence*: credibly discourage all activities taken against the Netherlands' national interests and international law and order.

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[139] Ministry of Defense (NL). *Final report: explorations, guidance for the Defense Forces of the future* [Eindrapport: Verkenningen. Houvast voor de krijgsmacht van de toekomst] (Den Haag, The Netherlands: MoD, 2010), Part III. 128–194.

[140] For a detailed description of SOF principle tasks, see Appendix E: SOF core missions (NATO doctrine).

[141] Ministry of Defense (NL). *Final report: explorations, guidance for the Defense Forces of the future* [Eindrapport: Verkenningen. Houvast voor de krijgsmacht van de toekomst] (Den Haag, The Netherlands: MoD, 2010), Part IV. 194–297.

4. *Protection*: protect and defend the national kingdom as well as allied territory and civilian safety.

5. *Intervention*: actively change threatening courses of action of actors against Netherlands' national interests and international law and order.

6. *Stabilization*: assist in termination of conflicts and promote political, economical and social stability according to the Netherlands' Kingdom's national interests and international law and order.

7. *Normalization*: restore acceptable living conditions after (military) conflict or catastrophic disaster.
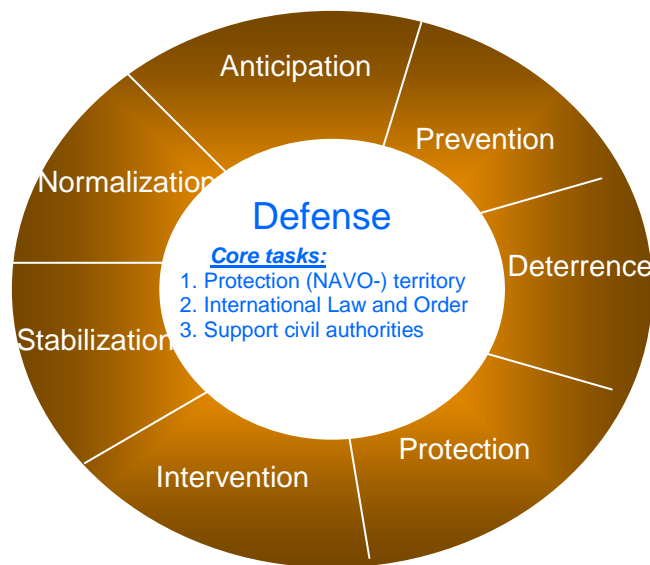
Figure 21.   Seven Strategic Functions of the Dutch Defense Forces. (After[142])

These seven strategic roles are similar to the NATO terminology of conflict development over time and NATO's Crisis Management System. Dutch military forces play a role in each of these strategic functions, which are embedded in the three core tasks of the military. However, based on all the presented future

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[142] Ministry of Defense (NL), *Final report: explorations, guidance for the Defense Forces of the future* [Eindrapport: Verkenningen. Houvast voor de krijgsmacht van de toekomst] (Den Haag, The Netherlands: MoD, 2010), 194.

scenarios, the Dutch military will have to focus more on nontraditional military strategic functions such as deterrence, protection and intervention.

First, the future Dutch military needs to be able to carry out the strategic functions of anticipation and prevention. Practically, that means having a sufficient strategic intelligence position, having enough flexibility and adaptability structurally embedded in the organization, intensifying international military cooperation, and being able to conduct training and operate with other (indigenous) forces.

Secondly, the future Dutch military needs to be better able to carry out the strategic functions of stabilization and normalization. Practically, that means being able to conduct security and stability operations as part of international coalitions in which Security Sector Reform (SSR) has priority. Reconstruction, humanitarian aid, and advising, training, and conducting operations with indigenous security forces are essential capabilities for the military.

Finally, all four future scenarios highlight the continuing threat of terrorist attacks. Therefore, the Dutch military must have counterterrorism capability to employ domestically and abroad in each of the seven strategic functions.

When comparing the NATO SOF principal tasks to the focus of the future strategic functions of Dutch military forces, they project growing importance in Military Assistance and Special Reconnaissance. The military capacities needed for anticipation, prevention and stabilization (i.e. strategic intelligence, flexibility, and advising/training of indigenous forces) can be provided by SOF with special reconnaissance and military assistance. Furthermore, the need for counter terrorist capability will remain important for the general protection of national interests and especially throughout the phases of conflict development: prevention, deterrence, protection, and intervention. The figure below illustrates SOF principle tasks in relation to the strategic functions of the Dutch military force.
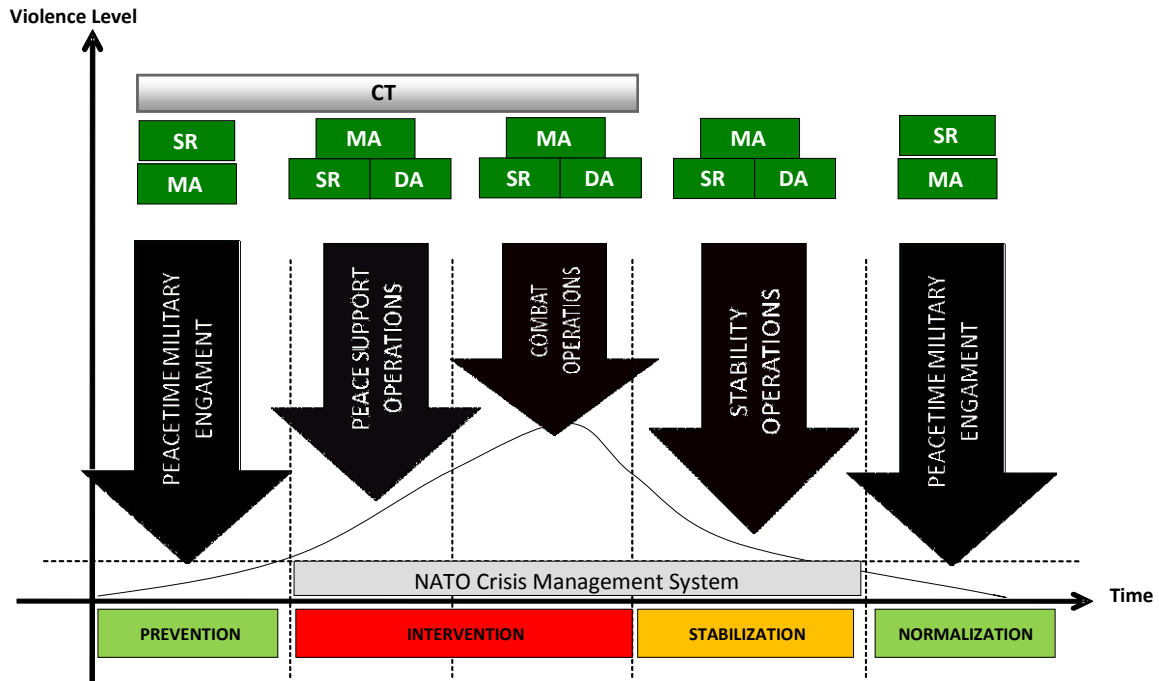
Figure 22.   SOF Principal Tasks in Relation to Dutch Military Strategic
Functions (After[143])

In summary, two main conclusions can be drawn from this extensive report on future guidance for the Dutch Defense Forces. First, the study specifically addresses a growing need for special operations capability within all four future security scenarios. There will be a continuous need for all three principal SOF tasks, including domestic counterterrorism. This conclusion justifies the general and growing need for SOF within Dutch forces. Secondly, the analysis of the future Dutch forces' focus in strategic functions indicates a growing importance of military assistance and special reconnaissance.

Dutch National Military Strategy (2010).

The Dutch National Military Strategy 2010 (DNMS) builds on the findings in the *Report on Strategic Explorations, Guidance for the Defense Forces of the*

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143 Ministry of Defense (NL), *Study: Special Operations Forces moving towards 2020* [Studie "Special Operations Forces op weg naar 2020"] (Den Haag, The Netherlands: Ministry of Defense, 11 October 2010).

Future. The Strategy uses the Report's analysis of the future operating environment (security scenarios and strategic functions) to assemble a coherent guidance for the capability development of Dutch military forces.

The DNMS takes into consideration two main military implications of the environment analysis for its strategy development.[144] The first finding is the growing connection of internal and external security. For instance, the growing instability in other countries can induce international terrorism that threatens national security. This implies the necessity for military capability to address causes and effects of security threats globally that affect the Netherlands nationally. The second finding is the more unpredictable, complex character of military operations with different levels of violence, different actors, and irregular or asymmetric methods.

To execute the three constitutionally-mandated tasks in this future operating environment, the Dutch military needs to be flexible, expeditionary in nature, and capable of protracted operations. Judging from the scenario analysis, the military embraces the growing importance of the strategic functions of prevention and stabilization. This, however, does not mean the abandonment of capabilities for deterrence, protection, and intervention. The direct implication for Dutch SOF, as mentioned in the analysis of the previous report, is the growing importance of military assistance and special reconnaissance.

The DNMS specifically highlights the ability to operate effectively in complex military operations such as counterinsurgency and counterterrorism. Along this line of intent, DNMS indicates a continuous need for distinct forces that can operate in this environment. Furthermore, the DNMS mentions specific capabilities needed for effective military operations like strategic intelligence gathering, advising and training of (indigenous) forces, reconstruction, and joint,

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[144] Ministry of Defense (NL), *Dutch national military strategy 2010* [Militaire Strategische Visie 2010] (Den Haag, The Netherlands: MoD, 2010), Ch. 2, 9–22.

combined and interagency cooperation. Of these capabilities, strategic intelligence gathering and advising/training of (indigenous) forces are principal tasks of SOF.

In summary, the analysis of the DNMS does not show any disconnect with the findings in the *Report on Strategic Explorations, Guidance for the Defense Forces of the Future*. On the contrary, the DNMS fully supports the report's findings and consequently describes the military implications and operational priorities.

Dutch Defense Forces after the Economic Crisis: A Smaller Force in an Unstable World (2011)

Because of the economic crisis beginning in 2008, Dutch defense forces face the largest budget cutbacks in their history. The military has to structurally reduce approximately 15 percent of all its costs. That means a drastic reduction in forces and capabilities. Indicative is the 18 percent cutback in military personnel.[145] Furthermore, several heavy reductions in land, air, and maritime force capability will be implemented immediately. As a result, the Dutch government realizes that Dutch forces cannot fully achieve the strategic goals set out previously in the Report on Strategic Explorations and the DNMS.

However, budget cutbacks will be implemented under the condition that SOF capability remains unaffected. In practice, this means that the cutbacks do not have a big impact on Dutch SOF because of the identified continuous need for all three principal SOF tasks, including domestic counterterrorism. In addition, the growing importance of military assistance and special reconnaissance remains unchanged by the budget cuts.

One implicit minor effect of the budget cuts for Dutch SOF is in intensifying the need for maritime SOF and land SOF units to divide SOF tasks more

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[145] Minister of Defense (NL), *Dutch Defense Forces after the economic crisis: a smaller force in an unstable world* [Defensie na de kredietcrisis: een kleinere krijgsmacht in een onrustige wereld] (Den Haag, The Netherlands, 08 April, 2011), 12.

efficiently between them and conduct missions more effectively.[146] Furthermore, intensified cooperation between police and defense units (UIM) in domestic counterterrorism activities is necessary to promote effectiveness and efficiency. One possible result can be co-location of all national counterterrorist units (including the UIM), which will affect the organizational structure of MARSOF. However, these intensified cooperation initiatives are still in an early exploratory phase.

Special Operations Forces Moving Towards 2020 (2010) and Guidance Service Special Interventions (2008)

The classified Ministry of Defense study *Special Forces 2004* was the first Dutch document to describe joint national SOF policy. The follow-up study *Special Operations Forces Moving towards 2020* sought to implement lessons learned from recent SOF missions and adjust the national SOF policy of 2004 accordingly.[147] Even though both these NL MoD documents concerning SOF are classified, sanitized parts can be used.

The study builds on the other governing documents analyzed in this thesis, especially the Report on Strategic Explorations, and concurs with these findings. Even in these times of budget cuts, the growing need for special operations capability validates Dutch SOF. Previous missions emphasize a need to intensify the cooperation between the maritime SOF unit (MARSOF) and the army SOF unit (Dutch Commandos). This enhanced cooperation must focus on effective joint operations as well as effective division of labor between both units. Furthermore, domestic counterterrorism capability remains a core task for Dutch SOF.

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[146] Minister of Defense (NL), *Dutch Defense Forces after the economic crisis: a smaller force in an unstable world* [Defensie na de kredietcrisis: een kleinere krijgsmacht in een onrustige wereld] (Den Haag, The Netherlands, 08 April, 2011), 24.

[147] Ministry of Defense (NL), *Study: Special Operations Forces moving towards 2020* [Studie "Special Operations Forces op weg naar 2020"] (Den Haag, The Netherlands: Ministry of Defense, 11 October 2010).

The study does not give specific guidance on which SOF tasks belong to which SOF unit. Unfortunately, the sensitivity involved with these choices prevented clear written guidance. Historic unit rivalry between maritime and land units has somewhat blurred the process of making an objective choice.

The study does give guidance on two points of division of labor. First, maritime SOF predominantly must focus on operating in a maritime environment and land SOF predominately must operate in a land-based environment. This obvious guidance can be placed in Dimension I: Special Operations Geographic Environment. Secondly, MARSOF is the Dutch SOF unit specifically tasked with domestic counterterrorist operations. The classified policy document of the NL Department of Justice (DoJ) *Service Special Interventions* supports this SOF tasking concerning domestic counterterrorism.[148]

Finally, in accordance with other national studies and policy, Dutch SOF must anticipate that special reconnaissance and military assistance will grow in importance over the next years. These, as well as other non-kinetic skills such as non-combatant evacuation, must be present in Dutch SOF. However, the study does not give guidance on potential division of labor in these particular tasks for the two Dutch SOF units.

In summary, the various relevant national policy documents and studies all support the usefulness of the 3-D cube as a visual tool for showing the strategic utility of an SOF unit. Dutch SOF will have to be able to operate along the whole spectrum of special operations, with the note that special reconnaissance and military assistance will grow in importance. As for the political domain of special operations, the continuing threat of terrorism necessitates a domestic counterterrorism capability. Finally, the documents do not emphasize a growing or declining focus in a particular geographic operating environment. They only offer the cautionary note that current operations in Afghanistan are not to be taken as the sole reference for future operating environments. Dutch SOF need

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[148] Department of Justice (NL), *Guidance Service Special Interventions* [Richtlijnen Dienst Speciale interventies (DSI)] (Den Haag, The Netherlands: DoJ, 2008).

to be able to conduct operations on land as well as in maritime operating environments. The SOF documents give some suggestions on task differentiation, but do not mandate a division of labor between the Dutch SOF units.

3. Navy/Marine Corps Doctrine, and Policy

At the military service level, the Royal Netherlands Navy historically has produced fewer doctrine and policy documents than has the Royal Netherlands Army. Nevertheless, the Navy recently presented several important documents that describe policy concerning the employment of maritime special operations forces. The *Maritime Strategy: The Royal Netherlands Navy in 2030, for Security on and from the Sea* and the *Royal Netherlands Marine Corps Commandant Vision 2015* both give general guidance and direction for the development and employment of maritime SOF. Furthermore, two other relevant documents also address Dutch maritime SOF. The study *Enhancement of SOF Capabilities of the Royal Netherlands Navy* conducted in 2009 formulates the necessity for NL MARSOF, and the policy proposal *Restructuring Netherlands Maritime Special Operations Forces (NL MARSOF) Core Capacity* discusses the practical implications of forming NL MARSOF.

Maritime Strategy: The Royal Netherlands Navy in 2030, for Security on and from the Sea (2009).

The Dutch Maritime Strategy is primarily based on the strategic environment analysis and guidance of the 2007 policy statement of the Minister of Defense. However, the maritime strategy also fits the later findings of the 2010 Report on Strategic Explorations and, therefore, is still valid.

The Maritime Strategy summarizes the maritime implications of the strategic environment scenarios towards 2030 as "the rise of more small and

large maritime powers that increase the risks in conflict on and from the sea."[149] The strategy more concretely describes four global maritime trends. First, in 2030 more navies will possess advanced capabilities, like nuclear-propelled submarines, carriers, and long-range missile systems. This continuous proliferation in weapon systems and technology gives state and non-state actors the capability to threaten Western maritime interests. Second, climate change can potentially alter maritime lines of communication, trade routes, and littoral boundaries. Third, population growth and the interconnected urbanization of coastal areas will carry increased security threats with them. Finally, pirates, criminals, and terrorists will continue to use the free maneuver space at sea for their particular goals.

The Royal Netherlands Navy identifies six maritime tasks to prepare for these maritime trends towards 2030. These maritime tasks are listed below and include implications for MARSOF.[150]

1. National Maritime Tasks

Maritime SOF must be able to conduct maritime counterterrorism in the Kingdom of the Netherlands, including the Caribbean. Furthermore, the coastguard can call on MARSOF for counter-drug operations (for example, maritime border security and interdiction).

Within national borders, the Unit Intervention Marines (UIM), as part of MARSOF, must be able to counter large-scale terrorist attacks. In these operations, the Service Special Interventions Service (DSI) of the national police will have operational command.

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[149] Royal Netherlands Navy Staff, *Maritime strategy: The Royal Netherlands Navy in 2030, for security on and from the sea* [Maritieme Visie: De Koninklijke marine in 2030, voor veiligheid op en vanuit zee] (Den Helder, the Netherlands: Royal Netherlands Navy, March, 2009), 20.

[150] Royal Netherlands Navy Staff, *Maritime strategy: The Royal Netherlands Navy in 2030, for security on and from the sea* [Maritieme Visie: De Koninklijke marine in 2030, voor veiligheid op en vanuit zee] (Den Helder, The Netherlands: Royal Netherlands Navy, March, 2009), Ch.4, 26–29.

2. Maritime Safety Operations (MSO)

Keeping sea trade routes clear is vital to Dutch economic interests. MARSOF must be able to help secure shipping through sea chokepoints against piracy, other criminals, and international terrorism.

3. Humanitarian and Relief Operations

There is no designated task for MARSOF in these operations, besides the general task to provide the SOF core capabilities (SR, DA, and MA) when needed.

4. Conflict Prevention Operations

MARSOF must be able to conduct strategic reconnaissance and military assistance from the sea into the littoral operating environment to contribute to maritime conflict prevention.

5. Stability Operations

MARSOF must be able to conduct supporting operations and advance force operations in support of amphibious operations. For example, beach reconnaissance from Dutch Navy platforms is part of those advance force operations. Direct action in support of upcoming security operations is another form of supporting operations conducted by MARSOF.

6. National Defense

Within their field of expertise, MARSOF must be able to contribute to the protection and defense of national territory and integrity of the Kingdom of the Netherlands, including the Dutch Antilles.

Finally, MARSOF must be able to conduct special operations with the support of conventional Dutch Marine Corps units. These enabling elements of the Marine Corps will act as a force multiplier, by enhancing the sustainability and fighting power of MARSOF in protracted operations such as counterinsurgency.

Royal Netherlands Marine Corps Commandant Vision 2015 (2009)

The Marine Corps Commandant's Vision starts with a short description of the future operating environment of the Royal Netherlands Marine Corps. This description does not deviate from the strategic scenarios described in the Report on Strategic Explorations. Noteworthy, however, are the stated importance of irregular warfare capability, the urbanization of the littoral, and the growing importance of these areas.

The Commandant identifies six core competency sets for the Marine Corps of which special operations is specified as one skill set.[151] MARSOF, as part of the Marine Corps, must be able to conduct full spectrum (maritime) special operations, and designated units of the Marine Corps must be able function as a force multiplier for MARSOF in these special operations. To explore the best options for this cooperation between MARSOF and conventional Marine Corps enablers, a working group developed the best practices and organizational structure.

Besides guidance to conduct full spectrum (maritime) special operations and cooperation with conventional Marine Corps units, the Commandant's Vision does not give further detailed guidance to MARSOF.

Study: Enhancement of SOF Capabilities of the Royal Netherlands Navy (2009) and *Restructuring Netherlands Maritime SOF Core Capacity (2010)*

The short study on enhancement of SOF capabilities addressed efficiency and effectiveness problems of the maritime SOF capability in the Royal Netherlands Navy. Section 1A discusses these problems in detail, which ultimately led to the creation of NL MARSOF.

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[151] The six competency sets for the Royal Netherlands Marine Corps are: (1) amphibious expertise, (2) expeditionary capability, (3) self-supporting operations with small units, (4) complex military operations, (5) operations in extreme environments, and (6) special operations. Source: Royal Netherlands Navy Staff, *The Royal Netherlands Marine Corps Commandant vision 2015* [De Visie van de Commandant van het Korps Mariniers op de Ontwikkeling van het Korps tot 2015] (Den Helder, The Netherlands: Royal Netherlands Navy, 2008), Ch. 2.

Even though the study was an important first step in forming MARSOF, it lacked one vital part. The study makes no effort to formulate specific "roles and missions" for NL MARSOF.[152] The study leaves this question to follow-up studies in rethinking and reorganizing Dutch maritime SOF.

The policy proposal for NL MARSOF *Restructuring Netherlands Maritime SOF Core Capacity* states that there is no significant change in the original tasking of the former units that now form NL MARSOF. Therefore, NL MARSOF's tasks are the sum of the tasks of the former units. The policy proposal sums up these main tasks as follows. NL MARSOF must be able to conduct full spectrum (maritime) special operations and support expeditionary (amphibious) operations of the Royal Netherlands Navy.[153] Furthermore, NL MARSOF must be able to conduct domestic counterterrorism operations.

When elaborating on these aforementioned tasks, NL MARSOF's task of full spectrum special operations means no less than the ability to conduct special reconnaissance, direct action, military action and additional activities according to NATO doctrine. The support of expeditionary (amphibious) operations is divided into supporting operations, advance force operations and pre-assault operations.[154] In the case of support operations, NL MARSOF is not under

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[152] The military *roles* of SOF are defined by the broad and enduring purposes (implementing national policy) for which Congress established SOCOM and the *missions* are the more specific tasks assigned to combatant commanders. "SOF have the strategic role to attack adversaries and targets not vulnerable to conventional forces, and that unconventional warfare is a mission that supports role." Source: David Tucker and Christopher J. Lamb, *United States Special Operations Forces* (New York: Columbia University Press, 2007), 143.

[153] An amphibious operation is a military operation launched from the sea by an amphibious force embarked in ships and or crafts with the primary purpose of introducing a landing force (LF) ashore to accomplish the assigned mission. Source: Royal Netherlands Navy Staff, *Policy proposal: restructuring Netherlands Maritime Special Operations Forces (NL MARSOF) core capacity* [Beleidsvoornemen: Herschikken kerncapaciteit Netherlands Maritime Special Operations Forces (NL MARSOF)] (Den Helder, The Netherlands: Royal Netherlands Navy), 2011.

[154] Supporting Operations are conducted by forces other than the amphibious force in support of the amphibious operation, ordered by higher authorities on request from amphibious force commanders. These operations may set conditions for the advance force to move into the operational area (strategic and operational targets in the operational area).

operational command of the amphibious task force, but instead is under command of a Combined Joint Special Operations Component Command (CJSOCC). In the other two cases, NL MARSOF is under the command of the Commander Amphibious Task Force (CATF). The specific command structure has impact on the particular type of mission assigned and the available assets, but practically it does not change the requirement of the core capabilities of NL MARSOF, namely SR, DA, and MA. For instance, the particular skill-set needed for direct action does not differ when conducted under CATF or CJSOCC command. Finally, domestic counterterrorism operations are one of NL MARSOF's core tasks because it was (and still is) the primary task of the Unit Intervention Marines.

At the time of this research, the policy proposal is still an advanced draft version. Nevertheless, the summary of tasks that have to be conducted by NL MARSOF gives a general idea of the required strategic utility from the perspective of the Royal Netherlands Navy.

In summary, the analysis of the Maritime Strategy 2030, the Marine Corps Commandant's Vision 2015, and the two policy documents reveals no disconnect in required strategic utility for NL MARSOF. However, the formulation of roles and mission for NL MARSOF remains generic. These roles (defined by the broad

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Advance Force Operations are conducted in the operational area by a task-organized element of the amphibious force, prior to the arrival of the amphibious force in the operational area, to shape the battle space in preparation for the main assault or other operations of an amphibious or Joint force. Advance Force Operations provide battle space awareness and entail such operations as reconnaissance, seizure of supporting positions, preliminary bombardment and air support (Amphibious Force Objectives).

Pre-Assault Operations are conducted by the amphibious force upon its arrival in the operational area and prior to the time of the assault or decisive action, normally delineated by H- and L-hour (final preparations of the landing area).

Source: Royal Netherlands Navy Staff, *Policy proposal: restructuring Netherlands Maritime Special Operations Forces (NL MARSOF) core capacity* [Beleidsvoornemen: Herschikken kerncapaciteit Netherlands Maritime Special Operations Forces (NL MARSOF)] (Den Helder, The Netherlands: Royal Netherlands Navy), 2011.

enduring purpose stated in national policy) and missions (defined in specific tasks assigned to NL MARSOF) have not been formalized in a mission statement.

When looking at the dimensions of the 3-D cube, Royal Navy policy clearly emphasizes the maritime character and distinct capability of NL MARSOF and places NL MARSOF more to that end of Dimension I (i.e., Special Operations Geographic Environment). With its domestic counterterrorism task, NL MARSOF operates within the political domain of the Ministry of Defense as well as the Ministry of Justice, placing it on the full length of Dimension II (i.e., Special Operations Political Domain). As for Dimension III (i.e., Spectrum of Special Operations), Royal Navy policy does not give specific guidance for NL MARSOF. Instead, Navy policy states that NL MARSOF has to be able to conduct full spectrum special operations, in which no prioritization between the different core SOF tasks (SR, DA, and MA) is given.

4.   The Required Strategic Utility for NL MARSOF

This governing document analysis provides answers to each of the questions stated in the beginning of the analysis.

- Is there a connection between the theoretical analysis of strategic utility (3-D cube) and NL MARSOF's required strategic utility?

The analysis, on the one hand, shows that governing documents all categorize SOF geographically and by political domain. On the other hand, the conceptual approach of dividing special operations into direct and indirect missions is not used. The national governing documents do not give specific guidance to Dutch SOF units concerning direct and indirect special operations, and neither do the Royal Netherlands Navy documents.

- Is there a connection in NL MARSOF's required strategic utility between the different levels of governing document analysis?

The analysis shows no disconnect in required strategic utility for NL MARSOF at the international level (NATO), the national level, and the unit level (Royal Netherlands Navy). The required strategic utility for NL MARSOF is grounded in national and international policy documents. However, the formulation of roles and missions for NL MARSOF remains generic. Neither roles nor missions has been formalized in any kind of mission statement.

- Is there a connection between the future scenarios on political stability and NL MARSOF's required strategic utility?

The analysis of the projections in future political stability around the world indicates a focus on the Dutch armed forces' strategic role of conflict anticipation, prevention and stabilization. The *Dutch National Military Strategy 2010* and *Maritime Strategy 2030* also emphasize this growing importance in anticipation, prevention and stabilization. Within these strategic roles, the SOF principal tasks of special reconnaissance (SR) and military assistance (MA) are most useful. Nevertheless, neither the national nor the Navy governing documents focuses NL MARSOF on SR or MA.

- Does the required strategic utility for NL MARSOF give priorities in missions and does it allow for division of labor?

Royal Netherlands Navy policy documents emphasize NL MARSOF's maritime character, its unique maritime capability, and its domestic counterterrorism task. Navy policy also clearly states that NL MARSOF needs to be able to conduct missions within the full spectrum of special operations. This unit guidance is not surprising, considering the fact that the Navy does not want to exclude NL MARSOF up front from any potential SOF mission. However, based on the Report on Strategic Explorations for the next two decades, the Royal

Netherlands Navy and Marine Corps nevertheless left out the option to add additional guidance to NL MARSOF to better anticipate future national needs.

Lastly, the Navy does not prioritize between domestic counterterrorist and other special operations tasks for NL MARSOF. In the event of limited time, personnel, or resources, NL MARSOF leadership must make this prioritization themselves.

Figure 23 summarizes the findings of the governing document analysis. The table gives the guidance for required strategic utility of Dutch SOF in general and NL MARSOF for each dimension of the 3-D cube.

Levels of Analysis	3-D Cube Strategic Utility		
	Dimension I. Geographic Environment	Dimension II. Political Domain	Dimension III. Spectrum
International -NATO AJP 3-5 – Allied Joint Doctrine for SOF -NATO MC-437/1 and 2 – Military Committee SOF Policy -NATO SOF Study (2008)	Makes distinction between maritime and land special operations	Domestic counterterrorist operations are not part of NATO operations	NATO does not give specific strategic focus in SOF tasks for specific counties or specific SOF units.
National -Dutch National Security Strategy (2007) -NL Defense Forces (2007) -Final Report on Strategic Explorations (2010) -Dutch National Military Strategy (2010) -Dutch Defense Forces after the Economic Crisis (2011) -SOF Moving Towards 2020 (2010) (CLASS) -Guidance Service Special Interventions (2008) (CLASS)	No growing or declining focus on a particular geographic operating environment. Dutch SOF need to be able to conduct operations on land (Dutch Commandos) as well as maritime (MARSOF) operating environments.	The continuing threat of terrorism necessitates a domestic counterterrorism capability	Dutch SOF will have to be able to conduct full spectrum special operations, with the note that SR and MA will grow in importance. No mandatory division of labor in SOF tasks among the Dutch SOF units.
Unit -Maritime Strategy 2030 (2009) -Marine Corps Commandant Vision 2015 (2009) -Study: Enhancement of SOF Capabilities of the Royal Netherlands Navy (2009) -Restructuring Netherlands Maritime SOF core capacity (2010)	Royal Navy policy clearly emphasizes the maritime character and distinct capability of NL MARSOF	With its domestic counterterrorism task, NL MARSOF operates within the political domain of the DoD as well as the DoJ.	NL MARSOF has to be able to conduct full spectrum special operations, in which no prioritization between the different NL MARSOF tasks is given.

Figure 23.   Governing Document Analysis in Relation to the 3-D cube Framework

In summary, according to the governing documents analysis, NL MARSOF needs to be able to conduct full-spectrum special operations, predominantly in a maritime environment, and conduct counterterrorist

operations within the borders of the Kingdom of the Netherlands. The next section examines the historical employment of Dutch maritime SOF to determine whether their deployments fit the required strategic utility stated by policy documents.

C. HISTORICAL EMPLOYMENT OF NL SOF

1. NL MARSOF

The employment of Dutch maritime SOF elements has varied. These special operations date back almost thirty years ago. In addition, Dutch maritime SOF personnel were heavily involved in conventional operations of the Royal Netherlands Marine Corps (RNLMC). Dutch maritime SOF personnel were part of regular marine fighting units during different UN peacekeeping, UN peace enforcing and NATO missions. This has been an ongoing policy of the RNLMC to ensure experience and quality within all regular marine units.

The analysis of historical employment of NL maritime SOF looks only at the conducted special operations, not at participation in purely conventional operations. All these conducted special operations are positioned on their respective dimensions of the 3-D cube. This generates a visualization of the operational focus of Dutch maritime SOF over the last three decades.

Dutch maritime SOF deployments and engagements date back thirty years. The first national missions started in the mid-seventies when terrorism started to rear its head in Europe. The first international missions started in the early nineties. The list below gives a chronological summary of all (declassified) conducted special operations by maritime SOF. When looking at the list, keep in mind that, until recently, two maritime forces were separate units: the domestic counterterrorism component (currently M-Squadron or UIM) and the international SOF component (currently the C-Squadron or MSO-Coy).

- <u>September 1974</u>: Japanese Red Army (JRA) terrorists entered the French Embassy in The Hague and took the people inside hostage. This was the first time the Dutch counterterrorist unit (now called UIM)

was alerted for action. After a week of negotiations, the hostage situation ended without the intervention of the unit.

- October 1974: Dutch inmates of the penitentiary facility in Scheveningen took twenty-two people hostage. The UIM intervened and freed the hostages without bloodshed.

- December 1975: Moluccan terrorists almost simultaneously hijacked a train in Wijster and seized the Indonesian Consulate in Amsterdam. On the train, they killed three passengers and took the rest hostage. At the Consulate one hostage was killed. Even though the UIM was ready to intervene, the negotiators finally convinced the terrorists to surrender.

- May 1977: Moluccan terrorists hijacked another train at De Punt, taking almost one hundred people as hostages. After several weeks of negotiations, the UIM intervened, killing most of the hijackers and rescuing all but two hostages, who were unfortunately killed during the firefight.

- May 1977: Moluccan terrorist took more than hundred children hostage in a school in Bovensmilde. After negotiations failed, the UIM intervened without bloodshed, saving the children.

- March 1978: Three Moluccan suicide terrorists seized the County Hall in Assen, killing one person and taking seventy employees hostage. The UIM intervened. They rescued all but one of the hostages, who was fatally injured during the rescue attempt.

- 1992 until 1996: Teams from the UIM continuously deployed boarding teams aboard Dutch Navy Frigates to conduct maritime interdiction operations in the Adriatic Sea.

- March 1997: The UIM conducted a non-combatant evacuation operation in Albania to secure the safe return of national citizens.

- 1997: The MSO-Coy and the UIM conducted operations in Bosnia to capture several persons Indicted for War Crimes (PIFWCs).

- 1998: Again, the UIM deployed boarding teams aboard Dutch Navy Frigates, to conduct maritime interdiction operations in the Persian Gulf.

- February 1999: Kurdish PKK (Partiya Karkerên Kurdistan) terrorists seized the residency of the Greece Embassy in The Hague, threatening to burn the hostages. The UIM was ready to intervene, but after negotiations, the terrorists surrendered.

- In December 1999: The UIM prevented the break out of several violent high-level criminals at the maximum-security penitentiary facility in Vught. This operation went without bloodshed.

- <u>2000 until 2001</u>: The MSO-Coy and UIM deployed members as Joint Commissioned Observers (JCOs) in Bosnia.

- <u>2001</u>: After the 9/11terrorist attacks in the United States, the Netherlands was on high security alert. During these times, the UIM conducted several security operations in and around the city of Amsterdam and Rotterdam.

- <u>2003 until 2004</u>: Field Liaison Teams (FLT's) of the MSO-Coy and the UIM deployed to Iraq as part of Stabilization Force Iraqi Republic (SFIR). These teams conducted HUMINT operations and direct actions.

- <u>2004</u>: The MSO-Coy and the UIM conducted operations in Bosnia to capture Persons Indicted For War Crimes (PIFWCs).

- <u>September 2004</u>: Members of the radical Islamic Hofstad Group wounded regular police SWAT units in a firefight in a house in The Hague. After a standoff, members of the UIM intervened, capturing all the Hofstad group members.

- <u>2005</u>: Small teams of the UIM arrested key members of the radical Islamic Hofstad group, dismantling their terrorist organization in the Netherlands.

- <u>2005–2006</u>: Boarding teams of the MSO-Coy conducted maritime interdiction operations as part of the Naval Flotilla CTF-150, Combined Joint Task Force-Horn of Africa (CJTF-HOA).

- <u>2005–2006</u>: Teams from the MSO-Coy and UIM, together with Dutch Army SOF, formed Task Force Orange in Kandahar, Afghanistan as part of Operation Enduring Freedom (OEF).

- <u>2006</u>: Field Liaison Teams (FLTs) of the MSO-Coy deployed to the northern parts of Afghanistan as part of International Security Assistance Force (ISAF). These teams conducted HUMINT operations and direct actions.

- <u>2006–2007</u>: Teams from the MSO-Coy and UIM, together with Dutch Army SOF, formed SOTU Viper to conduct operations in the province of Uruzghan, Afghanistan as part of ISAF SOF.

- <u>2008–2010</u>: MARSOF teams, together with Dutch Army SOF, formed Task Force-55 to conduct operations in the province of Uruzghan, Afghanistan as part of ISAF SOF.

- <u>2008–present</u>: MARSOF teams are conducting continuous counter-piracy operations in the Horn of Africa as part of NATO Operation Allied Protector, and Atlanta.

A general observation from this list is that the maritime SOF units started to conduct special operations abroad only from the early '90s, and the frequency of deployments increased significantly after the 9/11 attacks in the United States. Before the early nineties, the maritime SOF units were more heavily involved in national counterterrorism activities.

To visualize the strategic range of the conducted operations of maritime SOF, these special operations are positioned along the three dimensions of the cube. The position of the conducted operations along each dimension gives a general idea of the main focus of that mission. Figure 24 displays the positions of the conducted operations along the spectrum of special operations (Dimension III.). It shows that the focus of all the conducted missions primarily leans towards direct action.
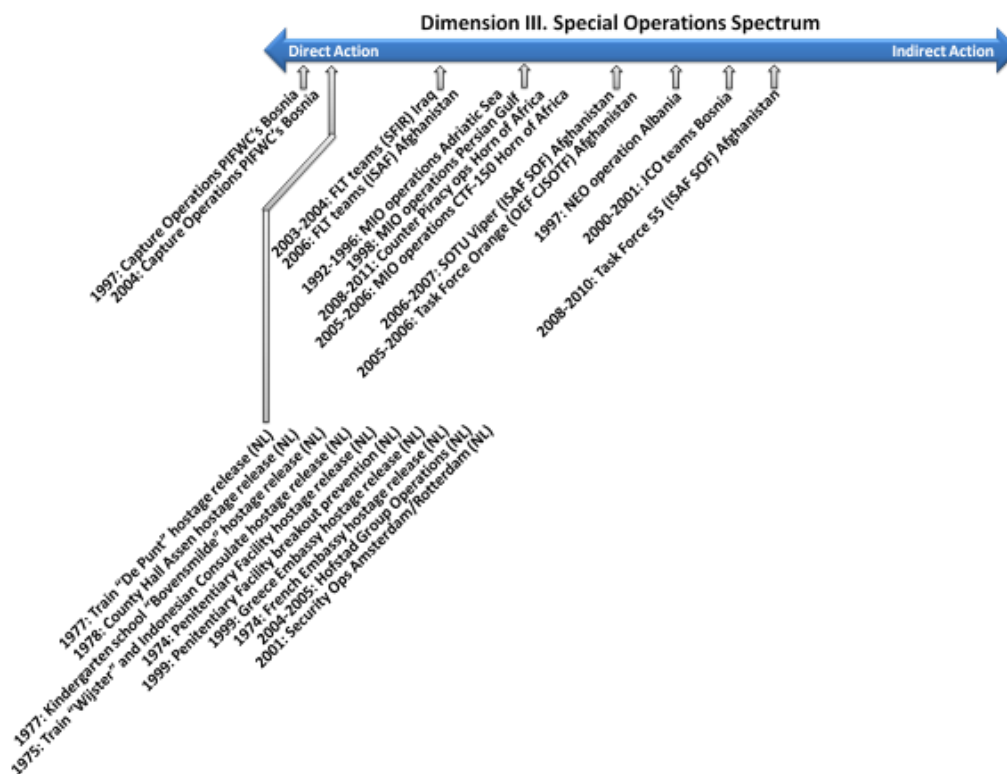
Figure 24.   Conducted Missions Placed along the Spectrum of Special Operations

Figure 25 displays the position of the conducted operations along the dimension of geographic environment (Dimension I). It shows that the maritime units operate just as much—if not more—on land as they do in maritime environments. This, however, is in line with NATO doctrine that emphasizes the need for maritime SOF units to be able to operate on land.
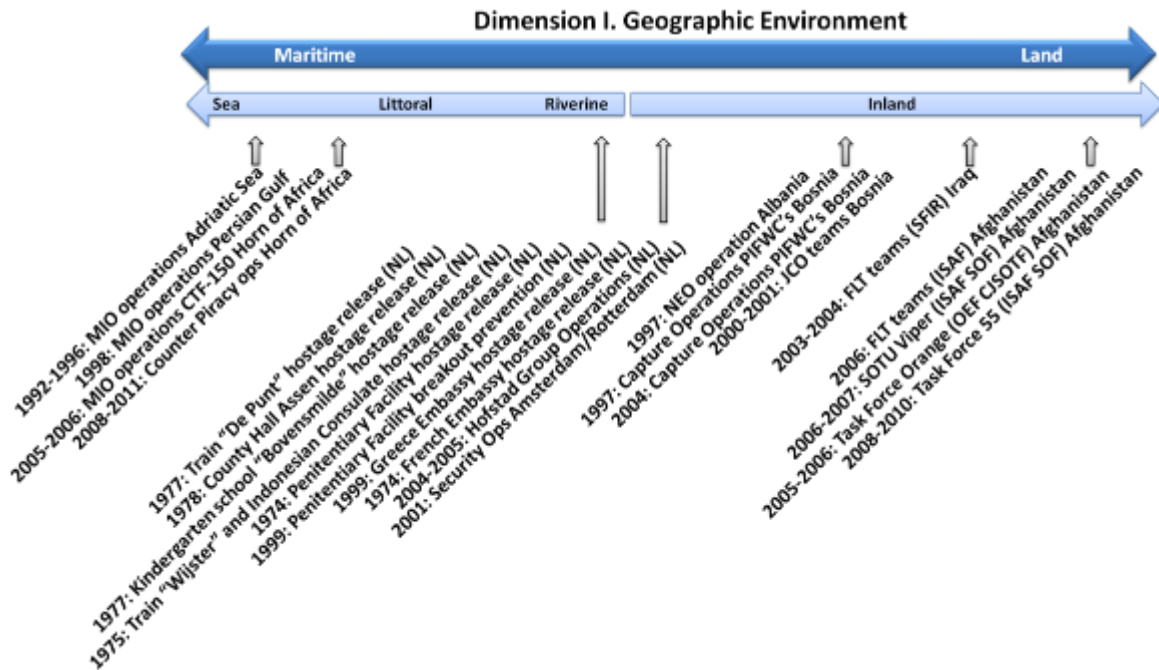
Figure 25.   Conducted Missions Placed along the Dimension of Geographic Environment

Figure 26 displays the position of the conducted operations along the dimension of political domain (Dimension II.). It shows that maritime SOF has conducted various missions domestic and abroad. The frequency of missions abroad has significantly increased after 9/11, but the domestic missions remain sporadic in nature.
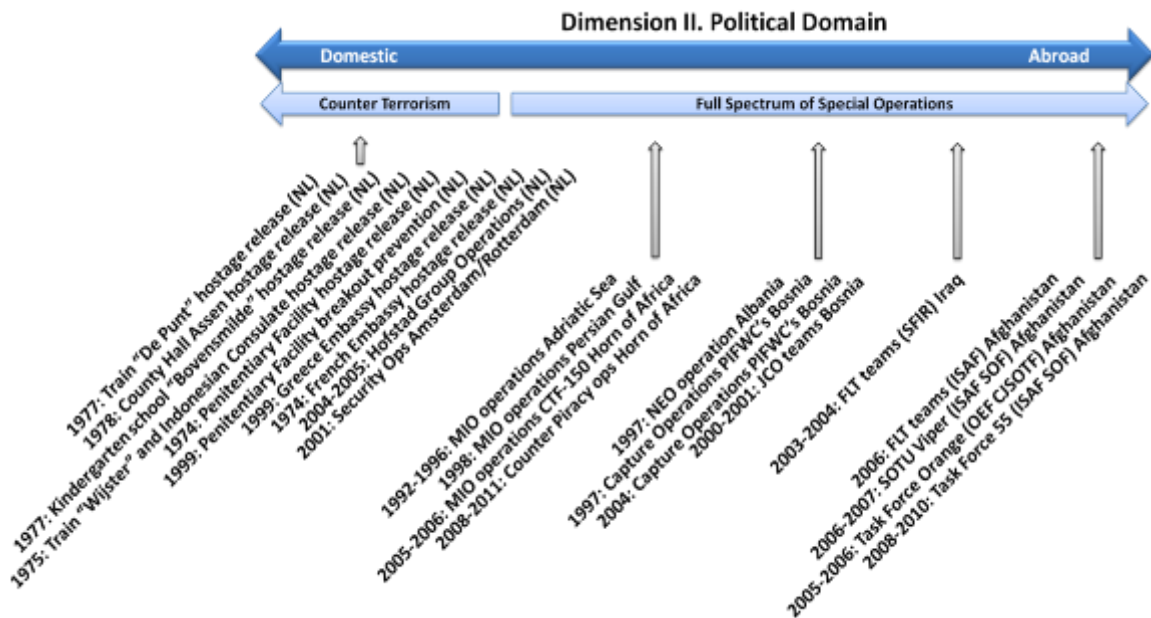
Figure 26.   Conducted Missions Placed along the Dimension of Political Domain

In summary, one can draw three conclusions from the analysis of the historic employment of Dutch maritime SOF units. First, it shows a rapid increase in special operations, especially after the 9/11 attacks. This growing demand in SOF capability will not diminish over the ensuing years, but most likely will grow. Second, it shows that MARSOF's conducted missions range in geography and political domain. This outcome is expected, given the nature of the original tasking of the maritime SOF units (MSO-Coy and UIM). The third and most interesting conclusion is that all special operations took place on the direct action side of the spectrum of special operations.

2. NL MARSOF Comparison to NL Army SOF

The next section places the MARSOF missions on each dimension within the 3-D cube, but this visualization would not be complete without a comparison to the Dutch Army SOF counterpart of MARSOF. Dutch Army SOF, named *Korps Commando Troepen (KCT)*, are about three times the size of MARSOF, and they focus on land-based special operations. The KCT consists of four operational companies, each having a different specialization. For instance, one company specializes High-Altitude-High-Opening (HAHO) parachute teams and another company specializes in mountain warfare. The Army does not have a domestic counterterrorism mission, as does MARSOF, but does train for CT missions abroad. In the last thirty years, they predominantly conducted missions in the former Yugoslavia, Iraq and Afghanistan. Because of their sheer size, they are responsible for a much larger contribution to joint Dutch SOF deployments than is MARSOF.

Figure 27 shows KCT's historic focus on all three dimensions, compared to NL MARSOF. A detailed analysis of all the conducted missions of KCT the last thirty years is not necessary for the purpose of this comparison. The comparison is only meant to show general differences in focus between NL MARSOF and KCT, and visualize the total strategic range of Dutch SOF units. One important note is that the graph is not indicative of the number of troops or frequency of deployments. That would give a distorted picture of reality, because obviously the larger KCT has deployed more troops than has MARSOF over the last thirty years.
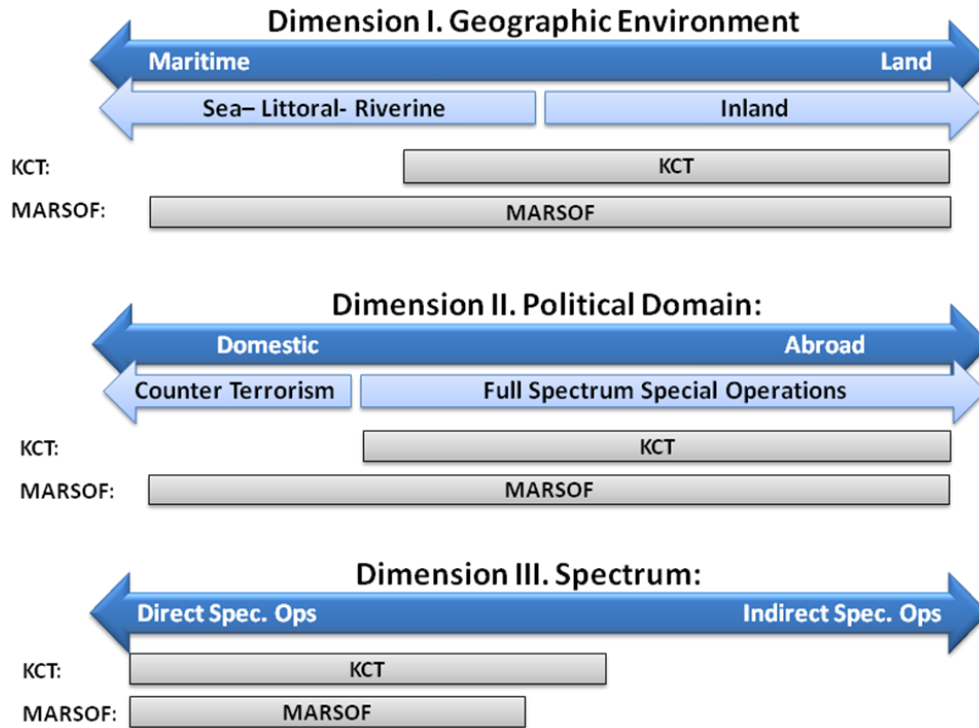
Figure 27.   MARSOF Compared to the KCT (Army SOF) on Each Dimension

The 3-D cube (Figure 28) visualizes these three dimensions and the actual strategic utility of MARSOF in comparison to KCT. The cube indicates a large overlap in missions of MARSOF and KCT and a gap in potential indirect special operations utility. These observed overlaps and gaps between MARSOF and KCT beg the question of whether a more efficient division of labor is needed in order to expand the total strategic range of Dutch SOF.
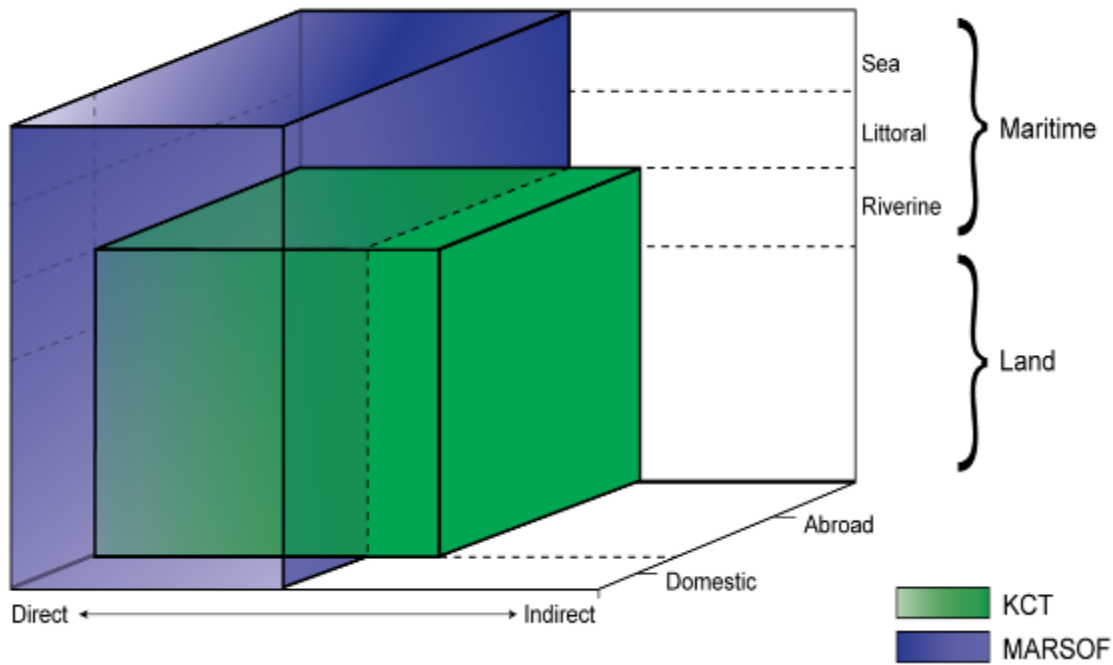
Figure 28.   The Strategic Utility of MARSOF within the Strategic Range of
Special Operations

The mission overlap in geographic environment is not surprising, given the locations of recent theaters of operation. Afghanistan, for instance, is a land-locked country, but this area has seen the largest demand for Dutch SOF. Future conflict areas, for instance in Africa, might have a maritime character, but most likely the largest demand for SOF will be in land-based operations. Therefore, the overlap in land-based operations of KCT and MARSOF will remain. This also aligns with the Dutch defense forces intent of joint conduct of all Dutch special operations.

Overlap in the political domain abroad is also not surprising because MARSOF as well as KCT predominantly conduct operations abroad. As for domestic (CT) operations, there is a clear division of tasks within Dutch SOF. Dutch Police law Articles 59 and 60 state that Defense forces can be utilized for domestic police tasks, but does not nominate particular forces. However, within the Dutch SOF, the Unit Intervention Marines (UIM), as part of MARSOF, is

responsible for this domestic counterterrorism task under operational command of the Special Intervention Service of the national police (DSI). Finally, within the spectrum of special operations, an overlap can be observed on the direct side. MARSOF, as well as its Army counterpart, have predominantly conducted missions more aligned to the direct side of special operations. The most recent deployments in Afghanistan (SF Task Group Orange and SOTU Viper) were focused on independent offensive operations to disrupt and destroy Taliban resistance. These operations fall into the category of direct special operations. The last deployment (Task Force 55) had a more indirect focus, because it also included the mission to train, advise, and mentor indigenous Afghan forces.

Due to the recent deployments of Dutch SOF in general and MARSOF in particular, training and pre-deployment preparation are increasingly focusing on the conduct of direct special operations (i.e. Direct Action and Special Reconnaissance). Consequently, training and readiness in indirect special operations has received less focus and attention. This imbalance between direct and indirect special operations creates a gap in the strategic utility of Dutch SOF. One can interpret this gap in two ways: either there is no Dutch MoD demand for indirect special operations capacity, or this gap represents a window of opportunity for Dutch SOF. In the former view, it makes sense that MARSOF is not dedicating valuable training time and resources to prepare for these kinds of operations. In the latter view, MARSOF needs to reconsider tasks, training goals and focus.

As demonstrated in the governing document analysis, a lessening demand for indirect special operations capability seems unlikely. International as well as national documents and studies point towards growing importance in conflict prevention and stabilization. This indicates a growing importance for (maritime) SOF to conduct special reconnaissance and military assistance.

In summary, one can draw the following conclusions from the governing document analysis compared to the historic employment of Dutch (maritime) SOF. Dutch SOF units (MARSOF and KCT) have overlapping missions that are

partly necessary and partly debatable. In addition, Dutch SOF has focused primarily on direct special operations, leaving a gap in indirect special operations. There seems to be room for improvement in the division of labor between MARSOF and KCT in order to expand the range in strategic utility of Dutch SOF as a whole. This improvement is getting more urgent after the recent heavy budget cuts in Dutch defense forces.

Looking at MARSOF specifically, its maritime SOF deployments only partly fit the required strategic utility stated by policy documents. That begs the question if MARSOF needs to focus more on indirect special operations. However, the answer also depends on the focus of Dutch Army SOF as well. MARSOF can either wait for guidelines from the Dutch MoD, or take the initiative with a bottom-up proposal for allocation of specific SOF core tasks.

IV. UNIT CULTURE REVEALED

A. FROM ORGANIZATIONAL CULTURE TO UNIT CULTURE

"Culture is to an organization what personality is to an individual."
– James Q. Wilson[155]

To build a theoretical framework that supports the assumed positive relation between organizational culture and organizational effectiveness, this section reviews organizational culture in relation to organizational effectiveness. The literature on organizational culture is vast. Researchers from different disciplines such as anthropology, psychology, sociology, and organizational behavior have approached the study of organizational culture in different ways. However, the literature on organizational culture within military SOF units is more limited. Recent literature as well as the more historical work is used to: define organizational culture in general and military unit culture in particular; look at different models to measure organizational culture; and point out the positive relationship between organizational culture and effectiveness.

Based on the literature review, Figure 29 summarizes the theoretical framework for unit culture in relation to organizational effectiveness. The framework also connects the literature to a specific measurement model for organizational culture: Daniel Denison's model of four cultural traits.

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[155] James Q Wilson. *Bureaucracy: What Government Agencies Do and Why They Do It.* (New York: Basic Books, 1989), 91.

Theoretical framework: Unit Culture

Defining Organizational Culture

Authors:
Allaire & Fisirotu (1984)
Trice & Beyer (1984)
Hofstede at al (1990)
Denison (1990)
Stein (1992)
Kotter & Heskett (1992)
Marcoulides and Heck (1993)
Mischra (1995)
Hause (2000)
Sorensen (2002)
Fey and Denison (2003)

Major Approaches:
- Defining culture as a framework of characteristics
- Generic definition of culture and strong culture

Defining (Military) Unit Culture

Authors:
Marquis (1997)
Simons (1998)
Snider (1999)
Ulmer et al. (2000)
English (2004)
King (2006, 2007)
Siebold (2007)
Kirke (2009, 2010)
Soeters (2010)

Major Concepts:
- Unique characteristics SOF (Marquis)
- Assumptions, norms, values, customs, and traditions which distinctively ID military (Snider)
- Shared institutional ethos of values, customs, traditions and beliefs. (Ulmer et al.)
- Social cohesion is created by the formal processes of military training. (King)
- Standard coherent model of four interacting components based on different structural relationships: peer (horizontal), leader (vertical), organizational, and institutional bonding (Siebold).
- The military culture in 4 social structures; formal structure (1), informal structure (2), loyalty/identity structure of (3), the functional structure (4). (Kirke)
- 2 cultural aspects of military organizations (Soeters)

Models of Culture in Relation to Effectiveness

Authors:
Peters & Waterman (1982)
Kotter & Heskett (1992)
Marcoulides & Heck (1993)
Sorensen (2002)
Denison et al. (1984, 1990, 1995, 2003).

Major Concepts:
- Eight attributes of culture that characterize organizational excellence (Peters & Waterman)
- Strong cultures create excellent performance, and adaptive cultures outperform less adaptive cultures (Kotter & Heskett)
- Explanatory model of how culture affects organizational effectiveness (Marcoulides & Heck)
- Strong culture encounters more difficulties in an unpredictable (volatile) environment (Sorensen)
- Four organizational cultural traits positively relate to organizational performance (Denison et al.)

Definition Selection

Model Selection

| I. Mission | II. Adaptation | III. Consistency | IV. Involvement |

Denison's Model of 4 Cultural Traits to define NL MARSOF Unit Culture

Figure 29.   Theoretical Framework of Unit Culture in Relation to Organizational Effectiveness

1.   Organizational Culture

The term *culture* has been used for over a hundred years; today, as many as 250 different definitions exist.[156] From this multitude of definitions, one

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[156] Allen D. English, *Understanding Military Culture: A Canadian Perspective* (Montreal: McGill-Queen's University Press, 2004), 15.

naturally finds much variation in definitions of *organizational culture* as well. The systematic application of the term did not emerge until the early 1980s.[157]

In an extensive study in 1984, the Canadian researchers Yvan Allaire and Mihaela Firsirotu were among the first researchers who meshed different notions of organizational culture and developed an integrative concept for understanding the processes of decay, adaptation, and radical changes in organizations.[158] The concept comprised three elements: a socio-structural system, a cultural system, and individuals. Allaire and Firsirotu proposed using this concept to understand processes of behavior and adaptation to changes within organizations.

Also in 1984, the behavioral scientists Harrison Trice and Janice Beyer defined organizational culture in terms of two basic components. The first consisted of ideologies, norms, and values. The second consisted of the practices by which the former were expressed. They argued that a focus on rites and ceremonies offered a practical approach for studying and identifying characteristics of organizational culture. Their research is important, because it offered a first step in conceptualizing culture and examining how organizational culture affected organizations. Nevertheless, it did not yet address or argue for specific influences of culture on effectiveness.[159]

In 1990, the Dutch and Danish behavioral scientists Geert Hofstede, Bram Neuijen, Denise Ohayv, and Geert Sanders tried to define, operationalize and measure organizational culture quantitatively. They classified culture as having four categories: symbols, heroes, rituals, and values. The first three can be subsumed as practices. They defined *practices* in terms of what people think "is" while *values* refers to what the people think "should be." These researchers

[157] Calvin Morrill, "Culture and Organization Theory." *Annals of the American Academy of Political and Social Science* 619, (Sep, 2008): 15–40.

[158] Yvan Allaire and Firsirotu, M., "Theories of Organizational Culture," *Organization Studies* 5, no. 3 (1984).

[159] Harrison M. Trice and Janice M. Beyer, "Studying Organizational Cultures through Rites and Ceremonials," *Academy of Management – the Academy of Management Review,* 9, no. 000004 (Oct, 1984).

operationalized corporate culture in a six-dimensional model: (1) process-oriented vs. results-oriented; (2) employee-oriented vs. job-oriented; (3) loose vs. tight; (4) parochial vs. professional; (5) open system vs. closed system; and (6) normative vs. pragmatic. These six dimensions can be seen as a checklist for cultural variation within organizations.[160] Their life-long research remains one of the most influential European works in organizational culture.

Edgar Schein's influential book *Organizational Culture and Leadership* defines organizational culture as "[a] pattern of shared assumptions that the group learned as it solved its problems of external adaptation and internal integration that worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to these problems."[161] He posits three levels of culture: *artifacts* (the most visible element of culture, e.g., language, physical layout, and behavioral customs), *values* (what "ought" to be rather than what is), and *assumptions* (basic beliefs about the way things really are, and the result of solutions, which have worked repeatedly and have become taken for granted). Within these three conceptual levels of culture, assumptions are the least observable aspect of culture, but they give meaning to values and artifacts and ultimately guide behavior. However, Schein also cautions that interaction among diverse individuals does not immediately produce shared understanding or culture. It takes time, common experiences, and effort to work through a variety of potential tensions before an organizational culture is developed.

In his book *Corporate Culture and Organizational Effectiveness,* Daniel Denison provides another good definition of organizational culture. He views culture as "the underlying values, beliefs, and principles that serve as a function for an organization's management system as well as the set of management

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[160] Geert Hofstede, Bram Neuijen, Denise Daval Ohayv, and Geert Sanders, "Measuring Organizational Cultures: A Qualitative and Quantitative Study across Twenty Cases," *Administrative Science Quarterly* 35, no. 2 (Jun, 1990).

[161] Edgar H. Schein, *Organizational Culture and Leadership*, The Jossey-Bass Business & Management Series. 3rd ed. (San Francisco: Jossey-Bass, 2004), 17.

practices and behaviors that both exemplify and reinforce those basic principles."[162] Nevertheless, he acknowledges that no generally accepted definition of organizational culture exists.

The specific definitions vary, but most researchers seem to agree that organizational culture generally refers to a set of values, beliefs, and behavior patterns that form the core identity of an organization.[163] This thesis adopts that definition. *Values* are global beliefs that guide actions and judgments across a variety of situations, *beliefs* are assumed facts about the world that do not involve evaluation, and *behavior* is the product of related value and belief.[164]

Strong culture was first mentioned by Thomas Peters and Robert Waterman as a characteristic of an excellent company. Their research concluded: "without exception, the dominance and coherence of culture proved to be an essential quality of excellent companies."[165] They argued that the stronger the culture, the less need there was for standard operating procedures, and the more people knew what to do in certain situations. "Strong" in this sense means that the set of values, beliefs, norms and behavior patterns are widely shared and strongly held throughout the organization. Even though this research has been criticized over the years, it remains popular. Over the last decades, this understanding of strong culture has also been used by well-established organizational culture researchers such as Daniel Denison,[166] Edgar Schein,[167]

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[162] Daniel R. Denison, *Corporate Culture and Organizational Effectiveness* (New York: John Wiley & Sons, 1990), 2.

[163] Daniel R. Denison, "Bringing Corporate Culture to the Bottom Line," *Organizational Dynamics* (New York: American Management Associations, 1984).

[164] Allen D. English, *Understanding Military Culture: A Canadian Perspective*. (Montreal: McGill-Queen's University Press, 2004).

[165] Thomas J. Peters and Robert H. Waterman, *In Search of Excellence: Lessons from America's Best-Run Companies* (New York: Harper & Row, 1982), 75.

[166] Daniel R. Denison, "Bringing Corporate Culture to the Bottom Line," *Organizational Dynamics* (New York: American Management Associations, 1984).

[167] Edgar H. Schein, *Organizational Culture and Leadership*, The Jossey-Bass Business & Management Series, 3rd ed. (San Francisco: Jossey-Bass, 2004).

Aneil Mishra,[168] John Kotter and James Heskett,[169] George Marcoulides and Ronald Heck,[170] Jesper Sorensen[171] and Carl Fey and Daniel Denison.[172] Therefore, this thesis adopts the same definition: *Strong organizational culture means that the set of values, beliefs, norms and behavior patterns are widely shared and strongly held throughout the organization.*

2. "Organization versus Corporation" and "Culture versus Climate"

In many research studies, the terms *organizational culture* and *corporate culture* are used interchangeably. The word "corporate" generally refers to private business organizations, but both terms (organizational and corporate) are used for the same concept of culture. Distinct organizations within the military are generally called *units*. Therefore, this thesis uses the terms organizational culture and unit culture interchangeably, referring to smaller, distinct organizations within the military.

Literature on organizational behavior sometimes shows an interchangeable use of the terms *culture* and *climate*. This thesis also does not distinguish between organizational climate and organizational culture. As Orvil Hause demonstrated in his dissertation *Relationships between Organization Culture Strength and Organizational Effectiveness in an Electrical Utility Company*, there is no utility in an artificial separation of climate and culture.[173] In

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168 Aneil K. Mishra and Daniel R. Denison, "Toward a Theory of Organizational Culture and Effectiveness." *Organization Science* 6, no. 2 (Mar. - Apr., 1995): 204–223.

169 John P. Kotter and James L. Heskett, *Corporate Culture and Performance* (New York: Free Press, 1992).

170 George A. Marcoulides and Ronald H. Heck, "Organizational Culture and Performance: Proposing and Testing a Model," *Organization Science* 4, no. 2 (May, 1993): 209–225.

171 Jesper B. Sorensen, "The Strength of Corporate Culture and the Reliability of Firm Performance." *Administrative Science Quarterly* 47, no. 1 (Mar, 2002): 70–91.

172 Carl F. Fey and Daniel R. Denison, "Organizational Culture and Effectiveness: Can American Theory be Applied in Russia?" *Organization Science* 14, no. 6 (Nov–Dec, 2003): 686–706.

173 Orvil Ragin Jr. Hause, "Relationships between Organizational Culture Strength and Organizational Effectiveness in an Electrical Utility Company" (Ph.D. Diss., Georgia: University of Georgia, 2000), 25.

1996, Daniel Denison also argued that the difference between culture and climate lies more in the executive management interpretation of the same phenomenon than an actual distinction in phenomenon.[174] This conclusion provides strong rationale for integration of quantitative and qualitative methods of organizational culture and climate research.

3.   Military Culture and Operational Effectiveness

Don Snider, a political science professor at the U.S. Military Academy, broadly defines military culture as "the deep structure of organizations, rooted in the prevailing assumptions, norms, values, customs, and traditions which collectively, over time, have created shared individual expectations among the members. It is essentially the glue that makes the organization a distinctive source of identity and experience." [175] What distinguishes military culture from other organizations is its attempt to deal with the uncertainty of conducting combat operations. Through a process of socialization, meaning is passed on to new members, and organizational behavior is defined by shared values and beliefs.

According to Don Snider and James Burk, the four essential elements of military culture are discipline, professional ethos, ceremony & etiquette, and cohesion & esprit de corps.[176] The first element is discipline, which imposes order and reduces confusion, and ritualizes the violence in war. The second element is a professional ethos, defined as that "set of normative self-understandings which for the members define the profession's corporate identity,

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[174] Daniel R. Denison, "What is the Difference between Organizational Culture and Organizational Climate? A Native's Point of View on a Decade of Paradigm Wars." *The Academy of Management Review* 21, no. 3 (Jul, 1996): 619–654.

[175] Don M. Snider, "An Uninformed Debate on Military Culture." *Orbis* 43, no. 1 (Winter, 1999): 14.

[176] James Burk, "Military Culture," in *Encyclopedia of Violence, Peace and Conflict*, vol. 2, ed., Lester R. Kurtz and Jennifer Turpin (San Diego: Academy Press, 1999): 447–461. See also Walter P. Ulmer, Joseph J. Collins, T. O. Jacobs, and Center for Strategic and International Studies (Washington, D.C.), *American Military Culture in the Twenty-First Century : A Report of the CSIS International Security Program*. CSIS Report. (Washington, D.C: Center for Strategic and International Studies, 2000).

its code of conduct and its social worth." The third element of military culture consists of the ceremonial displays and etiquette that pervade military life, and the fourth element of military culture is cohesion and esprit de corps, which are the measures of a unit's morale, its willingness to perform a mission, and its willingness to fight. This last element is a *critical* element with respect to the positive relation between military culture and the operational effectiveness of military units.

In 2000, the Center for Strategic and International Studies (CSIS) in Washington, D.C., conducted an extensive survey within the U.S. military on a variety of matters concerning military culture in relation to military effectiveness.[177] CSIS defined military culture as "the way things are done in a military organization." It is a shared institutional ethos of values, customs, traditions, and beliefs. The driving imperative behind military culture is combat, and to conduct this core task, order and discipline are prominent in the military culture. Like Snider and Burk, CSIS characterized military culture by the same four essential elements.

Joseph Soeters, a professor of organizational behavior at the Dutch Military Academy, describes culture in uniformed organizations as a culture derived from the occupation (soldier) that is a distinct blend of the organization's culture and national culture.[178] He points out three specific cultural aspects of military organizations. The communal control in military organizations is different from other organizations, which extends to various aspects of its members' personal lives. This form of institutionalization appears to be an overarching international and homogeneous military culture. The degree of hierarchy in military organizations unsurprisingly tends to be more coercive compared to

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[177] Walter F. Ulmer, Joseph J. Collins, T. O. Jacobs, and Center for Strategic and International Studies Washington, D.C., *American Military Culture in the Twenty-First Century: A Report of the CSIS International Security Program*. CSIS Report. (Washington, D.C: Center for Strategic and International Studies, 2000).

[178] Joseph L. Soeters, "Culture in Uniformed Organizations," in *Handbook of Organizational Culture & Climate*, edited by Neal M. Ashkanasy, Celeste Wilderom and Mark F. Peterson, (Thousand Oaks, California: Sage Publications, 2000), 465–481.

business organizations, and finally, military organizations generally accept functional and formal discipline (the extent of compliance with rules, the acceptance of orders and authority, and the way the organization deals with disobedience through overt punishment).

The author of *Unconventional Warfare: Rebuilding U.S. Special Operations Forces*, Susan Marquis, recognized that SOF are a unique community within the military.[179] Their distinct organizational culture enables them to survive the "bureaucratic predators" over time. Marquis describes the organizational character that has resulted from SOF's history and rigorous member selection, and she emphasizes the necessity for these distinctive cultural characteristics. John M. Collins, a leading analyst on military and defense issues at the Congressional Research Service, summarizes the unique characteristics found in successful special operators as follows:

> Innate intelligence, physical strength, agility, stamina, and standard training are not enough. Temperament also must combine resourcefulness, ingenuity, pragmatism, and patience with self-discipline and dependability to extraordinary degrees. Area orientation is a universal requirement, for psychological warriors as well as those with lethal weapons, whether operations take place on native or foreign soil. Even common tasks call for uncommon skills applied under uncommon circumstances. [For example] …any rifle company can conduct conventional raids and ambushes, but it cannot do well indefinitely, [and] while [it is] living off hostile land, safely relieve an enemy convoy of volatile cargo, or accomplish many other special mission.[180]

Even though Collins' description fits the unique characteristics and competencies of special operations forces, Marquis does not give a distinctive definition of SOF unit culture. The anthropologist and professor at the Naval Postgraduate School Anna Simons has specifically looked at unit culture within U.S. Army Special Forces (USSF). She argues that the ambiguity embedded in

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[179] Susan L. Marquis, *Unconventional Warfare: Rebuilding U.S. Special Operations Forces* (Washington, D.C: Brookings Institution, 1997).

[180] As cited by Susan L. Marquis, *Unconventional Warfare: Rebuilding U.S. Special Operations Forces* (Washington, D.C: Brookings Institution, 1997), 46.

the USSF organizational structure helped account for the excellence of the teams.[181] She identifies the various distinct ways of doing things within USSF teams and the relation between these teams and higher command that differs from the rest of the Army. Nevertheless, Simons also does not give a separate definition for SOF unit culture.

Except for obvious differences in degree of institutionalization, hierarchy, discipline, and organizational purpose, both Snider's and Soeters' definition of military culture fit the earlier-stated broad definition of organizational culture. Furthermore, there seems to be no distinct definition for SOF unit culture. Therefore, this thesis adopts the following definition of unit culture: *Unit culture is a distinct set of values, beliefs, and behavior patterns that form the core identity of a military organization.*

4. Military Culture versus Military Cohesion

As explained by Joseph Soeters, NL MARSOF needs to be effective on the *hot* as well as the *cold* side of uniformed organizations in order to survive at birth. Therefore, examining military cohesion only in relation to operational effectiveness in combat (the hot side of the organization) is too narrow. That said, military cohesion still is an important part of military culture. The next section defines military cohesion by reviewing different American and European perspectives. These perspectives all agree that strong military cohesion positively effects operational effectiveness in combat.

Group cohesion can be defined as trust among group members (e.g., to watch each other's backs) together with the capacity for teamwork (e.g., pulling together to get the task or job done).[182] Military researchers and authors share the general view of military cohesion being a vital element for high-level

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[181] Anna Simons, "How Ambiguity Results in Excellence: The Role of Hierarchy and Reputation in U.S. Army Special Forces." *Human Organization* 57, no. 1 (Spring, 1998): 117–123.

[182] Guy L. Siebold, "The Essence of Military Group Cohesion." *Armed Forces and Society* 33, no. 2 (Jan 1, 2007): 286.

operational effectiveness[183] in which operational effectiveness generally refers to the conduct of successful military combat operations (the hot side of uniformed organizations).[184] Within this general view, former Deputy Assistant Secretary of Defense and National Defense University lecturer John H. Jones defined military cohesiveness as "the bonding together of members of an organization/unit in such a way as to sustain their will and commitment to each other, their unit, and the mission," highlighting the institutionalized positive effect of cohesion in achieving military goals.[185]

Anthony King, a sociologist at the University of Exeter, studied cohesion within the British Royal Marines. His ethnographic analysis is relevant to this thesis, because NL MARSOF draws its personnel from the Royal Dutch Marines, and they have long historical ties with the British Royal Marines in training and organization. Anthony King makes the argument that the decisive rituals that bind military groups together are the formal processes of military training, and this social cohesion positively relates to operational performance. Therefore, collective military practice is a precondition for cohesion. Social psychology literature also refers to this as task cohesion, consisting of common commitment to a particular task or goal that demands group cooperation.[186]

Contrary to King, Guy Siebold, a fellow from the U.S. Army Research Institute for the Behavioral and Social Sciences, argues that military cohesion is not solely the results of military practices, but can be accomplished by bonding, meaning the weak or strong social relationship between service members and their group, organization and service institutions. He proposes a standard model

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[183] Charles Kirke, "Military Cohesion, Culture and Social Psychology." *Defense & Security Analysis* 26, no. 2 (Jun, 2010): 143.

[184] Janowitz, Morris, Edward Albert Shils, and U.S. Army Research Institute for the Behavioral and Social Sciences. *Social Research and Armed Forces* (U.S: United States Army Research Institute for the Behavioral and Social Sciences, 1987).

[185] As cited by Charles Kirke, "Military Cohesion, Culture and Social Psychology." *Defense & Security Analysis* 26, no. 2 (Jun, 2010): 145.

[186] Charles Kirke, "Military Cohesion, Culture and Social Psychology." *Defense & Security Analysis* 26, no. 2 (Jun, 2010): 146.

of military group cohesion that "consists of four related, interacting components based on different structural relationships: peer (horizontal), leader (vertical), organizational, and institutional bonding."[187] In this model peer and leader bonding forms the primary group cohesion, and organizational and institutional bonding forms the secondary group bonding. Siebold, therefore, emphasizes cohesion built on interpersonal trust and teamwork, including training.[188]

Charles Kirke, a senior lecturer at the UK Defense Academy, studied King's and Siebold's work and presents a model of four separate social structures that can be used to visualize cohesion as the product of positive interaction: (1) the formal command structure expressed in the hierarchy of rank and mechanisms of enforcement of discipline; (2) the informal structure of unwritten conventions of behavior; (3) the loyalty/identity structure of "belonging"; and (4) the functional structure of attitudes and expectations connected to the military profession. Each of these four social structures can be the appropriate "operating structure" of the moment, relevant to the context of the situation. The same group can thus display a different degree of cohesion in a different context. The understanding of this context is an important element in understanding and evaluating cohesion within military groups. Thus, a highly cohesive military group "can be expected to have a clear command structure…, a network of durable informal bonds within and among ranks…, feeling of belonging to and loyalty towards the group and to any other appropriate group the members may belong…, and positive attitudes towards military tasks and conventions of behavior."[189]

In summary, experts and practitioners agree that unit cohesion is important in military organizations. The majority of research in military cohesion in relation to operational effectiveness has focused on the hot side of military

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[187] Guy L. Siebold, "The Essence of Military Group Cohesion." *Armed Forces and Society* 33, no. 2 (Jan 1, 2007): 287.

[188] Ibid., 291.

[189] Charles Kirke, "Group Cohesion, Culture, and Practice." *Armed Forces and Society* 35, no. 4 (Jul, 2009): 748.

organizations. Even though the hot side is an important side, and arguably the most important side, of military organizations, this thesis takes the broader view of unit culture. It looks at unit culture in relation to operational effectiveness on the cold as well as the hot side of the organization. This broad view of unit culture also allows the use of a variety of research models used in civilian organizations to measure culture and effectiveness.

5.   Organizational Culture in Relation to Effectiveness

Many researchers have studied the question of how organizational culture affects organizational performance, or more broadly defined, organizational effectiveness. Over the years of organizational behavior study, researchers have generally agreed on a positive relationship between culture and effectiveness, and postulated that cultural factors play a role in determining levels of organizational outcomes. Many researchers proposed theoretical models that capture the relationship between organizational culture and effectiveness. Even though these theoretical models have value, a more practical measurement model is needed to measure the culture within NL MARSOF. In search of this measurement model, this section explores a selection of some of the most influential studies. A measurement model should be easy to grasp for end-users and provide standardized user-friendly measurement tools (surveys). The review of studies will demonstrate that most offer only theoretical models of the positive relationship between culture and effectiveness.

In their popular book *In Search of Excellence: Lessons from America's Best-Run Companies,* Thomas Peters and Robert Waterman identified eight attributes of corporate culture that characterize excellent, innovative companies. They defined excellent companies by objective measures such as growth rate and return on investment as well as by subjective measures like prestige. The eight attributes Peters and Waterman named are: (1) a bias for action; (2) closeness to the customer; (3) autonomy and entrepreneurship; (4) productivity through the people; (5) hands-on, value driven; (6) stick to the knitting; (7) simple

form and lean staff; and (8) simultaneous loose-tight properties.[190] Their argument was that companies could shape these attributes (the corporate culture) in order to become more successful. Others later added to the research's credibility by claiming the work of Peters and Waterman applied in both the private and public sectors.

By comparing survey and objective organizational performance data, the organizational behavior professor from University of Michigan Business School Daniel Denison showed that organizations with a high level of involvement, also called a participative corporate culture, have better performance records than those that do not.[191] The survey specifically focused on the respondents' perceptions of organizational climate, leadership, peer relations, group process, work design, and satisfaction. Denison measured the degree of involvement that individuals have in decisions that affect them and the extent to which information is shared across levels of an organization in a way that brings the best information possible to decision makers. This degree of involvement was found to be positively related to the performance of the organization. Denison proposed four reasons for this causal relationship. First, a participative culture encourages a higher degree of inclusion of the individual. Second, coordination becomes natural, so people interactively seek collective interests. Third, participation enhances the development of responsible individual work habits. Finally, complex problems are better solved by groups than by individuals. Over the next decade Denison refined his research and he developed his model of four cultural traits in organizations.[192]

Harvard Business School professors John Kotter and James Heskett empirically studied the influence of corporate culture on economic performance.

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190 Thomas J. Peters and Robert H. Waterman, *In Search of Excellence: Lessons from America's Best-Run Companies* (New York: Harper & Row, 1982).

191 Daniel R. Denison, "Bringing Corporate Culture to the Bottom Line," *Organizational Dynamics* (1984): 5–22.

192 Richard R. Denison, *Corporate Culture and Organizational Effectiveness* (New York: John Wiley & Sons, 1990).

In their book *Corporate Culture and Performance*, their main argument is that strong cultures create excellent organizations, and this relationship is empirically supported by their research.[193] However, they also stated that strong, but strategically inappropriate, cultures also can lead to low performance. Therefore, the cultural content is more important than the cultural strength. That is why adaptive cultures, in which a higher priority is placed on innovation and change to the environmental needs, outperformed less adaptive cultures.

Organizational researchers George Marcoulides and Ronald Heck proposed a similar explanatory model of how an organization's culture affects organizational effectiveness.[194] Their work builds on the general hypothesis that "strong" culture within organizations is, at least in part, positively related to higher levels of performance. Their results were again consistent with previous research suggesting that variables associated with organizational culture are predictive of organizational performance.

Massachusetts Institute of Technology (MIT) professor Edgar Schein claimed that if the organization is to survive, it must have consensus on the problems of external adaptation (e.g., mission and strategy, goals, measurement, etc.) and internal integration (common language, criteria for power and status, etc.). From his point of view, culture is created largely through the efforts of its founders and senior executive. "These dynamic processes of culture creation and management are the essence of leadership and make one realize that leadership and culture are two sides of the same coin."[195] Like Peters & Waterman and Kotter & Heskett[196] before him, he also argues that a strong

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[193] John P. Kotter and James L. Heskett, *Corporate Culture and Performance* (New York: Free Press, 1992).

[194] George A. Marcoulides and Ronald H. Heck, "Organizational Culture and Performance: Proposing and Testing a Model," *Organization Science* 4, no. 2 (May, 1993): 209–225.

[195] Edgar H. Schein, *Organizational Culture and Leadership*, The Jossey-Bass Business & Management Series. 3rd ed. (San Francisco: Jossey-Bass, 2004), 1.

[196] John P. Kotter and James L. Heskett, *Corporate Culture and Performance* (New York: Free Press, 1992).

culture, when combined with sound strategy, creates enabling conditions that have a positive relation to organizational performance.

Professor Jesper Sorensen of the Stanford University Business School also builds on the prevailing research in the positive relation between strong culture and organizational performance.[197] He particularly used Kotter & Heskett's research[198] and asserted that strong cultures have three specific performance-enhancing effects: (1) better coordination and control within an organization; (2) improved goal alignment between organization and members; and (3) increased employee effort. However, like Kotter & Heskett, Sorensen also argued that a strong culture encounters more difficulties in an unpredictable (volatile) environment. His empirical research only partly supports his argument, but it gives insight into the potential weaknesses of strong cultures.

In 1995, Professor Daniel R. Denison and Professor Aneil Mishra developed a model of four cultural traits–Involvement, Consistency, Adaptability, and Mission–that positively correlate with perceptions of organizational performance.[199] This model is a follow-up on Denison's prior study showing the close relationship between the level of involvement and performance.[200] Each of the four traits shows significant positive association with both subjective and objective measures of organizational effectiveness, in which the different cultural traits contribute to different criteria of effectiveness. Two recognized limitations in their research are the fact that culture is not limited to these four traits, and the possibility that over time effectiveness actually determines culture.

As a follow-up to earlier research, Daniel R. Denison, Stephanie Haaland and Paulo Goelzer Denison examined the relationship between organizational

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[197] Jesper B. Sorensen, "The Strength of Corporate Culture and the Reliability of Firm Performance," *Administrative Science Quarterly* 47, no. 1 (Mar, 2002): 70–91.

[198] John P. Kotter and James L. Heskett, *Corporate Culture and Performance* (New York: Free Press, 1992).

[199] Daniel R. Denison and Aneil K. Mishra, "Toward a Theory of Organizational Culture and Effectiveness," *Organization Science* 6, no. 2 (Mar. - Apr., 1995): 204–223.

[200] Daniel R. Denison, "Bringing Corporate Culture to the Bottom Line," *Organizational Dynamics* (1984): 5–22.

culture and effectiveness transnational.[201] They empirically argued that it is possible to measure and compare the four cultural traits and their relationship to organizational effectiveness across nations.[202] Even though their research shows that measuring the four organizational traits is useful in predicting effectiveness transnationally, they acknowledge that these traits may have different meanings in different national contexts.

In summary, multiple researchers have studied organization culture in relation to effectiveness. Daniel Denison, however, is one of the few who developed a user-friendly model to measure organizational culture. The model links culture to effectiveness and empirically proves this relationship with a normative database. Furthermore, it offers a practical tool (survey) to measure culture within organizations, providing the opportunity to assess an organization's effectiveness. Undoubtedly, there are other measurement models of culture, but for the purpose of this thesis, Denison's model offers good utility. Therefore, this thesis adopts Denison's model of four organizational cultural traits–*Involvement*, *Consistency*, *Adaptability*, and *Mission*–to assess MARSOF's unit culture.

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[201] For previous research, see: Daniel R. Denison, "Bringing Corporate Culture to the Bottom Line," *Organizational Dynamics* (1984): 5–22, and Daniel R. Denison, *Corporate Culture and Organizational Effectiveness* (New York: John Wiley & Sons, 1990), and Daniel R. Denison and Aneil K. Mishra, "Toward a Theory of Organizational Culture and Effectiveness," *Organization Science* 6, no. 2 (Mar–Apr, 1995): 204–223.

[202] Daniel R. Denison, S. Haaland, and P. Goelzer, "Corporate Culture and Organizational Effectiveness: Is there a Similar Pattern Around the World," *Advances in Global Leadership* 3, (2003): 205–227.

6. Denison's Model of Four Cultural Traits

The Denison model of organizational culture highlights four key traits (*Mission, Consistency, Involvement, Adaptability*) that an organization should master in order to be effective.[203] Each trait breaks down into three more specific indices for a total of twelve indices, and each of these is measured with five survey items.
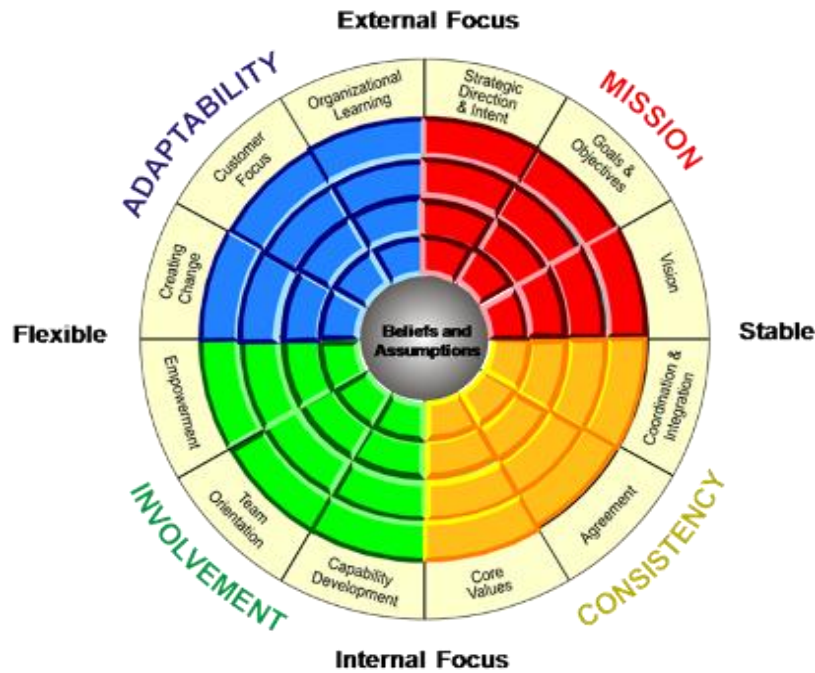
Figure 30.   Daniel Denison's Organizational Culture Model (From[204])

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[203] The presented Denison Organizational Culture Model description in this section is based on articles and working papers from Daniel R. Denison. See Aneil K. Mishra and Daniel R. Denison, "Toward a Theory of Organizational Culture and Effectiveness." *Organization Science* 6, no. 2 (Mar. - Apr., 1995): 204–223; Daniel R. Denison, *Corporate Culture and Organizational Effectiveness* (New York: John Wiley & Sons, 1990); Daniel R. Denison, "Bringing Corporate Culture to the Bottom Line," *Organizational Dynamics* (New York: American Management Associations, 1984); Daniel R. Denison, S. Haaland, and P. Goelzer, "Corporate Culture and Organizational Effectiveness: Is there a Similar Pattern Around the World," *Advances in Global Leadership* 3, (2003): 205–227; Denison, Daniel R., Jay Janovics, Joana Young, and Hee Jae Cho. "Diagnosing Organizational Cultures: Validating a Model and Method." (working paper, International Institute for management Development, Lausanne Switzerland, January, 2006) and Daniel R. Denison, "Denison Culture Model," Denison Corporation, http://www.denisonconsulting.com/advantage/researchModel/model.aspx

[204] Daniel R. Denison, "Denison Culture Model," Denison Corporation, http://www.denisonconsulting.com/advantage/researchModel/model.aspx

Each of the four traits is represented by a color on the circumplex model presented in Figure 30. As mentioned earlier, Denison's empirical research has demonstrated that effective organizations have high scores in all four traits. Organizations that score better in the model perform better than organizations that score lower. Thus, "effective organizations are likely to have cultures that are adaptive, yet highly consistent and predictable, and that foster high involvement, but do so within the context of a shared sense of mission."[205]

At the center of the model in Figure 30 is "Underlying Beliefs and Assumptions." This addition to the model recognizes that the "deeper" levels of organizational culture are difficult to measure using comparative methods. Nonetheless, they provide the foundation from which behavior and action spring. Values and behavioral norms are linked to these underlying assumptions, but it is far more difficult to make comparative generalizations about the underlying assumptions than it is to make generalizations about organizational cultures at the level of values and behavior.

The four traits are organized into a framework designed to acknowledge two contrasts: the contrast between internal integration and external adaptation, and the contrast between change and stability. Involvement and consistency focus on the dynamics of internal integration, while mission and adaptability address the dynamics of external adaptation (internal focus vs. external focus). In addition, involvement and adaptability describe traits related to an organization's capacity to change, while consistency and mission are more likely to contribute to the organization's capacity to remain stable and predictable over time (flexible vs. stable).

None of the four cultural traits is unique to the model. The four traits are also well represented in the broader literature on organizational theory and organizational behavior. The Denison organizational culture model serves to

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[205] Daniel R. Denison, *Research Notes,* Vol. 1, Issue 1 (2006), http://www.denisonconsulting.com/Libraries/Resources/RN-2011-Denison-Model-Overview.sflb.ashx

integrate these concepts. This connection to other research literature gives the model a strong theoretical foundation.

Organizations represented in the normative database come from a wide variety of countries and industries. Denison's research indicates that different industries, from finance to pharmaceuticals, from private to public, and even in different countries chalk up very similar results in the global database. The model translates effectively to different national cultures and environments. Denison generates results by comparing a given organization's results to the results of more then thousand other organizations in their normative database. The percentile scores indicate how well the organization ranks in comparison to the other organizations in the database. Using percentiles provide meaning and context to the results. This thesis builds on these research findings and uses the normative database to show NL MARSOF's level of effectiveness compared to other organizations.

<u>Involvement</u>

The trait *involvement* is the degree to which organizations empower and engage their people (Figure 31). It is based on research literature showing that effective organizations empower and engage their people, build their organization around teams, and develop human capability at all levels. Organizational members are committed to their work and feel a strong sense of ownership. In high involvement organizations, the members at all levels feel that they have input into decisions that will affect their work and feel that their work is directly connected to the goals of the organization. These organizations rely on informal, voluntary, and implicit control systems, rather than formal, explicit, bureaucratic control systems.

Figure 31.   Involvement (From[206])

In the model, involvement is measured with three indices. First, *Empowerment* means that individuals have the authority, initiative, and ability to manage their own work. The leadership clarifies those areas in which employees can make decisions or those areas beyond employee's scope of responsibility. This creates a sense of ownership and responsibility toward the organization. Second, *Team Orientation* means that value is placed on working cooperatively toward common goals, so that creative ideas are captured. The organization relies on team effort to get work done. Third, *Capability Development* means the organization continually invests in the development of people's skills (training, coaching, exposure to new responsibilities) in order to stay competitive and meet operational requirements.

Consistency

The trait *Consistency* is the degree to which an organization has a system of values and behavior that is concise and integrated (Figure 32). It is based on research literature showing that organizations are effective when their members' behavior is rooted in a set of core values, leaders and followers are skilled at reaching agreement and incorporating diverse points of view, and the organization's activities are well coordinated and integrated. Consistent

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206 Daniel R. Denison, "Denison Culture Model," Denison Corporation, http://www.denisonconsulting.com/advantage/researchModel/model.aspx

organizations develop a mindset and create organizational systems that rely on implicit, consensual support rather than explicit rules and regulations. It creates a strong culture based on a shared system of beliefs, values and symbols that are widely understood by members of an organization. This type of consistency is a powerful source of stability and internal integration.

Figure 32.   Consistency (From[207])

In the model, consistency is measured with three indices. First, *Core Values* means that members of the organization share a set of values (which creates a sense of identity) and a clear set of expectations. Second, *Agreement* means that members of the organization are able to reach agreement on critical issues. This includes the ability to reconcile differences by engaging in open dialogue. Third, *Coordination and Integration* means that different functions and units of the organization are able to work together well to achieve common goals. Organizational boundaries do not interfere with getting work done.

<u>Adaptability</u>

The trait *Adaptability* is the degree to which an organization can translate environmental demands into action and have the capability and experience to change to appropriate goals and objectives (Figure 33). Adaptable organizations

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[207] Daniel R. Denison, "Denison Culture Model," Denison Corporation, http://www.denisonconsulting.com/advantage/researchModel/model.aspx

take risks, learn from their mistakes, and have capability and experience at creating change. They are continuously improving the organization's ability to provide value to its stakeholders (for instance, higher command).

Figure 33.   Adaptability (From[208])

In the model, adaptability is also measured with three indices. First, *Creating Change* means the organization is able to create adaptive ways to meet changing needs. The organization welcomes new ideas and is willing to try new approaches to doing things. It is able to read the operating environment and anticipate future changes. Second, *Customer Focus* means the organization understands and reacts to their stakeholders and anticipates their future needs. It is critical and reflects the degree to which the organization is driven to satisfy all their stakeholders. Third, *Organizational Learning* means the organization receives, translates, and interprets signals from the environment into opportunities for encouraging innovation and developing capabilities. The organization gains knowledge from its successes and failures.

Mission

The trait *Mission* is the degree to which organizations have a clear sense of purpose and direction, defined in organizational goals and strategic objectives

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[208] Daniel R. Denison, "Denison Culture Model," Denison Corporation, http://www.denisonconsulting.com/advantage/researchModel/model.aspx

(Figure 34). Successful organizations have a clear sense of purpose and direction that defines an appropriate course of action and expresses a vision of what the organization will look like in the future. A sense of mission provides purpose and meaning and allows an organization to shape current behavior by envisioning a desired future state.

Figure 34.   Mission (From[209])

In the model, mission is measured by three indices. First, *Strategic Direction and Intent* means that clear strategic intentions and priorities convey the organization's purpose and "operationalize" the vision. Second, *Goals and Objectives* means that a clear set of goals and objectives can be linked to the mission, vision, and strategy, and provide everyone with a clear direction in their work. Third, *Vision* means that the organization has a shared view of a desired future state. It is the ultimate reason for the existence of the organization, its purpose.

Interconnection between cultural traits

Ideally, organizations should be strong in all four traits. However, organizations regularly show strengths in specific cultural traits. Organizations with strengths in two of the traits often share certain orientations and outcomes.

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[209] Daniel R. Denison, "Denison Culture Model," Denison Corporation, http://www.denisonconsulting.com/advantage/researchModel/model.aspx

An organization with a strong *external focus* (Adaptability + Mission) is focused on adapting and changing in response to the external environment. It has a constant eye on the operating environment and a strong sense of where it is headed. An organization with a strong *internal focus* (Involvement + Consistency) is focused on the dynamics of the internal integration of systems, structures, and processes. It values its people and prides itself on the quality of its products or services. A strong internal focus has been linked to higher levels of quality, good resource utilization, and high employee satisfaction.

A *flexible* organization (Adaptability + Involvement) has the capability to change in response to the environment. Its focus is on the operating environment and its people. A flexible organization is typically linked to higher levels of product and service innovation, creativity, and a fast response to changing demands and requirements. A *stable* organization (Mission + Consistency) has the capacity to remain focused and predictable over time. A stable organization is typically linked to strong internal management.

In summary, the Denison Cultural model presents clearly defined and measurable traits that are applicable to this thesis' area of study. In relation to both hypotheses of the thesis, the model's internal focus (involvement and consistency) emphasizes the elements of unit culture, and the external focus (mission and adaptability) emphasizes the strategic utility. Figure 35 illustrates the connection between the two hypotheses (unit culture and strategic utility) and Denison's model of the four cultural traits.
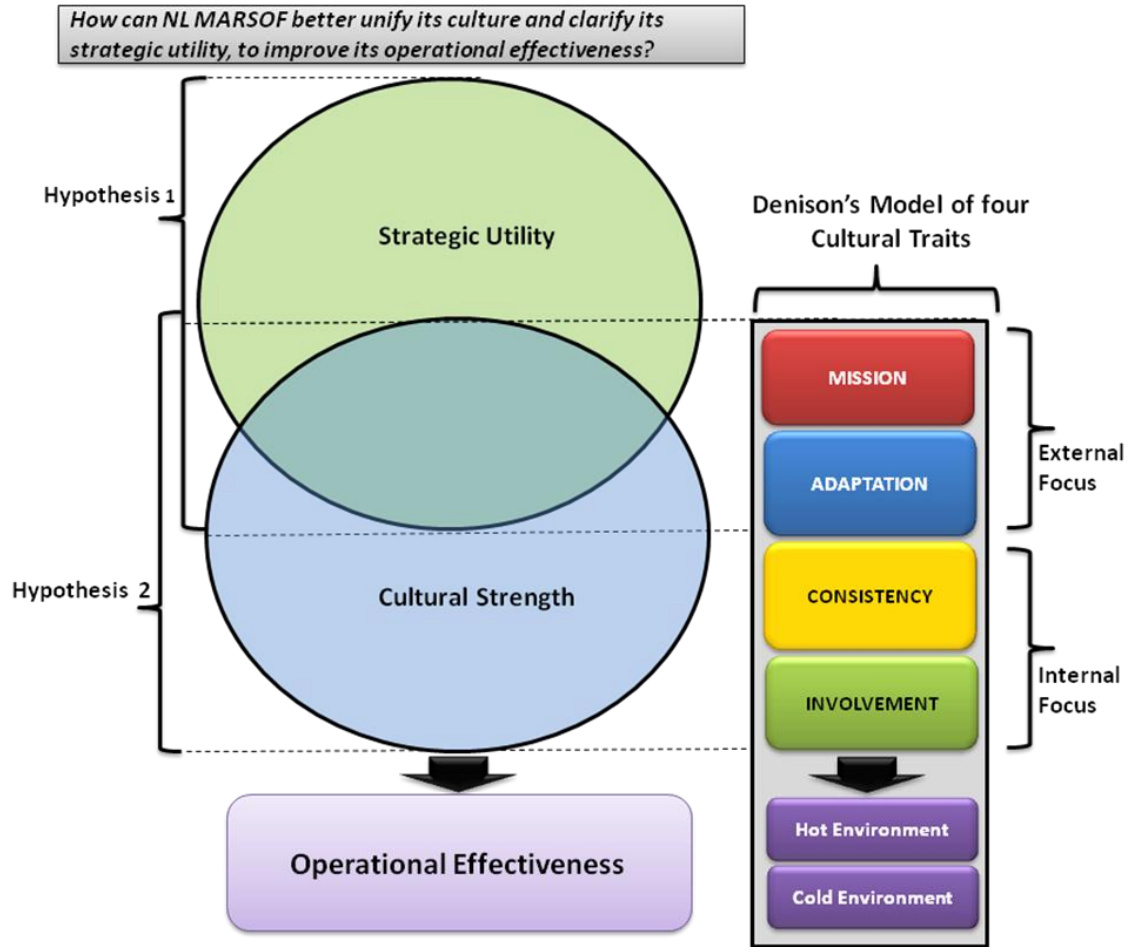
Figure 35.   The Denison Cultural Model in Relation to Hypothesis 1 and 2

V. EMPIRICAL RESEARCH

The empirical portion of this research consists of two methods: (1) surveys to collect quantitative data on NL MARSOF's culture and strategic utility, and (2) interviews to collect qualitative data via open-ended questions on NL MARSOF's culture and strategic utility. This combination of collecting, analyzing, and mixing both quantitative and qualitative data in a single study is referred to as *mixed methods research*. Its central premise is that the use of quantitative and qualitative approaches in combination provides a better understanding of research problems than does either approach alone.[210]

There are three ways in which mixing can occur: merging or converging two datasets by actually bringing them together; by embedding one dataset within the other in a supportive role; or by connecting two datasets by having one build on the other.[211] This research uses the last type of mixed methods research, *connecting the data*. The research collected data using a quantitative survey instrument, then followed up with interviews with a few selected members of NL MARSOF who participated in the survey to learn more detail about the survey responses. The qualitative data helps explain and builds upon the initial quantitative results. This is also referred to as the *explanatory design* in mixed methods research.[212] This two-phased method is the most straightforward of the mixed methods research types.

Mixed methods research adds value that quantitative or qualitative research alone does not provide. The historical argument has been that mixed methods research provides strengths that offset the weaknesses of both quantitative and qualitative research. Thus, mixed methods research provides more comprehensive evidence for studying this particular research problem than

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[210] John W. Creswell and Vicki L. Plano Clark, *Designing and Conducting Mixed Methods Research* (Thousand Oaks, Calif: SAGE Publications, 2007), 5.

[211] Ibid., 7.

[212] Ibid., 71.

either quantitative or qualitative research alone. Figure 37 depicts the mixed methods research explanatory design and its connection to the overall research strategy of the thesis (Review Chapter I for an explanation of the research strategy.). The explanatory design consists of two phases that are subdivided in six stages as seen in Figure 36.
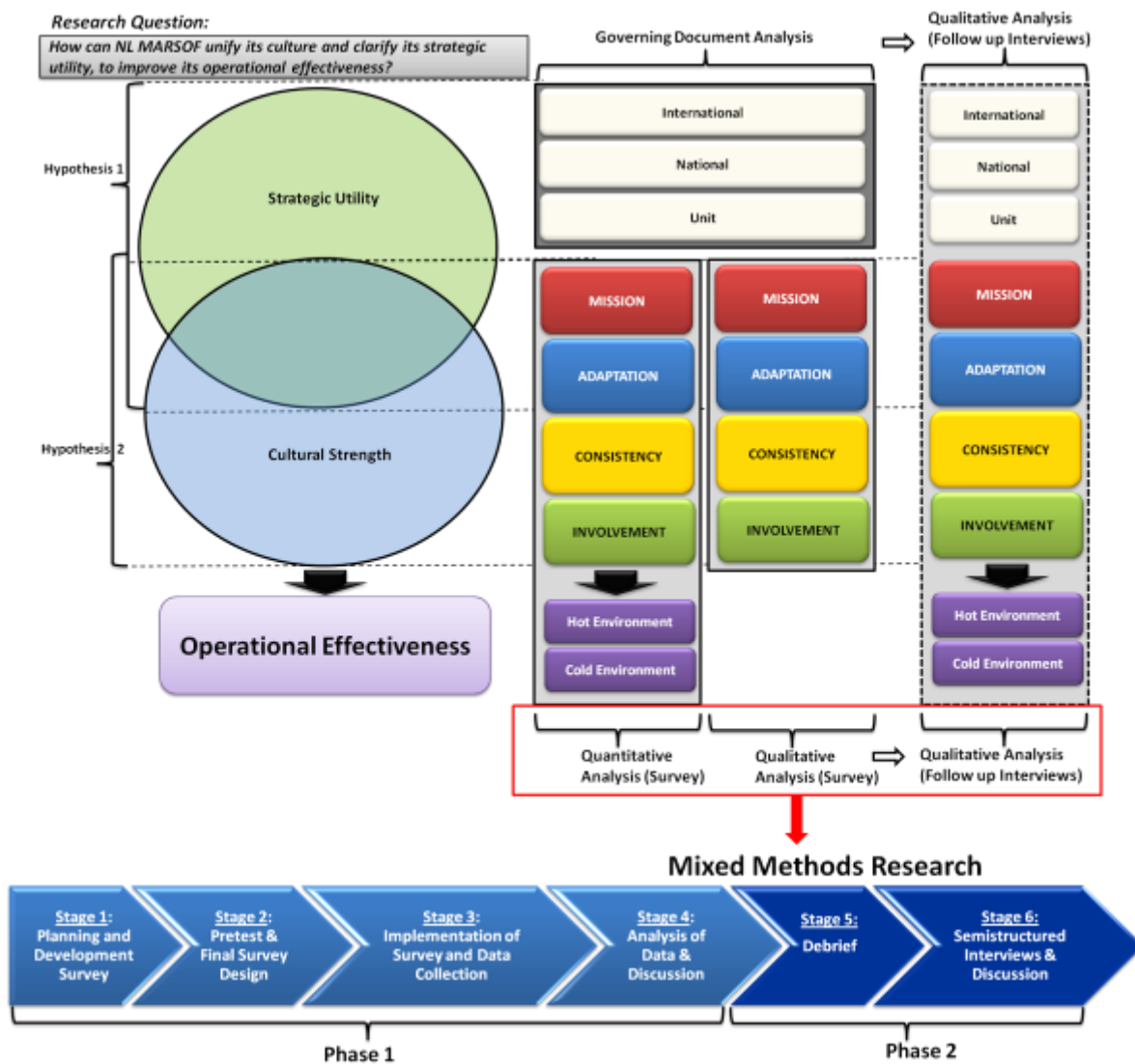
Figure 36.   Mixed Methods Research Explanatory Design

The first phase of the mixed methods research for NL MARSOF is the quantitative research: the survey. The quantitative research follows the first four stages to assure a correct questionnaire construction, implementation, and analysis. The survey is cross-sectional over the entire survey population to minimize coverage error, sampling error, and non-response error. Stage 1 is the construct of the survey instrument and identification of the target sample. Stage 2 is the pretest and the adjustments and improvements to the survey that follow from it. This particular stage addresses survey concerns summarized by David Folz in the following quote: "Know what you want to ask and why you want to ask it; compose clear, unambiguous questions; keep the survey as brief as possible; and have a plan for analyzing the results before the instrument is administered."[213] Stage 3 is the implementation of the survey, and Stage 4 is the analysis of the data and discussion of the survey results.

Phase 2 of the mixed methods research is the qualitative research: the debrief and follow-up interviews. Stage 5 is the debriefing of the survey results to all respondents *prior* to the follow-up interviews. Stage 6 is the follow-up interviews, which follow a protocol of semistructured questions to allow more freedom of discussion on specific topics. Interviewees are chosen from the pool of survey respondents.

A.   NL MARSOF SURVEY

This section covers the quantitative part of the mixed methods research: the survey. Subsequently, the section will discuss Stages 1 through 4 of Phase 1 of the explanatory design (Figure 36).

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[213] David H. Folz, *Survey Research for Public Administration* (Thousand Oaks: Sage Publications, 1996), 79–80.

1.   *Stage 1*: **Planning and Development of the Survey**

       a.   Respondents

NL MARSOF command approved administering the survey to all its members. The members are all males between the age of 22 and 50 having different specialties, such as frogmen, mountain leader, and intervention specialist. It was important that both the MSO and the UIM were equally represented in the total survey respondents. The intention was to allow each member of NL MARSOF to give his opinion and thus create wide support for the results of the survey.

       b.   Survey Instrument

The survey consists of the Denison Organizational Culture Survey (DOCS), supplemented by specific questions developed by this researcher. As mentioned earlier, Daniel Denison developed the DOCS from his research-based model of four cultural traits. The DOCS survey measures the present unit culture. The value of using this existing survey is that its reliability and validity has been thoroughly tested in a number of research studies. Each of the four cultural traits is measured by three five-item indexes, resulting in sixty items. A 5-point Likert-scale measures the respondents' agreement to each of these items.

The added questions in the survey measure the preferred unit culture and the perceived organizational effectiveness, and collect demographic data. A holistic approach is used to construct the supplemented questions, and they consist of a variety of open- and closed-ended questions. The open-ended questions allow unstructured response, giving more in-depth information. The closed-ended questions make use of both structured answers and scales. Each of the added questions is connected to one of the cultural traits of the Denison research-based Model.

In ordering the questions, the survey follows basic principles described by Don Dillman to avoid unintended question order effect.[214] The questionnaire consists of six sections: (1) a section on Involvement; (2) a section on Consistency; (3) a section on Adaptability; (4) a section on Mission; (5) a section on Effectiveness; and (6) a section with demographic questions. Appendix A shows the English version of the questionnaire.

2.   *Stage 2*: Pretest and Final Survey Design

Before conducting the survey on the entire population, the survey was pretested on eight persons selected to represent the NL MARSOF population in rank, unit background, and seniority. The purpose of this pretest was threefold. First, this selected test group of NL MARSOF has to translate the Dutch questions of the DOCS back in English. This back-translation process was necessary to ascertain the correctness of the Dutch translation of the original English questions. Secondly, the specific cognitive interview method *concurrent verbal probing* was used during the interviews of the individual test group members. The purpose of cognitive interviewing is to ascertain that the survey population understands and interprets the questionnaire as intended by the investigator. The interviews provided information to streamline and improve survey procedures and identify problem questions. Thirdly, the pretest gave the test group the opportunity to raise other, research-related issues, which were incorporated in the actual survey to improve leadership commitment to the survey results. After the final survey design and planning, the survey was distributed to the entire population for data collection.

3.   *Stage 3*: Implementation of the Survey and Data Collection

Questionnaires were distributed to all members of NL MARSOF at two different sites. The first site was the UIM location; the second was the MSO location. Before distributing the questionnaire, the researcher gave a

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[214] Don A. Dillman, *Mail and Internet Surveys: The Tailored Design Method*. 2nd, 2007 update with new Internet, visual, and mixed-mode guide ed. (Hoboken, N.J: Wiley, 2007).

presentation on the purpose of the research and explained the survey procedure to the respondents. The medium of the survey is a paper questionnaire, administered by gathering the respondents in classrooms at their unit's location during regular working hours. While the respondents filled in the questionnaires, the researcher was present or nearby to explain the purpose of the survey and assist respondents if needed.

The considerations for the chosen survey medium and mode are pragmatic. A paper questionnaire does not depend on technological or web-based access and, therefore, can be given at any location and time. This provides flexibility to adjust to last minute changes in respondents training schedules. The in-person approach assures a high response rate and allows respondents to clarify any issues during the survey. The chosen medium, therefore, diminishes nonresponsive and measurement errors.[215] The in-person survey mode also is a subtle but powerful method to motivate people to respond to the survey to their best ability.[216]

A potential weakness of the chosen survey mode is the potential for biased response due to the mere nature of the formal military environment and organization. However, potential risks in response bias do not outweigh the benefits of the chosen survey mode. During the explanation of the survey procedure, the researcher emphasized the voluntary nature of responding to the

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[215] Non-responsive error occurs when the people selected for the survey who do not respond are different from those who do respond in a way that is important to the study. Measurement error is when a respondent's answer is inaccurate or imprecise because of misunderstanding or misinterpretation of the question. Source: Don A. Dillman, *Mail and Internet Surveys: The Tailored Design Method.* 2nd, 2007 update with new Internet, visual, and mixed-mode guide ed. (Hoboken, N.J: Wiley, 2007).

[216] Social exchange is a subtle but powerful method for motivating people to respond to surveys and is particularly useful for surveyors, because the rewards that they can typically offer are relatively small. The in-person survey mode increases the benefits of participation, by providing convincing information about the survey in person, appealing to people's helping tendencies or social norms of responsibility, by informing the people that opportunities to respond to this certain topic is limited, and by providing social validation. The method also decreases the costs of participation by making it easy for people to respond. Finally, the survey mode establishes more trust by emphasizing the command's need for this particular research as authoritative source, end by ensuring confidentiality and security of the information. Source: Don A. Dillman, *Mail and Internet Surveys: The Tailored Design Method,* 2nd, 2007 update with new Internet, visual, and mixed-mode guide ed. (Hoboken, N.J: Wiley, 2007).

survey, as well as the confidentiality and security of the provided information to mitigate the potential risk of "forced" response.

4.   *Stage 4*: Analysis and Discussion of Survey Results

This survey's response rate is considered high by normal polling standards. The exact number of NL MARSOF personnel is classified, but the response rate was greater than 90 percent. The collected data also equally represented the sub-units (UIM and MSO) as well as the different ranks. Because of this high response, the analysis was based not on a sample, but on a census of the entire NL MARSOF population. Thus, no statistical methods were used to determine the significance of the survey data for the entire population. This eliminates most of the doubts one might have about the survey results. People not familiar with survey research sometimes question conclusions based on results from only a sample of the population. For the NL MARSOF survey, the survey canvassed the vast majority of the group, making the results of the NL MARSOF more compelling.

The data received from the questionnaires was coded and filed according to Daniel Denison's coding system, to allow comparative analysis. The analysis consisted of two different methods: comparative and descriptive analysis. The results from the sixty Denison Organizational Cultural Survey (DOCS) items were compared to the Denison normative database of more than thousand organizations worldwide. In addition, the analysis of the added closed- and open-ended questions used relatively simple, descriptive statistical techniques.

The next section starts with the analysis and discussion of the general DOCS results. After that, each following section separately analyzes and discusses the survey results of the DOCS and the added questions per cultural trait. The final section analyzes and discusses the results on the effectiveness questions of the survey.

Figure 37 shows the percentile scores on each of the twelve indexes of the cultural traits. The percentile scores indicate how NL MARSOF ranks in comparison to the other organizations in the database. For example, NLMARSOF has a percentile score of 23 in the Vision index, meaning that it scored higher than 23 percent of the 5,000 organizations in the Denison normative database.
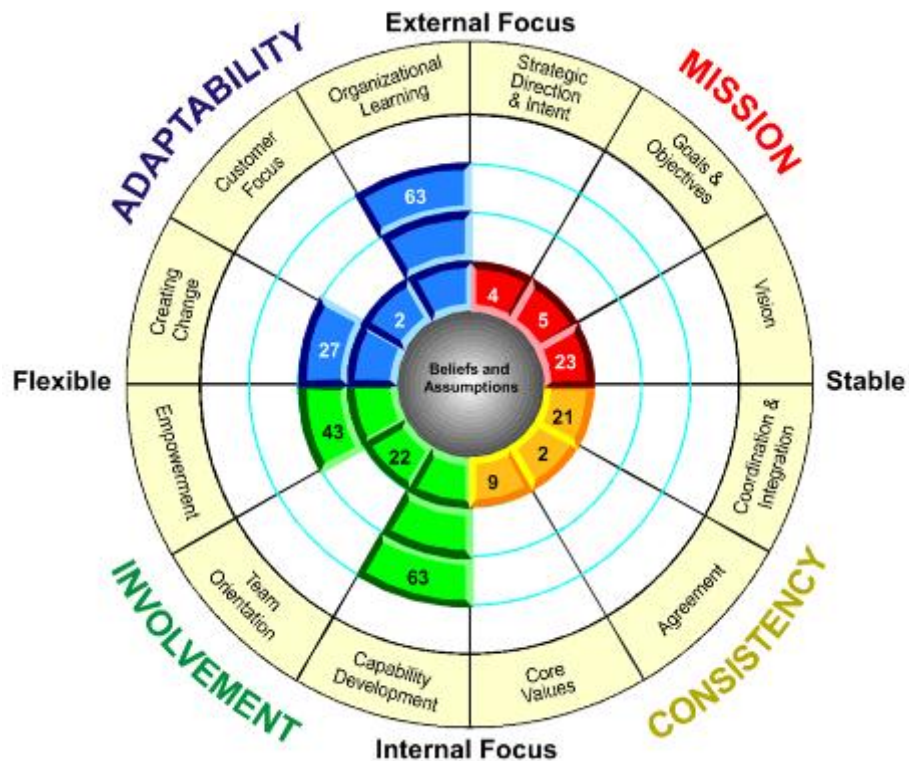
Figure 37.   Denison Organizational Culture Survey (DOCS) Results NL MARSOF (From[217])

An initial review of the scores reveals a low total score on the DOCS. Denison's empirical research has demonstrated that effective organizations have high culture scores in all four traits. In other words,

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[217] Daniel R. Denison, *Circumplex Report NL MARSOF* (Denison Corporation, 25 July 2011).

organizations that score better in the model perform better than organizations that score lower. Judging from the percentiles, one can conclude that NL MARSOF's culture does not promote optimal organizational effectiveness. For most indexes, the majority of the organizations in Denison's database have scored better than NL MARSOF. For instance, NL MARSOF scores better than only 2 percent of the other organizations on the index Agreement. From a positive perspective, this means that there is a lot of room for improvement in the organizational culture of NL MARSOF. However, as a fully operational Special Operations Force, conducting high-risk missions, NL MARSOF needs to be performing at high levels continuously. After debriefing the survey results to NL MARSOF cadre, the overall sentiment is that MARSOF has to improve its organizational culture to achieve higher operational effectiveness.

When examining the DOCS results more closely, they reveal a better score on the flexible traits (Adaptability and Involvement) than on the stable traits (Mission and Consistency). This indicates that NL MARSOF has a very low capacity to remain stable and predictable over time. On the other hand, it has a better capacity to change in response to the environment. In other words, NL MARSOF as an organization is fairly flexible, but lacks capacity for long-term stability.

When comparing the DOCS results of the M-Squadron (UIM) and C-Squadron (MSO), no significant differences in the scores on cultural traits are present. Both sub-units score low on the stable traits (Mission and Consistency) and score average on the flexible traits (Adaptability and Involvement). The only significant difference is that the MSO scores considerably better on the indexes of the trait Involvement. On the index Empowerment, the MSO scores 71 percent compared to the 23 percent score of the UIM. On the index Team Orientation, the MSO scores 30 percent compared to the 19 percent score of the UIM. On the index Capability Development, the MSO scores 81 percent compared to the 47 percent score of the UIM. Therefore, it is fair to say that the MSO members feel

more empowered and engaged than the UIM members. Figure 38 shows the percentile scores of the UIM and the MSO.
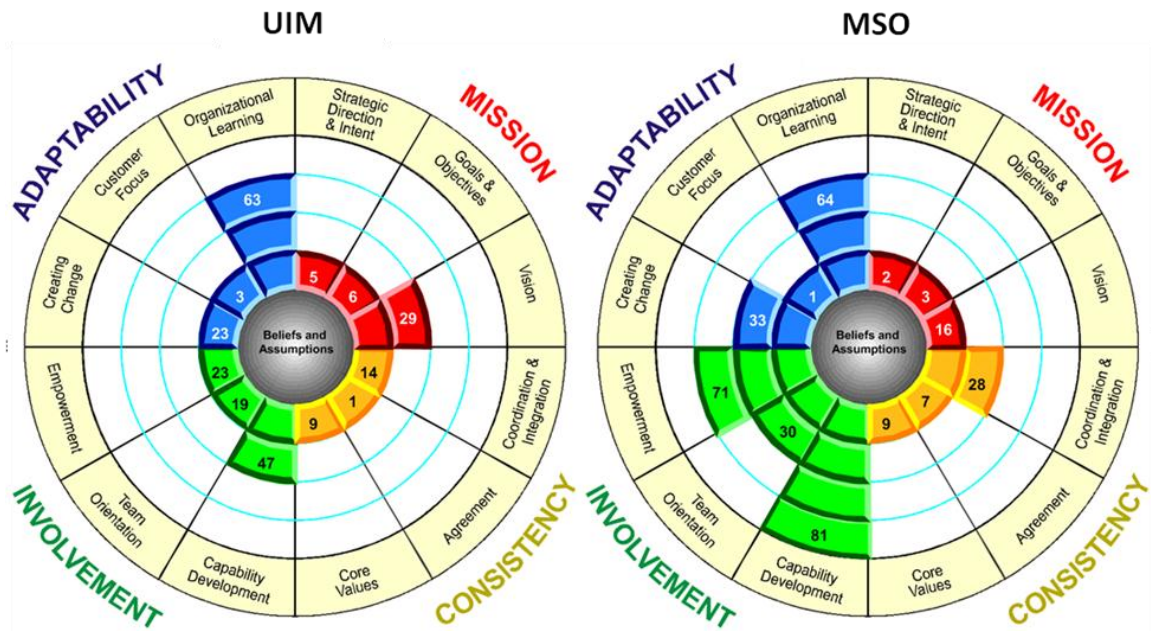
Figure 38.   Denison Organizational Culture Survey (DOCS) score for the UIM (M-Squadron) and the MSO (C-Squadron) (From[218])

When comparing the DOCS results of the officers against the senior NCOs and the enlisted men, there are again no significant differences in scores on cultural traits. All ranks score low on stable traits (Mission and Consistency) and score average on the flexible traits (Adaptability and Involvement). The analysis, however, reveals that the higher the rank, the more positive are the percentile scores on Adaptability and Involvement. In other words, officers tend to be more positive about the Adaptability and Involvement of NL MARSOF than senior NCOs, and senior NCOs in turn tend to be more positive than the corporals and marines. Figure 39 shows the percentile scores of the officers, the senior NCOs, and the enlisted men.

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[218] Daniel R. Denison, *Circumplex Report NL MARSOF* (Denison Corporation, 25 July 2011).
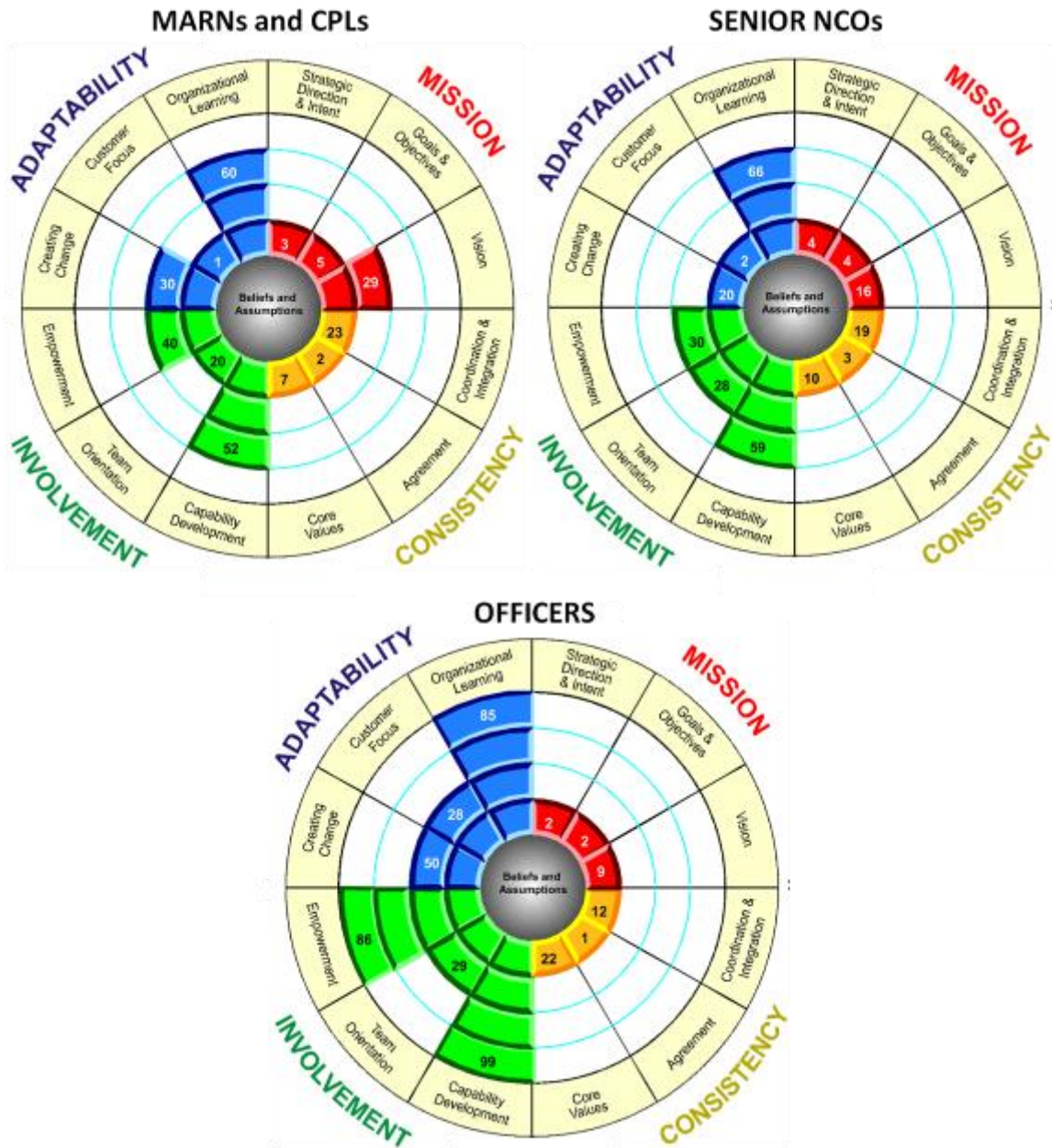
Figure 39.   DOCS Score for the Marines and Corporals, Senior NCOs and Officers (From[219])

219 Daniel R. Denison, *Circumplex Report NL MARSOF* (Denison Corporation, 25 July 2011).

The only exception to the trend in positivity is the score on the index Vision (the shared view of a desired future state). Contrary to expectation, the marines and corporals score 29 percent on Vision, compared to the senior NCOs and officers that score only 16 percent and 9 percent. Thus, more so than the officers, the lower ranks seem to think that there is a shared view of a desired future state. On the one hand, this result can be seen as positive, because it indicates a degree of trust of the lower ranks in the vision of NL MARSOF leadership. On the other hand, the fact that the officers and senior NCOs indicate an overall lack of Vision, Strategic Direction, and Goals & Objectives is very troubling. The section on the cultural trait Mission analyzes these results in detail.

From the DOCS results, the five items with the highest scores and the five items with the lowest scores give a better sense of the areas where NL MARSOF members think the organization is doing well or poorly. A high percentile score means that the majority of the population (strongly) agrees on these items and a low percentile score means that the majority (strongly) disagrees on these items. Figure 40 shows the items with the highest scores for the whole population of NL MARSOF, the UIM, and the MSO. The figure reveals that the highest scores are all items on Adaptability and Involvement, the flexible side of culture. It also shows that the UIM and the MSO do not differ significantly in scoring results.

Whole population MARSOF

Highest Scores

86	Most employees are highly involved in their work.
86	The way things are done is very flexible and easy to change.
85	Problems often arise because we do not have the skills necessary to do the job.*
85	Teamwork is used to get work done, rather than hierarchy.
84	The capabilities of people are viewed as an important source of competitive advantage.

Unit: UIM

Highest Scores

83	Problems often arise because we do not have the skills necessary to do the job.*
82	Teamwork is used to get work done, rather than hierarchy.
79	The way things are done is very flexible and easy to change.
77	We view failure as an opportunity for learning and improvement.
76	We make certain that the "right hand knows what the left hand is doing."

Unit: MSO

Highest Scores

94	Most employees are highly involved in their work.
92	The capabilities of people are viewed as an important source of competitive advantage.
91	The way things are done is very flexible and easy to change.
89	Teamwork is used to get work done, rather than hierarchy.
87	We view failure as an opportunity for learning and improvement.

Figure 40.   The Items with the Highest Scores for NL MARSOF, UIM, and MSO (From[220])

Figure 41 shows the five items with the lowest scores for the whole population of NL MARSOF, the UIM, and the MSO. The UIM scores lowest in the trait Consistency, and the MSO scores lowest in the trait Mission. Some of the lowest scores are also items on Adaptability and Involvement. Closer examination of the items reveals that these particular low scores in Adaptability and Involvement all relate to a perceived lack of cooperation between the UIM and the MSO.

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[220] Daniel R. Denison, *Circumplex Report NL MARSOF* (Denison Corporation, 25 July 2011).

Whole population MARSOF

Lowest Scores

1	Different parts of the organization often cooperate to create change.
1	When disagreements occur, we work hard to achieve "win-win" solutions.
1	Cooperation across different parts of the organization is actively encouraged.
1	There is a characteristic management style and a distinct set of management practices.
1	There is a clear mission that gives meaning and direction to our work.

Unit: UIM

Lowest Scores

1	Different parts of the organization often cooperate to create change.
1	When disagreements occur, we work hard to achieve "win-win" solutions.
1	Cooperation across different parts of the organization is actively encouraged.
1	There is a "strong" culture.
1	There is a characteristic management style and a distinct set of management practices.

Unit: MSO

Lowest Scores

1	Different parts of the organization often cooperate to create change.
1	Cooperation across different parts of the organization is actively encouraged.
1	The leadership has "gone on record" about the objectives we are trying to meet.
1	There is a clear strategy for the future.
1	All members have a deep understanding of customer wants and needs.

Figure 41.   The Items with the Lowest Scores of NL MARSOF, UIM, and MSO (From[221])

The DOCS results give a "snapshot" of the NL MARSOF unit culture as perceived by its members. To confirm these results, the respondents were asked to rank order the presence of the four cultural traits in NL MARSOF from strongest to least strong. In addition, the respondents also rank ordered the four cultural traits from most important to least important. Figure 42 depicts both results.

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[221] Daniel R. Denison, *Circumplex Report NL MARSOF* (Denison Corporation, 25 July 2011).
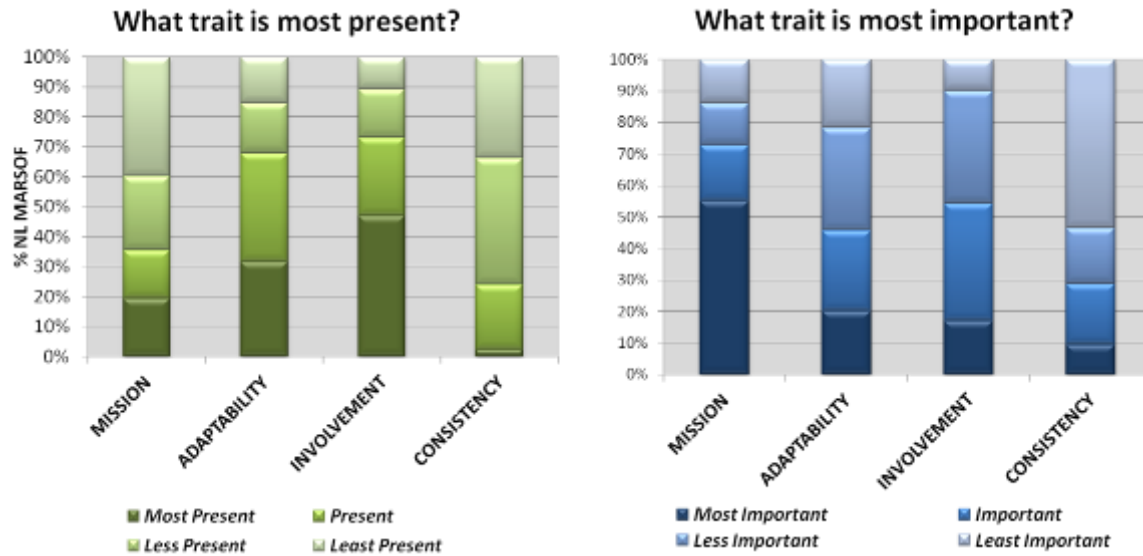
Figure 42.   Cultural Traits: Presence Compared to Importance

From the figure, one can conclude that the rank order in *present* cultural traits confirms and strengthens the DOCS results. Involvement is considered most present, followed by Adaptability, Mission, and Consistency. The only significant difference between the subunits is that the MSO members believe Involvement is substantially more present within their sub-unit than do UIM members, but this again is consistent with the DOCS results for the MSO. In addition, the figure shows that the trait Mission predominantly ranks most important (55 percent), followed by Adaptability, Involvement, and Consistency. Comparing the most present to the most important illustrates the contrast that NL MARSOF members indicate: Mission is most important, but Involvement is most present within their organization.

In summary, the analysis of the DOCS offers several preliminary conclusions. First, NL MARSOF scores low to average on the DOCS. Its relative strength lies in its flexibility (Adaptability and Involvement), and its weakness lies in its stability (Mission and Consistency). Overall, these DOCS results do not paint a promising picture of the organizational culture of NL MARSOF. Keeping in mind that the survey results give a (temporary) snapshot of the organizational

culture, it definitely serves as a wake-up call for NL MARSOF. After briefing the results to the cadre of NL MARSOF, they unanimously agreed that the DOCS model presents a realistic mirror for the organization to see its present culture state. NL MARSOF cadre collectively proposed that it should address the weak scores in all of the four cultural traits, especially focusing on Mission.

In addition, there is no significant difference in organizational culture between the sub-units or between the ranks. In all cases, the analyses for these subgroups show few differences. The important and promising conclusion is that there are no insurmountable cultural differences between sub-units or ranks. This gives hope that managing the identified friction points between the sub-units, and ultimately improving the organizational culture as a whole, will be successful.

This section addressed all of the significant differences between sub-units and ranks. The higher ranks tend to be more positive about their unit culture. However, the most numerous group is the enlisted men and junior NCOs, so a large part of the NL MARSOF population is less positive about the organization than is its leadership. The model clearly brings out this difference in perception. Leadership now can see that the men are less positive about the organizations culture than are they. This is in itself is a positive step forward and serves as a good starting point to work on improvement. In addition, the MSO tends to score better on Involvement than the UIM. The differences in the indexes of Involvement are discussed in detail in the following section. For now the fact that 71 percent of the members of the MSO live together on base, compared to only 28 percent of the members of the UIM, has undoubtedly influenced MSO's better score on Involvement. Working and living together give more opportunities to build relationships and commitment.

b. NL MARSOF Results on Involvement

This section analyzes the results of the three indices of the trait Involvement: (1) Empowerment, (2) Team Orientation, and (3) Capability

Development. To start, the respondents indicated how important the three indexes are to NL MARSOF. Figure 43 shows that NL MARSOF members find Team Orientation most important, followed by Capability Development and Empowerment. However, the DOCS results indicate that Team Orientation is the least present index (22 percent). Thus, in order to improve Involvement, NL MARSOF must work on Team Orientation.
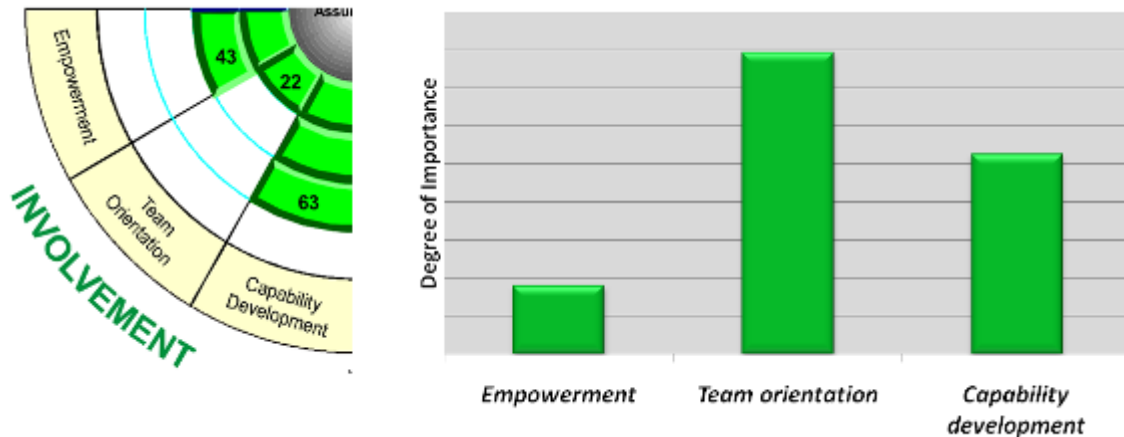
Figure 43.   Degree of Importance of Involvement Indexes for NL MARSOF

To improve Team Orientation, the respondents described what they believed to be the best ways to stimulate teamwork within NL MARSOF. All the respondents' answers on the open questions have been clustered in distinct categories. The categories will help NL MARSOF leadership in choosing the actions they can take to improve teamwork. Figure 44's bar chart depicts the best ways to stimulate teamwork. The selection of quotes gives a better sense of the general sentiment within NL MARSOF on teamwork. The quotes are from respondents from the different sub-units and ranks.

How can you stimulate teamwork?

Quotes:

"Tear down the walls."

"Train together under tough conditions."

"Be in one location with one boss and one mission."
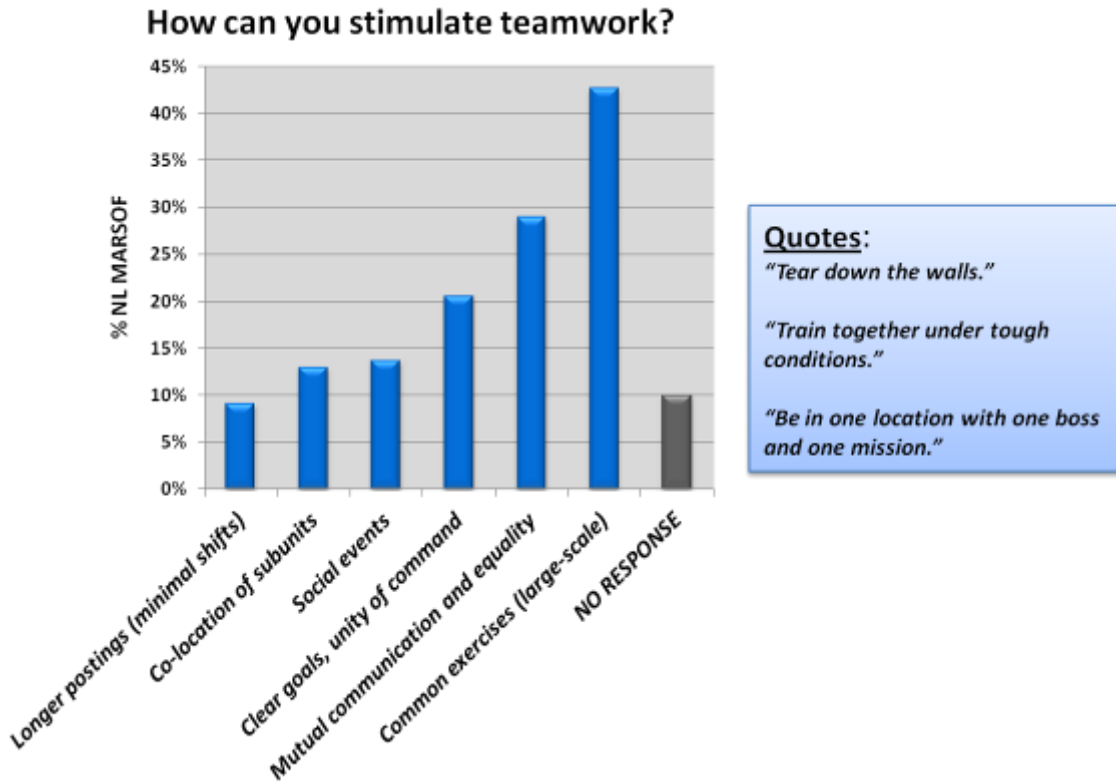
Figure 44.   Team Orientation: How Can You Stimulate Teamwork?

Mostly, respondents indicate that increasing the number of large-scale exercises is a way to improve teamwork (43 percent), followed by better mutual communication (29 percent), and clear goals and uniform leadership (22 percent). Between the sub-units, the MSO indicate social events more often, and the UIM indicate co-location more often. The only significant difference between ranks is that only marines and corporals prefer longer postings in NL MARSOF to have more time to build teamwork.

The new MSOF-course is a critical first step in the Capability Development of NL MARSOF personnel. It is the foundation of every MARSOF member and, therefore, its acceptance is important. To measure acceptance, the respondents indicated if they think the MSOF-course is an improvement to the previous separate selection courses of the UIM and the MSO. From the total respondents, 46 percent agree that the new MSOF-course is an improvement,

but still almost 30 percent disagree. The fact that one in three members disagrees raises serious concerns about the level of acceptance of the new MSOF-course. Figure 45 shows the various explanations respondents give for their agreement or disagreement. These explanations can help leadership select actions to improve acceptance of the new basic course.
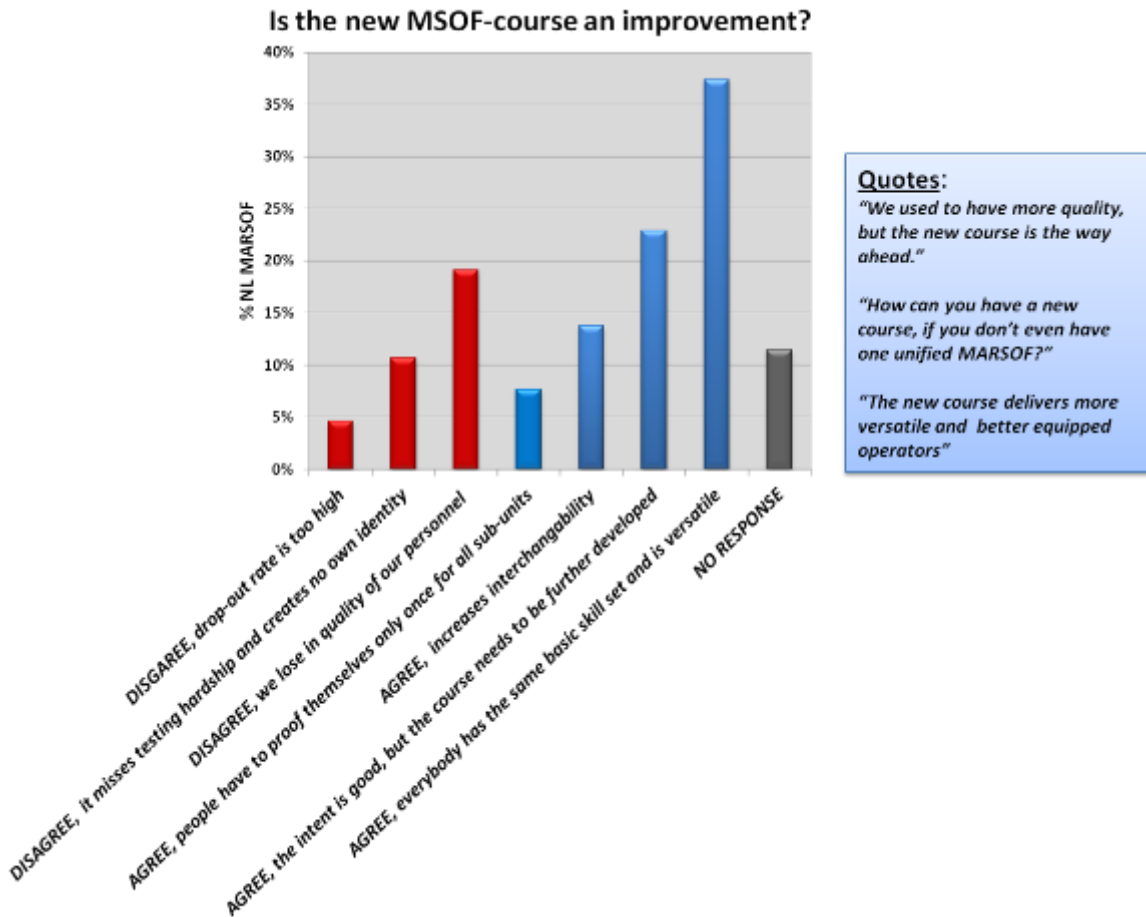
Figure 45.   Capability Development: Is the MSOF-course an Improvement?

The respondents who indicated that the new MSOF-course is an improvement generally believe that the new course delivers more versatile and better-equipped operators who are interchangeable between the UIM and the MSO. The new course also benefits new candidates, because they do not have to go through multiple tough selection courses any more to work in both the UIM

and the MSO. These reasons exactly correspond with the official arguments for the development of new MSOF-course. On the other hand, the respondents who indicated that the new MSOF-course is *not* an improvement predominantly believe that the new course delivers operators of lesser quality and "toughness." Of those respondents, the large majority are the marines and corporals. Thus, contrary to the expectation that older members might be more prone to think that the new course is not an improvement, the younger members actually do. Lastly, members from the UIM focus more on the loss in quality, and the members from the MSO focus more on the loss in hardship and identity. The follow-up interviews clarify this outcome.

In summary, NL MARSOF scores just about average on the trait Involvement. The respondents find Team Orientation the most important index for NL MARSOF, but it is least present (22 percent). The other indexes score average (43 percent and 63 percent). For Capability Development, respondents generally consider the new MSOF-course the way ahead. The senior members, however, must better inform the younger members about the reasons behind the new MSOF-course to gain overall acceptance of the course and see the new members as equals. To improve Involvement, NL MARSOF leadership can focus on improving Team Orientation by conducting more large-scale exercises within NL MARSOF, improving mutual communication between units and ranks, and giving clear goals and uniform leadership.

c.   NL MARSOF Results on Adaptability

This section analyzes the results of the three indexes of the trait Adaptability: (1) Creating Change, (2) Customer Focus, and (3) Organizational Learning. To begin, the respondents indicated how important the three indexes are to NL MARSOF. Figure 46 shows that NL MARSOF members find Creating Change to be the most important index, followed by Organizational Learning and Customer Focus. The very low DOCS score on Customer Focus (2 percent) corresponds with the perceived low importance of it. The DOCS score on

Creating Change is below average (27 percent), while the respondents consider it the far most import index of the trait Adaptability. Thus, in order to improve Adaptability, NL MARSOF must work on the willingness and ability to change, while emphasizing the importance of understanding and anticipating to stakeholders and their future requirements.
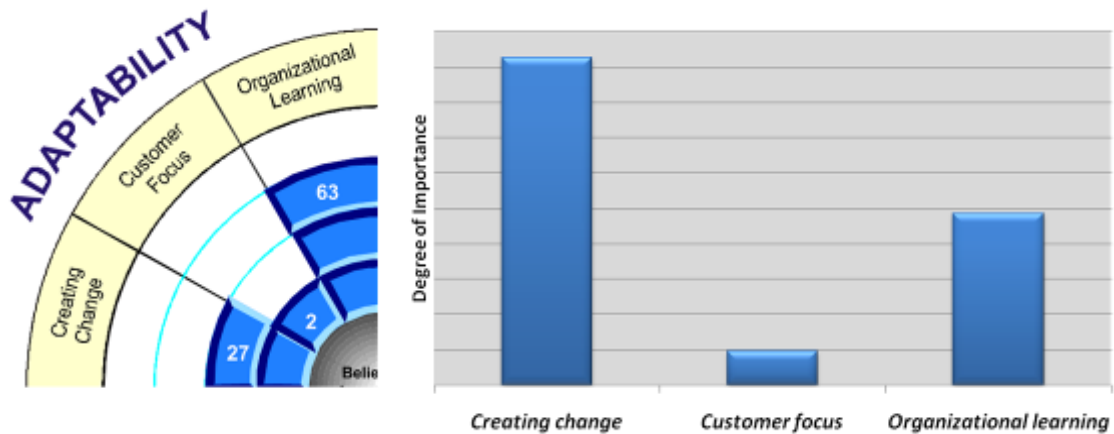
Figure 46.   Degree of Importance of Adaptability Indexes for NL MARSOF

To improve the Creating Change index, the respondents have indicated what they believe to be the best ways to improve the willingness and ability to change within NL MARSOF. These preferred ways are clustered in different categories; Figure 47 shows this in a bar chart. Again, the quotes give a better sense of the general sentiment within NL MARSOF on how to create change.

How to improve the willingness/ability to change?

Quotes:
"More cooperation with world-class SOF (UK/USA)."

"Integratiion with national intelligence (MIVD)."

"Capable staff (incl. large intelligence section)."
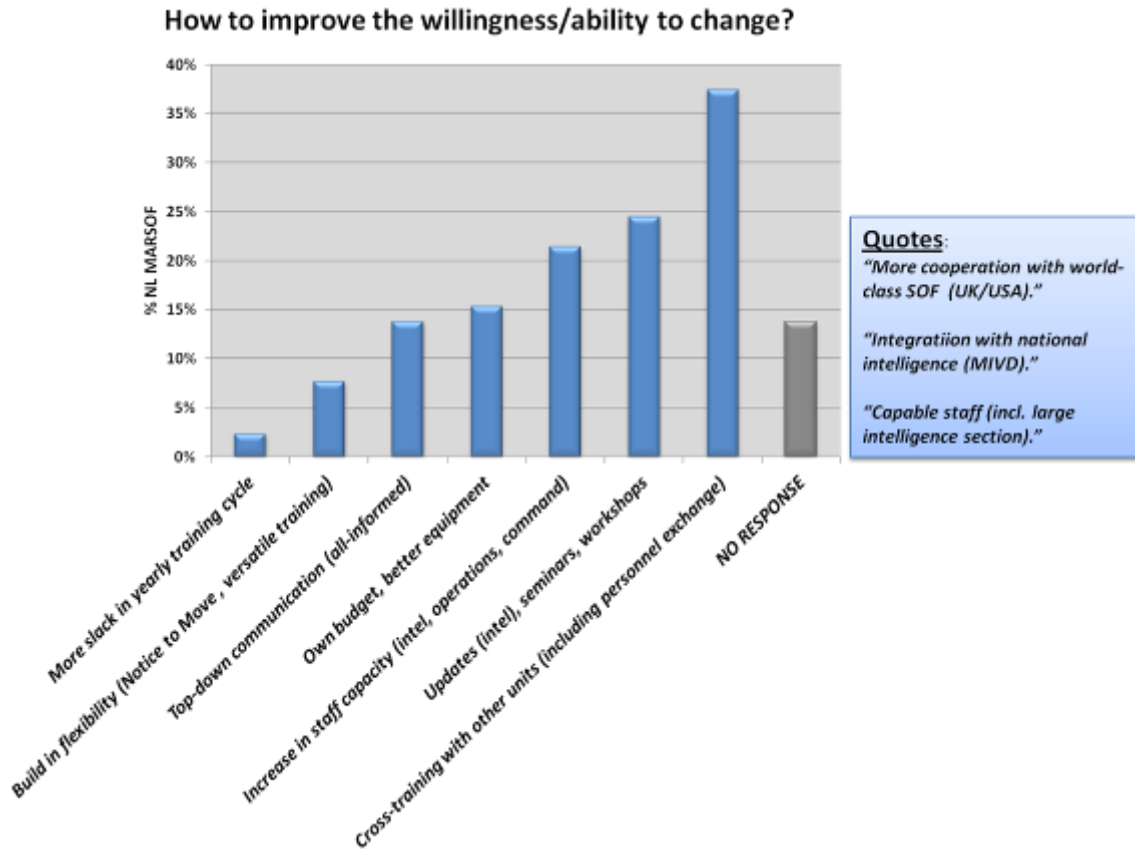
Figure 47.   Creating Change: How Can You Improve the Willingness/Ability to Change?

According to NL MARSOF, the best way to improve the willingness and ability to change is via cross-training and personnel exchanges with other units (37 percent). UIM members particularly emphasize this (more than 50 percent). In addition, the respondents mention frequent (intelligence) updates, seminars, and workshops as relatively simple ways to stimulate new ideas and approaches (24 percent). Between ranks, the sergeants predominantly mention an increase in staff capacity and better top-down communication as ways to improve the ability to read the operating environment and anticipate future changes.

NL MARSOF scores average on Organizational Learning (63 percent). However, the respondents identify several ways to further stimulate

organizational learning and, thus, improve the ability to receive, translate, and interpret signals from the environment into opportunities for innovation. Figure 48 shows a bar chart of the identified ways and selected corresponding quotes. Of these ways, 37 percent of the respondents indicate that they must be given the opportunity to try suggested new ideas despite the risk of failure. It is a clear signal to leadership that this has not fully been the case. Therefore, besides better two-way communication in giving feedback on developments and progress (47 percent), actually trying out new ideas is an important way to stimulate creativity and organizational learning. Contrary to expectation, only 10 percent of the respondents indicate rewards (money) as an important incentive to stimulate new ideas and organizational learning. Of these respondents, the majority were marines, corporals, and sergeants.

Figure 48.   Organizational Learning: How Can You Stimulate Organizational Learning?

Customer Focus for NL MARSOF is the recognized need to serve its stakeholders and anticipate their future needs. NL MARSOF being a military organization, the most important stakeholder is its higher command (the Commandant of the Royal Netherlands Marine Corps). The Commandant ultimately controls the resources and assigns mission tasks. Nevertheless, the respondents unanimously indicate that the requirements and demands of the Commandant are the least important to fulfill compared to other stakeholders. These other stakeholders are important, but are not directly in command of NL MARSOF. To address this misperception, NL MARSOF leadership should inform personnel of the actual command relationships and the relative importance of the other stakeholders. Figure 49 shows the survey results' rank order from most important to least important stakeholder.
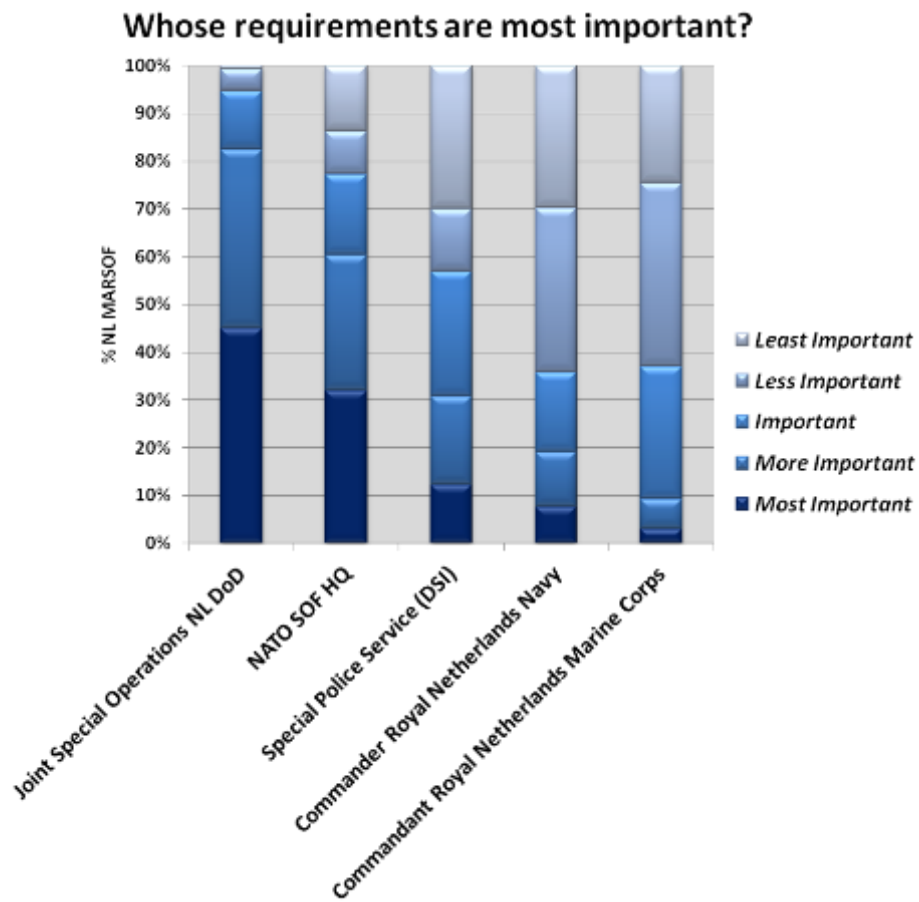
Figure 49.   Customer Focus: Whose Requirements Are Most Important?

In summary, NL MARSOF scores average on the trait Adaptability. Within Adaptability, the respondents find the willingness and ability to change the most important, but it is only minimally present (27 percent). Of the three indexes, the respondents consider Organizational Learning most present (63 percent). Thus, innovation and creativity is stimulated, but respondents indicate that members can be motivated even more when more of their suggested ideas are actually tried out.

Furthermore, NL MARSOF scores very low on Customer Focus (2 percent). Its members need to realize that it has to serve their most important stakeholder, the Commandant of the Netherlands Marine Corps. Respondents currently consider him the least important compared to other external stakeholders and this results in their being unlikely to anticipate the Commandant's actions and requirements. NL MARSOF leadership should address this misperception. To improve Adaptability overall, NL MARSOF leadership should focus on improving the ability and willingness to change by stimulating more cross-training with other (world-class) SOF units, organizing seminars, workshops, and (intelligence) updates, and putting effort in creating more capable staff members (training and education).

d. NL MARSOF Results on Consistency

This section analyzes the results of the three indexes of the trait Consistency: (1) Core values, (2) Agreement, and (3) Coordination & Integration. The respondents first indicated how important the indexes are to NL MARSOF. Figure 50 shows that NL MARSOF members find Coordination & Integration the most important index, followed by Core Values, and finally Agreement. NL MARSOF scores very low on all three indexes. Only Coordination & Integration scores slightly higher (22 percent); this corresponds with its perceived higher importance. The ranking of the three indexes by the respondents does not differ between sub-units or ranks. To improve the overall perception of Consistency, leadership can generally work on all indexes. However, to achieve most effect,

they should give what the respondents perceive as most important— Coordination & Integration—the most attention.
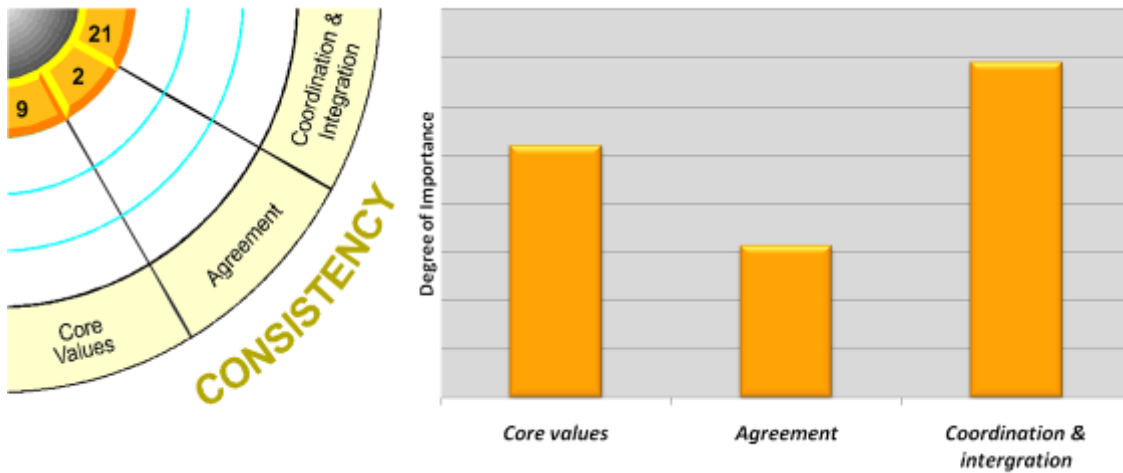
Figure 50.   Degree of Importance of Consistency Indexes for NL MARSOF

Of the total respondents, a strong majority (85 percent) said the UIM and the MSO need to work together more often. Thus, there is a definite sense of need to cooperate more to improve Coordination & Integration. Figure 51 shows the various beliefs about why the subunits need to work together better than they do now to achieve common goals. These reasons express the urgent feeling that something has to change in the way NL MARSOF operates internally.

Barring some nuances, there is no significant difference in what the members of the different sub-units have indicated in the survey. More so than members of the MSO, the members of the UIM mentioned improving cohesion as an important reason to cooperate (40 percent of the UIM compared to 20 percent of the MSO). On the other hand, more so than members of the UIM, the members of the MSO mentioned mutual learning as an important reason for cooperation (60 percent of the MSO compared to 40 percent of the UIM). Lastly, several sergeant majors and warrant officers said that the UIM and MSO should cooperate *much less*, because both sub-units have different tasks that are

"simply just not compatible." Even though the UIM and MSO have different tasks, cooperation between both units can take many forms. Saying that the sub-units should not cooperate at all indicates a lack of understanding or willingness to make NL MARSOF a success. Coming from senior NCOs, this raises concern, because especially they have to carry the idea of NL MARSOF forward to their men. The follow-up interviews address this concern.
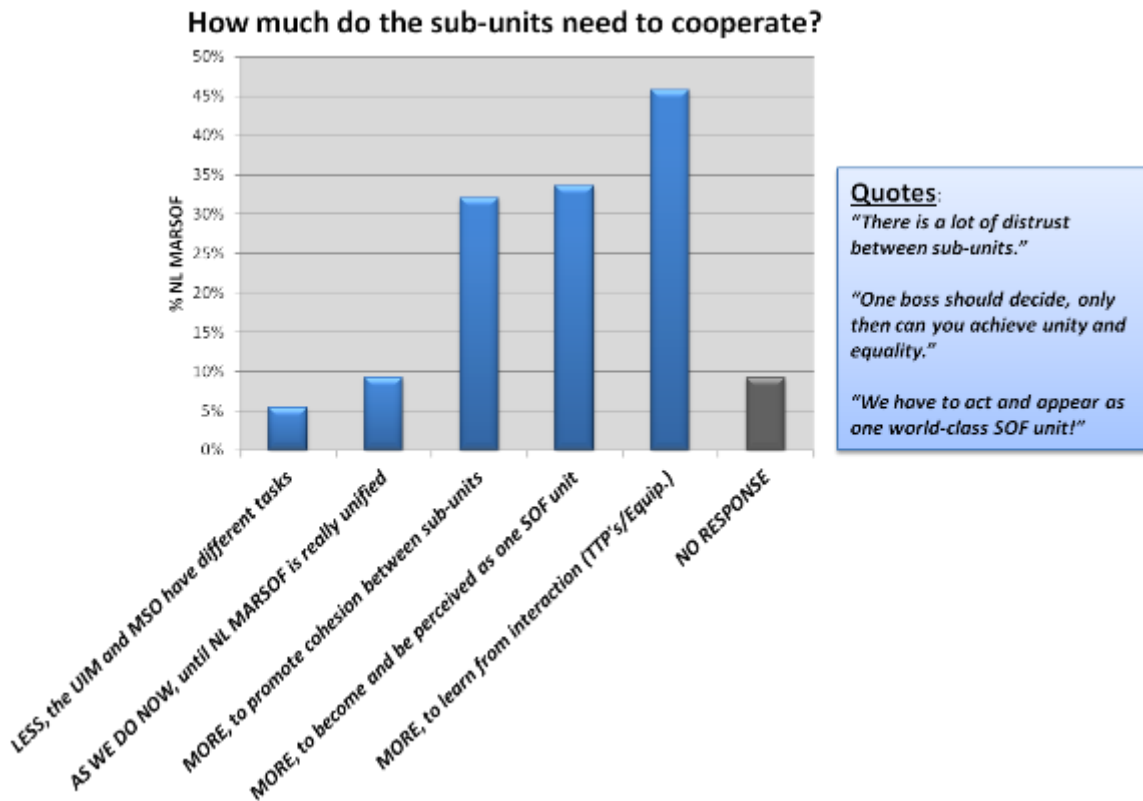
Figure 51.   Coordination & Integration: How Much do We Need to Cooperate?

According to a considerable majority (84 percent) of NL MARSOF, the ability to reach agreement is necessary. However, they all realize that it is impossible to get agreement within NL MARSOF on every issue. Agreement is necessary only on specific, important issues and the respondents most often indicated that agreement is most necessary on the mission (48 percent), followed by procedures (TTPs) and training (33 percent). This perception is equal among

sub-units and ranks. Figure 52 shows the important issues on which NL MARSOF members believe agreement is necessary. Based on these results, the next logical question is whether agreement on these issues actually exists within NL MARSOF. Even though this answer is fairly predictable, the follow-up interviews address this question.
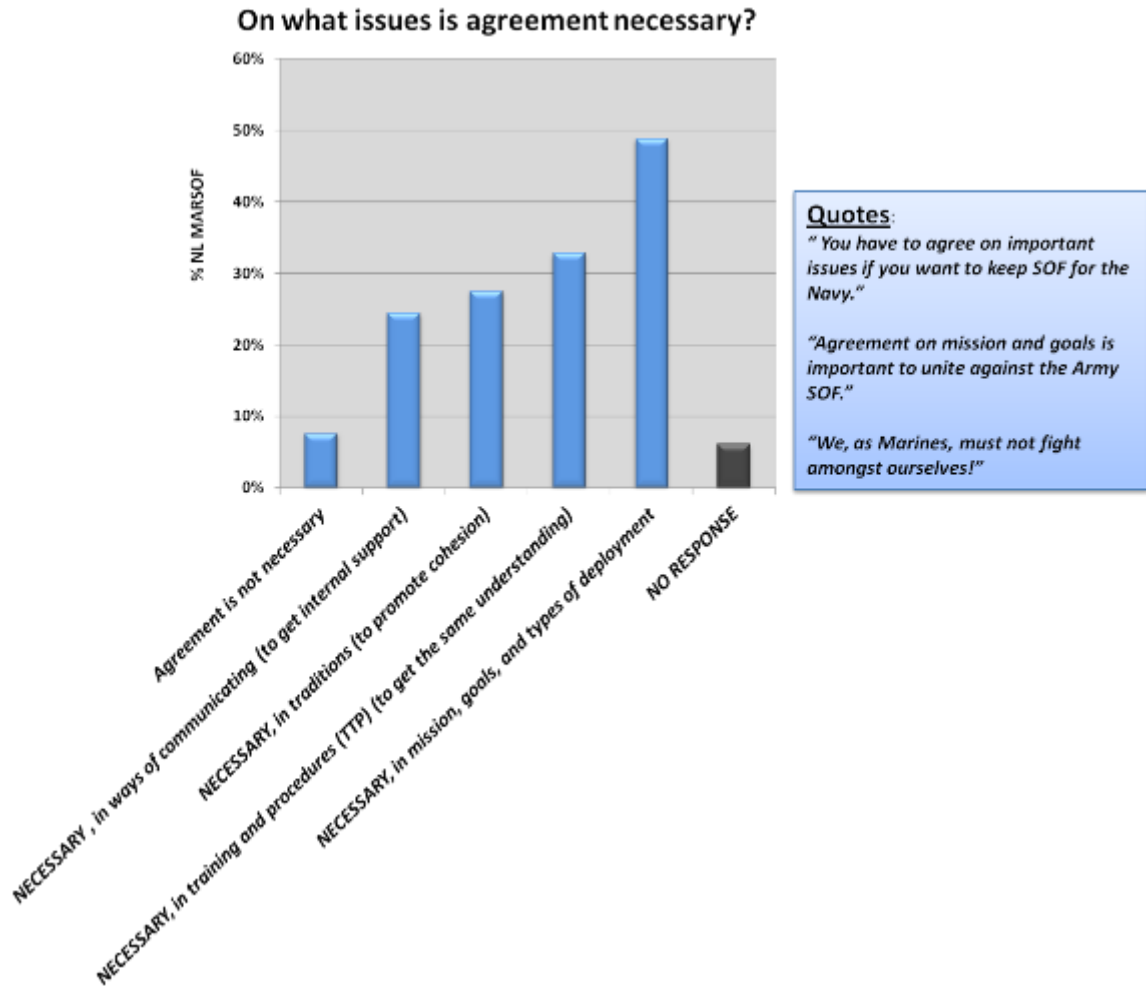
Figure 52.   Agreement: On what Issues is Agreement Necessary?

To determine whether the Core Values of the NL MARSOF members are equivalent, respondents chose four (out of twenty) values they believe need to be held in common within NL MARSOF. Each cultural trait is represented by five of the twenty values, so for each cultural trait the

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respondents identified the most important value for NL MARSOF. Figure 53 shows the distribution of the possible common values for NL MARSOF. The respondents chose the following five values most often: (1) teamwork, (2) quality, (3) unity, (4) responsibility, and (5) flexibility. Of these five values, *quality* represents the trait Mission, *teamwork* and *responsibility* represent the trait Involvement, *unity* represents the trait Consistency, and *flexibility* represents the trait Adaptability.

The bar chart shows that a large majority of NL MARSOF believes that these five values need to be commonly held in NL MARSOF. For instance, almost 70 percent choose quality as a needed common value. Among the sub-units and ranks, there are no significant differences in opinion. Thus, all the members of NL MARSOF generally believe in the same core values. This provides a good starting point to work on managing the friction points, because apparently the sub-units do not differ significantly in the things they value. Thus, leadership can build on these common values in developing mission statements, command philosophies and other command directives.
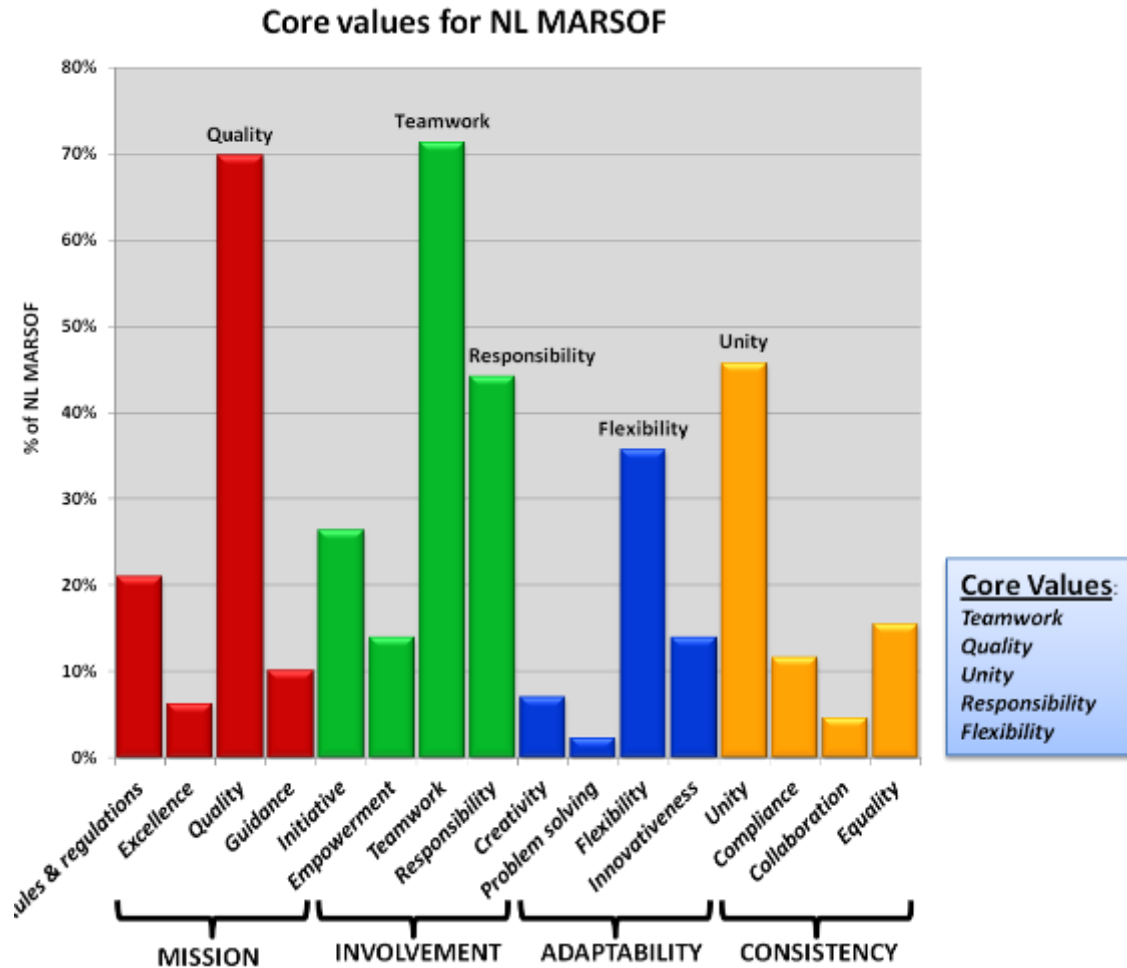
Figure 53.   Core Values: What Core Values Need to Be Common within NL
MARSOF?

In summary, NL MARSOF scores low on the trait Consistency. Across the board, the members believe there is no common mindset (i.e., a shared system of beliefs, values and symbols that are widely understood by members of an organization) within NL MARSOF. However, the core values reveal a striking resemblance between sub-units and ranks. This indicates that in essence all members of NL MARSOF value the same things, even though this fact might not be widely understood by the members. Thus, it should be feasible to manage the identified friction points, because they are not based on irreconcilable differences in values.

Within Consistency, the respondents find Coordination & Integration the most important, but it is only marginally present (21 percent). Thus, to improve Consistency, a large majority (85 percent) indicates that sub-units of NL MARSOF should coordinate and integrate more. That way the sub-units can learn from each other and improve internal cohesion, while outsiders will be more likely to view NL MARSOF as one unified SOF unit. Agreement is hardly present as a value within NL MARSOF (2 percent), but respondents indicate that it is most essential in areas such as mission, training and procedures. Overall, the score on Consistency leaves significant room for improvement, but leadership can develop a common mindset by focusing their effort on Coordination & Integration and Agreement on essential issues.

e.   *NL MARSOF Results on Mission*

This section analyzes the results of the three indexes of the trait Mission: (1) Strategic Direction & Intent, (2) Goals & Objectives, and (3) Vision. NL MARSOF scores very low on all three indexes. Only Vision scores slightly better (23 percent). In addition, the respondents indicated how important they think the indexes are to NL MARSOF. Figure 54 shows that NL MARSOF members find Strategic Direction & Intent the most important index, but it only differs slightly in degree of importance from Goals & Objectives. On the other hand, respondents give Vision significantly less importance. A plausible explanation could be that strategic direction, goals, and objectives have a more short-term focus than vision. Its absence, therefore, affects members' daily work more than a lack of vision.

Between the sub-units, the UIM finds Strategic Direction slightly more important than Goals & Objectives. For the MSO members the case is reversed. Among ranks, the marines and junior NCOs find Strategic Direction more important, compared to the senior NCOs who indicate Goals & Objectives as more important. That being said, these differences between sub-units and ranks are minor compared to the impact of the overall low score on Mission.
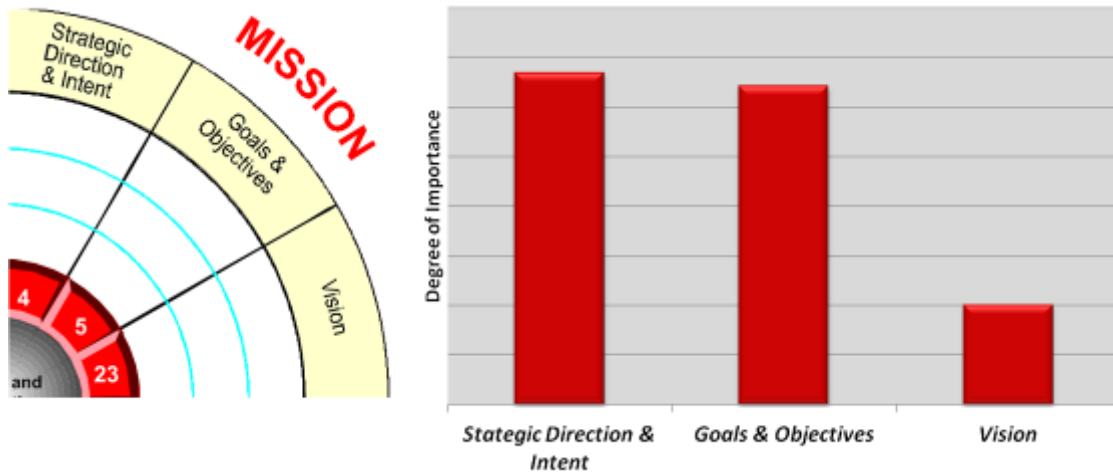
Figure 54.   Degree of Importance of Mission Indexes for NL MARSOF

Chapter III, *Strategic Utility Explored,* uses the 3-D cube as a framework to define strategic utility. Historical data analysis showed how the various types of missions NL MARSOF conducted in the past fit the 3-D cube. The governing document analysis identified the required strategic utility for NL MARSOF. The survey also uses the 3-D cube to frame the questions on preferred strategic utility for NL MARSOF. The respondents answered questions related to each dimension of the 3-D cube, so it visualized the preferred strategic utility of the members of NL MARSOF. This result will help NL MARSOF leadership in aligning the *preferred* with the *required* strategic utility. This will ultimately give strategic direction, goals, and objectives to NL MARSOF, thus improving the indexes Strategic Direction and Goals & Objectives.

On the first dimension of the 3-D cube, the respondents ranked the different geographic environments in which they believe NL MARSOF should operate. The results indicate that the largest part of NL MARSOF members think the littoral is the most important environment for NL MARSOF, followed by land, sea, and riverine area. Both sub-units' survey data show the same outcome. One interesting difference between ranks, however, is that the lower the rank, the more important they believe it is for NL MARSOF to operate on land. This perception could reflect the fact that recently the largest contribution of NL

MARSOF was to land-based special operations in Afghanistan. Figure 55 shows the rank order from most important to least important geographic environment.
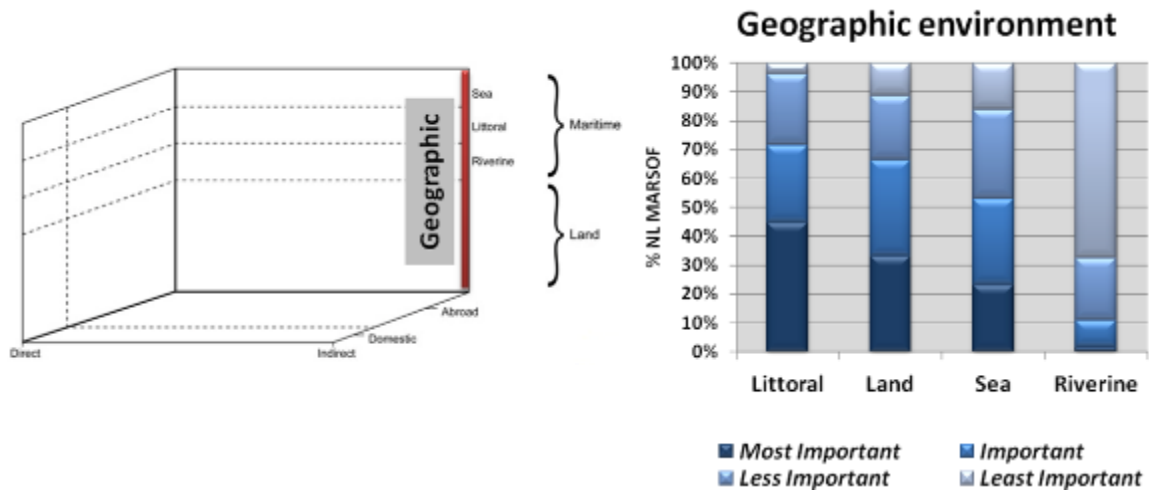
Figure 55.   Geographic Environment: Where Should NL MARSOF Operate?

On the second dimension of the 3-D cube, the respondents ranked the political domain on which NL MARSOF should focus. A large majority of the respondents (73 percent) indicated that international missions (special operations abroad) are more important for NL MARSOF than national missions (domestic counter-terrorism). More than 60 percent of the UIM and 95 percent of the MSO believe that special operations abroad are more important. The respondents perceive special operations as NL MARSOF's core business in which domestic counter-terrorism is but one subset of operations. Interestingly, the higher the respondent's rank, the more important he believes international missions are. An explanation could be that the UIM has more junior members than does the MSO, and these junior members think their specific sub-unit task of domestic counter-terrorism is most important for the whole of NL MARSOF. Figure 56 shows the distribution in importance of national and international missions.
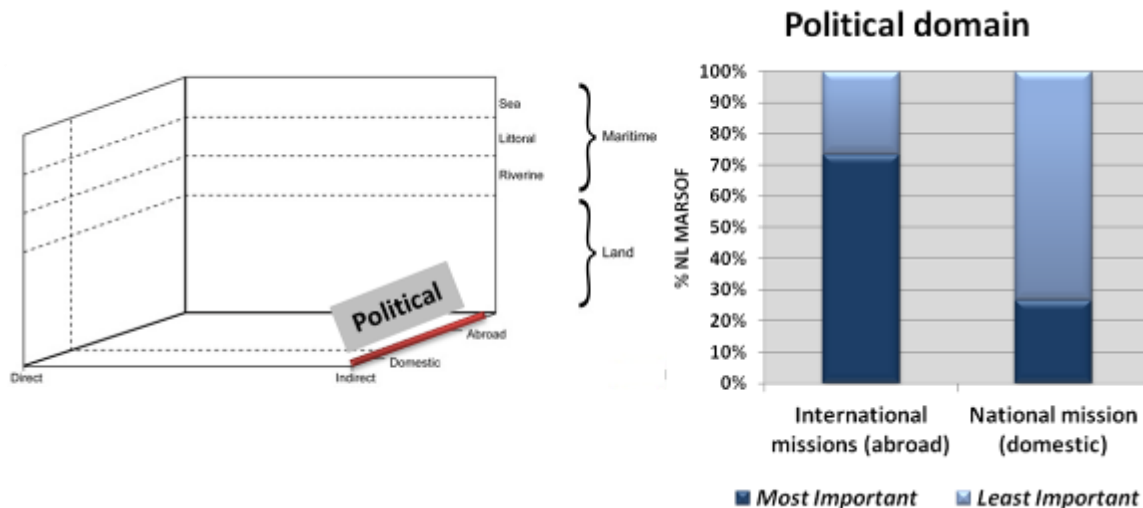
Figure 56.   Political Domain: What Mission Type is More Important?

On the third dimension of the 3-D cube, the respondents ranked the different principal missions that NL MARSOF can conduct within the whole spectrum of special operations. The largest part of NL MARSOF members think it should focus primarily on direct action (DA), closely followed by counter-terrorism (CT) and special reconnaissance (SR). More than 75 percent think that military assistance (MA) is least important; fewer than 2 percent believe it is the most important. Those 2 percent are predominantly members ranking sergeant major or above. Between the sub-units, 55 percent of the UIM ranked counter-terrorism as most important compared to only 10 percent of the MSO. Nevertheless, both ranked direct action and counter-terrorism as the two principal missions NL MARSOF should conduct. The results, show that NL MARSOF members believe that the direct mission side of the spectrum of special operations is more important than the indirect mission side. Figure 57 shows the rank order from most important to least important principal missions.
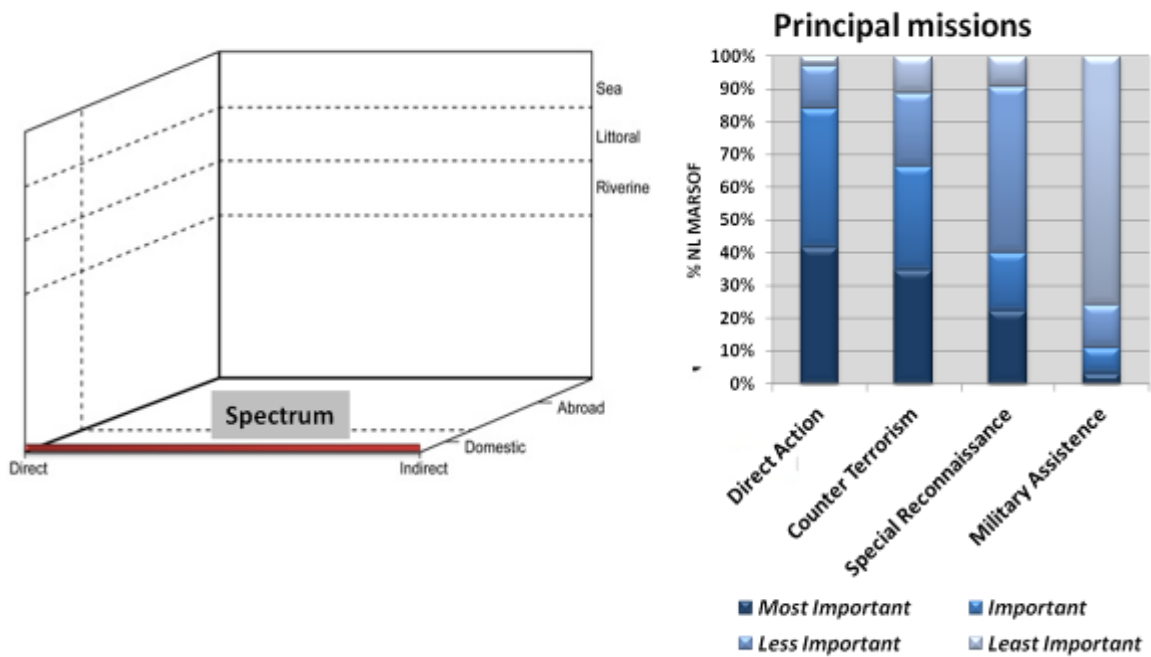
Figure 57.   Special Operations Spectrum: What Principal Missions Are More Important?

By placing the results of the three dimensions in the 3-D cube, the focus of the preferred strategic utility of NL MARSOF becomes visual. Figure 58 shows where within the 3-D cube of strategic utility the majority of the members of NL MARSOF prefer their organization to focus. Leadership can now compare this to the required strategic utility for NL MARSOF and align the preferred with the required strategic utility. The overlaps and gaps are the points of attention in adjusting Strategic Direction and defining Goals & Objectives.

Prefered Strategic Utility NL MARSOF
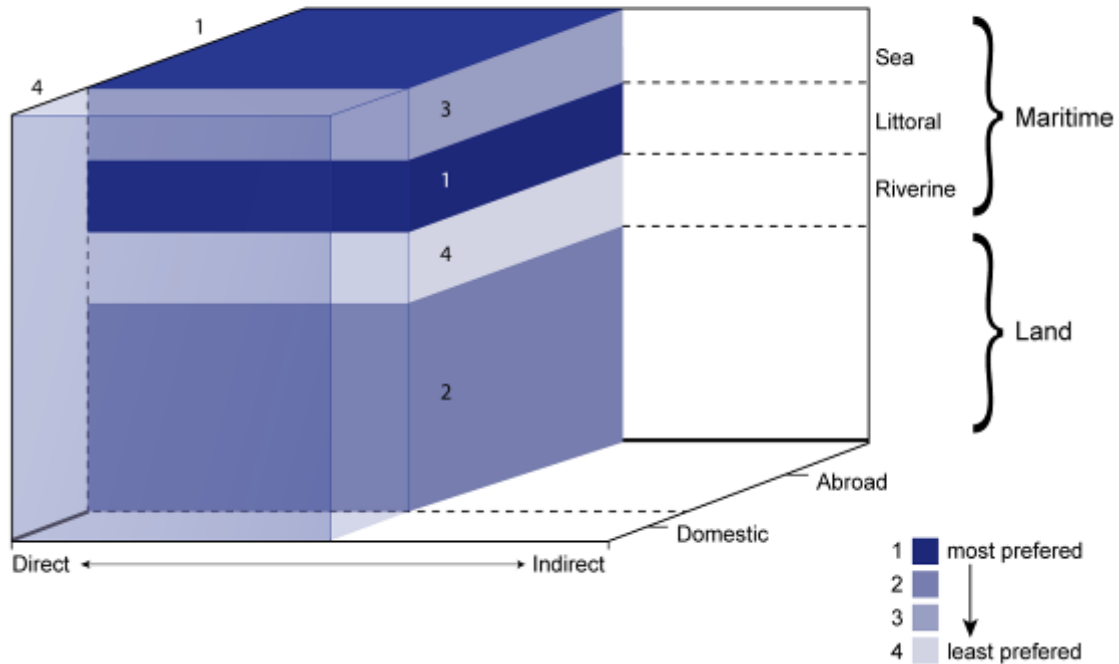
Figure 58.   The Preferred Strategic Utility of NL MARSOF

To help provide strategic direction, the respondents also described how NL MARSOF could distinguish itself from other Dutch SOF units. Naturally, most respondents emphasize the maritime nature of the unit as a distinct capability. More interestingly, however, almost one third of the members indicated that NL MARSOF could distinguish itself by the quality of its personnel. In addition, more than one fourth of the members mentioned the advantage of the smaller NL MARSOF's flexibility and innovativeness compared to the bigger Army SOF. These findings support the first basic truth of SOF that "humans are more important than hardware." Strategic direction is important, but the people also need to be able (Quality) and willing (Flexibility) to follow it. Figure 59 shows the different ways by which NL MARSOF can distinguish itself from others.

How can NL MARSOF distinguish itself?

Quotes:
"We often act without thinking about what we are really good at."

"A spread of information on our mission and direction is necessary before thinking about ways to distinguish ourselves."

"We can want many things, but most importantly our higher command has to agree."
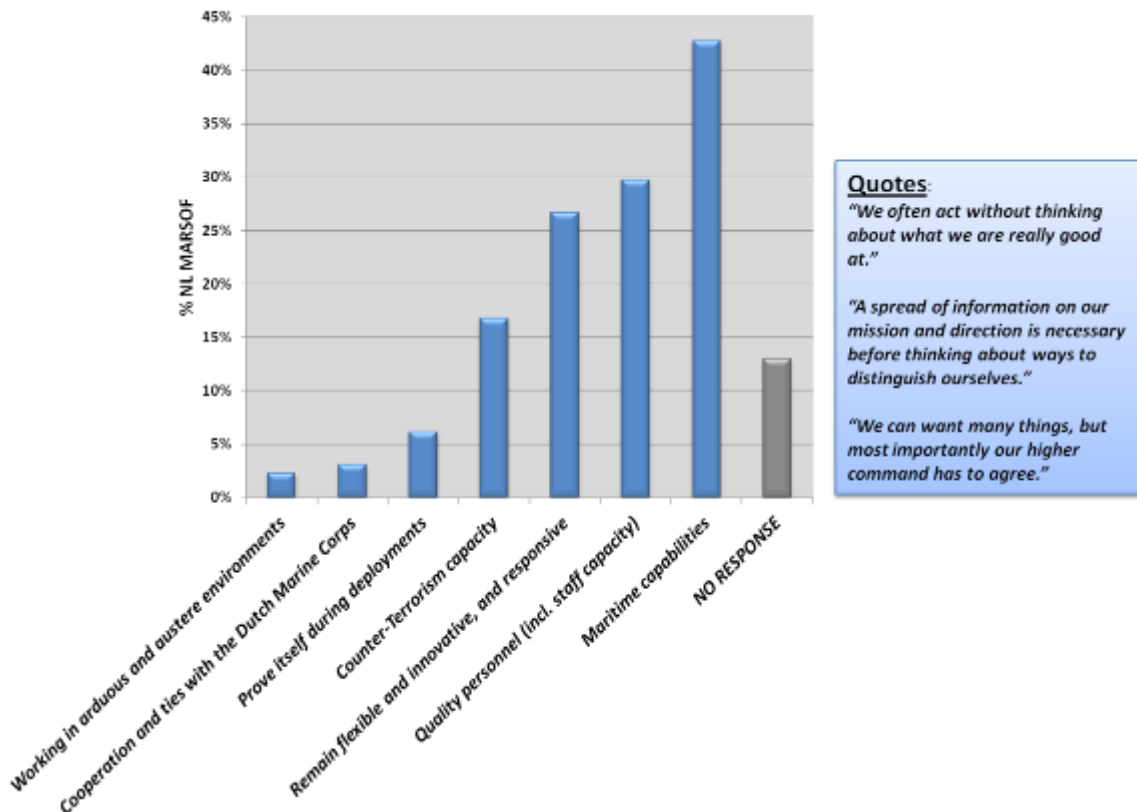
Figure 59.   Strategic Direction: How Can NL MARSOF Distinguish Itself from Others?

NL MARSOF's vision is its ultimate reason for existence–its purpose–what the organization is ultimately trying to achieve. It is the "dot on the horizon" for its members, and NL MARSOF's mission statement should clearly formulate this vision. Nevertheless, NL MARSOF scores marginal on the index Vision, doing better than only 23 percent of the other 5000 organizations of Denison's normative database. To confirm the low percentile score on Vision, respondents are asked to describe what NL MARSOF's mission (i.e. mission statement) is. Most answered this question simply by saying that MARSOF conducts maritime special operations and counter-terrorism. However, more than one third answered that they do not know what NL MARSOF's mission or vision is. Those respondents include a few officers and many senior NCOs. For

example, eight sergeant majors said that they did not know what NL MARSOF's mission is. It is fair to say that this outcome is very disturbing. If these senior members indicate they do not know what the mission is, they cannot inform the younger members or clarify matters for them, thus confusion about the mission perpetuates. Figure 60 shows the various answers on the question what the respondents think NL MARSOF's vision and/or mission statement is.
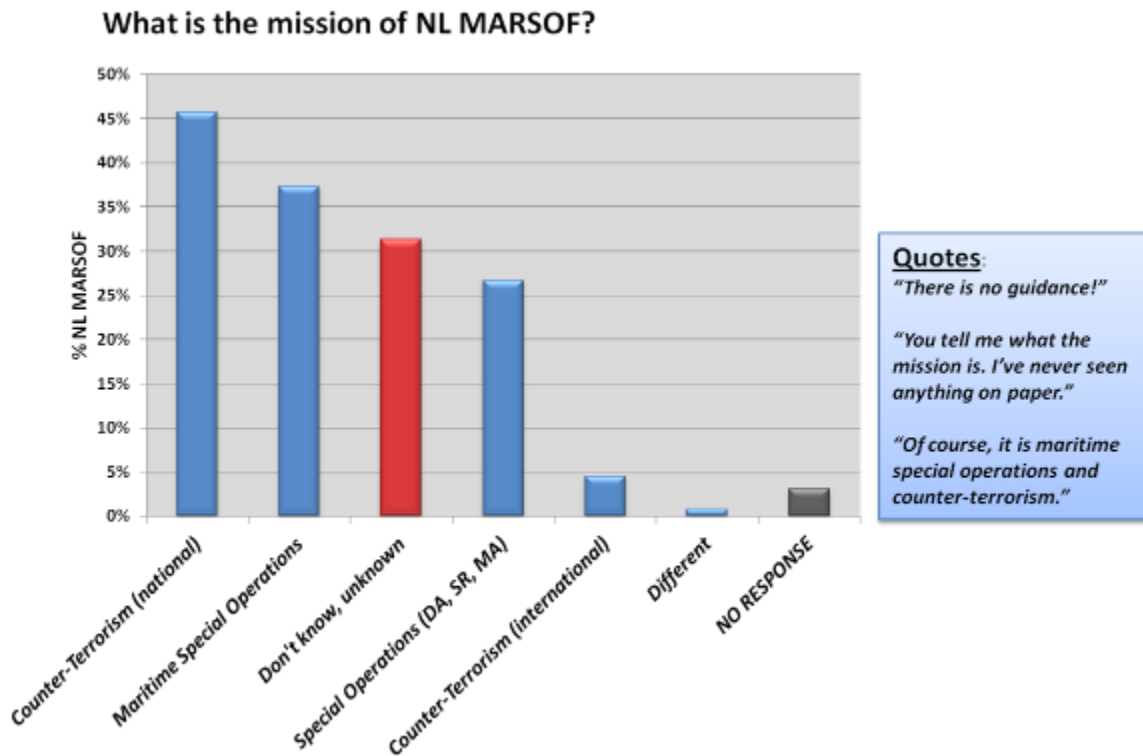
Figure 60.   Vision: What Is NL MARSOF's Mission?

In summary, NL MARSOF scores low on the trait Mission. Across the board, its members believe there is a lack of Vision, Strategic Direction, Goals, and Objectives. The members generally miss guidance that tells them why they are doing particular work and how they contribute to the strategic intent of NL MARSOF. Within the trait Mission, the respondents find Strategic Direction and Goals & Objectives equally important, but both are minimally present. On

Strategic Direction and Goals & Objectives, NL MARSOF scores better than only 4 percent and 5 percent of the other 5000 organizations in the normative database.

As for Vision, the ultimate reason for NL MARSOF's being, one third of the members, including senior cadre, indicated that they do not know what it is. The follow-up interviews further investigated this result. The 3-D framework shows that the majority prefer direct missions (DA and CT), predominantly in an international maritime domain. However, the question remains whether this *preferred* strategic direction aligns with the *required* strategic direction. This is where NL MARSOF's leadership needs to give guidance and realign if necessary. Furthermore, a large part of the respondents indicated that besides maritime and counter-terrorism capability, NL MARSOF could distinguish itself with the quality and creativity of its people. Therefore, investing in personnel capability and skills will probably have a positive effect on the confidence of the members and the overall quality of NL MARSOF.

f.   NL MARSOF and Its Performance

This last section analyzes the outcome of NL MARSOF's assessment of its own performance compared to the KCT (Dutch Army SOF). Respondents assessed the organization's performance on ten points, of which five relate to the hot side of the organization (the goal-oriented subculture focused on real action) and five relate to the cold side of the organization (the process-oriented subculture focused on prevention, facilitation, and preparation). Figure 61 depicts NL MARSOF's assessment on its own performance.

On the hot side of the organization, one in five members think NL MARSOF performs less well than does the Army counterpart. Surprisingly, almost half of the senior NCOs think the overall performance of MARSOF is lower than that of KCT. Most striking, however, is the fact that almost 70 percent of the respondents say that NL MARSOF has lower quality staff members than has the KCT. This means that a large number of the staff members of NL

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MARSOF have indicated this about *themselves*. The fact that in contrast only 2 percent of the respondents think NL MARSOF has lower quality teams highlights the outcome even more. High quality staff is essential in SOF units, so the follow-up interviews discussed this issue.
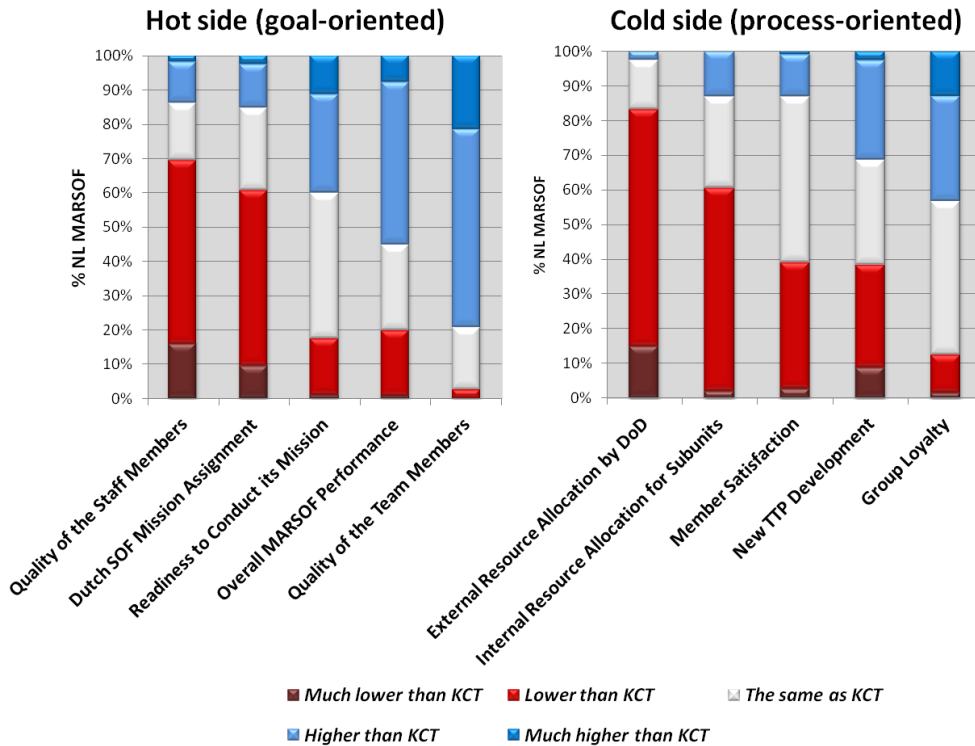
Figure 61.   NL MARSOF Performance: How Do We Perform Compared to KCT (Dutch Army SOF)?

On the cold side of the organization, the general perception is that the KCT better manages their superior resources. More positively, only 12 percent believe that the members of the KCT are more loyal to their unit. Most worrisome is the fact that 40 percent of the respondents say that unit member satisfaction is higher within the KCT, compared to only 12 percent saying satisfaction is higher within MARSOF. Of those 40 percent, the majority are marines and corporals. This perception can influence these younger members in

their choice to pursue a career in NL MARSOF or transfer to the Army SOF unit. It is hard to select, train, and retain high quality SOF personnel, so the follow-up interviews discussed this issue.

Overall, the respondents' answers generally revealed a slightly lower level of self-esteem compared to their perception of the Army counterpart. On the cold side of NL MARSOF, most of its members think KCT performs equally or better. On the hot side, the perception of NL MARSOF's performance is more positive, with the exception of the quality of the staff and the relative share in Dutch SOF missions. Being humble and assuming an underdog position is not necessarily negative, as long as it does not become an inferiority complex and thus affect the unit's *esprit de corps*. Therefore, the low perception of member satisfaction and staff quality deserves further investigation during the follow-up interviews.

5.   Concluding Thoughts on the Survey Results

Mission is the single most influential cultural trait on which organizations can focus.[222] If an organization is struggling with overall performance or is in crisis, it should focus on its mission. In organizations that are in crisis, leaders tend to think that they have to implement a new structure, a better system, or new processes, because they want to get more control of the situation. These measures are all elements of the Consistency trait (the degree to which values and behavior are concise and integrated). However, more consistency without the context of strong Mission or high Involvement will not optimally improve the overall organizational effectiveness. Caroline Fisher's research shows that the way to start improving organizational effectiveness is not by trying to improve Consistency (systems and structures), but first to create more Involvement by letting people think about and work productively on the organizational mission (the vision, the goals & objectives, and the strategic direction). These cultural

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[222] Caroline Fisher, as referred to in "New Paradigms: Why Mission Matters." *Leader to Leader* no. 17 (Summer, 2000): 46–48.

traits of Mission and Involvement are the hardest to tackle, because they require deep personal change. Nevertheless, these two traits have the "highest leverage."

The results of the survey indicate a similar situation for NL MARSOF. The overall score on the Denison Cultural Survey is low, indicating low organizational effectiveness. The overall perceived lack of Vision, Goals, and Strategic Direction is obvious. Even though NL MARSOF leadership has focused on elements of the Consistency trait during the reorganization (new functions in staffs, new communication processes and working procedures to coordinate activities, and personnel exchange), it failed to produce and communicate a mission supported by the majority of the community and, thus, gave neither a sense of purpose nor sufficient guidance. This lack of long-term vision, clarified in goals and objectives, and set out in strategic direction now negatively affects the overall performance of NL MARSOF. The way forward is to get NL MARSOF members involved in the process of defining the organization's "way ahead" in order to achieve improvement in Mission and Involvement. Improving the other cultural traits, Adaptability and Consistency, will naturally follow this first important step.

B.   NL MARSOF FOLLOW-UP INTERVIEWS

The purpose of conducting the follow-up interviews is twofold. First, interviews conducted subsequent to the survey allow interpretive questions to address any anomalies in the collected data or to illuminate any areas that may need further scrutiny. Compared to the quantitative survey results alone, this qualitative information provides more comprehensive evidence to the overall research results. Secondly, on specific issues arising from the survey results, key members discussed viable possibilities for improvement and formulated future recommendations for improvement.

1.   *Stage 5*: Debrief

The researcher debriefed most of the members of NL MARSOF on the results of the survey. The one and a half hour presentation covered the results

on each cultural trait in detail. Afterwards sufficient time was planned for questions and general discussion. The researcher gave the briefing to three groups. The first group (by design) was the senior cadre of NL MARSOF. Knowing that the results were sensitive, this first briefing would give the senior cadre the opportunity to respond before the results were briefed to the total NL MARSOF community. Even though the senior cadre was not happy with the survey results, they were generally satisfied that specific issues were brought to light. Later, the briefing was not altered for the general UIM and the MSO community. Like the senior cadre, the members of both the UIM and MSO were not happy with the results. However, they were glad and in some way relieved that the research exposed the issues within NL MARSOF, so that leadership could take steps to resolve these issues.

2.   *Stage 6:* **Interviews**

a.   ***Interview Sample***

The target sample for these interviews was a selection of officers, NCOs, and senior enlisted members of NL MARSOF which represents the cadre of NL MARSOF and has the authority and influence to either support or reject recommendations. After briefing the survey results to all the officers, NCOs, and senior enlisted members of NL MARSOF, the selected target sample was split into groups of no more than four persons. The composition of these groups was based on functionality within MARSOF. The platoon commanders and senior NCOs formed sample groups. The heads of the staff bureaus (operations, training, education, personnel, intelligence, and communications) formed several sample groups and the last group consisted of the commanding officer, the executive officer, and warrant officers. The separation of the population in *platoon groups*, *staff groups*, and a *command group* assured the most comprehensive view on the survey results. In total, there were six different sample groups for the follow-up interviews.

b.   Procedure

The group interviews followed a semistructured protocol in discussing MARSOF's results in each of the four cultural traits. In relation to each of these traits, the discussion first focused on the clarity of the results. The sample groups discussed any anomalies in the survey data or perceived ambiguity of the survey analysis results. These interpretive questions and discussions continued until the group had a common understanding of the results. Secondly, the sample groups discussed the three different indexes within each trait separately, in order to formulate possible practical recommendations. This protocol repeated itself four times for the traits: *Mission*, *Involvement*, *Adaptability*, and *Consistency*. Lastly, the sample groups discussed the results on the questions concerning the organizational effectiveness of MARSOF compared to the Army SOF counterpart.

3.   *Stage 6*: Discussion on Strategic Utility

Based on the survey results of the cultural traits *Mission* and *Adaptability*, the interviews addressed the strategic utility of NL MARSOF. As in the survey, the sample groups used the framework of the 3-D cube as a tool to give more concrete understanding of the abstract concept of strategic utility.

a.   NL MARSOF Lacks a Sense of Mission

After discussing the survey results with the sample groups, the bottom line is that the vast majority agrees on an overall lack of vision, goals, and strategic direction. Everyone especially seeks a clear mission to direct MARSOF's efforts and actions. This direction should operationalize the long-term vision set out by higher command ("the dot on the horizon where you need to go as an organization"). This general opinion does not differ between ranks and sub-units. One quote captured the general feeling within MARSOF personnel: "MARSOF is like a big powerboat *without* a steering wheel. It has the power potential to win races, but lacks one vital component." The outcome of the follow-up interviews thus do not contradict any of the findings from the survey. Both the

survey and the follow-up interviews indicate the high importance and need for strategic direction and (short-term) goals in contrast to the perceived absence of it within NL MARSOF.

As mentioned in the previous section, NL MARSOF members' preferred strategic direction (defined by the 3-D cube [geographic, political, special operations spectrum]) focuses on direct missions (Direct Action, Special Reconnaissance). The sample groups gave two explanations for this general focus. First, they said that direct missions are more *appealing* to SOF operators. Generally speaking, SOF operators prefer Direct Action and Special Reconnaissance missions to Military Assistance missions, because the former suits the inherently "action-oriented" operators more. A quote from an operator captures this sentiment: "a hostage rescue operation is far 'sexier' than drinking tea and talking for hours with village elders in village stability operations (VSO) in Afghanistan."[223] Secondly, the sample groups also acknowledged that these types of missions lie more in MARSOF's historical "comfort zone." As demonstrated in Chapter III C., *Historical employment of SOF*, MARSOF historically has operated primarily on the direct mission side on the spectrum of special operations. Over the years this has shaped MARSOF members' perception of what special operations are. Naturally, conducting direct missions have become the "comfort zone" of MARSOF.

In discussing NL MARSOF's strategic utility, the most important question during the follow-up interviews was how to alter the perceived lack of clarity in Strategic Direction and (short-term) Goals & Objectives. The survey identifies both these indexes as most important for NL MARSOF. Again, the answers from the sample groups were almost unanimous and stress the need for strong leadership to "take the wheel and steer the MARSOF powerboat" in the

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[223] The Village Stability Operations (sometimes called the Village Security Operations) is an initiative to provide stability and security to the Afghan population in rural areas considered key by the coalition forces. VSO are the embodiment of comprehensive COIN, conducted in partnership with the populace — in other words, through and with the population and local security forces. Source: Ty Connet and Bob Cassidy, "VSO: More than Village Defense," *Special Warfare* 24, no. 3 (Jul/Aug/Sep, 2011): 22–27.

right direction. Leadership should define the much-needed "dot on the horizon [vision], with the different markers [goals] along the way." However, defining strategic direction is not enough. Leadership should also clearly communicate the chosen strategic direction to all members.

Among the sample groups, there is full realization that not everybody has to agree on a specific direction and goal for NL MARSOF, but at least the direction should be clear to all. There is, however, no doubt within all sample groups that there will be more than sufficient support and commitment to the MARSOF direction if it is logically presented and justified. This last fact should give MARSOF leadership hope that clarification and realignment of the strategic direction and goals will be successful.

The sample groups fully supported the survey result that NL MARSOF can distinguish itself with the quality and creativity of its people. "Our people are our most valuable asset." The groups indicated that investing in personnel will have a positive effect on the confidence and quality of the members. The sample groups, however, do not believe that one third of the members, including senior cadre, really do not know what NL MARSOF's mission is. Most members probably have a general idea of what NL MARSOF's mission is, but the somewhat reluctant answers in the survey express dissatisfaction stemming from the confusion about NL MARSOF's mission. The preferred strategic direction is in direct missions, but leadership has not clarified to the men if this is the correct direction for NL MARSOF. As said during the follow-up interview, "The men are still waiting on the boss to say whether we're doing the right thing."

b.   Adaptability is Important to NL MARSOF

Within the sample groups, everybody agrees that flexibility always was and will remain a core competence of the Dutch Marine Corps and, therefore, naturally is a core competence of the MARSOF organization. When

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asked, the sample groups define *flexibility* as the ability to change in response to the environment. The fact that MARSOF scored better on the trait Adaptability thus did not come as a surprise.

In particular, the groups expected the relative high score on the index Organizational Learning, because all MARSOF ranks deem it important not be afraid to make mistakes. The organization generally considers making mistakes as a precursor to gaining knowledge. Thus, the follow-up interviews support the survey results of MARSOF in the cultural trait of Adaptability.

All sample groups concurred that the survey indicates Creating Change as the most important index of Adaptability. Groups explained that high-performing organizations like SOF have to distinguish themselves by adopting new ideas and constantly trying new "outside the box" approaches. Creating change, therefore, is an important part of the way they do business.

Thus, NL MARSOF members have both the Dutch Marine Corps cultural background of flexibility and the SOF-specific necessity to be innovative in trying new ideas and approaches. Nevertheless, all sample groups agree that MARSOF still needs to improve its ability to create change. The follow-up interviews support the findings from the survey in improving MARSOF Adaptability by: (1) stimulating more cross-training with other (world-class) SOF units; (2) organizing seminars, workshops, and (intelligence) updates; and (3) putting effort into creating more capable staff members (training and education).

4.   *Stage 6:* Discussion on Unit Culture

Based on the survey results of the cultural traits *Involvement* and *Consistency*, the interviews addressed the specific unit culture of NL MARSOF (defined as a distinct set of values, beliefs, and behavior patterns that form the core identity of a military organization). Overall, the outcome of the follow-up interviews do not contradict any of the general findings from the survey. All sample groups recognized the lack of Consistency within NL MARSOF and emphasized that the strength of NL MARSOF now predominantly lies in its

member's Involvement. However, all sample groups see this Involvement diminishing rapidly because of lack of Strategic Direction, Goals and Vision.

a.   *High Involvement within NL MARSOF*

In accordance with the survey results, the sample groups all agreed that most members of MARSOF are highly involved in their work, but that the lower ranks believe that they are inadequately involved in planning and that important information is not available to everyone. The sample groups also supported the survey result that NL MARSOF puts sufficient effort into education, training, and coaching. The groups especially perceived the new MSOF-basic course (Maritime Special Operations Forces Basic Course) as an improvement. It struck the sample groups as very surprising that one third of MARSOF members (mostly junior enlisted men) claimed that the new MSOF-course is not an improvement. This can cause problems in the acceptance of new members, and the sample groups unanimously think that MARSOF cadre should address this immediately. Nevertheless, the sample groups supported the average scores on the index Empowerment and Capability Development of the trait Involvement.

Finally, all sample groups unanimously supported the low score on Team Orientation. They recognized that the members of the UIM and MSO do not fully support one another in accomplishing the work that needs to be done and emphasized that the senior cadre, the officers and senior NCOs of UIM and MSO, do not fully trust each other's intentions. Senior cadre should address this matter of distrust first, in order to improve Team Orientation. Of secondary importance, the sample groups also suggested other fairly simple improvements, such as mandatory weekly updates, can easily answer the unit members' need for information.

b.   *No Consistency within NL MARSOF*

Most of the personnel interviewed agreed that the lack of Consistency throughout MARSOF is a natural result of, the lack of Strategic Direction. One quote from the follow-up interviews captured the general

frustration within NL MARSOF: "How can we act consistently when our leaders still haven't decided where to take us, and constantly switch focus? As the old Dutch saying goes, *the fish always starts to stink at the head*. So, first be consistent at the top!" The sample groups support the low scores on all of the three indexes (Core Values, Agreement, and Coordination & Integration), in which they generally agree on the reasons given in the survey for Coordination & Integration. Like the survey respondents, the sample groups stated that reaching agreement is certainly not necessary on every issue, but that it is crucial on the mission, strategic direction, real-time deployments, and TTPs (tactics, techniques and procedures).

Most members value teamwork, quality, responsibility, flexibility and unity as most important values for NL MARSOF. The striking coherence throughout sub-units and ranks in choosing important core values for MARSOF confirms the idea that MARSOF member share the same basic values. This result reassures that, at its core, NL MARSOF members do not differ very much. They all value the same things, so unifying the UIM and MSO and solving the identified friction points seem less likely to be problem. All sample groups think that these core values must be incorporated in future official documents such as mission statements, command philosophies, and other senior directives.

c. *Assimilation, Separation, or Integration?*

An important question during the follow-up interviews was how to improve NL MARSOF's unit culture. What strategy of unification should the leadership take to address the identified friction points and improve operational effectiveness? In accordance with Joseph Soeters and Tibor Tresh's research, leadership can choose from three basic strategies. The first strategy, assimilation, is when an organization becomes more similar to another organization, because the latter appears to be "better" or has the power base to demand adaptation. The second strategy, separation, is when two or more organizations cooperate, but keep their own cultural characteristics, because

they perceive their own organization as being equal or better than the other ones. The third strategy, integration, is when two or more organizations cooperate, and try to adapt to the best cultural characteristics and qualities of one another. In other words, integration identifies and combines the strengths of each organization into one better, overarching organization.

When asking the sample groups which strategy of unification is best to unify MARSOF, they all unanimously chose a strategy of integration. All agree that assimilation of the UIM into the MSO or vice versa is not desirable. In fact, especially MSO cadre argued that some of the friction points actually resulted from the perception that the bigger UIM was trying to force the MSO to assimilate into the UIM. One can even argue that because of this perception of assimilation, both sub-units moved towards a strategy of separation. Out of fear for assimilation, both UIM and MSO wanted to fiercely hold on to their own cultural characteristics. Each sub-unit does not necessarily see its own unit as better than the other, but fear complete adjustment toward the other, thereby losing their own cultural heritage.

On the positive side, all sample groups agreed that both units (UIM and MSO) have their specific strengths and weaknesses, and that both units can complement each other. Therefore, the strategy of integration to identify and combine the strengths of each organization into one better, overarching organization suits best. The senior cadre proposed training seminars in *change management* to help them in the transition process of integrating both sub-units.

Regarding the different categories of identified friction points (Selection Process, Training & Operations, and Customs & Traditions), [224] the sample groups gave insight on where the preferred strategy of integration should focus. All sample groups are convinced that this integration process will

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[224] Four categories divide the identified friction points: (1) the selection process for the organization; (2 and 4) the way the organization is training and preparing for its missions and the specific kind of operations that have been conducted; and (3) the generally accepted customs and traditions of the organization members; See chapter I, *Transformation to NL Maritime Special Operations Forces (NL MARSOF)*.

ultimately improve NL MARSOF's (low) scores on the cultural traits Involvement and Consistency, thus improving the unit culture and consequently improving operational effectiveness.

The Selection Process

The historical differences in the former selection process of the UIM and MSO-Coy have resulted in different beliefs about the emphasis on physical toughness and the necessity for aptitude testing. With the creation of the new MSOF-course, NL MARSOF has already implemented the long-term solution. All new members of NL MARSOF have to go through a newly developed joint selection, so that over the long run all members of NL MARSOF share the same selection background. The majority of the sample groups agreed that this is the right way forward to mitigate any friction due to differing backgrounds. The new MSOF-course content is balanced properly to ensure the right amount of physical and mental toughness needed for MARSOF.

However, at this time the majority of NL MARSOF personnel have not undertaken this new MSOF-course. To clear this difference in background, leadership could choose between two simple opposite viewpoints. Either they can decide to give all current MARSOF members the new MSOF-course qualification instantly, or they can decide to let all current MARSOF members complete the new MSOF-course to earn the qualification. Both options have been suggested and tried out, but both resulted in general discontent, because they both have disadvantages that outweigh their advantages. For instance, automatically giving all current members the same MSOF qualification does not solve the fact that the operators truly have different backgrounds and different skill sets. On the other hand, requiring current, experienced members to go through the full arduous MSOF-course again to prove themselves is disrespectful and has resulted in unnecessary loss of (good) personnel. The sample groups, therefore, agreed that current members must somehow go through additional training to create an equal background within MARSOF. The difficulty in setting up additional training is that all current members have different backgrounds;

some are frogmen, some are mountain leaders, and some are CT specialists. This almost requires tailor-made training for various groups, which is very labor- and cost-intensive. Nevertheless, all agree that several training packages should be developed that will ultimately give everybody the same background, taking into consideration their specific experience (background, rank, and age).

Training & Operations

Historically, the training philosophy, the type of training, the training locations, and the duration of the main exercises of the MSO-Coy and UIM have been quite different. The bottom line is that the MSO-Coy spends more time per year abroad in various (physically demanding) exercises, while the UIM is restricted to The Netherlands, with short training exercises with other special police units. This difference between the MSO-coy and UIM creates divergent ways of thinking about training.

In accordance with the survey results, all sample groups agreed that training and cooperation should intensify between sub-units to improve unit cohesion, to learn from each other's experience, and to strengthen external perception of a unified MARSOF. An important question for the sample groups was exactly how NL MARSOF could achieve this intensified training and cooperation, considering the fact that M-Squadron and C-Squadron have different tasks. M-Squadron (UIM) has the domestic counter-terrorism task and C-Squadron (MSO) is tasked with (maritime) special operations abroad. Preparing for these tasks inherently requires different types of training.

Thus, the key is not to assimilate training, meaning that the M-Squadron should conduct more training like C-Squadron or vice versa. MARSOF should integrate the training only when it is mutually beneficial. MARSOF units need to find the specific areas in which training can overlap. For instance, can the frogmen of C-Squadron train together with the frogmen of M-Squadron to benefit from the other's specific diving skills? The general opinion of the sample groups is that they can, and so can other specialty fields. However, identifying

specific areas of interest and coordinating training in these areas remains difficult. After the interviews, the operations staff has taken it upon themselves to better facilitate mutual training and cooperation within MARSOF.

Customs and Traditions

Over the years, the UIM and MSO-Coy have developed different customs and traditions. The Frogmen and the ML Recce Troop historically have had a strong connection with their British counterparts, the UK Special Boat Service (SBS) and the UK Brigade Patrol Troop (BPT). The Unit Intervention Marines, on the other hand, historically have had strong connections with Dutch special police units and other European counter-terrorism units.

According to the sample groups, the differences in customs and traditions are still present within NL MARSOF. This supports the survey's low scores in the trait Consistency. Nevertheless, this does not come as a surprise, considering the fact that the UIM as well as the MSO-Coy have discrete traditions that go back forty years, while NL MARSOF has existed for a mere two years.

An organization needs long-term consistency to create a strong culture based on a shared system of beliefs, values, and symbols that are widely understood by its members. The creation of NL MARSOF two years ago was a clear break in consistency for both the UIM and the MSO-Coy members. Members were asked to form a new unit and part with their old unit's customs and traditions. The mistake was that in asking this emotional sacrifice, NL MARSOF did not immediately start establishing new customs and traditions people could now build on and identify themselves with. For instance, the Frogmen were asked not to use their old unit logo or insignia anymore. However, leadership did not present a new official MARSOF logo or insignia. In addition, passing the new MSOF-course still does not result in a visible symbol of recognition for the men (a badge, insignia, or beret) to identify themselves with, but the symbols of the previous selection courses are considered obsolete. The following quotes capture the frustration of MARSOF members. "They ask me

take off my Frogmen badge for NL MARSOF, but do not offer anything in return."
"We had solid traditions, but now I don't know how we should give MARSOF its specific identity. Traditions, like 'the new members introduction evening', are gone, and everybody misses them. These traditions actually strengthened our brotherhood."

The sample groups all agree that to improve Consistency within MARSOF, leadership should address certain apparently trivial matters first, starting with the creation of an official unit logo and MSOF-course insignia. Furthermore, the unit should instantiate specific unit traditions by either reinstating old ones or developing new ones. As the survey reveals, the core values are basically the same for most MARSOF members (quality, teamwork, responsibility, flexibility, and unity), but for a culture to be strong it has to be based on beliefs, values *and* symbols that are widely understood. Values and beliefs are not enough. Specific symbols and traditions are the unit's visual expression of culture. This last aspect, symbolic visualization, is currently missing. One quote expresses this necessity: "We not only need to make MARSOF act like a world class unit, but also *look the part*, so that people want to belong to it and follow its course."

The general recommendation from the sample groups is to install an immediate working group to think about unit logos, insignia, traditions, etc. NL MARSOF will complete the shared system of beliefs and values with visible symbols. MARSOF needs all three ingredients for strong unit culture.

5.   *Stage 6*: Discussion on Self-Perception in Performance

The last questions of the survey addressed the perception that NL MARSOF members have of their own performance in comparison to the Dutch Army Special Operations Forces (KCT). As discussed previously, these results generally reveal a low level of self-esteem compared to the Army counterpart. In

relation to these findings, the questions during the follow-up interviews focused on why NL MARSOF members generally perceive the KCT as better than themselves.

a.   The Cold Side of NL MARSOF

On the cold side of the uniformed organization (the bureaucratic and process-oriented subculture focused on prevention, facilitation, and preparation), the answers on the question how MARSOF performs in comparison to the KCT on "Unit Member Satisfaction" and "New TTP Development" raises concern. On both questions, almost 40 percent of MARSOF members indicated that they think KCT is performing better than MARSOF.

The sample groups explained that for "New TTP Development," the low score has several sources. First, during previous joint deployments, MARSOF always had to adjust to the TTPs of the KCT (the latter being the bigger unit), to ensure interoperability and effective integration. Even though both KCT and MARSOF constantly updated and improved these TTPs during deployments, KCT got full credit for these newly developed TTPs, giving the impression that they developed them. Secondly, the KCT numerically has a much bigger staff than has MARSOF, so it can more easily produce new official doctrine, including TTPs. This difference in official document output again results in the perception that KCT is better in developing new TTPs. The sample groups argued that this perception is skewed, because both units are equally good in developing new TTPs, but the KCT is just more capable of formally documenting these TTPs. The majority of the sample groups, therefore, agreed that this misperception must be resolved by both clarifying the difference between TTP development and documentation and by improving MARSOF's ability to document formal TTP's.

As for the low survey outcome in "Unit Member Satisfaction," the sample groups also present several sources. A significant portion of the members believing that satisfaction is higher at KCT never had any actual

contact with KCT units. So in part, the results can be explained by the basic human tendency to assume that "the grass is always greener on the other side of the fence." Furthermore, the sample groups estimate that survey answers are largely based on how NL MARSOF members perceive the KCT as a whole. Indeed, from the outside the KCT "looks the part" of a world-class SOF unit. KCT members will rarely admit any flaw in their own organization to MARSOF members Neither the KCT nor MARSOF consider hanging out the unit's dirty laundry acceptable. Thus, the sample groups believe that the perception of higher member satisfaction at the KCT deserves some scrutiny.

Nevertheless, all sample groups agree that the relatively high number of young NL MARSOF members who think satisfaction is higher among the KCT gives reason for worry. The most important reason for this worry is that attracting and keeping high-quality personnel is essential for SOF and remains difficult. If young members believe it is better "on the other side of the fence," it will be harder to keep them for the organization. To counter this, the sample groups indicate that it is particularly the NCOs' (sergeants') task to talk to their men about this perception of satisfaction. Almost all sergeants have real-time experience in working with the KCT and can at least mitigate any exaggerated image of the KCT.

b. The Hot Side of NL MARSOF

On the hot side of the uniformed organization (the flexible and goal-oriented subculture focused on real action), the answers to the question of how MARSOF performs in comparison to the KCT on "Quality of the Unit's Staff Members" and "Overall Organizational Performance" raises concerns. More than 70 percent indicated that KCT has better quality staff members than MARSOF. This high percentage also means that a large portion of MARSOF's own staff members thinks KCT staff members are of better quality. Almost 45 percent of NL MARSOF's members believe that, overall, KCT performs better than NL

MARSOF does. More than half of the senior NCOs (Sergeant Majors and Warrant Officers) answered that the KCT performs better than MARSOF.

The sample groups gave several reasons for the very low score on the quality of its staff members. First, even though the question clearly asks for an opinion of the *quality* of NL MARSOF's staff, most persons in the sample groups believe that the majority of the members generally measure quality by *quantity* in staff members. The bigger the staff, the better it must be. People know KCT's staff is bigger and, as a result, assume it must be better. Secondly, when specifically asked what qualities are lacking in NL MARSOF's staff, the general answer is in intelligence capability. NL MARSOF does not have many qualified intelligence staff members, and the sample groups consider that scarcity to be a big weakness in conducting operations. Thirdly, in MARSOF, everybody wants to work in the teams instead of the staff. The members generally consider staff functions less important and rewarding. As several persons in the sample groups sarcastically expressed it: "When you can't hack it anymore in the teams, you can always do a staff function." The low perception of the quality of staff members to a degree reflects this idea that the less qualified team members are sent to the staff. In sum, the majority of the sample groups feel that most of the low score in staff member quality results from the misperception that quantity equates to quality and that NL MARSOF's best people go to the teams instead of the staff. Therefore, the results deserve some scrutiny as well. On the other hand, all agreed that NL MARSOF has a genuine weakness in intelligence staff capability and needs to address this.

The fact that almost half of NL MARSOF's members think they are being outperformed by KCT is a clear signal of low unit confidence. Even though some might argue that there are some advantages in working from an underdog position, there are also disadvantages. First, low confidence naturally affects the unit's *esprit de corps* (i.e., the spirit of a group that makes the members seek group success). As stated by Don Snider and James Burk, *esprit de corps* wedded to cohesion is one of the four essential elements of military culture. In

fact, it is a critical element with respect to the positive correlation between military culture and the operational effectiveness of military units.[225] Secondly, when the young MARSOF members think KCT is structurally performing better than they are, they might be inclined to leave the unit or even switch to the better team. This is a problem, as recruiting new, qualified personnel is very onerous.

When asked whether KCT is performing better than MARSOF, the majority of the sample groups asserted that considering the difference in size, KCT and MARSOF perform equally. The sample groups thus contradict the outcome of the survey. However, in this case, the question whether KCT *is* actually outperforming MARSOF is irrelevant. What matters is the *perception* of performance, because it is this perception that influences action. All sample groups agreed that if half of the senior NCOs think KCT is performing better, this will inevitably influence the rest of the men. The sample groups believe a big part of the explanation of the low score finds its origin here. Thus, to counter the perception that KCT is outperforming NL MARSOF, the NCOs and officers need to understand the origins of their own perception and realize the impact they have on the rest of the men.

6.   Concluding Thoughts on the Follow-up Interviews

The follow-up interviews revealed that NL MARSOF is experiencing some degree of an "identity crisis." The sample groups agreed that the lack of long-term vision, clarified in goals and objectives and set out in strategic direction, now negatively affects the overall performance of NL MARSOF. The solution is to get NL MARSOF members involved in the process of defining the organization's "way ahead," in order to achieve improvement in Mission and Involvement. Improving the other cultural traits, Adaptability and Consistency, will naturally follow this first important step. The survey results reveal numerous small options and possibilities to get members involved in the process of defining the

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[225] James Burk, "Military Culture," in *Encyclopedia of Violence, Peace and Conflict*, vol. 2, eds., Lester R. Kurtz and Jennifer Turpin (San Diego: Academy Press, 1999).

organization's "way ahead." In general, the sample groups concur with these recommendations. The final chapter addresses these recommendations in detail.

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VI. CONCLUSIONS AND RECOMMENDATIONS

A. CONCLUSIONS

This research shows that NL MARSOF needs to clarify its strategic utility and unify its culture. Results revealed deficiencies and several identified friction points and most likely accounted for NL MARSOF's own low evaluation of its organizational effectiveness. The degree to which the organization achieves its goals on the both the hot *and* cold sides is mostly perceived lower than NL MARSOF's Army counterpart.

NL MARSOF does not lack a distinct set of values and beliefs, but lacks behavior patterns, symbols, and traditions that form its core identity. This results in the low consistency within NL MARSOF's organization. Consistency, however, is the basis of a strong culture. On the other hand, sufficient involvement seems to be present, offering a good starting point to work on integrating the sub-units' cultures (identifying and combining the strengths of each organization into one better, overarching organization). This strategy of integration will create common behavior patterns that will better unify NL MARSOF's culture.

The strategic utility of NL MARSOF, meaning how it directly supports national interests and strategy for dealing with current and future security challenges, needs to be clarified into one coherent vision that provides strategic direction, goals, and objectives. The inherent adaptability of NL MARSOF's members has undoubtedly mitigated some of the lack in clarification, but it has probably still resulted in a somewhat ill-prepared and less effectively used NL MARSOF. The 3-D cube indicates that the range of NL MARSOF's strategic utility so far has predominantly focused on direct missions. This historical employment of NL MARSOF corresponds with the strategic utility preferred by the majority of NL MARSOF's members. Nevertheless, governing document analysis indicates a growing need for military assistance and special

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reconnaissance, thus more indirect types of missions should be expected. Leadership now has to "step up to the plate" and guide NL MARSOF's strategic utility.

In conclusion, this research has above all offered NL MARSOF an objective evaluation of where it stands two years after its creation. Up until this point, no one had systematically collected information to investigate the effectiveness of NL MARSOF. Members often complained about problems and issues within the new organization, but the leadership had no clear picture of what problems and issues they needed to address. The visible friction points are *effects*, but the exact *causes* were not clearly identified. Statements from various members encouraged and emphasized the necessity of this research: "Finally we're being heard!" "This research is what we have been missing. Now, nobody can deny the issues we're facing." "I'm glad that we're looking at how improve our beloved unit, because things were turning bad."

1.   Theoretical Foundation

The research explored strategic utility and revealed the importance of unit culture. Most significantly, the research presented a theoretically founded framework—the 3-D cube—that represents the whole range in strategic utility of SOF. All possible SOF missions can be placed within the 3-dimensional content of the cube: (1) Special Operations Spectrum, (2) Political Domain, and (3) Geographic Environment. Thorough analysis of conducted missions and governing documents explored the *historical* and *required* strategic utility. The analysis showed past and most likely future operations for NL MARSOF. This is a first (theoretical) step in helping NL MARSOF leadership identify opportunities and develop vision, strategic direction, and goals and objectives.

The theory research on unit culture revealed a similarity in definitions of culture, organizational culture, and unit culture. All generally refer to organizational culture as a distinct set of values, beliefs, and behavior patterns that form the core identity of a (military) organization. Except for obvious

differences in degree of institutionalization, hierarchy, discipline, and organizational purpose, military culture does not differ from general organizations. Widely used models to measure culture are therefore applicable to military organizations as well. This thesis used Denison's user-friendly research-based model and the Denison Organizational Culture Survey (DOCS) to measure NL MARSOF's unit culture.

2.   Survey Research

The most remarkable result of the survey research is the overall low score on the Denison Organizational Culture Survey (DOCS). This suggests that NL MARSOF's culture does not promote optimal organizational effectiveness. When examining the DOCS results more closely, they reveal a relatively better score on the flexible traits (Adaptability and Involvement) than on the stable traits (Mission and Consistency). Thus, NL MARSOF as an organization perceives itself as fairly flexible, but lacks capacity for long-term stability. Nevertheless, there is no practical difference in organizational culture between the sub-units or between the ranks. This indicates that there are no insurmountable cultural differences between sub-units or ranks, which is very positive.

The involvement of NL MARSOF's members is average, compared to other organizations. To improve involvement, NL MARSOF leadership can focus on improving team orientation by conducting more large-scale exercises within NL MARSOF, improving mutual communication between units and ranks, and giving clear goals and guidance.

The adaptability of NL MARSOF is average. Its members need to realize that it has to serve their most important stakeholder, the Commandant of the Netherlands Marine Corps. To improve adaptability overall, NL MARSOF leadership should focus on improving the ability and willingness to change by stimulating more cross-training with other (world-class) SOF units, organizing seminars, workshops, and (intelligence) updates, and putting effort into creating more capable staff members (training and education).

NL MARSOF does not have a strong culture. Across the board, the members believe there is no common mindset within NL MARSOF, even though core values—*teamwork*, *quality*, *unity*, *flexibility*, and *responsibility*—reveal a striking unity between sub-units and ranks. Overall, the low consistency leaves much room for improvement, but leadership can develop a common mindset by focusing their efforts on better coordination and integration of the sub-units and on reaching agreement on essential issues.

There is no meaningful long-term direction defined for NL MARSOF. Across the board, its members believe there is a lack of vision, goals, and strategic direction. The members generally miss guidance that tells them why they are doing particular work and how they contribute to the strategic intent of NL MARSOF. The majority prefers direct missions (DA and CT), predominantly in an international maritime domain. However, the question remains whether this *preferred* strategic direction aligns with the *required* strategic direction. Furthermore, the majority sees NL MARSOF's strength in the quality and creativity of its people. Thus, NL MARSOF's leadership needs to give (strategic) guidance and invest in personnel capability and skills.

Overall, the respondents' answers generally reveal a slightly lower level of self-esteem compared to their Army counterparts. Being humble and assuming an underdog position is not necessarily negative, as long as it does not affect the unit's *esprit de corps*. To increase the level of self-esteem within NL MARSOF, it must especially address the low perceptions of member satisfaction and staff quality.

In sum, the survey research indicates that NL MARSOF is struggling with its overall performance. It should therefore focus on the single most influential cultural trait that organizations can focus on: its mission. For NL MARSOF, the way forward is to get NL MARSOF members involved in the process of defining the organization's "way ahead" in order to improve strategic direction and involvement. Improving other cultural traits, such as adaptability and consistency, will naturally follow this first important step.

3.   Follow-up Interviews

The most significant outcome of the follow-up interviews was that they generally supported all the survey results. Some survey results prompts further discussion, in which the sample groups clarified outcomes or advised scrutiny in the interpretation of results. Nevertheless, all the sample groups generally agreed on the survey outcome and offered more insight and recommendations to address the exposed issues. Because the recommendations are based on the input from NL MARSOF's own members, they should enjoy wide support. This strengthens the credibility and acceptance of the recommendations

The sizeable majority of NL MARSOF agreed there is the overall lack of vision, goals, and strategic direction. Leadership must define the much-needed "dot on the horizon" (vision), with the different markers (goals) along the way. Leadership must also clearly communicate the expected strategic direction to all members. Not everybody has to agree on a specific direction and goal, but at least the direction should be clear for everybody. The preferred strategic direction is in direct missions, but leadership has not clarified to the men whether this is the correct direction for NL MARSOF.

Flexibility (the capability to change in response to the environment) is a core competence of the organization. The unit generally considers making mistakes as a precursor to gaining knowledge. Nevertheless, NL MARSOF can improve its ability and willingness to change by stimulating more cross-training with other SOF units, organizing seminars/workshops, and creating more capable staff members (training and education).

Most members of MARSOF are highly involved in their work. The groups especially perceived the new MSOF-basic course as an improvement, but it struck them as very surprising that one third of MARSOF members claimed that the new MSOF-course was not an improvement. To improve team orientation,

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the senior cadre should address the issue that members of the UIM and MSO do not fully trust and support one another in accomplishing the work that needs to be done.

The lack of consistency throughout MARSOF is a natural result of the lack of strategic direction. Agreement throughout NL MARSOF is necessary, but agreement is foremost necessary on its mission, strategic direction, real-time deployments and TTPs. The striking coherence in core values—*teamwork*, *quality*, *unity*, *flexibility*, and *responsibility*—confirms the assertion that MARSOF members share the same basic values, so unifying the UIM and MSO and solving the identified friction points seem less daunting.

The strategy of integration to identify and combine the strengths of each sub-unit into one better, overarching unit suits best to unify NL MARSOF. Both units (UIM and MSO) have their specific strengths and weaknesses, and both units can complement each other. This integration process should ultimately improve NL MARSOF members' involvement and consistency, thus improving the unit culture.

To create an equal background among MARSOF members, current members should somehow go through additional training. Several training packages should be developed that will ultimately give everybody a common background, taking into consideration their specific circumstances (background, rank, and age).

Training and cooperation should intensify between the sub-units to improve unit cohesion, to learn from each other's experiences, and to strengthen external perception of a unified MARSOF. The key is not to assimilate training, but to integrate training when it is mutually beneficial. MARSOF units need to find the specific areas in which training can overlap.

The follow-up interviews indicate the importance of an official unit logo and MSOF-course insignia. In addition, the unit should instantiate specific unit

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traditions by either reinstating old ones or by developing new ones. Shared values and beliefs alone are not enough. Specific symbols and traditions are the unit's visual expression of culture.

B.   RECOMMENDATIONS

The surveys and follow-up interviews resulted in several recommendations. This section organizes these recommendations according to cultural traits: Involvement, Adaptability, Consistency, and Mission. The section ends with a roadmap of three main recommendations, inferred from the surveys and interview results. Implementing these recommendations will clarify NL MARSOF's strategic utility and better unify its culture. This will reduce the identified friction points and ultimately improve NL MARSOF's organizational effectiveness.

1.   Involvement

Overall, NL MARSOF can strengthen involvement by addressing the low team orientation between the sub-units. Large-scale exercises, better mutual communication among units and ranks, and coherent leadership will improve team orientation. NL MARSOF can accomplish more large-scale exercises in a budget-neutral way, by shifting priorities in training. NL MARSOF does not have to engage in exercises more frequently or with more resources, which is more costly. Where possible, it should just train more as a whole unit instead of separate single sub-units. Budget restraints should therefore not hamper this initiative. Better mutual communication and clear guidelines are both communication issues. Simple methods to improve the feedback loop in the organization have already been suggested (for instance mandatory weekly updates and digital announcement boards), but further discussions within the ranks will undoubtedly generate more simple, practical points of improvement. These discussions should take place in the near future.

The new MSOF-course is the "way ahead," but it needs further acceptance by its members. Many of the doubts about the new course can be

attributed to its relative newness. Therefore, senior cadre needs to inform the unit better on the MSOF-course. This can take many forms. For instance, teams can provide more assistance to the course (demonstrations, exercises), which will give them an inside look at the new course. Regular meetings between the instructors and teams to align tactics and procedures can also incorporate presentations on the course, again giving the teams more insight into the course. To create a common background for *all* members of MARSOF, current members must go through additional training. T-Squadron has to develop tailor-made training packages that will ultimately give everybody the same background, taking into consideration their specific circumstances (background, rank, and age).

The leadership should create a sense of ownership and responsibility of NL MARSOF issues to generate a greater commitment to the organization. Currently the follow-up interviews indicate a level of distrust between the senior cadre of the UIM and the MSO, leading to a lesser degree of support for one another. The UIM does not feel responsible for the success and accomplishments of the MSO and vice versa. Simple methods like *team-building sessions* are a first start in resolving some of the issues of distrust between the senior cadres. The Dutch MoD provides various team-building packages that can be customized to fulfill NL MARSOF needs and goals. Dutch MoD also offers two-day training courses in *change management*. This training helps to build awareness of the issues and potential pitfalls involved in changing organizations. MoD designed the course to help units during reorganization processes. Leadership must explore these options and commit to a schedule of suitable options.

2. Adaptability

Flexibility and innovativeness are core competences of SOF, and NL MARSOF needs to be proficient in both. Being able to receive, interpret, and

translate signals from the operating environment into internal behavioral changes will increase NL MARSOF's chances for survival, growth, and development.

NL MARSOF leadership should focus on improving the ability and willingness to change. Cross-training with other national and international SOF units will stimulate this behavior. In the past, the UIM and MSO-Coy have frequently conducted training with other units, but increased operational commitments have diminished this effort these last years. NL MARSOF needs to reinvigorate the old ties with other SOF units again and start sharing experiences and new ideas. Particularly beneficial are longstanding ties with the world-class SOF units from the United States, the United Kingdom and Northern European countries. Again, from a budget perspective, this initiative is feasible, because the expected costs are minimal.

Members should participate more in internationally organized seminars and workshops. Lead organizations, such as USSOCOM and NSHQ, regularly organize SOF-related seminars and workshops. From these events, the gathered information and social networking will improve the adaptability of NL MARSOF, because it will expose members to new ideas and lines of thinking. Furthermore, by creating more capable staff members, NL MARSOF will increase the ability to correctly interpret and translate signals from the operating environment. This, however, is easier said than done. It takes years of experience and advanced education to build high-quality staff. Investing in SOF-specific educational programs offers a good first step. Education programs at the Naval Postgraduate School (NPS), the Joint Special Operations University (JSOU) and NATO SOF Training and Education Program (NSTEP) offer specific SOF education open to NATO SOF forces. NL MARSOF T-Squadron will explore these and other educational and training opportunities. In addition, this investment in personal development will have a positive effect on the confidence of the members of NL MARSOF.

3. Consistency

While the core values of the sub-units and ranks reveal a striking commonality, the members do not believe there is a common mindset within NL MARSOF. One ingredient of strong culture—symbols—is missing. Therefore, NL MARSOF should install a working group to develop unit logos, official insignias, and think about useful customs and traditions. Two first priorities of this working group should be the creation of a new unit logo and insignia authorized for wear on the dress-blue uniform for "badged" personnel. This first step in the visualization of NL MARSOF will complete the shared system of beliefs and values with appropriate symbols and create a stronger unit culture. To further reify the common core values—teamwork, quality, responsibility, flexibility and unity—these can be incorporated in future official documents, for example in the unit's mission statements, command philosophies, and other senior directives.

The sub-units must not assimilate all the different types of training within NL MARSOF, but have to cooperate more by integrating mutually beneficial training. Identifying specific areas in which training of the UIM and MSO can and cannot overlap, considering their differing tasks, is essential. The operations staff must develop one coherent training philosophy and schedule that incorporates this intention. Eventually, the increased cooperation will stimulate integration and coordination and thus increase consistency within NL MARSOF.

Furthermore, agreement is lacking amongst the sub-units, creating inconsistency in decision-making and operating methods. Even though reaching unanimous agreement is not necessary on every issue, it is especially necessary on the unit's mission and strategic direction. The recommendations connected to Mission (below) address the importance of agreement on this specific point.

4. Mission

After its relatively quick formation, NL MARSOF is having something of an identity crisis. There is an overall lack of vision and strategic direction. NL MARSOF members are longing for guidance. The majority misses a clear

mission (i.e., "the dot on the horizon") that can direct NL MARSOF's efforts and actions. Even though everybody probably has a general idea of what the mission of NL MARSOF is, one third of the members indicate they do not know. This is a clear signal of dissatisfaction about the lack of clarity in NL MARSOF's mission (i.e., NL MARSOF's strategic utility).

The *preferred* strategic utility of NL MARSOF lies in direct missions (see Figure 58). This preference can be attributed to the fact that this type of mission is more appealing and fits better in the historical comfort zone of NL MARSOF. However, leadership has not clearly communicated whether this is the correct strategic direction for NL MARSOF. As mentioned in the previous chapter, a meaningful long-term direction for the organization (Mission) is the single most influential cultural trait on which an organization can focus. Therefore, the way forward is to get NL MARSOF members involved in the process of defining the organization's "way ahead." To accomplish this first step in improving organizational effectiveness, RNLMC and NL MARSOF leadership have initiated the start of *strategic management sessions* for NL MARSOF. RNLMC will hire professional strategic consultants that will run the management sessions to ensure objectivity and neutrality. This initiative is an indication of the level of importance and commitment of RNLMC leadership to the success of NL MARSOF. All other recommendations considered, these strategic management sessions are the most important step in improving operational effectiveness of NL MARSOF.

The strategic management sessions will be phased and have different purposes for each phase. The purpose of the first phase sessions is to formulate a coherent vision and strategic direction for NL MARSOF. A selection of senior (staff) officers of the RNLN, RNLMC and NLMARSOF will participate in these sessions. Senior officer selection is based on seniority and position. The goal is to operationalize the *required* strategic utility of NL MARSOF, based on governing documents and RNLMC General Officer guidance. The purpose of the second phase sessions is to create support within NL MARSOF for the intended

strategic direction by involving them in the process of defining the organization's "way ahead." Parity in representation of the sub-units and ranks within NL MARSOF will ensure sufficient support for the results of the strategic management sessions. In this second phase, NL MARSOF leadership has the opportunity to align the *preferred* strategic utility with the *required* one. The members conversely will have the opportunity to clarify issues and discuss (commander's) intentions. Foremost, the members will simply "be heard and listened to," which will ultimately improve understanding and commitment to the organization's vision. The end products of the strategic management sessions are to be an official *mission statement*, supported from top to bottom, and a *roadmap* of clear goals and objectives to provide strategic direction for NL MARSOF.

5. Roadmap to Improved Operational Effectiveness

In order to effect the best implementation of the proposed recommendations, the Commander must prioritize them for NL MARSOF. The most important recommendation is the *strategic management sessions* that will define the "way ahead" for NL MARSOF, thereby clarifying its strategic utility. These sessions are vital to improve operational effectiveness. Without a clear mission statement that guides action, all other recommendations will not improve operational effectiveness.

The second most important recommendation is the formation of the *working group on symbols & traditions*. It might sound trivial, but this research shows the importance of symbolism for NL MARSOF. The working group will give NL MARSOF its much-needed professional "face" and provide the symbols (logos, insignias, traditions, and customs) to reify the shared system of beliefs and values and thus create a stronger unit culture.

Finally, NL MARSOF cadres will explore the various options in attending training courses in *change management* and holding *team-building sessions*. These management tools are provided (costless) by the Ministry of Defense, and

will help smoothen the transition from two sub-units (UIM and MSO) to one NL MARSOF. It would be a waste of available recourses not to use any of these tools. Change does not happen overnight and this especially is the case when you merge units with strong traditions and heritage.

Up to now, NL MARSOF has learned the hard way; but it is not too late to turn the tide. The tools provided by the Netherlands Ministry of Defense will facilitate the transition from two sub-units to one unified organization. The conditions for change are set; the leadership is aware of the specific problems, and the unit itself has provided the potential solutions. Now it is time to execute.

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APPENDIX A: SURVEY QUESTIONNAIRE

NL MARSOF Survey

1. Informed Consent Form (Legal Rights and Background of this Study)

You are invited to take a survey for a research study on NL MARSOF. The survey is designed to provide information to help evaluate factors of unit culture of NL MARSOF and assess the mission for NL MARSOF. The results also may benefit other units in the NATO Special Operations community.

The overall results of the study will be provided to the NL MARSOF command and RNLMC command. You may abtain a copy of the research after it is completed by contacting MAJ Andy Kraag at ai.kraag@mindef.nl.

This survey should take about 45-60 minutes to complete. Please note that all survey records and data collected are confidential: individuals who participate will not be identified. Your input is important for the future of the NL MARSOF community, and we hope you will choose to participate. However, you are free to stop participating at anytime without penalty or skip survey questions without any penalty.

If you have any questions about this study, please contact either the Principal Investigator, Dr. Kalev Sepp, kisepp@nps.edu, or the researcher, MAJ Andy Kraag, akraag@mindef.nl. You may also address questions to the Naval Postgraduate School's Institutional Review Board Chair, CAPT John K. Schmidt, (1)-831-656-3864, jkschmidt@nps.edu.

NL MARSOF Survey

2. MARSOF Involvement

1. This section is designed to assess the involvement of NL MARSOF members. Respond to each question by selecting one bubble per line which best represents your view.

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
Most unit members are highly involved in their work.	○	○	○	○	○
Decisions are usually made at the level where the best information is available.	○	○	○	○	○
Information is widely shared so that everyone can get the information he or she needs when it's needed.	○	○	○	○	○
Everyone believes that he or she can have a positive impact.	○	○	○	○	○
Planning is ongoing and involves everyone in the process to some degree.	○	○	○	○	○
Cooperation across different units of MARSOF is actively encouraged.	○	○	○	○	○
People work like they are part of a team.	○	○	○	○	○
Teamwork is used to get work done, rather than hierarchy.	○	○	○	○	○
Teams are our primary building blocks.	○	○	○	○	○
Work is organized so that each person can see the relationship between his job and the goals of MARSOF.	○	○	○	○	○
Authority is delegated so that people can act on their own.	○	○	○	○	○
The "bench strength" (capability of people) is constantly improving.	○	○	○	○	○
There is continuous investment in the skills of unit members	○	○	○	○	○
The capabilities of people are viewed as an important source of competitive advantage.	○	○	○	○	○
Problems often arise because we do not have the skills necessary to do the job.	○	○	○	○	○

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3. MARSOF Involvement

2. Please rank the following statements in how important they are to you. (Use "1" for most important and "3" for least important. Do not give any two items the same value)

Rank (from 1 to 3)

Unit members must have the opportunity to manage their own work.	☐
We need to work cooperatively towards common goals.	☐
We must continually invest in personal education and training.	☐

3. Describe the best way to manage your own work?

4. Please rank the following forms of education in how important they are to you. (Using "1" for most important and "3" for least important. Do not give any two items the same value)

☐ Function related education; *for instance the medic course for medics*

☐ Career education; *for instance the NCO courses*

☐ General military education and courses; *for instance driving courses or computer courses*

5. Respond to each question by selecting one bubble per line which best represents your view.

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
The new MSFO-course is an improvement to the previous separate courses.	○	○	○	○	○

6. Please explain your previous answer.(*For instance, if you agree, why?*)

7. What is the best way to stimulate teamwork in MARSOF?

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4. MARSOF Mindset

8. This section is designed to assess the mindset of NL MARSOF members. Respond to each question by selecting one bubble per line which best represents your view.

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
The leaders "practice what they preach."	○	○	○	○	○
There is a characteristic leadership style and a distinct set of management practices.	○	○	○	○	○
There is a clear and consistent set of values that governs the way we operate.	○	○	○	○	○
Ignoring core values will get you in trouble.	○	○	○	○	○
There is an ethical code that guides our behavior and tells us right from wrong.	○	○	○	○	○
When disagreements occur, we work hard to achieve "win-win" solutions.	○	○	○	○	○
There is a "strong" culture.	○	○	○	○	○
It is easy to reach consensus, even on difficult issues.	○	○	○	○	○
We often have trouble reaching agreement on key issues.	○	○	○	○	○
There is a clear agreement about the right way and the wrong way to do things.	○	○	○	○	○
Our approach in operating is very consistent and predictable.	○	○	○	○	○
People from different parts of the organization share a common perspective.	○	○	○	○	○
It is easy to coordinate projects across different sub-units of MARSOF.	○	○	○	○	○
Working with someone from another sub-unit of MARSOF is like working with someone from a different organization.	○	○	○	○	○
There is good alignment of goals across levels.	○	○	○	○	○

9. Please rank the following statements in how important they are to you. (Use "1" for most important and "3" for least important. Do not give any two items the same value)

	Rank (from 1 to 3)
MARSOF personnel share the same set of values and beliefs.	☐
MARSOF personnel need to agree on critical issues.	☐
The different sub-units of MARSOF need to work together to achieve common goals	☐

5. MARSOF Mindset

10. Respond to the question by selecting the bubble which best represents your view.

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
It is necessary that NL MARSOF members generally agree on issues.	○	○	○	○	○

11. Please explain your previous answer.(*For instance, if you agree, on what specific issues is NL MARSOF's agreement necessary?*)

12. Of the following values, which ones do you think need to be common within NL MARSOF? Choose the top four.

☐ Initiative   ☐ Creativity   ☐ Responsibility

☐ Collectivism   ☐ Excellence   ☐ Flexibility

☐ Compliance   ☐ Teamwork   ☐ Guidance

☐ Rules and Regulations ☐ Equality   ☐ Innovativeness

☐ Empowerment   ☐ Problem Solving

☐ Collaboration   ☐ Quality

13. Complete the following sentence. The MSO and the UIM need to work together _____.

☐ much less often   ☐ less often   ☐ as they do now   ☐ more often   ☐ much more often

14. Please explain your previous answer.(*For instance, if you answered less often, than why*)

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6. MARSOF Adaptability

15. This section is designed to assess the adaptability of NL MARSOF.

Respond to each question by selecting one bubble per line which best represents your view.

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
The way things are done is very flexible and easy to change.	○	○	○	○	○
We respond well to competitors and other changes in the operating environment.	○	○	○	○	○
New and improved ways to do work are continually adopted.	○	○	○	○	○
Attempts to create change usually meet with resistance.	○	○	○	○	○
Different parts of MARSOF often cooperate to create change.	○	○	○	○	○
Marine Corps comments and recommendations often lead to changes.	○	○	○	○	○
Marine Corps leadership input directly influences our decisions.	○	○	○	○	○
All members have a deep understanding of Marine Corps wants and needs.	○	○	○	○	○
The interests of the Marine Corps often get ignored in our decisions.	○	○	○	○	○
We encourage direct contact with the Marine Corps by our people.	○	○	○	○	○
We view failure as an opportunity for learning and improvement.	○	○	○	○	○
Innovation and risk taking are encouraged and rewarded.	○	○	○	○	○
Lots of things "fall between the cracks".	○	○	○	○	○
Learning is an important objective in our day-to-day work.	○	○	○	○	○
We make certain that the "right hand knows what the left hand is doing."	○	○	○	○	○

7. MARSOF Adaptability

16. Please rank the following statements in how important they are to you. (Use "1" for most important and "3" for least important. Do not give any two items the same value)

Rank (from 1 to 3)

MARSOF needs to be able to adapt quickly to changes in the operating environment.	☐
MARSOF needs to fulfill higher echelon requirements.	☐
MARSOF needs to stimulate innovation and creativity.	☐

17. What is the best way to improve adaptability to new situations?

18. Who's requirements are most important to fulfill? Please rank the following organizations in how important you think it is for MARSOF to fulfill their requirements (use "1" for the most important and "5" for the least important. Do not give any two items the same value)

Rank (1 to 5)

Royal Netherlands Navy	☐
National Police Service (DSI)	☐
Department of Defense (Joint Special Operations branch)	☐
NATO SOF Head Quarter	☐
Royal Netherlands Marine Corps	☐

19. What is the best way to stimulate the development and employment of new ideas?

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8. NL MARSOF Mission

20. This section is designed to assess the clarity of NL MARSOF's mission. Respond to each question by selecting one bubble per line which best represents your view.

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
There is a long-term purpose and direction for MARSOF.	○	○	○	○	○
Our MARSOF strategy leads other SOF units to change the way they compete in our field of expertise	○	○	○	○	○
There is a clear MARSOF mission that gives meaning and direction to our work.	○	○	○	○	○
There is a clear MARSOF strategy for the future.	○	○	○	○	○
Our strategic direction for MARSOF is unclear to me.	○	○	○	○	○
There is widespread agreement within MARSOF about goals.	○	○	○	○	○
Leaders set goals that are ambitious, but realistic.	○	○	○	○	○
The leadership has "gone on record" about the objectives we are trying to meet.	○	○	○	○	○
We continuously track our progress against our stated goals.	○	○	○	○	○
People understand what needs to be done for us to succeed in the long run.	○	○	○	○	○
We have a shared vision of what the organization will be like in the future.	○	○	○	○	○
Leaders have a long-term viewpoint.	○	○	○	○	○
Short-term thinking often compromises our long-term vision.	○	○	○	○	○
Our vision for MARSOF creates excitement and motivation for our employees.	○	○	○	○	○
We are able to meet short-term demands without compromising our long-term vision.	○	○	○	○	○

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9. MARSOF Mission

21. Please rank the following statements in how important they are to you. (Use "1" for most important and "3" for least important. Do not give any two items the same value)

	Rank (from 1 to 3)
MARSOF needs distinguish itself from other Dutch SOF units.	☐
Every member needs to know what MARSOF's mission is.	☐
There is a shared view amongst the members of what we want to achieve with MARSOF.	☐

22. What is NL MARSOF's current principle task?

23. What mission type do you think are more important for MARSOF? Please rank these missions in priority for MARSOF (using "1" for the most important and "2" for the least important. Do not give any two items the same value)

	Rank (1 to 2)
National missions; *for instance counter terrorism*	☐
International missions; *for instance military assistence in Africa*	☐

24. What is the best way NL MARSOF can distinguish itself from other Dutch SOF units?

25. What operating environment should MARSOF focus on? Please rank the following environments in priority for MARSOF (using "1" for the highest priority and "4" for the lowest priority. Do not give any two items the same value)

	Rank (1 to 4)
Land	☐
Sea	☐
Littoral (Coast line)	☐
Riverine	☐

26. What should NL MARSOF's principle task be?

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27. What capabilities should MARSOF training focus on? Please rank these capabilities in priority for MARSOF (using "1" for the most important and "3" for the least important. Do not give any two items the same value)

Rank (1 to 3)

Military Assistance; *training and/or advising by, with, or through friendly indigenous forces* ☐

Special Reconnaissance; *"eyes on target" in hostile, denied, or politically sensitive territory* ☐

Direct Action; *raids, direct assaults, and opposed boardings* ☐

Counter Terrorism ☐

28. Respond to each question by selecting one bubble per line which best represents your view.

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
Full interchangeability between teams of the UIM and the MSO is essential.	○	○	○	○	○

29. Please explain your previous answer.(*For instance, if you disagree, than why*)

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10. MARSOF Effectiveness

30. This final set of questions asks about the performance of NL MARSOF.

Compared to KCT (Dutch Army SOF), how would you assess NL MARSOF's effectiveness in the following areas?

	Much lower than KCT	Lower than KCT	The same as KCT	Higher than KCT	Much higher than KCT	Don't know
External Resource Allocation by DoD	○	○	○	○	○	○
Appropriate internal Resource Allocation	○	○	○	○	○	○
New TTP Development	○	○	○	○	○	○
Group Loyalty	○	○	○	○	○	○
Unit member Satisfaction	○	○	○	○	○	○
Quality of the Unit's team members	○	○	○	○	○	○
Quality of the Unit's staf members	○	○	○	○	○	○
The readiness of the unit to conduct its mission	○	○	○	○	○	○
Dutch SOF Mission assignment	○	○	○	○	○	○
Overall Organization Performance	○	○	○	○	○	○

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11. MARSOF Effectiveness

31. Please rank the following values in how important you think they are for <u>MARSOF</u>. (Using "1" for most stongest and "4" for least strongest. Do not give any two items the same value)

	Rank (from 1 to 4)
Involvement of members in the MARSOF organization	☐
Clear sense of purpose and direction of MARSOF	☐
Consensus between members of MARSOF	☐
Adaptability of MARSOF members to new situations	☐

32. Please rank the following values in what you think is strongest present in <u>your</u> sub-unit (MSO or UIM). (Use "1" for most stongest and "4" for least strongest. Do not give any two items the same value)

	Rank (from 1 to 4)
Involvement of members in the MARSOF organization	☐
Consensus between members of MARSOF	☐
Adaptability of MARSOF members to new situations	☐
Clear sense of purpose and direction of MARSOF	☐

33. Please rank the following values in what you think is strongest present in <u>the other</u> sub-unit (MSO or UIM). (Use "1" for most stongest and "4" for least strongest. Do not give any two items the same value)

	Rank (from 1 to 4)
Clear sense of purpose and direction of MARSOF	☐
Involvement of members in the MARSOF organization	☐
Adaptability of MARSOF members to new situations	☐
Consensus between members of MARSOF	☐

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12. Demographics

34. How many years have you been in the Marine Corps?

Number of Years [   ]

35. What is your age?

Number of Years [   ]

36. What is your current rank?

☐ Marine   ☐ Corporal   ☐ Sergeant   ☐ Senior NCO   ☐ Officer

37. What is your education level?

☐ LBO/MAVO   ☐ HAVO/VWO   ☐ MBO   ☐ HBO   ☐ WO

38. In which sub-unit (UIM or MSO) are you currently posted?

☐ MSO-Coy   ☐ UIM

39. How long have you been working in your current position?

Number of months [   ]

40. How many years have you served in your current unit in total?

Number of years [   ]

41. Have you served in the other sub-unit as well?

☐ Yes   ☐ No

42. If so, how many years?

Number of years [   ]

43. What are your sub-specialties?

☐ CT/SWAT   ☐ Frogman   ☐ Mountain leader   ☐ None of these

44. Are you working in the staff or in the teams/platoons?

☐ Staff   ☐ Team/Platoon

45. Do you sleep on base or off base during the workweek?

☐ on base   ☐ off base

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46. Is there anything that was not addressed in this survey that you feel contributes to the unit culture or is important to address in terms of NL MARSOF's mission?

Thank you for taking time to complete this survey. Once again, if you have any questions about this study, please contact either the researcher, MAJOR Andy Kraag, akraag@nps.edu, or the Principle Investigator, Dr. Kalev Sepp, kisepp@nps.edu. You may also address questions to the Naval Postgraduate School's Institutional Review Board Chair, CAPT John K. Schmidt, (1)831-656-3864, jkschmidt@nps.edu.

The final research results will be briefed to the NL MARSOF community. You may also obtain a copy of the research after it is completed by contacting MAJ Andy Kraag at akraag@nps.edu.

APPENDIX B: SURVEY QUESTIONS CONNECTION TO THE DENISON ORGANIZATIONAL CULTURE MODEL

Denison Organizational Culture Survey

60 closed Likert-Type scale questions

Item	Trait	Index	Question (Dutch)	Question (English)
Q1	Involvement	Empowerment	De meeste mensen binnen de eenheid zijn zeer betrokken bij hun werk.	Most unit members are highly involved in their work.
Q2	Involvement	Empowerment	Beslissingen worden gewoonlijk genomen op het niveau waar de beste informatie beschikbaar is.	Decisions are usually made at the level where the best information is available.
Q3	Involvement	Empowerment	Informatie wordt uitgebreid gedeeld zodat iedereen, indien nodig, de informatie kan verkrijgen die hij of zij nodig heeft.	Information is widely shared so that everyone can get the information he or she needs when it's needed.
Q4	Involvement	Empowerment	Iedereen gelooft dat hij of zij een positieve invloed kan uitoefenen.	Everyone believes that he or she can have a positive impact.
Q5	Involvement	Empowerment	Planning van oefeningen, schema's etc. is een continuproces waarbij iedereen tot op zekere hoogte wordt betrokken.	Planning is ongoing and involves everyone in the process to some degree.
Q6	Involvement	Team Orientation	Samenwerking tussen de verschillende eenheden van MARSOF (UIM en MSO) wordt actief gestimuleerd.	Cooperation across different units of MARSOF is actively encouraged.
Q7	Involvement	Team Orientation	Mensen werken alsof zij deel uitmaken van een (1) eenheid	People work like they are part of a team.
Q8	Involvement	Team Orientation	In plaats van hierarchie wordt teamwork gebruikt om werk klaar te krijgen.	Teamwork is used to get work done, rather than hierarchy.
Q9	Involvement	Team Orientation	Teams (en niet de individuen) zijn onze voornaamste bouwstenen.	Teams are our primary building blocks.
Q10	Involvement	Team Orientation	Werk wordt zodanig georganiseerd dat voor iedereen binnen de eenheid de samenhang tussen zijn werkzaamheden en de doelstellingen van MARSOF duidelijk is.	Work is organized so that each person can see the relationship between his job and the goals of MARSOF.
Q11	Involvement	Capability Development	Besluitvorming wordt gedelegeerd naar het juiste niveau zodat mensen zelf actie kunnen ondernemen.	Authority is delegated so that people can act on their own.
Q12	Involvement	Capability Development	De "bench strength" (bekwaamheid van het personeel) wordt steeds beter.	The ""bench strength"" (capability of people) is constantly improving.
Q13	Involvement	Capability Development	Er wordt continu geïnvesteerd in de kennis en vaardigheden van het personeel	There is continuous investment in the skills of unit members
Q14	Involvement	Capability Development	De vaardigheden van onze mensen worden beschouwd als een belangrijke bron van concurrentievoordeel tov andere SOF eenheden.	The capabilities of people are viewed as an important source of competitive advantage.
Q15	Involvement	Capability Development	*Problemen doen zich vaak voor omdat we niet de vaardigheden bezitten die nodig zijn om het werk te verrichten.*	*Problems often arise because we do not have the skills necessary to do the job.*
Q16	Consistency	Core Values	De leiding van MARSOF doet wat ze zeggen.	The leaders ""practice what they preach.""
Q17	Consistency	Core Values	Er is een consequente manier van leiding geven en duidelijke richtlijnen vanuit de staf.	There is a characteristic leadership style and a distinct set of management practices.
Q18	Consistency	Core Values	Er is een duidelijke set waarden en normen die de manier waarop wij opereren regelt.	There is a clear and consistent set of values that governs the way we operate.
Q19	Consistency	Core Values	Het negeren van deze waarden en normen brengt je in de problemen.	Ignoring core values will get you in trouble.
Q20	Consistency	Core Values	Wij hebben een etische gedragscode waardoor het verschil tussen goed en kwaad voor iedereen duidelijk is.	There is an ethical code that guides our behavior and tells us right from wrong.
Q21	Consistency	Agreement	Bij onderlinge meningsverschillen tussen MSO en UIM werken we hard om een "win-win" oplossing te bewerkstelligen.	When disagreements occur, we work hard to achieve ""win-win"" solutions.
Q22	Consistency	Agreement	Er is een (1) "sterke" cultuur.	There is a ""strong"" culture.
Q23	Consistency	Agreement	Het is gemakkelijk om het binnen MARSOF met elkaar eens te worden, zelfs over moeilijke kwesties tussen MSO en UIM.	It is easy to reach consensus, even on difficult issues.
Q24	Consistency	Agreement	*Wij hebben vaak moeite om het binnen MARSOF eens te worden over essentiele kwesties.*	*We often have trouble reaching agreement on key issues.*
Q25	Consistency	Agreement	Er is een duidelijke overeenstemming over de juiste en verkeerde manier om dingen te doen.	There is a clear agreement about the right way and the wrong way to do things.
Q26	Consistency	Coordination & Integration	Onze aanpak in werkzaamheden (SOP's) is heel consequent en voorspelbaar.	Our approach in operating is very consistent and predictable.
Q27	Consistency	Coordination & Integration	Mensen uit verschillende delen van MARSOF hebben een gemeenschappelijk perspectief.	People from different parts of MARSOF share a common perspective.
Q28	Consistency	Coordination & Integration	Het is gemakkelijk om projecten (oefeningen, aanschaf materiaal, oplijnen procedures etc.) te coordineren over de verschillende eenheden van MARSOF heen.	It is easy to coordinate projects across different sub-units of MARSOF.
Q29	Consistency	Coordination & Integration	*Werken met iemand uit een andere sub-eenheid van MARSOF is alsof je werkt met iemand uit een compleet andere organisatie*	*Working with someone from another sub-unit of MARSOF is like working with someone from a different organization.*
Q30	Consistency	Coordination & Integration	Er is afstemming van de doelstellingen over de verschillende organisatie niveaus.	There is good alignment of goals across levels.

Q31	Adaptability	Creating Change	De manier waarop de dingen gedaan worden is heel flexibel en makkelijk te veranderen.	The way things are done is very flexible and easy to change.
Q32	Adaptability	Creating Change	Wij reageren goed op veranderingen bij onze concurrentie (bijv. KCT) en andere veranderende (veiligheids)situaties in de wereld waar op ingesprongen moet worden.	We respond well to competitors and other changes in the operating environment.
Q33	Adaptability	Creating Change	Wij ontwikkelen voortdurend nieuwe en verbeterde manieren om ons werk te doen.	New and improved ways to do work are continually adopted.
Q34	Adaptability	Creating Change	*Initiatieven die leiden tot verandering stuiten op weerstand.*	*Attempts to create change usually meet with resistance.*
Q35	Adaptability	Creating Change	Verschillende eenheden van MARSOF werken vaak samen om verandering te bewerkstelligen.	Different parts of MARSOF often cooperate to create change.
Q36	Adaptability	Customer Focus	Opmerkingen en aanbevelingen van de hogere Korps leiding leiden vaak tot veranderingen.	Marine Corps comments and recommendations often lead to changes.
Q37	Adaptability	Customer Focus	Inbreng door de de hogelere leiding van het Korps Mariniers beïnvloedt onze beslissingen direct.	Marine Corps leadership input directly influences our decisions.
Q38	Adaptability	Customer Focus	Alle leden hebben een diep begrip voor de wensen en behoeften vanuit het perspectief van het Korps Mariniers.	All members have a deep understanding of Marine Corps wants and needs.
Q39	Adaptability	Customer Focus	*De belangen van het Korps Mariniers worden veelal in onze beslissingen genegeerd.*	*The interests of the Marine Corps often get ignored in our decisions.*
Q40	Adaptability	Customer Focus	Wij stimuleren het directe contact tussen personeel van MARSOF en de rest van het Korps Mariniers.	We encourage direct contact with the Marine Corps by our people.
Q41	Adaptability	Organizational Learning	Wij beschouwen fouten als een gelegenheid tot leren en verbetering.	We view failure as an opportunity for learning and improvement.
Q42	Adaptability	Organizational Learning	Innovatie en het nemen van risico wordt bemoedigd en beloond.	Innovation and risk taking are encouraged and rewarded.
Q43	Adaptability	Organizational Learning	*Veel dingen vallen "tussen wal en schip".*	*Lots of things ""fall between the cracks"".*
Q44	Adaptability	Organizational Learning	Leren is een belangrijke doelstelling in ons dagelijks werk.	Learning is an important objective in our day-to-day work.
Q45	Adaptability	Organizational Learning	Wij zorgen ervoor dat de "rechterhand weet wat de linkerhand doet".	We make certain that the ""right hand knows what the left hand is doing.""
Q46	Mission	Strategic Direction & Intent	Er is een MARSOF doel en richting op lange termijn.	There is a long-term purpose and direction for MARSOF.
Q47	Mission	Strategic Direction & Intent	Onze strategie dwingt andere SOF eenheden om te veranderen in de manier waarop zij op ons terrein (maritiem en CT) concureren.	Our strategy leads other SOF units to change the way they compete in our field of expertise
Q48	Mission	Strategic Direction & Intent	Er is een duidelijke MARSOF missie die betekenis en richting geeft aan ons werk.	There is a clear MARSOF mission that gives meaning and direction to our work.
Q49	Mission	Strategic Direction & Intent	Er is een duidelijke MARSOF stategie voor de toekomst.	There is a clear MARSOF strategy for the future.
Q50	Mission	Strategic Direction & Intent	*De richting van onze MARSOF strategie is mij niet duidelijk.*	*Our MARSOF strategic direction is unclear to me.*
Q51	Mission	Goals & Objectives	Er bestaat brede overeenstemming over de te bereiken doelstellingen.	There is widespread agreement about goals.
Q52	Mission	Goals & Objectives	Onze commandanten stellen ambitieuze maar realistische doelstellingen.	MARSOF Leaders set goals that are ambitious, but realistic.
Q53	Mission	Goals & Objectives	De commandanten hebben de doelstellingen die wij, het personeel van MARSOF, nastreven duidelijk gecommuniceerd.	The leadership has ""gone on record"" about the objectives we are trying to meet.
Q54	Mission	Goals & Objectives	Wij controleren onze voortgang tegen de gestelde doelstellingen.	We continuously track our progress against our stated goals.
Q55	Mission	Goals & Objectives	Onze mensen begrijpen wat er gedaan moet worden om ons succes op de lange termijn te verzekeren.	People understand what needs to be done for us to succeed in the long run.
Q56	Mission	Vision	Wij hebben een gedeelde visie over hoe MARSOF er in de toekomst uit zal zien.	We have a shared vision of what MARSOF will be like in the future.
Q57	Mission	Vision	MARSOF Leiders hebben een lange termijn visie.	Leaders have a long-term viewpoint.
Q58	Mission	Vision	*Korte termijn denken brengt onze visie op lange termijn in gevaar.*	*Short-term thinking often compromises our long-term vision.*
Q59	Mission	Vision	De MARSOF gedachte creert enthousiasme en is een bron van motivatie voor het personeel	Our vision for MARSOF creates excitement and motivation for our employees.
Q60	Mission	Vision	Wij zijn in staat om aan eisen op korte termijn te voldoen zonder onze visie op lange termijn in gevaar te brengen.	We are able to meet short-term demands without compromising our long-term vision.

These survey questions determine preferred culture
20 Questions: 11 close-ended and 9 open-ended* questions

Item	Trait	Index	Question (Dutch)	Question (English)
Q1	Involvement Consistency Adaptation Mission	All	Rangschik de volgende stellingen in de mate van belangrijkheid voor NLMARSOF (Gebruik "1" voor meest belangrijk en "4" voor minst belangrijk. Gebruik elk nummer slecht 1 keer). - De betrokkenheid van leden binnen MARSOF - De overeenstemming tussen alle leden van MARSOF - Het aanpassingsvermogen van MARSOF aan nieuwe situaties - Een doel en richting voor MARSOF	Please rank the following values in how important you think they should be in MARSOF (Using "1" for most important and "4" for least important. Do not give any two items the same value) - Involvement of members in the MARSOF organization - Consensus between members of MARSOF - Adaptability of MARSOF members to new situations - Clear sense of purpose and direction of MARSOF
Q2	Involvement	Empowerment Team Orientation Capability Development	Rangschik de volgende stellingen in de mate van belangrijkheid voor jou. (Gebruik "1" voor meest belangrijk en "3" voor minst belangrijk. Gebruik elk nummer slecht 1 keer) - Personeel moet zijn eigen werk kunnen bepalen en indelen - We moeten gezamelijk werken om dezelfde doelen te halen - We moeten continue investeren in individuele vakopleidingen	Please rank the following statements in how important they are to you. (Using "1" for most important and "3" for least important. Do not give any two items the same value) - Unit members must have the opportunity to manage their own work - We need to work cooperatively towards common goals - We must continually invest in personal education and training
Q3	Involvement	Empowerment	Hoe kun je het beste invloed uitoefenen op jou dagindeling en werkzaamheden?	Describe the best way to manage your own work?
Q4	Involvement	Team Orientation	Hoe kun je teamwork het beste stimuleren en verbeteren binnen MARSOF?	What is the best way to stimulate teamwork in MARSOF?
Q5	Involvement	Capability Development	Rangschik de volgende opleidingen in de mate van belangrijkheid voor jou. (Gebruik "1" voor meest belangrijk en "3" voor minst belangrijk. Gebruik elk nummer slecht 1 keer) - Functiegerelateerde opleidingen (bijv. SF medic als je die functie gaat vervullen) - Carriere opleidingen (bijv. de VVO of LMO) - Algemene vakopleidingen (bijv. computer cursus of groot rijbewijs)	Please rank the following forms of education in how important they are to you. (Using "1" for most important and "3" for least important. Do not give any two items the same value) - Function related education; for instance the medic course for medics - Career education; for instance the NCO cource - General military education and courses; for instance driving courses.
Q6	Consistency	Core Values Agreement Coord & Integration	Rangschik de volgende statements in de mate van belangrijkheid voor jou. (Gebruik "1" voor meest belangrijk en "3" voor minst belangrijk. Gebruik elk nummer slecht 1 keer) - MARSOF personeel moet dezelfde normen en waarden delen. - MARSOF personeel moet altijd overeenstemming kunnen bereiken over belangrijke zaken - MSO en UIM moeten samenwerken om gezamelijke doelen te bereiken.	Please rank the following statements in how important they are to you. (Using "1" for most important and "3" for least important. Do not give any two items the same value) - MARSOF personnel share the same set of values and beliefs. - MARSOF personnel need to agree on critical issues. - Different sub-units of MARSOF need to work together to achieve common goals
Q7	Consistency	Core Values	Van de volgende waarden, welke zijn volgens jou belangrijk voor MARSOF? Kies er vier. *Initiatief - Saamhorigheid - Inventiviteit - Richtlijnen (guidance) - Inbreng - Medewerking - Creativiteit - Excelleren - Teamwork - Gelijkheid - Leervermogen - Kwaliteit - Eigen verantwoordelijkeheid - Open staan voor anderen - Flexibiliteit - Sturing*	Of the following values, which ones do you think need to be common within NL MARSOF? Choose four *- Initiative - Collectivism - Innovativeness - Rules and Regulations - Empowerment - Collaboration - Creativity - Excellence - Teamwork - Equality - Problem Solving - Quality - Responsibility - Compliance - Flexibility - Guidance*
Q8	Consistency	Agreement	Het is noodzakelijk om het over het algemeen met elkaar eens te zijn binnen MARSOF? (SD-SA) Leg uit.	It is necessary that NL MARSOF members generally agree on issues. (SD - SA) Please explain.
Q9	Consistency	Coordination & Integration	Vul de volgende zin in. MSO en UIM moeten _____met elkaar samenwerken.(veel minder, minder, hetzelfde, meer, veel meer) Leg uit.	_____. (much less often, less often, as they do now, more often, much more often) Please explain.
Q10	Adaptability	Creating Change Customer Focus Organizational Learning	Rangschik de volgende zinnen in de mate van belangrijkheid voor jou. (Gebruik "1" voor meest belangrijk en "3" voor minst belangrijk. Gebruik elk nummer slecht 1 keer) - MARSOF moet zich snel kunnen aanpassen aan de situatie. - MARSOF moet doen waar de hogere leiding om vraagt. - MARSOF moet innovatie en creativiteit stimuleren.	most important and "3" for least important. Do not give any two items the same value) - NL MARSOF needs to be able to adapt quickly to changes in the operating environment - NL MARSOF needs to fulfill high-level organization's requirements - NL MARSOF needs to stimulate innovation and creativity
Q11	Adaptability	Creating Change	Wat is volgens jou de beste manier om het aanpassingsvermogen van MARSOF te verbeteren? Met andere woorden, hoe kan MARSOF beter inspringen op nieuwe situaties?	What is the best way to improve adaptability to new situations?
Q12	Adaptability	Customer Focus	Aan wie zijn verzoeken moet MARSOF de meeste prioriteit geven? Rangschik de volgende organisaties in mate van prioriteit voor MARSOF (Gebruik "1" voor meeste prioriteit en "5" voor minste prioriteit. Gebruik elk nummer slechts 1 keer) - the Royal Netherlands Marine Corps - the Royal Netherlands Navy - the Department of Defense (Joint Special Operations Branch) - NATO SOF Head Quarters - the national police service (DSI)	Who's requirements are most important to fulfill? Please rank the following organizations in how important you think it is for MARSOF to fulfill their requirements (using "1" for the most important and "5" for the least important. Do not give any two items the same value) - the Royal Netherlands Marine Corps - the Royal Netherlands Navy - the Department of Defense (Joint Special Operations Branch) - NATO SOF Head Quarters - the national police service (DSI)
Q13	Adaptability	Organizational Learning	Hoe kun je het beste nieuwe ideeen stimuleren binnen de eenheid (MARSOF)?	What is the best way to stimulate the development and employment of new ideas?
Q14	Mission	Strategic Direction & Intent Goals & Objectives Vision	Rangschik de volgende zinnen in de mate van belangrijkheid voor jou. (Gebruik "1" voor meest belangrijk en "3" voor minst belangrijk. Gebruik elk nummer slecht 1 keer) - MARSOF moet zichzelf kunnen onderscheiden van andere Nederlandse SOF - Al het personeel moet weten wat de taakstelling van MARSOF is. - Al het personeel moet het eens zijn over de taakstelling van MARSOF.	most important and "3" for least important. Do not give any two items the same value) - MARSOF needs distinguish itself from other Dutch SOF. - Every member needs to know what MARSOF's mission is. - There is a shared view amongst the members of what we want to achieve with MARSOF.
Q15	Mission	Strategic Direction & Intent	Wat is de huidige taakstelling van MARSOF?	What is principle task of NL MARSOF?
Q16	Mission	Strategic Direction & Intent	Welke van deze twee type taken is volgens jou belangrijker voor MARSOF? (Gebruik "1" voor meest belangrijk en "2" voor minst belangrijk. Gebruik elk nummer slechts een keer) - Nationale taken; bijvoorbeeld CT tbv justitie. - Internationale taken; bijvoorbeeld military assistence in Afrika.	What mission type do you think are more important for MARSOF? Please rank these missions in priority for MARSOF (using "1" for the most important and "2" for the least important. Do not give any two items the same value) - National missions; for instance counter terrorism - International missions; for instance military assistence in Africa
Q17	Mission	Goals & Objectives	Hoe kan MARSOF zich het beste onderscheiden van andere Nederlandse speciale	What is the best way in which NL MARSOF can distinguish itself from other Dutch SOF
Q18	Mission	Goals & Objectives	Op welk geografische operatiegebied moet MARSOF zich volgens jou richten? Rangschik de volgende geografische operatiegebied in prioriteit voor MARSOF. (Gebruik "1" voor grootste prioriteit en "4" voor laagste prioriteit. Gebruik elk nummer slechts een keer) - Land (binnenland) - Zee - Kustgebied (litoraal) - Riviergebieden (binnenland)	What operating environment should MARSOF focus on? Please rank the following environments in priority for MARSOF (using "1" for the most important and "4" for the least important. Do not give any two items the same value) - Land - Sea - Littoral (Coast line) - Riverine
Q19	Mission	Vision	Wat zou volgens jou de taakstelling van MARSOF moeten zijn? (Jou persoonlijke 'ideaal plaatje')	What should the principle task be for NL MARSOF?
Q20	Mission	Vision	Op welke capaciteiten moet de focus van de training van MARSOF liggen? Rangschik deze capaciteiten in prioriteit voor MARSOF. (Gebruik "1" voor hoogste prioriteit en "3" voor laagste prioriteit. Gebruik elk nummer slechts een keer.) - Military Assistance; het trainen en/of adviseren van lokale (para)militaire eenheden. - Special Reconnaissance; *"eyes on target"* in vijandig, moeilijk begaanbaar, of politiek gevoelige gebieden - Direct Action; raids, hinderlagen, sabotages, opposed boardings, etc.	What capabilities should MARSOF training focus on? Please rank these capabilities in priority for MARSOF (using "1" for the most important and "3" for the least important. Do not give any two items the same value) - Military Assistance; training and/or advising by, with, or through friendly indigenous forces - Special Reconnaissance; "eyes on target" in hostile, denied, or politically sensitive territory - Direct Action; raids, direct assaults, and opposed boardings

Perception on organization effectiveness (devided in the "Cold Side" and the "Hot Side")

	These 10 items are preceeded by the following text:			
English:	"This final set of questions asks about the performance of NL MARSOF."			
	"Compared to KCT (Dutch Army SOF), how would you assess your organization's effectiveness in the following areas?"			
Dutch:	"De volgende reeks vragen gaat over de prestatie van MARSOF."			
	"Vergeleken met het KCT, hoe schat je de prestaties van MARSOF in op de volgende gebieden?"			

Item	DV: Operational Effectiveness	Indicator	English	Dutch
Q1	**Cold Side** of the Organization	GROWTH	External Resource Allocation by DoD	Aandeel in toegewezen middelen door Defensie
Q2	**Cold Side** of the Organization	EFFICIENCY	Appropriate internal Resource Allocation	Efficiente verdeling van middelen tussen de eenheden (UIM en MSO)
Q3	**Cold Side** of the Organization	INNOVATION	New TTP Development	Ontwikkeling nieuwe tactiek, techniek, en procedures
Q4	**Cold Side** of the Organization	LOYALTY	Group Loyalty	Loyaliteit naar je eenheid
Q5	**Cold Side** of the Organization	UNIT MEMBERS	Unit member Satisfaction	Personeelstevredenheid
Q1	**Hot Side** of the Organization	QUALITY	Quality of the Unit's team members	Kwaliteit van de teams
Q2	**Hot Side** of the Organization	QUALITY	Quality of the Unit's staf members	Kwaliteit van de staf
Q3	**Hot Side** of the Organization	READINESS	The readiness of the unit to conduct its mission	De gereedheid om de opgedragen missie uit te voeren
Q4	**Hot Side** of the Organization	MISSIONS	Dutch SOF Mission assignment	Aandeel in uitgevoerde Nederlandse SOF operaties
Q5	**Hot Side** of the Organization	OVERALL	Overall Organization Performance	Algemene prestaties van de organisatie

Performance Questions	
English	*Dutch*
1 = Much Lower than ARMY SOF	Veel lager dan KCT
2 = Lower than ARMY SOF	Lager dan KCT
3 = The Same as ARMY SOF	Hetzelfde als KCT
4 = Higher ARMY SOF	Hoger dan KCT
5 = Much Higher than ARMY SOF	Veel hoger dan KCT
? = Don't know	Weet niet

APPENDIX C: DENISON ORGANIZATIONAL CULTURE SURVEY REPORTS

DOCS scores for whole population of NL MARSOF

Whole population MARSOF

Numbers denote percentiles

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Whole population MARSOF

Involvement

In this organization...

Empowerment

Most employees are highly involved in their work. ➕ — 86

Decisions are usually made at the level where the best information is available. — 24

Information is widely shared so that everyone can get the information he or she needs when it's needed. — 51

Everyone believes that he or she can have a positive impact. — 46

Business planning is ongoing and involves everyone in the process to some degree. — 19

In this organization...

Team Orientation

Cooperation across different parts of the organization is actively encouraged. ➖ 1

People work like they are part of a team. — 17

Teamwork is used to get work done, rather than hierarchy. ➕ — 85

Teams are our primary building blocks. — 77

Work is organized so that each person can see the relationship between his or her job and the goals of the organization. — 12

In this organization...

Capability Development

Authority is delegated so that people can act on their own. — 33

The "bench strength" (capability of people) is constantly improving. — 33

There is continuous investment in the skills of employees. — 49

The capabilities of people are viewed as an important source of competitive advantage. ➕ — 84

Problems often arise because we do not have the skills necessary to do the job.* ➕ — 85

*The raw score has been reversed for this negatively worded item. In all cases, a higher score indicates a more favorable condition.

Numbers denote percentiles

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Whole population MARSOF

Consistency

Quartile	1st	2nd	3rd	4th
Percentile	0 — 25th	50th	75th	100th

In this organization...

Core Values

The leaders and managers "practice what they preach." — **25**

There is a characteristic management style and a distinct set of management practices. — **1**

There is a clear and consistent set of values that governs the way we do business. — **39**

Ignoring core values will get you in trouble. — **3**

There is an ethical code that guides our behavior and tells us right from wrong. — **17**

In this organization...

Agreement

When disagreements occur, we work hard to achieve "win-win" solutions. — **1**

There is a "strong" culture. — **1**

It is easy to reach consensus, even on difficult issues. — **5**

We often have trouble reaching agreement on key issues.* — **6**

There is a clear agreement about the right way and the wrong way to do things. — **32**

In this organization...

Coordination & Integration

Our approach to doing business is very consistent and predictable. — **24**

People from different parts of the organization share a common perspective. — **21**

It is easy to coordinate projects across different parts of the organization. — **10**

Working with someone from another part of this organization is like working with someone from a different organization.* — **70**

There is good alignment of goals across levels. — **7**

*The raw score has been reversed for this negatively worded item. In all cases, a higher score indicates a more favorable condition.

Numbers denote percentiles

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Whole population MARSOF

Adaptability

	Quartile	1st	2nd	3rd	4th
	Percentile	0 25th	50th	75th	100th

Creating Change

In this organization...

- The way things are done is very flexible and easy to change. ⊕ — **86**
- We respond well to competitors and other changes in the business environment. — **7**
- New and improved ways to do work are continually adopted. — **54**
- Attempts to create change usually meet with resistance.* — **69**
- Different parts of the organization often cooperate to create change. ⊖ — **1**

Customer Focus

In this organization...

- Customer comments and recommendations often lead to changes. — **4**
- Customer input directly influences our decisions. — **10**
- All members have a deep understanding of customer wants and needs. — **1**
- The interests of the customer often get ignored in our decisions.* — **17**
- We encourage direct contact with customers by our people. — **7**

Organizational Learning

In this organization...

- We view failure as an opportunity for learning and improvement. — **82**
- Innovation and risk taking are encouraged and rewarded. — **73**
- Lots of things "fall between the cracks."* — **19**
- Learning is an important objective in our day-to-day work. — **43**
- We make certain that the "right hand knows what the left hand is doing." — **79**

*The raw score has been reversed for this negatively worded item. In all cases, a higher score indicates a more favorable condition.

Numbers denote percentiles

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Mission

	Quartile	1st	2nd	3rd	4th
	Percentile	0 25th	50th	75th	100th

In this organization...

Strategic Direction & Intent

There is a long-term purpose and direction. — **5**

Our strategy leads other organizations to change the way they compete in the industry. — **20**

There is a clear mission that gives meaning and direction to our work. — **1**

There is a clear strategy for the future. — **2**

Our strategic direction is unclear to me.* — **5**

In this organization...

Goals & Objectives

There is widespread agreement about goals. — **8**

Leaders set goals that are ambitious, but realistic. — **5**

The leadership has "gone on record" about the objectives we are trying to meet. — **2**

We continuously track our progress against our stated goals. — **6**

People understand what needs to be done for us to succeed in the long run. — **22**

In this organization...

Vision

We have a shared vision of what the organization will be like in the future. — **51**

Leaders have a long-term viewpoint. — **14**

Short-term thinking often compromises our long-term vision.* — **6**

Our vision creates excitement and motivation for our employees. — **18**

We are able to meet short-term demands without compromising our long-term vision. — **54**

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DOCS scores for the UIM

Numbers denote percentiles

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Involvement

Quartile	1st	2nd	3rd	4th
Percentile	0 25th	50th	75th	100th

In this organization...

Empowerment

Most employees are highly involved in their work. — 74

Decisions are usually made at the level where the best information is available. — 17

Information is widely shared so that everyone can get the information he or she needs when it's needed. — 30

Everyone believes that he or she can have a positive impact. — 30

Business planning is ongoing and involves everyone in the process to some degree. — 6

In this organization...

Team Orientation

Cooperation across different parts of the organization is actively encouraged. — 1

People work like they are part of a team. — 9

Teamwork is used to get work done, rather than hierarchy. — 82

Teams are our primary building blocks. — 72

Work is organized so that each person can see the relationship between his or her job and the goals of the organization. — 11

In this organization...

Capability Development

Authority is delegated so that people can act on their own. — 24

The "bench strength" (capability of people) is constantly improving. — 11

There is continuous investment in the skills of employees. — 38

The capabilities of people are viewed as an important source of competitive advantage. — 75

Problems often arise because we do not have the skills necessary to do the job.* — 83

*The raw score has been reversed for this negatively worded item. In all cases, a higher score indicates a more favorable condition.

Numbers denote percentiles

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Unit: UIM

Consistency

Quartile	1st	2nd	3rd	4th
Percentile	0 25th	50th	75th	100th

In this organization...

Core Values

The leaders and managers "practice what they preach." — 24

There is a characteristic management style and a distinct set of management practices. — 1

There is a clear and consistent set of values that governs the way we do business. — 44

Ignoring core values will get you in trouble. — 3

There is an ethical code that guides our behavior and tells us right from wrong. — 16

In this organization...

Agreement

When disagreements occur, we work hard to achieve "win-win" solutions. — 1

There is a "strong" culture. — 1

It is easy to reach consensus, even on difficult issues. — 2

We often have trouble reaching agreement on key issues.* — 4

There is a clear agreement about the right way and the wrong way to do things. — 14

In this organization...

Coordination & Integration

Our approach to doing business is very consistent and predictable. — 27

People from different parts of the organization share a common perspective. — 11

It is easy to coordinate projects across different parts of the organization. — 5

Working with someone from another part of this organization is like working with someone from a different organization.* — 65

There is good alignment of goals across levels. — 5

*The raw score has been reversed for this negatively worded item. In all cases, a higher score indicates a more favorable condition.

Numbers denote percentiles

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Adaptability

Quartile	1st	2nd	3rd	4th
Percentile	0	25th	50th	75th	100th

In this organization...

Creating Change

The way things are done is very flexible and easy to change. ➕	79
We respond well to competitors and other changes in the business environment.	7
New and improved ways to do work are continually adopted.	53
Attempts to create change usually meet with resistance.*	66
Different parts of the organization often cooperate to create change. ➖	1

In this organization...

Customer Focus

Customer comments and recommendations often lead to changes.	7
Customer input directly influences our decisions.	4
All members have a deep understanding of customer wants and needs.	1
The interests of the customer often get ignored in our decisions.*	32
We encourage direct contact with customers by our people.	14

In this organization...

Organizational Learning

We view failure as an opportunity for learning and improvement. ➕	77
Innovation and risk taking are encouraged and rewarded.	73
Lots of things "fall between the cracks."*	24
Learning is an important objective in our day-to-day work.	44
We make certain that the "right hand knows what the left hand is doing." ➕	76

*The raw score has been reversed for this negatively worded item. In all cases, a higher score indicates a more favorable condition.

Numbers denote percentiles

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Mission

Quartile	1st	2nd	3rd	4th
Percentile	0	25th	50th	75th	100th

In this organization...

Strategic Direction & Intent

There is a long-term purpose and direction. — 6

Our strategy leads other organizations to change the way they compete in the industry. — 24

There is a clear mission that gives meaning and direction to our work. — 1

There is a clear strategy for the future. — 4

Our strategic direction is unclear to me.* — 8

In this organization...

Goals & Objectives

There is widespread agreement about goals. — 9

Leaders set goals that are ambitious, but realistic. — 8

The leadership has "gone on record" about the objectives we are trying to meet. — 5

We continuously track our progress against our stated goals. — 7

People understand what needs to be done for us to succeed in the long run. — 17

In this organization...

Vision

We have a shared vision of what the organization will be like in the future. — 61

Leaders have a long-term viewpoint. — 32

Short-term thinking often compromises our long-term vision.* — 7

Our vision creates excitement and motivation for our employees. — 10

We are able to meet short-term demands without compromising our long-term vision. — 66

*The raw score has been reversed for this negatively worded item. In all cases, a higher score indicates a more favorable condition.

Numbers denote percentiles

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DOCS scores for the MSO

Numbers denote percentiles

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Involvement

Quartile		1st	2nd	3rd	4th
Percentile	0	25th	50th	75th	100th

In this organization...

Empowerment

Most employees are highly involved in their work. **+** — 94

Decisions are usually made at the level where the best information is available. — 35

Information is widely shared so that everyone can get the information he or she needs when it's needed. — 77

Everyone believes that he or she can have a positive impact. — 63

Business planning is ongoing and involves everyone in the process to some degree. — 46

In this organization...

Team Orientation

Cooperation across different parts of the organization is actively encouraged. **−** 1

People work like they are part of a team. — 35

Teamwork is used to get work done, rather than hierarchy. **+** — 89

Teams are our primary building blocks. — 84

Work is organized so that each person can see the relationship between his or her job and the goals of the organization. — 14

In this organization...

Capability Development

Authority is delegated so that people can act on their own. — 48

The "bench strength" (capability of people) is constantly improving. — 75

There is continuous investment in the skills of employees. — 62

The capabilities of people are viewed as an important source of competitive advantage. **+** — 92

Problems often arise because we do not have the skills necessary to do the job.* — 86

*The raw score has been reversed for this negatively worded item. In all cases, a higher score indicates a more favorable condition.
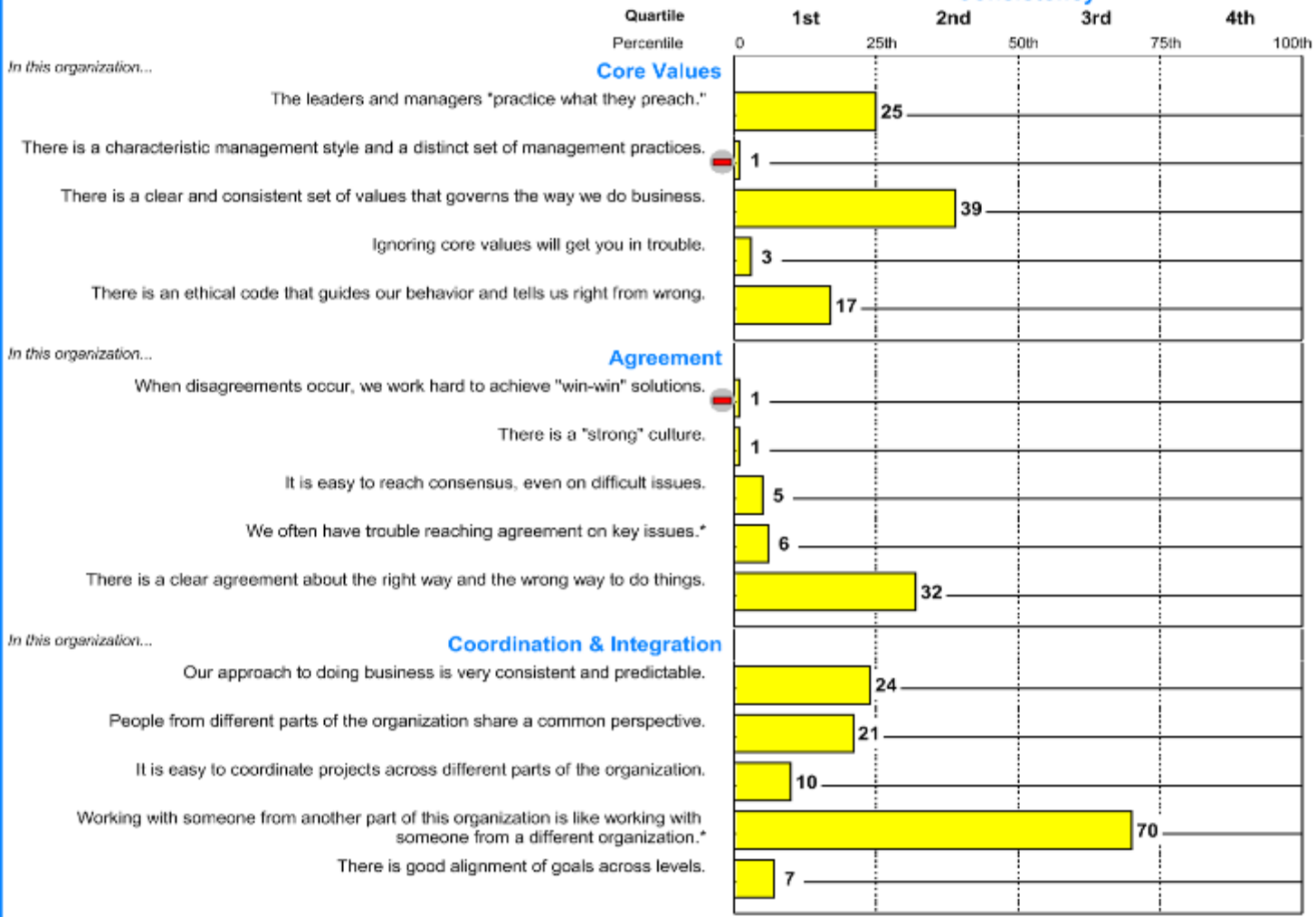
Numbers denote percentiles

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Consistency

Quartile		1st	2nd	3rd	4th
Percentile	0	25th	50th	75th	100th

Core Values

In this organization...

The leaders and managers "practice what they preach." — 26

There is a characteristic management style and a distinct set of management practices. — 2

There is a clear and consistent set of values that governs the way we do business. — 33

Ignoring core values will get you in trouble. — 3

There is an ethical code that guides our behavior and tells us right from wrong. — 18

Agreement

In this organization...

When disagreements occur, we work hard to achieve "win-win" solutions. — 2

There is a "strong" culture. — 9

It is easy to reach consensus, even on difficult issues. — 13

We often have trouble reaching agreement on key issues.* — 12

There is a clear agreement about the right way and the wrong way to do things. — 61

Coordination & Integration

In this organization...

Our approach to doing business is very consistent and predictable. — 19

People from different parts of the organization share a common perspective. — 39

It is easy to coordinate projects across different parts of the organization. — 18

Working with someone from another part of this organization is like working with someone from a different organization.* — 76

There is good alignment of goals across levels. — 9

*The raw score has been reversed for this negatively worded item. In all cases, a higher score indicates a more favorable condition.
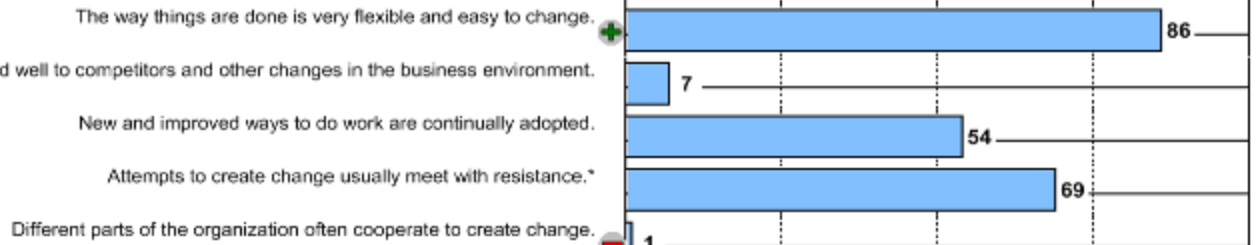
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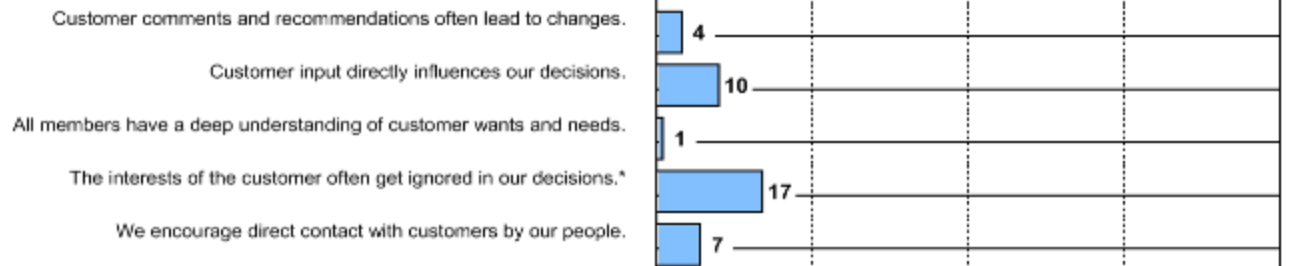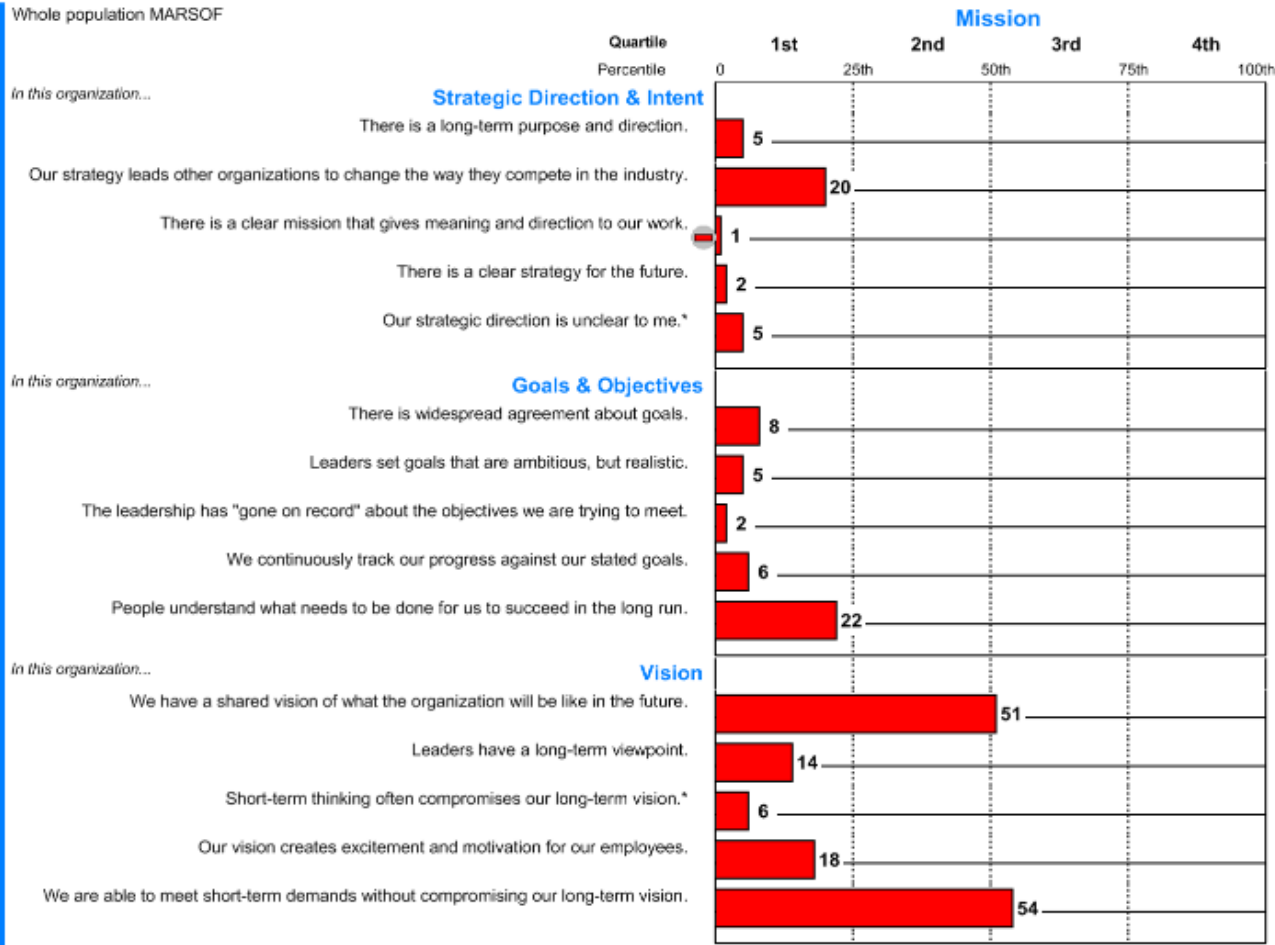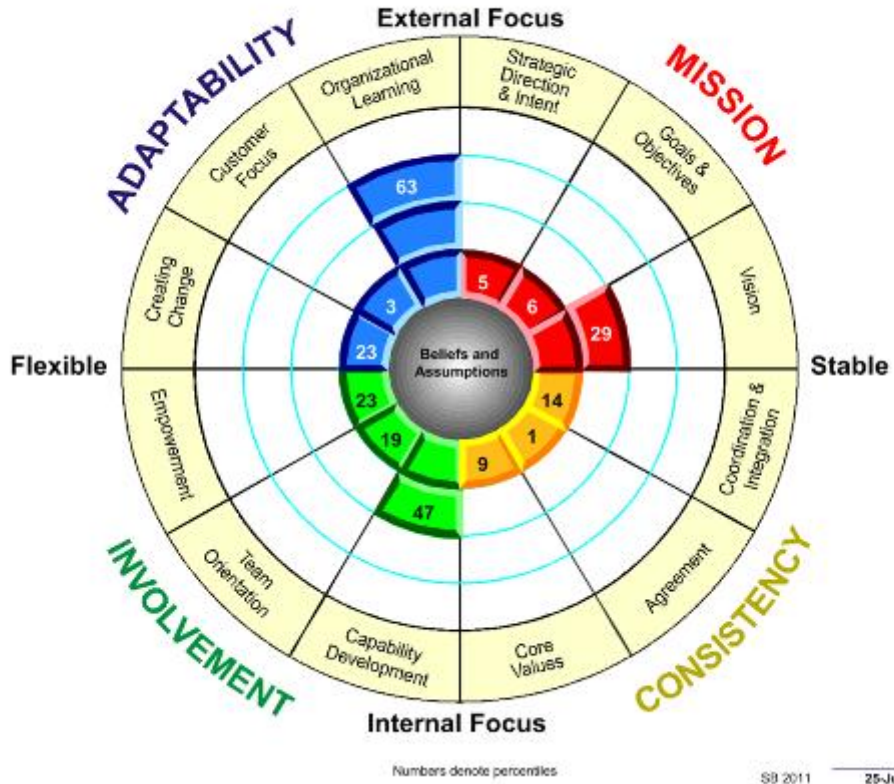
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Adaptability

	Quartile	1st	2nd	3rd	4th
	Percentile	0 — 25th	— 50th	— 75th	— 100th

In this organization...

Creating Change

The way things are done is very flexible and easy to change. ✚ — 91

We respond well to competitors and other changes in the business environment. — 6

New and improved ways to do work are continually adopted. — 55

Attempts to create change usually meet with resistance.* — 74

Different parts of the organization often cooperate to create change. ➖ — 1

In this organization...

Customer Focus

Customer comments and recommendations often lead to changes. — 2

Customer input directly influences our decisions. — 24

All members have a deep understanding of customer wants and needs. ➖ — 1

The interests of the customer often get ignored in our decisions.* — 7

We encourage direct contact with customers by our people. — 1

In this organization...

Organizational Learning

We view failure as an opportunity for learning and improvement. ✚ — 87

Innovation and risk taking are encouraged and rewarded. — 73

Lots of things "fall between the cracks."* — 15

Learning is an important objective in our day-to-day work. — 41

We make certain that the "right hand knows what the left hand is doing." — 82

*The raw score has been reversed for this negatively worded item. In all cases, a higher score indicates a more favorable condition.
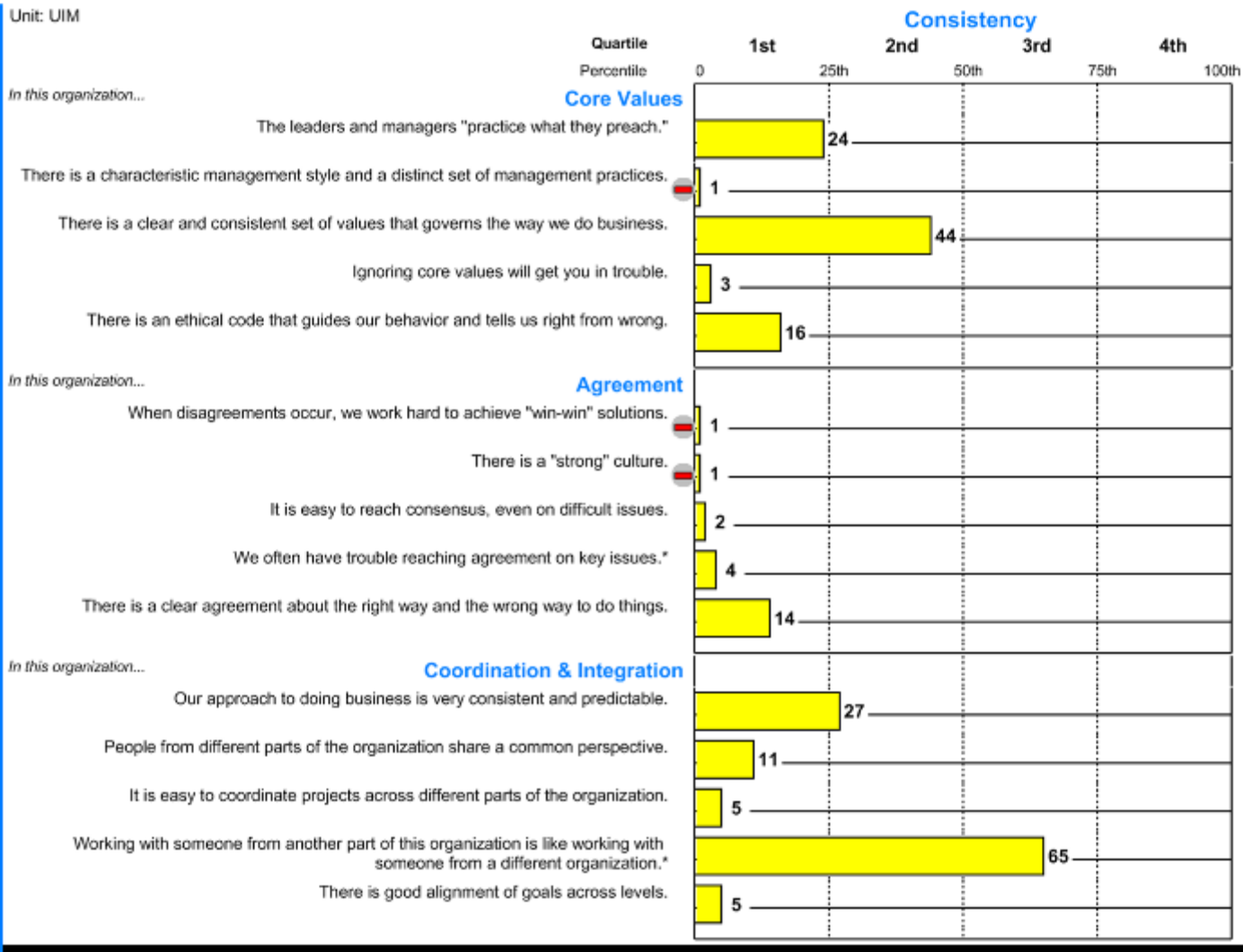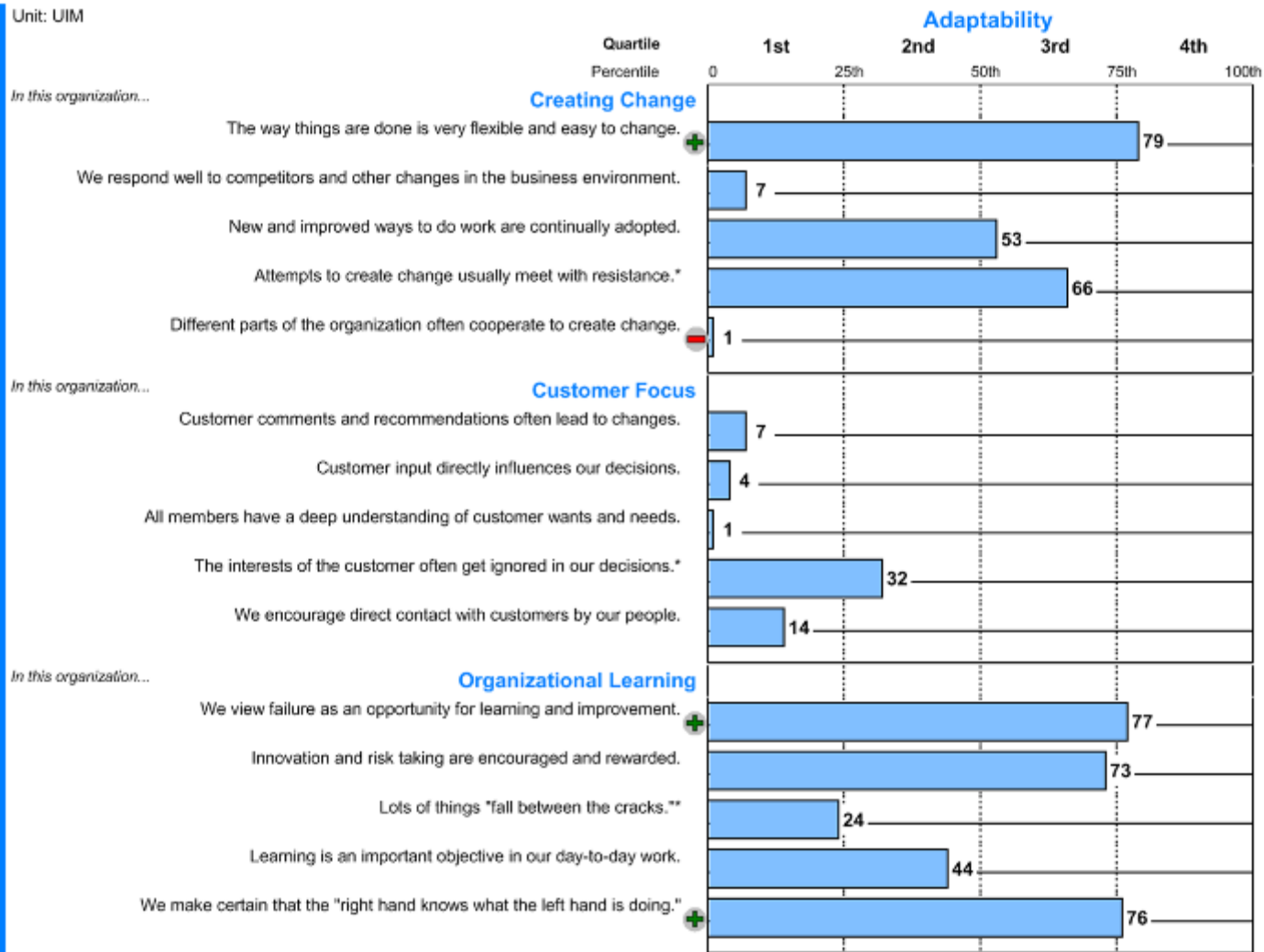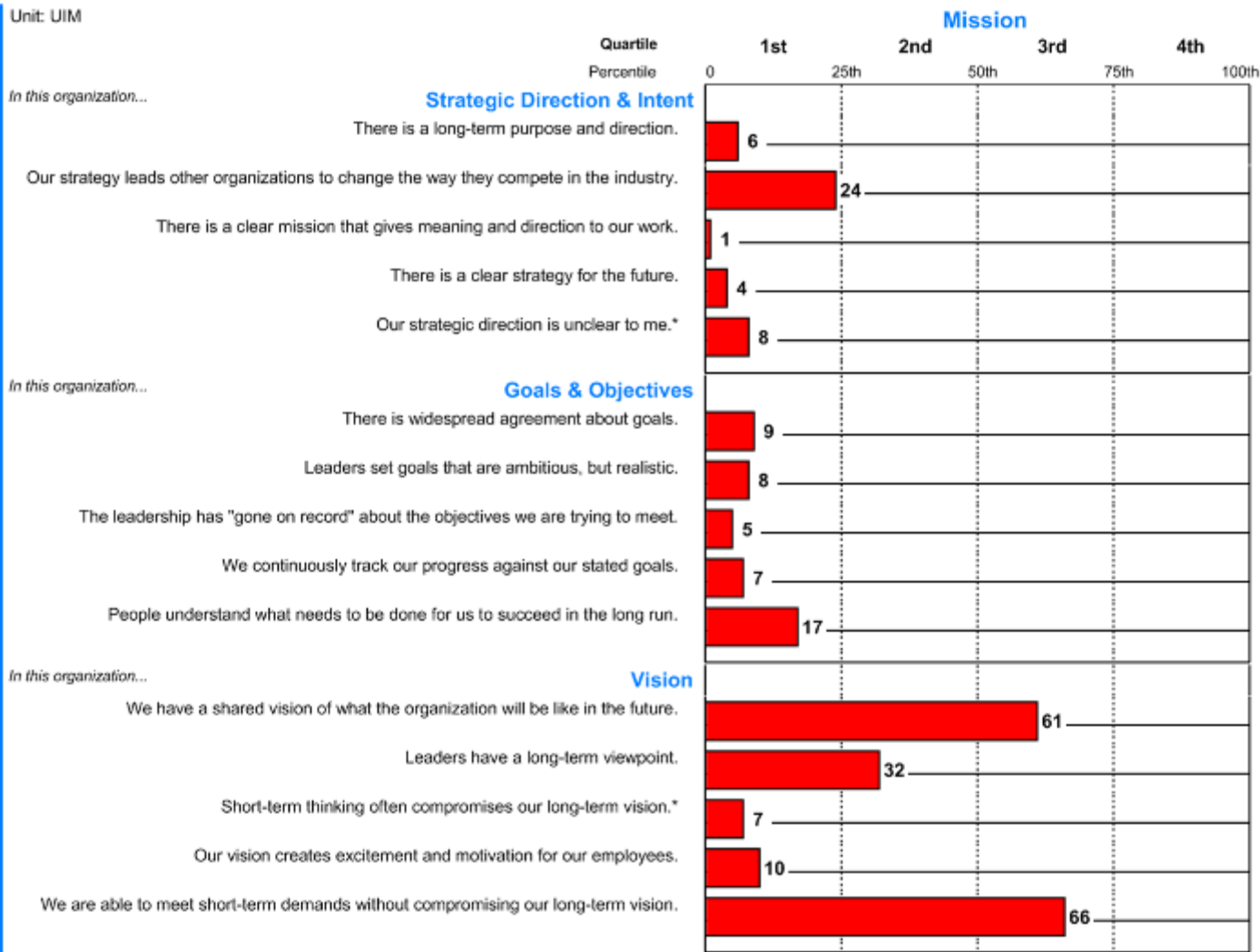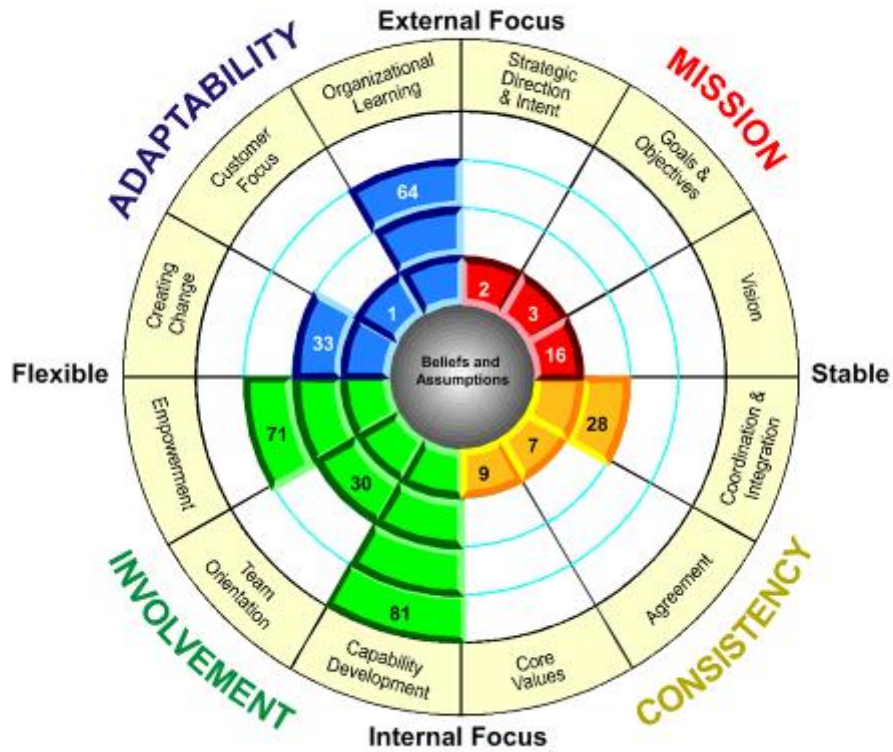
Numbers denote percentiles

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Unit: MSO

Mission

Quartile	1st	2nd	3rd	4th
Percentile	0 25th	50th	75th	100th

In this organization...

Strategic Direction & Intent

There is a long-term purpose and direction. — 4

Our strategy leads other organizations to change the way they compete in the industry. — 16

There is a clear mission that gives meaning and direction to our work. — 2

There is a clear strategy for the future. — 1

Our strategic direction is unclear to me.* — 2

In this organization...

Goals & Objectives

There is widespread agreement about goals. — 4

Leaders set goals that are ambitious, but realistic. — 2

The leadership has "gone on record" about the objectives we are trying to meet. — 1

We continuously track our progress against our stated goals. — 6

People understand what needs to be done for us to succeed in the long run. — 34

In this organization...

Vision

We have a shared vision of what the organization will be like in the future. — 40

Leaders have a long-term viewpoint. — 3

Short-term thinking often compromises our long-term vision.* — 3

Our vision creates excitement and motivation for our employees. — 36

We are able to meet short-term demands without compromising our long-term vision. — 38
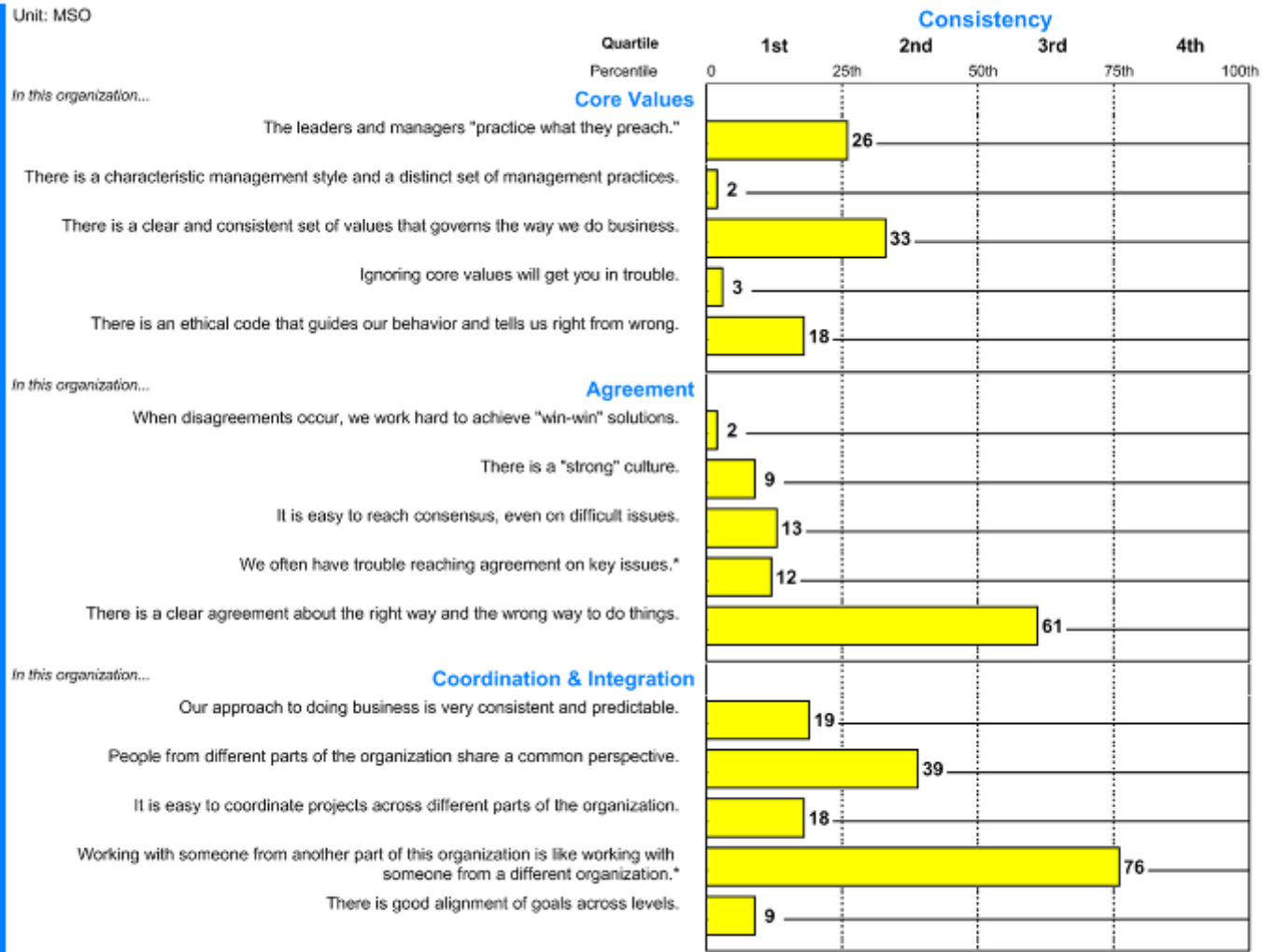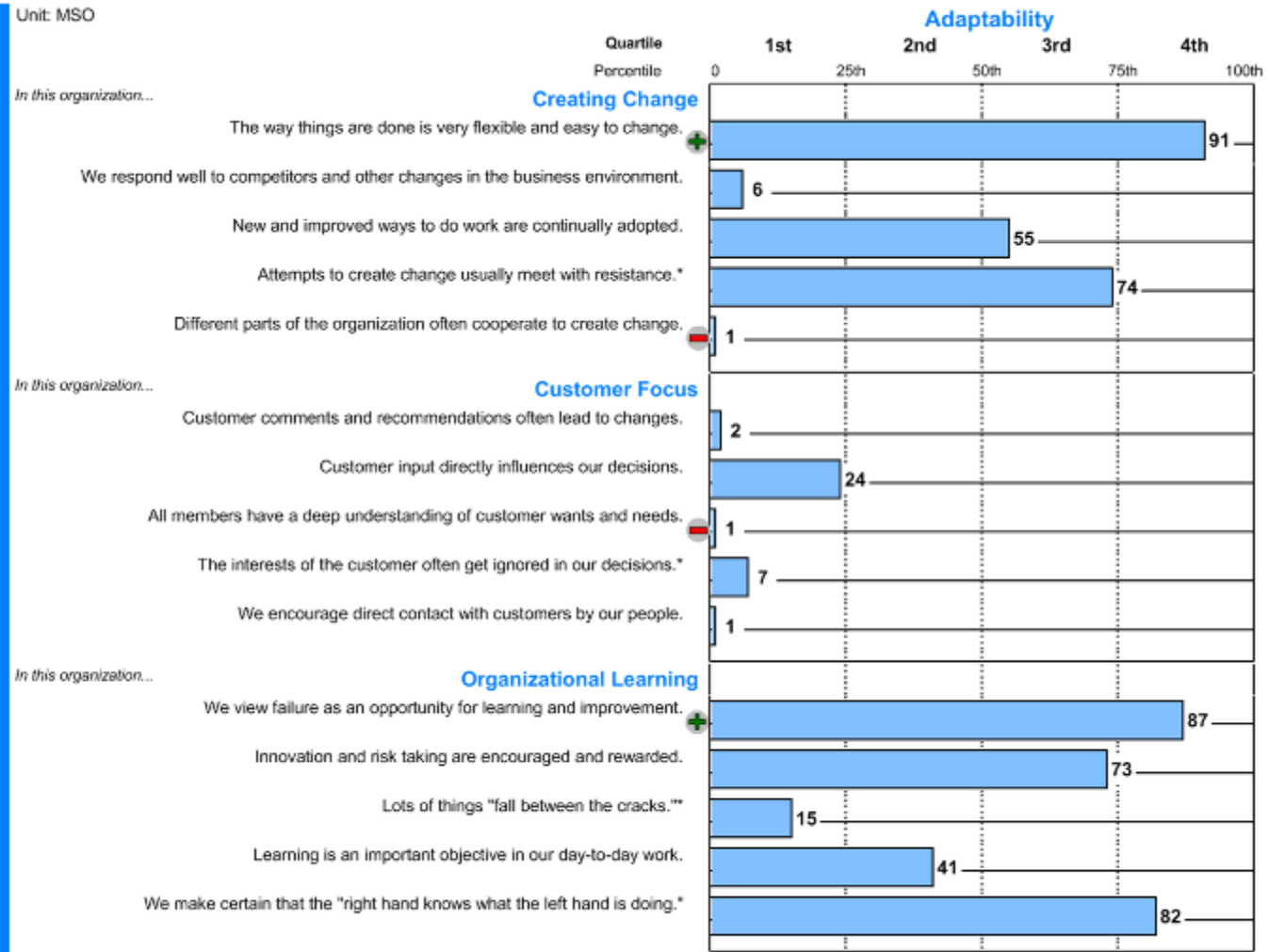
*The raw score has been reversed for this negatively worded item. In all cases, a higher score indicates a more favorable condition.
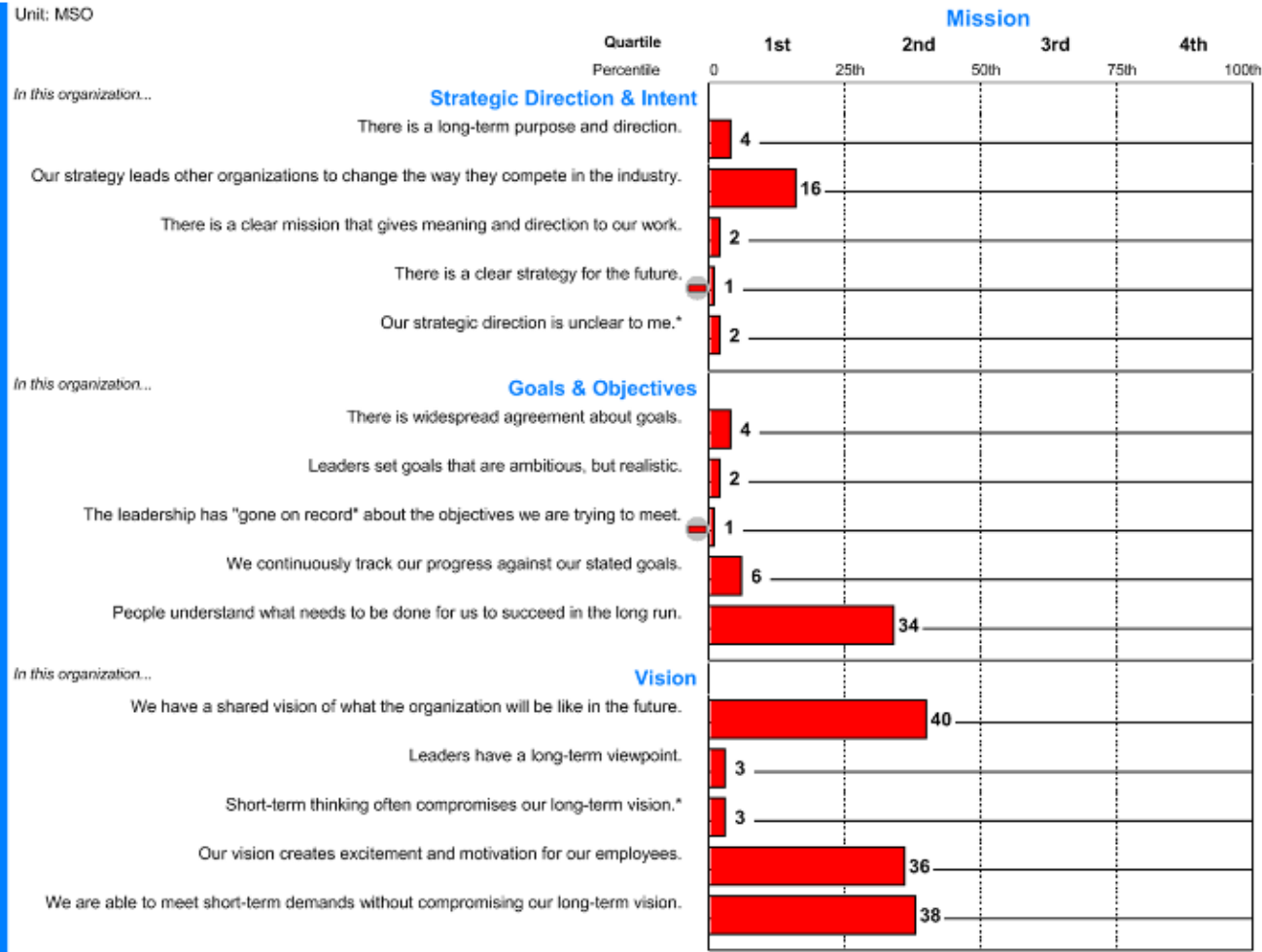
Numbers denote percentiles

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APPENDIX D: DESCRIPTIVE STATISTICS FOR THE SURVEY DATA

Denison Organizational Culture Survey
Mean and *Standard Deviation*

Item	Trait	Index	Question (English)	MEAN	STDEV
Q1	Involvement	Empowerment	Most unit members are highly involved in their work.	4.36	0.63
Q2	Involvement	Empowerment	Decisions are usually made at the level where the best information is available.	3.13	0.82
Q3	Involvement	Empowerment	Information is widely shared so that everyone can get the information he or she needs when it's needed.	3.14	0.95
Q4	Involvement	Empowerment	Everyone believes that he or she can have a positive impact.	3.40	0.84
Q5	Involvement	Empowerment	Planning is ongoing and involves everyone in the process to some degree.	2.90	1.01
Q6	Involvement	Team Orientation	Cooperation across different units of MARSOF is actively encouraged.	2.63	0.85
Q7	Involvement	Team Orientation	People work like they are part of a team.	3.17	1.16
Q8	Involvement	Team Orientation	Teamwork is used to get work done, rather than hierarchy.	3.90	0.79
Q9	Involvement	Team Orientation	Teams are our primary building blocks.	3.85	0.91
Q10	Involvement	Team Orientation	Work is organized so that each person can see the relationship between his job and the goals of MARSOF.	2.92	0.88
Q11	Involvement	Capability Development	Authority is delegated so that people can act on their own.	3.33	0.77
Q12	Involvement	Capability Development	The ""bench strength"" (capability of people) is constantly improving.	3.37	1.01
Q13	Involvement	Capability Development	There is continuous investment in the skills of unit members	3.37	0.94
Q14	Involvement	Capability Development	The capabilities of people are viewed as an important source of competitive advantage.	4.02	0.92
Q15	Involvement	Capability Development	*Problems often arise because we do not have the skills necessary to do the job.*	2.37	0.92
Q16	Consistency	Core Values	The leaders ""practice what they preach.""	3.04	0.78
Q17	Consistency	Core Values	There is a characteristic leadership style and a distinct set of management practices.	2.69	1.01
Q18	Consistency	Core Values	There is a clear and consistent set of values that governs the way we operate.	3.46	0.78
Q19	Consistency	Core Values	Ignoring core values will get you in trouble.	3.24	0.81
Q20	Consistency	Core Values	There is an ethical code that guides our behavior and tells us right from wrong.	3.61	0.83
Q21	Consistency	Agreement	When disagreements occur, we work hard to achieve ""win-win"" solutions.	2.63	0.93
Q22	Consistency	Agreement	There is a ""strong"" culture.	2.76	1.18
Q23	Consistency	Agreement	It is easy to reach consensus, even on difficult issues.	2.55	0.90
Q24	Consistency	Agreement	*We often have trouble reaching agreement on key issues.*	3.27	0.71
Q25	Consistency	Agreement	There is a clear agreement about the right way and the wrong way to do things.	3.08	0.76
Q26	Consistency	Coordination & Integration	Our approach in operating is very consistent and predictable.	3.08	0.89
Q27	Consistency	Coordination & Integration	People from different parts of MARSOF share a common perspective.	2.81	0.94
Q28	Consistency	Coordination & Integration	It is easy to coordinate projects across different sub-units of MARSOF.	2.40	0.82
Q29	Consistency	Coordination & Integration	*Working with someone from another sub-unit of MARSOF is like working with someone from a different organization.*	2.66	0.92
Q30	Consistency	Coordination & Integration	There is good alignment of goals across levels.	2.78	0.73

Q31	Adaptability	Creating Change	The way things are done is very flexible and easy to change.	3.31	0.90
Q32	Adaptability	Creating Change	We respond well to competitors and other changes in the operating environment.	3.03	2.80
Q33	Adaptability	Creating Change	New and improved ways to do work are continually adopted.	3.45	0.85
Q34	Adaptability	Creating Change	*Attempts to create change usually meet with resistance.*	3.01	0.91
Q35	Adaptability	Creating Change	Different parts of MARSOF often cooperate to create change.	2.43	0.65
Q36	Adaptability	Customer Focus	Marine Corps comments and recommendations often lead to changes.	2.98	0.76
Q37	Adaptability	Customer Focus	Marine Corps leadership input directly influences our decisions.	3.18	0.82
Q38	Adaptability	Customer Focus	All members have a deep understanding of Marine Corps wants and needs.	2.45	0.82
Q39	Adaptability	Customer Focus	*The interests of the Marine Corps often get ignored in our decisions.*	2.66	0.72
Q40	Adaptability	Customer Focus	We encourage direct contact with the Marine Corps by our people.	3.04	0.94
Q41	Adaptability	Organizational Learning	We view failure as an opportunity for learning and improvement.	3.79	0.81
Q42	Adaptability	Organizational Learning	Innovation and risk taking are encouraged and rewarded.	3.32	0.84
Q43	Adaptability	Organizational Learning	*Lots of things ""fall between the cracks"".*	3.45	0.84
Q44	Adaptability	Organizational Learning	Learning is an important objective in our day-to-day work.	3.72	0.82
Q45	Adaptability	Organizational Learning	We make certain that the ""right hand knows what the left hand is doing.""	3.20	0.93
Q46	Mission	Strategic Direction & Intent	There is a long-term purpose and direction for MARSOF.	2.93	1.09
Q47	Mission	Strategic Direction & Intent	Our strategy leads other SOF units to change the way they compete in our field of expertise	2.89	0.95
Q48	Mission	Strategic Direction & Intent	There is a clear MARSOF mission that gives meaning and direction to our work.	2.74	0.92
Q49	Mission	Strategic Direction & Intent	There is a clear MARSOF strategy for the future.	2.51	0.84
Q50	Mission	Strategic Direction & Intent	*Our MARSOF strategic direction is unclear to me.*	3.42	0.98
Q51	Mission	Goals & Objectives	There is widespread agreement about goals.	2.81	0.75
Q52	Mission	Goals & Objectives	MARSOF Leaders set goals that are ambitious, but realistic.	2.91	0.85
Q53	Mission	Goals & Objectives	The leadership has ""gone on record"" about the objectives we are trying to meet.	2.91	0.92
Q54	Mission	Goals & Objectives	We continuously track our progress against our stated goals.	2.92	0.79
Q55	Mission	Goals & Objectives	People understand what needs to be done for us to succeed in the long run.	3.15	0.92
Q56	Mission	Vision	We have a shared vision of what MARSOF will be like in the future.	3.11	0.97
Q57	Mission	Vision	Leaders have a long-term viewpoint.	3.11	0.91
Q58	Mission	Vision	*Short-term thinking often compromises our long-term vision.*	3.73	0.81
Q59	Mission	Vision	Our vision for MARSOF creates excitement and motivation for our employees.	2.79	0.92
Q60	Mission	Vision	We are able to meet short-term demands without compromising our long-term vision.	3.32	0.91

APPENDIX E: SOF CORE MISSIONS (NATO DOCTRINE)

Principal Tasks of Allied Joint Special Operations Forces. In the context of Allied joint operations, SOF conduct three principal tasks: SR&S, DA, and MA. (NATO AJP 3–5 – Allied Joint Doctrine for Special Operations Forces)

I.   Special Reconnaissance and Surveillance: SR&S complements national and Allied theatre intelligence collection assets and systems by obtaining specific, well-defined, and possibly time-sensitive information of strategic or operational significance. It may complement other collection methods where constraints are imposed by weather, terrain-masking, hostile countermeasures or other systems availability. SR&S is a predominately HUMINT function that places "eyes on target" in hostile, denied, or politically sensitive territory. SOF can provide timely analysis by using their judgement and initiative in a way that technical ISTAR cannot. SOF may conduct these tasks separately, supported by, or in conjunction with, or in support of other component commands. They may use advanced reconnaissance and surveillance techniques, equipment, and collection methods, sometimes augmented by the employment of indigenous assets. Activities within SR&S include the following:

(1) <u>Environmental Reconnaissance</u>. These are operations conducted to collect and report critical geospatial information including hydrographical, geological, geographical, and meteorological information.

(2) *<u>Threat Assessment</u>*. Threat assessments should, whenever possible, be based on accurate and timely intelligence. SR&S can assist the JFC in determining which elements of an adversary force pose a threat to operations and the friendly force, what are the adversary's capabilities for mounting attacks, what methods that are likely to be employed in conducting these operations, and determining which friendly targets that are likely to be attacked. SR&S also provides the option to observe a target and interpret the behaviour of opposing forces over an extended time.

(3) *Target Assessment*. These are operations conducted to detect, identify, locate, and assess a target to determine the most effective employment of weapons. This type of operation might include the assessment of the potential effects (to include collateral damage) of engaging the target.

(4) *Post-Strike Reconnaissance*. These operations are undertaken for the purpose of gathering information for battle damage assessment (BDA) and munitions effects assessment (MEA) to measure results of an attack.

II. ***Direct Action***: These are precise operations that are normally limited in scope and duration. They usually incorporate a planned withdrawal from the immediate objective area. DA is focused on specific, well-defined targets of strategic and operational significance, or in the conduct of decisive tactical operations. SOF may conduct these tasks independently, with support from conventional forces, or in support of conventional forces. Activities within DA include the following:

(1) *Raids, Ambushes, and Direct Assaults*. These operations are designed to achieve specific, well-defined and often time-sensitive results. They are sometimes beyond the effective strike capabilities of conventional force elements. Such operations typically involve attacking critical targets, interdicting of lines of communications (LOC) or other target systems, capturing designated personnel or materiel; or seizing, destroying, or neutralizing adversary facilities or capabilities.

(2) *Terminal Guidance Operations*. These are actions to identify and report the precise location of targets, and to allow non-organic stand-off platforms to use their ordnance to effectively engage them. This includes any electronic, mechanical, voice or visual communication that provides approaching aircraft or weapons additional information regarding a specific location or target.

(3) *Recovery Operations*. These are operations conducted to search for, locate, identify, rescue, and return personnel, sensitive equipment, or items critical to Alliance security from contested or adversary controlled areas. Special

operations recovery missions are characterized by detailed planning, rehearsal, and thorough intelligence analysis. These operations employ unconventional tactics and techniques, discreet search, and the frequent use of ground combat elements.

(4) *Precision Destruction Operations*. These are operations in which collateral damage must be minimized. Therefore, they use highly sophisticated weapons or timed detonation of specific amounts of explosives placed in exact locations to accomplish mission objectives. Precision destruction operations can be conducted against targets where precision-guided munitions cannot guarantee first strike success or when the contents of a facility must be destroyed without damage to that facility.

(5) Opposed Boarding Operations. During maritime interdiction operations (MIOs), non-compliance with internationally agreed shipping procedures may result in opposed boarding operations of uncooperative maritime vessels or platforms.

(6) *Armed Reconnaissance*. These are operations that involve locating and attacking targets of opportunity such as adversary materiel, personnel, and facilities in assigned general areas or along assigned LOC. Armed reconnaissance is not conducted for the purpose of attacking specific known targets.

III. ***Military Assistance***: MA is a broad spectrum of measures in support of friendly forces throughout the spectrum of conflict. MA can be conducted by, with, or through friendly forces that are trained, equipped, supported, or employed in varying degrees by SOF. The range of MA is thus considerable, and may vary from providing low-level military training or material assistance to the active employment of indigenous forces in the conduct of major operations. MA activities may include the following:

(1) *Training*. These are activities that train host nation (HN) military individuals and units in tactical employment, sustainment, and integration of land,

air, and maritime skills, provide advice and assistance to military leaders, and provide training on tactics, techniques, and procedures enabling a HN to protect itself from threats, and to develop individual, leader, and organizational skills.

(2) *Advising*. These are activities that strengthen population security by providing active participation in tactical operations conducted by HN military units to neutralize and destroy insurgent threats, isolate insurgents from the civil population, and protect the civil population.

IV. *Additional Activities of Allied Joint Special Operations Forces:*

a. *Support to Counter-Irregular Threat Activities*. Counter-terrorism (CT) is an overarching umbrella of offensive measures designed to reduce the vulnerability of Allied interests, their forces, individuals, and property to terrorism; to include counter-force activities and containment by military force and civil agencies. COIN operations are those military, paramilitary, political, psychological, and civic actions taken to defeat an insurgency. CT and COIN are not the exclusive domain of NATO SOF, but SOF can effectively complement the overarching application of diplomatic, economic, informational, and military operations applied in a COIN role. An irregular threat, by virtue of its very nature, will usually involve NATO SOF conducting CT activities within COIN operations across the operational continuum.

b. *Countering Chemical, Biological, Radiological, and Nuclear Weapons*. Activities designed to secure, interdict, destroy, or assist with the rendering safe of chemical, biological, radiological, and nuclear (CBRN) weapons are inherently complex, involve restrictive OPSEC procedures, and generally necessitate the employment of specially trained and equipped personnel. In the context of a NATO operation, NATO SOF involvement in the interdiction, capture, or securing of CBRN weapons, and or associated capabilities or facilities, will generally be deferred to the members of the Alliance possessing these specialized capabilities. In-extremis, however, where specialized forces cannot be brought to bear in sufficient time to prevent the employment of CBRN weapons, or their

immediate interdiction is required, the authority to utilize other NATO forces, to include NATO SOF, to capture, deter, secure or assist in the process of rendering safe CBRN weapons, facilities, and associated enemy forces might be sought.

c. *Hostage Release Operations*. SOF operating under a NATO mandate normally do not undertake deliberate hostage release operations (HROs). However, this does not preclude the direct or indirect involvement of NATO SOF in certain circumstances. SOF could support the personnel recovery efforts of isolated personnel through non-conventional assisted recovery.

HROs are operations to secure the release of hostages, or other related operations that employ similar specialized techniques and training. The general term "hostage" can mean anything from a single captive in seclusion, to a large group held by armed units or gangs dispersed in multiple locales. HROs can be broken down into two categories, deliberate and in-extremis. Deliberate HROs are complex multi-agency operations usually with a civil governmental lead. In-extremis operations may be necessitated when deliberate planning does not allow time-sensitive execution and the lives of the hostage(s) are deemed to be in imminent peril. They are normally military led, especially when occurring in an uncertain, hostile, or denied areas, such as non-combatant evacuation operations, and therefore require a military-type force composition. However, police forces, if available, may have a supporting role.

HROs are predominantly as a national responsibility and most countries would likely assist the national authorities of the country where the incident has occurred in the resolution of any hostage situation involving their own nationals. Many nations have contingency plans to deploy a hostage release force. These designated hostage release forces may be found within the armed forces, national police or other law enforcement agencies. It is unlikely that a nation would give operational control (OPCON) of such a force or type of operation to NATO. However, NATO SOF (though not all NATO SOF are trained in HROs)

may be asked to support the nation concerned or to prepare and conduct an in-extremis option before the arrival of a more complete or appropriate force.

d. _Faction Liaison_. Particularly during NA5CROs, JFCs may need to communicate with their counterparts in the local armed forces and various paramilitary organizations, civilian factions, and governmental and non-governmental organizations in the region. This communication may be in the form of issuing directions for conducting day-to-day implementation of the terms of any agreement that form part of the CJTF mission. Establishing a faction liaison office (FLO) may further facilitate this liaison.
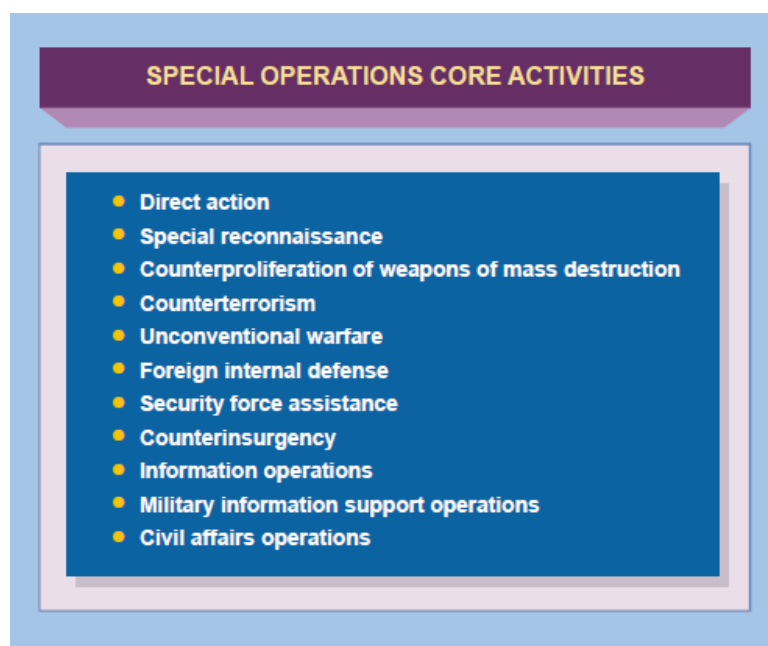
FLOs have become an important tool for the JFC to accomplish the mission. During an operation, commanders will find it necessary to bring together military and/or political leaders of protagonist factions to negotiate agreements, mediate disputes, and to secure the cooperation of all parties.

On the local level, establishing a FLO can provide a "hot-line" through which situations can be quickly defused or negotiations facilitated in a timely manner. SOF can provide invaluable support to a FLO in the form of unique cultural awareness of local conditions and parties, timely HUMINT gained through SR&S within the JOA, and MA support to the parties.

APPENDIX F: SOF CORE MISSIONS (US DOCTRINE)

<u>Special Operations Core Activities (U.S. Joint Pub 3–05 Special Operations)</u>

SOF are specifically organized, trained, and equipped to accomplish the 11 core activities listed in Figure below. The core activities represent the collective capabilities of all joint SOF rather than those of any one Service or unit. While CF also conduct many of these activities (e.g., FID, SFA, COIN, and CT), SOF conduct them using specialized tactics, techniques, and procedures, and to unique conditions and standards in a manner that complement CF capabilities. Use of SOF with CF creates an additional and unique capability to achieve objectives that may not be otherwise attainable. SOF can arrange and package their capabilities in combinations to provide DoD options applicable to a broad range of strategic and operational challenges. Additionally, SOF can perform other activities of a collateral nature such as counterdrug operations and noncombatant evacuation operations. SOF also conduct preparation of the environment as a type of shaping activity supporting core activities that may be conducted in the future.

SPECIAL OPERATIONS CORE ACTIVITIES

- Direct action
- Special reconnaissance
- Counterproliferation of weapons of mass destruction
- Counterterrorism
- Unconventional warfare
- Foreign internal defense
- Security force assistance
- Counterinsurgency
- Information operations
- Military information support operations
- Civil affairs operations

Direct Action. DA entails short-duration strikes and other small-scale offensive actions conducted as SO in hostile, denied, or diplomatically sensitive environments, and which employ specialized military capabilities to seize, destroy, capture, exploit, recover, or damage designated targets. DA differs from conventional offensive actions in the level of diplomatic or political risk, the operational techniques employed, and the degree of discriminate and precise use of force to achieve specific objectives. In the conduct of these operations, SOF may employ raids, ambushes, or other direct assault tactics (including closequarters combat); emplace mines and other munitions; conduct standoff attacks by fire from air, ground, or maritime platforms; provide terminal guidance for precision-guided munitions; conduct independent sabotage; conduct anti-ship operations, as well as shipboarding and seizure (e.g., maritime interception operations).

(1) Normally limited in scope and duration, DA usually incorporates an immediate withdrawal from the planned objective area. These operations can provide specific, welldefined, and often time-sensitive results of critical significance at the operational and strategic levels of war.

(2) SOF may conduct DA independently or as part of larger conventional or unconventional operation or campaign. Although normally considered close combat DA also includes sniping and other standoff attacks by fire delivered or directed by SOF. Standoff attacks are preferred when the target can be damaged or destroyed without close combat. SOF employ close combat tactics and techniques when the mission requires precise or discriminate use of force or the recovery or capture of personnel or materiel.

(3) DA missions may also involve locating, recovering, and restoring to friendly control selected persons or materiel that are isolated and threatened in sensitive, denied, or contested areas. These missions usually result from situations that involve political sensitivity or military criticality of the personnel or materiel being recovered from remote or hostile environments. These situations may arise from a political change, combat action, chance happening, or

mechanical mishap. DA usually differs from personnel recovery by the former's use of dedicated ground combat elements, unconventional techniques, precise survivor-related intelligence, and indigenous assistance.

(4) DA, whether unilateral or combined, are short-duration, discrete actions. The SOF command executes DA to achieve the supported commander's objectives.

Special Reconnaissance (SR). SR entails reconnaissance and surveillance actions conducted as SO in hostile, denied, or diplomatically sensitive environments to collect or verify information of strategic or operational significance, employing military capabilities not normally found in CF. These actions provide an additive collection capability for commanders and supplement other conventional reconnaissance and surveillance actions. SR may include collecting information on activities of an actual or potential enemy or securing data on the meteorological, hydrographic, or geographic characteristics of a particular area. SR may also include assessment of chemical, biological, residual nuclear, radiological, or environmental hazards in a denied area. SR includes target acquisition, area assessment, and post-strike reconnaissance, and may be accomplished by air, land, or maritime assets.

(1) SR complements national and theater intelligence collection assets and systems by obtaining specific, well-defined, and time-sensitive information of strategic or operational significance. SR may also complement other collection methods constrained by weather, terrain-masking, or hostile countermeasures. Selected SOF conduct SR when authorized, to place "eyes on target" in hostile, denied, or diplomatically sensitive territory. SR typically provides essential information to develop a commander's situational awareness necessary for a command decision, follow-on mission, or critical assessment.

(2) Using SOF for SR enables the JFC to enhance situational awareness and facilitate staff planning and execution of joint operations, whether by CF, SOF, or integrated CF-SOF elements. However, CF-SOF integration does not

mean that SOF will become dedicated reconnaissance assets for CF. Rather, the JFC typically tasks SOF through their JSOTF or TSOC to provide SR within a joint special operations area (JSOA), and/or the JFC may task SOF on a case-by-case basis to conduct SR within a CF's operational area.

(3) SOF may also employ advanced reconnaissance and surveillance sensors and collection methods that utilize indigenous assets.

Counterproliferation (CP) of Weapons of Mass Destruction (WMD). CP refers to actions taken to defeat the threat and/or use of WMD against the United States, our forces, allies, and partners. WMD are chemical, biological, radiological, or nuclear weapons capable of a high order of destruction or causing mass casualties and exclude the means of transporting or propelling the weapon where such means is a separable and divisible part from the weapon. The major objectives of combating WMD policy, which include nonproliferation, CP, and consequence mitigation activities, are to prevent the acquisition of WMD and delivery systems, to stop or roll back proliferation where it has occurred, to deter and defeat the use of WMD and their delivery systems, to adapt U.S. military forces and planning to operate against the threats posed by WMD and their delivery systems, and to mitigate the effects of WMD use. The continued spread of WMD technology can foster regional unrest and provide terrorist organizations with new and potent weapons. SOF provide the following capabilities for this core activity:

(1) Expertise, materiel and teams to supported combatant command teams to locate, tag, and track WMD, as required.

(2) Capabilities to conduct DA in limited access areas, as required.

(3) Build partnership capacity for conducting CP activities.

(4) Conduct IO and MISO to dissuade adversary reliance on WMD.

(5) Other specialized capabilities to combat WMD.

For further information on CP of WMD, refer to JP 3–40, Combating Weapons of Mass Destruction.

Counterterrorism. Terrorism has evolved over several decades from a tactic of inducing fear in select populations to a transnational threat of strategic proportions, particularly against the United States, Western societies, and emerging democracies perpetuated primarily by groups of violent extremists. Today, whether the extremists are local insurgents or members of an international terrorist network, they are generally viewed as terrorists if they use terrorist tactics. Furthermore, the threat to U.S. interests posed by violent extremists will increase as the continued proliferation of WMD presents an opportunity for terrorists to acquire and use them. CT is a form of IW.

(1) CT is defined as actions taken directly against terrorist networks and indirectly to influence and render global and regional environments inhospitable to terrorist networks. In addition to being a SOF core activity, CT is part of the DoD's broader construct of combating terrorism (CbT), which is actions, including antiterrorism and CT, taken to oppose terrorism throughout the entire threat continuum.

(2) The United States Government (USG) policy on CbT is to defeat violent extremism and create a global environment that is inhospitable to violent extremists. The broad USG strategy is to continue to lead an international effort to deny violent extremist networks the resources and functions they need to operate and survive. The DoD strategy for CbT implements the following objectives from the National Strategy for Combating Terrorism, objectives that are derived from the National Security Strategy (NSS):

(a) Thwart or defeat terrorist attacks against the U.S., our PNs, and our interests.

(b) Attack and disrupt terrorist networks abroad so as to cause adversaries to be incapable or unwilling to attack the U.S. homeland, allies, or interests.

(c) Deny terrorist networks WMD.

(d) Establish conditions that allow PNs to govern their territory effectively and

(e) Deny a hospitable environment to violent extremists.

(3) CDRUSSOCOM is responsible for synchronizing planning for global operations against terrorist networks, in coordination with other combatant commands, the Services and, as directed, appropriate USG agencies.

(4) Success in the global CT effort requires interorganizational coordination to maximize the effectiveness of all the instruments of national power of the United States and PNs. USSOCOM, as the integrating command for global CT planning efforts, supports a global combating terrorism network (GCTN)—a growing network of relationships and liaison partnerships, a supporting technical infrastructure, and the use of information sharing policies. Along with interagency partners, this network draws upon an increasing number of countries, regional organizations, IGOs, NGOs, and the private sector to achieve unified action.

(5) The DoD global campaign plan for the war on terrorism requires integration of both the direct and indirect approaches. The ability to manage both approaches and harness their synergistic effects is vital to the success of both near- and long-term CT objectives, whether within the scope of a theater operation/campaign of a GCC, or the global campaign.

Unconventional Warfare. UW are those activities conducted to enable a resistance movement or insurgency to coerce, disrupt, or overthrow a government or occupying power by operating through or with an underground, auxiliary, and guerrilla force in a denied area. The United States may engage in UW across the spectrum of armed conflict from major campaigns to limited contingency operations. The U.S. has conducted UW in support of insurgent movements attempting to overthrow an adversarial regime as well as in support of resistance movements to defeat occupying powers (e.g., the Nicaraguan Contras and the Afghan Mujahedeen). UW was also successfully used against

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the Taliban in the initial stages of Operation ENDURING FREEDOM in Afghanistan. UW can be an effective way of putting indirect and direct pressure on a hostile government or occupying power.

(1) Military leaders must carefully consider the costs and benefits prior to making a recommendation to engage in UW. Properly coordinated and executed UW may help set conditions for international crisis resolution on terms favorable to the United States or allies without the need for an overt U.S. CF commitment.

(2) The conduct of UW can have a strategic military-politico utility that can alter the balance of power between sovereign states, and there is potentially significant political risk both at home and abroad. The paramilitary aspect of UW may place DoD in a supporting role to interorganizational partners. The necessity to operate with a varying mix of clandestine/covert means and ways places a premium on operations security (OPSEC) and all-source intelligence. In UW, as in all conflict scenarios, U.S. military forces must closely coordinate their activities with interorganizational partners to enable and safeguard sensitive operations.

(3) A JFC typically tasks SOF to conduct the military aspect of UW. It will usually require support relationships with some interagency partners and some Service components. A JFC and staff must be able to conduct/support UW operations simultaneously during both traditional warfare and/or IW.

(4) While each UW mission is unique, U.S.-sponsored UW generally includes seven phases: preparation, initial contact, infiltration, organization, build-up, employment, and transition. These phases may occur concurrently in some situations or may not be required in others. For example, a large established resistance movement may only require initial contact and build up of logistical support to begin UW activities, thereby bypassing the other earlier phases of preparation, infiltration, and organization. The phases also may occur out of sequence, with each receiving varying degrees of emphasis, such as when members of an indigenous irregular force are moved to another country to be

trained, organized, and equipped before being infiltrated back into the designated operational area, either with or without U.S. SOF.

(5) Senior civilian leaders and JFCs should understand that UW operations require time to mature and reach maximum effectiveness, especially when all of the insurgent or resistance underground networks have to be established.

Foreign Internal Defense. From the U.S. perspective, FID refers to the U.S. activities that support a HN's internal defense and development (IDAD) strategy designed to protect against subversion, lawlessness, insurgency, terrorism, and other threats to their security, stability, and legitimacy. As shown in Figure II-3, characteristics of FID involve the instruments of national power (diplomatic, informational, military, and economic) through which elements of that power (e.g., financial, intelligence, and law enforcement) can be applied to support a HN's IDAD program. The U.S. FID effort is tailored to the needs of the individual nation or region.

(1) SOF units typically contribute to a FID effort under the OPCON of a TSOC commander, conducting FID operations other than combat, and may require the participating SOF chain of command to have a direct coordination relationship with the chief of mission (COM) or another designee at the appropriate U.S. embassy. In smaller FID operations, SOF units may compose the majority, if not the entire U.S. force. The opposite may be true in a large-scale FID operation, where limits on total troop numbers may result in a smaller number of SOF personnel than CF. In some cases, long-term FID operations may be initiated by SOF, then handed over to CF.

(2) SOF may conduct FID operations unilaterally in the absence of any other military effort, or in support of other ongoing military (i.e., CF) or civilian assistance efforts.

Security Force Assistance. USG security sector reform (SSR) activities focus on the inextricably linked governmental sectors of security and justice. DoD's primary role in SSR is supporting the reform, restructuring, or reestablishment of the armed forces and the defense sector, which is accomplished through SFA. SFA specifically pertains to those DoD activities that contribute to unified action by the USG to support the development of the capacity and capability of foreign security forces (FSF) and their supporting institutions. FSF include but are not limited to military forces; police forces; border police, coast guard, and customs officials; paramilitary forces; interior and intelligence services; forces peculiar to specific nations, states, tribes, or ethnic groups; prison, correctional, and penal services; and the government ministries or departments responsible for the above services. The U.S. military engages in activities to enhance the capabilities and capacities of a PN (or regional security organization) by providing training, equipment, advice, and assistance to those FSF organized under the equivalent of a national ministry of defense (or an equivalent regional military or paramilitary force), while other USG agencies focus on those FSF assigned to other ministries such as interior, justice, or intelligence services.

(1) USSOCOM is the designated joint proponent for SFA, with responsibility to lead the collaborative development, coordination, and integration of the SFA capability across DoD. This includes development of SFA joint doctrine; training and education for individuals and units; joint capabilities; joint mission essential task lists; and identification of critical individual skills, training, and experience. Additionally, in collaboration with the Joint Staff and United States Joint Forces Command (USJFCOM), and in coordination with the Services and GCCs, USSOCOM is tasked with developing global joint sourcing solutions that recommend the most appropriate forces (CF and/or SOF) for a SFA mission.

(2) SFA includes activities of organizing, training, equipping, rebuilding, and advising various components of FSF. SOF/CF performing SFA conduct initial

assessment of the FSF they will assist and then establish a shared way to continue assessing them throughout their development. The HN/PN determines the structure of its military forces, to include approving all organizational designs. These may include changing the numbers of forces, types of units, and internal organizational designs.

(3) Conducting successful SFA operations requires an advisor's mindset and dedication to working through or with FSF. The responsible CCDR tasking U.S. forces to conduct SFA must emphasize that legitimacy is vital for both the U.S. and its partners.

(4) FID and SFA are similar at the tactical level where advisory skills are applicable to both. At operational and strategic levels, both FID and SFA focus on preparing FSF to combat lawlessness, subversion, insurgency, terrorism, and other internal threats to their security; however, SFA also prepares FSF to defend against external threats and to perform as part of an international force. Although FID and SFA are both subsets of security cooperation, neither are considered subsets of the other.

Counterinsurgency. COIN refers to the comprehensive civilian and military efforts taken to defeat insurgency and to address any core grievances. The combat skills, experience, cultural awareness, and language skills of SOF allow them to conduct a wide array of missions working through or with HN security forces or integrated with U.S. CF, which make them particularly suitable for COIN operations or campaigns.

(1) Operational Approaches. There are three primary operational approaches to COIN: direct, indirect, and balanced. The direct approach focuses on protecting U.S. and HN interests while attacking the insurgents. The indirect approach focuses on establishing conditions (a stable and more secure environment) for others to achieve success with the help of the U.S.. The balanced approach is a combination of the direct and indirect methods.

Commanders adjust their approach as circumstances change, but the COIN approach should strive to move from direct to balanced, and ultimately to indirect. However, the scale of effort for any approach will vary according to operational requirements and overall objectives for the COIN operations or campaign.

(a) Direct. A direct approach may be required where an HN government is losing ground in its struggle with an insurgency or there is no viable HN government. The first task in this situation is to establish security and control in as wide an area and extent as possible.

(b) Indirect. An indirect approach utilizes more development and diplomatic efforts than military efforts to address the insurgency. This approach is best suited to early intervention but requires that the HN be viable and viewed as legitimate.

(c) Balanced. The balanced approach is a more even blend of U.S. diplomatic, developmental, and military efforts. Military efforts are secondary and subordinate to diplomatic and development activities when using this approach.

(2) SOF Contributions to COIN. The SOF contribution to COIN is critical

through all approaches. Their role as warfighters in the direct approach provide the capabilities for urgent, necessary, and largely lethal activities, often with immediate impact—and to create time for the balanced and indirect approaches. SOF are well suited for the balanced and indirect approaches as combat trainers and advisors as well as warfighters. SOF assistance can increase the capability and capacity of HN specialized or irregular units, which helps mitigate manpower and leadership problems common among HN forces in COIN operations or campaigns. SOF also bring the unique capability to quickly adapt their skills with very little additional training to provide decision makers with a responsive tool to achieve U.S. national objectives while avoiding the large footprint that would accompany CF. CA can provide key development assistance

in contested areas. All SOF Service components have capabilities that can contribute to a COIN effort.

Information Operations. IO are the integrated employment, during military operations, of information-related capabilities in concert with other lines of operation to influence, disrupt, corrupt, or usurp the decision making of adversaries and potential adversaries while protecting our own. When properly coordinated, integrated, and synchronized as a part of the overall operation, IO affect the quality, content, and availability of information available to decision makers. IO also influence the perceptions and motivations of targeted key audiences with the goal of convincing them to act in a manner conducive to established objectives and desired end states. IO are conducted throughout all operational phases, across the range of military operations, and at every level of war.

(1) IO play a key role in the successful accomplishment of SO missions and promote other SOF core activities. For example, electronic warfare (EW) and computer network operations (CNO) disrupt adversary communications and networks while protecting our own fundamental conditions for successful SO missions. Similarly, OPSEC denies the adversary information needed to correctly assess SOF capabilities and intentions. MISO, a vital component of IO and a key SOF activity, can be employed to optimize the psychological impacts (positive or negative) of other SO activities (e.g., CT or COIN) on a variety of target audiences (TAs) and undermine an adversary's will to fight. Military deception (MILDEC) deliberately misleads adversary decision makers as to friendly military capabilities, intentions, and operations. When interwoven with EW and CNO, MILDEC can drive an adversary to take specific actions (or not take action), ultimately contributing to the efficacy of SOF activities (e.g., DA).

(2) In a similar fashion, other SOF activities complement IO and provide assistance toward the accomplishment of strategic and operational IO-related objectives. For example, SR and DA may identify, observe, target, disrupt, capture, or destroy specific capabilities tied to an adversary's C2 (i.e., decision

making) processes. Further, successful FID, UW, COIN, and SFA can have a significant psychological impact on an adversary's morale or deliver a detrimental blow to the adversary's ability to recruit and finance operations. SOF may also play a key role in MILDEC by replicating the tactical impact of a much larger force presence.

(3) SOF leaders and staffs must integrate IO throughout all phases of an operation to protect critical capabilities and information, reduce overall risk to the mission and forces, and increase the prospect of mission success. The role of the IO planner is to coordinate, integrate, deconflict, and synchronize IO, and the supporting and related capabilities, whether CF- or SOF-provided, in accordance with the commander's objectives and selected courses of action (COAs). Likewise, the IO cell within the SOF headquarters (HQ) performs the critical function of optimizing the combined effects of SO activities and IO within the information environment; as related to stated SOF objectives, as well as larger operational and strategic end states.

(4) USSOCOM plays a broader, integrating role for IO in support of SOF across the combatant commands. As directed by the Unified Command Plan, USSOCOM integrates and coordinates DoD MISO capabilities to enhance interoperability, and supports United States Strategic Command (USSTRATCOM) with its IO responsibilities and other CCDRs with MISO planning and execution. Additionally, USSOCOM supports the strategic and operational planning, oversight, and execution of IO and provides IO functional expertise and leadership by assisting in the development of policy, doctrine, future force plans, as well as conducting oversight/coordination of IO requirements for SOF. This includes development, education, joint IO training, experimentation, and advanced technology initiatives.

Military Information Support Operations. MISO are planned operations to convey selected information and indicators to foreign audiences to influence their emotions, motives, objective reasoning, and ultimately the behavior of foreign governments, organizations, groups, and individuals. The purpose of

MISO is to induce or reinforce foreign attitudes and behavior favorable to the originator's objectives.

(1) MISO should be integrated during all phases of operations/campaigns, with both SOF and CF. Effective MISO require the commander's emphasis and active involvement. SO MISO forces and staff planners support the commander by integrating MISO throughout the operation. MISO are executed within carefully reviewed and approved programs and under mission-tailored approval guidelines that flow from national-level authorities.

(2) MISO planners follow a deliberate but responsive process that aligns commander's objectives with a thorough analysis of the environment; select relevant TAs; develop focused, culturally and environmentally tuned messages and actions; employ sophisticated media delivery means and produce observable, measurable behavioral response. However, MISO is most successful when fully synchronized and integrated with complementary actions by the larger joint force and other USG capabilities. The U.S. military message must be congruent with U.S. military actions if TAs are to be persuaded by MISO to modify short-term attitudes and perceptions and long-term behavior.

(3) Effective MISO are continuously planned and conducted across the range of military operations and throughout all phases of operations. In peacetime and limited crises response operations, MISO forces and activities are usually planned and coordinated through the TSOC. In permissive or uncertain environments not involving combat operations, MISO activities are planned and integrated with other operations and with other USG efforts to further national defense strategies through the GCC's theater campaign plan. In major contingencies, the JFC may establish a separate JSOTF known as the joint military information support operations task force (JMISOTF) to conduct MISO.

(4) MISO may be employed within the U.S. under limited circumstances. During natural disasters or national security crises, MISO forces may deploy civil authority information support elements (CAISEs) supporting the designated lead

federal agency to support civil authorities. SOF and CF MISO specialists, as part of CAISEs, may provide MISO for civil support (i.e., defense support of civil authorities) following natural disasters or other major crises.

(a) When authorized for employment in this manner, MISO forces inform rather than influence by utilizing their media development, production, and dissemination capabilities to deliver administrative and command information to populations in the operational area. Messages typically include information such as the location of relief sites, how to obtain essential services, disease prevention tips, current civil authority instructions, and similar messages. MISO dissemination assets such as radio broadcast systems, print production, and loudspeaker teams also can augment civilian commercial broadcast capabilities.

(b) All CAISE efforts are coordinated with ongoing military and lead federal agency public affairs (PA) activities as required.

(5) MISO play a key role in SO and in relation to each of the other SOF core activities; particularly in irregular conflicts that focus on ideological and social-political dimensions such as FID, COIN, CT, and UW. For example, MISO military information support teams may deploy to support approved COIN operations, demining, or foreign humanitarian assistance programs under either JFC or U.S. diplomatic control. MISO staff planners and supporting MISO units provide the detailed planning and execution to reduce operational risk, enlist the aid of key populations, and optimize the impact of SO on the achievement of command objectives and USG policy.

(6) USSOCOM retains the preponderance of active duty MISO forces under United States Army Special Operations Command. USSOCOM also gains Air RC MISO forces through Air Force Special Operations Command when those Air National Guard assets are mobilized. To provide a strategic level MISO capability, USSOCOM established the Joint Military Information Support Command (JMISC), a joint subordinate command to serve as a key contributor in DoD's ongoing efforts to erode adversary power, will, and influence. JMISC

plans, coordinates, integrates, and manages the execution of transregional information programs to achieve operational, strategic, and national goals and objectives. USSOCOM is the designated DoD proponent for MISO with the responsibility of coordinating the collaborative development and integration of DoD MISO.

Civil Affairs Operations. CAO are operations conducted by CA forces that enhance the relationship between military forces and civil authorities in localities where military forces are present. This requires coordination with OGAs, IGOs, NGOs, indigenous populations and institutions, and the private sector. It involves application of CA functional specialty skills that are normally the responsibility of civil government to enhance planned CMO. All CMO must be synchronized and support the commander's intent and operational concept. All CA core tasks support the JFC's CMO objectives.

(1) CAO performed in support of SO are characterized by actions conducted by small CA teams or elements generally without the support of larger military formations, in isolated, austere, and in many cases politically-sensitive environments. Such CAO are unique and require flexibility and ingenuity from CA teams. Successful employment requires planning and support from the CA staff at the supported TSOC. Additionally, these operations require a greater level of planning and coordination with multiple civilian and military partners for decentralized execution.

(2) CA personnel, leaders, and forces receive advanced skills training specific to CAO. CA teams are trained to identify critical (civil) vulnerabilities, conduct civil reconnaissance, engage HN and interagency counterparts, create country or region specific supporting plans, develop a series of activities to ensure unity of effort to achieve JFC and TSOC objectives, oversee projects, and eventually close activities and actions with assessments and targeting refinement. CA team members should be organized, trained, and prepared to serve as the senior SOF representative in countries with a limited SOF footprint.

(3) CAO consist of those actions taken to coordinate with HN military and civilian agencies, OGAs, NGOs, or IGOs, in order to support U.S. policy or the military commander's assigned mission. CA core tasks include:

(a) Populace and resources control,

(b) Foreign humanitarian assistance,

(c) Nation assistance,

(d) Support to civil administrations, and

(e) Civil information management.

(4) CAO are conducted by CA forces organized, trained, and equipped to provide specialized support to commanders conducting CMO. Commanders having responsibility for an operational area typically will also have responsibility for the civilian populace therein. Commanders conduct CMO to establish, maintain, influence, or exploit relations between military forces and civilian authorities (governmental and nongovernmental) and the civilian populace in a permissive or hostile operational environment to facilitate military operations and to consolidate operational objectives. CA forces may assist in performance of activities and functions by military forces that are normally the responsibility of local government. CMO may be conducted before or during military operations and especially during stability operations.

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