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ARMY RESERVE GENERAL OFFICERS AND CAPTAINS OF INDUSTRY – A
STUDY IN DEVELOPING DUAL CAREER READINESS

By
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A DISSERTATION IN PRACTICE

Submitted to the faculty of the Graduate School of Creighton University in Partial
Fulfillment of the Requirements for the degree of Doctor of Education in
Interdisciplinary Leadership

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Abstract

This Dissertation in Practice provides insights into the complexities of sustaining dual executive careers as Army Reserve generals and captains of industry. This narrative study describes the pathways to becoming a general officer, risks of pursuing dual military and civilian careers, managing the journey, skills of successful executives, and structural and cultural imbalances in the Army Reserve general officer experience. Army Reserve generals stay in the force because of a high level of commitment to Army Values and service to the nation. This study demonstrates that the current talent management strategy for Army Reserve general officers is out of balance and concludes dual military and civilian career readiness is an indicator of effective leadership. Recommendations for developing and sustaining high-quality Army Reserve general officers and captains of industry include operationalizing dual career readiness, requiring Army Reserve generals to sustain full-time employment, limiting general officer active duty for operational support, developing strategic leader pathways, and assessing and monitoring executive health. This study helps fill a void in the literature about Army Reserve general officers. Future general officers may find the information in this study useful in navigating their careers. Policymakers may also gain insights from the findings and recommendations to improve the development of leaders for the most senior strategic leadership positions. Implementation of the recommendations in this study could improve dual career readiness enabling current and future Army Reserve generals to be more efficient and effective simultaneously serving the nation as capable, combat-ready and lethal warriors and captains of industry.

Keywords: Army Reserve, general officers, captains of industry, dual career readiness

Dedication

This Dissertation in Practice is dedicated to the general officers and their soldiers who currently serve, have ever served, or will serve in the United States Army Reserve. You are warriors and citizens who demonstrate our Army Values in selfless ways and make sacrifices that more often than not go under the radar. You serve willingly and sacrifice in ways often unnoticed outside your immediate family members. You serve because of your unwavering commitment to the Constitution of the United States of America, the security of our nation, the readiness of our Army, and your deep caring for your families, communities and employers. I hope I have told your story well and I will forever be humbled and blessed to have served with you. Soldiers for life and Army Strong!

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CHAPTER ONE: INTRODUCTION

Introduction and Background

The Army Reserve is a force of approximately 200,000 (Department of Defense, 2017) soldiers and civilians comprising one of the three components of the United States Army. The other two components of the Army include the Army National Guard and the Regular Army. The National Guard is a state-based force of over 343,000 (Department of Defense, 2017) soldiers under the control of governors unless federally mobilized. The Regular Army, or active component force, consists of over 476,000 military and 194,000 civil service employees (Department of Defense, 2017). The soldiers of the Army Reserve primarily have civilian jobs and perform statutory and often non-statutory military duty at various times throughout the year. Statutory training refers to the 39 duty days of duty that are performed each year as required by law (Kilmas, Lippiatt, McDonald, & Sollinger, 2013). Non-statutory refers to any additional duty that is performed in a given year that is above the minimum level required but still has reemployment protections by law (Whitney, 2011).

The senior executive officers leading the Army Reserve consist of a corps of approximately 131 generals (M. Siekman, personal communication, June 11, 2018). This Dissertation in Practice (DIP) is focused on the personal and professional experiences of the leaders within this population. The initial chapter of the DIP provides the baseline background of the population, a description of the problem that exists, and the purpose for studying the Army Reserve general officer corps. It also defines the guiding research question and describes the rationale for the narrative methodology, the significance of the project, and role of leadership applied to the executive talent pipeline.

The dual careers of Army Reserve generals traditionally require them to balance significant time conflicts to meet their military commitments while maintaining civilian employment as a *captain of industry*. The term dual career refers to the Army Reserve generals who serve as senior military leaders while maintaining a successful civilian job. A captain of industry for the purposes of this DIP is a leader who has attained and sustained the level of civilian senior executive, managing partner, or *C-Suite* leadership within a governmental or non-governmental organization. This DIP explored whether the military and civilian commitments of Army Reserve generals have become unbalanced and could be adversely affecting the talent pipeline of officers capable of sustaining dual military and civilian executive careers.

Developing and retaining executive talent is challenging for any organization and hinges on several factors including team performance, the ability to integrate the efforts of top management teams, and environmental factors that can affect whether or not executives continue leading their organizations (Hilger, Mankel, & Richter, 2013). Additionally, Mertz and Boyar (2012) identified several turnover predictors that influence why leaders may make their decisions to stay or depart their leadership positions. Challenging developmental experiences also appear to have a positive mediating effect on leader continuance (Zaccaro et al., 2015) within an organization. The experiences are associated with experiential learning, increased cognitive capacities and divergent thinking which appear to be correlated with leader continence. For senior leaders in the United States Army, Colarusso and Lyle (2014a) identified significant problems within the officer management system that create highly talented junior operational leaders who, as they progress to the senior ranks of the institution, are often

not well prepared for their non-operational, strategic leader assignments. The officers have the requisite leadership skills at low and mid-grade levels of the Army, but the developmental experiences do not necessarily expose them to the conditions under which they will be required to lead as a general officer. The result is often talent mismatches that can put very good senior officers in positions for which they may be ill-equipped to lead (Colarusso & Lyle, 2014a). If it is difficult to develop leaders on a full-time basis to serve at the executive levels, it is reasonable to assume developing generals serving on a part-time basis is a greater challenge.

Statement of the Problem

Executive talent mismatches of Army Reserve generals can be particularly challenging as professional development and advancement trade-off decisions are made throughout their dual careers. The grand challenge for Army Reserve general officers is balancing the strategic ends, ways, and means associated with dual career executive service while remaining “ready enough to be relevant but not so ready that it negatively affects their ability to maintain, good, rewarding civilian employment” (United States Army Reserve, n.d., p. 14) in a global threat environment where they must deliver to the American people “the most capable, combat-ready and lethal Federal Reserve force in the history of the nation” (United States Army Reserve, n.d., p. 1).

Although the Army and the individual generals are committed to the institution, the talent management system is a survival-of-the-fittest culture. The management of military officers is, by design, an up or out system. Leaders have time-in-grade restrictions and, if they do not progress, are mandatorily removed from service (Commissioned Officers: General Rule; Exceptions, 10 U.S.C. 1370, 2011). The trade-

offs by Army Reserve generals that are necessary in order to operate within that system necessitate balancing the time required to meet military commitments while maintaining civilian employment and becoming a captain of industry. The priority of which career takes precedence can depend on when development opportunities become available in either career track and how that also competes with time for family, employer, and community commitments.

The requirement to make trade-off decisions can lead to career and skill-growth risks associated with participating in, or at times bypassing, experiential learning and professional development opportunities that are important to developing as a capable senior leader. If key developmental experiences are missed in a career, capability gaps can form. The gaps can be problematic because they can result in critical skill deficits when compared to peers with the requisite experiences that enabled them to develop the abilities necessary to be successful in higher echelon positions.

Colarusso and Lyle (2014a) described the capability gaps in the experiential development of Army strategic leaders. Examples might include a career as a successful combat arms officer who does not have the experience to be the senior human resource officer of the Army when compared to career personnel officers. The likelihood of the combat arms general being selected as the senior human resource officer of the Army is higher because of the cultural proclivity to select combat arms leaders to fill strategic leader positions even though they may not have the developmental experiences to be successful in the assignment. Colarusso and Lyle (2014a) focused their research primarily on Regular Army officers. However, the similar potential for skill gaps exists when it comes to developing Army Reserve generals.

Reserve Component officers are required to have “the same competencies as their active duty counterparts” (Conley, Masi, Rostker, Shukiar, & Drezner, 2008, p. 31). Although Mazaar (2017) developed institutional recommendations to improve the military skills of Reserve Component general officers, peer reviewed literature is still limited in describing the challenges of developing executive military talent. Even less exists in the context of balancing and capitalizing on civilian skills developed as captains of industry. Maintaining dual military and civilian careers has been a core competency of the Army Reserve since its founding in 1908 (United States Army Reserve Command, 2013). The fundamental importance of this DIP is to expand the literature about Army Reserve general officer development and understand the complexities of sustaining high performing talent capable of executive leadership as military officers and captains of industry.

Purpose of the Study

Considering the antecedents described above as to why executives stay in their organizations (Hilger et al., 2013; Mertz & Boyar, 2012) and the difficulties associated with developing effective strategic military leaders (Colarusso & Lyle, 2014a; Colarusso & Lyle, 2014b), the purpose of this narrative DIP was to explore the barriers and opportunities in the leadership pipeline associated with developing executive leaders capable of dual careers as general officers in the Army Reserve and captains of industry.

Research Question

Sustaining a dual military and civilian career has many factors that may inhibit or complement advancement and the development of skills that enable the executive leader to be successful. Therefore, the overarching research question driving this DIP was:

RQ: How do Army Reserve generals describe effectively navigating the progression of dual civilian and military careers?

Aim of the Study

The aim of this DIP was to explore and describe, through the experiences of currently serving senior leaders, the complexity and commitment inherent in the various career pathways of the Army Reserve general officer experience. Additionally, by providing informed insights about the implications of current policies, procedures, expectations, and executive leadership competencies associated with dual military and civilian employment, currently serving and future general officers may find the information useful in navigating their careers. Finally, policymakers may consider whether a survival-of-the-fittest talent management system, when it comes to who can and cannot navigate dual careers, is the right approach to yield the best Army Reserve generals for the most senior strategic leadership positions.

Methodology

The method for this DIP was narrative, qualitative research to develop an in-depth description, through real-life examples, of the work-life balance issues associated with serving as an Army Reserve general officer and an executive in private industry. The path to being selected for and serving as an Army Reserve general is varied through, primarily, a combination of active duty and troop program unit duty statuses and assignments. In some cases, they also navigate through positions within the Individual Mobilization Augmentee and Individual Ready Reserve categories of service. The different pathways have disparate implications associated with the career trade-off decisions and skills developed that are necessary to succeed at the different assignments

within the institution. Analyzing disparate leader experiences provides context and meaning behind the development of the Army Reserve soldiers who have risen to the ranks of the general officer corps.

The target population for the study from which the sample was selected was the 131 generals (M. Siekman, personal communication, June 11, 2018) currently serving in the Army Reserve. The narrative research was the best approach to capture the complexity of the disparate pathways to executive leadership and describe, through individual personal experiences (Creswell & Poth, 2018), the challenges and opportunities of serving as both an Army Reserve general and captain of industry.

Definition of Relevant Terms

The following is a sample of terms used throughout the DIP and are commonly associated with the experiences of members serving in the United States Army Reserve.

Regular Army: The standing active duty Army of the United States of America, which is approximately 476,000 soldiers (Department of Defense, 2017).

Army National Guard: The Reserve Component of the Army whose primary mission is serving under the authority of the governors of the 54 states and territories of the United States of America. When federalized, they are a force provider to support Regular Army operations worldwide. The Army National Guard consists of approximately 343,000 soldiers (Department of Defense, 2017).

Army Reserve: The federal Reserve Component of the Army whose primary mission is to provide forces to the Regular Army in support of worldwide military operations (United States Army Reserve Command, 2013).

Duty Status: The legal pay and benefits category of a military service member on any day they are associated with the military. Duty statuses include active, inactive, present for, temporary, and leave.

Reserve Component (Title 10 USC): The Army has three components: the Regular Army, Army National Guard, and Army Reserve. The Reserve Component of the Army consists of the Army National Guard and the Army Reserve.

Troop Program Unit (TPU): An organization to which Army Reserve soldiers are assigned in order to train for mobilization and perform in active and inactive duty statuses (Kouba, 2017).

Individual Mobilization Augmentee (IMA): An Army Reserve soldier assigned individually to a Regular Army Organization to perform their part time duty (Kouba, 2017).

Active Duty in support of the Guard and Reserve (AGR): A duty status of an Army Reserve or National Guard soldier specifically designed in public law to support the National Guard and Reserve. Their duty status is similar to that of the regular Army soldier except they are statutorily required to support the Army Reserve or the National Guard (Kouba, 2017).

Inactive Duty Training (IDT): The paid duty status of a Reserve Component soldier that is other than active duty. These are the drill periods that are normally performed on the weekends (Kouba, 2017).

Individual Ready Reserve (IRR): Soldiers assigned to the Federal Army Reserve Component who are usually in a non-paid status: not assigned to a TPU, IMA, or AGR

position, but are statutorily subject to mobilization in a national emergency (Kouba, 2017).

Active Duty: Employment of a soldier in a paid status that is other than IDT (Kouba, 2017).

General Officer (GO): An Army officer promoted above the rank of colonel. At that time, the officer loses their specialization designation and becomes, by definition, a generalist.

Captain of Industry: A term of art that, for the purposes of this DIP, refers to a person who has achieved and sustained their position of employment as an executive in a public or non-public firm. Private sector positions could include “C- suite” executives (e.g. Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Founder, Partner, etc.).

Readiness: A term that provides a measure of the gap between “actual and potential capability” (Betts, 1995, p. 28). When applied to dual career military officers in this study, the term refers to how well or poorly generals are capable of serving simultaneously as military executives and captains of industry.

Risk: The term refers to the relative exposure in various domains to the potential negative consequences of pursuing and sustaining dual military and civilian careers.

Ends-ways-means: A framework describing the relationship among strategic goals, actions to accomplish them, and the means necessary to be successful (Eikmeier, 2017).

Limitations, Delimitations, and Personal Biases

Prior research in the subject area was one of the primary limitations of the study. Although there has been significant research regarding leadership in the private sector, studies analyzing executive and senior military leadership are extremely limited. Research regarding general officers of the Reserve Component and specifically the Army Reserve is even more rare. The only study specifically focused on the Army Reserve general officer population was conducted in a doctoral dissertation by Smith in 2012.

The literature in Chapter 2 reveals significant challenges to developing a leadership bench of executive talent (Kessler, 2002). Applying the challenges associated with building a private sector executive talent pipeline to the Army Reserve general officer population provided insights for developing an in-depth understanding of what it takes to grow and sustain executive talent in the public or private sector. Another limitation was the fact that in order to ensure the different sub-cultures that have pathways to general officer leadership are adequately represented, the sample interviewed in the research was purposive.

Delimitations included the segmentation of the general officer population and bounding the research to the currently serving pool of Army Reserve executive leaders. This DIP does not include the Regular Army or Army National Guard generals as the systems, culture, and requirements for the other components of the Army are significantly different from the Army Reserve. Additionally, this DIP focused on executive leadership, not mid-grade or junior leaders. Although the challenge of managing dual military and civilian careers is difficult for most of the soldiers in the Army Reserve, this study focused on the Army Reserve general officer population and not the company

grade or field grade officers or the enlisted population.

Ethical considerations for this research included disclosing potential conflicts of interest. I am a general officer in the population of Army Reserve generals used for the analysis which could lend itself to bias from personal experiences as a senior military leader. Therefore, I remained conscious to bracket any potential bias associated with the experiences of the research sample used in gathering the data.

Bias could have also presented itself within the research sample associated with sub-cultures that exist in the Army Reserve general officer corps. For example, general officers who rise through the TPU and AGR statuses and those who have varying degrees of regular Army experience may have different views as to what makes an effective strategic leader. Differences in worldviews of study participants are reflected in Chapter 4 of the DIP. Confidentiality and anonymity for this DIP was enforced in the collection, storage, analysis, and presentation of the data associated with the research. Finally, another source of potential bias was the fact that the author holds a worldview that is both transformative and pragmatic (Creswell, 2014). The significance of the worldview is important because I am simultaneously change and “real-world practice oriented” (Creswell, 2014, p. 6), yet I was also mindful about exercising significant self-awareness (Lowney, 2003) to ensure the data drove the analysis and not personal bias. I often consulted with my dissertation committee to understand how personal bias and bracketing could influence the interviews, analysis, and interpretation of the data.

The Role of Leadership in this Study

Interdisciplinary leadership is at the core of this DIP. The implications of executive leadership in dual military and civilian careers imply successful development at

lower echelons in order to effectively lead interdisciplinary organizations at the highest levels. Army leadership is less nested in a particular normative theory, and more in a set of values and guiding principles as described in Army Doctrinal Publication (ADP) 6-22 (Headquarters Department of the Army, 2012). As general officers are expected to be successful interdisciplinary leaders, the DIP explored the leadership traits and motivations of ADP 6-22 and, as needed, the underlying transformational, transactional, authentic, or servant leader attributes (Northouse, 2016; Johnson, 2015) that are expected in leaders who are capable of balancing dual military and civilian careers at the executive levels.

Significance of the Dissertation in Practice Study

The importance of this study is threefold. First, the DIP will contribute to an area of study that severely lacks research. The challenges of the dual career executive leader are anecdotally understood and largely undocumented. Second, the in-depth study informs current and future Army Reserve general officers about the environment in which they are or will be serving. Finally, the findings provide insights to senior policymakers about whether a survival-of-the-fittest perspective, which may currently exist structurally and is culturally acceptable given the warrior ethos of the institution, may have overshadowed critical thinking about the problem and relevance of maintaining an executive talent pipeline capable of producing general officers in the Army Reserve that also serve as captains of industry.

Summary

The Army Reserve is a global force and one of the three components that comprises the United States Army. The executive military leaders of the organization

constitute a population of 131 general officers (M. Siekman, personal communication, June 11, 2018) responsible for leading approximately 200,000 soldiers and civilian employees (Department of Defense, 2017). Army Reserve general officers have disparate personal and professional experiences that have prepared them to various degrees for executive leadership as a general officer and captain of industry. However, there is a tremendous gap in peer reviewed literature to describe the complexity of the environment in which Army Reserve officers have to navigate in order to be successful executive leaders.

The purpose of this narrative, qualitative DIP is to help understand and describe the barriers and opportunities in the leadership pipeline associated with developing executive leaders capable of serving as general officers in the Army Reserve and captains of industry. Guiding the research is the question of how Army Reserve generals effectively navigate the progression of dual civilian and military careers. The role of leadership in the DIP will be explored in the context of United States Army doctrine and the normative theories as described by Northouse (2016) and Johnson (2015) and applied by military and civilian interdisciplinary leaders. The significance of the DIP is to start to close the gap in literature about the topic, provide useful context through real-world narratives to current and future officers considering how they balance dual military and civilian careers, and help policymakers and senior leaders visualize and shape the environment necessary to select and develop the best Army Reserve general officers who are also capable captains of industry.

CHAPTER TWO: LITERATURE REVIEW

Introduction

The following literature review for this narrative DIP explored the antecedents in the journey of Army Reserve generals as they develop as executive leaders navigating dual military and civilian careers. The purpose of the literature review is to demonstrate the necessity for the study by providing context about the environment in which Army Reserve generals navigate in order to succeed as military and civilian sector professionals. Since Army Reserve general officers are usually both military and civilian workforce leaders, the first section of this review discusses relevant literature about leadership as a military professional, the system that produces general officers, and the challenges of developing strategic leaders in the Army. The next section focuses on how that same talent management system that is used to grow Regular Army leaders affects the development of Army Reserve general officers. Since Army Reserve generals are expected to be successful executive leaders in their military capacity and also in their civilian jobs, the next section focuses on the environment of civilian executive leadership followed by a discussion of the role of culture within the Army Reserve.

Although the timeliness, relevance, and reliability of the literature will be evident, the review demonstrates substantial gaps in research relevant to the topic. Though minimal research exists relevant to the topic, this review provides additional context using current, high-quality, peer-reviewed literature and institutional doctrinal sources that portray cogent understanding of the Army profession, executive civilian sector leadership, and the intersection of the military and civilian executive domains where the successful general officer in the Army Reserve must navigate. The literature review then

transitions to the application of leadership theory and tools used to assess the journey of Army Reserve generals as they simultaneously move through dual talent pipelines in pursuit of developing the attributes, skills, experiences, and abilities to be successful general officers and captains of industry. Finally, the literature review concludes with a summary of the salient points made throughout the chapter.

Literature About the Professional Field

Army Leadership: Developing Professional Military Officers

All Army leaders are expected to develop and exhibit the skills and attributes described in Army Doctrinal Publication (ADP) 6-22, *Army Leadership* (Headquarters Department of the Army, 2012). The ADP details the attributes, competencies, and outcomes expected of all Army leaders, regardless of rank, component, or organization to which someone is assigned. Examples of the ADP 6-22 (Headquarters Department of the Army, 2012) attributes include character, presence, intellect, leader development and achievement and are applicable to all Regular Army, Army National Guard, and Army Reserve soldiers.

Leader attributes are continuously developed and improved upon throughout a military career. The ADP 6-22 (Headquarters Department of the Army, 2012) also described how the application of these attributes changes with different levels of organizational and variants of conditions under which leaders exercise formal, informal, collective, and situational leadership. Whether a soldier is a junior non-commissioned officer in the regular Army, a mid-grade civil service employee with supervisory responsibilities, or a general officer in the Army Reserve, leadership is a continuous process of developing and applying core competencies to provide “purpose, direction,

and motivation to accomplish the mission and improve the organization” (Headquarters Department of the Army, 2012, p. 1).

As an Army leader progresses in rank and assumes greater span of control and levels of responsibility, the leadership skills to be successful must evolve and are adapted to their new environment. Although the underlying core competencies may be the same, there are characteristics, skills, and behaviors of executive leaders that are much different than those of first line supervisors and mid-level managers (Yukl & Mahsud, 2010). Cognitive skills, systems thinking, and leading in changing environmental complexity are required of strategic leaders. On the other hand, technical skills remain more prominent as requirements of first line supervisors and mid-level managers. For Regular Army officers, the transition is similar when developing as executive leaders. When development opportunities are missed or may be minimized throughout a career that would have otherwise provided the experiential growth of skills necessary in more complex leadership environments, talent mismatches can occur due to gaps in strategic and institutional capabilities required of executive leaders (Colarusso & Lyle, 2012a).

The Army Executive Talent Management System

The current talent management system for producing general officers does develop very good senior leaders. However, when broadening development experiences do not occur or are not as effective opportunities, “talent mismatches often occur, with superb senior leaders being placed in assignments for which the Army has failed to prepare them” (Colarusso & Lyle, 2012a, p. 170). The current talent management system for developing strategic leaders has several flaws that constrain the development of generals from being as effective at the executive levels of the Army. The experiential

component necessary to mature the higher order leadership skills is often lacking because of narrowly defined career paths that may not provide leaders with the requisite strategic leader experiences earlier on and more often throughout a career.

Challenges Developing Strategic Leaders

Colarusso and Lyle (2014b) identified six areas that appear to constrain the Army's ability to develop the strategic skills and leadership attributes necessary to enhance the preparedness of senior officers to succeed as executive leaders. For example, Colarusso and Lyle (2014a; 2014b) cited the Army talent management system for not effectively differentiating leader skill sets well enough over seniority of leaders. Additionally, the system promotes officers with standard attributes and experiences rather than diverse skills and experiences that may have better prepared them for success at the next higher rank as executive leaders. The problems manifest themselves in excellent operational leaders without the requisite experiences to lead the institution at the highest strategic levels.

To the credit of the Army senior leadership, they recognized the tremendous gap and are implementing changes within the talent management framework across the Regular Army. When it comes to general officers, the Army initiated a program in 2017 called the Army Strategic Education Program (ASEP) to help improve the strategic experiences, skills, and abilities of the general officer corps across all components of the Army. The ASEP is now a requirement for all generals in the Army regardless of component (United States Army War College, n.d.).

The ASEP is a successful program. However, time and competing career demands are still challenges for the Reserve Component. It is understandable that the

current ASEP curriculum is also solely focused on professional development as military general officers, not as civilian executive leaders. The linkage to the Reserve Component is the fact that Army Reserve and National Guard generals are expected to complete the same developmental education as the Regular Army generals. The ASEP provides no advice or formal professional development and mentorship about leading and succeeding in dual executive careers as that is not in the purview of the career tracks of Regular Army leaders (United States Army War College, n.d.). Even with the primary focus on Regular Army general officer development applied to all components of the Army, the growth of executive military leaders is recognized as a challenge for the entire Army and ASEP is an effective program to help improve the strategic leader capabilities of the entire general officer corps.

For a Regular Army force that may have challenges honing strategic leader skills and attributes, consider the difficulty of developing the same general officer capabilities and experiences working within the current leadership development system but on a part-time basis. The requirement to do exactly that is not optional. It is a strategic and operational necessity for the entire Army to ensure the general officers in the Army Reserve develop skills comparable to their Regular Army peers (Conley, Masi, Rostker, Shukiar, & Drezner, 2008). However, doing so is systemically and culturally challenging given the time constraints and competing interests of leaders balancing dual military and civilian professional demands.

The Requirement for Army Reserve Generals

Army Reserve generals are federal officers who must meet the same technical and leader competencies of Regular Army generals (Conley, et al., 2008). There is only one

standard across all components of the Army. That standard is to possess the professional competencies required of the profession, regardless of the component that produces the general. An Army Reserve general has to have similar experiences and educational requirements as Regular Army generals in order to have the competencies to be a successful executive military leader. Therefore, Army Reserve generals require comparable broadening experiences to Regular Army officers, even if they have conflicting time commitments with their civilian employers.

Although the number of developmental military assignments for Reserve Component generals appears adequate in terms of opportunity (Harrington et al., 2016), time is a constraint between their competing military and civilian careers. The more operational experiences a Reserve Component leader has, the greater the likelihood it is they will be effective when they are mobilized or deployed and required to execute the executive operational and strategic leader skills (Schnaubelt et al., 2017) they have developed. However, it is still a constant struggle for Army Reserve generals to ensure executive competencies are sustained in order to succeed in both their military and civilian capacities. Their dual career time commitments can also exacerbate another identified problem in leader development of Regular Army officers and that is the short duration of their tenure in their positions (Colarusso & Lyle, 2014a; Smith, 2012).

A common difficulty in developing effective general officers, regardless of component, with the skills and experiences that make them capable strategic leaders is the short tenure length in broadening assignments (Colarusso & Lyle, 2014a; Smith, 2012). As with Regular Army officers, broadening assignments are critical for the Army Reserve generals to provide them experiential skill development outside of their current

career tracks (Conley, et al., 2008; Smith, 2012) in order to make them more effective interdisciplinary strategic leaders. For the full-time Regular Army force this is a difficult proposition. In an officer corps that, as Army Reserve soldiers, is primarily part-time, the challenge to develop the skills can be even more problematic because of the competition for time with their primary employer which is not the Army. Some leaders can find the balance while others have more difficulty managing dual careers.

Another institutional challenge when trying to navigate the broadening assignments dilemma is the fact that the same experiences among different leaders may yield different developmental outcomes. The same experience can be provided to several generals, but the developmental result depends on the individual leader and the conditions under which they balance their military experiences (Mazaar, 2017). This point is relevant to demonstrate that systemic changes alone, although they may increase the odds of improving leader development, may not guarantee delivery of the desired developmental outcomes.

The Executive Talent Pipeline

The nature of service in the Army Reserve implies leaders are simultaneously successfully employed in their civilian capacity. Their service in the Army Reserve is part-time and only full-time when they are in an active or inactive duty for training status. Therefore, as a general officer in the Army Reserve, leaders have traditionally pursued, throughout their dual careers, staying ready and relevant as soldiers while they are simultaneously progressing through the talent pipeline in their civilian jobs (Howard, 2006; Kouba, 2017). Although they pursue dual professions, progression through the civilian executive talent pipeline has several similarities to developing general officers.

Education combined with experiential learning, similar to developing their military leadership skills, is critical to leader development. Although education, experiential learning, and developing different interdisciplinary leadership skills are recognized as essential to success as executive leaders, few organizations have formal systematic executive talent management systems (Dean & Shanley, 2006). An advantage the Army has is scale. It is likely that a civilian sector version of ASEP would be prohibitively expensive to sustain and may be limited to larger corporations or outsourced to educational institutions.

As Army Reserve generals navigate progressing in both military and civilian careers, learning agility and rapid skill development are attributes necessary for executive success, especially when balancing the time commitments and performance standards of two careers. Dai, De Meusse, and Tang (2013) concluded the importance of learning agility to executive success even though little scholarly work exists on the relationship between the two attributes. The selection criteria used in identifying top executive talent indicates that competencies in strategy, leadership, cognitive skills, integrity, self-efficacy, stewardship, and profession credibility are essential attributes for success (Fitzsimmons & Callan, 2016). Executive leaders have to be flexible and adaptable to stay ahead of their operating environment while developing the new skills and obtaining the knowledge they need when market conditions change. To stay competitive, “shifts in strategy require shifts in traits, skills, and knowledge (Kessler, 2002, p. 39).

For the Army Reserve general, given the shortage of time and developmental opportunities compared to their Regular Army peers, adaptive, experiential and agile learning is essential to continuously adapt and develop skills, knowledge, and attributes

necessary to mitigate the inherent lack in full-time experience as a military leader. Intellectual agility, experiential learning, and the attributes Fitzsimmons & Callan (2016) described appear to be common characteristics of the civilian executive and the general officer leaders. Not only do Army Reserve generals have to be aware of and develop the skills and attributes required of Regular Army senior leaders (Colarusso, 2014a), they also have to keep pace with the executive competencies required in their rapidly changing civilian industries and organizations. How and why Army Reserve general officers may be able to balance the two dual imperatives and keep pace with the changing leader environment in practice, may also be reflective of their learning agility. There also may be cultural aspects of their service that are manifested in how and why they are able to balance the two careers with agile learning traits that are reinforced by cultural practices within the profession.

Literature About the Practice Setting

Culture and the Leadership Pipeline

The culture and values of an organization have much to do with the commitment of their members (Clugston, Howel, & Dorfman, 2000). When values of leaders and an organization are similar, there is a moderating role of leaders' commitment and ability to work through conflict and achieve success (Klein et al., 2011). The cultural association of an organization is a powerful antecedent to organizational commitment by leaders and employees (Clugston, et al., 2000; Hatch & Schultz, 2002). As competency and employment success is developed throughout a career, satisfaction and employee embeddedness tends to grow (Voss, Hauuw, & Van der Heijden, 2011). Normative forces embed leaders in an organization's success and apply cultural and environmental

pressures on their desire to stay and continue to support the mission of the institution and the people within it (Maertz & Boyer, 2012; Maertz & Griffeth, 2004; Mitchell, Holtom, Lee, & Erez, 2001). The calculative, contractual, behavioral, moral, ethical, and constituent forces (Maertz & Boyer, 2012; Maertz & Griffeth, 2004) are powerful influences that may help explain why leaders are willing to take risk in their civilian careers in order stay within the Army Reserve as a general officer.

In addition to the leadership attributes expected of all Army leaders, ADP 6-22 (Headquarters Department of the Army, 2012) describes the underlying values of the Army as an organization. By the time an Army Reserve leader achieves the rank of general officer, not only are the leader attributes engrained in what is expected of them, they are also underpinned by the decades of experience of living by the Army Values of loyalty, duty, respect, selfless service, honor, integrity, and personal courage (Headquarters Department of the Army, 2012). These leadership traits and values are ingrained in the Army culture and could be an explanation for some of the underlying motivations behind the willingness to take risk in civilian careers in order to continue service as a general officer in the Army Reserve. The organizational commitment, cultural association (Clugston, et al., 2000), employee embeddedness (Voss, Hauuw, & Van der Heijden, 2011), and calculative forces (Maertz & Boyer, 2012; Maertz & Griffeth, 2004), could also serve as factors that motivate Army Reserve generals to take risks in non-military commitments in order to manage dual military and civilian careers.

The Literature Gaps: Military and Civilian Executive Talent

Although this literature review has demonstrated timely and relevant sources applicable to developing military leaders, the executive talent pipeline in the private

sector, and culture associated with organizational embeddedness, the presence of peer reviewed research on the general officer population is sparse. Sources specific to the military are primarily associated with organizations related to the profession such as the Army War College and highly reputable research firms with connections to the military such as the RAND Corporation. Private sector executive leadership is also recognized as a topic that is important yet the presence in the literature is lacking. What does exist is available in highly respected peer-reviewed professional management, human resource, psychology, and leadership journals.

When it comes to research about Army Reserve general officers, there are trade sources on the topic, but very few peer-reviewed studies. This point was acknowledged in the dissertation focused on Army Reserve General Officer success in transitioning to new positions compared to private sector executives (Smith, 2012). Since the conclusion of Smith's (2012) dissertation, peer-reviewed sources regarding Army Reserve generals remain lacking. This DIP adds to the literature about leadership at the nexus of dual military and civilian careers and perspectives through the lens of normative leadership theoretical models. Using normative leadership theories helps highlight how and why Army Reserve general officers navigate their dual military and civilian careers and also offers insights into developing closure in the strategic skill gaps of the general officer corps that were identified by Colarusso & Lyle (2014a).

Leadership Literature

Normative Leadership Theories

Comparing leadership, values, attributes, competencies, and desired outcomes described in ADP 6-22 (Headquarters Department of the Army, 2012), several normative

theories could be considered applicable regardless of whether someone subscribes to transformational, transactional, authentic, servant, or other leadership theories (Johnson, 2015; Northouse, 2016). Some of the leadership challenges in developing general officers have to do with the difficulty of obtaining the broadening experiences that expose leaders to the institutional and strategic experiences of leading the Army at multiple levels and in different complex environments (Colarusso & Lyle, 2014a; Kessler, 2002). Inherent in this DIP is an assessment of the dual career leader development challenges experienced by Army Reserve general officers. Using normative theories as a lens for analysis may provide insights into how Army Reserve generals are capable of leading dual executive careers. A starting point for analysis may be to use elements of the multi-faceted leadership models such as what Burke-Litwin developed for analyzing organizational performance and change (Burke, 2014).

Leadership Models

Although the Burke-Litwin model (Burke, 2014) provides a lens focused on organizational performance and change, it was an informative application to analyze how leaders develop by considering the interaction of specific transactional and transformational leader characteristics (Martins & Coetzee, 2009). Focusing on transformational and transactional leader attributes highlighted skills that enable leaders to better manage the complexities of growth that Yukl and Mahsud (2010) described. The dynamic interaction of transformational and transactional attributes draws attention to the capabilities a leader must grow and adapt to given changing dual-career responsibilities within their organizations (Kessler, 2002).

The leadership development model by De Meusse (2017) that incorporates

people, mental, change, and results agility was useful in the context of specific transformational and transactional attributes (Burke, 2014; Galvin & Clark, 2015). Analyzing the data collected in this DIP in the context of leader development attributes demonstrated commonality or gaps across critical skills and traits associated with normative theories (Johnson, 2015; Northouse, 2016) and successful leaders. The results provided additional insights into leader attributes that could indicate, to some degree, how successfully Army Reserve generals are able to navigate their dual careers.

Applying attributes of the normative leadership theories highlights the complex and interdisciplinary leadership skills that are expected of Army Reserve general officers. For example, comparing the progression timeline and developmental experiences of dual military and civilian careers highlights where progression could be parallel or possibly out of balance. A civilian leadership position may have progressed to require both transactional and transformational skills (Galvin & Clark, 2015; Martins & Coetzee, 2009; Yukl & Mahsud, 2010). At the same time, the military career progression as a general officer may require more transformational or transactional characteristics depending on the assignment and scope of responsibilities.

Using the framework of transformational and transactional theory and operationalizing leadership within an organizational construct may demonstrate where the progression within the military and civilian organizations could be complementary and enhance the executive development in both domains. Galvin & Clark (2015) was also applicable analyzing leadership in action. Through the collection of data that described the dual careers of Army Reserve general officers, their stories demonstrated how their skills and attributes were developed that made them more or less capable of

leading change within their military and civilian organizations as a general officer and captain of industry.

Summary

Developing general officers for the Regular Army and Army Reserve has similarities but also significant differences. The job requirements and professional development experiences of Regular Army and Army Reserve generals are, in theory and application, similar. Developing capable general officers in the Regular Army and in the Army Reserve requires extensive education and broadening experiences provided to leaders throughout their careers (Colarusso & Lyle, 2014a). There are, however, significant differences developing Army Reserve generals when compared to Regular Army officers because of the time available to invest in education and experiential learning.

For Army Reserve generals, the educational and experience investments occur while maintaining civilian careers and competing for time between both professions. Learning agility and competencies in strategy, leadership, applying cognitive skills, demonstrating integrity, self-efficacy, stewardship, and having credibility within the profession are all traits of successful executive leaders (Fitzsimmons & Callan, 2016) and necessary to succeed as a general officer regardless of component. However, culture and employee embeddedness (Voss et al., 2011; Mitchell et al., 2001) also have a role in Army Reserve generals making career trade-offs in order to effectively balance their dual military and civilian careers.

Army Doctrine is clear regarding the values and attributes all Army leaders should have but little literature exists about the challenges moving into the executive

ranks. Although the literature exists regarding the military profession, civilian executive development, and desirable characteristics for success as executive leaders, there are no peer-reviewed studies other than the Smith (2012) dissertation specifically focused on Army Reserve general officers. There is also no peer-reviewed literature specific to how Army Reserve general officers successfully navigate their dual military and civilian careers. It is that gap this DIP helps inform.

Finally, in order to analyze and re-story the narrative data collected for this DIP, it was useful to consider the attributes of transformational and transactional leadership (Burke, 2014; Galvin & Clark, 2015; Martins & Coetzee, 2009). Applying leadership theory in the context of the life stories of the sample population was useful to explore, assess, and explain the dual career and interdisciplinary leadership journey of Army Reserve general officers. The assessment of the real-life stories in the context of transformational and transactional leadership theory and attribute interactions provided insights into how, why, and to what degree Army Reserve generals are able to simultaneously navigate military careers while serving as captains of industry.

CHAPTER THREE: METHODOLOGY

Introduction

Considering the antecedents to why executives stay in their organizations (Hilger et al., 2013; Mertz & Boyar, 2012) and the difficulties associated with developing effective strategic military leaders (Colarusso & Lyle, 2014a; Colarusso & Lyle, 2014b), the purpose of this narrative DIP was to explore, through the real-life stories of currently serving general officers, how leaders navigate the leadership pipeline to manage dual careers as Army Reserve general officers and captains of industry. This DIP explored and described, through the experiences of currently serving senior leaders, the complexity and commitment inherent in various career pathways of the Army Reserve general officer experience. Additionally, by providing informed insights about the implications of current policies, procedures, expectations, and executive leadership competencies associated with dual military and civilian employment, currently serving and future general officers may find the information useful in navigating their careers. Finally, policymakers may consider whether a survival-of-the-fittest talent management system, when it comes to who can and cannot navigate dual military and civilian careers, is the right approach to yield the best Army Reserve generals for the most senior strategic leadership positions.

The purpose of the following chapter is to describe the methodology used to conduct the DIP and answer the research question. The research question below is followed by the research design and rationale for the approach I selected to conduct this study. Next, the population and sample are described followed by a description of the data collected, coded, analyzed, and re-storied in order to answer the research question.

This chapter then describes the permissions obtained to conduct the study, types of data collected, procedures, and ethical considerations associated with the DIP. Finally, the chapter concludes with the analysis plan followed to complete the DIP and my reflections as the researcher.

Research Question

Sustaining dual military and civilian careers has many factors that may inhibit or complement the development of skills necessary for executive leaders to be successful.

Therefore, the overarching research question driving this DIP is:

RQ: How do Army Reserve generals describe effectively navigating the progression of dual civilian and military careers?

Research Design

The research design for this DIP is a narrative study (Creswell, 2014; Creswell & Poth, 2018). The rationale for using a narrative design is because it is a logical method to understand the individual experiences of the sample population. As I collected and analyzed data from a purposeful sample of the general officer population, themes emerged that, through re-storying of the study participants' experiences, provided insights that could help future leaders better understand how Army Reserve general officers navigate their dual careers. The problem and proposed solutions are highlighted through the re-storying of their disparate real-world experiences. The rich responses of the study participants affirmed the narrative approach was the most appropriate to answer the research question driving this DIP.

Proposed Participants, Data Sources and Recruitment

Population

The Army Reserve general officer population consists of approximately 131 officers (M. Siekman, personal communication, June 11, 2018). Of the population, at least 17 are serving in a full-time active duty capacity all year. The rest of the population serves in a part-time military status with varying active duty commitments throughout the year. According to the General Officer Management Office (GOMO), on average, about 25 percent of the population is performing some form of active duty or Active Duty for Operational Support (ADOS) at any given time during the year (M. Siekman, personal communication, June 11, 2018). The population performs their military duty in different command and staff positions in Army Reserve units and active duty Army and Joint Force organizations around the world.

Sample

A purposeful sample of 15 general officers was selected to solicit for interviews. In order to identify the participants, a review of all Army Reserve general officer resumes was conducted in consultation with the GOMO. The reason I consulted with the GOMO director is because he is the career manager of the general officer population and could make informed observations beyond the resumes about his knowledge of the potential subjects' military and civilian careers.

After a review of the military resumes of Army Reserve general officers, I sorted the population by rank and their current duty status. The duty status indicated whether or not they were currently employed or serving a longer term of active duty. For those generals currently employed in civilian jobs, I assessed where they work and the level of

responsibility they have with their employers. My goal was to select the purposeful sample of 15-20 generals to ensure diversity across all categories that emerge from the demographic data.

Permissions to Access Data Sources

The Army Reserve general officer population is managed by the GOMO on behalf of the Chief of Army Reserve (CAR). The GOMO provided access to the demographic data they have collected in the course of managing the entire Army Reserve general officer population. Additionally, a military sponsor was required by the Army in order to have the authority to study the general officer population. The military sponsor for this DIP is the CAR. The CAR is the senior military leader responsible for all talent management activities associated with the Army Reserve general officer population. The CAR authorized my access to data provided by GOMO and granted me permission to recruit participants within the population of Army Reserve general officers (see Appendix A).

Data Collection Tools

Artifacts

Relevant artifacts (Creswell, 2014) such as resumes and demographic data were collected from the GOMO and provided insights into the characteristics of the current Army Reserve general officer corps. The military biographies and resumes of every general officer are *open-source* and were used to gather data about their military and civilian backgrounds. By open-source, I mean anyone with a military email account can gain access to the resumes through the Army Knowledge Online portal. The information provided by GOMO combined with the data from the military resumes was used to

develop the purposeful sample to solicit Army Reserve generals for interviews. All data gathered through the GOMO artifacts was protected and stored on a military computer in order to ensure the anonymity of every officer involved in the research was protected in any communication, storage, analysis, and display of data associated with the population.

Interviews

The study began by using peer reviewed literature associated with the topic of executive talent management and artifacts from GOMO. Based on the literature, an initial interview guide was developed for use when gathering data from the purposeful sample. Themes that emerged from the literature included insights associated with studies on leader organization continuance (Zaccaro et al, 2015) and learning agility related to executive success (Dai, De Meuse, & Tang, 2013). The interview guide was developed to help solicit the rich descriptions of the life experiences of the general officers and how they may or may not be applicable to these themes that emerged from the literature review.

The interview guide is included in Appendix B. The interview guide was approved by my committee, the Creighton IRB, and the Army Research Institute for the Behavioral and Social Sciences (ARI). The detailed procedures used for gaining approval from the Army were provided by ARI and are included in Appendix C. Prior to submitting the guide to the IRB, I did pilot the questions with an officer who was not part of the sample population in order to confirm the adequacy of the content, length, and clarity of the interview tool. After approvals from my Dissertation Committee, ARI, IRB, and AHRPO (See Appendix D), a purposeful sample was derived from the

population. Invitations were then sent to potential participants in order to begin setting up interviews for data collection.

Data Collection Procedures

Peer Reviewed Literature

Throughout the DIP data collection phase of the research, additional sources were sought after that could further inform the analysis. The United States Army Office of Economic and Manpower Analysis (OEMA) at West Point was also contacted for additional data sources they might consider helpful to inform the research. The OEMA did not have any additional artifacts or data pertaining to the subject of this DIP.

GOMO Artifacts

The GOMO collects data associated with the general officer population in addition to what is provided in open-source resumes and military biographies. A discussion with current and former GOMO directors provided insights into what data is available, relevant to answering the research question, and was particularly helpful in providing demographic data. Artifacts GOMO released were protected in order to ensure the anonymity of the general officers participating in the research for this DIP.

Interviews

The data from the interviews was collected, transcribed, and coded manually to develop themes in order to conduct a thorough analysis. Prior to coding the transcripts, I discussed my notes with the respective participants throughout the interviews to ensure accuracy and request clarification as necessary since I could not record the interviews. Quotes used in the final report of this study were sent to the respective participants via encrypted email for verification and to allow the respondents to provide additional

clarifying content.

The interviews produced rich descriptions from Army Reserve generals about their experiences navigating dual military and civilian careers. Interviewing currently serving Army Reserve generals was valuable because they are the members of the population with the most recent experiences who have, to varying degrees, balanced civilian and military careers and have the most recent senior executive experiences.

The number of generals interviewed from the sample was determined by how many of them responded to the solicitation by indicating their willingness to participate and scheduling a meeting for the interview. Data saturation was reached after 15 interviews. The purposeful sample was a diverse group of generals from across the spectrum of their civilian employment experiences. That spectrum spanned from the generals with limited civilian employment experience to those with an extensive dual career history who have maintained their positions as a captain of industry.

Bias and Data Validity

Credibility and trustworthiness of the data came through triangulation measures associated with interviews and other demographic sources along with member checking. Examples included comparing the similarities and differences experienced by currently serving brigadier generals with different civilian employment characteristics such as those who are fully employed, underemployed, unemployed, retired, or serving in a full-time, active duty capacity. Greater data validity was established by collecting rich descriptions of the experiences of each general officer as brought out in the interviewee responses (Creswell, 2014).

Saturation is the term used to refer to the point in data collection when no new

information is revealed from additional interviews. As the data collection reached saturation, transparency about discrepancies that ran counter to disparate respondents' views was documented and articulated within the study. Once saturation was reached, transparency and trust of the data was maintained by including viewpoints that were in disagreement. Divergent content collected from the respondents was recorded and reported in the findings.

Self-awareness of personal bias was also important to ensure transparency and trustworthiness of the data. For example, I have my perspectives about the importance of institutional and command experiences and the underlying cultural friction that often exists between leaders who have spent their careers primarily in an AGR or a TPU duty status. My bias was influenced by exposure throughout my career to AGR and TPU leaders at all organizational levels of the Army Reserve. Although there are exceptions, I have found the most effective institutional and technical staff skills are reflected in Army Reserve leaders who have spent time as AGR officers with experience in strategic-level staffs. I have also found the more effective leadership skills reside in the traditional TPU officers with experience successfully commanding at the battalion and brigade level.

My bias includes the view that the Army would be better served in the long-run by providing more strategic staff development experiences for TPU leaders and increased command opportunities for the AGR force. Additionally, my bias views the negative perceptions fostering cultural division between TPU and AGR leaders as more often earned by the poor performance actions of individual TPU and AGR leaders and not reflective of the entire population. My personal bias is that the Army would be better served acknowledging the strengths and weakness inherent in the diverse developmental

experiences of TPU and AGR pathways and that leaders should focus more on maximizing how each avenue brings different qualities to the talent pipeline that are necessary for growing the most capable Army Reserve general officers.

There was data collected from the study participants that was contrary to my world-view and personal bias. In order to control bias, I bracketed my perspectives to ensure the data accurately reflected the descriptions by the participants within the interviews (Creswell, 2014). Bracketing strategies I employed included discussing my personal experiences with colleagues and my dissertation chair and journaling to ensure I remained reflective of my personal views and limited any influences I could have exerted on how I approached collecting, analyzing, and interpreting the data.

Ethical Considerations

I am a currently serving general officer in the target population for this analysis which could have imposed personal bias into the study based on my experiences as a senior military leader and former AGR officer. There could also be bias from within the research sample associated with sub-cultures that exist in the Army Reserve general officer corps. As the researcher, I attempted to remain very reflective throughout the study to bracket my experiences that could influence the gathering, coding, analysis, and re-storying of any data. Strategies for mitigating bias within the sample population included triangulation of data sources, using rich descriptions of details provided by the interviewees, and ensuring the data collected reached saturation before concluding enough interviews have been conducted (Creswell, 2014).

Reassurance of confidentiality and anonymity were also important considerations (Creswell, 2014; Creswell & Poth, 2018). I maintained a master compartmentalized

roster of participants as I collected responses to the solicitation and set up interviews. That roster was stored separately and secured on my government computer. I assigned each person interviewed a number that was used as an identifier associated with the data to be coded and analyzed. When re-storing the data, I used pseudonyms to protect the identity of the interview subjects. All data collected for this study was destroyed upon completion of the DIP. There is no personally identifiable information connecting the interviewees with anything written in the DIP. Any further reference to interviewees is through pseudonyms only.

The procedures for protecting the confidentiality and anonymity was described in detail to the interview subjects. Additionally, my Citi Program training certifications are currently up to date (see Appendix E). The certifications served to assure the participants, the Army, and the Creighton IRB that I was trained and capable of protecting the confidentiality and anonymity of the subjects and their data.

Participants were assured of the ethical collection, storage, analysis, and presentation of results associated with the qualitative data. The data collection and storage procedures required by the ARI are very restrictive as described in Appendix C. In compliance with the ARI guidelines, all interview data was stored on a government computer in order to meet privacy and security standards as prescribed by the Department of Defense and destroyed upon completion of the DIP.

Data Analysis Plan

Since this DIP is a narrative study, coding and analysis was sequential. The methods for coding and recoding followed the process described in Saldana (2016). The initial coding and analysis happened after each interview and informed subsequent

questions until saturation occurred. As data was transcribed and coded, themes and categories emerged that formed the basis of re-storying the responses to answer the research question. The evidence to answer the research question emerged from the collected data in the form of rich descriptions from the interviewee experiences.

As Saldana (2016) described, I developed a code book in the form of a Microsoft Excel spreadsheet that captured the codes that emerged from each transcribed interview. I used a Microsoft Excel spreadsheet to document the coded data, recoded through several iterations, and then recorded the themes. From the preliminary codes, I recoded through several turns to identify categories and subcategories that highlighted the initial themes that emerge from the data collected. The analysis of the coded data revealed commonalities and differences in the experiences of the general officers that provided the insights to answer the research question.

Data saturation was the means to determine whether or not there was a need to expand the sample with additional interviews. As the interviews continued, new codes, categories, and themes emerged. Once no additional codes or themes emerged, the data collection halted as there was no need for additional interviews.

The analysis of the data followed the steps in Roberts (2010) and Creswell and Poth (2018). As the patterns and themes emerged in the coding process, insights arose from the stories of the participants that revealed similarities and differences in how the general officers described managing their dual careers. It is from these descriptions that themes and larger meanings were derived and explained as I re-storied the descriptions that emerged from the data collection (Cresswell & Poth, 2018).

Based on the initial discussions with an ARI reviewer (R.O. Simmons, personal

communication, August 19, 2018), data was stored on a government computer in order to comply with Department of Defense security standards. Data was not recorded electronically. The data was manually transcribed, and specific quotes used in the study were sent via encrypted email to the respective study participants to ensure the record of discussion accurately reflected their responses.

Since the data was stored and analyzed on a government computer, data was hand-coded within a Microsoft Excel spreadsheet to identify themes through coding, categorizing, and recategorizing as necessary from the data that emerged in the interviews. Although the graphics of commercial coding software may be more appealing and user-friendly for organizing and displaying data, the hand-coding approach, although it is more time consuming, yielded adequate results.

Study Approval

My DIP required the approval of the Creighton IRB and the United States Army. After having consulted with the Creighton IRB office and the ARI (R.O. Simmons, personal communication, June 7, 2018), I submitted my proposal simultaneously to ARI and to the Creighton University. However, Creighton University could not act on the proposal until I obtained the appropriate approvals from the ARI licensing the project. Once I had the final approval from the Army, I contacted Creighton to initiate their IRB approval. After obtaining the ARI and Creighton IRB approvals, I submitted the supporting documents to AHRPO for the final approval from the Army to begin collecting data.

The process for obtaining approval from the United States Army had three separate requirements. The first requirement was to gain Army sponsorship from a

Brigadier General or higher. My sponsor was Lieutenant General Luckey, Chief of the Army Reserve and Commanding General of the United States Army Reserve Command. The second requirement was to obtain an approval determination by the licensing authority which is the ARI. The third requirement was to obtain the approval from the Army Human Research Protection Office (R.O. Simmons, personal communication, June 7, 2018) once the Creighton IRB approved the study proposal. The AHRPO final approval allowed me to begin the research. I received the ARI License on September 17, 2019, the Creighton IRB approval on October 9, 2019, and the AHRPO approval on October 23, 2019 (See Appendix D). It was at this time I contacted OEMA and GOMO regarding the latest artifacts, developed the purposeful sample, and began to send invitations to the purposeful sample of general officers in order to conduct interviews (See Appendices G and H).

After conducting the interviews and collecting the data, the coding and analysis phase of the study took approximately four weeks. Once my dissertation chair reviewed my final codes and summary paragraphs describing the themes that emerged from the data, I received approval to begin drafting Chapter 4 of the DIP. I then received permission from my dissertation chair to begin drafting Chapter 5 and revise Chapters 1 through 3. I then began, with the approval of my dissertation chair, developing the presentation for the DIP defense. Once my committee chair indicated that my DIP was ready to defend, I established communication with the Army Public Affairs Office to coordinate a security and public affairs review prior to final submission to Creighton University. After the Army completed the security and public affairs review and my committee approved my final DIP revisions, the dissertation was complete.

Reflections of the Researcher

The topic for this DIP was personally important to me and professionally relevant to the Army Reserve. As a military officer, I have seen the institution change over a 30-year career in potentially detrimental ways associated with talent management and general officer selection and utilization. I am part of a culture that is driven by a set of strong foundational values for caring for each other yet also maintains a survival-of-the-fittest perspective. That perspective, which is culturally acceptable given the warrior ethos of the institution, may have overshadowed critical thinking about problems associated with the dual military and civilian career experience.

The ability of industry leaders to simultaneously serve as senior military officers may be diminishing. The *keepers of the profession* may or may not still view serving as both a general officer and a captain of industry as a strategic value to the nation. As I further explored the problem, and answered the RQ, I integrated reflections associated with data collected in the research, interdisciplinary leadership theories (Northouse, 2016), and the reflective practices and Jesuit pillars described in Lowney (2003) to inform the analysis and findings. The narrative approach to conducting this DIP enabled me to describe, and possibly reinforce, the importance to the Army of Army Reserve leaders successfully navigating dual military and civilian careers as general officers and captains of industry.

Summary

The methodology for this DIP was a narrative study that answered the following RQ. How do Army Reserve generals describe effectively navigating the progression of dual civilian and military careers? I used a purposeful sample of 15 Army Reserve

general officers to provide enough data to reach saturation in order to analyze, re-story their experiences, and answer the RQ. Artifacts were gathered from the GOMO and peer-reviewed sources to triangulate and add to the rich descriptions of the themes that emerge from coding and analysis of the interviewee responses.

The DIP was approved by the ARI, Creighton IRB, and AHRPO before any data was collected. The study took 10 months to complete from the initial DIP proposal defense to the final dissertation defense. The topic for this DIP was personally important to me and professionally relevant to the Army. Using the narrative method for conducting this DIP enabled me to, through the real-life stories of currently serving Army Reserve general officers, describe their experiences in order to answer the research questions and meet the aim of the study.

CHAPTER FOUR: FINDINGS

Introduction

This study examined the experiences of Army Reserve general officers as they attempt to manage dual careers as C-Suite equivalent executives for the United States Army and parallel professionals in their civilian lives. The purpose of this narrative Dissertation in Practice (DIP) was to explore the barriers and opportunities in the leadership pipeline associated with developing executive leaders capable of serving dual careers as general officers in the Army Reserve and captains of industry. Sustaining a dual military and civilian career has many factors that may inhibit or complement professional advancement and the development of skills necessary for an executive leader to be successful. Therefore, the overarching research question driving this DIP is:

RQ: How do Army Reserve generals describe effectively navigating the progression of dual civilian and military careers?

The aim of this DIP was to explore and describe, through the experiences of currently serving senior leaders, the complexity and commitment inherent in the various career pathways of the Army Reserve general officer experience. Additionally, by providing informed insights about the implications of current policies, procedures, expectations, and executive leadership competencies associated with dual military and civilian employment, currently serving and future general officers may find the information useful in navigating their careers. Finally, policymakers may consider whether a survival-of-the-fittest talent management system, when it comes to who can

and cannot navigate dual careers, is the approach yielding the best Army Reserve generals for the most senior strategic leadership positions.

This chapter is organized into four sections to describe the findings of the research. The first section describes the population and details about the sample and how it was developed. The second section describes the recruitment process, data collection, and trustworthiness of information collected in the research process. The third portion of the chapter describes the analysis process including how data was coded and the emergence of themes that reflect the overarching categories describing the experiences of the study participants. The chapter then transitions to descriptive themes that emerged from the data. The themes are reflective of the stories provided by the interview participants and the coded data characterizing their personal experiences managing dual military and civilian careers. The narrative explanations of the themes are supported by direct quotes from the study participants to illustrate their real-world experiences managing careers as general officers in the Army Reserve.

Presentation of the Findings

Population

The size of the Army Reserve general officer population fluctuates because of normal turnover in the force. The turnover is a result of officers who have come to the end of their career and are retiring, being moved to other development positions, or are reassigned to higher priority assignments as determined by the senior leaders of the Army. The vacancies are then filled by other generals within the currently serving flag officer population or by colonels who have been recommended by a general officer selection board and confirmed by the Senate for promotion to brigadier general.

The Army Reserve general officer population at the time the data was collected for this study consisted of 131 flag officers. Of the population currently serving in the Army Reserve, 68.9 percent are brigadier generals and 31.1 percent are major generals. Table 1 provides additional demographic data regarding race, gender, source of commission and years of service.

Table 1. Army Reserve General Officer Demographic Data

Army Reserve General Officer Demographics		
	Population	Sample
Rank		
Brigadier Generals	68.9%	60.0%
Major Generals	31.1%	40.0%
Gender		
Male	81.9%	86.7%
Female	18.1%	13.3%
Race		
White	85.7%	80.0%
Asian/Pacific Islands	3.8%	6.7%
Black	7.5%	6.7%
Hispanic	3.0%	6.7%
Source of Commission		
Reserve Officer Training Corps	69.2%	66.7%
United States Military Academy	15.4%	26.7%
Officer Candidate School	7.7%	6.7%
Direct Appointment	7.7%	0.0%
Average Years of Service		
Brigadier Generals	30.0	30.5
Major Generals	34.4	37.8
<p>* Totals may not sum to exactly 100 percent due to rounding errors. Population data as of January 2019 provided by the Army Reserve General Officer Management Office</p>		

Purposeful Sample

Data for this study was collected from a purposeful sample of the currently serving Army Reserve general officer population. The process for sample selection consisted of a review by the author of all general officer resumes within the population. The resumes were available through the General Officer Management Office (GOMO) website. The purpose for reviewing the resumes was to determine different attributes to consider when stratifying the population. The researcher identified attributes of officers that would likely yield rich descriptions of the various career experiences of Army Reserve general officers.

Useful attributes considered in the sample selection that emerged from the resume reviews and informed by discussions with the GOMO included rank, employment status, employment type, duty status, source of commission, gender, and race. The assumption in selecting a purposeful, diverse sample for the study was that more data could be collected from the interviews if the participant demographics were similar to the population. The one exception was to weight more heavily the experiences of strategic leaders who have managed to successfully lead dual military and civilian careers as generals and captains of industry. The assumption was that while diverse experiences were important, weighting the responses of study participants who have succeeded serving as generals who meet the study definition of a captain of industry would provide greater insights about managing dual careers. Data from generals who were not captains of industry was also relevant in order to understand their experiences as successful military executives. In this study, 60 percent of the sample fits the definition of a captain of industry compared to 12.4 percent for the entire population.

As the population was analyzed, names were identified of general officers who were current or former captains of industry, mid-level leaders in their civilian occupations, and those who were not employed in their civilian capacities. This potential list was reviewed and validated by the GOMO as to the accuracy and trustworthiness of the data and assessment criteria for selecting the purposeful sample. A list of generals was then recompiled, and a *1-n* interview roster was developed by the author with the goal of selecting 15-20 generals for interviews. The actual number of generals interviewed was driven by the data saturation levels (Creswell, 2014) as the interviews were completed and first cycle coding was assessed for additional insights. The names of generals included in the final purposeful sample were not shared with the GOMO in order to protect the anonymity of the study participants.

The purposeful sample used to conduct this DIP consisted of 15 Army Reserve generals. The percentage of brigadier and major generals fluctuates because of a consistent flow of officers retiring and being promoted to fill vacancies created by the departure of leaders concluding their careers or moving on to different assignments. Within the purposeful sample participating in this study, 60 percent of the respondents were brigadier generals and 40 percent were major generals. The gender, race, and source of commission of the purposeful sample were relatively similar to the demographic distribution of the currently serving population (See Table 1).

Although information regarding the specific industries in which the generals work and their employers was readily available in the data collection and interview process, specific details were not included in the results of the study in order to protect the anonymity of the sample. Generic descriptions about the size, location, and industry of

the organization the generals in purposeful sample work for were intentionally left vague when re-storying the themes and including quotes in the findings in order to protect the anonymity of the study participants.

Data Collection

In the population of Army Reserve general officers, 16 were invited to participate in the study. Of the sample selected for solicitation, 15 general officers were interviewed. One officer was invited to participate but did not schedule an interview. The interview invitations (See Appendix G) were sent by email to the US military email address of the recipients to ensure confidentiality. The solicitation and a copy of the sponsor authorization (See Appendices A, G and H) was included in the email to the respondents.

The invitations were sent to the individual generals to request an interview. However, all the solicitations were not sent simultaneously. The first invitations were sent to five generals on the 1-n list. The next group of five generals was not solicited until the first batch of interviews was complete. The purpose for this delay in solicitation was to ensure upon review of the initial codes that adjustments could be made if the data collected in the early interviews indicated saturation was being reached too quickly or if the questions were not adequate to produce the rich descriptions necessary to conduct the study.

Once the subjects confirmed their participation and scheduled an interview, the participants were provided the Informed Consent Letter in Appendix G prior to any data collection. Selection of the purposeful sample was based on an assumption that experiences of the generals across the brigadier and major general segments of the

population were proportionally distributed. However, during the data collection, saturation of data from the brigadier generals occurred sooner than expected and less rapidly from the major generals. This drove an adjustment to solicit one more major general and one less brigadier general than originally planned. There were no other adjustments required to the purposeful sample, and no changes to the interview guide were necessary.

Every general in the purposeful sample was offered the opportunity for an in-person or over-the-phone interview in order to accommodate their busy schedules and geographical dispersion across the nation. Although there was some interest in conducting in-person interviews, scheduling and proximity prevented exercising that option. All interviews were conducted via telephone.

The first interview was conducted on November 14, 2018, and the final interview concluded on January 16, 2019. All interviews were semi-structured using the guide in Appendix B. The generals were conversational throughout their responses. In most cases, as a question was asked, the answers often crossed over into answering other questions specified in the guide. Data was recorded by handwritten notes and the interview sessions lasted between 60 and 90 minutes.

As the interviews progressed, dialogue was conversational and answers to the questions were documented by handwritten notes then transcribed by the author afterward using Microsoft Word. In order to ensure the accuracy of the notes taken during the interviews, the dialogue would pause periodically in order to read back to the respondent what was written down and to ask for clarification of comments as necessary. Member checking (Creswell, 2018) also occurred sporadically after the interviews were

conducted. Several respondents made post-interview contact either by phone, in person, and via email to provide greater clarity or expand on their comments after having time to reflect on what was discussed in the interview.

Finally, in order to verify accuracy and context of responses, wherever there is a quote, or the potential for inclusion of a quotation in the DIP from a participant in the study, a follow-up encrypted email was sent to the respective general to ensure what was transcribed and interpreted was consistent with the intended responses of the study participants. There were instances where the generals responded with modified words or clarifying content to ensure the quotes accurately reflected what they wanted to say.

Analysis and Synthesis of Findings

Coding

The process to develop codes followed the techniques described in Saldana (2016). First cycle codes were determined by reading the transcripts and developing short phrases to interpret and capture the essence of what was said by the generals during their interviews. The codes from the different transcripts were recorded in a Microsoft Excel spreadsheet so they could be analyzed and moved around in a manual mapping process to find where codes were common to the different generals' responses and also to stratify the unique and disparate ideas and experiences that came out of the interviews. The mapping consisted of labeling the codes within a Microsoft Excel spreadsheet so each code could be tracked back to the comments of the respective study participant.

In order to analyze the data collected from the interviews, the codes were developed to represent words or phrases that could be used to summarize and interpret the salient points made by the respondents (Saldana, 2016). Manual coding was

administered by using Microsoft Excel to record the codes from the transcripts and organize them in the analysis process. In order to protect the anonymity of the participants in the study, the data from the transcripts were labeled with pseudonyms. The process yielded 250 first cycle codes (Saldana, 2016).

The first cycle codes were sorted manually in Microsoft Excel to gain additional insights based on similar and dissimilar relationships. They were resorted to bin like-type concepts and separate groupings that reflected different thoughts of the respondents. The codes were then grouped and sorted by clusters to determine how various codes and groupings related to each other. Once those clusters were organized, another review of the first cycle codes was conducted to verify they were still valid within the code clusters. Once the clusters of codes were resorted and the codes within the groupings were finalized, the data was ready for the next round of review and transition to second cycle coding.

Axial coding was the second cycle method chosen and yielded 32 codes. Axial coding was the appropriate method selected in order to assess the linkages between the first cycle codes (Saldana, 2016) and to use as the basis for developing the study themes. By reviewing the clusters of codes in isolation and in relationship to each other, the dominant and less important attributes of the data emerged. From the first 250 codes and batching code clusters, 32 axial codes emerged and enabled the analysis to transition to more focused concepts describing the responses of the 15 generals interviewed for the study. It was during this phase and rechecking the data that codes emerged that did not appear to fit and were therefore removed and archived. The archived codes were valuable but not within the scope of the research. It was during the second cycle coding

process that 11 of the 250 first cycle codes were determined not useful because the data collected appeared to represent discussion points by the study participants that were outside the scope of this research project. The remaining 239 first cycle codes and 32 axial codes served as the basis for developing the descriptive themes that emerged from the data.

After developing descriptive themes from the data and consulting with the Committee Chair, the themes still did not appear to reveal the depth of rich insights that were expected from the first and second coding cycles. At the advice of the Committee Chair, the codes were reassessed manually by taking the master spreadsheet of all the first cycle codes and printing them. The printed copies of codes were then cut into strips of paper and spread out on a large table. Each code was reviewed and sorted manually to identify their relationships and organize them into code clusters. The codes were reviewed and resorted several times to visualize the connections between the individual codes, clusters, and batched cluster-groups.

The iterative rework of the first cycle coding yielded additional insights about the connections and disparities of the various codes that were not apparent in the initial attempts at coding. Three of the codes that were unusable in the first round ended up being included in the final version of first cycle codes. Seven of the codes that appeared valuable in the first iteration, no longer fit the data to be used for the study. The final result of the multiple iterations of manual coding and sorting exercises yielded 250 first cycle codes of which 235 were used in the final data table. There were also 37 second cycle codes and five rich themes that emerged. The additional iterations of first and second cycle coding yielded more well-developed themes for analysis.

Pseudonyms

In order to protect the anonymity of the study participants, pseudonyms are used when describing specific examples, stories, quotations, or citations of comments made by study participants. Table 2 lists the pseudonyms that correspond to the associated source.

Table 2. List of pseudonyms and interview dates.

Pseudonyms	Date of Personal Communication
Hunter Liggett	November 14, 2018
Parks	November 20, 2018
McCoy	November 21, 2018
Dix	November 26, 2018
Bragg	November 28, 2018
Knox	December 5, 2018
Sheridan	December 7, 2018
Devens	December 7, 2018
Snelling	December 10, 2018
Buchanan	December 17, 2018
Jackson	December 22, 2018
Campbell	December 22, 2018
Leavenworth	December 28, 2018
Meade	January 3, 2019
Carson	January 16, 2019

When referencing participants in the study, the citation will refer to the source as General and the applicable pseudonym name. The pseudonyms used are not the names of any living person. They are names of military posts used by the United States Army. It should be noted that, although the participants do not have any direct relationship with the pseudonyms, they are likely familiar with the respective military posts due to the variety of experiences that could have brought them to these locations throughout their military careers. Finally, the researcher maintained a separate table that mapped the pseudonyms to the original source to ensure the accuracy, auditability, and trustworthiness of the data throughout the collection and analysis process. That table is

not included in this document in order to protect the anonymity of the subjects and was destroyed along with the raw data upon conclusion of the DIP.

Themes

The final step in analyzing the data was the emergence of the themes from the axial codes. The axial codes provided focused vectors from the data and resulted in five overarching themes that characterized the salient points from the interviews with the study participants. The themes the data described were the *pathways to becoming a general officer, risks of pursuing dual military and civilian careers, managing the journey, skills of the successful executive*, and concluded with *structural and cultural imbalances*.

Pathways to becoming an Army Reserve general. The pathways to serving as a general officer in the Army Reserve are diverse. Generals are “C-Suite” equivalent military leaders but they do not begin their careers that way. From the different sources of commission to civilian career choices, the opportunities for career development and advancement are diverse and at times divergent. The different experiences in terms of periods of active duty, civilian occupation choice, and leveraging one career to benefit the other have influenced the pathways by which the generals served at various times throughout their careers in single and dual occupational capacities. In some cases, the skills and experiences have been transferable and complementary. In other examples the dual career opportunities were more divergent. In every instance there are variable and relative levels of stability within the pathways the generals have travelled to balance career opportunities and life-choices that began, on average, over 30 years ago when the officers were commissioned as second lieutenants.

As the demographics in Table 1 indicate, the Army has several sources for producing officers. Although they have different start points, there is one thing they all have in common. Once they were commissioned, they were the most junior and inexperienced officers in the Army as they began serving as second lieutenants. The other commonality among the population of Army Reserve general officers is once they became a second lieutenant, their pathways were similar in terms of meeting the promotion and career development gates of the military necessary to ascend through the ranks and developmental leadership experiences and eventually becoming a general. Their career pathways were very dissimilar in the levels of responsibility they achieved in their civilian employment experiences. To demonstrate the different start points that began the journeys of the sample study participants, the following examples highlight how the varied sources of officers all successfully yielded generals ascending to the highest levels of leadership in their respective industries.

The path of General Bragg provided insights to a successful journey of the dual career leader as an Army general officer and captain of industry. Currently, General Bragg has 33 years of military service and is the CEO of a company with 45 to 50 employees. The path for General Bragg began upon commissioning through the United States Military Academy (USMA). After spending time on active duty, General Bragg became an entrepreneur, attended graduate school and joined the Army Reserve. The journey General Bragg described launching his dual careers was more of initial discovery than a planned pathway.

My pathway was accidental. I left active duty to join my father's startup company in the biotechnology world. After selling this organization I went

on to earn my MBA, spent time in the global consulting environment, corporate venture capital and eventually returned as a small business owner/entrepreneur and CEO. The Army has been a foundation throughout my concurrent civilian career and a tremendous leadership lab (General Bragg, personal communication, November 28, 2018).

Over a period of 33 years of service, General Bragg honed interdisciplinary leadership skills between the Army and a successful civilian career. Culturally, General Bragg described the entrepreneurial skills as counter to norms within the military pathway. However, applying the failing fast perspective that is used daily by private sector entrepreneurs, General Bragg leveraged entrepreneurial approaches successfully within the leadership lab of the Army. Although General Bragg described the Army as not entrepreneurial or an organization capable of failing fast, the USMA and leadership experiences throughout the dual careers provided complementary development of the skills and ethos necessary to survive and thrive as an executive in the military and private sector.

The pathway for General Devens included receiving a commission through the Officer Candidate School (OCS) and sustaining a military career that has so far spanned well over 30 years. In General Devens' experience, the pathway to general officer was one where "skill sets were complementary. I had a lot of responsibility as a young officer. The diverse experiences actually helped both careers" (General Devens, personal communication, December 7, 2018). In General Devens' civilian career, progression within the company required moving to many different parts of the world. After starting a military career through OCS, General Devens spent 30 years with the same civilian

company. The leadership pathway through OCS was the first step in the flexible developmental opportunities that were complementary military and private sector experiences.

The example General Jackson described was reflective of over 35 years of service in the Army, serving for 29 years in the same company and eventually ascending to an executive position in a large private sector corporation. Commissioned through ROTC, General Jackson initially spent time on active duty and then left to pursue a career in the private sector. A circuitous route in the civilian sector eventually resulted in becoming a C-Suite private sector executive. After leaving active duty, General Jackson had several different jobs before being hired by a major US corporation, going to night school, and moving around with the company over a 29-year civilian career. As an executive, General Jackson shared personal reflections and observations about the varied experiences and pathways to becoming a general officer. The “transition to general officer is a tough one. As a Troop Program Unit Soldier, you build as you go to balance both careers. As an AGR transitioning, the interview can be tough to explain that time commitment” (General Jackson, personal communication, December 22, 2018).

The descriptions by Generals Bragg, Devens, and Jackson reflected they did not start their careers with the goal to become a general. They wanted to serve the nation and have successful military experiences. The first cycle and axial codes reflected no grand career plan but did demonstrate strong motivations to lead in both the private sector and the military. In some cases, data revealed the dual career pathways were convergent. In others they were more divergent. In all cases, the result was the same in that they eventually ascended to executive leadership positions.

The pathway norm regardless of commissioning source usually began with an active duty experience and transitioned to a Troop Program Unit (TPU) career. Roughly 20 percent of the sample included in their pathway to general officer serving as an Active Guard Reserve (AGR) officer. For the other 80 percent of the generals, private sector opportunities had to be balanced throughout most of their career while sustaining their military commitments. Whether becoming a general officer began with the USMA, OCS, or ROTC, the data demonstrated all sources were viable vectors for entering the Army and offering opportunities for further leadership, education and career development experiences that would shape how they would eventually ascend to the general officer ranks and sustain meaningful civilian careers.

Risks of dual military and civilian careers. The risks to serving dual careers as a leader in industry and a general in the Army Reserve are very real and often overlooked by the institutions and organizations the general officers serve. Participants in the study described experiences of general officers in the Army Reserve navigating additional risks that other military leaders and private sector executives may not comprehend. Triangulation across multiple respondents provided common descriptions of risks in the context of employers, families, financial, personal health, and what the Army as an institution assumes in order to allow a system to exist with the intent of sustaining dual careers in senior military and civilian leadership roles.

Challenges described by several of the generals reflect the divergent interests of civilian and military careers. The stakeholders in each career are primarily interested in how they deliver the results for missions of their respective organizations. Although they acknowledge the struggles and conflicts of dual career commitments, leaders at echelon

often have limited empathy for the challenges to soldiers interested in serving in both military and civilian capacities. The generals in the sample described the risk appearing primarily across *employer, family, Army, leader health, and financial* domains.

Employer risk. The risk to employer stability and advancement can be overt or covert. Although legally, military service is protected by the Uniformed Services Employment and Reemployment Rights Act (USERRA) of 1994, respondents acknowledged and described the challenges to any employer in their legal and moral responsibility to their shareholders and workforce. The study participants described the risk to employers because companies have a responsibility to their employees who must pick up the workload slack when the Reserve soldier is gone performing military duty. The civilian employer's workforce can be adversely affected by, even though they are not part of, the decision of someone choosing to serve dual military and civilian careers.

As a general officer, the time commitment for military duty has greatly increased, as has the risk to employers and the reaction by their peers to the extensive military service being conducted by their employees. As General Snelling explained the result of performing so much military duty when returning from the last deployment, "They stripped me of my team and the scope of my responsibilities narrowed. I returned from my deployment to no supervisory responsibilities" (General Snelling, personal communication, December 10, 2018). The career of General Snelling has spanned 35 years of military service and 20 years employed with a major US based corporation. After rising to the position of Assistant Vice President, the civilian leadership role diminished over time as deployments continued and the position title in the civilian company was all that existed after the last deployment. In order to continue serving the

military, General Snelling retired from the corporation in good standing, but the organization was also ready for them to part ways. Even though the company was outwardly supportive, “the military duty had become a risky investment for my employer” (General Snelling, personal communication, December 10, 2018).

Family risk. Triangulated responses emerge describing managing dual careers and the challenges faced by families of the generals and their soldiers that are different than someone who serves solely in the military or the civilian sector. Time is finite and maintaining a full-time job requires trade-offs and sacrifices between the generals’ military duties, employers, families, and any other outside hobbies and community contributions. “The bill payers in this has been my family. I can’t give what is required to both. My wife and family understand and are supportive of the sacrifice the entire family makes” (General Parks, personal communication, November 20, 2018).

The ability to serve in the military is a family commitment, and doing so as a dual career leader greatly affects the entire family of the service member. When dual career leaders depart their civilian jobs, instead of going to school and community activities with their families, they are more often than not working on military duties that are taking the rest of any discretionary time. In contrast, single career leaders would have the time available to take part in such activities outside of the workplace.

Risk to the Army. The dual careers of Army Reserve general officers are in competition for time and experiential development, not personal commitment or values. Although employers have USERRA to use as a guideline, the Army does not have similar legal boundaries when asking for time commitments from soldiers or putting additional demands on their senior leaders to serve. The problem described by the respondents is an

insatiable appetite for time by the military that ends up crowding out their primary source of income and the ability to serve their families and communities.

There is triangulated acknowledgement by the study participants of the global threat environment (United States, 2017; United States 2018) driving military leaders, including those in the Army Reserve, to remain highly committed to the military mission of the organization and willingly sacrifice their time with their families and employers in order to serve the nation. The reality of the intertwined commitment to family and the nation creates an imbalance and paradox associated with the additional risks to the dual career leader, their family, employer, and the Army. The condition creates higher risks when “Army leaders are sympathetic to military commitments but less understanding or cognizant of required civilian professional development. We need to be more flexible in supporting both” (General Dix, personal communication, November 26, 2018). The risk of the increasing levels of service to the Army is similar to what a civilian employer experiences. When the employee is committed to performing their civilian job, the Army can suffer. If the dual career leader is more committed to performing their military job, the civilian company and family suffer.

The triangulated perception of the respondents is that there is more overt acceptance from employers of military commitments. However, there appears to be only superficial acknowledgement from military leaders demonstrating flexibility with enabling their civilian career responsibilities. The risk to the Army, according to several respondents, is in retention where soldiers *vote with their feet* by leaving the Army Reserve because the time competition is untenable. If the Army cannot be more accommodating of civilian employment conflicts, the generals in the sample are

concerned about the long-term impact on the retention and experiential development of the talent pipeline.

The leaders in the sample are often hesitant to complain about the tension of military and civilian time commitments because they truly understand the facts about the global threat environment and are highly dedicated and committed to service to the nation and the Army. However, their hope is that there is more acknowledgement by senior leaders that could lead to figuring out how to better promote dual military and meaningful civilian careers. If the generals cannot successfully pattern dual military and civilian careers, which in their view is supposed to be the nature of their service, it sends the wrong message to the 200,000 soldiers who comprise the Army Reserve.

It takes long hours working at night, the early morning and finding just minutes in a busy day to stay connected and provide critical and timely input to both organizations. Many peers are retired in order to serve as a Reserve General Officer and I believe personally that is the wrong approach. How can we ask our most senior Army Reserve leaders to best represent and support our Warrior Citizens if we do not live the same model?" (General Bragg, personal communication, November 28, 2018)

In the case of General McCoy,

I underestimated the challenges maintaining my civilian job. You have to learn to say no and delegate to others when possible. We need to lead by example the way the model was designed. That is why I do not do as much ADOS and stay committed to my job. (General McCoy, personal communication, November 21, 2018)

Part of the paradox in the triangulated responses is the acknowledgement of the capability risks if the generals do not perform more military duty throughout their careers and reflected in the view that “we have major weaknesses in generals who do not have a global or joint view” (General Carson, personal communication, January 16, 2019) that comes from the experiential learning serving more military duty even at the risk to their employers and families.

Leader health risks. The United States Army is an organization where personal health is a condition of employment. Given the demands of the private sector and leading military organizations whose role is to prepare Army Reserve soldiers to survive, thrive, and win in combat, leaders have challenges taking care of their own health, serving as examples of physically fit leaders, and sustaining energy to lead and make effective decisions. General Sheridan, having served a military career of over 35 years and 30 years with a major corporation, described challenges with executive health leading dual military and civilian careers.

I am not sure it is a healthy lifestyle to have two demanding dual-careers. If we are truthful with ourselves, most people cannot perform both for a sustained period of time, especially once you move up into the upper leadership requirements and time demands of both your civilian and military career paths. Something gives with regards to the family, health, or organization you serve. I retired from my civilian career and found better balance to my life working in the family business with more flexibility and at one point began 179 day non-continuous ADOS tours, which brought about a perfect balance in life that I needed to live healthier and provide for my family, while executing my

responsibilities as a senior leader for the Army Reserve. (General Sheridan, personal communication, December 7, 2018).

Financial Risk. The financial aspects of service are culturally difficult conversations for many military leaders. The conversation is difficult because selfless service is a cultural value in the Army and leaders are hesitant to complain about financial challenges when it is about themselves. Also, by the time someone becomes a senior leader in the military, they have likely, financially and culturally, figured out a way to make ends meet and scale their costs to continue their service. The financial conflict is not well understood institutionally as the compensation risks are variable and relative to different stakeholders.

There are triangulated (Creswell, 2014) responses from the sample concluding that serving as a general in the Army Reserve is not a financially responsible proposition. Although that can also be said of Regular Army officers, the scale of the risk is much different for the Army Reserve. Almost every general interviewed provided examples of the financial cost of serving as an Army Reserve general from a variety of perspectives. General Hunter Liggett has served for over 30 years as a military leader. Due to the industry in which General Hunter Liggett is employed, and despite serving as a senior executive in a large corporation, the compensation structure of the business the general is in resulted in a loss of two thirds of lifetime personal earnings that is directly a result of serving in the Army Reserve.

General Buchanan, an officer with 30 years of military service, experienced a monthly income drop of four to five thousand dollars in order to serve as general officer. General McCoy, an officer with 28 years of military service, consistently pays out-of-

pocket expenses to travel across the country to lead Army Reserve organizations. The goal in General McCoy's case is to break even or at least minimize the financial loss with any compensation that is received for performing military duties. The struggle is reflected in a story told by General Campbell.

I left between \$2.1 to 2.7 million in extra earnings over the last 4 to 5-year period above what I have made in the military. I chose to do that for two reasons: 1. To serve the country at this honorable level and give back, and 2. because I had previously saved enough to retire then or now without an issue. If serving in the military was strictly monetary and I worried about the money, I would have left a long time ago. Having said that, the cost of serving is still very real, personal, and costly for many Army Reserve soldiers. (General Campbell, personal communication, December 22, 2018).

Finally, the officers who transition from the AGR force to a Troop Program Unit (TPU) or Individual Mobilization Augmentee (IMA) duty status in order to become general officers face different financial challenges. Unlike the TPU and IMA leaders who have been building a civilian career and managing their dual responsibilities for decades, the AGR officers who leave active duty to become a TPU or IMA general begin new civilian careers at the same time they are making the transition to the general officer ranks. Additionally, the AGR officers, although eligible to receive an active federal service retirement if they have already completed 20 years of active service, forgo receiving any retirement benefits upon promotion to general officer until they complete their military service.

In contrast with TPU or IMA generals who may be eligible for retirement if they

have reached the stage in their civilian careers where they are eligible to retire and elect to do so in order to serve as flag officers in the Army Reserve, the AGR officers are barred from a similar financial safety net. Even though they are eligible to retire, the former AGR officers voluntarily forgo over \$90,000 per year in retirement pay (Department of Defense, n.d.) in order to serve as a TPU or IMA general. They forgo their retirement while they are trying to start a new career and transition to TPU or IMA service as a general officer. It is a difficult problem AGR officers face because it puts them in a tough position in interviews with prospective employers (General Jackson, personal communication, December 22, 2018).

The financial aspects of serving as a general are difficult. Each general has a unique situation and every respondent in this study faces financial risks to serving as a dual military and civilian executive leader. However, the generals also know their soldiers are doing the same thing and are compensated even less than they are in both their military and civilian careers. Their concerns about financial risks are about the impacts on talent currently leaving the leadership pipeline early and how long future leaders will be willing to assume the risk before untenable implications surface with employers, families, the Army, senior leader health, and financial hardships. Their triangulated responses indicate the cracks are already appearing in the force.

Managing the journey. Given the risks to serving a dual career as a general officer, the question of how Army Reserve generals manage their success and why they do it provides insights into the high character, competence, and commitment required to serve as a C-suite executive and an Army Reserve general officer. The variable journeys the generals in the sample took provided insights regarding the institutional mechanisms

and support systems that enable or exacerbate the challenges to the leaders serving as dual career executives. The mechanisms in place require leaders to make trade-offs and sacrifices in their careers in order to serve, but they do so willingly because of the professional and personal values they espouse.

The generals acknowledged giving up a lot that leaders with single military or civilian careers do not. Their personal journeys also reflect tremendously grateful service. They acknowledge the personal band-width challenges and the necessity of self-awareness and optimizing their time. In order to manage the finite time and band-width necessary to maintain dual careers, there are three common attributes the sample generals provided that are critical to serving in the Army Reserve and maintaining successful civilian careers. First is *expectation management*. Second is the *acceptance of what is not going to get done*. Third, Army Reserve generals have to make those trade-off decisions to take risk without compromising their *values or commitments* to their families, employers, or the Army. It comes down to staying true to the values that inspire them to serve.

Expectation management. A common attribute among the sample responses is the desire for balance and predictability. There is triangulated consensus that with greater transparency and predictability, the journey as an Army Reserve general could be much easier. The lack of transparency and predictability in military requirements and general officer placement decisions make it difficult to manage the expectations of the stakeholders who need the senior leaders' time.

The study participants acknowledge there will always be scheduling conflicts but the current appetite for Army Reserve generals' time indicates a system that does not

appreciate the physics of balancing military and civilian commitments and the actions of senior leaders that are necessary as they try to keep their teams afloat. Although official institutional policy states the contrary, the cultural expectation that has evolved is to assume more risk and sacrifice in the civilian career before saying no to the Army. This cultural attribute at echelon exacerbates the lack of predictability and creates instability in expectations for meeting military and civilian commitments. General Dix, a 30-year veteran and small business owner described the challenge.

You have to be realistic about what you are not going to do. There is a lot to give up. Hobbies and other interests are going to conflict with military duties. Self-awareness is essential for success; knowing what's truly important to you so you protect the most meaningful activities and let the others go (General Dix, personal communication, November 26, 2018).

When things don't get done. In order to manage the journey as a dual military and civilian executive, time and band-width limitations require generals to face the reality that no matter how much effort is put into both careers, something will usually fall through the cracks. Acceptance of that fact is countercultural as it can appear that they are accepting defeat which runs against the *Army Values* and the *Soldiers Creed* (United States Army, n.d.). The challenge of the executive leader is to prioritize activity to ensure the things that slip have the least downside impact. In that context, General Snelling accepted risk in both military and civilian careers in order to stay relevant in both executive development paths. The conclusion General Snelling came to was that “Sometimes you have to accept to take the hit in either your military or civilian capacity” (personal communication, December 10, 2018). As dual career executives, their

performance and credibility have a direct impact on the ability to lead and shape the strategic future of their respective organizations. As General Carson, a general officer and an executive in the private sector, described the expectation risk, “My number one fear about balancing both military and civilian careers is protecting my professional reputation” (General Carson, personal communication, January 16, 2019).

Army values. A triangulated response from the sample respondents described the challenges of serving dual careers as the conflicts among finite time, personal cost, and the fact they are highly committed to service to the nation, their soldiers, families, employers, and each other. The generals in the sample feel they are working toward a common good that is much bigger than themselves. General Parks is a general with 27 years of military service and is a senior officer in a private sector company. General Parks described the reason for staying with the Army Reserve is about “Serving a higher calling in order to be willing to underwrite the risk. It is a choice you have to make to work; having faith with God, your rater, and your spouse” (General Parks, personal communication, November 20, 2018).

Regardless of the hardships, the generals lead dual careers and overcome the barriers to do so because of a high commitment to serve the nation, the Army, their soldiers, and to live the *Army Values* on and off duty. They have found a life’s purpose, accept the sacrifices necessary to make the journey, and lead through the risks for accepting the privilege to serve. They rely on their values and the executive skills they have developed along the way to deliver results that are required of them as general officers and leaders in their civilian capacities.

Skills of the successful executive. The executive skills theme is important because the general officer population is different than the rest of the force. They are older, have the most experience, and shoulder the responsibility as *keepers of the Army Values, ethos, and the institution*. Their executive experiences and skills became apparent when the participants described the attributes they have to demonstrate, as general officers, making the transition to the C-suite. They also discussed the shortfalls in leaders who do not effectively make the transition at the strategic level. The respondents differentiated leadership from management skills necessary to serve as a general officer and an executive in their civilian capacity. Army doctrine (Headquarters Department of the Army, 2012) and normative leadership theories were present in the data collected during the interviews as attributes enabling the Army Reserve generals to successfully serve as dual career executives.

The sample not only described Army doctrinal attributes but also their personal values and elements of servant and transformational leadership (Northouse, 2016). Respondents described attributes such as intellectual agility, problem solving, and judgement as critical to serving as a general and C-Suite executive. What makes them able to lead through uncertainty is their ability to develop executive skills, rapidly learn, exercise judgement, hold a strategic view, demonstrate transformational and servant leadership, and exercise accountability.

Having served for 30 years in the military and as a small business owner, General Dix described commonalities of the successful executive and an effective general. “Judgement and problem solving are the most common attributes I find necessary for success in both my civilian and military careers” (General Dix, personal communication,

November 26, 2018). As an executive leader of a small business or the commander of a military organization, the risk associated with making decisions rests with the leaders and that is a common responsibility of the chief executive and the general officers.

Another example of executive traits common to the general officer and the CEO has to do with cognitive skills, creativity, and accountability.

CEO and general officer include being comfortable leading in multiple rapidly changing environments. In the entrepreneurial world, creativity is important.

Lack of mental acuity and employees who cannot be creative is a real problem.

Employees have to be plugged in cognitively (General Bragg, personal communication, November 28, 2018).

A critical attribute General Carson described of the executive is “Command presence and calm, sound, reasoned leadership ripples across the organization” (General Carson, personal communication, January 16, 2018). An executive, whether leading in the private sector C-Suite or as a general officer in the Army Reserve, understands their organizations respond to how effectively leaders demonstrate presence, embrace change, solve problems, and deliver performance supporting the mission. “Strategic big picture thinking is essential. You have a lot of influence but may not last long if you cannot manage it” (General Leavenworth, personal communication, December 28, 2018).

Learning and the ability to rapidly understand the strategic environment are attributes that inform sound judgement, reassure stakeholders through presence and calm leadership, and enable organizations to thrive. They are the same skill sets the successful Army Reserve general officers rely on to lead in the military, their civilian jobs, and manage the friction associated with dual careers. They embrace the chaos and lead

instead of being beaten down by it. As an executive leader “You may have to change as a general. It’s not transactional. It is transformational to build trust. Speed of trust relationships are super important” (General Knox, personal communication, December 5, 2018).

In summary, the executive skills necessary to succeed are not just management or leadership. Executive skills are a function of both but more heavily weighted toward leadership. The triangulated responses demonstrate the successful dual career leader attributes of transformational and servant leadership, intellectual agility, problem solving, judgement, strategic view, accountability, and calm and reasoned presence.

Structural and cultural imbalances. The talent management environment puts extreme pressure on dual military service and civilian careers. The triangulated responses of study participants indicate the talent management system for Army Reserve general officers is *structurally* and *culturally* out of balance. The imbalances are perpetuated by increased global threat trends (United States, 2017; United States, 2018) and masked by high-quality officers being promoted to serve as generals at significant personal risk. Demands for more active duty time have had a circular conditioning influence on the imbalances. Army Reserve generals are asked to do more active duty time in order to respond to requirements by the Regular Army and within their own organizations. Operational readiness and training requirements have increased within command structures and could be, in some cases, self-perpetuating. It appears there is some degree of circular demand where requirements in one area drive up a necessity in the other.

The imbalance problem is also masked by the definition of quality officers in an

evolving commercial and national defense environment where it appears selection is analog: based on more of an industrial age system where talent management is reactive, inflexible, and focused on replacement planning. Instead, in order to keep pace with an accelerating digital world, the talent management model would be more effective enabling dual military and civilian career development where strategic leadership and upgrading skills and experiences provide the competitive advantage.

Structural imbalance. While high-quality officers continue to be selected to serve as generals, this same population acknowledges the current system does not work well. The purposeful sample of general officers has a higher percentage of captains of industry than the population in order to more heavily weight the responses of leaders who have managed dual military and civilian careers. This group of leaders indicated in their responses that the system has become too imbalanced. The right number of generals are being promoted but the talent pipeline shows wear and tear. For those would-be captains of industry in the sample who are generals, they are competing and succeeding in the private sector to a lesser degree because their military service has squeezed out their ability to do so. The Army, at times, is not an agile organization and would likely benefit from more pressure on their leaders to maintain civilian jobs rather than sacrifice them to perform more military duty.

There is real tension with dual careers because the military needs Army Reserve generals with the skills to be effective senior Army officers and they do not get that experience as well serving in a non-deployed or primarily part-time status. General Meade, a general with over 30 years in Troop Program Units, and an experienced private sector executive provided an example of the dynamic tension. “I learned more about the

Army in 1 year as a general on active duty than I did in the 10 previous years as a TPU general” (General Meade, personal communication, January 3, 2019). At the same time, performing military duty has real, private sector consequences. As General Meade’s personal experience reflected, “The military destroyed my relationship with my company. I spent 4 years on ADOS before returning to the C-Suite” (General Meade, personal communication, January 3, 2019).

The triangulated response among the study participants was that it is getting harder to have a dual civilian and military career and there appear to be no checks and balances in place to ensure a talent pipeline of leaders can effectively serve in a dual military and civilian status. General Devens’ comments are consistent with several dual career executives participating in this study that service has reached the point where “You can be good in your Army or civilian career but not normally both” (General Devens, personal communication, December 7, 2018).

The GOMO confirmed the high level of ADOS being performed across the entire Army Reserve general officer corps. General Sheridan (personal communication, December 7, 2018) described how operationalizing the Army Reserve may be contributing to the Army Reserve drifting away from a cultural value of serving as *Warrior-Citizens*. The ADOS appears to not only be structurally designed into the system, it could also be driven by the perceived demand signal and cultural expectations of an operational force at multiple echelons.

Another structural imbalance challenge is the time associated with experiential learning necessary for strategic leader development. General Carson (personal communication, January 16, 2019), General McCoy (personal communication, November

21, 2018), and General Meade (personal communication, January 3, 2019) described the lack of strategic leader development opportunities in the TPU and IMA force compared to the AGR population due to competing military and civilian time commitments. There is a shortfall of deliberate talent management throughout the leadership pipeline to identify the experiential learning opportunities necessary that enable TPU and IMA officers to develop strategic leader staff skills. There is also a shortfall developing AGR officers with the requisite command experiences prior to becoming a general officers to enable them to serve in strategic leader positions.

Cultural imbalance. Several generals in the sample population described changes in culture in the Army since the end of the Cold War in terms of pre-1992 and post 911 periods. They contrasted the changes over time of the current expectations from the Army, the general officer population, and the support systems enabling them to serve and manage dual careers. The culture shifts affected how the current generals prioritized their military and civilian career commitments and were developed as strategic leaders. The strategic question for developing the talent pipeline of future generals is to consider whether it is acceptable or sustainable to have senior leaders serve as models to their subordinates when they no longer represent the nature or the strength of the Reserve Component of the Army. The overwhelming responses of the study participants reflect this concern as they continue to sacrifice much of their civilian employment opportunities for military commitments.

The culture of service will likely continue a divergent path because the pressure to meet military requirements is greater than embracing the values of dual career leadership as generals and competitive private sector executives. More generals are choosing to

retire from their civilian jobs, risk career advancement in the private sector, remain unemployed or underemployed, and spend more time on ADOS in order to sustain their military commitments. General Knox described an emerging problem in “the clash of culture between those leaders who have traditional civilian jobs and those who only commit to the military” (Personal communication, December 5, 2018).

There are some careers and stages in life that may support more agility to manage dual careers. However, the dual executive career has become the exception not the norm in the Army Reserve. “Our leaders are different today than even five years ago transitioning from a strategic to an operational reserve. The current system is distorting the message and communication can get hijacked” (General Leavenworth, personal communication, December 28, 2018). If we want to promote a talent pipeline that embraces the nature of who we are, we have to find ways to operationalize reconciling the tension between the vision of “creating the most capable, combat-ready and lethal Army Reserve in the history of the nation” (United States Army Reserve, n.d., p. 1) and staying “ready enough to be relevant but not so ready that it negatively affects their ability to maintain, good, rewarding civilian employment” (United States Army Reserve, n.d., p. 14). The commitment is there to do so. Most leaders just do not see a pathway that is sustainable.

The current cultural climate is such that leaders eventually have to choose whether their military or civilian career is the priority. The choices of the generals are often reflected in the increased levels of ADOS and leaders choosing to retire from their civilian jobs in order to continue serving in the Army Reserve. As the generals increase their ADOS, it appears to drive more active duty requirements down echelon. General

McCoy (personal communication, November 21, 2018) described how military requirements have evolved to the point where executing ADOS is a standard expectation in a system that was not designed or intended to be utilized in that way. Although there are valid ADOS requirements for senior leaders, too much ADOS enables generals to become their own action officers and not delegate or hold their staffs and subordinate commands as accountable for performance or dual career readiness. The self-perceived employability (Voss et al., 2011) in their military setting may increase their personal career satisfaction from a military perspective with the additional ADOS while at the same time decreasing their satisfaction and commitment in delivering high expected outcomes with their civilian employers.

Over time, operational readiness demands may have increased to generate greater demand for active duty time required of Army Reserve generals. The increased demand has become embedded as a cultural component accepting as fact that more active duty requirements are a necessity to cope with the mission and the ability to balance their careers. In some cases, Army Reserve generals have retired from their civilian professions in order to serve quasi full-time on active duty. The increased availability of underemployed, unemployed, and retired generals has put additional pressure throughout the system for more active duty service down echelon and transitioned to an expansive social and cultural definition of commitment (Clugston, et al., 2000; Hatch & Schultz, 2002). That commitment appears to now be characterized by a perceived necessity to perform more active duty service.

As Generals Bragg (personal communication November 28, 2018) and Jackson (personal communication December 22, 2018) described, although the commitment by

the generals performing active service is out of a sense of duty to ensure the success of the force, the actions of these dedicated officers could actually be hurting the institution. Pressure from unemployed, underemployed, and retired generals has forced employed generals to make adjustments with their civilian commitments. The employed generals often feel pressure to make decisions to become unemployed or underemployed even if it means they no longer represent the dual career warriors they are attempting to develop and lead. As keepers of the institution, control measures should be included in talent management practices to promote the dual career readiness culture and development of the civil-military professional. Requiring generals to maintain civilian jobs would reinforce the difference between what are truly legitimate active duty requirements and assuming more risk in non-mission critical military commitments that are impeding sustainment of high-quality civilian employment.

Although the data reflect Army Reserve generals are highly committed to the nation, the structural and cultural imbalances for sustaining dual military and civilian executive service are real. Dual career service has become more of a binary choice forcing leaders to eventually choose between military and civilian careers. The dual military and civilian executive officers provide top-tier leadership and capacity as citizens who are also leaders in their communities and connected to the social and economic pulse of the nation. However, the value of that dual military and civilian leadership is being less structurally and culturally appreciated as essential to national security.

Summary

The findings of this study demonstrate overwhelming support from the participants to share their stories as dual military and civilian executive leaders. Their stories reflect a tremendous commitment to the nation, Army Values, the mission of the Army, and the warrior-citizen ethos of the Army Reserve. The findings also reflect the commitment respondents have to sustaining dual military and civilian careers and serving as examples of the nature of service in the Army Reserve to the soldiers they lead.

The demographics of the purposeful sample were representative of the Army Reserve general officer population but more heavily weighted toward leaders who have *been there and done that* as dual career executives. The iterative coding process developed rich themes to capture the data and frame the stories of the study participants. The themes that emerged from the data were pathways to becoming a general officer, risks of pursuing dual military and civilian careers, managing the journey, skills of the successful executive, and structural and cultural imbalances. The themes demonstrated how leaders started their careers, maneuvered through the challenges, why they choose to serve, and the attributes they developed to succeed as dual career executives.

The risks of pursuing dual military and civilian careers and cultural imbalances are real challenges all Army Reserve generals have to work through to succeed. General Leavenworth summed up the effects associated with the journey and the tension of dual career leaders observing that “many good officers do not opt in because the current general officers are not a good example as reflected in the time it takes to be a general. In spite of all the challenges, at its root, serving still allows us to be soldiers and I am grateful for the journey” (General Leavenworth, personal communication, December 28,

2018).

As society accelerates toward a *Fourth Industrial Revolution* (Schwab, 2017) world, the strategic value of these findings highlights the commitment of the Army Reserve general officers, their passion for serving the nation, and their desire to help the next generation of leaders thrive as dual career executives. The leaders provided candid data demonstrating their high level of commitment to service and want their stories known in order to help make a difference. That difference they desire is to make the Army stronger by purposefully developing and leveraging executive leaders truly capable of sustaining dual military and civilian careers.

CHAPTER FIVE: CONCLUSIONS AND RECOMMENDATIONS

Introduction

This Dissertation in Practice (DIP) contributes to an area in the military profession that contains very little research. The data collected for this study, themes developed from the analysis, and recommendations for action provide informed insights to improve dual career readiness of Army Reserve general officers. The sections in this chapter describe the purpose and aim of the study, followed by conclusions drawn from the research, and five recommendations for policymakers to consider that will improve dual career readiness of executive military leaders. The chapter then describes disparate stakeholder interests and potential barriers to implementation. Next, the chapter provides a four-phase approach to successful implementation of the study recommendations. That section is then followed by comments about implications for future research and applications in theory and practice. Finally, the chapter concludes with a summary of the dissertation describing the necessity of implementing the recommendations in order to calibrate the strategic ways and means associated with enabling Army Reserve generals to serve the nation as military leaders and their civilian employers as captains of industry.

Purpose of the Study

The purpose of this narrative DIP was to explore the barriers and opportunities in the leadership pipeline associated with developing executive leaders capable of dual careers as general officers in the Army Reserve and captains of industry.

Aim of the Study

The aim of this DIP was to explore and describe, through the experiences of currently serving senior leaders, the complexity and commitment inherent in the various

career pathways of the Army Reserve general officer experience. By providing informed insights about the implications of current policies, procedures, expectations, and executive leadership competencies associated with dual military and civilian employment, currently serving and future general officers may find the information useful in navigating their careers. Finally, policymakers may consider whether a survival-of-the-fittest talent management system, when it comes to who can and cannot navigate dual careers, is the right approach to yield the best Army Reserve generals for the most senior strategic leadership positions.

Conclusion and Recommendations

Conclusions

There are three overarching conclusions from the findings of this study. First, the *ends, ways, and means* for general officer talent management are out of balance. The second conclusion is that *Army Reserve general officers are highly committed to Army Values and service*. Finally, the themes demonstrate that *dual military and civilian career readiness* is a factor in successfully serving as a senior leader in the Army Reserve.

Ends, ways, and means are out of balance. Juxtaposing the Army Reserve vision for “the most capable, combat-ready and lethal Federal Reserve force in the history of the nation” (United States Army Reserve, n.d., p. 1) with “ready enough to be relevant but not so ready that it negatively affects their ability to maintain good, rewarding civilian employment” (United States Army Reserve, n.d., p. 14), the study findings indicate these may be incongruent goals. The study themes of managing the journey, risks to dual military and civilian careers, and structural and cultural imbalances reflect

ways and means that disincentivize dual military and civilian executive service. The current talent management system does not adequately balance the strategic objectives with the ways and means for encouraging dual military and civilian service. The current processes inadvertently encourage and reward prioritizing military service over sustaining quality civilian employment, family, leader health, and financial readiness.

The findings also indicate a need for strategic transformation from what appears to be a structurally and culturally outdated approach to service to a more flexible system with ways to reward and reinforce the nature of dual military and civilian careers, while also improving the combat readiness of the force. In order to drive the entire institution in the desired direction, change should begin with policy modifications enforced by the top leaders of the Army Reserve (the currently serving generals at echelon). The changes should be driven through culture-shaping actions demonstrating values that reinforce the importance of the civilian employment experiences Army Reserve soldiers bring to their military service to the nation.

Army Reserve generals are committed to Army values and service. The findings of this study revealed the high level of commitment by Army Reserve general officers to the Army Values, the mission of Army, service to the nation, and a passion for leadership. Their commitment is also evident in their desire to close the gaps to mitigate the problems with managing the journey, risks to dual military and civilian careers, and structural and cultural imbalances that appear to be accelerating. There is growing concern for the Army among currently serving general officers that if ways are not found to mitigate the imbalances associated with dual military and civilian careers, the risks to employers, family, the Army, and leader health will continue to increase.

Dual military and civilian career readiness. The findings of this study demonstrate that leading dual careers should be a readiness factor in the development of senior leaders. Maintaining a civilian career is a foundational component of the the nature of serving in the Army Reserve. Understanding the difference between the actual and potential dual military and civilian career capability has been treated as an assumed norm in practice. However, the findings demonstrate that assumption is not accurate when applied to Army Reserve general officers and the gap in dual military and civilian career readiness could be getting worse.

This study established that the ends, ways and means for talent management of Army Reserve general officers is out of balance. The findings conclude the high level of commitment of the general officer corps and their dual career readiness are indicators of the structural and cultural health of the Army Reserve. What follows in this chapter are recommendations to improve dual career readiness of Army Reserve general officers.

Recommendations

The recommendations of this study are focused on restoring a culture that acknowledges and values the nature of an Army Reserve force consisting of soldiers whose primary source of income is through civilian employment and maintaining dual military and civilian career service as a foundational principle. The findings led to five recommendations highlighting ways to improve successfully leading dual military and civilian careers. The first recommendation identifies the necessity to take concrete steps to move from merely conceptualizing to operationalizing dual career pathways for Army Reserve leaders. The second recommendation requires Army Reserve generals to stay employed in their civilian capacity. The third recommendation seeks to limit the active

duty time performed by Army Reserve generals in order to mitigate the risk to sustaining meaningful civilian careers. The fourth recommendation focuses on developing Army Reserve leaders who must have unique developmental experiences in order to succeed in strategic leadership positions where the Army Reserve ties directly into the Regular Army and Joint Force capabilities. The final recommendation is focused on sustaining healthy executive leaders.

Implementation of the recommendations could provide the cultural and structural pathways to better balance the ways and means associated with dual career service and mitigate the risks to the Army, the Army Reserve, employers, and families. In the long run, implementation of the recommendations in this study could more effectively develop and leverage the executive skills of the general officers and the Soldiers they lead in both military and civilian capacities.

Recommendation 1: Operationalize dual career readiness. Operationalizing dual career readiness is a shift in strategy (Kessler, 2002), cross-cutting all five themes from the findings in this DIP. Kessler (2002) described how executive talent management should be less about replacement planning and more focused on building the pool of leaders with competitive potential to, in the terms of Betts (1995), improve their readiness. This recommendation puts more action into developing the competitive potential of executive leaders by maximizing the value of dual career development and placing less focus on replacement planning. In the case of the Army Reserve general officer population, assuming the nature of the force is to continue valuing civilian careers, building dual career readiness should be a talent management priority of Army senior leaders. This recommendation puts emphasis on reinforcing the nature of Army

Reserve dual career service as a component of readiness. The recommendation transitions actions from anecdotal conceptualization about leading dual careers to deliberately coaching leaders how to improve their capabilities to succeed in both domains.

Succeeding in both military and civilian employment domains requires high-order time management skills and often a decision to prioritize which career is more important to the individual general officer. The findings of this study demonstrate the problem the Army Reserve leaders are experiencing balancing dual career commitments resulting in the prioritization of service to the Army that has led to stagnation of sustained success as executives in civilian careers. This recommendation targets action starting at the top of the institution to put pressure on delivering dual career readiness by holding leaders accountable for sustaining successful military and civilian careers simultaneously. Taking risks in civilian careers to serve in the Army has unintentionally minimized the value and richness of the diverse leadership and technical skills Army Reserve leaders bring to the force from their civilian employment experiences.

The recommendation requires active leadership and mentorship from the generals who have led successful dual careers and the ownership of balancing cultural and structural risk at all echelons. Operationalizing dual military and civilian careers means following up the theory of serving as a general and a civilian captain of industry with actually doing so and sustaining the performance. Operationalizing a culture of dual military service should be less transactional about time management, replacement planning, and prioritization and more transformational about mentoring and coaching new generals how to balance their dual executive responsibilities.

Operationalizing dual military and civilian service should be more focused on flexible and adaptive leadership traits (Yukl & Mahsud, 2010) and executive leader skills described by Fitzsimons and Callan (2016). It is not enough to rely on random private sector development or the deliberate professional military education. The Army Reserve must move from an industrial age developmental model to a more relevant competitive fourth industrial revolution (Schwab, 2016) talent management system. Rapid upgrading of skills and experiences should be built into the expectations of the culture and supporting processes. Mentorship and executive coaching by current successful dual career executives should be ongoing (Kessler, 2002) and reinforce strategy, leadership, cognitive skills, integrity, self-efficacy and self-awareness, stewardship, and visibility required for executive leadership (Fitzsimmons & Callan, 2016) in a dual career capacity.

Recommendation 2: Require generals to be employed full-time. Sustaining full-time employment is a recommendation that cross-cuts all five themes identified in this study. This recommendation may seem counter-intuitive because of the insufficient time that currently exists to balance dual military and professional careers. However, the findings demonstrate there are both structural and cultural reasons for the inability of general officers to balance their dual career responsibilities and have therefore decreased their commitment to their civilian employers. This recommendation provides a pathway to put greater accountability into managing the journey, mitigating risks, and minimizing the structural and cultural imbalances that work against dual career readiness.

Promotion to major general. A method to reinforce the culture of the dual career professional could include requiring Army Reserve officers to have civilian jobs in order to be selected for promotion to major general or serve in a command of a Troop Program

Unit at any rank. If they have retired from their civilian employer, the requirement would be to obtain another full-time civilian job. If the officer transitions from the Active Duty in Support of the Guard and Reserve (AGR) ranks in order to accept a promotion, then a grace period should be allowed from the date being released from active duty. However, the requirement to obtain civilian employment would be the same.

The problem with unemployed or underemployed generals is they tend to perform more active duty days and put downward pressure on their subordinates to do the same. This recommendation could inject more friction into dual career readiness in the short-run. However, it would also ensure leaders would be driven to delegate and hold staffs and subordinates more accountable to mission command principles rather than performing additional active duty themselves. The recommendation could also force military chains of command to be more comfortable actively pushing back on increased requirements that come from up echelon and external agencies that ask for active duty help to augment gaps in their ability to perform missions. Making full-time employment a matter of policy would require leaders to view success differently by rewarding dual career balance over accepting employer risk. This measure would force generals to demonstrate the mission command culture military leaders espouse and serve as successful examples walking in the footsteps they expect their soldiers to pursue promoting a culture of dual career success.

AGR officers promoted to general. A recommendation identified in the findings by General Buchanan (personal communication, December 17, 2018) is to consider authorizing the AGR colonels, upon selection for promotion to brigadier or major general as a traditional Troop Program Unit (TPU) or Individual Mobilization Augmentee (IMA)

soldier, to retire and receive their retirement pay. Implementation of this recommendation would put the former AGR officers in a similar financial position as the traditional TPU and IMA officers who have reached retirement eligibility in their civilian careers. This recommendation would require AGR officers selected for brigadier general to obtain full-time civilian employment within six months of promotion and prior to assuming command of a TPU formation.

As the current talent management policies stand, AGR officers selected for promotion to brigadier general absorb a substantial financial penalty the other generals do not for volunteering to serve in their board-selected and Senate-confirmed ranks. This recommendation proposes a policy change that would allow Army Reserve officers who qualify for an active federal service retirement, to collect their retirement as a Colonel and serve in a status similar to a retiree recall or under other waiver authorities of the Secretary of the Army. Upon completion of their military service, their retirement status would then be adjusted to reflect their additional military service as a general officer.

Enacting this recommendation would still require the former AGR officer to have a civilian job in order to serve just like the rest of the Army Reserve general officer population. Implementation of this recommendation would likely recalibrate the effect of the voluntary turnover (Maertz & Griffeth, 2004) factors influencing the AGR colonels who decide to opt out of general officer consideration. The effect would likely increase opt-in rates for the general officer selection boards, decrease pressure for those officers selected for promotion to general to pursue Active Duty for Operational Support (ADOS) opportunities to make ends meet, and increase their ability to succeed as dual military and civilian career general officers.

Implementation could also be culturally controversial. There are generals within the Army Reserve who feel an officer who has not led a dual military and civilian career throughout their career does not bring the same qualities necessary to successfully serve as general officers in the Army Reserve (General Sheridan, personal communication, December 7, 2018). They could see policies that encourage more AGR officers to compete for promotion to general as detrimental to the nature of the Army Reserve. There is also a segment of the traditional TPU and IMA population that would view this policy change as a positive move as it encourages more open competition across all categories of Army Reserve officers.

Recommendation 3: Limit general officer ADOS. Limiting general officer ADOS would put positive pressure on mitigating risks, journey management, and the structural and cultural imbalances associated with talent management and dual career readiness challenges described in the findings. Limiting ADOS would require more development and utilization of general officer executive skills in dual military and career capacities and greater emphasis on mission command principles. By minimizing ADOS for TPU and IMA positions, a culture of self-perceived employability (Voss, et al., 2011) that has appeared, in many cases, to have migrated toward self-perpetuating ADOS requirements can be alleviated. Implementing limited ADOS for general officers would provide relief down echelon where competition for time and energy with employers could be better prioritized to balance dual military and civilian commitments.

Implementation of this recommendation is essential to reset the expectations of Army Reserve leaders but also for the Army to encourage flag officers to focus more on skills of strategic leadership: delegating, empowering, and exercising mission command.

The effect of this recommendation would likely see resistance as operationally and culturally driven requirements rebalance. However, as the ways and means of general officer talent management stabilize, implementation of this recommendation will likely empower chains of command at all echelons to have better leader dialogue about excessive requirements that are perceived as mission critical but actually driven more by cultural expectations. It will also empower them to better develop dual career leaders focused on developing their staffs to focus on warfighting requirements and take operational risk in less important mission areas.

Recommendation 4: Exceptions to policy for select strategic leader pathways.

Although the norm going forward is for Army Reserve general officers to have sustainable careers where they are not unemployed or underemployed, there will still be exceptions to policy for ADOS. There will still be valid requirements that are in the best interest of the Army and the nation for Army Reserve generals to serve on extended periods of active duty even though they are not mobilized. This recommendation is to deliberately identify and validate the positions that are legitimate long-term ADOS requirements. This recommendation solves some of the structural imbalances and managing-the-journey challenges identified in the findings by recognizing there are some general officer positions requiring more strategic institutional and joint experience. In such cases, the Army could be better served to require more targeted talent management and select leaders to serve in these positions who have more active duty time than the traditional TPU or IMA career pathways provide.

Identify limited positions requiring more deliberate full-time pathways. This recommendation would help the Chief of Army Reserve close the gap identified in the

findings associated with the structural and cultural imbalance theme. It is an exception to the recommended policy because it does require ADOS to meet the military needs of the Army Reserve. The recommendation is for the Chief of Army Reserve to implement talent management policies that deliberately develop leaders to successfully serve in the positions that require a full-time Army Reserve general on a recurring basis. In order to develop, select, and sustain a talent pool with the institutional process experiences (Dean & Shanley, 2006) needed to be successful in the strategic leader assignments, consider filling these positions with former AGR officers with institutional staff and command experience or traditional TPU and IMA officers who have extensive active duty time as senior field grade officers. This recommendation limits the pressure on the traditional TPU and IMA population to have to choose between their military service and their civilian career.

Identify general officer requirements for limited full-time positions. This aspect of the recommendation addresses the structural and cultural imbalances and managing-the-journey findings of this study by recognizing the variability in limited career pathways of Army Reserve general officers. This recommendation is an exception to the limited ADOS policy because it still allows traditional TPU and IMA generals to serve periods of full-time active duty if they can balance the time commitment with their employers. This recommendation recognizes the trade-off of balancing the professional benefit of serving full-time with the risks associated with not having that developmental opportunity that other peers may have been able to experience. This recommendation puts greater predictability and transparency into the ADOS exceptions so the traditional TPU and IMA population can better balance their dual civilian and military

commitments. This recommendation also requires talent management processes to be developed to identify high potential TPU and IMA officers earlier in their careers to provide opportunities for successful experiential learning that prepares them for the potential assignments to strategic institutional leadership positions.

Recommendation 5: Assess and monitor executive health. The final recommendation addresses a surprise theme that came out in the research findings. The high commitment and competing requirements of Army Reserve general officers appears to have developed a perception of increased health risk to executive leaders managing dual military and civilian careers. The final recommendation of this study strongly suggests applying an executive health monitoring program to the Reserve Component of the Army. There is triangulated concern by the study participants that stems from the pressure of managing dual careers combined with limited health performance tracking of Army Reserve general officers. The study participants think the Army may be overlooking a significant well-being problem that could be looming in the Army Reserve general officer population.

A challenge with this recommendation is the potential for contrasting with rather than complementing the first four recommendations. A perspective could be to cut back on the dual career nature of the Army Reserve and provide additional ADOS to serve as the primary source of income in order to minimize career competition stress and perceived health problems. Pursuing additional ADOS would be counterproductive to the goal of restoring the nature of service in the Army Reserve. Instead of the contrasting view, implementation of this recommendation should be done in ways to strengthen the ability of the institution to better enable management of dual military and civilian career

leaders. This recommendation would employ health monitoring to enable leaders to make informed decisions about their health and individual readiness. Employing all the recommendations as complementary measures would likely enable general officers to manage their dual careers more effectively. Dual career executives who are better informed about their potential health risks can make decisions to balance their military and civilian sector commitments rather than have them become known at the point of a catastrophic physical or emotional breakdown.

Stakeholders Related to the Recommendations

Employed Generals

Based on the data collected in this study, the Army Reserve generals who are currently managing successful dual military and civilian careers would likely be supportive of the recommendations. The recommendations are focused on mitigating the impediments to serving dual careers by putting control measures in place to improve their ability to simultaneously serve their civilian employers and the military. For the junior generals feeling the pressure from their superiors and the external agencies putting greater demands on their time, the recommendations provide relief by driving structural and cultural norms for dual career service that are enforced by their chains of command.

Unemployed and Underemployed Generals

Generals who are unemployed or underemployed may see these recommendations as a threat to their livelihood and their ability to effectively lead geographically dispersed military organizations. Generals who have sacrificed their civilian careers for their military service could experience financial disadvantages by the diminished opportunities for ADOS that result from full implementation of the recommendations in this study.

The segment of the Army Reserve who retired from their civilian employers to continue serving may also view these recommendations as a culture shock. Some commanders of Army Reserve organizations may view the recommendations as not possible to execute because they have become used to saying yes instead of no to additional military active duty requirements. They also may be concerned that they do not have the staffs available to enable them to empower, delegate, and hold others accountable for leading and delivering the readiness results in the absence of ADOS. Based on the data collected from participants in this study who are currently captains of industry, leading Army Reserve organizations with limited ADOS is feasible. The system-wide overhaul to reduce non-mission critical requirements, enforce mission command, and reward dual career readiness is a foundational principle in the nature of service in the Army Reserve.

The Chief of Army Reserve's "11 and 5" and Active Duty Organizations

The *11 and 5* general officers are the 16 positions the Chief of Army Reserve consistently requires on full-time active duty. This group of leaders should be segmented, consistent with Recommendation 4, to determine if the officers selected for these positions should be primarily developed from the TPU and IMA population. They should also assess if some of the positions would be better suited for officers developed from the AGR segment of the force. This segmentation assessment would also apply to specific general officer positions determined by the CAR that may require full-time Army Reserve general officers but are resourced by other organizations or agencies. The reason the 11 and 5 officers are identified as a stakeholder group is because they are essential positions for leading the Army Reserve but there could be structural and cultural bias that

emerges when considering whether to fill the positions with former AGR, TPU, or IMA officers.

Army Reserve Units

Army Reserve units are stakeholders because they are the end product and reason for the general officers' existence. The success or failure of these recommendations rests on how well Army Reserve units perform throughout all phases of implementation. The generals are the keepers of the organizational culture so the reaction of Soldiers in Army Reserve units may be similar to the flag officers or as diverse as the different stakeholder groups. For the unemployed and underemployed, they may be concerned with losses to military income if their leaders require them to perform less active duty time.

Although this study is focused on the current Army Reserve general officer population, the long-term beneficiaries of the changes recommended in this DIP are the future generals in the talent pipeline and the soldiers across the Army Reserve. Implementation of recommendations in this DIP would establish new norms for future generals to pattern now in order to drive higher quality dual military and civilian career performance. The officers and enlisted soldiers in Army Reserve units who are already adequately employed in civilian jobs and want to continue their dual career service will likely respond positively to the fact that their leaders would better demonstrate the same dual career commitment behaviors they are expecting of themselves.

The Chief of Army Reserve (CAR)

The CAR is not only a key stakeholder but is a primary decision maker for policies pertaining to Army Reserve general officers. The CAR would also be the primary advocate with the Department of the Army for any proposals requiring

legislative changes or decisions by the Secretary of the Army. If the recommendations are to be implemented, the current or future CAR will be the approval authority to move forward to take action or accept the status quo.

Successful Implementation

Policies Influenced by the Proposed Solution

The policy changes recommended in this study are about leadership, minimizing risks to pursuing dual military and civilian careers, and leader expectations described in the themes in the research findings. Although mentorship is the responsibility of every Army leader (Headquarters Department of the Army, 2012), Recommendation 1 will require changes in policy within the CAR's authorities to formalize focused dual career mentors. The second primary policy change will be the CAR's guidance to reinforce dual career readiness and the nature of the Army Reserve as soldiers with meaningful civilian jobs.

Recommendation 2 is a new policy that will require various enforcement mechanisms. Implementation will require some flexibility when it comes to timing and enforcement of the requirement for general officers to have civilian jobs as life situations of officers change. Enforcement, pending legal review, could possibly come directly through GOMO oversight to hold generals accountable for having a civilian job. Enforcement can also be indirect by making civilian employment a heavily weighted criterion for selection boards and for GOMO to consider when recommending follow-on general officer assignments.

Recommendations 3 and 4 are policies within the CAR's authorities. Enactment of these recommendations would instill better standards and discipline across the entire

force for ADOS planning and execution that would improve dual military and civilian career readiness. Enforcement of the ADOS policies will require greater delegation, empowerment, leader development at echelon, and accountability of full-time support personnel assigned to units to act on behalf of the TPU and IMA general officers when they are not on active duty.

The most difficult recommendation to implement is likely the policy to allow AGR officers eligible for an active federal service retirement to retire and receive their benefits upon promotion to general officer. The policy would allow the officers to continue serving in a form of retiree recall or Secretariat waiver status when on official duty as a general officer. Implementation of this recommendation puts the former AGR officers on a more equitable financial footing with traditional TPU or IMA generals who have retired from their civilian jobs in order to continue their military service. The policy would still require all generals, including those former AGR officers receiving retirement benefits, to obtain full-time civilian employment in order to command a TPU organization or be promoted to major general.

The final recommendation about assessing and monitoring executive health would require expansion of the current policies already in place for Regular Army officers. Another option would be to initiate a parallel health readiness program similar to the Regular Army but administered through other private sector medical sources or an Army Reserve medical command with the requisite capacity to perform the assessment and monitoring services. The CAR would have to decide whether to move on this recommendation unilaterally or work with the Regular Army and National Guard for Army-wide implementation.

Legal Issues Related to Proposed Recommendations

There are two aspects of the recommendations that may have legal implications. The recommendation to require general officers to obtain civilian jobs in order to continue serving will require legal review and may be perceived as overreach. Even if the recommendation is not specifically required by law, this criterion could be a cultural attribute for determining best qualified dual career officers when assessing the leader attributes described in Army Leader Doctrinal Publication 6-22 (Headquarters Department of the Army, 2012). The second aspect of the recommendations that could require changes in public law is the authority to allow AGR officers with 20 years of active federal service to retire and then serve as general officers in a retiree recall or some other waiver status. If a legislative change is necessary it would affect all Reserve Components of the Department of Defense, not just the Army Reserve.

Implementation of the Proposed Recommendations

The Way Ahead for Improving Dual Career Readiness

Implementation of the recommendations would occur in four phases. The first phase is *ratification* of the recommendations. The second phase is *notification*. The third phase is *implementation*. The fourth phase is *sustainment and evaluation*. Most changes could be phased in over two years if policy and legislative proposals are supported by the CAR, the Army, the Office of the Secretary of Defense, and the US Congress.

Legislative changes would likely take more time.

Phase 1: Ratification. This DIP will be presented to the CAR as the Army sponsor for consideration (See Appendix A) and implementation. Ratification assumes the CAR agrees to the recommendations and directs the Army GOMO to implement the

recommended changes in totality or in part. The CAR could direct GOMO to initiate and possibly accelerate implementation within the current authorities to support execution of the recommendations in this DIP. Finally, the CAR would direct GOMO to initiate policy and legislative change proposals, as necessary, to the Department of the Army for aspects of the recommendations that require Congressional action or Secretary of the Army approval. Phase 1 ends with the CAR's approval to implement the recommendations and when GOMO has the detailed planning completed for implementation. Phase 1, once initiated, should take 30 days to complete after the DIP is presented to the CAR. The 30-day timeline will allow the Army Reserve staff to conduct their organizational change and legal assessments.

Phase 2: Notification. Phase 2 begins with the GOMO notifying the Army Reserve general officer population of the pending policy changes. Notification includes identifying dual career mentors, providing notice for meeting the requirements of full-time employment for Army Reserve general officers, and the timeline for reducing ADOS available to the general officer population. Reducing ADOS will require internal and external stakeholder notification by GOMO. Additionally, the CAR will likely produce public affairs videos and speak to general officer forums to ensure the Army Reserve general officer population understands the way ahead, why implementation is necessary, and expectations of the generals as executive leaders to help drive change across the institution. Notification also includes communicating the detailed implementation plan for Recommendations 4 and 5. Phase 2 ends with guidance changes provided to the general officer population and promotion selection boards and when the GOMO begins executing assignments based on the enacted recommendations of this DIP.

Phase 3: Implementation. Phase 3 begins with the modifications to policies providing guidance to general officer selection boards and the reduction of ADOS available to general officers. This recommendation may overlap with the timing of Phase 2 if the CAR decides to accelerate the reductions in general officer ADOS. Another action that begins with this phase is the guidance for general officer assignments to be more heavily weighted toward dual career officers. The assignment policy for general officers will use Recommendations 2, 3, and 4 as the guidelines for development and assignment of the general officer population and assessment of leader potential for dual career readiness. This phase also includes implementation of the formal mentoring program for new brigadier generals assigning them dual career mentors managed by GOMO. Finally, this phase implements Recommendation 5: annual health screening and assessments of Army Reserve general officers similar to the program already mandated for the Regular Army general officer population.

Phase 4: Sustainment and evaluation. The final phase begins with full implementation of all five recommendations in this dissertation. The fourth phase does not have a closure target date. Rather, this phase is the continuous feedback mechanism, managed by GOMO, measuring the health of the force and readiness effects of the proposed changes. The GOMO will lead annual updates to the CAR assessing the effectiveness of these recommendations and make additional adjustments to the policies and procedures necessary to sustain an Army Reserve general officer population characterized by high performing general officers with dual military and civilian careers.

Leader Roles in Building Support to Implement the Recommendations

The CAR's role in implementing the recommendations of this DIP is essential.

By law, the CAR is the senior government official managing the Army Reserve general officer population on behalf of the Chief of Staff of the Army and the Secretary of the Army. Without the CAR's support, implementation of any of the recommendations is not possible. With the CAR's support, the recommendations can be implemented rapidly, with a couple exceptions. Exceptions to rapid implementation are the recommendations that are outside the CAR's authorities and may require external approval associated with AGR retirements and the annual health assessments.

Executive leader commitment below the CAR will also be required for successful implementation. The dual career mentors are essential to demonstrate to the rest of the population what right looks like and lead-turn changes to cultural norms when it comes to ADOS and the requirement for civilian employment as Army Reserve general officers. Additionally, the major generals will have to reinforce mission command principles operationalizing delegation, empowerment, and accountability as the next generation of brigadier generals and their TPU and IMA subordinates take less risk in their civilian commitments. Multi-echelon leadership will be required to demonstrate to the Army and the Army Reserve that changes in ways and means enabling service as dual career leaders is a desirable foundational component and part of the organizational identity (Hatch & Schultz, 2002) of serving in the Army Reserve.

Implementing the recommendations in this study by leveraging the generals who are captains of industry and those who may not be C-suite executives in their civilian careers but have successfully managed dual military and civilian careers will demonstrate that, with the right structural controls and relentless leadership, it is possible, and highly desirable, to build dual military and civilian career readiness.

Implications

Practical Implications

This study will benefit the Army Reserve general officers who are committed to the nature of the force as military warriors and citizens with civilian employers. If the generals are successful restoring the norm of dual military and civilian careers for executive leaders in the Army Reserve, the culture of the Army will likely shift to be less inclined to pressure leaders, whether overtly or covertly, to sacrifice their civilian careers. More importantly, the Army and the nation will benefit from leveraging the high-quality experiences of dual military and civilian career leaders. Their diversity of experiences is a strength and operationalizing by design, rather than relying on random dual career success stories, will benefit the Army Reserve, the soldiers the generals lead, their families and employers, the Army, and the nation.

Implications for Future Research

There were several codes identified in the process of data analysis in this DIP that were not used in the findings or recommendations of this study. The rationale for not using them was that they were commentary outliers that were outside the scope of the research and the themes that emerged in the analysis. The extraneous data and codes were not connected to answering the RQ or associated with the aim of the study. They could however indicate areas for future study that would add to the literature about dual military and civilian career service. In that context, specific areas for future study, based on the extraneous codes, could include researching service stress on dual military families, protection of intellectual property when military and civilian duty

responsibilities overlap, and how entrepreneurship and a failing fast culture in the private sector could be leveraged through Army Reserve general officers.

Additionally, assessing the implementation of the recommendations within this DIP could serve as useful data in evaluating the talent pipeline where field grade officers and mid-career non-commissioned officers could be making decisions about whether or not to take risk in their military or civilian careers in order to continue serving in the Army Reserve. Data could be assessed as to the implications of their decisions on recruiting and retention of their peers and subordinates. A similar study to this DIP focused on mid-grade non-commissioned officers and warrant officers would be valuable to inform leaders as to the effects of extended ADOS and reductions in civilian employment commitments by these cohorts.

Applications of Leadership Theory and Practice

Yukl and Mahsud (2010) described the importance of flexible and adaptive leaders across multiple levels of organizational leadership positions and the attributes of cognitive complexity, systems thinking, and social intelligence resident in successful leaders. De Meuse (2017) also described models demonstrating the connection between learning agility and leader success. The Army Reserve general officers in this study demonstrated they possess these skills and use them in their journey as successful leaders, whether serving as executives in their military or civilian capacities. This study observed the attributes Yukl and Mahsud (2010) and De Meuse (2017) described in every participant interviewed for this DIP and these appear to be norms in the population of Army Reserve general officers. Army Reserve generals are successful because they have the ability to rapidly learn and adapt to whatever the Army asks them to do with very

limited time to become proficient and begin delivering results. The recommendations in this study provide greater emphasis on leader development in both military and civilian careers leveraging learning agility and changes to structural and cultural norms to deliver more efficient and effective leader success as general officers and captains of industry.

Finally, the Army Doctrinal Publication 6-22 titled *Army Leadership* (Headquarters Department of the Army, 2012) described attributes required by Army leaders that were resident in all the respondents. The Army Reserve generals are keepers of the profession with transformational, servant, and authentic leadership traits (Northouse, 2016; Johnson, 2015). The Army Reserve generals are committed leaders in practice demonstrating high quality executive traits that cross multiple normative theories. Their challenge is the culture that has developed where transactional attributes (Northouse, 2016; Johnson, 2015) associated with time and active duty days have emerged as driving factors of service working against dual career readiness. Implementation of the five recommendations will help transform the structural and cultural challenges into opportunities for improving dual career service and executive leadership by Army Reserve generals in support of the Regular Army and Joint Force.

Summary of the Study

The Army Reserve general officer corps is a highly professional and top-tier quality group of executive leaders. They are committed to serving the nation, the Army, their soldiers, families, and employers. Unfortunately, the strategic ends, ways and means associated with Army Reserve general officer talent management are out of balance. The imbalance is instilling high risks to the force that may also increase the risk to the Army mission in the long-run if left unresolved.

Implementation of the recommendations in this DIP will operationalize dual career readiness, require Army Reserve general officers to maintain full-time civilian employment, and limit the ADOS available to senior leaders. Full implementation will also identify more effective strategic leader pathways for general officer service and take better care of executive health in order to put the ends, ways and means of dual career readiness and service back in balance. The effect of recalibrating the ways and means supporting the strategic ends associated with general officer talent management would be to instill a more robust culture of dual career readiness across the entire force.

Finally, this dissertation adds to the body of literature regarding executive leadership. It specifically documents the evidence of the experiences of the Army Reserve general officer corps, the complexity of their service, the challenges they overcome to serve the nation, and the extraordinary commitment and love they have for their country, the Army, their families, communities, and their civilian employers. This DIP provides insights about the experiences of currently serving general officers who are captains of industry and arms junior officers to better leverage their skills and leader development experiences. This DIP also provides insights to senior Army leaders about the Army Reserve general officer experience in order to inform talent management policies. Full implementation of the recommendations in this DIP could improve dual career readiness enabling current and future Army Reserve generals to be more efficient and effective serving the nation simultaneously as capable, combat-ready, lethal warriors and captains of industry.

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Appendix A

Army Sponsorship Memo



DEPARTMENT OF THE ARMY
OFFICE OF THE CHIEF OF ARMY RESERVE
2400 ARMY PENTAGON
WASHINGTON DC 20310-2400

DAAR-ZX

29 AUG '18

MEMORANDUM FOR Whom It May Concern

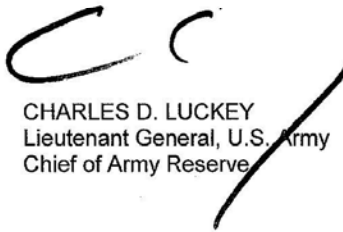
SUBJECT: Participation in a Research Study about Army Reserve General Officers

1. Brigadier General Mark Towne currently serves as my Office of the Chief of Army Reserve G3. I am aware he is also a student with Creighton University about to conduct a doctoral dissertation focused on the Army Reserve general officer population.
2. I support the voluntary participation of Army Reserve general officers to participate in BG Towne's study. Any data gathered as a part of BG Towne's research will remain confidential. In my role as the Chief of Army Reserve and Commanding General of the United States Army Reserve Command, I will serve as the Army sponsor for BG Towne's research and execute the following responsibilities:
 - a. I have read the draft interview instrument and support how it will be administered and analyzed.
 - b. I support this research as mission critical and worth the time of the personnel who participate.
 - c. I give permission to the researcher and respondents to engage in the study interviews during official hours and use his government computer to store data gathered in the study. However, the use of duty hours for interviews will not conflict with or take priority over BG Towne's or the respondents' official duties and responsibilities. No cost will be incurred by the U.S. government and no subjects participating in the study will be financially compensated for their participation.
 - d. I do plan to either take action as a result of the study findings or to take the study findings into account when deciding whether or not to take action.
 - e. I share the responsibility for meeting the requirements outlined in the Army Survey Request Application.
 - f. I share responsibility for any negative publicity that could result from the administration and/or release of the study findings.

DAAR-ZX

SUBJECT: Participation in a Research Study about Army Reserve General Officers

3. As the sponsor, I will provide general oversight, determine the sensitivity of study findings and ensure that all documents are marked with the appropriate distribution/release statement. I will also monitor any release of survey data. This memorandum certifies that I accept the aforementioned responsibilities as BG Towne's military supervisor and Army sponsor.
4. I grant permission for BG Towne to solicit voluntary participants from the currently serving Army Reserve general officer population. I also grant permission to Army Reserve military and civilian leaders, including the Army Reserve General Officer Management Office, to provide and discuss with BG Towne, information and data about the subject population that is within the confines of the study as long as anonymity is maintained, and the privacy of individual officers is protected.
5. This authorization for BG Towne to interview Army Reserve general officers is conditioned upon compliance with applicable Federal, Department of Defense (DoD), and Army regulations governing the collection of information from DoD personnel and the protection of human research subjects.
6. My point of contact for this authorization is COL Mark Siekman, Director, Office of the Chief of Army Reserve GOMO, 571-256-9642



CHARLES D. LUCKEY
Lieutenant General, U.S. Army
Chief of Army Reserve

Appendix B

Interview Guide

Interview Guide: THE LEADERSHIP PIPELINE – ANTECEDENTS TO
DEVELOPING THE MOST CAPABLE ARMY RESERVE GENERAL OFFICERS

Time of Interview:

Date:

Place:

Interviewer: BG Mark A. Towne

Interviewee:

Position of Interviewee:

The purpose of the interview is to explore, through the experiences of currently serving senior leaders, the complexity and commitment inherent in the various career pathways of the Army Reserve general officer experience. I want to thank you for agreeing to be interviewed for this research project about the Army Reserve General Officer population. Before we begin, I ask that you review and sign the consent form provided that indicates I have your permission to use the information you provide as data within the confines of the research project. Your comments will remain confidential as your responses will be revealed only through the restorying of the coded themes that emerge from your responses. Your identity will also remain anonymous as any personal references as a respondent will be through the use of pseudonyms. I also ask that in your answers, you provide descriptive responses but not details to the degree that individual general officer confidentiality or anonymity could be breached. If I ask a question you feel uncomfortable answering, we can skip it. Finally, if at any time you need a break or have questions of your own, please feel free to ask them.

Questions:

1. Demographic questions.

1.a. What is your current military rank, position, time in grade, and total years of service?

1.b. What is your current military position?

1.c. What is your time in grade?

1.d. How many total years of military service do you have?

2. Career descriptions.

2.a. Could you briefly describe your military career?

2.b. Could you briefly describe your civilian career?

3. Navigating your careers

3.a. How would you describe your experience navigating the progression of dual civilian and military careers?

3.b. What institutional pressures promoted your military career advancement?

3.c. What institutional pressures hindered your military career advancement?

3.d. What institutional pressures promoted your civilian career advancement?

3.e. What institutional pressures hindered your civilian career advancement?

4. Cultural pressures.

- 4.a. What cultural pressures promoted your military career advancement?
 - 4.b. What cultural pressures hindered your military career advancement?
 - 4.c. What cultural pressures promoted your military civilian career advancement?
 - 4.d. What cultural pressures hindered your military or civilian career advancement?
5. Complementary progress.
- 5.a. Describe how success in your military career path influenced growth in your civilian career.
 - 5.b. Describe how success in your civilian career path influenced growth in your military career.
 - 5.c. Describe if/how your military career hindered your civilian career.
 - 5.d. Describe if/how your civilian career hindered your military career.
6. What risks and trade-offs have you had to assume in order to balance military and civilian work opportunities and family commitments?
7. How are leaders prepared to assume operational and strategic institutional roles as general officers? How would you contrast this answer with your experience with private sector executives?
8. Transition to becoming an Army Reserve general.
- 8.a. Describe your most memorable success stories of officers making the transition to becoming an Army Reserve general.
 - 8.b. Describe your most memorable stories of officers making an unsuccessful transition to becoming an Army Reserve general.
 - 8.c. Describe your perception of factors that most inhibit the best qualified officers from serving as general officers in the Army Reserve?
 - 8.d. Describe your perception of factors that enable the best qualified officers to serve as general officers in the Army Reserve?

If you could change one thing (if there is more than one thing, limit the response to the top three) about serving as a general in the Army Reserve, what would that be? Why does it matter?

I want to thank you for taking the time to discuss the Army Reserve general officer population. I also want to remind you that your responses are confidential and will remain that way.

Field Notes

Review notes and summarize the conversation. Conclude with the following questions:

Is there anything you would like to add to our discussion or change a response to any question I have asked?

I will send you a transcribed copy of my notes to verify that what I recorded is accurate. Please let me know if you would like a copy of the final dissertation once it is complete.

Appendix C

Army Interview Request Instructions and Supporting Statement
(R.O. Simmons, personal communication, June 7, 2018)

I. INSTRUCTIONS

Current DoD and Army Policy

Proposed collections of information from Army personnel, including surveys, focus groups and interviews, generally must meet three separate requirements: approval or exemption from a licensing authority, Army sponsorship, and approval or exemption from an Army IRB or the Army Human Research Protection Office (AHRPO). This section explains the requirements and processes for focus group/interview approval, licensing, and tracking, as exercised by the Army's two licensing authorities for internal Army information collections, the U.S. Army Research Institute for the Behavioral and Social Sciences (ARI) and the office of the Army's Information Management Control Officer (IMCO).

The licensing authority for multi-component (for example, multi-Service) surveys is Washington Headquarters Services (WHS). The licensing authority for information collections of the general public is the White House Office of Management and Budget (OMB). Information on the approval processes for these types of surveys may be obtained from Army IMCO Sandra Stroud at 703-428-6440 (DSN 328) or sandra.d.stroud.civ@mail.mil.

Organizations conducting surveys or focus groups/interviews without proper licensing may be reported to the Under Secretary of Defense for Personnel and Readiness, the Assistant Secretary of the Army for Manpower and Reserve Affairs, the Deputy Chief of Staff for Personnel, G-1. If surveys collect information from the public without OMB approval, they may be reported to OMB through the DoD CIO as violations of the Paperwork Reduction Act and will become part of OMB's Information Collection Budget report to Congress.

Review and Licensing Requirements for Army Internal Surveys. DoD policy empowers each Service's survey office (ARI, for the Army) to determine which types of internal, single-component surveys require Service-level review and licensure.

Focus groups/interviews targeting only Army personnel (military or civilians) on broad beliefs, attitudes, or opinions, with sample sizes of 100 or more must be sent to ARI or an Army IMCO for review and licensure (i.e., assignment of a Survey Control Number [SCN]). Regardless of sample size, focus groups/interviews whose sample includes senior leaders (e.g., flag officers or the Senior Executive Service) or vulnerable populations (e.g., minors, surviving spouses) or contain sensitive questions (e.g., health status, sexual harassment or assault, risky behaviors, personal finances, unethical or illegal activities) require the intensive technical review performed by ARI. However, interviews and focus groups are not subject to licensing if they would be done:

- by operationally deployed units or forces supporting a contingency operation for the purpose of directly assisting front line operations
- during Army support of domestic and international emergency operations and incidents

All internal Army focus groups/interviews other than those described above should be submitted to the Army IMCO, who may coordinate with ARI. Typically, the following types of focus groups/interviews do not require Army IMCO nor ARI review/licensure: focus groups/interviews with a very narrow programmatic focus, customer feedback, on-site training/course evaluations, equipment evaluations, interviews conducted for the purpose of selecting individuals, and health assessments for clinical purposes. However, IAW with the above, these types of focus groups/interviews must be sent to ARI for review and licensure determination if they are to be administered to a vulnerable population or contain sensitive questions.

Focus group/interview leads are encouraged to contact ARI survey POCs (listed near the end of this Section) to confirm whether an ARI technical review and license is required for their focus group/interview. If a review and license are required, the focus group/interview lead should complete and return to ARI this Army Focus Group/Interview Request application. ARI will review the application and take one of the following actions: (1) exempt the focus group/interview from review and licensure, (2) approve the focus group/interview for administration and provide an SCN, (3) deny approval and advise that the application may be revised and resubmitted for a second, final review, or (4) disapprove the focus group/interview for administration. If the application is reviewed and denied a second time, the focus group/interview may not be resubmitted for a third review and cannot be administered. Upon approval, an SCN will be assigned and should appear on the front page of the focus group/interview protocol or form presented to participants.

Policy Compliance

Army and/or DoD policies require that information collections comply with the following. For more information on each requirement, see the referenced policy(ies).

No Undue Burden. Individuals requesting an information collection must ensure that the information to be collected is not duplicative of information already available. When the information is not already available, requesters must demonstrate that they are using methods (e.g., a scientific sample vice census) to minimize the information collection burden on Soldiers. (Reference: DoDI 8910.01)

Information Security. Any data collected from Army agencies or personnel must be stored, processed, or transmitted only on information systems that have obtained information assurance (IA) approval to operate in accordance with Army processes for the confidentiality level of their information. (Reference: AR 25-2)

Licensure. All information collections must be approved and assigned an information collection control symbol (unless exempted from this requirement by the Army IMCO or ARI). Soldiers and Army civilians must not respond to an information collection that has not been properly approved and licensed. (Reference: DoDI 8910.01)

Privacy Impact Assessment (PIA). When personal information on individuals is collected in an electronic form, a PIA (DD Form 2930) must be performed to ensure that the data remain protected and private. (Reference: DoDI 5400.16)

Human Research Protections Review. Individuals conducting human subjects research must coordinate with an Army or DoD Institutional Review Board (IRB) or Human Research Protections Office to determine the type of review needed. This review can sometimes be concurrent with the review for licensure. It is incumbent upon the

researcher(s) to share substantive changes made in response to one review with those doing the other review. (Reference: DoDI 3216.02; also see 32 CFR 219)

Cost Analysis. A cost analysis must be conducted using the DoD Cost Guidance Portal at <https://www.cape.osd.mil/CostGuidance>; once there, click on the “Internal Collections” link. Compensation costs are available at the Army Military-Civilian Cost System at <https://www.osmisweb2.army.mil/amcos/app/home.aspx>. Labor-cost information is also available at <http://www.opm.gov/oca> for civilians and <http://comptroller.defense.gov/rates/> for military personnel. (Reference: DoDI 8910.01)

Operations Security (OPSEC). Army personnel conducting or sponsoring a focus group/interview project must ensure that all publications and presentations containing Army data are reviewed by an OPSEC Level II Certified Officer. (Reference: AR 530-1)

Public Release Clearance. Publications and presentations intended for public release and containing Army focus group/interview data must be reviewed by a Public Affairs Officer (PAO) prior to release to non-DoD persons (including, but not limited to, ghostwriters, literary agents, editors, and publishers). (Reference: DODD 5230.09; also see AR 360-1)

Requesting a Review and License

If an ARI review of your focus group/interview protocol is required, complete Section II of this document. If a part of Section II is not applicable to the proposed project, enter “Does Not Apply.” In addition to Section II, submit the documentation listed below.

1. Final or nearly final copies of the focus group/interview protocol
2. Copies of all communications to participants, such as invitation and reminders
3. Statement of government sponsorship affirming the focus group’s/interview’s clear and direct interest to the Army and sponsor oversight and responsibility of the project (if applicable; see Section II.C)
4. Human Research Protections determination letter(s) and/or application(s)
5. Informed Consent Document (if applicable; see Section II.G)
6. Privacy Act Statement, System of Records Notice, and Privacy Impact Assessment (if applicable; see Section II.J.7)
7. A copy of the Authority to Operate, Interim Authority to Operate, or other proof of authorization by the Army, DoD, or other Federal authority (if applicable; see Section II.L.2)
8. A copy of the Certificate of Networkiness (CoN) issued by the Army CIO/G-6 or equivalent DoD or Federal authority (if applicable; see Section II.L.3)

Send the completed Section II and supporting documents to one of the following:

robert.o.simmons2.civ@mail.mil
nicole.j.thompson14.civ@mail.mil
usarmy.pentagon.hqda-ari.mbx.usarmy-survey-approval@mail.mil

If you have questions, you may call Dr. Simmons at (703) 545-2332, DSN 865-2332 or Dr. Thompson at (703) 545-2361, DSN 865-2361.

Should I use this form? If you are conducting a survey rather than a focus group or interview, you should complete the Army Survey Request Form in place of this Army Focus Group/Interview Request Form. You can request the latest version of the appropriate form from Dr. Simmons or Dr. Thompson.

Army IMCO reviews. For information on the reviewing and licensing requirements for focus groups/interviews of Army contractors, members of the public, members of other Services, contact Ms. Sandra Stroud, Army IMCO, at (703) 428-6440, sandra.d.stroud.civ@mail.mil.

Useful information on the licensing requirements for information collections among members of the public or across Services can also be found at the following URLs:
<http://www.dtic.mil/whs/directives/collections/index.html>
<http://www.dtic.mil/whs/directives/collections/overview.html>

II. FOCUS GROUP/INDIVIDUAL INTERVIEW SUPPORTING STATEMENT**A. Name of Focus Group/Interview Project.**

Add Text Here

B. Names and Contact Information of the Principal Investigator and Army Sponsor.

1. If this survey is being conducted by an Army activity, simply provide the sponsor's name and contact information below.
2. If this survey is being conducted to meet an academic requirement or by someone outside of the Army, the Army sponsor must be at least a Brigadier General or member of the Senior Executive Service (SES) who must assert that he or she:

- has read the draft instrument and how it will be administered and analyzed
- believes the survey is mission critical and, therefore, is worth the time of the personnel who would participate
- gives permission for both the researcher and the survey respondents to engage in the survey during official duty hours
- plans either to take action as a result of the survey's findings or to take the survey's findings into account when deciding whether to take action
- shares responsibility for meeting the requirements outlined in the Army Survey Request application
- shares responsibility for any negative publicity that could result from the survey's administration and/or release of findings

The sponsor or his/her designee must also:

- provide general survey oversight
- determine the sensitivity of survey findings and ensure that all documents are marked with the appropriate distribution/release statement
- monitor any release of survey data

Provide certification from the Army sponsor that he/she accepts these responsibilities. Neither the sponsor nor the designee can be the researcher or a relative or subordinate of the researcher.

Add Text Here

- C. Need for the Focus Groups/Interviews. Explain/Describe the following:**
- why the interviews or focus groups are critical to an Army mission,
 - what will be assessed,
 - how the interviews or focus groups will be conducted,

- any Congressional, DoD, Army or other requirement, regulation, and/or directive to collect this information, and
- the DoD or Army contract, grant, or other funding source for this collection, if applicable.

D. Use of the Information. Describe how, by whom, and for what purpose the information is to be used. What specific actions will be taken or considered based upon this information? Unless this is a new information collection, describe how the information has been used in the past. If this project is being conducted to meet an academic requirement, indicate how the data also serves the Army.

Add Text Here

E. Proposed Project Timeline. Provide a timeline for the entire project, including the field begin and end dates of the focus group/interview, estimated completion date of the presentation/report, its publication date, as well as any other scheduled actions.

Add Text Here

F. Gifts or Payment. Will any Federal funds be used to give payments, incentives, or gifts to respondents or potential respondents?

Add Text Here

G. Informed Consent. Is informed consent being obtained? If so, provide a copy of the informed consent document. Are respondents informed of the potential risks and benefits of participation? Are respondents informed that participation is voluntary and that they can refuse to answer any question or withdraw from the discussion?

Add Text Here

H. Procedures

1. How many focus groups/interviews will be conducted? How many individuals will be in each focus group and how many participants in total will be requested?

Add Text Here

2. Please describe the target population for your focus groups/interviews and how eligibility for participation will be determined.

Add Text Here

3. How will participants be recruited?

Add Text Here

4. Will anyone under the age of 18 be included? If so, provide copy of document obtaining consent (or assent).

Add Text Here

5. Are any potentially vulnerable populations being targeted (e.g., prisoners, pregnant women, or individuals with impaired decision making ability)?

Add Text Here

6. Will participants be asked to provide written responses to questions in conjunction with the focus groups/interviews? For example, will participants be asked to provide any demographic or career information, such as gender, rank, years of service, etc.? If so, provide a copy of the questions respondents will be asked to answer and describe how this data will be used.

Add Text Here

- I. **Use of Information Technology.** Does the focus group/interview involve the use of Internet, other technological collection techniques (e.g., electronic response submission), or have a web-based option? If yes, provide a short description.

Add Text Here

- J. **Protection of Information.**

1. Will any personally identifiable information (PII), (such as, names, Social Security Numbers [SSNs], e-mail addresses, Internet Protocols [IP] addresses, street addresses, telephone numbers) remain attached to the answers once they have been received from the respondent?

Add Text Here

2. Will demographic data that become part of the dataset be so specific as to enable a respondent to be identified?

Add Text Here

3. Will audio or video recordings be made of people's answers?

Add Text Here

4. If an electronic database or dataset will be developed, who will have access?

Add Text Here

5. How will hard copies of any written collected information be controlled, and eventually destroyed, to protect confidentiality?

Add Text Here

6. Disclosure Avoidance. What steps will be taken to prevent identification of data related to a specific respondent or non-respondent from being disclosed?

Add Text Here

7. Will the answers of individual participants ever be shared with their leadership, or anyone else, in such a manner that they can link the answers with an individual with some degree of confidence? Will someone within any participant's chain of command be present at the focus group or interview?

Add Text Here

8. If you are collecting identifiers and the responses will be retrieved by an identifier, provide the Privacy Act System of Records Notice (SORN) Identification (ID) number and title and address, and whether a Privacy Impact Assessment (PIA) has been accomplished. IAW DoD 5400.11-R, "Department Of Defense Privacy Program, include a copy of the SORN and the PIA in the coordination package. Will the collection, retention, and use of the information be consistent with the SORN?

Add Text Here

K. Sensitive Questions.

1. Does the focus group/interview protocol contain any questions on sensitive topics, such as military operations, income, religious or political beliefs, discrimination, medical and health issues, sexual behaviors, risky behaviors, illegal or unethical activity, or any of the subjects mentioned in AR 360-1, paragraphs 5-3a(1) through 5-3a(20)? Provide justification for any questions of a sensitive nature and any explanation provided to respondents related to asking sensitive questions.

Add Text Here

2. Could answering any question implicate the respondent in violating the law (e.g., Uniform Code of Military Justice [UCMJ])? If unsure, check with legal counsel for a determination.

Add Text Here

L. Information Technology and Protection of Army Focus Group/Interview Data.

1. Where are you collecting, storing, and/or processing the data? Select all type(s) of information systems (IS) that apply.
 - Army IS
 - DoD IS
 - Other Federal IS
 - Commercial or Contractor's IS
 - Personal computer and/or other privately owned device
 - Other IS
(describe) _____
 - Not applicable
2. If "Commercial or Contractor's IS", Personal computer and/or other privately owned device" or "Other IS" is selected for question L.1, provide the Authority to Operate (ATO), Interim Authority to Operate (IATO), or other proof that the IS has been authorized by the Army, DoD, or other Federal authority to collect and host data (IAW DODI 8510.01, DODI 8582.01, AR 25-2).

Add Text Here

3. If commercial off-the-shelf software is used to administer the protocol on an Army, DoD, or other Federal IS, provide a copy of the software's Certificate of Networthiness (CON), issued by the Army CIO/G-6 or equivalent DoD or Federal authority (IAW AR 25-1, DODI 8582.01).

Add Text Here

M. Presentation or Publication of Results.

1. How will the results be used? To whom will results be presented, and how (e.g., presentations to Army leaders and decision makers, presentations at conferences, speaking engagements, presentations or briefings to other Federal Government stakeholders, and any planned reports or publications)?

Add Text Here

2. Provide the name, organization and contact information for any OPSEC Level II Certified Officer who has reviewed your data collection plans or will review your write-up of results. If this protocol contains sensitive questions, the data collection plans and protocol may need to be cleared by the OPSEC Level II Certified Officer prior to ARI approval. Refer to Part K of this form for examples of sensitive topics.

Add Text Here

3. If you plan to share results with non-DoD persons, provide the name, organization and contact information for the Public Affairs Officer (PAO) who will review your write-up of results prior to release to non-DoD persons. If this protocol contains sensitive questions, the data collection plans and protocol may need to be cleared by the Public Affairs Officer prior to ARI approval. Refer to Part K of this form for examples of sensitive topics.

Add Text Here

- N. Human Subjects Review.** Provide documentation on whether an Army or DoD Institutional Review Board (IRB) or Human Research Protections Office has done any of the following: (a) received an application for review, (b) determined that the focus group/interview is not deemed human subjects research as defined by Title 32, §219.101 and is therefore exempt from a full human subjects review, or (c) has approved the data collection.

Add Text Here

- O. Cost Analysis.** Provide the cost analysis conducted using the DoD Cost Guidance Portal located at <https://www.cape.osd.mil/CostGuidance>, IAW DoDI 8910.01 (Enclosure 2, para 4.c.(2)) requirements. Ensure that the cost analysis includes not only the costs associated with the participants' time, but also the costs associated with researchers' time spent planning and administering the data collection, and other data-collection costs (such as costs for travel, materials, and mailing, if applicable).

Add Text Here

Appendix D

Army Research Institute, Creighton Institutional Review Board, and Army Human
Research Projects Office Approvals

Army Research Institute License

SURVEY APPROVAL AUTHORITY:

U.S. ARMY RESEARCH INSTITUTE FOR THE BEHAVIORAL AND SOCIAL
SCIENCES

SURVEY CONTROL NUMBER: DAPE-ARI-AO-18-42

RCS: MILPC-3

EXPIRES: 09/17/2019

Army Research Institute contact information:

U.S. Army Research Institute (ARI)

(703) 545-2332

DSN: 865-2332

**Institutional Review Board**

2500 California Plaza • Omaha, Nebraska 68178
 phone: 402.280.2126 • fax: 402.280.4766 • email:
 irb@creighton.edu

DATE: October 9, 2018

TO: Mark Towne, EDD
 FROM: Creighton University IRB-02 Social Behavioral

PROJECT TITLE: [1324081-1] THE LEADERSHIP PIPELINE – ANTECEDENTS TO DEVELOPING THE MOST CAPABLE ARMY RESERVE GENERAL OFFICERS

SUBMISSION TYPE: New Project

ACTION: APPROVED

EFFECTIVE DATE: October 9, 2018
 EXPIRATION DATE: October 8, 2019
 TYPE OF REVIEW: Expedited Review

Thank you for your submission of New Project materials for this project. This project was reviewed using the expedited process, in which two or more IRB members review the protocol and attachments and make recommendations as to approval and/or modification. The reviewers for the above project have recommended that this project be approved. The following documents were received, reviewed and approved:

- Consent Form - Informed Cosent Letter (Version 2).docx (UPDATED: 10/6/2018)
- Creighton - IRB Application Form - Creighton - IRB Application Form (UPDATED: 09/26/2018)
- Data Collection - Interview Guide and Data Elements.docx (UPDATED: 09/26/2018)
- Letter - Draft solicitation.docx (UPDATED: 09/26/2018)
- Letter - United States Army authorization memo.pdf (UPDATED: 09/21/2018)
- Other - Army Research Institute License.docx (UPDATED: 09/21/2018)
- Study Plan - Study Design.docx (UPDATED: 09/21/2018)

The Creighton University IRB-02 Social Behavioral has APPROVED your submission. This approval is based on an appropriate risk/benefit ratio and a project design wherein the risks have been minimized. All research must be conducted in accordance with this approved submission.

The reviewers of this project have recommended approval. The consent documentation has been waived as, per 45 CFR 46. 117, this research presents no more than minimal risk of harm to subjects and involves no procedures for which written consent is normally required outside of the research context.

If you have any questions, please contact Kathleen Stibbs at (402) 280-2126 or kathleenstibbs@creighton.edu. Please include your project title and reference number in all correspondence with this committee.

This letter has been electronically signed in accordance with all applicable regulations, and a copy is retained within Creighton University IRB-02 Social Behavioral's records.



DEPARTMENT OF THE ARMY
OFFICE OF THE SURGEON GENERAL
7700 ARLINGTON BOULEVARD
FALLS CHURCH, VA 22042-5140

DASG-HRPO

23 October 2018

MEMORANDUM FOR Mark A. Towne, Doctoral Student at Creighton University, 2500 California Plaza, Omaha, NE 68178, mark.a.towne.mil@mail.mil

SUBJECT: Research Protections Administrative Review (RPAR) for Protocol "[1324081-1] The Leadership Pipeline – Antecedents to Developing the Most Capable Army Reserve General Officers," PI: Mark A. Towne

1. Review Outcomes

The Army Research Protections Office (AHRPO) RPAR of the above referenced protocol is complete, and AHRPO concurs with the Creighton University's Institutional Review Board's (IRB) approval of the project (memorandum dated 9 October 2018). RPAR review is required to ensure that Department of Defense (DOD) supported research involving human subjects is compliant with DOD requirements in DOD Instruction (DODI) 3216.02. DoD-supported research involving human subjects is defined as research involving human subjects for which the Department of Defense is providing at least some of the resources, including but not limited to funding, facilities, equipment, personnel (investigators or other personnel performing tasks identified in the research protocol), access to or information about DoD personnel for recruitment, or identifiable data or specimens from living individuals. It includes both DoD-conducted research involving human subjects (intramural research) and research conducted by a non-DoD institution. DOD is supporting the above referenced activity by providing access to Army Reserve General Officers under a letter of support (dated 29 August 2018) signed by LTG Charles Luckey, US Army, Chief of Army Reserves.

2. Requirements

Substantive Changes to the Protocol: The AHRPO must review and accept the IRB's determination when substantive modifications are made to this research protocol and any modifications that could potentially increase risk to subjects, before the changes are implemented to ensure compliance with the DODI 3216.02. Substantive modifications include a change in principal investigator, change or addition of an institution, elimination or alteration of the consent process, change to the study population that has regulatory implications (e.g., adding children, adding active duty population, etc.), significant change in study design (i.e., would prompt additional scientific review), or a change that could increase risks to subjects.

Continuing Review: The AHRPO must ensure an appropriate IRB continuing review occurred within the required timeframe. Submit communication from the IRB regarding any continuation approval or lapse in IRB approval.

Study Closure: The AHRPO should be informed of the date and reason for study closure (i.e., study completed, insufficient enrollment to sustain the research, etc.). The AHRPO must receive the final study report submitted to the IRB, including a copy of any acknowledgement documentation and any supporting documents, as soon as all documents become available.

Notification: The investigator should immediately notify the AHRPO of the occurrence of any of the following:

DASG-HRPO

SUBJECT: Research Protections Administrative Review (RPAR) for Protocol "[1324081-1] The Leadership Pipeline – Antecedents to Developing the Most Capable Army Reserve General Officers," PI: Mark A. Towne

- When the IRB used to review and approve the research changes to a different IRB;
- The knowledge of any pending, on-going or completed compliance inspection/visit by the Food and Drug Administration (FDA), Office for Human Research Protections of the U.S. Department of Health and Human Services, or other government agency concerning this research; the issuance of inspection reports, FDA Form 483, warning letters, or actions taken by any regulatory agencies including legal or medical actions;
- Suspension or termination of this research study by the IRB, the institution, the sponsor, or any regulatory agency;
- Substantiated unanticipated problems involving risks to subjects or others related to this research study; and
- Substantiated serious or continuing noncompliance related to this research study.

3. Other Considerations

If your activity will collect or elicit individuals' attitudes, opinions, behavior and related demographic, social, and economic data, then the activity may be subject to review and approval in accordance with DOD Instruction (DODI) 1100.13, DOD Surveys, and/or DODI 8910.01, Information Collection and Reporting. You may find more information about the Army Survey Approval process at the following: <https://ari.altess.army.mil/default.aspx> and <https://ari.altess.army.mil/pdf/InstructionsforArmySurveyReviewandApprovalforWeb.pdf>. Such approval is separate and distinct from AHRPO review and approval. If required, please forward a copy of their approval when obtained. AHRPO acknowledges that you have already obtained survey approval from the U.S. Army Research Institute for the Behavioral and Social Sciences (Control No. DAPE-ARI-AO-18-42; RCS: MILPC-3; expiration 09/17/2019).

4. Caution

Do not construe this AHRPO memorandum as IRB approval, DOD Institutional approval, or other DOD support agreement. This review confirms only that the above reference project is deemed by AHRPO to be compliant with the requirements identified in the DODI 3216.02.

5. Point of Contact

The AHRPO Point of Contact for any questions regarding this memorandum is Sarah Rule, at 703-681-8304 or sarah.p.rule.civ@mail.mil.

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Date: 2018.10.23 10:12:08 -0400'

Sarah Rule, MPH, CCRP
Research Ethics and Compliance Officer
Army Human Research Protections Office

Appendix E

Citi Program Certifications



Completion Date 27-Mar-2016
Expiration Date 27-Mar-2019
Record ID 19127990

This is to certify that:

Mark Towne

Has completed the following CITI Program course:

Human Research (Curriculum Group)
Group 2: Social & Behavioral Research (Course Learner Group)
1 - Basic Course (Stage)

Under requirements set by:

Creighton University



Verify at www.citiprogram.org/verify/?wcb57d3a9-be9b-4076-9fc8-bd52de5064d6-19127990



Completion Date 02-Apr-2016
Expiration Date 01-Apr-2020
Record ID 19127991

This is to certify that:

Mark Towne

Has completed the following CITI Program course:

Responsible Conduct of Research (Curriculum Group)
Social and Behavioral Responsible Conduct of Research Course (Course Learner Group)
1 - Basic Course (Stage)

Under requirements set by:

Creighton University



Verify at www.citiprogram.org/verify/?w436b1d8b-3a78-450a-be4c-d7b87e17d152-19127991



Completion Date 03-Jan-2019
Expiration Date 02-Jan-2022
Record ID 29843115

This is to certify that:

Mark Towne

Has completed the following Citi Program course:

Human Research (Curriculum Group)
Group 2: Social & Behavioral Research (Course Learner Group)
2 - Refresher Course (Stage)

Under requirements set by:

Creighton University



Verify at www.citiprogram.org/verify/?w00ec56e1-f0d5-4000-9e21-68b8d091cc03-29843115

Appendix F

Solicitation Letter

MEMORANDUM FOR ARMY RESERVE GENERAL OFFICERS

U.S. ARMY RESEARCH INSTITUTE FOR THE BEHAVIORAL AND SOCIAL SCIENCES

SURVEY CONTROL NUMBER: DAPE-ARI-AO-18-42

RCS: MILPC-3

EXPIRES: 09/17/2019

SUBJECT: Request for voluntary participation in a research study about Army Reserve general officers

1. I am Brigadier General Mark Towne. I currently serve as the Office of the Chief of Army Reserve G3 and am also a student at Creighton University working on a Doctor of Education degree in Interdisciplinary Leadership. I am conducting research for my dissertation about the experience of Army Reserve general officers balancing their civilian and military careers and would greatly appreciate if you could share your experience with me to inform my study.
2. The purpose of this memorandum is to invite you to participate in the study I am conducting by allowing me to interview you about your experience as an Army Reserve general officer. The aim of my qualitative study is to explore and describe the complexity and commitment inherent in the various career pathways of the Army Reserve general officer experience. Additionally, by providing informed insights about the implications of current policies, procedures, expectations, and executive leadership competencies associated with dual military and civilian employment, currently serving and future general officers may find the information useful in navigating their careers. Finally, policymakers may consider whether the current approach to talent management yields the best Army Reserve generals for the most senior strategic leadership positions.
3. I have attached for your review, the authorization to participate, should you choose to do so, signed by LTG Luckey, Chief of Army Reserve and Commanding General, United States Army Reserve Command. Your identity will not be released to anyone without your consent. Participation in this study is voluntary and no compensation is authorized.
4. If you choose to participate, the interview will be conducted within the next 30-90 days at a time that is convenient for you. Ideally, we will meet in-person but, if due to scheduling, that is not possible, video-conferencing or telephonic interviews will be the medium for our discussion. Expect the interview to last 60 to 90 minutes.
5. Your participation in this project sharing your experiences and insights as an Army Reserve general officer will be a tremendous benefit to the future of the entire Army Reserve. If you would like your participation considered, please contact me at mark.a.towne.mil@mail.mil.

Sincerely,
Mark Towne

Appendix G

IRB Approved Informed Consent Letter

MEMORANDUM FOR ARMY RESERVE GENERAL OFFICERS

U.S. ARMY RESEARCH INSTITUTE FOR THE BEHAVIORAL AND SOCIAL SCIENCES

SURVEY CONTROL NUMBER: DAPE-ARI-AO-18-42

RCS: MILPC-3

EXPIRES: 09/17/2019

SUBJECT: Informed Consent Letter

Dear participant,

Thank you for agreeing to be interviewed for this research project. The aim of this qualitative study is to explore and describe the complexity and commitment inherent in the various career pathways of the Army Reserve general officer experience. The purpose of the interview is to gather data about your personal experiences balancing civilian and military careers.

Your participation in this project sharing your experiences and insights as an Army Reserve general officer will be a tremendous benefit to the future of the entire Army Reserve. By providing your informed insights about the implications of current policies, procedures, expectations, and executive leadership competencies associated with dual military and civilian employment, currently serving and future general officers may find the experiences useful in navigating their careers. Your insights may also influence policymakers regarding talent management practices that will yield the best senior strategic leaders in the Army Reserve.

The interview should last between 60-90 minutes and will consist of answering questions about your experiences as a general officer in the Army Reserve. Your statements will be manually recorded and transcribed. I will also send you a copy of the transcribed notes of your interview, via encrypted email, in the event you would like to review them for accuracy.

Participation in this study is voluntary. Any data collected will be confidential and your anonymity will be protected at all times. There will be no risk, personal direct benefit, or compensation to you or anyone involved in the study. Your relationship with the Army Reserve will not be affected by your participation or non-participation and you may withdraw from this research project at any time. Data collected during the interview will be stored on a U.S. Government computer to protect your information and I will be the only person with access. Upon conclusion of the study the transcript associated with your interview will be destroyed.

I have also provided you a copy of the Bill of Rights for research participants. If you have any questions about this study, please contact me at mark.a.towne.mil@mail.mil or 703-887-5567.

Sincerely,
Mark Towne
Creighton University, Doctoral Candidate

Appendix H

Army Reserve Public Affairs Security Release

This DIP is submitted to fulfill requirements for the Doctor of Education degree through Creighton University. The views expressed in this study do not reflect the official policy or position of the Department of the Army, Department of Defense, or the United States Government. The Department of the Army has conducted an OPSEC and Public Affairs review and cleared it for release.