U.S. ARMY SERGEANTS MAJOR ACADEMY (BNCOC)

OCT 04

BNCOC STUDENT PACKAGE 1

Stand Alone Common Core

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BNCOC STUDENT PACKAGE

PFN	Table of Contents
T340	Suicide Prevention
T321	The Risk Management Process
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L328	Counsel Subordinates
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L336	Motivate Subordinates to Accomplish Unit Mission
L324	Ethical Behavior
L338	Apply the Ethical Decision-Making Method at Small Unit Level

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HANDOUTS FOR LESSON 1: T340 version 2

This appendix contains the items listed in this table--

Title/Synopsis	Pages
SH-1, Advanced Sheet	SH-1-1 and SH-1-2
SH-2, Draft Army Suicide Prevention - A Guide for Installations	SH-2-1 thru SH-2-50
SH-3, Draft Suicide Prevention Leader Training Slides	SH-3-1 thru SH-3-16

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Student Handout 1

Advance Sheet

Lesson Hours This lesson consists of three hours of group discussion.

Overview Suicide prevention must be the business of every leader, supervisor, soldier, and civilian employee in the United States Army.

Learning Objective Terminal Learning Objective (TLO)

Action:	Describe the Army's Suicide Prevention Program
Conditions:	As a squad leader in a classroom or unit environment, given Army Suicide Prevention - A Guide for Installations (Draft), and Suicide Prevention Leader Training (Draft).
Standards:	Described the Army's Suicide Prevention Program by-- • defining the barriers of the Army's Suicide Prevention Model, • explaining unit leadership responsibilities for identifying high risk individuals for suicide, • identifying caring and proactive leader's responsibilities in suicide prevention, • identifying leadership responsibilities for encouraging help seeking behaviors within their subordinates, • explaining the leader's role in teaching positive life coping skills development to their soldiers and civilian personnel, • identifying intervention and applied suicide intervention skills training (ASIST) to assist commanders, IAW Army Suicide Prevention - A Guide for Installations (Draft), and Suicide Prevention Leader Training (Draft).

ELO A Define the principles and barriers of the Army's Suicide Prevention Model.
ELO B Explain unit leadership responsibilities for identifying high-risk individuals for suicide.
ELO C Identify caring and proactive leader's responsibilities in suicide prevention.
ELO D Identify leadership responsibilities for encouraging help seeking behaviors within their subordinates.
ELO E Explain the leader's role in teaching positive life coping skills development to their soldiers and civilian personnel.
ELO F Identify intervention and applied suicide intervention skills training (ASIST) to assist commanders.

Assignments

The student assignments for this lesson are:

- Read Army Suicide Prevention—A Guide for Installations and Units, Chapters 1 thru 5, Draft (SH-2).
- Read Suicide Prevention Leader Training, Draft (SH-3).

Additional Subject Area Resources

None

Bring to Class

You must bring the following materials to class:

- All reference material.
- Pen or pencil.
- Writing paper.

Student Handout 2

ARMY SUICIDE PREVENTION – A GUIDE FOR INSTALLATIONS AND UNITS

This Student Handout Contains

This student handout contains 49 pages of material from the following publication:

Army Suicide Prevention – A Guide for Installations and Units (Draft), July 2002

Cover Sheet	page SH-2-2
Deputy Chief of Staff, G-1, Statement	page SH-2-3
Summary	page SH-2-4
Contents	page SH-2-5
Chapters 1 thru 7	pages SH-2-6 thru SH-2-31
Annex A, Strategies	pages SH-2-32 thru SH-2-37
Annex B, Checklists	pages SH-2-38 and SH-2-39
Annex C, Suicide Risk	pages SH-2-40 and SH-2-41
Annex D, Definitions	pages SH-2-42 thru SH-2-45
Annex E, Abbreviations/Acronyms	pages SH-2-46 and SH-2-47
Annex F, References	page SH-2-48
Annex G, Useful Web Sites	page SH-2-49

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Headquarters, Department of the Army, G-1

Army Suicide Prevention – A Guide for Installations and Units

Draft

July 2002 Version

Army Suicide Prevention – A Guide for Installations and Units

1. The Army's strength rests with our soldiers, civilians, retirees, and their families, each being a vital member of our institution. Suicide is detrimental to the readiness of the Army and is a personal tragedy for all those affected. Therefore, suicide has no place in our professional force!

2. We all realize the inherent stress and burdens placed upon our soldiers, civilians and their family members. What defines us as an institution is our compassion and commitment to promoting a healthy lifestyle by emphasizing physical, spiritual and mental fitness. This contributes to the overall well-being of the force and readiness of the Army. Therefore, we must remain cognizant of the potential suicidal triggers and warning signs so that we can raise awareness and increase vigilance for recognizing those whom might be at risk for suicidal behaviors. Furthermore, we must create a command climate of acceptance and support that encourages help-seeking behavior as a sign of individual strength and maturity.

3. Suicide prevention, like all leadership challenges, is a commander's program and every leader's responsibility at all levels. However, the success of the Army Suicide Prevention Program (ASPP) rests upon proactive, caring and courageous soldiers, family members and Army civilians who recognize the imminent danger and then take immediate action to save a life. We need your help to minimize the risk of suicide within the Army to stop this tragic and unnecessary loss of human life. Suicide prevention is everybody's business and in The Army, EVERYONE MATTERS!

JOHN M. LE MOYNE
Lieutenant General, GS
Deputy Chief of Staff, G-1

Headquarters
Department of the Army
Washington, DC
November 2002

Army Suicide Prevention – A Guide for Installations and Units

Summary. This booklet contains the framework to build and organize suicide prevention programs within Army Installations. It represents a refinement of the Army Suicide Prevention Program (ASPP) as currently prescribed in AR 600-63 and DA PAM 600-24. It explains new initiatives and offers recommendations, strategies and objectives for reducing the risk of suicidal behavior within the Army.

Suggested Improvements. The proponent agency of this program is Headquarters, Department of the Army, G-1. Users are encouraged to send comments and suggested improvements directly to DAPE-HRP, 300 Army Pentagon, Room 2B659, Washington D.C. 20310-0300, ATTN: The Army Suicide Prevention Program Manager.

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Chapter One – Introduction

"A leader is a dealer in hope"
Napoleon

1-1. Magnitude of the Problem

During the 1990's, the Army lost an equivalent of an entire battalion task force to suicides (803 soldiers). This ranks as the third leading cause of death for soldiers, exceeded only by accidents and illnesses. Even more startling is that during this same period, five-times as many soldiers killed themselves than were killed by hostile fire.

To appreciate the magnitude and impact of suicide, consider that most suicides have a direct, lasting impact on between 6-7 intimate family members (spouse, parents, children), and numerous others including relatives, unit members, friends, neighbors, and others in the local community.

1-2. Army Suicide Prevention Program Goal

The goal of any Army Suicide Prevention Program is to minimize suicidal behavior among our soldiers, retirees, civilians and family members. Suicide behavior includes self-inflicted fatalities, non-fatal self-injurious events and suicidal ideation.

Suicide prevention is an evolving science. It is our responsibility to utilize the best-known available methodology in caring for our soldiers, retirees, civilians and family members. The success of our efforts will be measured by the confidence and conscience of knowing that:

- ✓ we have created and fostered an environment where all soldiers, civilians and family members at risk for suicide will quickly be identified and receive successful intervention and appropriate care;
- ✓ where help-seeking behavior is encouraged and accepted as a sign of individual strength, courage and maturity, and;
- ✓ where positive life-coping skills are taught and reinforced by all leaders.

1-3. CSA Statement

In 2000, following a 27% increase in the number of reported suicides within the Army during 1997-1999, the CSA, General Eric K. Shinseki, stated that suicide is a "serious problem" and directed a complete review of the ASPP. He called for a campaign that would refine the ASPP by making use of the best-known available science, and would also invigorate suicide prevention awareness and vigilance. He further stated that for the program to be effective, the framework must:

- involve all commanders
- be proactive
  - intensify preventive efforts against suicidal behavior
- invest in our junior leaders
  - improve current training and education

Chapter Two - Understanding Suicide Behavior

"We cannot possess what we do not understand."
Goethe

2-1. A Model for Explaining Dysfunctional Behavior

Human behavior is an action influenced by one's genetic composition, shaped by developmental history, and usually as a reaction to a particular stimulus within the environment. The model provided in Figure 1 graphically illustrates how one's genetics, background and current environment can contribute to dysfunctional behavior. Some individuals are born predisposed towards psychiatric illness and/or substance abuse, which makes them more susceptible or vulnerable for certain types of dysfunctional behavior, including suicide. Childhood experiences filled with abuse, trauma, and/or neglect during the crucial, formative stages of personal development will also have a detrimental affect on the development of positive life-coping skills. A "non-supportive environment," whether at work or home, filled with stress, resentment, ridicule, or ostracized from family or friends, might also be conducive to dysfunctional behavior.

A Model for Understanding
Dysfunctional Health-Risk Behaviors

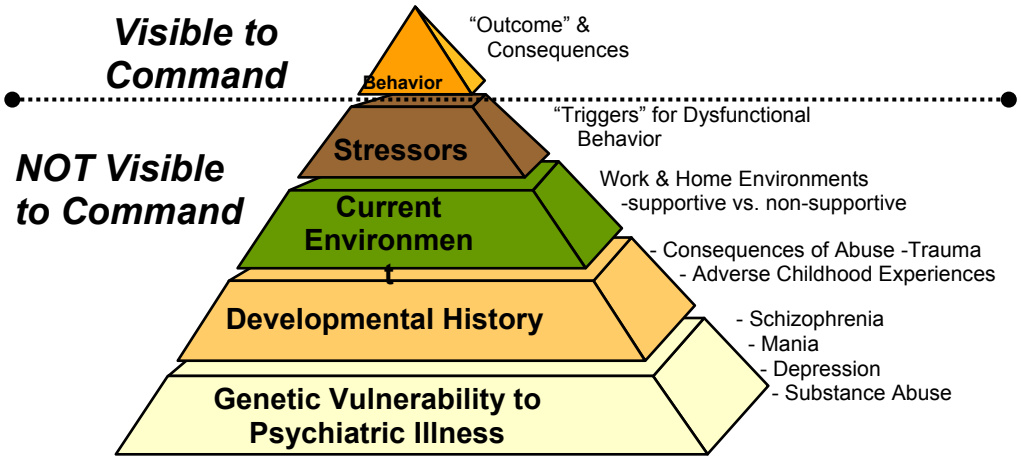


FIGURE 1

Leaders should realize that soldiers and civilians enter into the Army with varying levels of life-coping skills and resiliency as determined by their genetic disposition, developmental and environmental influences. Leaders should not assume that all soldiers and civilians entering the Army can adequately handle the inherent stress of military service or even life in general, especially if they are already predisposed to psychiatric disorder. Although it is unrealistic for a leader to understand the genetic composition of the soldier and civilian, or know their complete developmental history, leaders can make proper assessments of their life-coping skills by observation and personal dialogue focused on learning and understanding the soldier's background. This chapter is designed to explain the causes of suicide and inform leaders of common danger and warning signs so they can properly anticipate suicidal, or other dysfunctional behavior, and make preemptive referrals to professional mental health care providers before a crisis ensues.

2-2. Mental Disorders.

Mental disorders "are health conditions that are characterized by alterations in thinking, mood, or behavior, which are associated with distress and/or impaired functioning and spawn a host of human problems that may include disability, pain, or death."[1] Mental

disorders occur throughout society affecting all population demographics including age, gender, ethnic groups, educational background and even socioeconomic groups. In the United States, approximately twenty-two percent of those between the ages of 18 – 64 years had a diagnosis of some form of mental disorder.[2] Mental illness is more common than cancer, diabetes, or heart disease, filling almost 21 percent of all hospital beds at any given time. In fact, the number one reason for hospitalizations nationwide is a biological psychiatric condition. Mental disorders also affect our youth. At least one in five children and adolescents between 9 – 17 years has a diagnosable mental disorder in a given year, about five percent of which are extremely impaired.

Mental disorders vary in severity and disabling effects. However, current treatments are highly effective and offer a diverse array of settings. The treatment success rate for schizophrenia is sixty percent, sixty-five percent for major depression, and eighty percent for bipolar disorder. This compares to between 41-52 percent success rate for the treatment of heart disease.

In 1996, the Assistant Secretary of Defense for Health Affairs commissioned Dr. David Schaffer, a leading authority on suicide prevention, to analyze the Department of Defense Suicide Prevention Programs. He completed his study that included an in-depth analysis of each service suicide prevention program, in 1997. A key point stressed by Dr. Schaffer was that most suicides are associated with a diagnosable psychiatric disorder such as depression and/or substance abuse. These disorders generally manifest themselves in some form of clinical depression, a disorder that can increase suicidal risk (often in combination with substance abuse), anxiety, impulsiveness, rage, hopelessness and/or desperation.

Although it is the responsibility of the professional mental health care provider to diagnose a mental disorder, there are certain behaviors that indicate an underlying mental disorder. Leaders should be cognizant of these warning behaviors that might indicate the presence of a mental disorder which place soldiers at risk for suicide or other dysfunctional behavior. They are:

- impulsiveness or aggressive-violent traits,
- previous other self-injurious acts,
- excessive anger, agitation, or constricted preoccupations,
- excessive alcohol use,
- heavy smoking, and
- evidence of any sleep or eating disorder.

Leaders who spot such behavior and/or suspect that one of their soldiers or civilians is suffering from a mental disorder should notify their chain of command so that the commander can decide upon making a referral to a mental health care provider. It is important to note that persons with mental disorders are often unable to appreciate the seriousness of their problem, as the disorder frequently distorts their judgement. Therefore, they must rely upon others for assistance.

2-3. Developmental History

Developmentally, the home/family environment where reared will influence one's behavior. Unfortunately, many of today's youth are growing up in "non-traditional" homes, without two consistent parenting figures. This can be detrimental to the

development of "well-adjusted" individuals capable of handling life's general stresses and potentially lead to dysfunctional behavior, including suicide. According to Tondo and Baldessarini,[3] the suicide rate for America's youth is higher in single-parent families, especially when the father is not present. This is particularly alarming considering that over 40% of the youth today are from "non-traditional" homes,[4] which could explain why the suicide rate among America's youth is rising.

Childhood abuse or neglect might also adversely affect the positive development of life-coping skills and lead to dysfunctional behavior. A research article released in 1998 by the American Journal of Preventive Medicine commonly referred to as "The ACE Study," (adverse childhood experiences) stated that there was a "strong graded relationship between the breadth of exposure to abuse or household dysfunction during childhood and multiple risk factors for several of the leading causes of death."[5] These adverse childhood experiences include psychological, physical or sexual abuse, and exposure to dysfunctional behaviors including living with a substance abuser, someone with a mental illness, domestic abuse, or criminal activity. As exposures to ACEs increased, so did the risk of several health-related problems including smoking, obesity, depression, use of illegal drugs, promiscuity, and even suicide. According to Legree[6] in a report published in 1997, the consequences of these adverse childhood experiences could cause friction within the Army as those recruits that have been abused can:

- have a significant distrust of authority figures,
- have an over-reliance on self,
- tend to form sexualized relationships prematurely,
- have a increased risk for substance abuse,
- not easily transfer loyalty to institutions such as the Army, and
- have a "me-oriented" attitude, often seeking short-term payoffs.

Other studies indicate that adverse childhood experiences may be prevalent within our recruits. A U.S. Naval Behavioral Health Research Study released in 1995 reported approximately 40% of all Naval recruits self-report having been raised in homes where they were physically and/or sexually abused and/or neglected.[7] In the same study, 45.5 percent of all female recruits reported having a sexual assault before entering the service.

Although today's youth tend to be more technologically astute than previous generations, generally they have less developed relationship skills, especially in anger management. With the prevalence of personal computers and multiple televisions within the household, many of American's youth are spending less time personally interacting with others, which can lead to deficiencies in the development of healthy social skills. As with physical and mental skills and abilities, recruits enter the Army with varying levels of social and life coping skills. A prudent leader will recognize this fact, attempt to assess those assigned to his or her care, and determine who might require remedial assistance and mentoring.

2-4. Influence of the Current Environment

The Army's opportunity for intervention and influencing behavior begins when the soldier or civilian reports to initial entry training (IET) (or equivalent) and lasts beyond their term of service. This intervention can either have a positive or negative influence on their behavior. Small unit leaders should strive to positively impact constructive life coping skills and create an environment filled with support, respect and acceptance,

where individuals feel they are an integral part of a team. This supportive environment can potentially block certain types of dysfunctional behavior by providing soldiers and civilians a support system and adequately equipping them to properly handle life's stressors. The results or reward of a supportive environment (represented in the top left "output" box in Figure 2) will be a better-adjusted individual. Conversely, if the small unit leader creates an environment where negative life coping skills are reinforced or positive life coping skills are ignored, such an environment could then possibly contribute to dysfunctional behavior (represented in the top right "output" box in Figure 2).

Small unit leaders have the most crucial role in establishing and determining the conditions of the soldier and civilian's work environment. These leaders should strive to have a positive influence on them by being a proper role model for them to emulate. For some soldiers and civilians, their role and camaraderie within their unit and the relationship with their first line supervisor might be the only positive, life-sustaining resource available to them in times of adversity. Therefore, everyone should take this responsibility seriously.

Senior leaders are responsible for the development of junior leaders to ensure that they are aware of the importance of being a proper role model and fostering a positive work environment. Commanders and senior Non-commissioned officers and civilian leaders should constantly assess their junior leaders' ability to positively influence behavior. It could be a disastrous mistake to assume that all junior leaders are reinforcing positive life coping skills in the presence of their soldiers and civilians, especially considering that over half of the Army suicides within CY 2001 were in the rank of Sergeant or above (including commissioned officers).

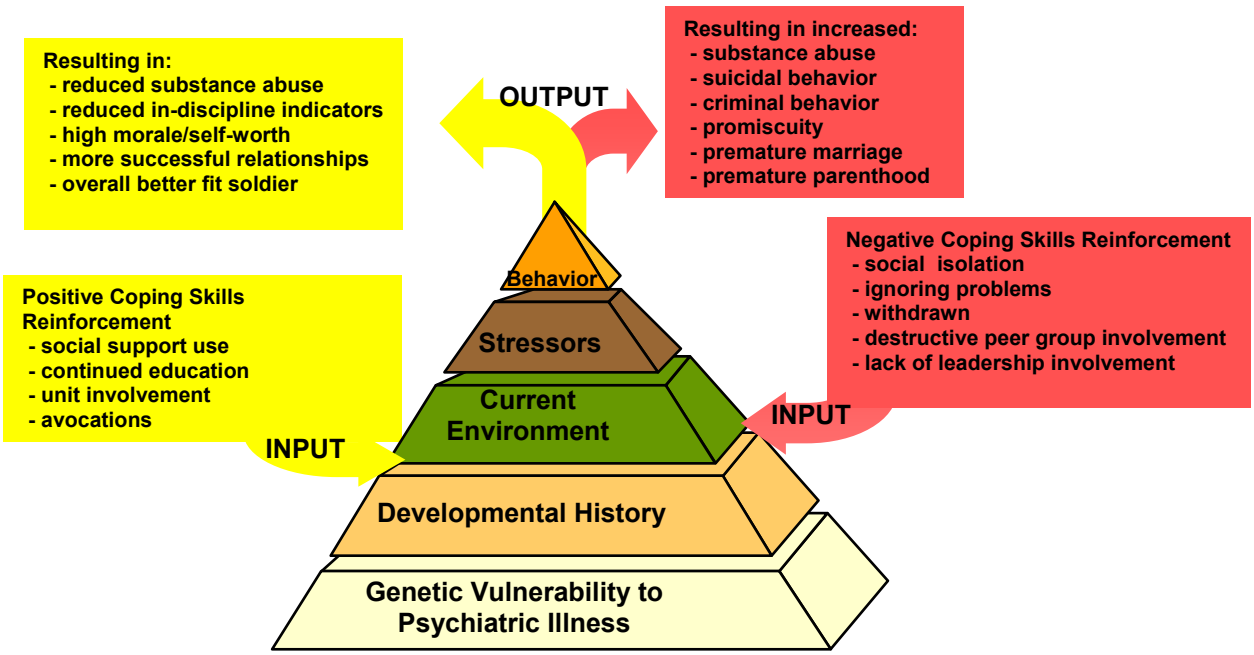


FIGURE 2

Not all suicidal behavior is preventable, but time invested in the positive behavioral development of our soldiers can yield many benefits, especially for younger soldiers.

2-5. Suicide "Triggers"

Although psychiatric illness or substance abuse contributes to a majority of all suicides, the timing of suicide behavior and a significant emotional event, particularly those involving a loss, separation or any change in one's self-esteem and confidence are often linked together.

A review of Army psychological autopsies reveal that approximately seventy-five percent of all soldiers that commit suicide were experiencing "significant problems" within a personal, intimate relationship. In addition, about half had just received or were pending some form of legal action (whether civilian or UCMJ). Approximately forty-two percent were experiencing financial problems and thirty-four percent were known to be suffering from either drug or alcohol abuse problems. Many of the soldiers that completed suicides were experiencing more than one of the problems mentioned above. Leaders must realize that each individual will handle a particular life stressor differently. Some will require assistance, which can range from talking with a friend, to professional counseling. Ignored, or left without any assistance, the stressor can turn into a "life crisis," which could lead to suicide ideation or behavior. Therefore, all leaders should anticipate potential "life crises" and ensure that the individual has the proper resources to handle the adversity. This might include appointing a "life-line" buddy to watch over the individual until the crisis has passed or referral to the unit chaplain or other professional counselors.

Provided below is a list of potential triggers for suicide.

- Loss of a loved one to illness or death.
- Loss of a significant, intimate relationship (divorce, separation, break-up).
- Loss of a child custody battle.
- Loss of friendship or social status (social isolation or ostracism).
- Loss of a job, rank (UCMJ or civilian legal action, separation).
- Loss of freedom (incarceration).
- Loss of financial security (pay loss/reduction, gambling debts, bankruptcy).
- Loss of self-esteem (humiliation, pass over for promotion or schooling).
- Loss of hope or feeling helpless.
- Loss or change in lifestyle (unwanted PCS, major deployment).

Obviously, a common theme for all these potential triggers for suicide is associated with some form of a loss.

2-6. Reasons for Dying

To the "well adjusted" person, suicide is an irrational act. This attitude however might interfere with a person's ability to promptly intervene if they assume that everyone shares their opinion. Some consider suicide a method of ending or escaping from pain or other problems. An understanding of the psychodynamics of suicide is crucial for understanding and potentially predicting suicidal behavior. Dr. Tondo and Baldessarini in an article in Psychiatry Clinical Management,[3] explained suicide psychologically "as an excessive reaction arising from intense preoccupation with humiliation and disappointment that is driven by punitive and aggressive impulses of revenge, spite, or self-sacrifice, wishes to kill and be killed, or yearning for release into a better experience through death."

As previously mentioned, a review of the psychological autopsies revealed that many suicides occurred during or immediately following a problem with an intimate relationship. Some of these suicides could be explained as "death as retaliatory abandonment," a termed coined by Dr. Hendin.[8] In these particular cases, the suicide victim attempts to gain an "illusory control over the situation in which he was rejected." By committing suicide, the victim believes that they will have the final word by committing the final rejection, thus maintaining "an omnipotent mastery through death." An example could be a person who commits suicide following a loss of an intimate relationship where the spouse or significant other initiated the break-up. Here the person attempts to regain control over the situation and dictate the final outcome, which is to reject life.

Another potentially common reason for suicide within the Army is "death as a retroflexed murder" where according to Hendin; the suicide stemmed from anger and was an indirect attempt at revenge against another person. An example could be a soldier returns from an extended deployment and discovers that their spouse is (or was) having an affair. The soldier's feelings turn into a "murderous rage" which leads to suicide. In this example, suicide represents an inability to repress violent behavior, perhaps due to an "overt desire to murder," and allows the "murderous rage" to act out in a violent act against oneself.

Dr. Hendin also explains suicidal reasoning as "death as self-punishment," which he notes is more frequent in males. In these cases, perceived or actual failure causes "self-hatred" which leads to suicide as a form of "self-punishment." Hendin notes that this reaction is more common in men who place extremely "high and rigid" standards for themselves. An example could be a soldier who is pending UCMJ action, or perhaps possible separation from the Army and feels that they have failed and whether through humiliation or embarrassment, feels that they don't deserve to live.

Jobes and Mann[9] examined Suicide Status Forms from various counseling centers and determined that they could categorize suicidal patient's reasons for dying and that these categories vary with responses. They then listed the most frequent categories or reasons for dying which are listed below in descending order beginning with the most frequent.

- Escape – general. General attitudes of giving up or needing a "rest."
- General descriptors of self. References to self such as "I feel awful" or "I'm not worth anything."

- Others/relationships. References to other people such as “I want to stop hurting others” or “retribution.”
- Feeling hopeless. Statements referring to hopelessness such as “Things may never get better” or “I may never reach my goals.”
- Escape-pain. Statements about lessening the pain such as “I want to stop the pain.”
- Feeling alone. Statements that reflect loneliness such as “I don’t want to feel lonely anymore.”

2-7. Suicide Danger Signs

The list below contains immediate danger signs that suicide behavior is imminent.

- Talking or hinting about suicide.
- Formulating a plan to include acquiring the means to kill oneself.
- Having a desire to die.
- Obsession with death including listening to sad music or poetry or artwork.
- Themes of death in letters and notes.
- Finalizing personal affairs.
- Giving away personal possessions.

Anyone who recognizes these warning signs must take immediate action. The first step should be to talk to the individual, allow them to express their feelings and asked them outright and bluntly, “are you considering suicide?” or “are you thinking about killing yourself?” If their response is “yes” then immediate life-saving steps are required, such as ensuring the safety of the individual, notifying the chain of command or chaplain, calling for emergency services or escorting the individual to a mental health officer.

The most important point to consider is to never ignore any of these suicide danger signs or leave the suicidal person alone. After all, you might be the last person with the opportunity to intervene.

2-8. Suicide Warning Signs

The list below contains some warning signs that might precede suicide behavior. Although not as serious as the danger signs previously listed, they should not be disregarded and also require immediate personal intervention. The list includes:

- Obvious drop in duty performance.
- Unkempt personal appearance.
- Feelings of hopelessness or helplessness.
- Family history of suicide.
- Made previous suicide attempts.
- Drug or alcohol abuse.
- Social withdrawal.
- Loss of interest in hobbies.
- Loss of interest in sexual activity.
- Reckless behavior, self-mutilation.
- Physical health complaints, changes/loss of appetite.
- Complaints of significant sleep difficulties.

These signs signal that the person might be experiencing a life-crisis and requires assistance. It is the responsibility of all leaders and the duty of all soldiers and civilians to watch for these danger and warning signs and realize that they might not be capable of helping themselves and therefore, require immediate action.

In addition to the warning signs provided above, there are certain feelings or emotions that might precede suicide. The following is a list of possible feelings or attitudes that the individual at risk for suicide might be feeling. This does not suggest that everyone who has these feelings are at risk, but these feelings persist, then it could signal that the person is having difficulty coping with what ever has initiated the feelings. The most common feelings are:

- hopelessness or helplessness
- angry or vindictive
- guilty or shameful
- desperation
- loneliness
- sad or depressed

Leaders, soldiers and civilians must be confident that the "life crisis" has resolved itself before assuming that the person is no longer suicidal based solely upon the person's behavior. Some individuals might appear to be over their crisis, when in fact, they only appear "normal" because of the relief they feel in having decided on how they are going to resolve their problem through suicide.

2-9. Resources for Living.
Certainly, it is important to understand what causes suicide behavior, but it is also vitally important to understand those resources that offer protection against dysfunctional, self-injurious behavior. Tondo and Baldessarini provide the following list of protective factors against suicide.

- Intact social supports, including marriage.
- Active religious affiliation or faith.
- Presence of dependent young children.
- Ongoing supportive relationship with a caregiver.
- Absence of depression or substance abuse.
- Living close to medical and mental health resources.
- Awareness that suicide is a product of illness, not weakness.
- Proven problem-solving and coping skills.

Just as important as recognizing reasons for suicidal behaviors are reasons for living. Jobes and Mann categorized the top reasons for living in the list provided below (in descending order beginning with the most prominent).

- Family. Any mention of a family member's love.
- Future. Statements that express hope for the future.
- Specific plans and goals. Future oriented plans.
- Enjoyable things. Activities or objects that are enjoyed.
- Friends. Any mention of friends.

- Self. Statements about qualities of self such as " I don't want to let myself down."
- Responsibilities to others. Any mention of obligations owed to others or the thought of protecting others.
- Religion. Statements referring to religion.

Leaders should understand what serves as a source of strength or life-sustaining resource for the soldier and civilian and use them when counseling them through a particular crisis. Also, by understanding a soldier or civilian's life resources will alert the leadership to potential problems when one of those resources have been removed or is in danger.

Chapter Three – The Army Suicide Prevention Model

"Knowing is not enough, we must apply.
Willing is not enough, we must do."
Goethe

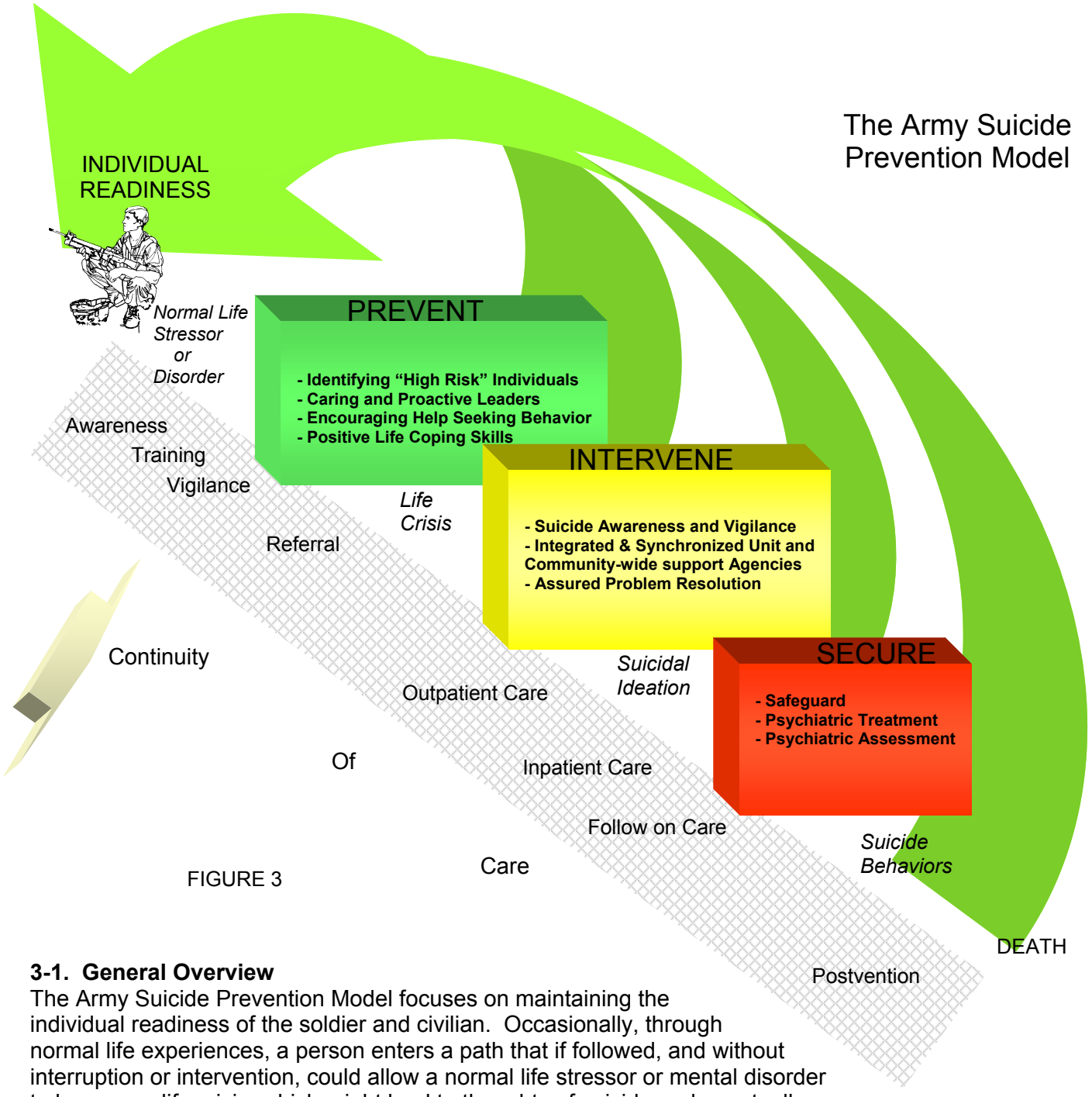


FIGURE 3

3-1. General Overview

The Army Suicide Prevention Model focuses on maintaining the individual readiness of the soldier and civilian. Occasionally, through normal life experiences, a person enters a path that if followed, and without interruption or intervention, could allow a normal life stressor or mental disorder to become a life crisis, which might lead to thoughts of suicide and eventually suicidal behavior and possible injury or death. Parallel to the suicidal path is a "safety net" that represents the Army's continuity of care. As the

actual suicidal risk escalates, so does our response by becoming more directive and involving more professional health care providers. To prevent a person from progressing down the suicidal path are three "barriers" which are: prevention, intervention, and secure. These barriers target specific programs and initiatives for varying degrees of risk to block any further progress along the suicidal path. Provided below is a quick outline of each of these "barriers" with more detailed strategies following in Chapters Four, Five, and Six.

3-1a. Prevent. Prevention is our "main effort" to minimize suicidal behavior. It focuses on preventing normal life "stressors" from turning into a life crisis. "Prevention Programming" focuses on equipping the soldier and civilian with the coping skills to handle overwhelming life circumstances that can sometimes begin a dangerous journey down a path to possible suicidal behaviors. This barrier allows the individual to operate "in the green" or at a high state of individual readiness. Prevention includes establishing early screening to establish baseline mental health and offer specific remedial programs before the occurrence of possible dysfunctional behavior. Prevention is absolutely dependent on caring and proactive small unit leaders who make the effort to know their subordinates, including estimating their ability to handle stress, and offer a positive, cohesive environment which nurtures and develops positive life coping skills.

3-1b. Intervene. Intervention is the barrier that prevents any life crisis or mental disorder to lead to thoughts of suicide. It recognizes that there are times when one should seek professional assistance/counseling to handle a particular crisis or treat a mental illness. In this area, early involvement is a crucial factor in suicide risk reduction. Intervention includes alteration of the conditions, which produced the current crisis, treatment of any underlying psychiatric disorder(s) that contributed to suicidal thoughts, and follow-up care to assure problem resolution. Commanders play an integral part during this phase as it is their responsibility to ensure that the particular problem or crisis has been resolved before assuming that the threat has passed. This barrier is color-coded "yellow" because it warrants caution and the individual readiness is not to an optimal level since the individual might be distracted by the life crisis.

3-1c. Secure. The third and final barrier in this model is perhaps the last possible opportunity to prevent an act of suicide. This occurs when an individual is at risk for suicidal behavior. When someone becomes suicidal, then someone must secure and protect them before they can harm themselves and/or others. This is "tertiary prevention" and requires immediate life-saving action. The focus within this area will be to educate everyone to recognize those suicidal danger and warning signs and if recognized, take immediate, life-saving action. This barrier is color-coded "red" due to the severity of the situation. This individual is considering or has already decided to commit suicide and is in imminent danger of harming him or herself, or possibly others as well.

3-1d. Continuity of Care. The safety net underneath the suicidal path within the model represents the continuity of care that the Army is required and obliged to provide those individuals at risk for suicide. It starts with awareness of the impact and magnitude of suicide within the Army. It continues with training, education, and ensuring constant vigilance of those who might be at risk for suicide. As the risks increases, so does the level of required care, including referrals to professional gatekeepers and if appropriate, in-patient care until assurance of problem resolution. The most intensive care will be required to those who actually commit a suicide act, ranging from medical care and

psychiatric therapy (for non-fatal suicide acts) to bereavement counseling for surviving family members and personal counseling for unit members for completed suicides.

The Army Suicide Prevention Model is to assist those who have any ambivalence towards dying. All leaders should understand that no suicide prevention plan will completely eliminate suicidal behavior. Despite our best efforts, there will always be some, whether through their genetic predisposition and/or their developmental history, who will be more susceptible to suicidal behavior. Some will travel down the path to suicide without ever displaying any recognizable danger signs. Some travel down the path very quickly and don't want any intervention. Suicide is an individual decision and therefore, ultimately, the responsibility of the individual. However, that doesn't relinquish our obligation, but only serves as a challenge to be vigilant and aware so that we can identify all who are at risk and apply the appropriate level of intervention.

Chapter Four – Prevention

A commander should have a profound understanding of human nature…
Sir Basil Liddell Hart

PREVENT

- **Identifying "High Risk" Soldiers**
  - Pre-screening for Adverse Childhood Experiences
- **Caring and Proactive Leaders**
  - Understanding Potential "Triggers"
  - Sense of Unit Belonging/Cohesion
- **Encouraging Help-Seeking Behavior**
- **Teach Positive Life Coping Skills**
  - Total Physical, Spiritual, and Mental Health
  - Avoidance of Stress-inducing Behaviors

TABLE 1

4-1. Identifying "High Risk" Individuals
This phase begins with pre-screening upon arrival for initial entry training (IET) within the Army to identify those individuals considered high risk for suicidal behavior. Today's recruits enter the Army with varying resiliency levels to handle stress, anger and intimate personal relationships. As previously discussed, some are predisposed to dysfunctional health risk behaviors. Recognizing that the baseline mental health of our inductees may be less than optimum requires proactive identification and targeted education/intervention and ongoing mentoring by unit leadership. This intervention will assist the first term soldier and civilian in avoiding some of the normal pitfalls that can lead to mental health dysfunction and subsequent early attrition. These pitfalls include:

- Premature marriage
- Premature parenthood
- Excessive debt
- Substance abuse
- Dysfunctional behaviors resulting in UCMJ
- Authority difficulties
- Inability to form positive supportive relationships
- Excessive time demands relative to time management skills
- Family of origin problems-acute and unresolved from past
- Dissonance between expectations and reality

4-2. Caring and Proactive Leaders
Although our first line of defense will be our soldiers and civilians," truly our most valuable player in suicide prevention will be the small unit leader or first line supervisor. These leaders must recognize that the most important resources entrusted to their care are their soldiers and civilians. Suicide prevention requires active and concerned leaders who express a sincere interest in the overall welfare of their subordinates. This includes taking the time to learn as much as they can about the personal dynamics of their subordinates. They must be able to recognize serious personal problems before they manifest themselves as dangerous dysfunctional behavior(s). Leaders should be trained to recognize the basic symptoms of a serious mood disorders such as depression and substance abuse. The intent is not to train leaders to make a clinical diagnosis, but rather to alert the chain of command of a particular concern, so that the commander can make an informed, "pre-emptive" decision to make a referral to a professional MHO. In addition, all leaders should be familiar with those stressors and

potential suicidal "triggers" and know when one of their soldiers or civilians are experiencing a crisis and might be at risk.

All leaders should strive to create and foster an environment of acceptance and cohesion for all members of their unit or section. No one should ostracize or make any member of a unit feel unwelcomed, regardless of their action. Everyone should feel that they are a valuable part of the team and that others depend on them. This is especially true when someone is facing a problem or potential life crisis, whether personal or professional.

4-3. Encouraging Help Seeking Behavior

All leaders should encourage help seeking behavior within their subordinates, without fear of repercussions. Many senior soldiers and civilians fail to seek professional assistance from a MHO for fear of reprisals, embarrassment, guilt, or shame. According to a 1998 DoD Survey of Health Related Behaviors Among Military Personnel, only 24 percent of soldiers surveyed believed that receiving mental health counseling would not hurt their career. It is therefore easy to understand that although 17.8 percent of soldiers feel that they have needed mental health counseling in the past, only 5.6 percent actually sought and received help.

DoD Survey of Health Related Behavior

		DOD
Perceived Need for Mental Health Counseling	**17.8%**	**17.6%**
Receipt of Mental Health counseling **from military mental health professional**	**5.6%**	**5.2%**
Perceived Damage to Career		
Definitely Will	17.7%	20.7%
May or May Not	**58.1%**	**59.8%**
Definitely Will Not	**24.2%**	**19.5%**

TABLE 2

Clearly, for our suicide prevention program to be effective, we have to reduce the perceived stigma of seeking mental health counseling. We can reduce the stigma by first ensuring against inadvertent discrimination of soldiers and civilians who receive mental health counseling, and secondly by supporting confidentiality between the individual and MHO. Both of these objectives will require comprehensive and command-supported efforts to review policies and procedures.

Confidentiality in the face of suicide risk must strike a balance between safeguarding the individual and/or the public and protecting their privacy rights. In order to enhance the ASPP and overall effectiveness of the mental health care services, commanders will respect and honor prescribed patient-doctor's privacy rights as prescribed in DoD Regulations, and applicable statutes, including Privacy Act, 5 U.S.C. 552a. Therefore, confidential mental health care communications shall, except as provided by DoD Regulations, not be disclosed. Exceptions to this general rule include, but are not limited to:

- when the patient has given their consent, or
- when the mental health professional believes that a patient's mental or emotional condition makes the patient a danger to himself or herself, or to any other person, or

- when the mental disorder indicates a degree of impairment otherwise suggesting unsuitability for retention in military service, or
- in the case of an adjustment disorder of a military member during the member's initial 180 days of military service, or
- military necessity to ensure the safety and security of military personnel, family members, or government property.

Therefore, mental health professionals will inform the responsible unit commander when one of their soldiers or civilians is at an elevated risk for suicide, or at risk for other dangerous behavior, or if the commander referred the individual. Otherwise, the individual's privacy takes priority and the Army will respect it.

4-4. Teach Positive Life Coping Skills Development

Prevention also includes developing the soldier and civilian's mental resiliency, emphasizing avoiding premature stress-inducing decisions (i.e., as getting married too young, or starting a family). It is important for all leaders to recognize that mental wellness is a component of the triad of overall individual fitness (physical and spiritual being the other two).

Positive life coping skills training may include alcohol abuse avoidance, financial management, stress and anger reduction, conflict management, and parenting and family life skills such as the Building Strong and Ready Families (BSRF) seminar originated within the 25th Infantry Division. BSRF offers married couples an opportunity to strengthen their relationship through various instruction and exercises. The seminar was targeted for those newly married couples who were interested in improving their communication skills and generally being better equipped to handle the stresses of married life, including child rearing. Programs such as BSRF are a great example of how to develop life-coping skills and will indirectly have a positive impact on reducing suicidal behavior.

Chapter Five – Intervention

The only thing that can save a human life is a human relationship!

5-1. Suicide Awareness and Vigilance

INTERVENE

- **Suicide Awareness and Vigilance**
  - Targeted Training for Specific Audiences
- **Integrated & Synchronized Unit and Community-wide support Agencies**
  - Accountability for Prevention Programs
- **Assured Problem Resolution**

This phase deals with individuals who are dealing with a particular crisis, that left untreated, can lead to suicidal behavior. Suicide intervention can involve anyone. The strategy of the ASPP is to train everyone in basic suicide awareness so they can spot someone who is displaying suicidal warning or danger signals and know what actions to take to protect the person at risk. Leaders will ensure that all of their subordinates have received this training at some point in their career. Conduct refresher training as required.

5-2. Applied Suicide Intervention Skills Training (ASIST)

Raising awareness and vigilance will invariably increase the number of "false-positives" or those who identified as at risk for suicide, but are not actually considering suicide. These "false-positives" could overwhelm community mental health resulting in increased workloads and longer referral times for those who are actually at risk. To reduce the number of "false-positives" and to assist the commanders in making an informed determination of suicidal risk, will require professional training (such as Living Works Applied Suicide Intervention Training – ASIST). This training must be easily accessible to the unit commanders, (a minimum of one person trained in every battalion). Such training is not just limited to chaplains. During Desert Shield and Storm, V Corps units sponsored many ASIST Workshops for unit leadership and civilians in preparation for an expected increase in the number of potential 'at-risk' individuals.

Founded as a partnership in 1983, Living Works Education is a public service corporation dedicated to providing suicide intervention training for front-line caregivers of all disciplines and occupational groups. The Living Works objective is to register qualified trainers in local communities, who in turn can prepare front-line gatekeepers with the confidence and competence to apply immediate "first-aid" suicide intervention in times of individual and family crises. The ASIST workshops include instruction on how to estimate suicidal risk and apply an intervention model that reduces the immediate risk of suicide. The purpose of ASIST is not to produce personnel qualified to diagnose mental disorders, or to treat suicidal individuals, but rather provide the immediate first aid response for those individuals until such time they can be referred to a trained, professional mental health care provider.

ASIST "T-2" is a two-day workshop that commanders should offer to all military and civilian gatekeepers. Each T-2 course is limited to approximately thirty individuals and requires two "T4T" level trainers.

ASIST T4T's. Each major installation should have at least two ASIST T4T qualified trainers that could conduct the ASIST T-2 workshops on their installations or within their geographical region. One of these two should be the installation Family Life Chaplain. Family Life Chaplains work closely with allied helping professionals within the installation and local community. In addition, part of their responsibilities include training Chaplains and their assistants assigned to Unit Ministry Teams. Family Life Chaplains have also received additional training that would enhance the ASIST training and would therefore be excellent candidates to sponsor and conduct the training. To become an ASIST "T4T" qualified trainer requires attendance of the five day trainers course taught by Living Works Education.

For every Family Life Chaplain in an installation, there should be an allied helping professional or mental health professional who will be the ASIST T4T training partner. This could be someone within the Family Advocacy Program, another Chaplain assigned to the post or installation, the Community Health Nurse, or any professional civilian or military counselor. Consider longevity, demeanor, ability (time) to conduct the workshops when deciding who should become an ASIST T4T.

ASIST Workshops. Each installation T4T team must conduct at least three ASIST workshops in the first year following the T4T qualification training. Priority candidates for this training are the primary and secondary installation gatekeepers as specified in para 6.3c.

For more information on Living Works, visit their web-site (address provided in Annex H).

5-3. Five Tiered Training Strategy
This training will be specialized, multi-tiered five specific groups, each with different responsibilities within ASPP. Figure 4 reflects these.

Army Suicide Awareness Training Model

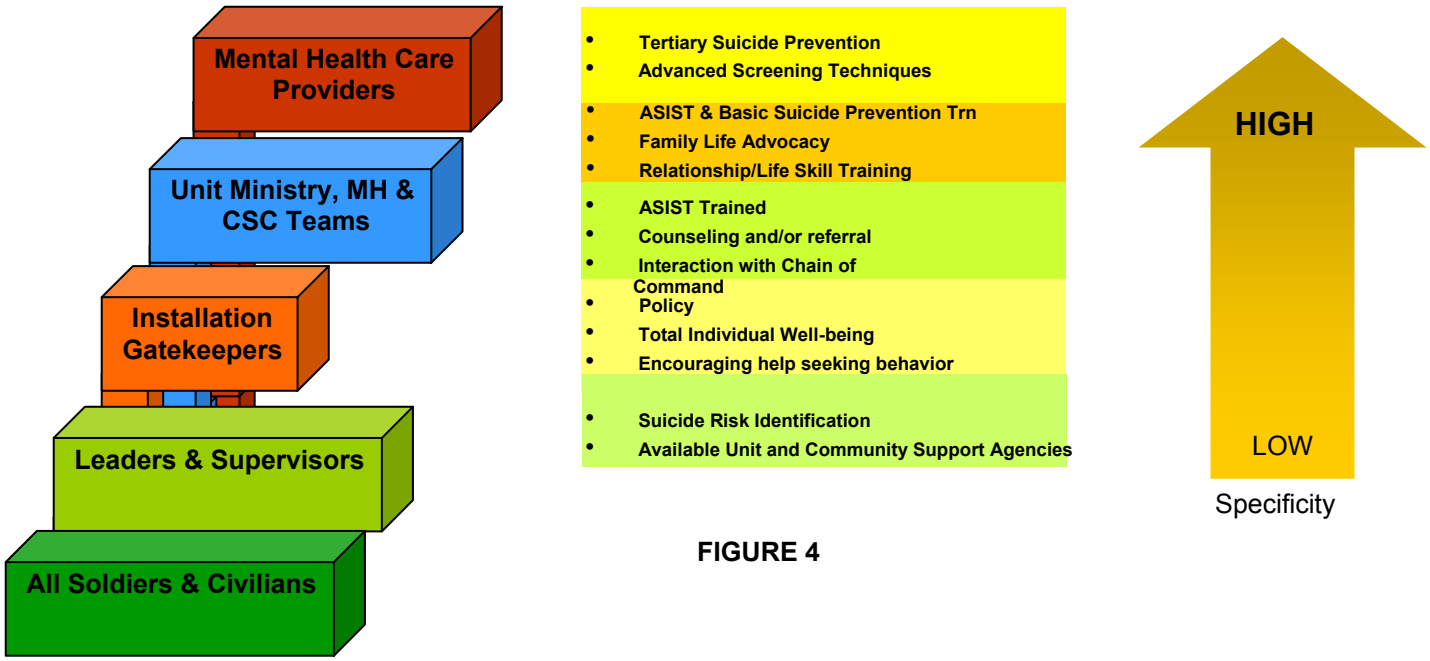


FIGURE 4

5-3a. Soldiers & Army Employees. All Army soldiers and civilian employees shall receive basic training stressing the importance of mental health, stress reduction, and life coping skills. They will also learn how to recognize suicide behavior and mental disorders that place individuals at elevated risk of suicide and how to react when they spot these issues. Most suicidal individuals give definite warnings of their suicidal intentions, but others are either unaware of the significance of these warnings or do not know how to respond to them. All soldiers and civilians should receive training on how to properly identify these warning signs and know what action to take.

They must realize they may be the only and/or last hope to save a fellow soldier or civilian. Many psychological autopsies reveal that those who committed suicide had told one of more of their fellow peers, but they did not believe the individual was serious or were embarrassed or afraid to intervene. Army units should turn to either their Unit Ministry Team, brigade or division mental health, combat stress control unit on post, or local mental health section for qualified instructors. Civilian supervisors should arrange training directly through the Installation Chaplains Office or local mental health department.

Unit commanders should also encourage suicide prevention training to all spouses through the Family Readiness Groups or other unit or installation spouse education/familiarization education classes/programs.

5-3b. Leadership Training. All Army leaders shall receive training on the current Army policy toward suicide prevention, how to refer their subordinates to the appropriate helping agency, and how to create an atmosphere within their commands of encouraging help-seeking behavior. Civilian supervisors will also receive training that focuses on referral techniques/protocols for their employees.

5-3c. Installation Gatekeepers. Installation gatekeepers, those individuals who in the performance of their assigned duties and responsibilities provide specific counseling to soldiers and civilians in need, will receive training in recognizing and helping individuals with suicide-related symptoms or issues. Gatekeepers can be identified as either a “primary gatekeeper” (those whose primary duties involve primarily assisting those in need and more susceptible to suicide ideation) and “secondary gatekeepers” (those whose might have a secondary opportunity to come in contact with a person at risk). The table below describes examples of each.

Primary Gatekeepers	Secondary Gatekeepers
Chaplains & Chaplain Assistants	Military Police
ADAPCP Counselors	Trial Defense Lawyers
Family Advocacy Program workers	Youth Services
AER Counselors	Inspector General Office
Emergency room medical technicians	DoD School Counselors
Medical Health Professionals	MWR Workers
Red Cross Workers	

5-3d. Unit Ministry Teams. Chaplains and their assistants belonging to each Unit Ministry Team will assume the lead in providing suicide prevention and awareness training for their respective units. All chaplains and assistants will therefore receive basic suicide prevention/awareness and ASIST T-2 Training as determined by the Chief of Chaplains. Utilizing the USACHPPM’s resource manual as a guide, each UMT should develop lesson

plans to provide the suicide prevention/awareness training to all ranks at the platoon and company level, and NCOPD and OPDs at the battalion level.

5-3e. Combat Stress Control Teams. The 85th Medical Detachment, Combat Stress Control, following the example first set by the Medical Activity and 1st Cavalry Division in the 1980s, conducts a "Combat Stress Fitness Course" once or twice a month at Fort Hood for soldiers referred directly from their units or by way of the mental health clinics. For five duty days, the students participate in classes and practical exercises on stress management, anger management and other life skills, taught by the CSC unit mental health officers and enlisted specialists in a military, not patient care, atmosphere. Finishing the course earns a certificate of completion which has positive value for advancement. Graduates of the course who entered as candidates for chapter separation from the Army have returned months later as soldiers of the quarter, to inspire the new class. The 98th CSC Detachment at Fort Lewis periodically conducts a similar program, both in garrison and in the field during field exercises. At Fort Bragg, the 528th CSC Detachment provides "train the trainer" courses to prepare unit leaders to give their own classes to the troops, including stress control and suicide prevention.

5-3f. Mental Health Professionals. Mental Health Care Professionals will develop advanced screening techniques that the command can use to identify soldiers and civilians in need of assistance with coping skills development and or who are potentially high risk for suicides. Mental health professionals, working with the Unit Ministry Teams, are required to actively educate leaders in suicide prevention and awareness.

5-4. USACHPPM Suicide Prevention Resource Manual

US Army Center for Health Promotion and Preventive Medicine has developed an excellent Suicide Resource Training Manual complete with lesson plans and slides. All units should use this resource manual in the preparation and execution of their suicide prevention training. An electronic version of this manual is available on the USACHPPM's web site (address provided in Annex H).

5-5. Integration and Synchronization – The Installation Suicide Prevention Committee

To integrate the available "pool of resources" within an installation and local community and synchronize these resources throughout the individual unit suicide prevention programs require a central controlling agency. This responsibility should fall to some form of a standing committee on each major installation and separate activity. This committee's main responsibilities are to establish, plan, implement, and manage the installation ASPP. It will maximize and focus available resources and ensure that the local unit ASPPs are "nested" within the overall installation plan.

In the Surgeon General's Call to Action, the Surgeon General places much emphasis on increasing awareness and enhancing intervention services at the community level. It is important that whatever the form of the local program, responsibilities must be clearly established and the installation commander closely monitors and supervises the progress of their specific suicide prevention program.

The intent of establishing an Installation Suicide Prevention Committee is to focus installation and community assets towards assisting in suicide awareness and prevention. Involvement of local agencies and unit training will have a synergistic affect, which will result in minimizing suicidal behavior. Although the exact composition will depend on the specific local requirements, the garrison or installation commander

should chair the standing committee and might involve representatives from the agencies listed below. Members could serve as either permanent or "ad hoc" members as the situation dictates.

Chair: Installation or Garrison Commander

Possible Members:

-ACS	-Trial Defense/SJA	-Family Advocacy	-PAO
-Provost Marshal	-CID	-Dept of Psychiatry	-AAFES
-Post Chaplain	-MWR	-Dept of Psychology	-ADAPCP
-CPAC	-Youth Services	-DOD Schools	-IG
-Safety	-Dental	-Red Cross	
-Dept of Social Services			

In addition to determining the exact membership of the committee, it is the installation commander's prerogative to determine how often the committee will meet or if the committee's responsibilities are included within another previously established installation committee, such as an installation risk/injury reduction committee. The actual name, composition and activities of the committee are at the discretion of the installation commander. If the commander determines that the size, location, or composition of the installation wouldn't sufficiently support such a committee, then that particular commander will coordinate with another installation commander for inclusion within their suicide prevention committee.

The ISPC should form subcommittees that meet on a more frequent basis. Subcommittees might include those responsible for monitoring training and preparing reports to HQDA, another might focus on postvention suicide reaction and would be responsible for preparing or reviewing the suicidal surveillance reports, and dispatching a critical event response team that would facilitate the healing process, provide assistance in arranging unit memorials, and prevent possible contagion or "copy cat" suicides. Another subcommittee might focus on the education/training of suicide prevention at the installation level.

Another important function of the ISPC will be to link installation agencies through a communications network that can share crucial information on potential suicidal soldiers. At a minimum, this will include the Family Life Chaplain, family advocacy, SJA, CID, ADACP, Red Cross, Financial Counselors and social services. These links should feed into the local Army mental health council for consolidation and if warranted, notifying the individual's appropriate commander of the potential suicidal risk.

For detailed recommendations on establishing an installation suicide prevention standing committee, refer to Chapter 2, DA PAM 600-24, Suicide Prevention and Psychological Autopsy, 30 September 1988. Army divisions and other large activities with adequate support interested in considering establishing their own suicide prevention program (previously referred to Suicide Risk Management Teams) should refer to Chapter 3, DA PAM 600-24. This is available on-line at the Army Administrative Electronic Publication website at www.usapa.army.mil/gils/

5-6. Commander's Involvement/Responsibilities

Unit commanders are accountable for their suicide prevention programs. This includes ensuring the proper training of unit personnel and ensuring that all leaders are actively engaged in the personal welfare of their soldiers.

Once a soldier or civilian experiencing a "life crisis," is identified, it is the responsibility of the commander to ensure that that individual not only receives the proper crisis intervention, but that the problem has been fully resolved. The referral doesn't end the commander's intervention responsibility, but only initiates the involvement which continues until the commander is completely assured that the particular crisis or disorder has been resolved. This includes properly safeguarding the person at risk while they are receiving the required, professional assistance from mental health care providers.

BH professionals that are treating individuals at risk for suicide should keep the commander informed, as well as making recommendations for safeguarding the individual during the treatment, (if the treatment is outpatient care). Clear and expedient communications flow is crucial between those who are treating the individual at risk and the individual's commander to ensure disclosure of all appropriate information to enable an accurate diagnosis.

Chapter Six – Secure

6-1. Safeguard

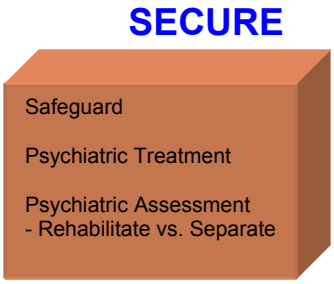


TABLE 4

This is perhaps our last opportunity to successfully prevent the individual from taking his or her life. At this point, the individual is now considering suicide and is in immediate danger for self-injurious behavior. If any soldier or civilian ever hears another person mention that they are considering suicide, or make any statements of an intention to die, such as, "I wish I were dead," or are displaying any of the suicide danger signs as contained in paragraph 2-7 and warning signs as contained in paragraph 2-8, then it is their responsibility and moral obligation to act.

If you suspect someone might be at risk for suicidal behavior, then the first step is to ensure the safety of the individual at risk. Talk to the individual, and listen. Ask the individual if they are considering suicide or "killing themselves." If their response is "yes," then ask if they have thought about how they would carry it out (a plan) and then determine if they have the resources to carry out the plan. This will enable you to determine the actual risk and will be useful information for the professional mental health care provider. If you believe the individual is at risk for suicide, then you must contact someone within the chain of command, a chaplain or UMT member, or the local medical treatment facility. Depending on the severity of the situation, you may have to contact the local emergency services including the military police. The main point to remember is to remain calm and don't panic and never leave the person at risk unattended.

Safeguarding for soldiers might include assigning a 24-hour watch over the individual until transfer of the individual to a local medical treatment facility or the risk has subsided. Also, if the commander feels that the individual is at risk for self-injurious behavior or is a potential danger to others, restrict the soldier to the unit area. If a soldier is determined to be at risk for suicide, and is placed on suicide watch, then other members within the unit must also be aware so that they unknowingly will not provide a method or means for the soldier to commit suicide. Commanders must also ensure that the soldier at risk does not have access to any means to commit suicide, which should include denying access to firearms, poisons, over-the-counter medications, alcohol, high places, rope, etc.

Commanders must realize that actions taken to protect a person or the public from potential harm, while shielding the at-risk person from public humiliation takes precedence over any other possible concern.

6-2. Behavioral Health Treatment

Ultimately, a professional mental health care provider at the local medical treatment facility will receive referrals for all individuals at risk for suicide. The professional mental health care provider will then determine or verify the actual risk and decide upon outpatient treatment or hospitalization.

6-3. Behavioral Health Assessment

Once admittance of a person to a hospital, it is the responsibility of the MHO to make an assessment the severity of the problem and a diagnosis on possible treatment and

prognosis for recovery. The MHO will make every effort to successfully rehabilitate the person and return them to duty. When appropriate, commanders should consider reassigning the person to another unit if in the opinion of the attending MHO and unit leadership that it would be beneficial to the person. Retain the person if successfully be rehabilitated. Mental health professionals will recommend initiation of separation procedures (medical or administrative) to the chain of command, if they assess unsuccessful rehabilitation of the person. In the case of separations, the mental health professional should recommend procedures to the commander for safeguarding the individual during the discharge, including whether or not the person is released back to his unit considering the impact on unit morale, readiness and possible contagion effects. The command will then make all efforts to prepare the person for the transition, with the priority on the individual's welfare.

Chapter Seven – Post-intervention Measures

It would be unrealistic to expect that any suicide prevention program will ever completely eliminate suicidal behavior. Despite our best efforts, there will always be some suicidal behavior that is unpreventable. In the event of an completed suicide, our efforts must focus on postvention strategies that expedite the healing process of surviving family members and members within the unit. Commanders must be aware of the potential danger of suicide contagion or "copy cat" behavior by other members within the command or, depending on the publicity of the suicide, within the installation.

7-1. Installation Suicide Response Team

The immediate time-period following a completed suicide can be very perilous as some members within the unit may feel some responsibility for the suicide and the possibility of suicide contagion also looms. Yet few company and even battalion level commanders have ever experienced a completed suicide within their units. To offset the risk, each major installation will establish policies and programs that offer immediate assistance to the commander following a completed suicide. This will include identifying members of an Installation Suicide Response Team (ISRT) that can offer assistance to the unit commander and or surviving members of a completed suicide. The membership of the ISRT will be determined by each ISPC, but at a minimum should include chaplains that can augment the UMT and help advise the commander regarding memorial services, and MHOs that can offer counseling and recommend procedures to expedite the recovery within the command. The goal of the ISRT isn't to replace the unit leadership or determine fault, but rather to advise and offer assistance.

7-2. Completed Suicide Reporting Procedures

IAW AR 600-63 & DA PAM 600-24, a psychological autopsy was required for all confirmed or suspected suicides, or those cases in which the manner of death is equivocal, or deaths resulting in accidents that are suspicious or when requested by the local USACIDC office. The purpose of the psychological autopsy was two-fold, to:

- provide the victim's commander with information about the death
- enable the Army to develop future prevention programs based upon lessons learned

However, the use of psychological autopsies has grown beyond its original function and now serves to promote the epidemiological study of suicide in the Army population. This is against the current DoD guidance which limits psychological autopsies for just those equivocal deaths or when ordered by either the medical examiner or the local USACIDC office. Therefore, a new multi-tiered reporting system will serve to provide the epidemiological study of suicide demographics, plus address any concerns or issues that the commander(s) might have concerning a confirmed or suspected suicide or determine the manner of the death. The three tiers of reporting are:

- Tier One - Army Completed Suicide Surveillance Report (CSSR)
- Tier Two - Army Suicide Analysis Report (SAR)
- Tier Three - Army Psychological Autopsy (PA)

7.2.a. Department of the Army Completed Suicide Report (CSR):

The purpose of the CSSR will be to capture the epidemiological data regarding the Army

suicide population. Beginning 1 January 2003, the CSR will be mandatory following every confirmed or suspected suicide of active duty soldiers, including ARNG and USAR soldier serving on active duty at the time of death.

The purpose of the CSR is not to assign blame. While understanding that determining any lessons learned is valuable, commanders should not take a “fault finding approach” to investigating suicides or suicide attempts, which would only serve to prolong the recovery period for the unit.

The CSR will be prepared by a MH professional, assigned by the local MEDCOM commander.

7.2.b. Army Suicide Analysis Report (SAR):
Completed by a trained MHO appointed by the local installation Director of Health Services (usually the hospital commander) after receiving a formal request from either from CID or victim's brigade commander or higher echelon commander at that installation. The SAR allows the commander an opportunity to present any concerns or questions regarding the death of a soldier or civilian to a professionally trained MHO. Any request for information would have a 30 day suspense for completion. This report would include the CSSR and additionally provide:

1) a narrative analysis which details both the developmental/historical events that predisposed the victim to suicide as well as a narrative description of the more current preceding antecedent precipitants.
2) a "lessons-learned" & recommendations section.
3) address any specific questions posed by the chain of command.

7.2.c. Army Psychological Autopsy (PA):
Completed only by a fellowship-trained forensic psychiatrist/psychologist. Initiated only at the request of the involved medical examiner doing the physical autopsy or CID investigator to resolve cases where there is an equivocal cause of death.

Annex A – Strategy Matrixes

STRATEGY 1: Develop Positive Life Coping Skills

OBJECTIVE	KEY ACTIONS
Instruct the "Understanding Dysfunctional Behavior Model" (as provided in Chapter 3) to officers and NCO's assigned to leadership positions	**1. Local MHO's develop a standardized briefing for ISPC's approval** **2. ISPC's publishes briefing on local web site or announces POC for scheduling the briefing** **3. Local commanders coordinate with local MHOs and conduct the training**
Encourage and support various life coping skills programs	**1. Identify pre-existing and emerging programs that focus on developing individual life coping skills such as: stress reduction, relationship building, financial management, preventing alcohol abuse** **2. Ensure that these programs are publicized and promoted throughout the installation and made available to soldiers (both active, reserves and retired), family members and Army civilian employees** **3. Evaluate successfulness of such programs. Share recommendations for improvements or information concerning new programs to HQDA for dissemination to other MACOMs & installations**
Build life resiliencies for those who respond to, counsel or treat suicidal patients or those exposed to suicides	**Develop services and programs, including training and education tailored for those who respond to suicides (emergency medical technicians, MP's, firefighters) or counsel those at risk (chaplains, counselors) that addresses their own exposure and potential risk. Include training/instruction on the unique requirements of providing initial assistance/counseling to surviving family members.**

STRATEGY 2: Encouraging Help Seeking Behavior

OBJECTIVE	KEY ACTIONS
Eliminate any policy which inadvertently discriminates, punishes or discourages a soldier from receiving mental health care	**All staffs and commands will conduct a complete policy review to identify any repercussions taken against soldiers for receiving mental health care. Validate those policies that should remain, eliminate those that are unwarranted.**
Educate commanders concerning confidentiality requirements as determined in objective 2.1 above	**Incorporate policy instruction in all PCC courses, including local installation company commander and 1SG Courses pre-command courses**
Ensure prompt and easy accessibility of Army and other helping agencies	**1. Educate soldiers, family members, Army civilian employees and retirees residing in the local community of the location and protocols for scheduling and receiving assistance from the available varying helping services (i.e., AER, American Red Cross, MH care)** **2. Incorporate education within installation in-processing procedures**
Foster a command climate that emphasizes help seeking behavior	**Periodic messages, announcements or statements from the senior leadership that encourages and recognizes help seeking behavior as a sign of individual strength and maturity**
Reduce the perceived stigma associated with receiving MH care	**Sponsor local programs that change perception toward mental care services. Programs should include adopting national programs, public service announcements and developing localized, targeted programs that involve varying media sources**
Increase visibility and accessibility to local civilian health and/or social services outreach program that incorporate mental health services and suicide prevention	**1. Coordinate with local civilian health and social services to identify which services and programs are available to soldiers and family members at risk for suicide.** **2. Develop promotional campaigns to publicize such services to soldiers, Army civilian employees and family members**

STRATEGY 3: Raising Awareness and Vigilance Towards Suicide Prevention

OBJECTIVE	KEY ACTIONS
Render assistance to those known or suspected of experiencing a major life crisis	**1. Develop systems that recognize when soldiers and civilian employees are experiencing a potential life crisis in an effort to anticipate potential dysfunctional behavior.** **2. Develop programs that can provide varying levels of supervision to soldiers recognized as experiencing a potential life crisis. Such programs can vary between assigning a "battle buddy" to help the individual through the crisis, to suicide watch if the individual has actual suicide ideations**
Educate all soldiers and Army civilian employees on basic suicide prevention, which at a minimum, will cover recognizing warning and danger signs and what action to take if they suspect someone is at risk for suicide	**1. Utilizing the USACHPPM Resource Manual on Suicide Prevention as a guide, educate all soldiers and Army civilian employees on basic suicide prevention. Although not mandatory, offer such training to family members.** **2. Ensure newly assigned soldiers and Army civilian employees have previously received the basic suicide prevention education. If not, provide training within 60 days upon reporting date.** **3. Incorporate basic suicide prevention in all IET training and OBC courses**
Instruct all NCO's, officers and Army civilian supervisors on recognizing symptoms of mental health disorder and potential "triggers" or causes of dysfunctional behavior	**1. Instruction will focus on educating leadership on the common symptoms of depression, substance abuse or other forms of mental disorder** **2. Incorporate formal education on 3.2 at all basic leadership courses (OBS, PLDC)**
Maintain Vigilance toward suicide prevention and awareness	**As required, conduct periodic "refresher" training or discussions on suicide prevention in preparation for an upcoming extended deployment or redeployment, or another highly stressful event, or as designated by commanders. Maintain vigilance by either formal training including presentations, small unit discussions or even through varying local and Army wide news services and media formats. ISPC can also promote various national programs such as National Suicide Prevention Week (normally in May) and National Mental Health Month (normally in October).**
Educate married soldiers and Army civilian employees on how to appropriately store and secure lethal means of self-harm	**Conduct public information campaign(s) or instruction designed to educate Army parents how to appropriately store and secure lethal means of self-harm including medications, poisons and firearms**
Educate all Army health care providers in suicide risk surveillance	**Educate all health care providers to identify potential suicidal danger and warning signs and what actions to take if they suspect one of their patients to be at risk**
Educate installation gatekeepers on recognizing behavioral patterns that place individuals at risk for suicide and equip them with effective intervention skills to effectively reduce the immediate risk	**Train and maintain at least 90% of all "primary gatekeepers" (as defined in para 6-3c) in ASIST (or similar professional training).** **Train and maintain at least 50% of all "secondary gatekeepers" (as defined in para 6-3c) in ASIST (or similar professional training)**
Educate all UMT and Family Life Chaplains suicide awareness and prevention	**Provide formal basic and advanced suicide prevention training for all UMT members. Training will include recognizing potential danger and warning signs, suicidal risk estimation, confidentiality requirements, how to reduce the immediate risk of suicide and how to conduct various suicide prevention training at the unit level**

Educate soldiers, Army civilian employees and spouses on the safe storage of privately owned firearms	**1. Determine which soldiers within a command has a privately owned firearm.** **2. Ensure those soldiers and Army civilian employees and their spouses that own personal firearms understand the importance of responsible firearm storage in preventing suicide and accidental homicide.** **3. Ensure soldiers seeking permission to purchase a firearm are not at risk for suicidal behavior or other dangerous behavior.** **4. Encourage those soldiers who own personal firearms stored off-post and are determined to be at risk for suicidal behavior or a danger to someone else, to store their weapon in the unit arms room or with a close friend until the crises has been resolved and the risk of suicide has been eliminated.**
Incorporate screening in medical treatment facilities	**Incorporate screening for depression, substance abuse and suicide risk as a minimum standard of care for assessment in primary care settings for all MEDCOM supported healthcare programs – as part of the clinical practice guidelines initiative being implemented in the AMEDD**

STRATEGY 4: Synchronizing, Integrating and Managing the Suicide Prevention Program

OBJECTIVE	KEY ACTIONS
Synchronize and integrate local community and installation suicide prevention programs	**1. Each ISPC will develop its own charter, which addresses formal and "ad hoc" membership of the committee.** **2. Each ISPC will develop and publish its own suicide prevention program plan. Forward a copy through the respective MACOM HQ to DAPE-HR-PR (ODCSPER)**
Reduce risk of contagion, provide counseling to surviving family members and expedite the unit personnel recovery	**Establish policies and procedures for the implementation of an Installation Suicide Response Team**

STRATEGY 5: Conduct Suicide Surveillance, Analysis and Reporting

OBJECTIVE	KEY ACTIONS
Capture data on the number of non-fatal suicide events such as attempts and gestures	**1. Determine pertinent data fields and develop the actual reporting format and procedures. Ensure format and procedures do not violate Federal, State or DoD regulatory or directives** **2. Implement reporting procedures** **3. Include statistics in monthly suicide surveillance update. Provide information to DCSPER and post information on the Army Suicide Prevention Web Site**
Conduct suicide surveillance in all Army MTF emergency rooms	**Ensure that health care providers that work in Army MTF emergency rooms receive proper training in identifying those individuals whose injuries might have been self-inflicted**
Increase percentage of soldiers keeping follow-up mental health appointments	**Establish procedures and guidelines that ensure soldiers keep their mental health care appointments, especially when considered at risk for suicide**
Identify and share effective suicide prevention programs	**Identify those proven programs and initiatives effective in reducing the risk of suicide and share those programs and initiatives with the various MACOMs. Programs will range from the installation level to MACOMs and also include "best-science methodology" as determined by the Surgeon General or other branches of the service.**
Assess availability of mental health and substance abuse treatment services for youth and DoD Schools	**Assess availability of mental health and substance abuse treatment services for youth to determined the need for school-based clinical services for DoD schools**
Improve reporting of suicidal behavior in news media	**1. All Army news services/media divisions will adopt recommendations/guidelines concerning reporting suicides as provided by the 1989 Health Resources and Services Administration workshop sponsored by the New Jersey Department of Health, or AAS, NIMH, CDC, or other established suicide prevention organization. The design of these recommendations is not to restrict the reporting of suicides, but change the manner in which the suicide is reported. These recommendations will minimize suicide contagion.** **2. Installation PAOs should be familiar with such guidelines and recommend that local news media adopt such guidelines when reporting about suicides within the installation or local community.**

Annex B - Checklists

The following checklists serve as a guide that will assist commanders in developing their own specific suicide prevention program.

All Soldiers.
As the first line of defense and perhaps the most important person in suicide prevention:
- ✓ Know suicidal danger & warning signs and the leading causes for suicides. Remain vigilant!
- ✓ Take immediate action when suspecting someone is suicidal or if someone admits that they are contemplating suicide.
- ✓ Become aware of local helping services and protocols for use.

First Line Supervisors/Leaders.
- ✓ Get to know your soldiers so that you can recognize and even anticipate possible dysfunctional behavior.
- ✓ Assess each of your soldier's life-coping skills. Seek opportunities to positively influence your soldier's behavior.
- ✓ Ensure proper training of all your soldiers in suicide prevention/awareness.
- ✓ Create an atmosphere of inclusion for all. Never ostracize any of your soldiers, regardless of their actions.
- ✓ Know potential triggers for suicide.
- ✓ Know potential warning signs for mental illness.
- ✓ Set the example, take advantage of available helping services.
- ✓ Reduce the perceived stigma regarding mental health. Remember that most mental illnesses are treatable and are a result of a sickness, not weakness.

Commanders
- ✓ Maintain vigilance. Ensure that members of your UMTs have knowledge of possible life crisis or pending UCMJ actions.
- ✓ Offer suicide prevention/awareness training for all spouses.
- ✓ Ensure all newly assigned soldiers are aware of the location and protocols for utilizing installation support agencies.
- ✓ Conduct OPD/NCOPDs for your units that focuses on some aspect of mental illness such as recognizing potential warning signs.
- ✓ Ensure that your UMTs have received formal suicide prevention training currently conducted at the Menninger Clinic and have also undergone the Living Works Applied Suicide Intervention Skills Training (ASIST) Workshop.
- ✓ Promote help-seeking behavior as a sign of strength. Working with the mental health provider, respect solder/counselor confidentiality when the soldier's mental health is not in question and when the soldier is not a threat to himself, not a threat to others, or if they are able to perform their prescribed duties.
- ✓ Develop well-defined procedures for registering and storing privately own weapons. Ensure procedures are in place that deny access to firearms during times of suicidal watch.
- ✓ Ensure any Guard or Reservists attached to your unit for deployment have received proper suicidal prevention training and screening prior to deployment.
- ✓ Ensure there are "family reunion" seminars for both soldiers and family members to assist in the successful integration of the soldier back into his family following an extended deployment.

Unit Ministry Teams (UMTs)

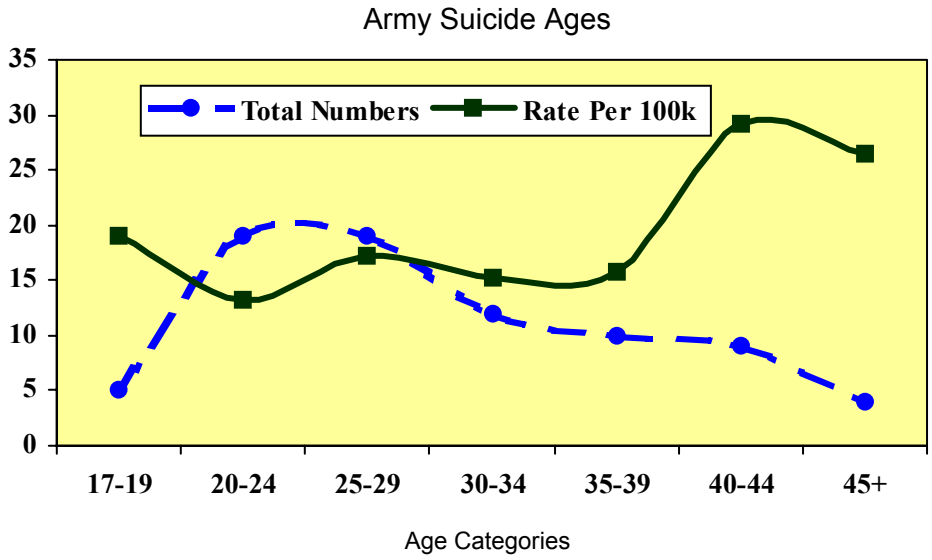
- ✓ Become ASIST T-2 trained
- ✓ Attend formal suicide prevention/awareness training hosted by the Chief of Chaplains (currently hosted by the Menninger Clinic in Topeka, Kansas)
- ✓ Download the USACHPPM Resource Manual for Suicide Prevention. Prepare suicide prevention/awareness training for "all ranks," OPDs and NCOPDs and spouses.
- ✓ Keep your commander informed on current suicide demographics. Explain those identified as "high" risk categories – such as those who are experiencing relationship problems, financial difficulties or pending UCMJ or other legal action.

Installation Suicide Prevention Standing Committee

- ✓ Establish suicide prevention program specifically tailored for your installation.
- ✓ Assist the installation and local commanders in implementing their preventative programs.
- ✓ Ensure that suicide prevention policies and procedures comply with applicable laws, regulations and directives regarding privacy and public information.
- ✓ Track the percentage of all assigned chaplains that have received the suicide prevention basic training at the Menninger Clinic.
- ✓ Ensure that all assigned commanders and senior NCOs are familiar with the availability of support agencies and the procedures for referral.
- ✓ Ensure that the availability of mental health personnel is adequate to meet the needs of the installation and that there is always someone available to conduct crisis intervention/assessment.
- ✓ Ensure that commanders are provided timely feedback from support agencies concerning the effectiveness of the treatment of their soldiers.
- ✓ Encourage stress management programs for soldiers and family members, especially during times of increased OPTEMPO or deployments.
- ✓ Track the number of ASIST T-4 (Trainer) and T-2 Level Crisis Intervention trained personnel on post.
    - Strive for at least two T-4 qualified trainers that can sponsor the T-2 level training. One of the two should be the Family Life Chaplain.
    - Strive for at least one ASIST T-2 trained personnel at each community support agency, SJA ,and MPs.
- ✓ Review and publicize emergency procedures available to all soldiers and family members such as Crisis Hotlines and suicide awareness cards.
- ✓ Ensure newly assigned soldiers are briefed on installation support agencies during in-processing.
- ✓ Are dependent school personnel trained in identifying and referring individuals at risk for suicide?
- ✓ Review surveillance reports and monitor the time that it takes to get soldiers into ADAPCP after identification of having an alcohol/drug problem.
- ✓ Establish procedures for creating an Installation Suicide Response Team

Annex C – Suicide Risk Comparison of Age Cohorts

Almost half of all suicides within the Army occur with soldiers 25 years of age or younger. However, maturity doesn't necessarily protect against suicidal behavior. In fact, older soldiers have a higher suicide rate than younger soldiers. As can be seen on Graph 1, although the greater incidence of suicides within the Army occur in younger soldiers (represented by the dashed line), the highest suicide rates occur in soldier over 40 (represented by the solid line).



GRAPH 1

By examining psychological autopsies, we find that younger soldiers are generally committing suicide as a result from insufficient or underdeveloped life coping skills. Suicides among older soldiers reveal a different profile of causes. These suicides often result from one or more clinical psychiatric disorders with associated problems that have accumulated over time. Many are facing a major life transition, such as a failed marriage or a promotion pass over. Others suffer from chronic substance abuse or a mood disorder. Unfortunately, many of these soldiers don't seek professional help, in part because of the perceived cultural and organization stigma associated with receiving mental health treatment.

To prevent both types of suicides requires two different, specific prevention strategies. Awareness training can generally prevent preplanned suicides as those who are planning their deaths usually give "warning: or "danger" signs that other, vigilant people should intercept. This strategy is contained in Chapter Six – Intervention.

Those unplanned, impulsive suicides are more challenging to prevent since the time from the decision, to the suicide act might be quick and not long enough for the potential suicide victim to display any warning signs. To prevent these types of suicide requires programs that prevent the individual from ever considering suicide as a viable option, which means developing their life coping skills so that when faced with a particular stressor, they will have the means to handle it without it turning into a crisis and potential suicide. This strategy is contained in Chapter Five – Prevention.

Younger Age Group	Older Age Group
Impulsive, lacks coping skills	**MDD (Major Depression) or serious heavy ETOH (alcohol) use**
Poor adjustment to military settings	**Good previous adjustment to Army**
Situational stressor	**Major loss or transition issue**
Suicidal behavior happens with little forethought	**Contemplating suicide for some time as part of a biological disease process**
Immature	**Mature person whose biology or complicated past (or often both) has caught up to him**
Engages in acting out behavior that is often hard for superiors to miss	**Quietly withdraws from those who might notice; behavior of social withdrawal and his accompanying internal feelings of shame are easy to miss**
First term of enlistment—not that concerned about career impact	**Career soldier; concerned that MH contact will be seen as weakness and will hurt his career**
Will often confide to anyone who is interested	**Shame, a symptom of MDD and often of ETOH dependence, makes it difficult to tell anyone and magnifies fears about "the Army" finding out**
Often lives in barracks and eats in dining facility; used to superiors being aware of details of his "personal life"	**Lives in housing or off base; has erected certain barriers between his duty day and his personal life**
	Assurances of confidentiality and assurances that getting treatment for a MH problem is not career damaging (stigma) become very important in combating the shame (which is part of the biological disease process) and thus allowing the soldier to feel it is "safe" to come forward and get help. **It is important that these beliefs are in place before the soldier gets depressed (thus the importance of this campaign which promotes both a culture change from above and a training component which gets the word out below). Once the soldier is clinically depressed the symptoms of shame and social withdrawal make it very difficult to reach him.**
Usually a facilitating "gatekeeper" helps him get to MH (chain of command or others)	**Usually self referred to MH; may have conferred with a colleague; tends to tell chain of command as a last resort or not at all**
Goes to MH with little thought of negative ramifications if directed or suggested by chain of command	**Has viewed MH as a place where problem soldiers go—often to facilitate separation from the service**
Early intervention may prevent acting out behavior and may facilitate development of more mature coping skills	**Early intervention prevents progression from mild depression to serious biological depression; both depression and early alcohol dependence, particularly in those who have previously made a good occupational and social adjustment; are usually very responsive to treatment**
Command is already aware of the problem since MH contact was either command directed or encouraged by a member of chain of command—a dialogue with MH is already underway	**Command is often not aware of the problem up front; if the problem is serious, the MH professional needs to inform command either with the patient's consent (which he is usually willing to give after he has overcome his shame and entered into treatment) or via a profile** **If it is a mild depression, the patient may choose to keep it confidential (like any other medical problem that is not going to interfere with his performance of duty)**
For the younger cohort, this tension (confidentiality vs. command's need to know) is less of an issue; command usually already knows; in those cases where they don't, the soldier is usually close to getting into some kind of difficulty, thus making it in his best interest to be proactive and letting his superiors know that he is addressing the underlying issues, before real trouble hits **For this cohort, MH contact, in actual practice, looks almost like ADAPCP and Family Advocacy, which are command programs**	**For the older cohort MH patient, here is a built in tension between these two essential components:** **Command's need to know (which is always there in the serious cases; it is the MH professional's responsibility to inform command—by profile if necessary)** **vs.** **Assurances of confidentiality** **(so important in countering the shame of clinical depression: makes it safe for the soldier [or for his colleague in whom he may have confided] to believe it is safe to "self refer" early in the process and get the needed care for a very treatable condition)**

Annex D – Definitions.

Anxiety disorder – an unpleasant feeling or fear or apprehension accompanied by increased physiological arousal, defined according to clinically derived standard psychiatric diagnostic criteria.

Behavioral health services – health services specially designed for the care and treatment of people with mental & behavioral health problems, including mental illness. Identical to the definition of mental health services.

Biopsychosocial approach – an approach to suicide prevention that focuses on those biological and psychological and social factors that may be causes, correlates, and/or consequences of mental health and mental illness and that may affect suicidal behavior.

Bipolar disorder – a mood disorder characterized by the presence or history of manic episodes, usually, but not necessarily, alternating with depressive episodes.

Cognitive/cognition – the general ability to organize, process, and recall information.

Comprehensive suicide prevention plans – plans that use multifaceted approaches to addressing the problem; for example, including interventions targeting biopsychosocial, social, and environmental factors.

Comorbidity – the co-occurrence of two of more disorders, such as depressive disorder with substance abuse disorder.

Connectedness – closeness to an individual, group or people within a specific organization; perceived caring by others; satisfaction with relationship to others, or feeling loved and wanted by others.

Contagion – a phenomenon whereby susceptible persons are influenced toward suicide behavior as a result of some other suicide behavior via personal proximity or other source of influential information.

Depression – a constellation of emotion, cognitive and somatic signs and symptoms, including sustained sad mood or lack of pleasure.

Epidemiological analysis – empirical examination of the incidence, distribution and potential risk factors for suicide.

Equivocal Death – a death in which the means or circumstances are unclear, uncertain, or undecided.

Gatekeepers – those individuals within a community who have face-to-face contact with large numbers of community members as part of their usual routine; they may be trained to identify persons at risk of suicide and refer them to treatment or supporting services as appropriate. Identified as either a “primary” or a “secondary” gatekeeper as defined in para 5-3c.

Health – the complete state of physical, mental, and social well being, not merely the absence of disease or infirmity.

Healthy People 2010 – the national prevention initiative that identifies opportunities to improve the health of all Americans, with specific and measurable objectives to be met by 2010.

Indicated prevention intervention – intervention designed for individuals at high risk for a condition or disorder or those who have already exhibited the condition or disorder.

Intentional – injuries resulting from purposeful human action whether directed at oneself (self-directed) or others (assaultive), sometimes referred to as violent injuries.

Intervention – a strategy or approach that is intended to prevent an outcome or to alter the course of an existing condition.

Means – the instrument or object whereby a self-destructive act is carried out.

Means restriction – techniques, policies, and procedures designed to reduce access or availability to means and methods of deliberate self-harm.

Methods – actions or techniques which result in an individual inflicting self-harm (i.e., asphyxiation, overdose, jumping).

Mental disorder – a diagnosable illness (using guidelines contained in the APA's DSM-IV or later editions) characterized by alterations in thinking, mood, or behavior (or some combination thereof) associated with distress that significantly interferes with an individual's cognitive, emotional, occupational or social abilities; often used interchangeably with mental illness.

Mental health – the capacity of individuals to interact with one another and the environment in ways that promote subjective well-being, optimal development and use of mental abilities.

Mental health problem – diminished cognitive, social or emotional abilities, but not sufficient to meet the criteria for a mental disorder.

Mental health services – health services that are specially designed for the care and treatment of people with mental health problems, including mental illness. Identical to the definition of behavioral health services.

Mental illness – see mental disorder.

Mood disorders – a term used to describe all those mental disorders that are characterized by a prominent or persistent mood disturbance; disturbances can be in the direction of elevated expansive emotional states, or, if in the opposite direction, depressed emotional states.

Morbidity – the relative frequency of illness or injury, or the illness or injury rate, in a community or population.

Non-fatal suicide events – any intent to inflict self-harm that does not result in death, but with apparent motivation to cause one's own death.

Personality disorders – a class of mental disorders characterized by deeply ingrained, often inflexible, maladaptive patterns or relating, perceiving, and thinking of sufficient severity to cause either impairment in functioning or distress.

Post-intervention – a strategy or approach implemented after a crisis or traumatic event has occurred.

Post-event data collection – required data collection and review process in the aftermath of a suicide to improve suicide prevention efforts.

Prevention – a strategy or approach that reduces the likelihood of risk of onset, or delays the onset of adverse health problems or reduces the harm resulting from conditions or behaviors.

Protective factors – factors that make it less likely that individuals will develop a disorder. Protective factors may encompass biological, psychological or social factors in the individual, family and environment.

Psychiatric disorder – see mental disorder.

Psychiatry – the medical science that deals with the origin, diagnosis, prevention, and treatment of mental disorders.

Psychology – science concerned with the individual behavior of humans, including mental and physiological processes related to behavior.

Public informational campaigns – large scale efforts designed to provide facts to the general public through various media such as radio, television, advertisements, newspapers, magazines, and billboards.

Rate – the number per unit of the population with a particular characteristic, for a given unit of time.

Resilience – capacities within a person that promote positive outcomes, such as mental health and well-being, and provide protection from factors that might otherwise place that person at risk for adverse health outcomes.

Risk factors – those factors that make it more likely that individuals will develop a disorder. Risk factors may encompass biological, psychological or social factors in the individual, family and environment.

Screening – administration of an assessment tool to identify persons in need of more in-depth evaluation or treatment.

Screening tools – those instruments and techniques (questionnaires, check lists, self-assessments forms) used to evaluate individuals for increased risk of certain health problems.

Selective prevention intervention – intervention targeted to subgroups of the population whose risk of developing a health problem is significantly higher than average.

Self-harm – the various methods by which individuals injure themselves, such as self-laceration, self-battering, taking overdoses or deliberate recklessness.

Self-injury – see self-harm.

Social services – organized efforts to advance human welfare, such as home-delivered meal programs, support groups, and community recreation projects.

Social support – assistance that may include companionship, emotional backing, cognitive guidance, material aid and special services.

Stigma – an object, idea, or label associated with disgrace or reproach.

Substance abuse – a maladaptive pattern of substance use manifested by recurrent and significant adverse consequences related to repeated use. Includes maladaptive use of legal substances such as alcohol; prescription drugs; and illicit drugs.

Suicidal act (also referred to as suicide attempt) – a potentially self-injurious behavior for which there is evidence that the person probably intended to kill himself or herself; a suicidal act may result in death, injuries, or no injuries.

Suicide behaviors – includes a broad range of self-destructive or self-injurious behaviors, including threats, attempts and completions.

Suicidal ideation – self-reported thoughts of engaging in suicide-related behavior.

Suicidality – a term that encompasses suicidal thoughts, ideation, plans, suicide attempts, and completed suicide.

Suicide - death resulting from the intention of the deceased to cause his or her own death.

Suicide attempt – a potentially self-injurious behavior with a nonfatal outcome, for which there is evidence that the person intended to kill himself or herself; a suicide attempt may or may not result in injuries.

Suicide survivors – family members, significant others, or acquaintances who have experienced the loss of a loved one due to suicide.

Suicide threat - statement expressing or implying an intent to cause one's own death.

Suicide-related behaviors — intentional behaviors potentially resulting in serious injury or risk but may be motivated by an individual's desire for assistance rather than an intent to cause his or her own death.

Surveillance – Service directed data collection and review process designed to improve suicide prevention efforts through analysis and interpretation of health data with timely dissemination of findings.

Unintentional – term used for an injury unplanned or accidental injuries.

Universal preventive intervention – intervention targeted to a defined population, regardless of risk.

Annex E – Abbreviations/Acronyms

AAFES – Army Air Force Exchange Service

AAS – American Association of Suicidology

ACE – Adverse Childhood Experiences

ACS – Army Community Service

ADAPCP – Alcohol and Drug Abuse Prevention and Control Program

AIT – Advanced Individual Training

AMEDD – Army Medical Departments

ASIST – Applied Suicide Intervention Skills Training

ASPP – Army Suicide Prevention Program

BSRF – Building Strong and Ready Families

CDC – Center for Disease Control and Prevention

CFSC – Community & Family Support Center

CID – Central Investigative Division

CCH – Chief of Chaplains

CPO – Civilian Personnel Office

CSA – Chief of Staff, Army

CSSR – Completed Suicide Surveillance Report

CY – Calendar Year

DCSPER – Deputy Chief of Staff for Personnel

DoD – Department of Defense

ETOH – Ethyl Alcohol

FAP – Family Advocacy Program

GSW – Gunshot Wound

IET – Intial Entry Training

IG – Inspector General

IO – Investigating Officer

ISRT – Installation Suicide Response Team

ISPC – Installation Suicide Prevention Committee

MACOMs – Major Army Commands

MEDCOM – Medical Command

MH – Mental Health

MHO – Mental Health Officer

MP – Military Police

MTF – Medical Treatment Facility

MUSARC/RSC – Major United States Army Reserve Command/Regional Support Command

MWR – Morale, Welfare, and Recreation

NAMI – National Alliance for the Mentally Ill

NCHS – National Center for Health Statistics

NGB – National Guard Bureau

OCCH – Office of the Chief of Chaplains

ODCSPER – Office of the Deputy Chief of Staff for Personnel

ODPHP – Office of Disease Prevention and Health Promotion

OTSG – Office of the Surgeon General

PA – Psychological Autopsy

PAO – Public Affairs Office

RAP – Recruit Assessment Program

SAR – Suicide Analysis Report

SMA – Sergeants Major of the Army

SPRRC – Suicide Prevention Risk Reduction Committee

TJAG – The Judge Advocate General

TSG – The Surgeon General (Army)

TRADOC – Training and Doctrine Command

UCMJ – Uniform Code of Military Justice

UMT – Unit Ministry Team

USACHPPM – US Army Center for Health Promotion and Preventive Medicine

USACIC – US Army Central Investigation Command

USARC – US Army Reserve Command

USC – United States Code

VA – Veterans Administration

VCSA – Vice Chief of Staff, Army

WRAIR – Walter Reed Army Institute of Research

WRAMC – Walter Reed Army Medical Center

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AR 600-5, Health Promotion

AR 190-40, Serious Incident Report

DoD Suicide Prevention and Risk Reduction Committee Charter

Annex G – Useful Web Sites/Contacts

- American Assocation for Suicidology, (www.suicidology.org)
- American Foundation for Suicide Prevention, (www.afsp.org)
- Army Administrative Electronic Publication website, (www.usapa.army.mil/gils/)
- Living Works Education, (www.livingworks.net)
- Healthy People 2010, (www.health.gov/healthypeople)
- National Suicide Prevention Web site (copies of the National Strategy Summary Booklet) (www.mentalhealth.org/suicideprevention)
- ODCSPER Suicide Prevention Web Site, (www.odcsper.army.mil/default.asp?pageid=66f)
- Organization of Attempters and Survivors of Suicide in Interfaith Service, (www.oassis.org)
- Suicide Awareness\Voices of Education, (www.save.org)
- Suicide Prevention Advocacy Network, (www.spanusa.org)
- Surgeon General's Call to Action, (www.surgeongeneral.gov/library/calltoaction)
- U.S. Army Center for Health Promotion and Preventive Medicine, (chppm-www.apgea.army.mil)

Phone Numbers:

- **National Suicide Hotline: 1-800-suicide (800) 784-2433**

Army Suicide Demographics
Suicide can affect anyone, regardless of rank, age, sex, MOS, race or ethnicity. Although there are no select demographics that will accurately predict suicidal behavior with certainty, it is important to examine the Army suicide population in an attempt to infer potential suicide risk indicators for use in prevention efforts (an updated briefing of the previous calendar year as well as the current monthly Army suicide statistics and demographics can be found at the Army G-1 HRPD website). Our vigilance and awareness must extend to everyone in The Army. It is also important not to use demographics to "profile" or "discriminate" at-risk populations.

Suicide Methods
Suicide by self-inflicted gun shot wound (GSW) was the most common method chosen by soldiers, followed by hanging, carbon monoxide poisoning and drug overdose. Other methods include poisoning, burns, jumping and stabbing. Nationally, suicide by firearms was the most chosen method resulting in fifty-seven percent of all suicidal deaths in the United States. Generally, men tend to choose more violent, lethal means (GSW, hanging, and jumping). Women generally prefer less-violent means (drug overdose, and wrist cutting) but recent data suggest an increasing use of firearms by American women.

According to AAS, those who own a gun are 32 times more likely to commit suicide than those who do not own a gun. This figure doesn't suggest that people who own guns are more likely to be suicidal, but rather the potential impact of having an immediate, convenient and highly lethal means to carry out the suicide act once the decision has been made. In fact, approximately 83 percent of fatal gunshot wounds are associated with suicides, compared to 7 percent for homicides committed by relatives, 3 percent associated with accidents, and only 2 percent of deaths involving strangers. Purchasing a weapon is associated with a dramatic increase in the risk of suicide in the ensuring year following the purchase.

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Student Handout 3

This student handout contains 15 pages of slides, 6 slides on each page on current statistics and facts. Give this handout to the students to facilitate the presented instruction.

Suicide Prevention Leader Training

Every one matters!

Expectations

- I will:
  - ✓ Profile basic demographics for the Army Suicide Population
  - ✓ Offer a "101 level" explanation of suicide behavior
  - ✓ Explain your role in minimizing the risk of suicide for yourself and your soldiers

Suicide
Statistics and Factoids

There are approximately 1 million suicides in the world every year.

That's one death to suicide every 40 seconds.

Trivia Question:

Which industrialized country is the only country in the world where the female suicide rate is higher than the male rate?

Trivia Question:

Which industrialized country is the only country in the world where the female suicide rate is higher than the male rate?

Answer: CHINA

1

There was 28,322 confirmed suicides within the United States during 2001

(that's one every 18 minutes)

One in every 100 deaths within the United States is by suicide

More Americans kill themselves, than are killed by others

*Suicide: 11th leading cause of death**
*Homicide: 16th leading cause of death**

(data provided by CDC for 2001)

Within the U.S., more deaths result from suicide than by drunken drivers

Within the U.S., 2 times as many people die from suicide than HIV

Depression is more widespread than heart disease, cancer and AIDS

During the Vietnam Conflict, four times the number of Americans died by suicide than died in combat.

In the past 20 years, 200,000 more people died of suicide than died of AIDS

Suicide is the SECOND leading cause of death within the United States for those between the ages of 25-34

Suicide is the THIRD leading cause of death within the United States for those between the ages of 15-24

Between 1952-1995, suicide among adolescents & youth increased 300%

American Association of Suicidology estimates that 80% of all suicides give some form of warning or signal before killing themselves

3

Approximately 80% of suicides that occur within the U.S. are males

Approximately 90% of suicides that occur within the U.S. are white

On average, there is a suicide attempt every minute within the United States

Within the United States, there are approximately 566,640 treated in emergency rooms every year for self-inflicted injuries

141,660 required hospitalization

The American Association of Suicidology estimates that 1 in every 17 Americans (6%) had thoughts of suicide in the past 12 months.

A 1999 survey of high school survey indicates that 8.3% of those surveyed reported making a suicide attempt within the past year. That's approximately 1.3 million students nationwide.

United States Army Suicide

Statistics and Factoids

CSA Statement:

"It is our responsibility to help our soldiers, families and civilians understand how to identify at-risk individuals, recognize warning signs and know how to take direct action."

General Eric K. Shinseki
Army Chief of Staff

Quote from a Soldier's Suicide Note

"Goodbye, because I'm going to stop the pain. No one wants to help so I feel that I only have one choice."

During the 1990's,

- 803 soldiers killed themselves

During the 1990's,

- suicide was the 2nd leading cause of death

During the 1990's,

5 times more soldiers died by suicide than by hostile fire

5

Only 1 in every 5 soldiers who commit suicide have been seen by an Army Behavioral Health Professional

According to a DoD Survey, 17.8% of those soldiers surveyed believed they needed some form of behavioral health counseling

According to a DoD Survey, 17.8% of those soldiers surveyed believed they needed some form of behavioral health counseling

- but only 5.6% actually went to a behavioral health professional

Trivia Question:

Who was the highest member with DoD to commit suicide?

Trivia Question:

Who was the highest member with DoD to commit suicide?

Secretary of Defense Secretary James Forrestal

Trivia Question:

Which rank within the Army has the highest suicide rate?

Trivia Question:

Which rank within the Army has the highest suicide rate?

Staff Sergeant
(Rate of 16 per 100K for CY 01)

Quote from a Soldier's Suicide Note

"The Army will help if you know how to help yourself. That's the problem, I don't know how to help myself."

The youngest soldier that killed himself last year was 18 years old.

The oldest soldier that killed himself last year was 52 years old.

10 Army employees and 8 Army spouses/family members were known to have committed suicide last year – the youngest was 14 years old.

A failed, intimate personal relationship is mentioned as a contributing factor in Army suicides in 75% of cases

7

50% of all soldiers who commit suicide were facing or had recently faced some form of legal or UCMJ action.

Firearms accounted for 67% of all suicides within the Army last year.

Quote from a friend to a soldier's father

"it's all right because they (the Army) are trained to take care of him."

The next day, PV2 Nolan Stites jumped from his 3rd floor barracks window and fell to his death.

Suicide Prevention Leader Training

Every one matters!

Can Suicide be Prevented?

- **CHALLENGES**: Soldiers who complete suicide:
  - Rarely seek help through the chain of command, Chaplaincy or Behavioral Health (< 1/5 of all completed suicides have seen BH).
  - Often don't show "classic" warning signs of suicide in the unit.
  - Frequently choose very lethal means and act privately, precluding rescue.

DoD Survey of Health Related Behavior

"Stigma"

	Army
Perceived Need for Mental Health Counseling:	17.8%
Receipt of Mental Health Counseling from military Mental Health Professional:	5.6%
Perceived Damage to Career:	
Definitely Will:	17.7%
May or May Not:	58.1%
Definitely Will Not:	24.2%

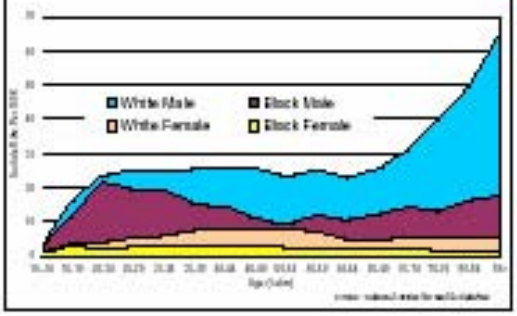
U.S. Leading Causes of Deaths - 1999

Age Groups

	1-14	15-24	25-34	35-44	45-64
1st	Unintentional Injuries	Unintentional Injuries	Unintentional Injuries	Malignant Neoplasms	Malignant Neoplasms
2nd	Malignant Neoplasms	Homicide	Suicide	Unintentional Injury	Heart Disease
3rd	Homicide	Suicide	Homicide	Heart Disease	Unintentional Injuries
4th	Congenital Abnormalities	Malignant Neoplasms	Malignant Neoplasms	Suicide	Cerebrovascular Dis.
5th	Heart Disease	Heart Disease	Heart Disease	HIV	Chronic Lower Respiratory Dis.
6th	Suicide	Congenital Abnormalities	HIV	Liver Disease	Diabetes Mellitus
7th	Chronic Lower Respiratory Dis.	Chronic Lower Respiratory Dis.	Diabetes Mellitus	Homicide	Liver Disease
8th	Other Neoplasms	HIV	Cerebrovascular	Cerebrovascular	Suicide

Source: National Center for Health Statistics, 2001

U.S. Suicide Rates by Age, Race, and Gender (1997)



Gender Comparison

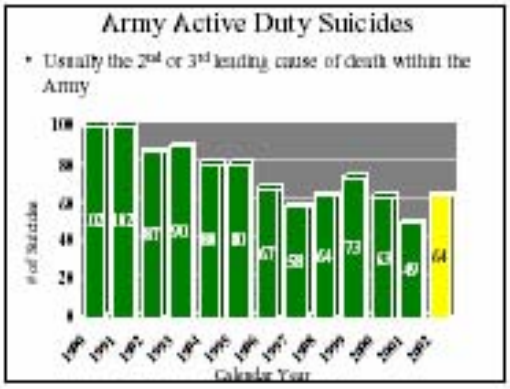
- Males complete – females attempt
- Reasons:
  - Female rate of alcohol abuse 1/5 of males
  - Numerous & more flexible coping devices in females
  - Females have stronger negative attitudes towards completed suicides, more positive towards attempts
  - Females are more likely to seek help
  - Females have more extensive social support systems
  - Cultural emphases on males to be competitive, impulsive, decisive, and being "strong"
  - Women tend to have less access to lethal means
  - Failure in primary adult male role more visible and obvious than failure in primary female role

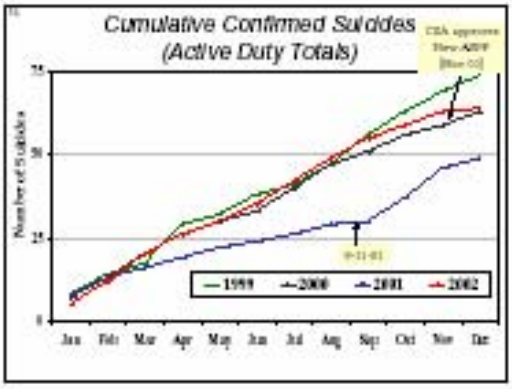
Race Comparison

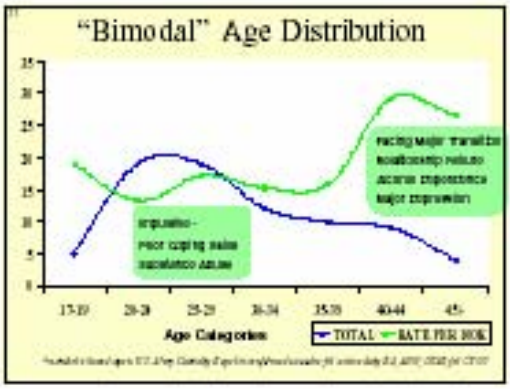
- Suicide rates higher in whites
- Reasons:
  - Societal discrimination causes a cultural response
    - Blacks externalize aggression, whites internalize
  - Historical discrimination created "survival strategy" centered on ties to family and church
  - Acceptability towards suicide higher in whites – "suicide is a white thing"

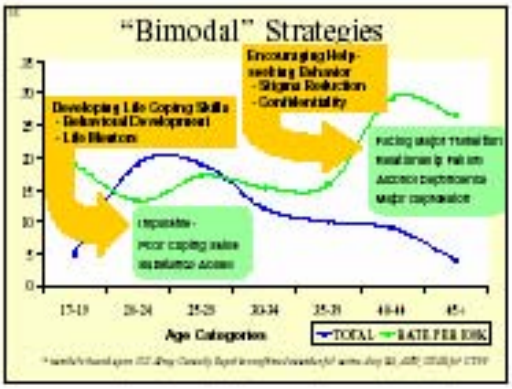
Magnitude of the Problem

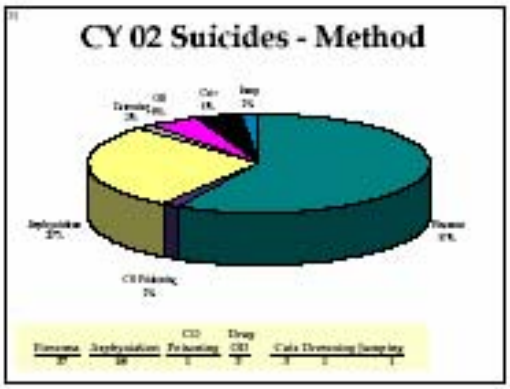
"People have one thing in common, they are all different."
ZEND

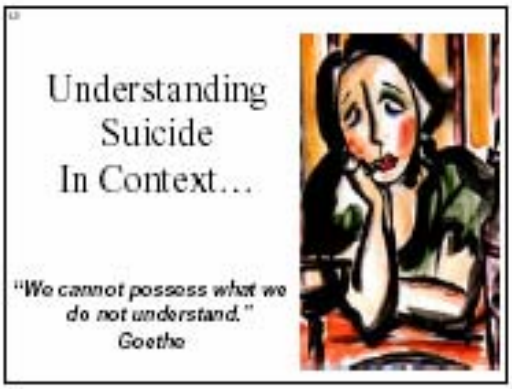

Army Active Duty Suicides
• Usually the 2nd or 3rd leading cause of death within the Army
# of Suicides
Calendar Year


Cumulative Confirmed Suicides
(Active Duty Totals)
1999
2000
2001
2002


"Bimodal" Age Distribution
Age Categories
TOTAL
RATE PER 100K


"Bimodal" Strategies
Developing Life Coping Skills
- Behavioral Development
- Life Rhythms
Encouraging Help-seeking Behavior
- Stigma Reduction
- Confidentiality
Age Categories
TOTAL
RATE PER 100K


CY 02 Suicides - Method


Understanding
Suicide
In Context…
"We cannot possess what we do not understand."
Goetho

10

A Model for Dysfunctional Behavior

Psychiatric dx:
- Schizophrenia
- Mania
- Depression
- Substance Abuse

A Model for Dysfunctional Behavior

"The best predictor of future behavior is past behavior."

Resulting in varying degrees of life coping skills

Consider our "Inputs"

- Our current cohorts of DoD recruits arrive at IET with significant developmental "baggage"
  - approx. 40% self-report having been raised in homes where they were physically &/or sexually abused &/or neglected*
  - > 40% come from 'non-traditional' homes without 2 consistent parenting figures**
  - > 20% of HS students had seriously considered attempting suicide during a 12 month period***
  - 8% of HS students reported making a suicide attempt in the preceding 12 month period***

The ACE Study*

- The largest study of its kind ever done to examine the health and social effects of adverse childhood experiences throughout the lifespan

- Summary of Findings:
  - Adverse Childhood Experiences (ACE's) are very common
  - ACEs are strong predictors of health risk behaviors in adolescence and adult life (ie. substance abuse, etc.)

* Felitti, Anda, et al. Relationship of Childhood Abuse & Household Dysfunction to Many of Leading Causes of Death in Adults. American Journal of Preventive Medicine. 1998;14(4):245

"ACE" Study Population Data

Adverse Childhood Experiences (ACEs) are Common in the Population

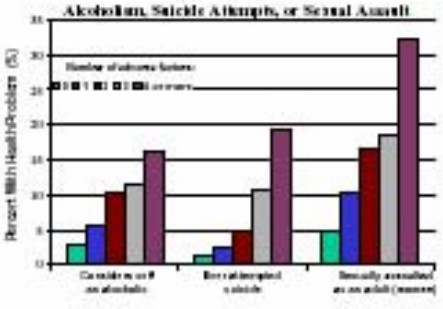
Household Exposures:	
Alcohol abuse	23.5%
Mental illness	18.8%
Battered mother	12.5%
Drug abuse	4.8%
Criminal behavior	5.4%

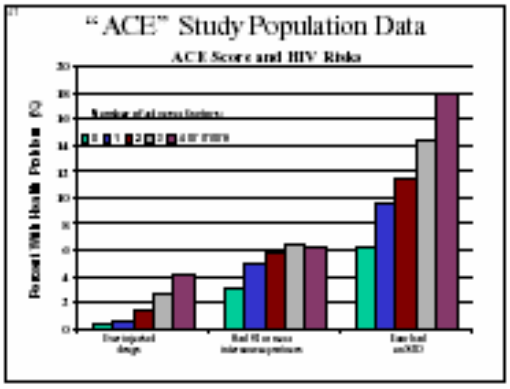
Childhood Abuse:	
Psychological	11.0%
Physical	30.1%
Sexual	19.9%

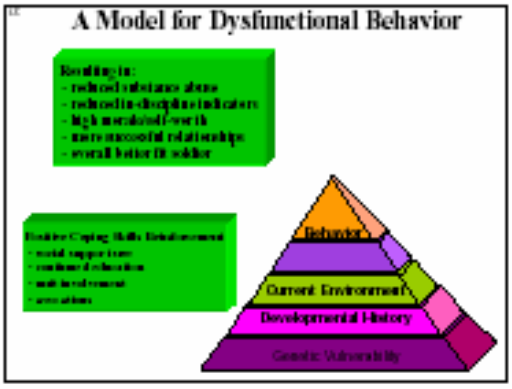
ACE SCORE	PREVALENCE
0	47.9%
1	24.9%
2	13.1%
3	7.3%
4 or More	6.8%

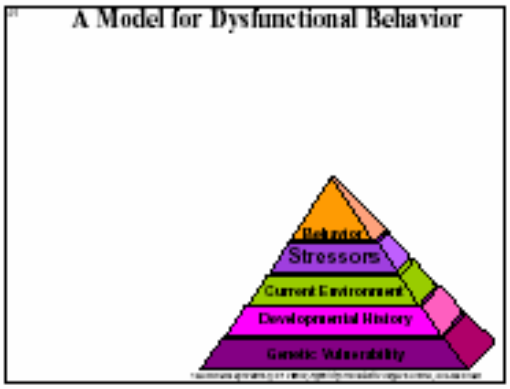
"ACE" Study Population Data

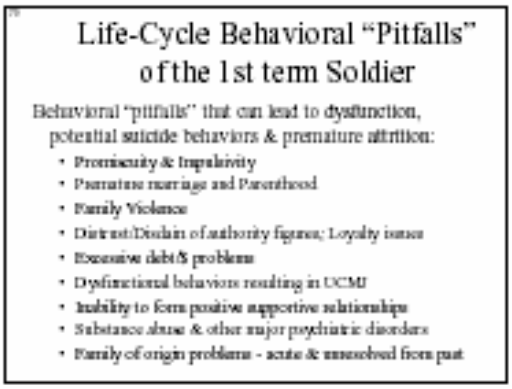
ACE Score and Alcoholism, Suicide Attempts, or Sexual Assault

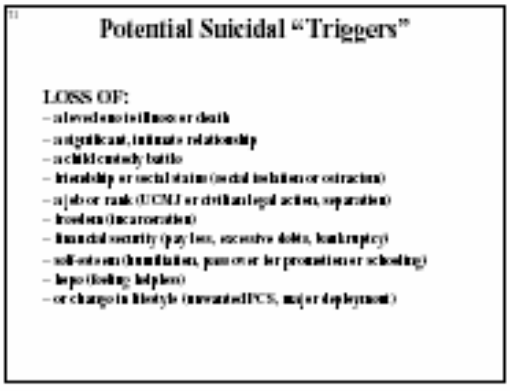


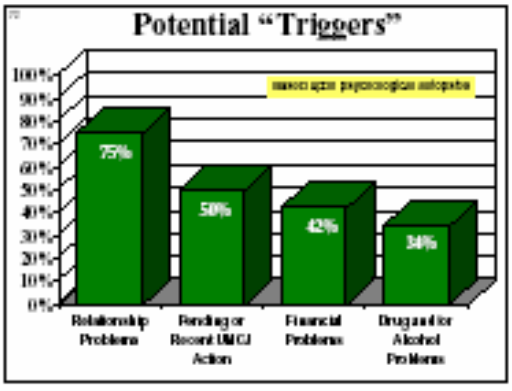

"ACE" Study Population Data
ACE Score and HIV Risks


A Model for Dysfunctional Behavior
Behavior
Current Environment
Developmental History
Genetic Vulnerability


A Model for Dysfunctional Behavior
Behavior
Stressors
Current Environment
Developmental History
Genetic Vulnerability


Life-Cycle Behavioral "Pitfalls" of the 1st term Soldier
Behavioral "pitfalls" that can lead to dysfunction, potential suicide behaviors & premature attrition:
• Promiscuity & Impulsivity
• Premature marriage and Parenthood
• Family Violence
• Distrust/Disdain of authority figures; Loyalty issues
• Excessive debt/$ problems
• Dysfunctional behaviors resulting in UCMJ
• Inability to form positive supportive relationships
• Substance abuse & other major psychiatric disorders
• Family of origin problems - acute & unresolved from past


Potential Suicidal "Triggers"
LOSS OF:


Potential "Triggers"
75%
50%
42%
34%
Relationship Problems
Pending or Recent UMCJ Action
Financial Problems
Drug and/or Alcohol Problems

Psychological Reasons for Suicide

- **Death as retaliatory abandonment**
  - Killing self to "get back at" person who abandoned you.
- **Death as self-punishment**
  - Torturing/Killing self to atone for guilt/shame.

Potential Indicators/Predictors of Dysfunctional Behavior

- Impulsiveness or violent traits
- Previous self-injurious acts
- Excessive anger or agitation
- Excessive alcohol use
- Heavy smoking
- Sleeping or eating disorder

RISK

Highest when:

- The person [illegible] may get worse.
- The predo[illegible]ness and helplessness.
- Thinki[illegible]tomous.
- Judg[illegible]ired by use of alcohol or other substances.
- Lethal means are available.

Suicidal Danger Signs Include:

- Talking or hinting about suicide.
- Formulating a plan to include acquiring the means to kill oneself.
- Having a desire to die.
- Obsession with death including listening to sad music or poetry or artwork.
- Themes of death in letters and notes.
- Finalizing personal affairs.
- Giving away personal possessions.

DANGER SIGNS MUST BE ACTED UPON IMMEDIATELY!

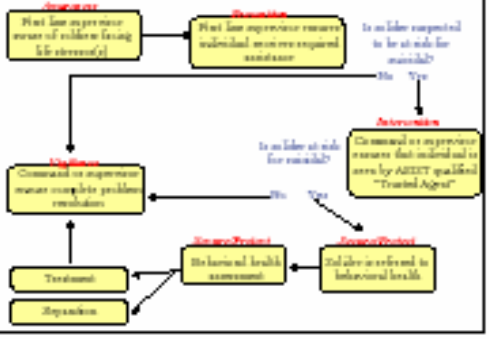
Suicidal Warning Signs Include

- Obvious drop in duty performance.
- Unkempt personal appearance.
- Feelings of hopelessness or helplessness.
- Family history of suicide.
- Made previous suicide attempts.
- Drug or alcohol abuse.
- Social withdrawal.
- Loss of interest in hobbies.
- Loss of interest in sexual activity.
- Reckless behavior, self-mutilation.
- Physical health complaints, changes/loss of appetite.
- Complaints of significant sleep difficulties.
- Frequent physical complaints and medical appointments

"Knowing is not enough, we must apply. Willing is not enough, we must do."

Goethe

Model for Unit Suicide Prevention



All Soldiers

- ✓ Know suicidal danger and warning signs and leading causes for suicides
- ✓ Become aware of local helping services
- ✓ Take immediate action when suspecting someone is at risk for suicide
- ✓ Never ostracize any member of your team
- ✓ REMAIN VIGILANT!

First Line Supervisors

- ✓ Get to know your soldiers
  - Assess soldier's life-coping skills
  - Know when your soldiers are experiencing a "life crisis"
  - Anticipate dysfunctional behavior
- ✓ Know potential suicide triggers & warning signs for mental illness
- ✓ Promote help-seeking behavior
  - Assist in reducing stigma regarding mental health
  - Set the example - take advantage of helping services
- ✓ MAINTAIN AWARENESS AND VIGILANCE!

Commanders

- ✓ Offer suicide prevention/awareness training to spouses
- ✓ Conduct OPD's and NCOPD's that focus on some aspect of mental health
- ✓ Promote life-coping skills development & help-seeking behaviors
- ✓ Develop well-defined procedures for storing P.O.W.s
- ✓ Conduct "family reunion" seminars during extended deployments
- ✓ Ensure your UMT members are ASIST qualified

Summary

- **Suicide** is substantially **preventable** in the Army, IF:
  - we target those **at risk** of or currently suffering from treatable mental/behavioral disorders(primarily substance abuse/mood dz);
  - we minimize **stigma** associated with accessing mental health care;
  - leaders **know** and **care** about their peers & subordinate soldiers;
  - leaders constructively **intervene early** on in their soldier's problems;
  - leaders pay close attention & provide constructive interventions to those small % of peers and subordinates **facing major losses** from legal, marital, occupational or financial problems

If you come in contact with someone at risk:

- Remain calm – don't panic!
- **Listen!** Allow the person at risk an opportunity to share their thoughts. Shape the conversation around their feelings, not yours.
- Never leave the person at risk alone.
- Share what has happened with the soldier's chain of command.

Suicide Prevention
Leader Training

Every One Matters!

15

HANDOUTS FOR LESSON 1: T321 version 1

This Appendix Contains

This appendix contains the items listed in this table---

Title/Synopsis	Pages
SH-1, Advance Sheet	SH-1-1 thru SH-1-2
SH-2, Extract from FM 100-14	SH-2-1 thru Appendix-17

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Student Handout 1

This student handout contains Advance Sheet.

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Student Handout 1

Advance Sheet

Lesson Hours

This lesson consists of two hours of small group instruction.

Overview

The intent of this lesson is to teach you the risk management process at the section/squad level. The lesson defines the risk management process, its basic principles for implementation, and considerations necessary to effectively integrate and assess risk management within the Army.

This lesson consists of a before class reading assignment and 2 hours of small group instruction/discussion. You will apply your knowledge of the risk management process during the FTX at the end of this course.

Learning Objective

Terminal Learning Objective (TLO)

Action:	Apply the Risk Management Process to a task.
Conditions:	Given a classroom environment and FM 100-14.
Standards:	Applied the risk management process to a task IAW FM 100-14.

ELO A: Define the risk management process.

ELO B: Explain the five steps of the risk management process.

ELO C: State the responsibilities and considerations necessary to effectively integrate and assess risk management within a unit.

Assignment

The student assignments for this lesson are:

- Read Student Handout-1.
- Read Student Handout-2 (Extract from FM 100-14, Risk Management, Chapter 1 thru Chapter 3).
- Skim thru Student Handout-2 (Extract from FM 100-14, Risk Management, Appendix-1 thru Appendix-17).

Additional Subject Area Resources

None

Bring to Class

- Student Handouts 1and 2.
- Pencils or pens.
- Writing paper

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Student Handout 2

Extracted Material from FM 100-14

This student handout contains 57 pages of extracted material from the following publication:

FM 100-14, Risk Management, 23 April 1998

Chapter 1	pages 1-1 thru 1-7
Chapter 2	pages 2-1 thru 2-21
Chapter 3	pages 3-1 thru 3-10
Appendix	pages Appendix-1 thru Appendix-17

Disclaimer: The training developer downloaded the extracted material from the General Dennis J. Reimer Training and Doctrine Digital Library Home Page. The text may contain passive voice, misspellings, grammatical errors, etc., and may not be in compliance with the Army Writing Style Program.

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Chapter 1

Risk Management Fundamentals

Sizing up opponents to determine victory, assessing dangers and distances is the proper course of action for military leaders.

Sun Tzu, The Art of War, "Terrain"

Risk management is the process of identifying, assessing, and controlling risks arising from operational factors and making decisions that balance risk costs with mission benefits. Leaders and soldiers at all levels use risk management. It applies to all missions and environments across the wide range of Army operations. Risk management is fundamental in developing confident and competent leaders and units. Proficiency in applying risk management is critical to conserving combat power and resources. Commanders must firmly ground current and future leaders in the critical skills of the five-step risk management process.

Risk is characterized by both the probability and severity of a potential loss that may result from hazards due to the presence of an enemy, an adversary, or some other hazardous condition. Perception of risk varies from person to person. What is risky or dangerous to one person may not be to another. Perception influences leaders' decisions. A publicized event such as a training accident or a relatively minor incident may increase the public's perception of risk for that particular event and time—sometimes to the point of making such risks unacceptable. Failure to effectively manage the risk may make an operation too costly—politically, economically, and in terms of combat power (soldiers lives and equipment). This chapter presents the background, principles, applicability, and constraints relating to the risk management process.

BACKGROUND

Throughout the history of armed conflict, government and military leaders have tried to reckon with the effect of casualties on policy, strategy, and mission accomplishment. Government and military leaders consider battle losses from different perspectives. However, both must balance the following against the value of national objectives:

- Effects of casualties.
- Impact on civilians.
- Damage to the environment.
- Loss of equipment.
- Level of public reaction.

War is inherently complex, dynamic, and fluid. It is characterized by uncertainty, ambiguity, and friction. *Uncertainty* results from unknowns or lack of information. *Ambiguity* is the blurring or fog that makes it difficult to distinguish fact from impression about a situation and the enemy. *Friction* results from change, operational hazards, fatigue, and fears brought on by danger. These characteristics cloud the operating environment; they create risks that affect an army's ability to fight and win. In uncertainty, ambiguity, and friction, both danger and opportunity exist. Hence, a leader's ability to adapt and take risks are key traits. Chapter 2 of FM 100-5 provides information on the challenging circumstances of military operations during conflict.

Historically, the Army has had more accidental losses, including fratricide (friendly fire), than losses from enemy action. See Figure 1-1. These accidental losses are the same types experienced in peacetime

Army	World War II 1942–1945	Korea 1950–1953	Vietnam 1965–1972	Desert Shield/ Storm[1] 1990–1991
Accidents	56%	44%	54%	75%
Friendly Fire	1%	1%	1%	5%
Enemy Action	43%	55%	45%	20%

[1]These numbers include the relatively long buildup time and short period of combat action

Figure 1-1. Battle and Nonbattle Casualties

during training exercises. These losses are not caused by the enemy or an adversary. Factors include—

- An ever-changing operational environment.
- Effects of a fast-paced, high-operational tempo (OPTEMPO) and a high-personnel tempo (PERSTEMPO) on unit and human performance. Examples include leader or soldier error or failure to train or perform to standards.
- Equipment failure, support failure, and the effects of the physical environment.

PRINCIPLES

The basic principles that provide a framework for implementing the risk management process are—

- *Integrating risk management into mission planning, preparation, and execution.* Leaders and staffs continuously identify hazards and assess both accident and tactical risks. They then develop and coordinate control measures. They determine the level of residual risk for accident hazards in order to evaluate courses of action (COAs). They integrate control measures into staff estimates, operation plans (OPLANs), operation orders (OPORDs), and missions. Commanders assess the areas in which they might take tactical risks. They approve control measures that will reduce risks. Leaders ensure that all soldiers understand and properly execute risk controls. They continuously assess variable hazards and implement risk controls.
- *Making risk decisions at the appropriate level in the chain of command.* The commander should address risk guidance in his commander's guidance. He bases his risk guidance on established Army and other appropriate policies and on his higher commander's direction. He then gives guidance on how much risk he is willing to accept and delegate. Subordinates seek the higher commander's approval to accept risks that might imperil the next higher commander's intent.
- *Accepting no unnecessary risk.* Commanders compare and balance risks against mission expectations and accept risks only if the benefits outweigh the potential costs or losses. Commanders alone decide whether to accept the level of residual risk to accomplish the mission.

APPLICABILITY

Risk management applies to all situations and environments across the wide range of Army operations, activities, and processes. Risk management is useful in developing, fielding, and employing the total Army force. Figure 1-2 summarizes the key aspects of risk management.

DEVELOPMENT

Development concerns include force design, manpower allocation, training and training developments, and combat and materiel developments (equipment and weapons systems) and battle laboratories.

Risk management assists the commander or leader in—

- Conserving lives and resources and avoiding unnecessary risk.
- Making an informed decision to implement a COA.
- Identifying feasible and effective control measures where specific standards do not exist.
- Providing reasonable alternatives for mission accomplishment.

Risk management does not—

- Inhibit the commander's and leader's flexibility and initiative.
- Remove risk altogether, or support a zero defects mindset.
- Require a GO/NO-GO decision.
- Sanction or justify violating the law.
- Remove the necessity for standard drills, tactics, techniques, and procedures.

Figure 1-2. Key Aspects of Risk Management

Force Design

Concerns include risks introduced in trade-off decisions that involve the design and equipping of—

- Tables of organization and equipment (TOE).
- Modification tables of organization and equipment (MTOE).
- Tables of distribution and allowances (TDA) organizations.

Manpower Allocations

Concerns include shortfalls in manning that put unit readiness and full use of combat system capabilities at risk.

Training and Training Developments

Concerns include hazardous and critical training tasks and feasible risk reduction measures that provide leaders with the flexibility to safely conduct tough, realistic training.

Combat and Materiel Developments and Battle Laboratories

Concerns include providing a means to assist in making informed trade-off decisions such as—

- Balancing equipment form, fit, and function.
- Balancing the durability and cost of equipment and spare parts against their reliability, availability, and maintainability requirements.
- Determining the environmental impact.
- Determining whether to accept systems with less than the full capabilities prescribed in requirement documents and experimental procedures.

ARs 70-1 and 385-16 and MIL-STD-882 provide details on risk management application in the Army materiel acquisition process.

FIELDING

Fielding concerns include personnel assignments, sustainment and logistics, training, and base operations.

Personnel Assignments

Concerns include making informed decisions in assigning replacement personnel. For example, a risk is associated with assigning a multiple launch rocket system crewmember as a replacement for a tube artillery cannon crewmember.

Sustainment and Logistics

Concerns include enhancing one's ability to determine support requirements, the order in which they should be received, and the potential impact of logistics decisions on operations.

Training

Concerns include helping leaders determine the—

- Balance between training realism and unnecessary risks in training.
- Impact of training operations on the environment.
- Level of proficiency and experience of soldiers and leaders.

Base Operations

Concerns include prioritizing the execution of base operations functions to get the most benefit from available resources. Examples include allocating resources for pollution prevention, correcting safety and health hazards, and correcting violations of environmental protection regulations. FM 20-400 provides specific guidance on environmental protection in military operations.

EMPLOYMENT

Employment concerns include force protection and deployment, operations, and redeployment.

Force Protection

Concerns include developing a plan that identifies threats and their associated hazards and balancing resource restraints against the risk.

Deployment, Operations, and Redeployment

Concerns include—

- Analyzing the factors of mission, enemy, terrain, troops, and time available (METT-T) to determine both tactical and accident risks and appropriate risk reduction measures.
- Determining the correct units, equipment composition, and sequence.
- Identifying controls essential to safety and environmental protection.

CONSTRAINTS

Risk management does not convey authority to violate the law-of-land warfare or deliberately disobey local, state, national, or host nation laws. It does not justify ignoring regulatory restrictions and applicable standards. Neither does it justify bypassing risk controls required by law, such as life safety and fire protection codes, physical security, transport and disposal of hazardous material and waste, or storage of classified material. Commanders may not use risk management to alter or bypass legislative intent. However, when restrictions imposed by other agencies adversely affect the mission, planners may negotiate a satisfactory COA if the result conforms to the legislative intent.

Risk management assists the commander in complying with regulatory and legal requirements by—

- Identifying applicable legal standards that affect the mission.
- Identifying alternate COAs or alternate standards that meet the intent of the law.
- Ensuring better use of limited resources through establishing priorities to correct known hazardous conditions that will result in projects with the highest return on investment funded first.

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Chapter 2

Risk Management Process

First reckon, then risk

Field Marshal Helmuth von Moltke

This chapter provides the essence of the five-step risk management process. It illustrates the application of each step to military operations through the factors of METT-T.

THE FIVE STEPS: AN OVERVIEW

Risk management is the process of identifying and controlling hazards to conserve combat power and resources. The five steps of risk management are—

- Step 1. Identify hazards.
- Step 2. Assess hazards to determine risks.
- Step 3. Develop controls and make risk decisions.
- Step 4. Implement controls.
- Step 5. Supervise and evaluate.

This five-step process is integrated into the military decision-making process as shown in Figure 2-1.

FM 100-40 provides insight into the context in which the risk management process is applied herein. Areas of particular interest in FM 100-40 include—

- Solving tactical problems (Chapter 1).
- The science and art of tactics (Chapter 1).
- Hasty versus deliberate operations (Chapter 1).
- The plan-prepare-execute cycle (Chapter 1).
- Basic tactical control measures (Chapter 2).
- The factors of METT-T (Chapter 2).

Military Decision-Making Process	Risk Management Steps				
	Step 1 Identify Hazards	**Step 2** Assess Hazards	**Step 3** Develop Controls and Make Risk Decision	**Step 4** Implement Controls	**Step 5** Supervise and Evaluate
Mission Receipt	X				
Mission Analysis	X	X			
COA Development	X	X	X		
COA Analysis	X	X	X		
COA Comparison			X		
COA Approval			X		
Orders Production				X	
Rehearsal[1]	X	X	X	X	X
Execution and Assessment[1]	X	X	X	X	X

[1]All boxes are marked to emphasize the continued use of the risk management process throughout the mission

Figure 2-1. Risk Management Steps Correlated with Military Decision-Making Tasks

Risk decisions should be based upon awareness rather than mechanical habit. Leaders should act on a keen appreciation for the essential factors that make each situation unique instead of from conditioned response. Throughout the entire operational continuum, the commander must consider US Government civilians and contract support personnel in his risk management process. Hazards can exist, regardless of enemy or adversary actions, in areas with no direct enemy contact and in areas outside the enemy's or adversary's

influence. The two types of risk that exist across the wide range of Army operations are *tactical risks* and *accident risks.*

- *Tactical risk* is risk concerned with hazards that exist because of the presence of either the enemy or an adversary. It applies to all levels of war and across the spectrum of operations.
- *Accident risk* includes all operational risk considerations other than tactical risk. It includes risks to the friendly force. It also includes risks posed to civilians by an operation, as well as an operations impact on the environment. It can include activities associated with hazards concerning friendly personnel, civilians, equipment readiness, and environmental conditions.

STEPS 1 AND 2

Steps 1 and 2 together comprise the risk assessment. In Step 1, individuals identify the hazards that may be encountered in executing a mission. In Step 2, they determine the direct impact of each hazard on the operation. The risk assessment provides for enhanced situational awareness. This awareness builds confidence and allows soldiers and units to take timely, efficient, and effective protective measures.

STEPS 3 THROUGH 5

Steps 3 through 5 are the essential follow-through actions to effectively manage risk. In these steps, leaders balance risk against costs—political, economic, environmental, and to combat power—and take appropriate actions to eliminate unnecessary risk. During execution, as well as during planning and preparation, leaders continuously assess the risk to the overall mission and to those involved in the task. Finally, leaders and individuals evaluate the effectiveness of controls and provide lessons learned so that others may benefit from the experience.

THE FIVE STEPS APPLIED

STEP 1. IDENTIFY HAZARDS

A *hazard* is an actual or potential condition where the following can occur due to exposure to the hazard:

- Injury, illness, or death of personnel.
- Damage to or loss of equipment and property.
- Mission degradation.

Hazards are sources of danger or risks due to enemy or adversary presence and other conditions not due to enemy or adversary capabilities. Hazards are found in all operational environments. Combat operations, stability operations, base support operations, and training present unique hazards for units involved in these kinds of missions. Hazards are identified during the first four steps of the military decision-making process: *mission receipt, mission analysis, COA development,* and *COA analysis.*

The ability of unit leaders and staffs to identify hazards is key. One reality of today's missions is that the aspect of a hazard can change rapidly. Things of little risk initially can quickly become major threats due to unforeseen natural or man-made events. Leaders should be aware of this possibility. Complacency to the fact that existing controls may not continue to control hazards in rapidly changing situations should be viewed as a hazard in itself.

The factors of METT-T provide a sound framework for identifying hazards when planning, preparing, and executing operations. When applying risk management to METT-T during mission analysis, leaders and staffs should look for hazards that affect both tactical and accident risks. They must identify all hazards that may present significant risks to the mission.

Mission

Leaders first analyze the assigned mission. They look at the type of mission to be accomplished and consider possible subsequent missions. Certain kinds of operations are inherently more dangerous than others. For example, a deliberate frontal attack, because of the associated movement, is more likely to expose a unit to losses than would a defense from prepared positions. Identifying missions that routinely present great risk is imperative. Leaders also look for hazards associated with complexity of the plan such as—

- A scheme of maneuver that is difficult to understand or too complex for accurate communications down to the lowest level.
- The impact of operating under a fragmentary order (FRAGO).

Enemy

Commanders look for enemy capabilities that pose significant hazards to the operation. For example, "What can the enemy do to

defeat my operation?" Common shortfalls that can create hazards during operations against an enemy include failure to—

- Assess potential advantages to the enemy provided by the battlefield environment.
- Fully assess the enemy's capabilities.
- Understand enemy collection capabilities and friendly vulnerabilities to those capabilities.
- Accurately determine the enemy's probable COAs.
- Plan and coordinate active ground and aerial reconnaissance activities.
- Disseminate intelligence about the enemy to lower levels.
- Identifying terrorist threats and capabilities.

Intelligence plays a critical part in identifying hazards associated with tactical risk. Intelligence-preparation-of-the-battlefield (IPB) is a dynamic staff process that continually integrates new information and intelligence that ultimately becomes input to the commander's risk assessment process. Intelligence assists in identifying hazards during operations by—

- Identifying the opportunities and constraints the battlefield environment offers to threat and friendly forces.
- Thoroughly portraying threat capabilities and vulnerabilities.
- Collecting information on populations, governments, and infrastructures.

FMs 34-130 and 34-60, respectively, provide detailed information on IPB and on counterintelligence operations and multidiscipline counterintelligence analysis.

Terrain and Weather

In addition to those due to the enemy or adversaries, the most obvious hazards to military operations are due to terrain and weather. Terrain and weather affect the type of hazard encountered. When the enemy uses terrain to his advantage, the risk is clearly tactical. The aspects of terrain and weather may create situations where accident risks predominate. When looking at this from a purely mission perspective, familiarity of the unit with the terrain and its associated environment must be paramount. Basic issues include—

- How long the unit has operated in the environment and climate.
- Whether the terrain has been crossed before.

Terrain. The five main military aspects of terrain—*observation and fields of fire, cover and concealment, obstacles, key terrain and decisive terrain, and avenues of approach (OCOKA)*—can be used to identify and assess hazards impacting on friendly forces. Chapter 2 of FM 100-40 has details on OCOKA. The terrain analysis includes both map and on-the-ground reconnaissance to identify how well unit capabilities and mission demands can be accommodated by the terrain.

- *Observation and fields of fire.* Hazards associated with this usually involve when the enemy will be able to engage a friendly unit and when friendly unit weapons capabilities allow it to effectively engage the enemy.
- *Cover and concealment.* Hazards associated with cover and concealment are created by the enemy's ability to place direct or indirect fire on friendly forces.
- *Obstacles.* Hazards associated with obstacles may be accident or tactical. They may be due to natural conditions such as rivers or swamps or man-made such as minefields or built-up areas.
- *Key terrain and decisive terrain.* Hazards are a marked advantage terrain provides to the enemy if he controls such terrain or denies its use to friendly forces.
- *Avenues of approach.* Hazards associated with avenues of approach can affect both tactical and accident risks. Such hazards include conditions where an avenue of approach impedes deployment of friendly combat power or where it supports deployment of enemy combat power.

Weather. Weather works hand-in-hand with terrain to create hazards. To identify weather hazards, leaders and soldiers must assess the impact on operating systems. Mistakes include not considering the—

- Adverse effects of heat and cold hazards on the performance of soldiers.
- Effects of climate and weather on maintenance of vehicles and equipment before beginning an operation.
- Hazardous effects of weather on the five military aspects of terrain.

Troops

Leaders analyze the capabilities of available friendly troops. Associated hazards impact both the soldier and unit. Key considerations are level of training, manning levels, the condition and maintenance of vehicles and equipment, morale, availability of supplies and services, and the physical and emotional health of soldiers. Leaders and soldiers must be vigilant to the fact that hazards in these areas can adversely affect a mission, even when all tactical considerations point to success. Mission failure can be caused by—

- *Hazards to the physical and emotional health of soldiers.* Inadequate sanitation facilities, water purification capabilities, medical attention, and evacuation capabilities are key hazards that can arise from incomplete logistical planning. Care of troops requires long-range projections of all classes of supply, with close monitoring of mission changes that could impact availability or depletion of supplies. When beginning an operation immediately upon arriving in theater, hazards include not implementing measures to help soldiers overcome fatigue or acclimatize them to the geographical area and associated climate.
- *Hazards to task organization or units participating in an operation.* Hazards include how long units have worked together under a particular command relationship. During stability operations, task organizations may change often. Hazards include poor communication, unfamiliarity with higher headquarters SOPs, and insufficient combat power to accomplish the mission.
- *Hazards associated with long-term missions.* Long-term missions include nation building, peacekeeping, or insurgency/counterinsurgency operations. Hazards associated with these missions include the turmoil of personnel turnover, lack of continuity of leadership, inexperience, and lack of knowledge of the situation and the unit's operating procedures. An especially insidious hazard is critical-skills atrophy that results from not performing METL-related missions.

Time Available

The hazard is insufficient time to plan, prepare, and execute operations. Planning time is always at a premium. Leaders routinely apply the one-third/two-thirds rule to ensure their subordinate units are given maximum time to plan. Failure to accomplish a mission on

time can result in shortages of time for subordinate and adjacent units to accomplish their mission.

Civilians

The commander's legal responsibility is to consider hazards to, and safeguarding of, civilians in his area of operations. *Civilians* include nongovernmental organizations (NGOs), private voluntary organizations (PVOs), US Government civilians, foreign national civilians, the media, and dislocated civilians put at risk by military operations. The commander must consider hazards that can occur across the range of operations, such as—

- *In a wartime environment.* The commander must consider the hazard of collateral damage which may result in creating new adversaries.
- *In a peacetime environment.* The commander must consider the political attitudes and previous actions of civilians in identifying hazards to friendly forces and the populace itself.

Adversaries are hostile elements other than the enemy that may be encountered during any operation. They present additional hazards. They may be organized opposition or individuals that challenge authority. They may include such diverse elements as rioters, criminals, rogues, or gangs that might want to harass a peace enforcement mission.

STEP 2. ASSESS HAZARDS

Step 2 completes the risk assessment. Risk is the chance of hazard or bad consequences. This step examines each hazard in terms of probability and severity to determine the risk level of one or more hazardous incidents that can result from exposure to the hazard. This step is conducted during three steps of the military decision-making process—*mission analysis*, *COA development*, and *COA analysis.* This step is also conducted after controls are developed.

The incident must be credible in that it must have a reasonable expectation of happening. The end result is an estimate of risk from each hazard and an estimate of the overall risk to the mission caused by hazards that cannot be eliminated. Leaders must also assess the risk to civilians posed by the operation. They may need to assess the operations' impact on the environment. This step is conducted in three substeps.

Substep A

Leaders and staffs assess each hazard in relation to the *probability* of a hazardous incident. The probability levels estimated for each hazard may be based on the mission, COAs being developed and analyzed, or frequency of a similar event. Figure 2-2 provides a summary of the five degrees of probability. The letters in parentheses following each degree (A through E) provide a symbol for depicting probability. For example, the letter *A* represents *frequent* probability.

FREQUENT (A) Occurs very often, continuously experienced	
Single item	Occurs very often in service life. Expected to occur several times over duration of a specific mission or operation. Always occurs.
Fleet or inventory of items	Occurs continuously during a specific mission or operation, or over a service life.
Individual soldier	Occurs very often in career. Expected to occur several times during mission or operation. Always occurs.
All soldiers exposed	Occurs continuously during a specific mission or operation.
LIKELY (B) Occurs several times	
Single item	Occurs several times in service life. Expected to occur during a specific mission or operation.
Fleet or inventory of items	Occurs at a high rate, but experienced intermittently (regular intervals, generally often,).
Individual soldier	Occurs several times in career. Expected to occur during a specific mission or operation.
All soldiers exposed	Occurs at a high rate, but experienced intermittently.
OCCASIONAL (C) Occurs sporadically	
Single item	Occurs some time in service life. May occur about as often as not during a specific mission or operation.
Fleet or inventory of items	Occurs several times in service life.
Individual soldier	Occurs some time in career. May occur during a specific mission or operation, but not often.
All soldiers exposed	Occurs sporadically (irregularly, sparsely, or sometimes).

Figure 2-2. Hazard Probability

SELDOM (D) Remotely possible; could occur at some time	
Single item	Occurs in service life, but only remotely possible. Not expected to occur during a specific mission or operation.
Fleet or inventory of items	Occurs as isolated incidents. Possible to occur some time in service life, but rarely. Usually does not occur.
Individual soldier	Occurs as isolated incident during a career. Remotely possible, but not expected to occur during a specific mission or operation.
All soldiers exposed	Occurs rarely within exposed population as isolated incidents.
UNLIKELY (E) Can assume will not occur, but not impossible	
Single item	Occurrence not impossible, but can assume will almost never occur in service life. Can assume will not occur during a specific mission or operation.
Fleet or inventory of items	Occurs very rarely (almost never or improbable). Incidents may occur over service life.
Individual soldier	Occurrence not impossible, but may assume will not occur in career or during a specific mission or operation.
All soldiers exposed	Occurs very rarely, but not impossible.

Figure 2-2. Hazard Probability (continued)

Substep B

Substep B addresses the *severity* of each hazard. It is expressed in terms of—

- Degree of injury or illness.
- Loss of or damage to equipment or property.
- Environmental damage.
- Other mission-impairing factors such as lost combat power.

The degree of severity estimated for each hazard may be based on knowledge of the results of similar past events. Figure 2-3 provides a summary of the four degrees of hazard severity. The Roman numerals in parentheses following each degree (I through IV) provide a convenient symbol for depicting severity. For example, *I* represents the *catastrophic* degree of severity.

CATASTROPHIC (I)	Loss of ability to accomplish the mission or mission failure. Death or permanent total disability (accident risk). Loss of major or mission-critical system or equipment. Major property (facility) damage. Severe environmental damage. Mission-critical security failure. Unacceptable collateral damage.
CRITICAL (II)	Significantly (severely) degraded mission capability or unit readiness. Permanent partial disability, temporary total disability exceeding 3 months time (accident risk). Extensive (major) damage to equipment or systems. Significant damage to property or the environment. Security failure. Significant collateral damage.
MARGINAL (III)	Degraded mission capability or unit readiness. Minor damage to equipment or systems, property, or the environment. Lost day due to injury or illness not exceeding 3 months (accident risk). Minor damage to property or the environment.
NEGLIGIBLE (IV)	Little or no adverse impact on mission capability. First aid or minor medical treatment (accident risk). Slight equipment or system damage, but fully functional and serviceable. Little or no property or environmental damage.

Figure 2-3. Hazard Severity

Substep C

In this substep leaders and staffs expand what they understand about probable hazardous incidents into estimates of levels of risk for each identified hazard and an estimate of the overall risk for the operation. Estimating risk follows from examining the outcomes of Substeps A and B; that is, both the probability and severity of hazardous incidents. This substep is more art than science. Much depends on the use of historical lessons learned, intuitive analysis,

experience, and judgment. Uncertainty can arise in the assessment of both the probability and severity of a hazardous incident. Uncertainty results from unknowns about a situation; from incomplete, inaccurate, undependable, or contradictory information; and from unforeseen circumstances. Therefore, assessment of risk requires good judgment.

Figure 2-4 is a standardized matrix that can be used to assist in this process. Leaders and staffs enter the estimated degree of severity and probability for each hazard in Substeps A and B from the severity row and probability column, respectively. The point where the severity row and probability column intersect defines the level of risk. For example, if the hazard is estimated to have a *critical* severity (II) and a *likely* probability (B), the level of risk is high (H).

Figure 2-5 provides a summary of the levels of risk. It also provides examples of hazardous incidents for each risk level. Several examples illustrate the trade-off between tactical and accident risks.

Risk Assessment Matrix

		Probability				
Severity		**Frequent A**	**Likely B**	**Occasional C**	**Seldom D**	**Unlikely E**
Catastrophic	**I**	**E**	**E**	**H**	**H**	**M**
Critical	**II**	**E**	**H**	**H**	**M**	**L**
Marginal	**III**	**H**	**M**	**M**	**L**	**L**
Negligible	**IV**	**M**	**L**	**L**	**L**	**L**

E – Extremely High Risk
H – High Risk
M – Moderate Risk
L – Low Risk

Figure 2-4. Risk Assessment Matrix

E - Extremely High: Loss of ability to accomplish the mission if hazards occur during mission. A *frequent* or likely probability of catastrophic loss (IA or IB) or *frequent* probability of *critical* loss (IIA) exists.

Example: A commander finds that one of his implied tasks to attack an objective involves crossing a normally shallow riverbed. After looking at the factors of METT-T, he discovers that three days of intense rain have raised the water level to rise above flood stage, with currents far in excess of his ability to safely ford with armored vehicles. After discussing COAs with his staff, he determines the accident risk is extremely high because of the likely probability and catastrophic severity of losing vehicles and killing soldiers. His conclusions are based on his experience with and knowledge of fording armored vehicles under the existing conditions of water depth and current speed.

H - High: Significant degradation of mission capabilities in terms of the required mission standard, inability to accomplish all parts of the mission, or inability to complete the mission to standard if hazards occur during the mission. *Occasional* to *seldom* probability of catastrophic loss (IC or ID) exists. A *likely* to *occasional* probability exists of a critical loss (IIB or IIC) occurring. *Frequent* probability of *marginal* losses (IIIA) exists.

Example: During a preplanned ambush, the leader discovers that the force he intends to ambush has significantly more combat power than his own force can accommodate. He realizes that he could only delay rather than destroy the enemy. He knows his casualty estimates would be very high if the enemy reorganized and counterattacked. He also knows that the size of the enemy force could seriously impact adjacent units conducting a movement to contact. He determines the situation is *high risk* because he estimates (based on his training and experience) there is a likely probability of the enemy reorganizing and counterattacking and the severity of loss to his unit would be critical.

M - Moderate: Expected degraded mission capabilities in terms of the required mission standard will have a reduced mission capability if hazards occur during mission. An *unlikely* probability of catastrophic loss (IE) exists. The probability of a *critical* loss is *seldom* (IID). *Marginal* losses occur with a *likely* or *occasional* probability (IIIB or IIIC). A *frequent* probability of negligible (IVA) losses exists.

Example: A commander in a defensive position receives a warning order to be prepared to counterattack if the enemy attacks again. He chooses to use pre-positioned ammunition caches to support his defense, as opposed to moving his ammunition resupply forward by truck. He determines that the severity of not having an immediate resupply of ammunition available during the counterattack will have a *critical* impact on his combat power. He realizes that if the enemy forces him to abandon his forward positions, the severity of the loss of his

Figure 2-5. Levels of Risk

ammunition caches will critically impact his combat power. He considers that his unit is deployed in excellent defensive positions. He has repelled two attacks that resulted in the destruction of an estimated 50 percent of the enemy's combat power. He receives information that the probability of the enemy attacking is *likely*, but that the probability of the enemy being reinforced and attacking in overwhelming force is remote *(seldom).* The commander concludes that the risk of conducting a counterattack with limited ammunition is greater than the *moderate* risk of the enemy pushing him back.

L - Low: Expected losses have little or no impact on accomplishing the mission. The probability of *critical* loss is *unlikely* (IIE), while that of *marginal* loss is *seldom* (IIID) or *unlikely* (IIIE). The probability of a *negligible* loss is *likely* or *less* (IVB through (IVE).

Example: A mechanized task force (TF) conducting a movement to contact in a desert environment is overtaken by nightfall before reaching its limit of advance (LOA). The terrain along the axis of advance is flat and open. Visibility is about 800 meters under a clear sky illuminated by a full moon. Estimates put the enemy, which has been hastily withdrawing for the past three days, at approximately 30 percent strength. Contact has been light with no defensible terrain along the TF's axis. The TF commander considers all the factors. In addition, the TF is 100 percent operational in using night vision devices. The TF commander estimates that it is *unlikely* that his unit will incur losses of *critical* severity by being surprised by the enemy or lose *critical* combat power due to an accident. He estimates the risk to his force in continuing a nighttime movement is *low.*

Figure 2-5. Levels of Risk (continued)

STEP 3. DEVELOP CONTROLS AND MAKE RISK DECISIONS

> *Risk management is the recognition that decision making occurs under conditions of uncertainty. Decisions must remain consistent with the commander's stated intent and offer a good expectation of success. The risk-taking skill requires competency as a prerequisite.*
>
> FM 100-7, Decisive Force:
> *The Army in Theater Operations,* May 1995

Step 3 is accomplished in two substeps: develop controls and make risk decisions. This is done during the COA development, COA analysis, COA comparison, and COA approval of the military decision-making process.

Substep A - Develop Controls

After assessing each hazard, leaders develop one or more controls that either eliminate the hazard or reduce the risk (probability and / or

severity) of a hazardous incident. When developing controls, they consider the reason for the hazard not just the hazard itself.

Types of Controls. Controls can take many forms, but fall into three basic categories—*educational controls, physical controls,* and *avoidance.*

- *Educational controls.* These controls are based on the knowledge and skills of the units and individuals. Effective control is implemented through individual and collective training that ensures performance to standard.
- *Physical controls.* These controls may take the form of barriers and guards or signs to warn individuals and units that a hazard exists. Additionally, special controller or oversight personnel responsible for locating specific hazards fall into this category.
- *Avoidance.* These controls are applied when leaders take positive action to prevent contact with an identified hazard.

Criteria for Controls. To be effective, each control developed must meet the following criteria:

- *Suitability.* It must remove the hazard or mitigate (reduce) the residual risk to an acceptable level.
- *Feasibility.* The unit must have the capability to implement the control.
- *Acceptability.* The benefit gained by implementing the control must justify the cost in resources and time. The assessment of acceptability is largely subjective. Figure 2-6 gives criteria for determining acceptability of controls for each identified hazard.

Support	Availability of adequate personnel, equipment, supplies, and facilities necessary to implement a suitable controls.
Standards	Guidance and procedures for implementing a control are clear, practical, and specific.
Training	Knowledge and skills are adequate to implement a control.
Leadership	Leaders are competent to implement a control.
Individual	Individual soldiers are sufficiently self-disciplined to implement a control.

Figure 2-6. Criteria for Determining Acceptability of Controls

Examples of Controls. Examples of controls include—

- Engineering or designing to eliminate or control hazards.
- Selecting a COA that avoids identified hazards.
- Limiting the number of people and the amount of time they are exposed to hazards, consistent with mission requirements.
- Selecting personnel with appropriate mental, emotional, and physical capabilities.
- Providing protective clothing, equipment, and safety and security devices.
- Providing such services as adequate sanitation facilities and water purification capabilities.
- Providing warning signs and signals.
- Scheduling vehicle and aircraft silhouette drills.
- Planning training, including rehearsals, rock drills, battle drills, and so forth.
- Programming communications links for key civilian organizations.
- Establishing battlefield controls such as areas of operations and boundaries, direct fire control measures, fire support coordination measures, rules of engagement, airspace control measures, bridge classification, traffic control, and so forth.
- Developing terrorist attack warning systems and response plans.

The key is to specify who, what, where, when, and how each control is to be used. For example—

- Planning and scheduling intensive threat and friendly vehicle identification refresher training for all antiarmor and air defense weapons crews before the mission reduces the probability of engaging a friendly vehicle or aircraft (fratricide).
- Programming installation of crashworthy passenger seats in the UH-60 Blackhawk, when mission circumstances do not indicate their removal, can reduce the severity of injuries in crashes.
- Requiring soldiers to wear flak vests and helmets during movement to contact, or when riding in vehicles in areas where enemy fire is likely, can reduce the probability and severity of a wound from small arms fire or fragments.

- Establishing strong continuity documents and planning overlap tours for key leaders facilitate smooth transitions during extended operations.

Residual Risk. Once the responsible leader develops and accepts controls, he determines the residual risk associated with each hazard and the overall residual risk for the mission.

- *Residual risk* is the risk remaining after controls have been selected for the hazard. Residual risk is valid (true) only if the controls for it are implemented. As controls for hazards are identified and selected, the hazards are reassessed as in Step 2 and the level of risk is then revised. This process is repeated until the level of residual risk is acceptable to the commander or leader or cannot be further reduced. See Figures A-3 through A-5.
- *Overall residual risk* of a mission must be determined when more than one hazard is identified. The residual risk for each of these hazards may have a different level, depending on the assessed probability and severity of the hazardous incident. Overall residual mission risk should be determined based on the incident having the greatest residual risk. Determining overall mission risk by averaging the risks of all hazards is not valid. If one hazard has high risk, the overall residual risk of the mission is high, no matter how many moderate or low risk hazards are present.

Substep B - Make Risk Decision

A key element of the risk decision is determining if the risk is justified. The commander must compare and balance the risk against mission expectations. He alone decides if controls are sufficient and acceptable and whether to accept the resulting residual risk. If he determines the risk level is too high, he directs the development of additional controls or alternate controls, or he modifies, changes, or rejects the COA.

Leaders can use the risk assessment matrix in Figure 2-4—in conjunction with their commanders' guidance—to communicate how much risk they are willing to delegate. For example, a commander may place constraints on his subordinates that restrict their freedom of action to accept risk in instances where the risk might imperil his intent, his higher commander's intent, or a critical capability of the unit.

STEP 4. IMPLEMENT CONTROLS

Leaders and staffs ensure that controls are integrated into SOPs, written and verbal orders, mission briefings, and staff estimates. The critical check for this step, with oversight, is to ensure that controls are converted into clear, simple execution orders understood at all levels. Implementing controls includes coordination and communication with—

- Appropriate superior, adjacent, and subordinate units and those executing the mission.
- Logistics Civil Augmentation Program (LOGCAP) organizations and civilian agencies that are part of the force.

The media, NGOs, and PVOs must be included in coordination when their presence impacts or is impacted by the force.

Leaders must explain how supervisors will implement controls. Examples of control implementation include—

- Conducting vehicle and aircraft silhouette drills.
- Conducting rehearsals, rock drills, battle drills, and so forth.
- Conducting intensive threat and friendly vehicle identification refresher training for all antiarmor and air defense weapons crews.
- Conducting orientation for replacement personnel.
- Installing and maintaining communications links for key civilian organizations.
- Operating in convoys of four vehicles minimum.
- Carrying weapons and wearing flak jackets and helmets when outside secure compounds.

STEP 5. SUPERVISE AND EVALUATE

> *Leaders must supervise the execution of their orders. The more untrained the troops, the more detailed this supervision must be.*
>
> *Infantry in Battle,* 1939

During mission preparation and execution, leaders must ensure that their subordinates understand how to execute risk controls. Leaders continuously assess risks during the conduct of operations,

especially during long-term missions. Leaders maintain situational awareness. They guard against complacency to ensure that risk control standards are not relaxed or violated. To gain insight into areas needing improvement, leaders must continuously evaluate their units' effectiveness in managing mission risks.

Supervise

Leaders supervise mission rehearsal and execution to ensure standards and controls are enforced. Techniques may include spot-checks, inspections, situation reports and brief-backs, buddy checks, and close supervision. During the mission, leaders continuously monitor controls to ensure they remain effective. They modify them as necessary. Leaders and individuals anticipate, identify, and assess new hazards to implement controls. They continually assess variable hazards such as fatigue, equipment serviceability, and the environment. Leaders modify controls to keep risks at an acceptable level.

During sustained operations, leaders continue planning to ensure that controls emplaced at the beginning of the mission apply to changes in the operation's current situation and to hazardous conditions. Leaders must maintain an extraordinary degree of discipline. They must avoid complacency, which can result from boredom and overconfidence. Leaders must ensure that soldiers do not relax their vigilance due to performing repetitive tasks—despite changing roles and missions, unit turbulence and turnover, and declining skills. Leaders maintain a close overwatch on controls put in place to reduce risks over a prolonged period. For example, during stability operations, land mine hazards may not be solved in the near term, but may require continual attention. Other examples of long-term hazards that may be encountered include—

- Climatic extremes.
- NBC and hazardous waste contamination.
- Diseases native to a particular area of operation or indigenous population.
- Terrorist threats.

Evaluate

After a mission, leaders and individuals evaluate how well the risk management process was executed. They—

- Determine how to ensure that successes are continued to the next mission.

- Capture and disseminate lessons learned so that others may benefit from the experience.
- Consider the effectiveness of the risk assessment in identifying and accurately assessing the probability and severity of hazards that resulted in mission degradation.
- Determine whether the level of residual risk of each hazard and of the overall mission were accurately estimated.
- Evaluate the effectiveness of each control in reducing or removing risk, including whether controls were effectively communicated, implemented and enforced.

Leaders and individuals determine why some controls were ineffective and what should be done when the hazard is encountered again. A control may be altered; the way it is implemented or supervised may be changed to make it effective; or a completely different control may be more effective. Leaders must energize the system to fix systemic problems that hinder combat effectiveness.

Figure 2-7 shows that the risk management process continues throughout a mission as well as from mission to mission. It is integral to the military decision-making process. Its application requires good judgment and intuitive analysis borne of confidence, experience, and situational awareness.

TOOLS AND PITFALLS

The appendix provides examples of risk management tools to help leaders assess identified hazards, develop controls, and make risk decisions. The tools should be tailored to suit particular situations and missions. The examples in Figures A-3 through A-5 are tools to manage risk at the tactical level. The example in Figure A-6 is a tool to manage risk at the operational level. Units may develop additional tools suitable for their needs.

Units train to a standard. They operate and train regardless of the degree of real or perceived difficulty. Risk reduction begins with commanders identifying their METLs. Commanders use the risk management process to assess the degree of risk related to each METL their unit must perform. From this assessment, risk reducing standard operating procedures evolve.

Figure A-7 provides an example of risk management considerations integrated into a mission training plan (MTP) task.

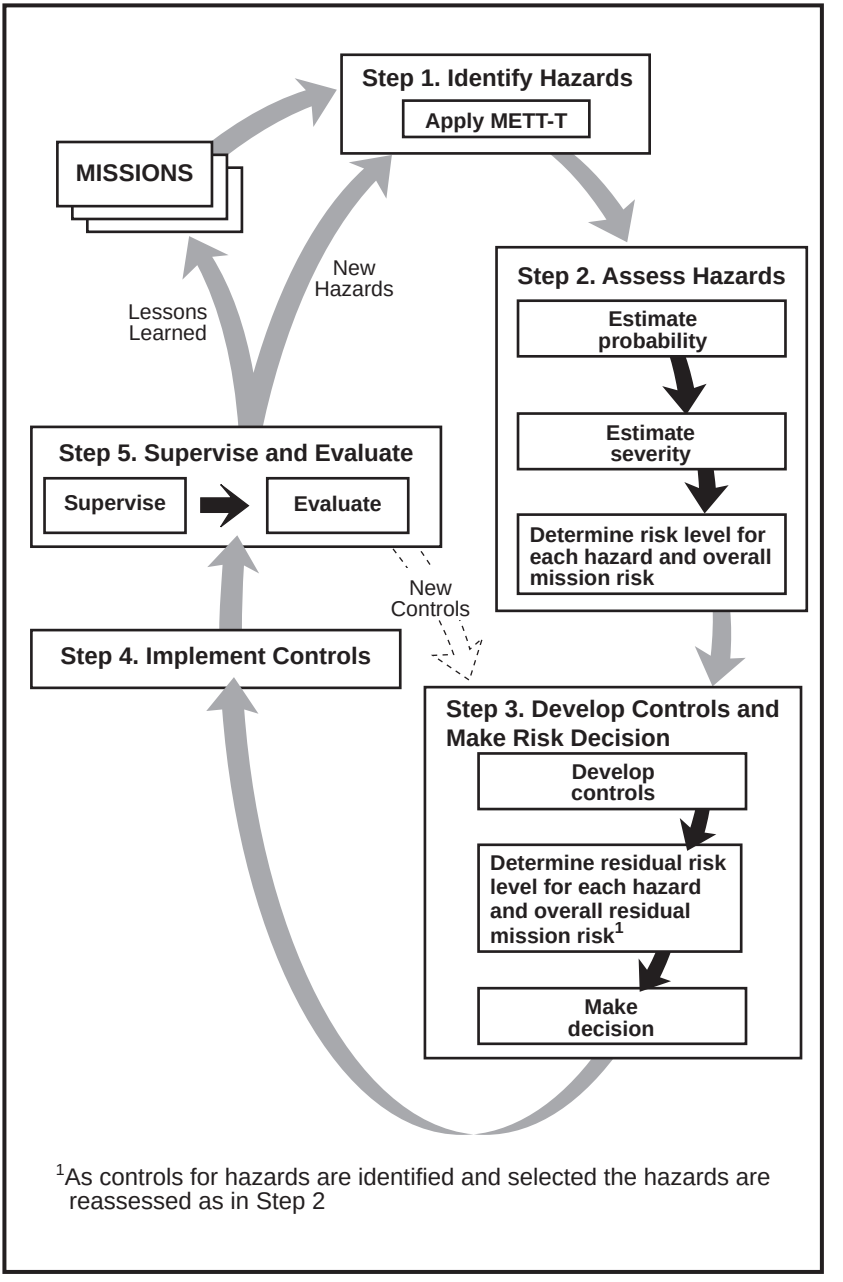

Figure 2-7. Continuous Application of Risk Management

Pitfalls arise when risk management tools are used without adaptation to the factors of METT-T. Using a standardized risk assessment card or checklist may be of some value initially in the mission analysis and COA development or in cases where a routine task is performed in an unchanging environment or static situation. However, such a tool used alone will not likely identify all hazards for every mission in a changing operational environment.

Completing the risk assessment alone, but failing to identify effective controls, usually results in a GO or NO-GO decision based on the initial risk. If the risk assessment does not accurately identify the hazards and determine the level of residual risk, the leader is likely to make his risk decision based upon incomplete or inaccurate information. If the risk assessment places missions in a routine, low-risk category, the commander may not be informed of a risk decision resulting in an accepted risk level that could imperil his or his higher commander's intent or other affected organizations. The risk management process is intended to provide reasonable controls to support mission accomplishment without exposing the force to unnecessary residual risk.

Chapter 3

Risk Management Implementation

It is imperative to develop twenty-first century leaders who trust their subordinates' abilities and judgment. Such leaders must be willing to underwrite their subordinates' honest errors and coach them on to excellence, without tolerating incompetence or laxity. We must recognize that Army leaders are not perfect, and that activity at the ragged edge of audacity sometimes leaves debris in its wake.

GEN William W. Hartzog
Commanding General
US Army Training and Doctrine Command

This chapter presents the moral and ethical implications of risk management. It outlines essential responsibilities and considerations necessary to effectively integrate and assess risk management within the Army. Leaders should tailor these essentials to develop specific how-to procedures suited to their circumstances, available resources, and mission.

MORAL AND ETHICAL IMPLICATIONS FOR LEADERS

To be successful, risk management must be underwritten by the chain of command. Leaders should not expect that all missions will be accomplished with zero defects—free from errors, flaws, or less-than-perfect performance. Demanding such rigid standards leads to oversupervision and paralysis; it produces timid leaders, afraid to make tough decisions in crisis and unwilling to take risks necessary for success in military operations. A zero defects mindset creates conditions that will lead inevitably, in the larger sense, to failure in battle and higher casualties. Leaders are morally bound to support a subordinate's decision to accept risks that are within his commander's intent and guidance, as he understands it.

Leaders accept that things may go wrong, even with the certain knowledge that a subordinate has done all within his power to prevent an incident. In such an event, the leader steps forward and

accepts the responsibility along with his subordinate. Furthermore, risk management does not justify taking actions to facilitate an unethical or immoral action. FM 22-100 addresses the moral and ethical aspects of protecting the force within the overall framework of how to apply leadership at all levels to meet mission requirements.

> *Everyday as we respond to the nation's needs, we expose our soldiers to hazards in uncertain and complex environments. We do this with the full knowledge that there are inherent risks associated with any military operation. The nature of our profession will not allow for either complacency or a cavalier acceptance of risk.*
>
> General Dennis J. Reimer
> Chief of Staff, Army

RESPONSIBILITIES

One critical task for all operations is minimizing risk. Every military plan must make this a priority. It is an inherent part of every mission and a basic responsibility of commanders. Whether for training or operational deployments, commanders issue clear risk guidance. Minimizing risk—eliminating unnecessary risk—is the responsibility of everyone in the chain of command. This responsibility runs from the highest commander, through his subordinate leaders, to the soldier.

The commander and his staff must look at tactical risks and accident risks. They use the same risk management process to manage both types. Commanders—with the assistance of their leaders and staffs—manage accident risks. Commanders determine how and where they are willing to take tactical risks.

Leaders and soldiers at all levels are responsible and accountable for managing risks by ensuring that hazards and associated risks are—

- Identified during planning, preparation, and execution of operations.
- Controlled during preparation and execution of operations.

Soldiers are responsible for executing risk controls to standards. They must continuously assess variable hazards such as fatigue, equipment serviceability, and the environment. They must take care of one

another and make risk decisions consistent with the higher commander's guidance.

Sometimes commanders are not properly advised in situations where the assumption of risk may affect or imperil their units, the intent of their higher commander, or the operations of an adjacent unit. This is most often attributed to—

- The *risk denial syndrome* in which leaders do not want to know of the risk.
- A staff member who believes that the risk decision is part of his job and does not want to bother his commander or section leader.
- A subordinate who does not fully understand the higher commander's guidance.
- Complacency—outright failure to recognize a hazard or the level of risk involved, or overconfidence in one's abilities or the unit's capabilities to avoid or recover from a hazardous incident.
- Use of a standardized risk assessment tool, such as a risk assessment card, that is not tailored to the unit's mission or adapted to the factors of METT-T and which may put missions in the routine low-risk category.

COMMANDERS

The commander directs the organization and sets priorities and the command climate (values, attitudes, and beliefs). Successful preservation of combat power requires embedding risk management into unit behavior. This requires commitment and creative leadership—innovative planning, careful management. It also requires the chain of command's demonstrated support of the risk management process. Only then will the Army begin to capture the full power of risk management. Commanders establish a command climate favorable for risk management integration by—

- Demonstrating consistent and sustained risk management behavior through leading by example—habitually doing risk management—and actively participating throughout the risk management process.
- Providing clear guidance, when appropriate, on where or what risk to accept.

- Obtaining and providing to subordinates the necessary assets to control risk.
- Knowing their own limitations, their leaders' and soldiers' limitations, and their unit's capabilities.
- Preventing a zero-defects mindset from creeping into their command's culture.
- Allowing subordinates to make mistakes and learn from them.
- Demonstrating full confidence in subordinates' mastery of their trade and their ability to execute a chosen COA.
- Keeping subordinates informed; consulting with subordinate leaders before making a decision, if feasible.
- Listening to subordinates.

Commanders are responsible and accountable for their own actions and those of units under their charge. Commanders must weigh the repercussions of casualties, damage to the environment, and loss of equipment. They must also consider the level of public reaction to loss against national, strategic, operational, or tactical objectives. Commanders are also responsible for keeping soldiers from falling into complacency. During sustained operations in particular, complacency can creep in as a result of accepting the status quo. For example, a unit can be deployed for several months and nothing may happen. The unit then gets very satisfied with itself and its performance. It gets conditioned to its initial circumstances—being well-armed, well-equipped, well-disciplined, and well-trained. It thinks it has risks under control and does not need to change. Such complacency, and the associated loss of situational awareness, can result in leaders and soldiers taking a gamble instead of a prudent risk. A risk is the accepted result of an informed decision; a gamble is an uninformed bet or guess on a hopeful outcome. Leaders and soldiers must clearly understand the difference.

Command is often exercised in conditions of uncertainty and ambiguity, where violence, danger, fear, and friction abound, and under the ever present time constraints driven by OPTEMPO. Risk decisions are frequently required by and dependent on the immediate situation. Judgment is required; a formula, rule, or checklist, by itself, is not appropriate under such circumstances.

Avoiding the zero-risk mindset requires the exercise of positive leadership. The commander's approach to managing risk should be

through empowering leaders by pushing risk decisions as far down the chain of command as feasible within the next higher commander's guidance. Commanders must insist that subordinates exercise their freedom of action to act decisively and aggressively to complete assigned missions and promote success of the larger force. Subordinates must consider hazards outside their assigned responsibilities that impact the mission. The result is to encourage coordination and communication—laterally and up and down the chain of command. This requires and encourages initiative, which demands well-trained, determined, disciplined soldiers.

Risk management is a two-way street. It is important that those involved in mission preparation and execution be fully aware of the amount of command involvement and actions necessary to control or remove hazards. The higher commander's guidance specifies the degree of damage or risk to subordinate units that he is willing to accept during the current operation. Subordinates ensure they understand and implement their commander's intent and guidance. If, during the planning process, the accident and / or tactical residual risk exceeds that which the higher commander is willing to accept, the subordinate informs his commander. He requests the resources necessary to mitigate the risk. If, during mission execution, the subordinate determines the risk is too great, he directs the development of additional or alternate controls or modifies or changes the COA. He should notify his next higher commander of his decision. Requiring subordinates to report to the higher commander when a risk decision point is reached during mission execution can result in paralysis.

The objective of managing risk is not to remove all risk, but to eliminate unnecessary risk. Commanders conduct tough, realistic training, knowing that they may put lives and property at risk in the course of military operations. Nothing is worth the cost of a life as the result of taking unnecessary risk. If an action will result in an unacceptable risk, measures should be taken to mitigate it. If the risk cannot be mitigated to an acceptable level, the action should not be executed. Circumstances may occur during mission execution when a decision to stop and defer execution of the operation should be made to avoid taking unwarranted risk. Such a situation will generally occur at the tactical level. For example, circumstances may determine if a trade-off between maintaining the momentum of the attack or risking fratricide or serious accidents is justified. For example, during the deployment of TF Eagle to Bosnia-Herzegovina, there was pressure to

complete the Sava River bridge as quickly as possible. The commander assessed the situation and decided to call for a short rest period because his soldiers were tired and getting careless. Consequently, they completed the bridge ahead of schedule under the most difficult conditions imaginable and without injuries.

LEADERS

Many of the tasks identified for commanders apply to all leaders. Leaders' specific responsibilities in managing risk include—

- Establishing clear, feasible risk management policies and goals.
- Conducting detailed planning within time constraints; assessing each mission and task in terms of its risk; continuously reassessing risk as the mission and conditions change and experience is gained.
- Making informed risk decisions and establishing and clearly communicating risk guidance.
- Training the risk management process. Ensuring subordinates understand the who, what, where, when, how, and why of managing risk and how the process applies to their circumstances and assigned responsibilities.
- Examining how subordinates manage risk and how soldiers protect themselves.
- Supervising and evaluating the unit's execution of risk controls during the mission to correct areas needing improvement.
- Advising his chain of command on risks and risk-reduction measures.
- Providing subordinates with feedback on their performance and ways to improve.
- Assessing the effectiveness of their unit's risk management program.
- Capturing and disseminating lessons learned to ensure they are continued from mission to mission so that others may benefit from the experience.

STAFFS

The chief of staff or executive officer is responsible for supervising integration of risk management across the staff. He coordinates development of risk reduction controls with emphasis on deconflicting controls that affect multiple functional areas and adjacent units. The staff officer helps the commander eliminate unnecessary risks by—

- Analyzing his functional area and applying risk management during the military decision-making process.
- Identifying constraints in the higher commander's risk guidance.
- Including hazards and their risks in the mission analysis briefing.
- Including a risk assessment for the commander's estimate.
- Considering the risk assessment in the operations estimate.
- Including risks and recommending ways to reduce their impact in the staff estimate.
- Implementing risk controls by coordinating and integrating them into the appropriate paragraphs and graphics of the OPORD and into products such as SOPs and OPLANs.
- Establishing procedures and standards that are clear and practical.
- Determining the effectiveness of hazard/risk controls and continuously assessing their suitability, feasibility, and acceptability.
- Supervising, evaluating, and assessing the integration of risk management during an operation.
- Continuously identifying hazards, assessing initial and residual risks for each hazard, recommending control measures to reduce the risk to the force.
- Identifying and assessing hazards associated with complacency, especially during extended operations, and recommending appropriate actions to the commander.

At the operational level, staffs focus on hazards and their risks across the spectrum of protecting the force

INDIVIDUALS

The level of expertise and maturity of the individual influence his proficiency in managing risk. Managing risk is subjective because its basis is individual judgment. Young soldiers are routinely charged with executing hazard controls and risk reduction measures. By nature, some them are impulsive risk takers. Their limited experience, coupled with an infallible attitude, can significantly increase the level of risk they are willing to accept. Their sense of indestructibility, motivation *(esprit de corps),* and willingness to achieve the mission at any cost also play a part.

Some soldiers and individuals ignore existing standards and improvise their own. Due to inexperience or complacency, they become susceptible to—

- Overestimating their ability to respond to or recover from a hazardous incident—they become overconfident.
- Underestimating the level of risk posed by a hazard.

It is imperative that individuals understand and execute controls implemented by leaders and staffs.

Individuals must maintain situational awareness and self-discipline when they perform their duties. They must—

- Understand and apply risk management.
- Execute controls directed by their leaders, that is, *perform to standards.*
- Carry risk management over into training and activities—both on and off duty.
- Look out for others—anyone has authority to halt something that is inherently unsafe.

INTEGRATION INTO TRAINING AND OPERATIONS

ARFOR commanders/leaders must continuously employ risk management approaches to effectively preclude unacceptable risks to personnel and property, including protecting forces preparing for or en route to combat.

FM 100-7, *Decisive Force: The Army in Theater Operations,* May 1995

Integrating risk management into training and operations—

- Preserves the lives and well-being of everyone.
- Conserves equipment, facilities, environmental resources, and combat power.

Risk management must not be treated as an afterthought. It must be planned for up front. Leaders and managers of materiel acquisition, base operations, and industrial operations must budget risk control costs up front at the level of expected payback over the duration of the activity, or the life cycle of materiel / weapons system.

When integrating risk management into sustained operations, leaders must consider increases in turbulence, personnel turnover, critical skill atrophy, and mission development. Leaders must continuously assess—

- The complexity of mission development and associated changing interrelationships with other agencies.
- The inclusion of civilian contractors, for example, LOGCAP, as part of the force.
- The presence of the media, NGOs, and PVOs.

These diverse elements need to be integrated into the risk management process.

Two key considerations relevant to managing risk in complex operational environments include—

- Understanding the culture of the indigenous population or society and its way of doing business. Leaders should respect their way of life and not interfere with local customs. Such interference could risk damage to relationships and increase the potential for introducing instability into the local society. Leaders must not, however, intentionally allow these considerations to endanger their force or its mission.
- The dynamics of managing risk and the way the leader and his subordinates manage risk. Leaders manage risk by—
  - — Having the right combination of well-trained, disciplined, well-armed, and well-equipped forces.
  - — Issuing clear guidance to minimize risk.
  - — Determining and implementing risk controls for carrying out the mission.

— Maintaining situational awareness, especially of vulnerabilities.

— Avoiding unnecessary accident risk.

Risk management works best when incorporated into existing command training and operational planning cycles. They then act as risk management tools and provide for—

- Development of policy, goals, objectives, and priorities in the commander's quarterly training guidance.
- The commander's training assessment, by identifying hazards and risk controls.
- Systematic observation and assessment of the unit's risk management performance and feedback into the training management cycle and SOPs.

Leaders and soldiers must have the skills, knowledge, and attitude to effectively manage risks inherent in all operations. Effective training helps soldiers become proficient. It qualifies them technically and tactically, and as leaders, to accomplish the mission without unnecessary risk.

Doctrine developers must integrate risk management into planning for all Army processes, especially the training management cycle defined in FMs 25-100 and 25-101. Unit leaders and their staffs must continually assess and evaluate the integration of risk management into short-, near-, and long-term training plans. They must continually review METLs to ensure that training is supported by realistic risk management objectives. In the past, unprepared or improperly trained units paid a high price for veteran status. The Army must learn from past experiences if it is to avoid repeating such losses.

ASSESSMENT OF THE RISK MANAGEMENT PROCESS

To assess the risk management process is to determine a unit's current level of proficiency in implementing the process. The term *assessment*, as discussed here, differs from *evaluation* as used in Step 5 of the process. Evaluation is used to measure demonstrated ability to accomplish specified objectives within a discrete operation or exercise. Assessment, as used here, also differs from

the aspect of assessing hazards for probability and severity, as addressed in Step 2 of the process.

How well risk is managed affects readiness. Leaders need to know the current status and effectiveness of their organization's risk management program. They self-assess their unit's effectiveness in managing risk in order to gain insight into areas for improvement and get feedback on subordinates' understanding and application of risk guidance. The assessment objectives are to determine how—

- Effectively risk management is embedded into planning and preparing for operations.
- Well risk management is understood by subordinate leaders and soldiers.
- Effectively risk management is used to execute operations.

Leaders assess the effectiveness of their units by reviewing how well hazards are identified and risk controls are—

- Specified in oral and written OPORDs, OPLANs, and SOPs.
- Communicated to lowest level of chain of command.
- Included in short-, near-, and long-term training plans.
- Implemented into training and activities on and off duty.
- Embedded into protect-the-force programs such as safety and health and antiterrorism.
- Part of after-action reviews and fed into lessons learned.

Risk management cannot be seen as a competitive program whereby a unit or leader is judged or compared in a competitive sense. Focus is strictly on both reduction of risk and risk behavior.

Take calculated risks. That is quite different from being rash.

General George S. Patton, Jr.

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Appendix

Examples of Risk Management Application

The examples in this appendix are designed to help those charged with managing risk.

TRACKING TOOL

The work sheet instructions are in Figure A-1.

Work Sheet Instructions	
Block	
A – D	Self explanatory
E	Identify task relating to the mission or task in Block A
F	**Identify Hazards** – Identify hazards by reviewing METT-T factors for the mission or task. Additional factors include historical lessons learned, experience, judgment, equipment characteristics and warnings, and environmental considerations.
G	**Assess Hazards –** Assessment includes historical lessons learned, intuitive analyses, experience, judgment, equipment characteristics and warnings, and environmental considerations. Determine initial risk for each hazard by applying risk assessment matrix (Figure 2-4). Enter the risk level for each hazard.
H	**Develop Controls –** Develop one or more controls for each hazard that will either eliminate the hazard or reduce the risk (probability and/or severity) of a hazardous incident. Specify who, what, where, why, when, and how for each control. Enter controls.
I	**Determine Residual Risk –** Determine the residual risk for each hazard by applying the risk assessment matrix (Figure 2-4). Enter the residual risk level for each hazard.
J	**Implement Controls –** Decide how each control will be put into effect or communicated to the personnel who will make it happen (written or verbal instruction; tactical, safety, garrison SOPs, rehearsals). Enter controls.
K	**Determine Overall Mission/Task Risk –** Select the highest residual risk level and circle it. This becomes the overall mission or task risk level. The commander decides whether the controls are sufficient to accept the level of residual risk. If the risk is too great to continue the mission or task, the commander directs development of additional controls or modifies, changes, or rejects the COA.
	Supervise and Evaluate – This last step is not on the worksheet. Plan how each control will be monitored for implementation (continuous supervision, spot-checks) and reassess hazards as the situation changes. Determine if the controls worked and if they can be improved. Pass on lessons learned.

Figure A-1. Risk Management Work Sheet Instructions

The work sheet (Figure A-2) provides a starting point to logically track the process of hazards and risks. It can be used to document risk management steps taken during planning, preparation, and execution of training and combat missions and tasks.

A. Mission or Task:		B. Date/Time Group Begin: End:			C. Date Prepared:
D. Prepared By: (Rank, Last Name, Duty Position)					
E. Task	F. Identify Hazards	G. Assess Hazards	H. Develop Controls	I. Determine Residual Risk	J. Implement Controls ("How To")
K. Determine overall mission/task risk level after controls are implemented (circle one) LOW (L) MODERATE (M) HIGH (H) EXTREMELY HIGH (E)					

SAMPLE

Figure A-2. Sample Risk Management Work Sheet

Examples provided in Figures A-3 through A-6 should help individuals manage risk at the tactical level.

A. Mission or Task: Prepare defensive positions	B. Date/Time Group **Begin:** 010035R May XX **End:** 010600R May XX	C. Date Prepared: 29 April XX
D. Prepared By: (Rank, Last Name, Duty Position) LT Jones, Plt Ldr		

E. Task	F. Identify Hazards	G. Assess Hazards	H. Develop Controls	I. Determine Residual Risk	J. Implement Controls ("How To")
Construct nonstandard antivehicular wire obstacle	Back injuries and wire cuts during materiel offload	Moderate (M)	Use proper lift and carry methods and wear concertina wire gloves and safety goggles	Low (L)	Unit TACSOP, ARTEP 5-145 DRILL (pg 2-44) ARTEP 5-335-11-MTP
	Blunt trauma and cuts in pounding of U-shaped pickets	Moderate (M)	Wear helmet and increase situational awareness	Low (L)	Unit TACSOP, ARTEP 5-145 DRILL (pg 2-44) ARTEP 5-335-11-MTP
	Cuts when unrolling concertina	Moderate (M)	Wear concertina wire gloves and maintain situational awareness	Low (L)	Unit TACSOP, ARTEP 5-145 DRILL (pg 2-44) ARTEP 5-335-11-MTP
	Cuts when installing concertina	Moderate (M)	Wear concertina wire gloves and maintain situational awareness	Low (L)	Unit TACSOP, ARTEP 5-145 DRILL (pg 2-44) ARTEP 5-335-11-MTP
	Cuts when installing barbed wire	Moderate (M)	Wear concertina wire gloves and maintain situational awareness	Low (L)	Unit TACSOP, ARTEP 5-145 DRILL (pg 2-44) ARTEP 5-335-11-MTP

K. Determine overall mission/task risk level after controls are implemented (circle one)

(LOW (L)) MODERATE (M) HIGH (H) EXTREMELY HIGH (E)

Figure A-3. Example of Completed Risk Management Work Sheet for Squad/Platoon

A. Mission or Task: Conduct a deliberate attack	B. Date/Time Group **Begin:** 010035R May XX **End:** 010600R May XX	C. Date Prepared: 29 April XX
D. Prepared By: (Rank, Last Name, Duty Position) CPT William Wallace, Cdr		

E. Task	F. Identify Hazards	G. Assess Hazards	H. Develop Controls	I. Determine Residual Risk	J. Implement Controls ("How To")
Conduct obstacle breaching operations	Obstacles	High (H)	Develop and use obstacle reduction plan	Low (L)	Unit TACSOP, OPORD, training handbook
	Inexperienced soldiers	High (H)	Additional instruction and increased supervision	Moderate (M)	Modified training schedule, additional instruction
	Operating under limited visibility	Moderate (M)	Use NVDs; use IR markers on vehicles	Low (L)	Unit TACSOP, OPORD
	Steep cliffs	High (H)	Rehearse use of climbing ropes	Moderate (M)	FM 90-6, *Mountain Operations* TC 90-6-1, *Mountaineering*
	Insufficient planning time	High (H)	Plan and prepare concurrently	Moderate (M)	OPORD, troop-leading procedures

K. Determine overall mission/task risk level after controls are implemented (circle one)

LOW (L) (MODERATE (M)) HIGH (H) EXTREMELY HIGH (E)

Figure A-4. Example of Completed Risk Management Work Sheet for Company/Team

A. Mission or Task: Redeploy unit to home station	B. Date/Time Group **Begin:** 010035R May XX **End:** 010600R May XX	C. Date Prepared: 29 April XX
D. Prepared By: (Rank, Last Name, Duty Position) MAJ Woolsey, S3		

E. Task	F. Identify Hazards	G. Assess Hazards	H. Develop Controls	I. Determine Residual Risk	J. Implement Controls ("How To")
Conduct convoy operations-movement from Grafenwohr to home base	Fatigue leading to poor judgment/ accident-causing errors	Moderate (M)	1. Ensure all drivers receive adequate rest the night before movement 2. Brief planned rest stops and actions to take if driver becomes too tired/ill or has doubts about alertness 3. Have NCOs check physical alertness of drivers prior to movement	Low (L)	Unit SOP, OPORD on Tactical Road March, STP 21-2-MQS (Tactical Road March)
	Fast moving traffic mix of cars and large trucks with trailers	Moderate (M)	1. Use extreme caution when passing 2. Continue to scan (be aware of) traffic 3. Brief all drivers and vehicle commanders on lane-changing procedures	Low (L)	German laws and unit SOP
	Accidents and breakdowns blocking road	Moderate (M)	1. Brief drivers on actions to take a. Pull as far off the road as possible b. Get out on passenger side c. Post triangle sign at least 100 meters behind vehicle d. Stay as far away from vehicle and traffic as possible e. Brief all personnel on maintenance plan/action if vehicle is disabled f. Brief all personnel on procedures for vehicle exits on the traffic side	Low (L)	Unit SOP, OPORD on Tactical Road March

Figure A-5. Example of Completed Risk Management Work Sheet for Battalion/Task Force

A. Mission or Task: Redeploy unit to home station (continued)	B. Date/Time Group **Begin:** 010035R Dec XX **End:** 010600R Dec XX	C. Date Prepared: 29 Nov XX
D. Prepared By: (Rank, Last Name, Duty Position) MAJ Woolsey, S3		

E. Task	F. Identify Hazards	G. Assess Hazards	H. Develop Controls	I. Determine Residual Risk	J. Implement Controls ("How To")
Conduct convoy operations-movement from Grafenwohr to home base	Accidents and breakdowns blocking road (continued)	Moderate (M)	2. Leaders ensure that proper maintenance are done prior to move (PMCS), dispatching and licensing procedure. 3. Contact team follows convoy and repairs or removes disabled vehicles from highway.	Low (L)	
	Weather conditions– high winds, sleet, snow	High (H)	1. Reduce speed according to environmental conditions less stopping distance available. 2. Road conditions especially right after rains – hydroplaning – review procedures for skids or hydroplanes. 3. Maintain convoy interval to allow for braking and assist civilian traffic in passing.	Moderate (M)	Unit SOP and vehicle operations manual
	High winds– reduction visibility, sudden reduction due to passing traffic	Moderate (M)	1. Change lanes carefully; ensure clearance and avoid erratic moves 2. Be aware of winds and effects on vehicles. 3. Drive defensively.	Low (L)	German traffic laws
	20% downgrade at checkpoint 1	Moderate (M)	1. Use lower gears. 2. Reduce speed to 25 mph	Low (L)	Unit SOP and vehicle operations manual

Figure A-5. Example of Completed Risk Management Work Sheet for Battalion/Task Force (continued)

A. Mission or Task: Redeploy unit to home station (continued)	B. Date/Time Group **Begin:** 010035R Dec XX **End:** 010600R Dec XX	C. Date Prepared: 29 Nov XX
D. Prepared By: (Rank, Last Name, Duty Position) MAJ Woolsey, S3		

E. Task	F. Identify Hazards	G. Assess Hazards	H. Develop Controls	I. Determine Residual Risk	J. Implement Controls ("How To")
Conduct convoy operations-movement from Grafenwohr to home base	Heavy traffic, traffic jams, and congestion	Moderate (M)	1. Use extreme caution when passing 2. Use headlights at all times 3. Brief convoy speeds and vehicle intervals 4. Brief actions to take if vehicle pulls in front a. Maintain clearance from vehicle b. Maintain braking distance 5. Stay in right lane in construction zones 6. Ensure AMVs 2 or more meters wide remain in right lane 7. Continuously scan surroundings (situational awareness)	Low (L)	Provide risk assessment to convoy leaders. Provide safety brief information to leaders and drivers

K. Determine overall mission/task risk level after controls are implemented (circle one)

LOW (L) (MODERATE (M)) HIGH (H) EXTREMELY HIGH (E)

Figure A-5. Example of Completed Risk Management Work Sheet for Battalion/Task Force (continued)

A. Mission or Task: Peace Enforcement	B. Date/Time Group Begin: 010035R May XX End:	C. Date Prepared: 29 April XX
D. Prepared By: (Rank, Last Name, Duty Position) G-3 Div/Corps/EAC		

E. Task	F. Identify Hazards	G. Assess Hazards	H. Develop Controls	I. Determine Residual Risk	J. Implement Controls ("How To")
Occupy area of operations	Assault on facilities	Moderate (M)	Identify and isolate combatants, terrorists, supporters Harden potential terrorist targets	Low (L)	Coordination with local law enforcement agencies FM 5-103, *Survivability General /Order*
	Ambush	Moderate (M)	Kevlar helmets and flak jackets required outside cantonment area Minimum of 4 vehicles for movement Two qualified drivers per vehicle	Low (L)	Rehearsals Immediate action drills General orders
	Mines	High (H)	Countermine plan Mine awareness training Predeployment training	Moderate (M)	FM 20-32, *Mine/Countermine Operations* Lessons learned

Figure A-6. Example of Completed Risk Management Work Sheet for Division/Corps/EAC Task Force

A. Mission or Task: Peace Enforcement	B. Date/Time Group Begin: 010035R May XX End:	C. Date Prepared: 29 April XX
D. Prepared By: (Rank, Last Name, Duty Position) G-3 Div/Corps/EAC		

E. Task	F. Identify Hazards	G. Assess Hazards	H. Develop Controls	I. Determine Residual Risk	J. Implement Controls ("How To")
Occupy area of operations	Fratricide	Moderate (M)	Identify friend/foe Antifratricide training LNO augmentations	Low (L)	Lessons learned ROE Weapons control procedures AOR orientation
	Seasonal risk (cold weather injuries)	Moderate (M)	Cold weather clothing and equipment Soldier/leader awareness training	Low (L)	Severe weather alert/action plan TB Med 507
	Seasonal risk (hot weather injuries)	Moderate (M)	Hot weather clothing and equipment Soldier/leader awareness training	Low (L)	Severe weather alert/action plan TB Med 507
	Disease	Moderate (M)	Immunizations Field sanitation Preventive medicine	Low (L)	Spring thaw plan Focused medical training Vector control program

Figure A-6. Example of Completed Risk Management Work Sheet for Division/Corps/EAC Task Force (continued)

A. Mission or Task: Peace Enforcement	B. Date/Time Group Begin: 010035R May XX End:	C. Date Prepared: 29 April XX

D. Prepared By: (Rank, Last Name, Duty Position) G-3 Div/Corps/EAC

E. Task	F. Identify Hazards	G. Assess Hazards	H. Develop Controls	I. Determine Residual Risk	J. Implement Controls ("How To")
Occupy area of operations	Vehicle accidents	Moderate (M)	Driver qualifications Driver fatigue reduction Convoy safety procedures Monitor route conditions Vehicle inspections	Low (L)	Driver qualification training Driver sleep plans Two qualified drivers per vehicle Convoy safety briefings Route reconnaissance Vehicle inspections

K. Determine overall mission/task risk level after controls are implemented (circle one)

LOW (L) (MODERATE (M)) HIGH (H) EXTREMELY HIGH (E)

Figure A-6. Example of Completed Risk Management Work Sheet for Division/Corps/EAC Task Force (continued)

MISSION TRAINING PLAN

Figure A-7 shows risk management integrated into an MTP task. The example portrays a possible method for integrating the risk management process and products into MTPs. The text in bold italics indicates suggested areas in which to integrate risk management.

TASK: C^2 THE BATTALION (7-1-1901)(FM 7-20)

ITERATION: 1 2 3 4 5 (circle)

TRAINING STATUS: T P U (circle)

CONDITION: The brigade issues an OPORD or FRAGO

TASK STANDARD :

a. The battalion plan accomplishes the directed mission and specified tasks according to the brigade commander's concept and intent. The plan is received and understood by the leadership of the battalion, who makes the plan successful. It is coordinated with higher, adjacent, and supporting elements.

b. The plan is as fully prepared as time allows to initiate the mission at the directed time.

c. The battalion controls and synchronizes subordinate and supporting elements so that it accomplishes the mission and preserves the force. ***Include commander's risk guidance.***

d. The battalion keeps higher, adjacent, subordinate, supporting, and supported headquarters informed of essential information key to controlling the battle or making required decisions.

SUBTASKS AND STANDARDS: **GO** **NO-GO**

+1. Battalion leaders issue the warning order.

a. A complete warning order is issued within 15 minutes of receipt of the brigade order.

b. Warning order is received by all platoons within 45 minutes of issuance of battalion warning order.

\+ Critical task.
* Leader task.

Figure A-7. Integration of Risk Management into MTP Task

*2. Battalion commander analyzes mission and gives initial guidance.

a. Guidance includes restated mission, which includes brigade commander's intent for battalion and identifies all specified and implied tasks.

b. Guidance is given within 30 minutes of receipt of order.

c. Guidance includes instructions on information requirements and initially required preparation actions (movement, resupply) to start. ***Guidance includes chain of command authorized to accept risk (extremely high, high, moderate, and low) affecting higher command's intent, resources, or adjacent units' missions.***

+3. Battalion accomplishes reconnaissance and other actions to gather needed information.

a. Reconnaissance actions begin to physically gain information on the enemy and terrain as early as possible.

b. Commander conducts a personal reconnaissance, when possible. If not, the commander conducts a detailed map reconnaissance.

c. Subordinate leaders perform a personal reconnaissance when possible. See subordinate company (ARTEP 7-10-MTP) and platoon (ARTEP 7-8-MTP) T&EOs.

d. Staff coordinates with subordinate, higher, supporting, and adjacent headquarters to gather information for planning. ***Staff analyzes mission to identify hazards.***

e. Staff provides operations, intelligence, and CSS estimates to include all critical METT-T factors and ***risk assessment considerations (identified hazards/risks).***

+4. Battalion commander develops and wargames courses of action and selects one.

Figure A-7. Integration of Risk Management into MTP Task (continued)

a. Tactically feasible courses of action (include CS and maneuver) are made and wargamed with the available staff (commander, S3, and FSO are best for quick planning sequences; XO, S2, engineer, S4, S3 (Safety), and ADA officer are best in more deliberate situations). ***Each course of action contains assessment of hazards, risk level, and control measures identified to lower or control the risk.***

b. Best COA is selected.

c. COA is wargamed and refined by the command and staff. The staff must understand the concept to produce a sound OPORD and rehearse. ***The staff continually assesses the situation to identify new hazards, assess the risk from each hazard, develop acceptable control measures, and reassess for residual risk to the mission. COA should pose minimum risk to soldiers, equipment, and mission accomplishment. Risk acceptance decisions for the COA are made at the appropriate level in the chain of command.***

*5. Staff develops an OPLAN and OPORD from the commander's guidance.

OPLAN and OPORD successfully accomplish the mission according to higher commander's intent. ***Hazards and risk control measures are included in the appropriate paragraphs and graphics.***

*6. Battalion commander and staff issue implementing FRAGOs (accident risk controls).

*7. Battalion commander issues the OPORD/FRAGO.

a. OPORD/FRAGO is issued IAW the one-third, two-thirds rule and makes full use of daylight time.

b. OPORD/FRAGO accomplishes all directed missions and tasks, complies with the brigade commander's intent, controls risks, is doctrinally sound. It is based on evaluator judgment and on comparison of brigade and battalion OPORDs.

Figure A-7. Integration of Risk Management into MTP Task (continued)

c. All subordinate and supporting elements receive the OPORD / FRAGO.

d. OPORD / FRAGO contains task organization, mission, concept, ***accident risk controls,*** intent for maneuver, supporting fires, and obstacles; missions and tasks for each subordinate; fire support and CSS instructions; and coordinating instructions to synchronize the efforts of maneuver forces and CS.

e. If more time is available, the battalion commander issues a fully developed OPORD (although an initial FRAGO may be issued to allow subordinates to begin preparation and followed by a full OPORD.)

f. Order is given at a location that reduces travel time, allows observation of the zone / sector, and promotes OPSEC. (Depending upon the METT-T factors, observation of the zone / sector may not be possible.)

g. Battalion commander should perform brief-backs and war gaming, ***to include identifying hazards and control measures,*** immediately after the order to improve subordinate understanding and reaction.

h. Subordinate leaders and staff should perform lateral coordination before leaving the orders site.

+8. Commander and staff coordinate and refine the plan.

a. Time is well used to continue gathering information and to improve the plan (contingency plans, ***hazard identification and controls,*** fire plans) **.**

b. New information is disseminated and coordinated with higher, adjacent, and supporting headquarters to include—

- Changes or refinements in plan.
- Information on the enemy in the sector or zone.

Figure A-7. Integration of Risk Management into MTP Task (continued)

- Information that impacts on planning and execution ***(risk acceptance decisions/hazard controls)*** of subordinate elements.
- Adjustments / changes in the plans.

+*9. Battalion executes changes in task organization.

a. Main CP coordinates link-up location, time, and responsible element.

b. Attachments / new elements are received at the coordinated location and time; updated on current situation, OPORDs, and SOIs; and resupplied.

c. Detachments reach the link-up point at the time and place directed.

+*10. Battalion performs and commander and staff perform, supervise, and monitor preparations.

a. Command group / XO performs brief-backs with subordinate commanders, leaders, and key staff.

b. Main CP maintains status of preparations.

c. Elements make full use of time to prepare for the operation. Subjective judgment of the evaluator is based on the analysis of preparation charts and available preparation time.

+*11. Battalion sees the battlefield.

a. Command group is positioned to see and move.

b. Companies and other subordinates accurately report critical information on actions and changes in combat status within five minutes. See subordinate MTPs.

c. Main CP collects, analyzes, and passes processed critical information.

d. Subordinates execute intelligence collection plan. See

Figure A-7. Integration of Risk Management into MTP Task (continued)

subordinate element MTPs. ***Subordinates integrate the risk management process when developing plans and executing tasks.***

+*12. Battalion leaders command and control the execution.

a. Subordinate elements report enemy and friendly actions, change in status, and any other factor that would require change within three minutes.

b. Battalion leaders win the battle by directing the maneuver of units, controlling direct and indirect fires, ***properly integrating risk management into planning, preparation, and execution,*** and directing other CS actions to cope with new METT-T / risk factors. Indicators are:

(1) Elements not following OPLAN and OPORD are corrected.

(2) Responses to new METT-T hazards are directed soon after the new situation occurs.

(3) No friendly casualties inflicted by friendly direct or indirect fires `or other accidents.`

(4) Number / percentage of direct fire weapons engaging the enemy.

(5) Number / percentage of indirect fire rounds fired and percentage hitting / suppressing the enemy.

(6) Number of enemy casualties.

(7) Number of friendly casualties.

c. The C^2 and CSS assets are controlled to support maneuver effort. Indicators are—

(1) Effective CSS and C^2.

(2) C^2 or CSS elements not destroyed by enemy direct fires.

d. FRAGOs are clear, concise, ***include risk management,*** and are quickly executed by subordinates.

Figure A-7. Integration of Risk Management into MTP Task (continued)

e. Changes that affect the battle are disseminated within five minutes.

+13. Subordinate commanders, leaders, and staff laterally coordinate actions during the battle.

All battle actions requiring coordination between elements are coordinated.

+*14. Battalion coordinates with adjacent and supporting headquarters.

All battle actions requiring coordination with other headquarters are laterally and promptly coordinated.

+*15. Battalion reports.

Battalion CPs submit all critical and required reports to brigade. They report events to adjacent and supporting elements that impact on them in time for those units to react. ***They advise the chain of command, as appropriate, on risks and risk-reduction measures.***

Figure A-7. Integration of Risk Management into MTP Task (continued)

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PRACTICAL EXERCISE SHEET T321

Title	THE RISK MANAGEMENT PROCESS
Lesson Number/Title	T321 version 1 / THE RISK MANAGEMENT PROCESS
Introduction	This practical exercise requires you to apply the risk management process to a 10-mile cross-country forced march (dismounted). You must complete a risk management worksheet for this scenario IAW FM 100-14.
Motivator	Each year many soldiers receive injuries or die from someone overlooking the obvious and not so obvious risks associated with taskings. This practical exercise illustrates the number and diversity of hazards identified in performing a task.
Terminal Learning Objective	**NOTE:** The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise. At the completion of this lesson, you [the student] will--

Action:	Apply the risk management process to a task.
Conditions:	Given a classroom environment and FM 100-14.
Standards:	Applied the risk management process to a task IAW FM 100-14.

Safety Requirements	None
Risk Assessment Level	Low
Environmental Considerations	None
Evaluation	You have 10 minutes to complete the PE. At the end of the PE, you will receive a solution sheet and briefly discuss the solution. Your overall participation and solution to this practical exercise will determine your understanding of the material presented and discussed during the class.
Instructional Lead-In	None

Resource Requirements

Instructor Materials:

- FM 100-14, Risk Management, T321, The Risk Management Process, and VGTs (16).

Student Materials:

- Student Handout-2.
- Pencil.
- Risk Management Worksheet.

Special Instructions

None

Procedures

1. You are a squad leader in the 1st Platoon; Company A, 3-33, 3d Armored Division. Your squad will participate in a 10-mile cross-country road march, dismounted, as observers, during the morning hours, in the outskirts of Basrah, Iraq. The S2 verified that the weather conditions will be hot with temperatures near the 100's. All soldiers will carry their M16A2 rifles (with live ammunition), a 30-pound rucksack, and cross some areas that are considered contaminated in MOPP 4 gear.
2. Proposed major events during the road march are as follows:
   - Assemble at the company area (0600).
   - Main concerns during the Road March are Improvised Explosive Devices (IED) and ambushes.
   - Start point will be from the parking area of the motor pool.
   - Checkpoint Alpha requires a stream crossing (water is about waist deep).
   - Checkpoint Bravo requires a road crossing (four lane highway)
   - Checkpoint Charlie is going through a village.
   - Return though Checkpoint Alpha.
   - The release point (RP) is the motor pool.
   - March to the company location.
   - Troop formation, AAR, and dismissal.
3. Using the risk management worksheet, conduct a risk management assessment on each event.

RISK MANAGEMENT WORKSHEET

A. Mission or Task:	**B. Date/Time Group** **Begin:** **End:**	**C. Date Prepared:**
C. Prepared By: (Rank, Last Name, Duty Position)		

E. Task	**F. Identify Hazards**	**G. Assess Hazards**	**H. Develop Control**	**I. Determine Residual Risk**	**J. Implement Control** ("How To")

K. Determine overall mission/task risk level after controls are implemented (circle one)

LOW (L) MODERATE (M) HIGH (H) EXTREMELY HIGH (E)

Feedback Requirements None

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HANDOUTS FOR LESSON 1: T343 version 1

This Appendix Contains

This appendix contains the items listed in this table--

Title/Synopsis	Pages
SH-1, Advance Sheet	SH-1-1
SH-2, Extracted Material from FM 21-20	SH-2-1

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Student Handout 1

Advance Sheet for T343, Implement a Total Fitness Program

Lesson Hours

This lesson consists of two hours of conference/discussion.

Overview

Improving soldiers' physical fitness is one of the best ways to increase performance on the battlefield. In this lesson you will build on your existing knowledge and learn how to implement a unit physical fitness program.

Learning Objective

Terminal Learning Objective (TLO).

Action:	Coordinate unit physical fitness activities.
Conditions:	As a unit leader in a company or/battalion level unit and given FM 21-20.
Standards:	Coordinate unit physical fitness activities by-- • Employ the components of fitness. • Employ the principles of exercise. • Employ the phases of fitness conditioning. • Employ the seven-step planning process. • Develop Special PT Programs for soldiers requiring the appropriate training. IAW FM 21-20.

ELO A Employ the components of fitness.
ELO B Employ the principles of exercise.
ELO C Employ the phases of fitness conditioning.
ELO D Employ the seven-step planning process.
ELO E Develop Special PT Programs for soldiers requiring the appropriate training

.

Assignment

The student assignments for this lesson are--

- Read FM 21-20, Chapter 1, p 1-3 thru 1-9, and 1-11 thru 1-15; Chapter 2, p 2-0, 2-3 thru 2-5, and 2-13 and 2-14; and Chapter 10, p 10-1 thru 10-4; and Appendix A.

Additional Subject Area Resources	None
Bring to Class	• Pen or pencil and writing paper. • Reading material list on advance sheet.

Student Handout 2

Extracted Material from FM 21-20

This Student Handout Contains

This student handout contains 24 pages of extracted material from the following publication:

FM 21-20, Physical Fitness Training, Sep 92/w/change 1

Chapter 1	p 1-3 thru 1-9, and 1-11 thru 1-15
Chapter 2	p 2-0, 2-3 thru 2-5, 2-13 and 2-14
Chapter 10	p 10-1 thru 10-4
Appendix A	A-0 and A-1

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techniques, directives, and publications and that they use them. The objective of every commander should be to incorporate the most effective methods of physical training into a balanced program. This program should result in the improved physical fitness of their soldiers and an enhanced ability to perform mission-related tasks.

MFTs can help commanders formulate sound programs that will attain their physical training goals, but commanders must know and apply the doctrine. However, since the responsibility for physical training is the commander's, programs must be based on his own training objectives. These he must develop from his evaluation of the unit's mission-essential task list (METL). Chapter 10 describes the development of the unit's program.

MASTER FITNESS TRAINERS

A Master Fitness Trainer (MFT) is a soldier who has completed either the four-week active-component, two-week reserve-component, or U.S. Military Academy's MFT course work. Although called "masters," MFTs are simply soldiers who know about all aspects of physical fitness training and how soldiers' bodies function. Most importantly, since MFTs are taught to design individual and unit programs, they should be used by commanders as special staff assistants for this purpose.

MFTs can do the following:

- Assess the physical fitness levels of individuals and units.
- Analyze the unit's mission-related tasks and develop sound fitness training programs to support those tasks.
- Train other trainers to conduct sound, safe physical training.
- Understand the structure and function of the human body, especially as it relates to exercise.

Components of Fitness

Physical fitness is the ability to function effectively in physical work, training, and other activities and still have enough energy left over to handle any emergencies which may arise.

The components of physical fitness are as follows:

- Cardiorespiratory (CR) endurance-the efficiency with which the body delivers oxygen and nutrients needed for muscular activity and transports waste products from the cells.
- Muscular strength - the greatest amount of force a muscle or muscle group can exert in a single effort.
- Muscular endurance - the ability of a muscle or muscle group to perform repeated movements with a sub-maximal force for extended periods of times.
- Flexibility-the ability to move the joints (for example, elbow, knee) or any group of joints through an entire, normal range of motion.
- Body composition-the amount of body fat a soldier has in comparison to his total body mass.

Improving the first three components of fitness listed above will have a positive impact on body composition and will result in less fat. Excessive body fat detracts from the other fitness components, reduces performance, detracts from appearance, and negatively affects one's health.

Factors such as speed, agility, muscle power, eye-hand coordination, and eye-foot coordination are classified as components of "motor" fitness. These factors affect a soldier's survivability on the battlefield. Appropriate training can improve these factors within the limits of each soldier's potential. The Army's fitness program seeks to improve or maintain all the components of physical and motor fitness

through sound, progressive, mission-specific physical training for individuals and units.

Principles of Exercise

Adherence to certain basic exercise principles is important for developing an effective program. The principles of exercise apply to everyone at all levels of physical training, from the Olympic-caliber athlete to the weekend jogger. They also apply to fitness training for military personnel.

These basic principles of exercise must be followed:

- Regularity. To achieve a training effect, a person must exercise often. One should strive to exercise each of the first four fitness components at least three times a week. Infrequent exercise can do more harm than good. Regularity is also important in resting, sleeping, and following a good diet.
- Progression. The intensity (how hard) and/or duration (how long) of exercise must gradually increase to improve the level of fitness.
- Balance. To be effective, a program should include activities that address all the fitness components, since overemphasizing any one of them may hurt the others.
- Variety. Providing a variety of activities reduces boredom and increases motivation and progress.
- Specificity. Training must be geared toward specific goals. For example, soldiers become better runners if their training emphasizes running. Although swimming is great exercise, it does not improve a 2-mile-run time as much as a running program does.
- Recovery. A hard day of training for a given component of fitness should be followed by an easier training day or rest day for that component and/or muscle group(s) to help permit recovery. Another way to allow recovery is to alternate the muscle groups exercised every other day, especially when training for strength and/or muscle endurance.
- Overload. The work load of each exercise session must exceed the normal demands placed on the body in order to bring about a training effect.

FITT Factors

Factors for a successful training program are Frequency, Intensity, Time, and Type; "FITT".

Certain factors must be part of any fitness training program for it to be successful. These factors are Frequency, Intensity, Time, and Type. The acronym FITT makes it easier to remember them. (See Figure 1- 1.)

FREQUENCY

Army Regulation 350-15 specifies that vigorous physical fitness training will be conducted 3 to 5 times per week. For optimal results, commanders must strive to conduct 5 days of physical training per week. Ideally, at least three exercise sessions for CR fitness, muscle endurance, muscle strength, and flexibility should be performed each week to improve fitness levels. Thus, for example, to obtain maximum gains in muscular strength, soldiers should have at least three strength-training sessions per week. Three physical activity periods a week, however, with only one session each of cardiorespiratory, strength, and flexibility training will not improve any of these three components.

With some planning, a training program for the average soldier can be developed which provides fairly equal emphasis on all the components of physical fitness. The following training program serves as an example.

In the first week, Monday, Wednesday, and Friday are devoted to CR fitness, and Tuesday and Thursday are devoted to muscle endurance and strength. During the second week, the

FITT Factors Applied to Physical Conditioning Program

	Cardiorespiratory Endurance	Muscular Strength	Muscular Endurance	Muscular Strength and Muscular Endurance	Flexibility
F	**Frequency** 3-5 times/week	3 times/week	3-5 times/week	3 times/week	Warm-up and Cool-down: Stretch before and after each exercise session Developmental Stretching: To improve flexibility, stretch 2-3 times/week
I	**Intensity** 60-90% HRR*	3-7 RM*	12+ RM	8-12 RM	Tension and slight discomfort, NOT PAIN
T	**Time** 20 minutes or more	The time required to do 3-7 repetitions of each exercise	The time required to do 12+ repetitions of each exercise	The time required to do 8-12 repetitions of each exercise	Warm-up and Cool-down Stretches: 10-15 seconds/stretch Developmental Stretches: 30-60 seconds/stretch
T	**Type** Running Swimming Cross-Country Skiing Rowing Bicycling Jumping Rope Walking/Hiking Stair Climbing	Free Weights Resistance Machines Partner-Resisted Exercises Body-Weight Exercises (Pushups/Situps/Pullups/Dips, etc.)			Stretching: Static Passive P.N.F.

* HRR = Heart Rate Reserve * RM = Repetition Maximum

Figure 1-1

training days are flip-flopped: muscle endurance and strength are trained on Monday, Wednesday, and Friday, and CR fitness is trained on Tuesday and Thursday. Stretching exercises are done in every training session to enhance flexibility. By training continuously in this manner, equal emphasis can be given to developing muscular endurance and strength and to CR fitness while training five days per week.

If the unit's mission requires it, some muscular and some CR training can be done during each daily training session as long as a "hard day/recovery

day" approach is used. For example, if a unit has a hard run on Monday, Wednesday, and Friday, it may also choose to run on Tuesday and Thursday. However, on Tuesday and Thursday the intensity and/or distance/time should be reduced to allow recovery. Depending on the time available for each session and the way training sessions are conducted, all components of fitness can be developed using a three-day-per-week schedule. However, a five-day-per-week program is much better than three per week. (See Training Program in Chapter 10.)

Numerous other approaches can be taken when tailoring a fitness program to meet a unit's mission as long as the principles of exercise are not violated. Such programs, when coupled with good nutrition, will help keep soldiers fit to win.

!NTENSITY

Training at the right intensity is the biggest problem in unit programs. The intensity should vary with the type of exercise being done. Exercise for CR development must be strenuous enough to elevate the heart rate to between 60 and 90 percent of the heart rate reserve (HRR). (The calculation of percent HRR is explained in Chapter 2.) Those with low fitness levels should start exercising at a lower training heart rate (THR) of about 60 percent of HRR.

For muscular strength and endurance, intensity refers to the percentage of the maximum resistance that is used for a given exercise. When determining intensity in a strength-training program, it is easier to refer to a "repetition maximum" or "RM." For example, a 1O-RM is the maximum weight that can be correctly lifted 10 times. An 8-12 RM is the weight that can be lifted 8 to 12 times correctly. Doing an exercise "correctly" means moving the weight steadily and with proper form without getting help from other muscle groups by jerking, bending, or twisting the body. For the average person who wants to improve both muscular strength and endurance, an 8-12 RM is best.

The person who wants to concentrate on muscular strength should use weights which let him do three to seven repetitions before his muscles fatigue. Thus, for strength development, the weight used should be a 3-7 RM. On the other hand, the person who wants to concentrate on muscular endurance should use a 12+ RM. When using a 12+ RM as the training intensity, the more repetitions performed per set, over time, the greater will be the improvement in muscular endurance. Conversely, the greater the number of repetitions performed, the smaller will be the gains in strength. For example, a person who regularly trains with a weight which lets him do 100 repetitions per exercise (a 1OO-RM) greatly increases his muscular endurance but minimally improves his muscular strength. (See Chapter 3 for information on resistance training.)

All exercise sessions should include stretching during the warm-up and cool-down. One should stretch so there is slight discomfort, but no pain, when the movement is taken beyond the normal range of motion. (See Chapter 4 for information on stretching.)

All exercises sessions should include stretching during the warm-up and cool-down.

TIME

Like intensity, the time spent exercising depends on the type of exercise being done. At least 20 to 30 continuous minutes of intense exercise must be used in order to improve cardiorespiratory endurance.

For muscular endurance and strength, exercise time equates to the number of repetitions done. For the average soldier, 8 to 12 repetitions with enough resistance to cause muscle failure improves both muscular endurance and strength. As soldiers progress, they

will make better strength gains by doing two or three sets of each resistance exercise.

Flexibility exercises or stretches should be held for varying times depending on the objective of the session. For warming-up, such as before a run, each stretch should be held for 10 to 15 seconds. To improve flexibility, it is best to do stretching during the cool-down, with each stretch held for 30 to 60 seconds. If flexibility improvement is a major goal, at least one session per week should be devoted to developing it.

TYPE

Type refers to the kind of exercise performed. When choosing the type, the commander should consider the principle of specificity. For example, to improve his soldiers' levels of CR fitness (the major fitness component in the 2-mile run), he should have them do CR types of exercises. These are discussed in Chapter 2.

Ways to train for muscular strength and endurance are addressed in Chapter 3, while Chapter 4 discusses flexibility. These chapters will help commanders design programs which are tailor-made to their soldiers' needs. The basic rule is that to improve performance, one must practice the particular exercise, activity, or skill he wants to improve. For example, to be good at push-ups, one must do push-ups. No other exercise will improve push-up performance as effectively.

Warm-up and Cool-Down

One must prepare the body before taking part in organized PT, unit sports competition, or vigorous physical activity. A warm-up may help prevent injuries and maximize performance. The warm-up increases the body's internal temperature and the heart rate. The chance of getting injured decreases when the heart, muscles, ligaments, and tendons are properly prepared for exertion. A warm-up should include some running-in-place or slow jogging, stretching, and calisthenics. It should last five to seven minutes and should occur just before the CR or muscular endurance and strength part of the workout. After a proper warm-up, soldiers are ready for a more intense conditioning activity.

Soldiers should cool down properly after each exercise period, regardless of the type of workout. The cool-down serves to gradually slow the heart rate and helps prevent pooling of the blood in the legs and feet. During exercise, the muscles squeeze the blood through the veins. This helps return the blood to the heart. After exercise, however, the muscles relax and no longer do this, and the blood can accumulate in the legs and feet. This can cause a person to faint. A good cool-down will help avoid this possibility.

Soldiers should walk and stretch until their heart rates return to less than 100 beats per minute (BPM) and heavy sweating stops. This usually happens five to seven minutes after the conditioning session.

Phases of Fitness Conditioning

The physical fitness training program is divided into three phases: preparatory, conditioning, and maintenance. The starting phases for different units or individuals vary depending on their age, fitness levels, and previous physical activity.

Young, healthy persons may be able to start with the conditioning phase, while those who have been exercising regularly may already be in the maintenance phase. Factors such as extended field training, leave time, and illness can cause soldiers to drop from a maintenance to a conditioning phase.

Persons who have not been active, especially if they are age 40 or older, should start with the preparatory phase. Many soldiers who fall into this category may be recovering from illness or injury, or they may be just out of high school. Most units will have soldiers in all three phases of training at the same time.

PREPARATORY PHASE

The preparatory phase helps both the cardiorespiratory and muscular systems get used to exercise, preparing the body to handle the conditioning phase. The work load in the beginning must be moderate. Progression from a lower to a higher level of fitness should be achieved by gradual, planned increases in frequency, intensity, and time.

Initially, poorly conditioned soldiers should run, or walk if need be, three times a week at a comfortable pace that elevates their heart rate to about 60 percent HRR for 10 to 15 minutes. Recovery days should be evenly distributed throughout the week, and training should progress slowly. Soldiers should continue at this or an appropriate level until they have no undue fatigue or muscle soreness the day following the exercise. They should then lengthen their exercise session to 16 to 20 minutes and/or elevate their heart rate to about 70 percent HRR by increasing their pace. To be sure their pace is faster, they should run a known distance and try to cover it in less time. Those who feel breathless or whose heart rate rises beyond their training heart rate (THR) while running should resume walking until the heart rate returns to the correct training level. When they can handle an intensity of 70 percent HRR for 20 to 25 minutes, they should be ready for the next phase. Chapter 2 shows how to determine the THR, that is, the right training level during aerobic training.

The preparatory phase for improving muscular endurance and strength through weight training should start easily and progress gradually. Beginning weight trainers should select about 8 to 12 exercises that work all the body's major muscle groups. They should use only very light weights the first week (that is, the first two to three workouts). This is very important, as they must first learn the proper form for each exercise. Light weights will also help minimize muscle soreness and decrease the likelihood of injury to the muscles, joints, and ligaments. During the second week, they should use progressively heavier weights on each resistance exercise. By the end of the second week (four to six workouts), they should know how much weight will let them do 8 to 12 repetitions to muscle failure for each exercise. At this point the conditioning phase begins.

CONDITIONING PHASE

To reach the desired level of fitness, soldiers must increase the amount of exercise and/or the workout intensity as their strength and/or endurance increases.

To improve cardiorespiratory endurance, for example, they must increase the length of time they run. They should start with the preparatory phase and gradually increase the running time by one or two minutes each week until they can run continuously for 20 to 30 minutes. At this point, they can increase the intensity until they reach the desired level of fitness. They should train at least three times a week and take no more than two days between workouts.

For weight trainers, the conditioning phase normally begins during the third week. They should do one set of 8 to 12 repetitions for each of the selected resistance exercises. When they can do more than 12 repetitions of any exercise, they should increase the

Soldiers and units should be encouraged to progress beyond minimum requirements.

weight used on that exercise by about five percent so they can again do only 8 to 12 repetitions. This process continues throughout the conditioning phase. As long as they continue to progress and get stronger while doing only one set of each exercise, it is not necessary for them to do more than one set per exercise. When they stop making progress with one set, they should add another set on those exercises in which progress has slowed. As training progresses, they may want to increase the sets to three to help promote further increases in strength and/or muscle mass.

For maximum benefit, soldiers should do strength training three times a week with 48 hours of rest between workouts for any given muscle group. It helps to periodically do a different type of exercise for a given muscle or muscle group. This adds variety and ensures better strength development.

The conditioning phase ends when a soldier is physically mission-capable and all personal, strength-related goals and unit-fitness goals have been met.

MAINTENANCE PHASE

The maintenance phase sustains the high level of fitness achieved in the conditioning phase. The emphasis here is no longer on progression. A well-designed, 45- to 60-minute workout (including warm-up and cool-down) at the right intensity three times a week is enough to maintain almost any appropriate level of physical fitness. These workouts give soldiers time to stabalize their flexibility, CR endurance, and muscular endurance and strength. However, more frequent training may be needed to reach and maintain peak fitness levels.

Soldiers and units should always be encouraged to progress beyond minimum requirements. Maintaining an optimal level of fitness should become part of every soldier's life-style and should be continued throughout his life.

An effective program uses a variety of activities to develop muscular endurance and strength, CR endurance, and flexibility, and to achieve good body composition. It should also promote the development of coordination as well as basic physical skills. (See Chapter 10 for guidance in constructing a unit program.)

Types of Fitness Programs

The Army has too many types of units with different missions to have one single fitness program for everyone. Therefore, only broad categories of programs and general considerations are covered here. They are classified as unit, individual, and special programs.

UNIT PROGRAMS

Unit programs must support unit missions. A single unit may require several types of programs. Some units, such as infantry companies, have generally the same types of soldiers and MOSS. On the other hand, certain combat--service-support units have many different types of soldiers, each with unique needs. Commanders can develop programs for their own unit by following the principles in this chapter. MFTs know how to help commanders develop programs for their units/soldiers.

Commanders of units composed of both men and women must also understand the physiological differences between the sexes. These are summarized in Appendix A. Although women are able to participate in the same fitness programs as men, they must work harder to perform at the same absolute level of work or exercise. The same holds true for poorly-conditioned soldiers running with well-conditioned soldiers.

To overcome this problem in the case of running, for example, the unit

TOE and TDA Units–Active Component

There are many types of units in the Army, and their missions often require different levels of fitness. TOE and TDA units must emphasize attaining and maintaining the fitness level required for the mission.

The unit's standards may exceed the Army's minimums. By regulation (AR 350- 15), the unit's standards can be established by the unit's commander, based on mission requirements.

TOE and TDA Units--Reserve Components

The considerations for the active component also apply to reserve components (RCS). However, since members of RC units cannot participate together in collective physical training on a regular basis, RC unit programs must focus on the individual's fitness responsibilities and efforts. Commanders, however, must still ensure that the unit's fitness level and individual PT programs are maintained. MFTs can give valuable assistance to RC commanders and soldiers.

INDIVIDUAL PROGRAMS

There must be a positive approach to all special fitness training.

Many soldiers are assigned to duty positions that offer little opportunity to participate in collective unit PT programs. Examples are HQDA, MACOM staffs, hospitals, service school staff and faculty, recruiting, and ROTC. In such organizations, commanders must develop leadership environments that encourage and motivate soldiers to accept individual responsibility for their own physical fitness. Fitness requirements are the same for these personnel as for others. Section chiefs and individual soldiers need to use the fundamental principles and techniques outlined in this manual to help them attain and maintain a high level of physical fitness. MFTs can help develop individual fitness programs.

SPECIAL PROGRAMS

The day-to-day unit PT program conducted for most soldiers may not be appropriate for all unit members. Some of them may not be able to exercise at the intensity or duration best suited to their needs.

At least three groups of soldiers may need special PT programs. They are as follows:

- Those who fail the APFT and do not have medical profiles.
- Those who are overweight/overfat according to AR 600-9
- Those who have either permanent or temporary medical profiles.

Leaders must also give special consideration to soldiers who are age 40 or older and to recent arrivals who cannot meet the standards of their new unit.

Special programs must be tailored to each soldier's needs, and trained, knowledgeable leaders should develop and conduct them. This training should be conducted with the unit, If this is impossible, it should at least occur at the same time.

There must be a positive approach to all special fitness training. Soldiers who lack enough upper body strength to do a given number of push-ups or enough stamina to pass the 2-mile run should not be ridiculed. Instead, their shortcomings should be assessed and the information used to develop individualized programs to help them remedy their specific shortcomings. A company-sized unit may have as many as 20 soldiers who need special attention. Only smart planning will produce good programs for all of them.

Commanders must counsel soldiers, explaining that special programs are being developed in their best interests. They must make it clear that standards

will be enforced. Next, they should coordinate closely with medical personnel to develop programs that fit the capabilities of soldiers with medical limitations. Each soldier should then begin an individualized program based on his needs.

MFTs know how to assess CR endurance, muscular strength and endurance, flexibility, and body composition. They can also develop thorough, tailor-made programs for all of a unit's special population.

APFT Failures

Although it is not the heart of the Army's physical fitness program, the APFT is the primary instrument for evaluating the fitness level of each soldier. It is structured to assess the muscular endurance of specific muscle groups and the functional capacity of the CR system.

Soldiers with reasonable levels of overall physical fitness should easily pass the APFT. Those whose fitness levels are substandard will fail. Soldiers who fail the APFT must receive special attention. Leaders should analyze their weaknesses and design programs to overcome them. For example, if the soldier is overweight, nutrition and dietary counseling may be needed along with a special exercise program. DA Pam 350-22 outlines several ways to improve a soldier's performance on each of the APFT events.

When trying to improve APFT performances, leaders must ensure that soldiers are not overloaded to the point where the fitness training becomes counterproductive. They should use ability groups for their running program and, in addition to a total-body strength-training program, should include exercises designed for push-up and sit-up improvement. When dealing with special populations, two very important principles are overload and recovery. The quality, not just the quantity, of the workout should be emphasized. Two-a-day sessions, unless designed extremely well, can be counter-productive. More PT is not always better.

Overweight Soldiers

Designers of weight loss and physical training programs for overweight soldiers should remember this: even though exercise is the key to sensible weight loss, reducing the number of calories consumed is equally important. A combination of both actions is best.

The type of exercise the soldier does affects the amount and nature of the weight loss. Both running and walking burn about 100 calories per mile. One pound of fat contains 3,500 calories. Thus, burning one pound of fat through exercise alone requires a great deal of running or walking. On the other hand, weight lost through dieting alone includes the loss of useful muscle tissue. Those who participate in an exercise program that emphasizes the development of strength and muscular endurance, however, can actually increase their muscle mass while losing body fat. These facts help explain why exercise and good dietary practices must be combined.

Unit MFTs can help a soldier determine the specific caloric requirement he needs to safely and successfully lose excess fat. They can devise a sound, individualized plan to arrive at that reduced caloric intake. Likewise, unit MFTs can also develop training programs which will lead to fat loss without the loss of useful muscle tissue.

Generally, overweight soldiers should strive to reduce their fat weight by two pounds per week. When a soldier loses weight, either by diet or exercise or both, a large initial weight loss is not unusual. This may be due to water loss associated with the using up of the body's carbohydrate stores. Although these losses may be encouraging to the

soldier, little of this initial weight loss is due to the loss of fat.

Soldiers should be weighed under similar circumstances and at the same time each day. This helps avoid false measurements due to normal fluctuations in their body weight during the day. As a soldier develops muscular endurance and strength, lean muscle mass generally increases. Because muscle weighs more per unit of volume than fat. caution is advised in assessing his progress. Just because a soldier is not losing weight rapidly does not necessarily mean he is not losing fat. In fact, a good fitness program often results in gaining muscle mass while simultaneously losing fat weight. If there is reasonable doubt, his percentage of body fat should be determined.

Soldiers with Profiles

This manual stresses what soldiers can do while on medical profile rather than what they cannot do.

DOD Directive 1308.1 requires that, "Those personnel identified with medically limiting defects shall be placed in a physical fitness program consistent with their limitations as advised by medical authorities."

AR 350-15 states, "For individuals with limiting profiles, commanders will develop physical fitness programs in cooperation with health care personnel."

The Office of the Surgeon General has developed DA Form 3349 to ease the exchange of information between health care personnel and the units. On this form, health care personnel list, along with limitations, those activities that the profiled soldier can do to maintain his fitness level. With this information, the unit should direct profiled soldiers to participate in the activities they can do. (An example of DA Form 3349 is in Appendix B.)

All profiled soldiers should take part in as much of the regular fitness program as they can. Appropriate activities should be substituted to replace those regular activities in which they cannot participate.

All profiled soldiers should do as much of the regular fitness program as they can, along with substitute activities.

Chapter 2 describes some aerobic activities the soldier can do to maintain cardiorespiratory fitness when he cannot run. Chapter 3 shows how to strengthen each body part. Applying this information should allow some strength training to continue even when body parts are injured. The same principle applies to flexibility (Chapter 4).

Medical treatment and rehabilitation should be aimed at restoring the soldier to a suitable level of physical fitness. Such treatment should use appropriate, progressive physical activities with medical or unit supervision.

MFTs can help profiled soldiers by explaining alternative exercises and how to do them safely under the limitations of their profile. MFTs are not, however, trained to diagnose injuries or prescribe rehabilitative exercise programs. This is the domain of qualified medical personnel.

The activity levels of soldiers usually decrease while they are recovering from sickness or injury. As a result, they should pay special attention to their diets to avoid gaining body fat. This guidance becomes more important as soldiers grow older. With medical supervision, proper diet, and the right PT programs, soldiers should be able to overcome their physical profiles and quickly return to their normal routines and fitness levels.

Age as a Factor in Physical Fitness

Soldiers who are age 40 and older represent the Army's senior leadership. On the battlefield, they must lead other soldiers under conditions of severe stress. To meet this challenge

and set a good example, these leaders must maintain and demonstrate a high level of physical fitness. Since their normal duties may be stressful but nonphysical, they must take part regularly in a physical fitness program. The need to be physically fit does not decrease with increased age.

People undergo many changes as they grow older. For example, the amount of blood the heart can pump per beat and per minute decreases during maximal exercise, as does the maximum heart rate. This lowers a person's physical ability, and performance suffers. Also, the percent of body weight composed of fat generally increases, while total muscle mass decreases. The result is that muscular strength and endurance, CR endurance, and body composition suffer. A decrease in flexibility also occurs.

Men tend to maintain their peak levels of muscular strength and endurance and CR fitness until age 30. After 30 there is a gradual decline throughout their lives. Women tend to reach their peak in physical capability shortly after puberty and then undergo a progressive decline.

Although a decline in performance normally occurs with aging, those who stay physically active do not have the same rate of decline as those who do not. Decreases in muscular strength and endurance, CR endurance, and flexibility occur to a lesser extent in those who regularly train these fitness components.

Soldiers who are fit at age 40 and continue to exercise show a lesser decrease in many of the physiological functions related to fitness than do those who seldom exercise. A trained 60-year-old, for example, may have the same level of CR fitness as a sedentary 20-year-old. In short, regular exercise can help add life to your years and years to your life.

The assessment phase of a program is especially important for those age 40 and over. However, it is not necessary or desirable to develop special fitness programs for these soldiers. Those who have been exercising regularly may continue to exercise at the same level as they did before reaching age 40. A program based on the principles of exercise and the training concepts in this manual will result in a safe, long-term conditioning program for all soldiers. Only those age 40 and over who have not been exercising regularly may need to start their exercise program at a lower level and progress more slowly than younger soldiers. Years of inactivity and possible abuse of the body cannot be corrected in a few weeks or months.

As of 1 January 1989, soldiers reaching age 40 are no longer required to get clearance from a cardiovascular screening program before taking the APFT. Only a medical profile will exempt them from taking the biannual record APFT. They must, however, have periodic physical examinations in accordance with AR 40-501 and NGR 40-501. These include screening for cardiovascular risk factors.

Evaluation

To evaluate their physical fitness and the effectiveness of their physical fitness training programs, all military personnel are tested biannually using the APFT in accordance with AR 350-15. (Refer to Chapter 14.) However, commanders may evaluate their physical fitness programs more frequently than biannually.

SCORING CATEGORIES

There are two APFT categories of testing for all military personnel Initial Entry Training (IET) and the Army Standard.

Safety is a major consideration when planning and evaluating physical training programs

IET Standard

The APFT standard for basic training is a minimum of 50 points per event and no less than 150 points overall by the end of basic training. Graduation requirements for AIT and One Station Unit Training (OSUT) require 60 points per event.

Army Standard

All other Army personnel (active and reserve) who are non-IET soldiers must attain the minimum Army standard of at least 60 points per event. To get credit for a record APFT, a medically profiled soldier must, as a minimum, complete the 2-mile run or one of the alternate aerobic events.

SAFETY

Safety is a major consideration when planning and evaluating physical training programs. Commanders must ensure that the programs do not place their soldiers at undue risk of injury or accident. They should address the following items:

- Environmental conditions (heat/cold/traction).
- Soldiers' levels of conditioning (low/high/age/sex).
- Facilities (availability/instruction/repair).
- Traffic (routes/procedures/formations).
- Emergency procedures (medical/communication/transport).

The objective of physical training in the Army is to enhance soldiers' abilities to meet the physical demands of war. Any physical training which results in numerous injuries or accidents is detrimental to this goal. As in most training, common sense must prevail. Good, sound physical training should challenge soldiers but should not place them at undue risk nor lead to situations where accidents or injuries are likely to occur.

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CHAPTER 2

Cardiorespiratory Fitness

Cardiorespiratory (CR) fitness, sometimes called CR endurance, aerobic fitness, or aerobic capacity, is one of the five basic components of physical fitness. CR fitness is a condition in which the body's cardiovascular (circulatory) and respiratory systems function together, especially during exercise or work, to ensure that adequate oxygen is supplied to the working muscles to produce energy. CR fitness is needed for prolonged, rhythmic use of the body's large muscle groups. A high level of CR fitness permits continuous physical activity without a decline in performance and allows for rapid recovery following fatiguing physical activity.

Activities such as running, road marching, bicycling, swimming, cross-country skiing, rowing, stair climbing, and jumping rope place an extra demand on the cardiovascular and respiratory systems. During exercise, these systems attempt to supply oxygen to the working muscles. Most of this oxygen is used to produce energy for muscular contraction. Any activity that continuously uses large muscle groups for 20 minutes or longer taxes these systems. Because of this, a wide variety of training methods is used to improve cardiorespiratory endurance.

Physiology of Aerobic Training

Aerobic exercise uses oxygen to produce most of the body's energy needs. It also brings into play a fairly complex set of physiological events.

To provide enough energy-producing oxygen to the muscles, the following events occur:

- Greater movement of air through the lungs.
- Increased movement of oxygen from the lungs into the blood stream.
- Increased delivery of oxygen-laden blood to the working muscles by the heart's accelerated pumping action.
- Regulation of the blood vessel's size to distribute blood away from inactive tissue to working muscle.
- Greater movemen t of oxygen from the blood into the muscle tissue.
- Accelerated return of veinous blood to the heart.

CR fitness is needed for prolonged, rhythmic use of the body's large muscle groups.

Correctly performed aerobic exercise, over time, causes positive changes in the body's CR system. These changes allow the heart and vascular systems to deliver more oxygen-rich blood to the working muscles during exercise. Also, those muscles regularly used during aerobic exercise undergo positive changes. By using more oxygen, these changes let the muscles make and use more energy during exercise and, as a result, the muscles can work longer and harder.

During maximum aerobic exercise, the trained person has an increased maximum oxygen consumption ($\dot{V}O_2max$). He is better able to process oxygen and fuel and can therefore provide more energy to the working muscles.

$\dot{V}O_2max$, also called aerobic capacity, is the most widely accepted single indicator of one's CR fitness level.

Percent HRR Method

A more accurate way to calculate THR is the percent HRR method. The range from 60 to 90 percent HRR is the THR range in which people should exercise to improve their CR fitness levels. If a soldier knows his general level of CR fitness, he can determine which percentage of HRR is a good starting point for him. For example, if he is in excellent physical condition, he could start at 85 percent of his HRR; if he is in reasonably good shape, at 70 percent HRR; and, if he is in poor shape, at 60 percent HRR.

Most CR workouts should be conducted with the heart rate between 70 to 75 percent HRR to attain, or maintain, an adequate level of fitness. Soldiers who have reached a high level of fitness may derive more benefit from working at a higher percentage of HRR, particularly if they cannot find more than 20 minutes for CR exercise. Exercising at any lower percentage of HRR does not give the heart, muscles, and lungs an adequate training stimulus.

Before anyone begins aerobic training, he should know his THR (the heart rate at which he needs to exercise to get a training effect).

The example below shows how to figure the THR by using the resting heart rate (RHR) and age to estimate heart rate reserve (HRR). A 20-year-old male soldier in reasonably good physical shape is the example.

STEP 1: Determine the MHR by subtracting the soldier's age from 220.

FORMULA
220 - age = MHR
(GIVEN)

CALCULATION
220 - 20 = 200 BPM

STEP 2: Determine the RHR in beats per minute (BPM) by counting the resting pulse for 30 seconds, and multiply the count by two. A shorter period can be used, but a 30-second count is more accurate. This count should be taken while the soldier is completely relaxed and rested. How to determine heart rate is described below. Next, determine the heart rate reserve (HRR) by subtracting the RHR from the estimated MHR. If the soldier's RHR is 69 BPM, the HRR is calculated as shown here.

FORMULA
MHR - RHR = HRR

CALCULATION
200 BPM - 69 BPM = 131 BPM

STEP 3: Calculate the THR based on 70 percent of HRR (a percentage based on a good level of CR fitness).

FORMULA
(% x HRR) + RHR = THR

CALCULATION
(0.70x131 BPM)+69 BPM=160.7 BPM

As shown, the percentage (70 percent in this example) is converted to the decimal form (0.70) before it is multiplied by the HRR. The result is then added to the resting heart rate (RHR) to get the THR. Thus, the product obtained by multiplying 0.70 and 131 is 91.7. When 91.7 is added to the RHR of 69, a THR of 160.7 results. When the calculations produce a fraction of a heart beat, as in the example, the value is rounded off to the nearest whole number. In this case, 160.7 BPM is rounded off to give a THR of 161 BPM. In summary, a reasonably fit 20-year-old soldier with a resting heart rate of 69 BPM has a training heart rate goal of 161 BPM. To determine the RHR, or to see if one is within the THR during and right after exercise, place the tip of the third finger lightly over one of the carotid arteries in the neck. These arteries are located to the left and right of the Adam's apple. (See Figure 2-1A.) Another convenient spot from which to monitor the pulse is on the radial artery on the wrist just above the base of the thumb. (See Figure 2-lB.) Yet another way is to place the hand over the heart and count the number of heart beats. (See Figure 2-1 C.)

During aerobic exercise, the body will usually have reached a "Steady State" after five minutes of exercise, and the heart rate will have leveled off. At this time, and immediately after exercising, the soldier should monitor his heart rate.

He should count his pulse for 10 seconds, then multiply this by six to get his heart rate for one minute. This will let him determine if his training intensity is high enough to improve his CR fitness level.

For example, use the THR of 161 BPM figured above. During the 10-second period, the soldier should get a count of 27 beats (161/6= 26.83 or 27) if he is exercising at the right intensity. If his pulse rate is below the THR, he must exercise harder to increase his pulse to the THR. If his pulse is above the THR, he should normally exercise at a lower intensity to reduce the pulse rate to the prescribed THR. He should count as accurately as possible, since one missed beat during the 10-second count, multiplied by six, gives an error of six BPM.

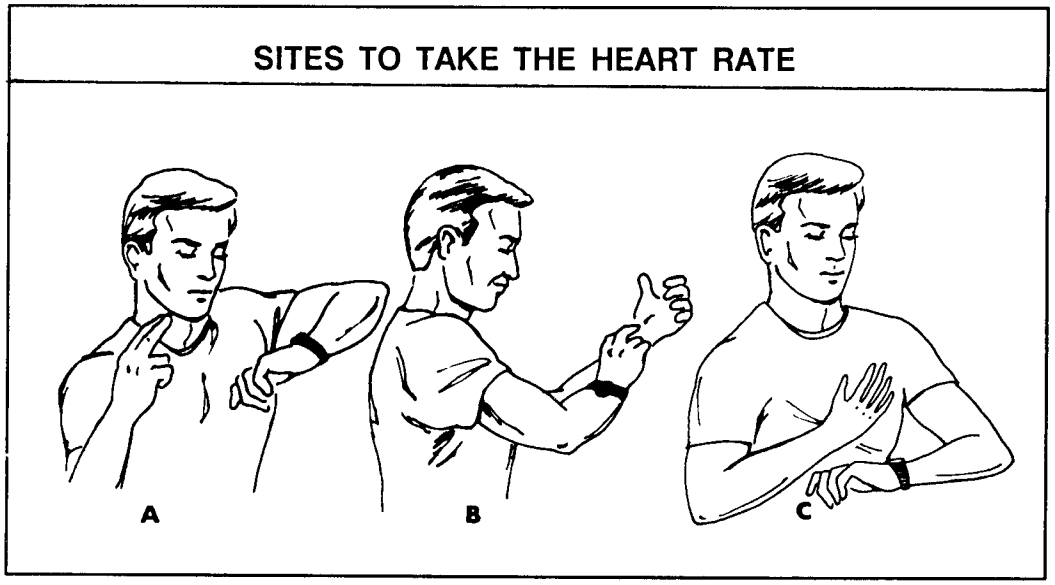

Figure 2-1

A soldier who maintains his THR throughout a 20-30-minute exercise period is doing well and can expect improvement in his CR *fitness level.*

A soldier who maintains his THR throughout a 20- to 30-minute exercise period is doing well and can expect improvement in his CR fitness level. He should check his exercise and post-exercise pulse rate at least once each workout. If he takes only one pulse check, he should do it five minutes into the workout.

Figure 2-2 is a chart that makes it easy to determine what a soldier's THR should be during a 10-second count. Using this figure, a soldier can easily find his own THR just by knowing his age and general fitness level. For example, a 40-year-old soldier with a low fitness level should, during aerobic exercise. have a THR of 23 beats in 10 seconds. He can determine this from the table by locating his age and then tracking upward until he reaches the percent HRR for his fitness level. Again, those with a low fitness level should work at about 60 percent HRR and those with a good fitness level at **70** percent HRR. Those with a high level of fitness may benefit most by training at 80 to 90 percent HRR.

Another way to gauge exercise intensity is "perceived exertion." This method relies on how difficult the exercise seems to be and is described in Appendix G.

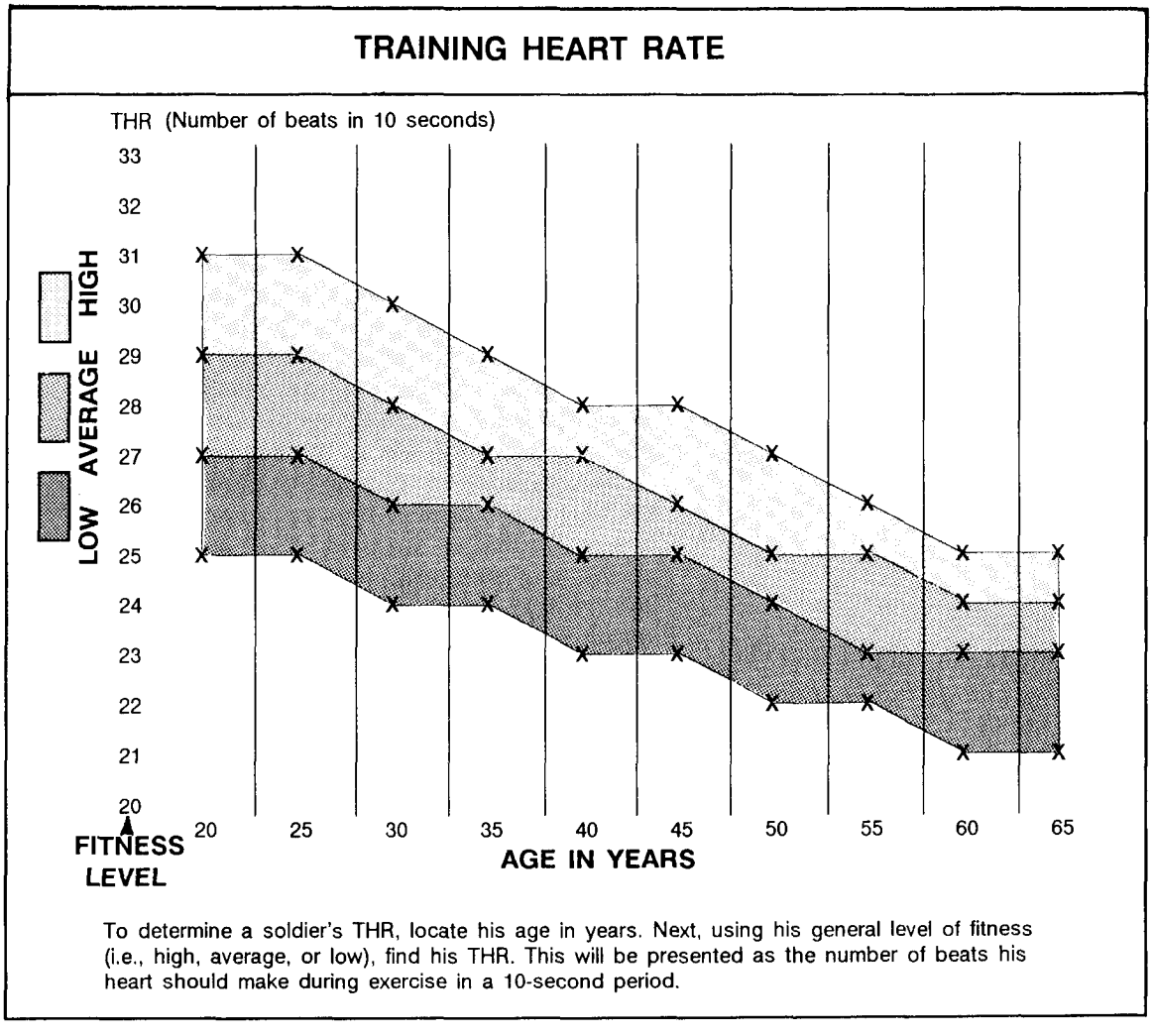

Figure 2-2

on the leg (hamstrings and quadriceps), hip (gluteal and hip flexors), low back (spinal erector), and abdominal (rectus abdominis) muscles. These two days should also include brief (2-mile) CR workouts of light to moderate intensity (65 to 75 percent HRR). On the one CR fitness day left, soldiers should take a long distance run (4 to 6 miles) at a moderate pace (70 percent HRR), an interval workout, or an aerobic circuit. They should also do some strength work of light volume and intensity. If four days are available, a road march should be added to the three-day program at least twice monthly. The speed, load, distance, and type of terrain should be varied.

If there are five days, leaders should devote two of them to muscular strength and endurance and two of them to CR fitness. One CR fitness day will use long distance runs; the other can stress more intense workouts including interval work, Fartlek running, or last-man-up running. At least two times per month, the remaining day should include a road march.

Leaders must train and march with their units as much as possible.

Soldiers can usually begin road-march training by carrying a total load equal to 20 percent of their body weight. This includes all clothing and equipment. However, the gender make-up and/or physical condition of a unit may require using a different starting load. Beginning distances should be between five and six miles, and the pace should be at 20 minutes per mile over flat terrain with a hard surface. Gradual increases should be made in speed, load, and distance until soldiers can do the anticipated, worst-case, mission-related scenarios without excessive difficulty or exhaustion. Units should take maintenance marches at least twice a month. Distances should vary from six to eight miles, with loads of 30 to 40 percent of body weight. The pace should be 15 to 20 minutes per mile.

Units should do maintenance marches at least twice a month.

A recent Army study showed that road-march training two times a month and four times a month produced similar improvements in road-marching performance. Thus, twice-monthly road marches appear to produce a favorable improvement in soldiers' abilities to road march if they are supported by a sound PT program (five days per week)

Commanders must establish realistic goals for road marching based on assigned missions. They should also allow newly assigned soldiers and those coming off extended profiles to gradually build up to the unit's fitness level before making them carry maximum loads. This can be done with ability groups.

Road marching should be integrated into all other training. Perhaps the best single way to improve Iload-earring capacity is to have a regular training program which systematically increases the load and distance. It must also let the soldier regularly practice carrying heavy loads over long distances.

As much as possible, leaders at all levels must train and march with their units. This participation enhances leaders' fitness levels and improves team spirit and confidence, both vital elements in accomplishing difficult and demanding road marches.

Alternate Forms of Aerobic Exercise

Some soldiers cannot run. In such cases, they may use other activities as supplements *or* alternatives. Swimming, bicycling, and cross-country skiing are all excellent endurance exercises and are good substitutes for running. Their drawback is that they require special equipment and facilities that are not always available. As with all exercise, soldiers should start slowly and progress gradually. Those who use non-running activities to

such training may not improve running ability. To prepare a soldier for the APFT 2-mile run, there is no substitute for running.

SWIMMING

Swimming is a good alternative to running. Some advantages of swimming include the following:

- o Involvement of all the major muscle groups.
- o Body position that enhances the blood's return to the heart.
- o Partial support of body weight by the water, which minimizes lower body stress in overweight soldiers.

Swimming may be used to improve one's CR fitness level and to maintain and improve CR fitness during recovery from an injury. It is used to supplement running and develop upper body endurance and limited strength. The swimmer should start slowly with a restful stroke. After five minutes, he should stop to check his pulse, compare it with his THR and, if needed, adjust the intensity.

Compared with all the other modes of aerobic exercise presented in this manual (e.g., running, walking, cycling, cross-country skiing, rope jumping, etc.) in swimming alone, one's THR should be lower than while doing the other forms of aerobic exercise. This is because, in swimming, the heart does not beat as fast as when doing the other types of exercise at the same work rate. Thus, in order to effectively train the CR system during swimming, a soldier should set his THR about 10 bpm lower than while running. For example, a soldier whose THR while running is 150 bpm should have a THR of about 140 bpm while swimming. By modifying their THRs in this manner while swimming, soldiers will help to ensure that they are working at the proper intensity.

Non-swimmers can run in waist-to chest-deep water, tread water, and do pool-side kicking for an excellent aerobic workout. They can also do calisthenics in the water. Together these activities combine walking and running with moderate resistance work for the upper body.

For injured soldiers, swimming and aerobic water-training are excellent for improving CR fitness without placing undue stress on injured weight-bearing parts of the body.

CYCLING

Cycling is an excellent exercise for developing CR fitness. Soldiers can bicycle outdoors or on a stationary cycling machine indoors. Road cycling should be intense enough to allow the soldier to reach and maintain THR at least 30 minutes.

Soldiers can alter the cycling intensity by changing gears, adding hill work, and increasing velocity. Distance can also be increased to enhance CR fitness, but the distance covered is not as important as the amount of time spent training at THR. The intensity of a workout can be increased by increasing the resistance against the wheel or increasing the pedaling cadence (number of RPM), For interval training, the soldier can vary the speed and resistance and use periods of active recovery at low speed and/or low resistance.

Cycling should be intense enough to let the soldier reach and maintain THR at least 30 *minutes.*

For swimming, a soldier should set his THR at about 10 beats per minute lower then when running.

WALKING

Walking is another way to develop cardiorespiratory fitness. It is enjoyable, requires no equipment, and causes few injuries. However, unless walking is done for a long time at the correct intensity, it will not produce any significant CR conditioning.

Sedentary soldiers with a low degree of fitness should begin slowly with 12 minutes of walking at a comfortable pace. The heart rate should be monitored to determine the intensity. The soldier should walk at least four times a week and add two minutes each week

CHAPTER 10

Developing the Program

The goal of the Army's physical fitness program is to improve each soldier's physical ability so he can survive and win on the battlefield. Physical fitness includes all aspects of physical performance, not just performance on the APFT. Leaders must understand the principles of exercise, the FITT factors, and know how to apply them in order to develop a sound PT program that will improve all the fitness components. To plan PT successfully, the commander and MFT must know the training management system. (See FM 25-100.)

Commanders should not be satisfied with merely meeting the minimum requirements for physical training which is having all of their soldiers pass the APFT. They must develop programs that train soldiers to maximize their physical performance. Leaders should use incentives. More importantly, they must set the example through their own participation.

Commanders must develop prgrams that train soldiers to maximize their physical performance.

The unit PT program is the commander's program. It must reflect his goals and be based on sound, scientific principles. The wise commander also uses his PT program as a basis for building team spirit and for enhancing other training activities. Tough, realistic training is good. However, leaders must be aware of the risks involved with physical training and related activities. They should, therefore, plan wisely to minimize injuries and accidents.

Steps in Planning

STEP 1: ANALYZE THE MISSION

When planning a physical fitness program, the commander must consider the type of unit and its mission. Missions vary as do the physical requirements necessary to complete them. As stated in FM 25-100, "The wartime mission drives training." A careful analysis of the mission, coupled with the commander's intent, yields the mission-essential task list (METL) a unit must perform.

Regardless of the unit's size or mission, reasonable goals are essential. According to FM 25-100, the goals should provide a common direction for all the commander's programs and systems. An example of a goal is as follows because the exceptional physical fitness of the soldier is a critical combat-multiplier in the division, it must be our goal to ensure that our soldiers are capable of roadmarching 12 miles with a 50-pound load in less than three hours.

STEP 2: DEVELOP FITNESS OBJECTIVES

Objectives direct the unit's efforts by prescribing specific actions. The commander, as tactician, and the MFT, as physical fitness advisor, must analyze the METL and equate this to specific fitness objectives. Examples of fitness objectives are the following:

- Improve the unit's overall level of strength by ensuring that all soldiers in the unit can correctly perform at least one repetition with 50 percent of their bodyweight on the overhead press using a barbell.
- Improve the unit's average APFT score through each soldier obtaining a minimum score of 80 points on the push-up and sit-up events and 70 points on the 2-mile run.
- Decrease the number of physical training injuries by 25 percent through properly conducted training.

The commander and MFT identify and prioritize the objectives.

STEP 3: ASSESS THE UNIT

With the training objectives established, the commander and MFT are ready to find the unit's current fitness level and measure it against the desired level.

Giving a diagnostic APFT is one way to find the current level. Another way is to have the soldiers road march a certain distance within a set time while carrying a specified load. Any quantifiable, physically demanding, mission-essential task can be used as an assessment tool. Training records and reports, as well as any previous ARTEP, EDREs, and so forth, can also provide invaluable information.

STEP 4: DETERMINE TRAINING REQUIREMENTS

By possessing the unit's fitness capabilities and comparing them to the standards defined in training objectives, leaders can determine fitness training requirements. When, after extensive training, soldiers cannot reach the desired levels of fitness, training requirements may be too idealistic. Once training requirements are determined, the commander reviews higher headquarters' long- and short-range training plans to identify training events and allocations of resources which will affect near-term planning.

STEP 5: DEVELOP FITNESS TASKS

Fitness tasks provide the framework for accomplishing all training requirements. They identify what has to be done to correct all deficiencies and sustain all proficiencies. Fitness tasks establish priorities, frequencies, and the sequence for training requirements. They must be adjusted for real world constraints before they become a part of the training plan. The essential elements of fitness tasks can be cataloged into four groups:

(1) Collective tasks
(2) Individual tasks
(3) Leader tasks
(4) Resources required for training

Collective tasks. Collective tasks are the training activities performed by the unit. They are keyed to the unit's specific fitness objectives. An example would be to conduct training to develop strength and muscular endurance utilizing a sandbag circuit.

Individual tasks. Individual tasks are activities that an individual soldier must do to accomplish the collective training task. For example, to improve CR endurance the individual soldier must do ability-group running, road marching, Fartlek training, interval training, and calculate/monitor his THR when appropriate.

Leader tasks. Leader tasks are the specific tasks leaders must do in order for collective and individual training to take place. These will involve procuring resources, the setting up of training, education of individual soldiers, and the supervision of the actual training.

Resources. Identifying the necessary equipment, facilities, and training aids during the planning phase gives the trainer ample time to prepare for the training. The early identification and acquisition of resources is necessary to fully implement the training program. The bottom line is that training programs must be developed using resources which are available.

STEP 6: DEVELOP A TRAINING SCHEDULE

The fitness training schedule results from leaders' near-term planning. Leaders must emphasize the development of all the fitness components and follow the principles of exercise and the FITT factors. The training schedule shows the order, intensity, and duration of activities for PT. Figure 10-1 illustrates a typical PT session and its component parts.

There are three distinct steps in planning a unit's daily physical training activities. They are as follows:

1. Determine the minimum frequency of training. Ideally, it should include three cardiorespiratory and three muscular conditioning sessions each weeks. (See the FITT factors in Chapter 1.)
2. Determine the type of activity. This depends on the specific purpose of the training session. (See Figure 10-2.) For more information on this topic, see Chapters 1, 2, and 3.
3. Determine the intensity and time of the selected activity. (See the FITT factors in Chapter 1.)

Each activity period should include a warm-up, a workout that develops cardiorespiratory fitness and/or muscular endurance and strength, and a cool-down. (See Figure 10-1).

At the end of a well-planned and executed PT session, all soldiers should feel that they have been physically stressed. They should also understand the objective of the training session and how it will help them improve their fitness levels.

STEP 7: CONDUCT AND EVALUATE TRAINING

The commander and MFT now begin managing and supervising the day-to-day training. They evaluate how the training is performed by monitoring its intensity, using THR or muscle failure, along with the duration of the daily workout.

The key to evaluating training is to determine if the training being conducted will result in improvements in physical conditioning. If not, the training needs revision. Leaders should

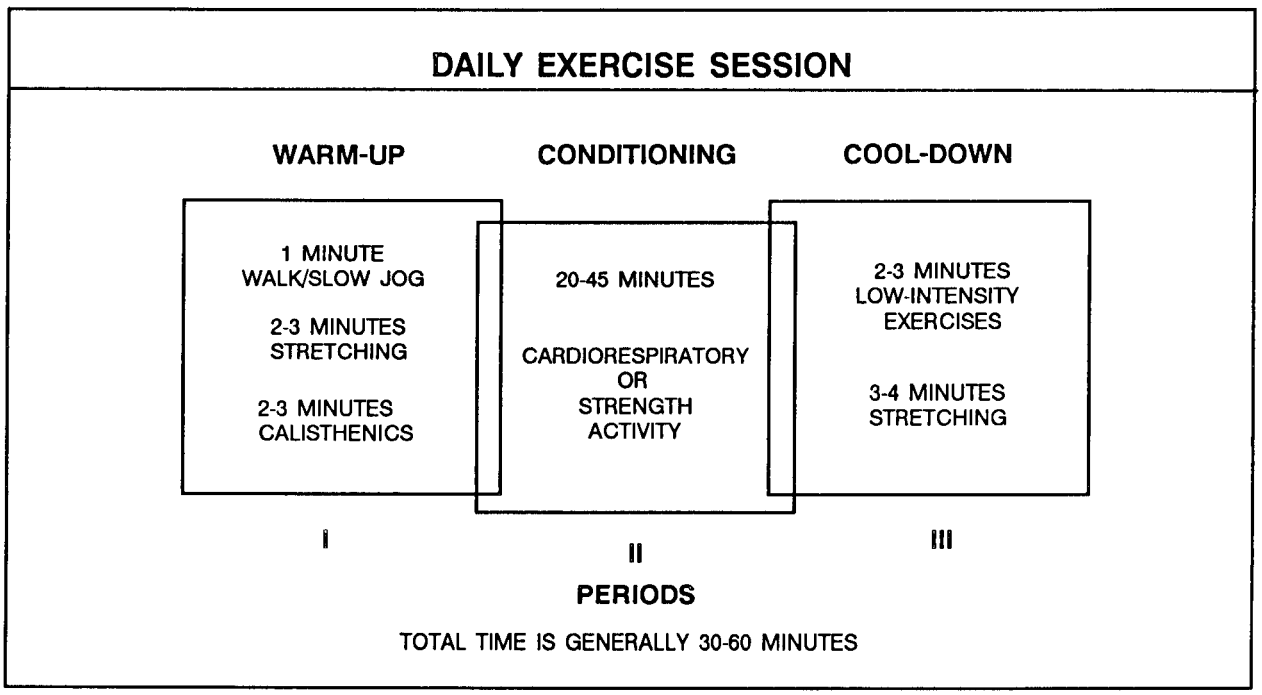

Figure 10-1

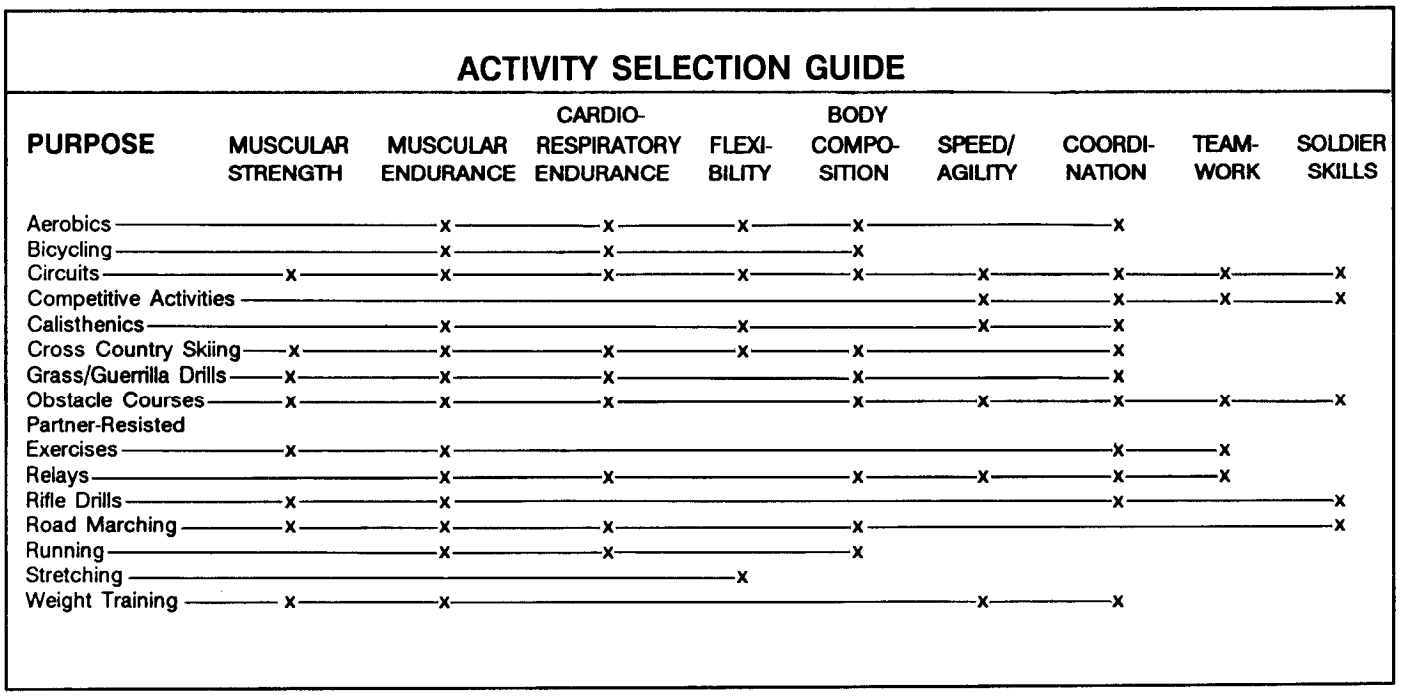

Figure 10-2

not be sidetracked by PT that is all form and little substance. Such training defeats the concept of objective-based training and results in little benefit to soldiers.

Education

Teaching soldiers about physical fitness is vital. It must be an ongoing effort that uses trained experts like MFTs. Soldiers must understand why the program is organized the way it is and what the basic fitness principles are. When they know why they are training in a certain way, they are more likely to wholeheartedly take part. This makes the training more effective.

Education also helps the Army develop its total fitness concept. Total fitness should be reinforced throughout each soldier's career. Classroom instruction in subjects such as principles of exercise, diet and nutrition, tobacco cessation, and stress management should be held at regular intervals. Local "Fit to Win" coordinators (AR 600-63) can help develop classes on such subjects.

Common Errors

There are some common errors in unit programs. The most common error concerns the use of unit runs. When all soldiers must run at the same pace as with a unit run, many do not receive a training effect because they do not reach their training heart rate (THR). The least-fit soldiers of the unit may be at risk because they may be training at heart rates above their THR. Another error is exclusively using activities such as the "daily dozen." These exercises emphasize form over substance and do little to improve fitness.

Total fitness should be reinforced throughout each soldier's career by classroom instruction.

Yet another error is failing to strike a balance in a PT program between CR endurance training and muscular endurance and strength training. In addition, imbalances often stem from a lack of variety in the program which

APPENDIX A

PHYSIOLOGICAL DIFFERENCES BETWEEN THE SEXES

Soldiers vary in their physical makeup. Each body reacts differently to varying degrees of physical stress, and no two bodies react exactly the same way to the same physical stress. For everyone to get the maximum benefit from training, leaders must be aware of these differences and plan the training to provide maximum benefit for everyone. They must also be aware of the physiological differences between men and women. While leaders must require equal efforts of men and women during the training period, they must also realize that women have physiological limitations which generally preclude equal performance. The following paragraphs describe the most important physical and physiological differences between men and women.

SIZE

The average 18- year-old man is 70.2 inches tall and weighs 144.8 pounds, whereas the average woman of the same age is 64.4 inches tall and weighs 126.6 pounds. This difference in size affects the absolute amount of physical work that can be performed by men and women.

MUSCLES

Men have 50 percent greater total muscle mass, based on weight, than do women. A woman who is the same size as her male counterpart is generally only 80 percent as strong. Therefore, men usually have an advantage in strength, speed, and power over women.

FAT

Women carry about 10 percentage points more body fat than do men of the same age. Men accumulate fat primarily in the back, chest, and abdomen; women gain fat in the buttocks, arms, and thighs. Also, because the center of gravity is lower in women than in men, women must overcome more resistance in activities that require movement of the lower body.

BONES

Women have less bone mass than men, but their pelvic structure is wider. This difference gives men an advantage in running efficiency.

HEART SIZE AND RATE

The average woman's heart is 25 percent smaller than the average man's. Thus, the man's heart can pump more blood with each beat. The larger heart size contributes to the slower resting heart rate (five to eight beats a minute slower) in males. This lower rate is evident both at rest and at any given level of submaximal exercise. Thus, for any given work rate, the faster heart rate means that most women will become fatigued sooner than men.

FLEXIBILITY

Women generally are more flexible than men.

LUNGS

The lung capacity of men is 25 to 30 percent greater than that of women. This gives men still another advantage in the processing of oxygen and in doing aerobic work such as running.

RESPONSE TO HEAT

A woman's response to heat stress differs somewhat from a man's. Women sweat less, lose less heat through evaporation, and reach higher body temperatures before sweating starts. Nevertheless, women can adapt to heat stress as well as men. Regardless of gender, soldiers with a higher level of physical fitness generally better tolerate, and adapt more readily to, heat stress than do less fit soldiers.

OTHER FACTORS

Knowing the physiological differences between men and women is just the first step in planning physical training for a unit. Leaders need to understand other factors too.

Women can exercise during menstruation; it is, in fact, encouraged. However, any unusual discomfort, cramps, or pains while menstruating should be medically evaluated.

Pregnant soldiers cannot be required to exercise without a doctor's approval. Generally, pregnant women may exercise until they are close to childbirth if they follow their doctors' instructions. The Army agrees with the position of the American College of obstetricians and Gynecologists regarding exercise and pregnancy. This guidance is available from medical authorities and the U.S. Army Physical Fitness School (USAPFS). The safety and health of the mother and fetus are primary concerns when dealing with exercise programs.

Vigorous activity does not harm women's reproductive organs or cause menstrual problems. Also, physical fitness training need not damage the breasts. Properly fitted and adjusted bras, however, should be worn to avoid potential injury to unsupported breast tissue that may result from prolonged jarring during exercise.

Although female soldiers must sometimes be treated differently from males, women can reach high levels of physical performance. Leaders must use common sense to help both male and female soldiers achieve acceptable levels of fitness. For example, ability-group running alleviates gender-based differences between men and women. Unit runs, however, do not.

HANDOUTS FOR LESSON: T342 version 1

This appendix contains the items listed in this table--

Title/Synopsis	Pages
SH-1, Advance Sheet	SH-1-1
SH-2, Student Reading Assignment	SH-2-1 thru SH-2-8
SH-3, Do's and Don't's	SH-3-1 and SH 3-2

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Student Handout 1

Advance Sheet for T342

Lesson Hours

This lesson consists of two hours of small group instruction.

Overview

This lesson will teach you some of the cultural differences that set different groups of people apart. These differences can cause strained relationships that could adversely affect accomplishment of the mission. Awareness of cultural differences will ensure a smooth working relationship between you and the local national population.

Learning Objective

Terminal Learning Objective (TLO).

Action:	Brief unit personnel on cultural awareness considerations.
Conditions:	As a small unit leader in a company or battalion level unit.
Standards:	Briefed unit personnel on cultural awareness considerations.

ELO A Explain cultural awareness considerations.
ELO B Explain cultural awareness considerations for Southwest Asia.

Assignment

The student assignments for this lesson are:

- Read Student Handouts 1-3.
- Complete practical exercise.

Additional Subject Area Resources

None

Bring to Class

You must bring the following materials to class:

- All reference material received.
- Pencil or pen and writing paper.

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Student Handout 2

This student handout contains seven pages of reading material .

Student Handout 2

Cultural diversity has always been an integral part of American history. American culture has always been diverse because America, except for Native Americans, consists of immigrants from every part of the world. Although most immigrant groups upon arrival in America experienced isolation and separation, they eventually learned to assimilate into their new surroundings while still managing to maintain their ethnic and racial identities, speaking their own native tongues, and practicing their own values and beliefs. Exposure to various cultural practices here in our native land should make us especially aware of the need to be sensitive to other cultures abroad.

The definition of culture is the learned and shared behaviors and perceptions of a group that are transmitted from generation to generation, through a shared symbol system. You are not born with culture. You learn your culture from others. Language, American eagle, flag, money, National Anthem, and the Lincoln Memorial are just a few examples of shared symbols.

Culture is not stationary; it is fluid and continues to evolve. Take, for example, the significant changes we have seen with the family structure, particularly the changing role of women. The traditional role of women in the 1950s was that of a homemaker or housewife. Today's society, however, tends to undervalue the role of a housewife in favor of a two-income household. As society continues to evolve and technology transforms our way of life, other cultural changes lie ahead.

A subculture is a group of people within a larger social structure who share cultural and linguistic characteristics that are different enough to distinguish them from others within the same society. Examples include Hispanics and Asians in the United States, and Sunni Muslims, Shite Muslims, and Kurds in Iraq, etc.

The military is a good example of a subculture, having its own patterns of thinking, feeling, believing, and especially its use of language. For example, our extensive use of acronyms and technical terms separates us from the civilian community. Using acronyms like "CTT," "APFT," and terms like "failure to repair," "Article 15," and "HOOAH" are specific to the military. Anyone outside of this group or subculture would probably experience some confusion.

to reach a conclusion. The way a person thinks is also a learned trait. It is part of the culture or socialization process.

e. **Customary Behaviors.** Customary behaviors are patterns of behaving that represent the norms for a culture. Some customary behaviors have a direct and rational link to values and beliefs of the culture and are necessary for the health and well-being of its members. Other attributes, such as dress, appearance, religion, special customs, and social courtesies are more or less subcategories of this and the attributes of culture already discussed. Customary behaviors may also vary from society to society. For example, a certain religious background may play a factor in how a person views abortion. Another example is when someone from a small town walks down the street and meets someone. You may say "Hello." However, if you're from a large city, and you walk down the street saying "Hello" to everyone you pass; they might think you're strange. When you're on the subway you keep your eyes down, or you read the advertisements above the seats. You avoid looking directly at anyone. You learn each of these attributes as you grow up. You are not born with them at birth.

It is important to realize that certain attributes some people may perceive as being cultural are, in fact, innate.

a. **Race.** Race is not an attribute of culture although people often believe and act as though it was. Race is the division of humans that has sufficient and constant inheritable traits that identify separate groups. All human beings belong to the same species. There is no racial group so different from another to constitute separate or distinct specie. There are more similarities between races than there are differences. We do not define culture by race since we learn attributes of culture. Remember that we learn culture. We do not learn race.

b. **Genetics.** Culture is not present at birth and we do not inherit it through genes. Children who do not have human contact will have no concept of values or beliefs nor will they assume the social needs of other human beings.

c. **Ethnicity.** Culture is not an issue of ethnic identity. We define ethnicity as those characteristics that distinguish a group by race, religion, national origin, language, or some combination of these categories. An ethnic group is a segment of the population that possesses common characteristics and closely identifies with a cultural heritage significantly different from the general population. Ethnicity

can influence how a person learns the culture, but we do not learn ethnicity or ethnic identity as a part of culture. However, we must be sensitive to the fact that many soldiers and civilians will behave as though their ethnicity defines who they are, what they value, or what they believe. For example, an Italian living in Italy may be different from an Italian living in urban New York. While they share the same ethnic identity, it may be the only thing they have in common.

The Army has individuals from many cultures. When we do not understand the interaction between individuals, it has negative implications on the soldier and the unit. Misunderstandings between soldiers, if not resolved, can lead to other more serious problems. In units, it can lower morale and impact on unit readiness.

The six implications of cross-culture interactions are as follows:

a. **Language differences.** Differences in the way individuals speak can oftentimes affect other people's perceptions of them. For example, individuals with heavy accents may experience negative reactions from others based on a false assumption, the assumption that they are not intelligent.

b. **Being blunt**. Oftentimes, people label individuals who are direct and to the point as "being blunt". While being direct and to the point may be an appreciated quality in our culture, especially in our military where we advocate "bottom line up front," other cultures may find this quality impolite or even rude. This can cause serious confusion and a communication breakdown. An article illustrating this point appeared in a Saudi newspaper. The point of the article implies that "American frankness is always too direct and misunderstood as criticism."

c. **Public Documents.** Many people have to complete most public documents or take tests in "English only". This can be especially challenging to non-native speakers. While some forms and documents are available in multi-lingual versions, (i.e. driving tests), most business licenses and permits are not (i.e. tax forms, health permits, etc.). Furthermore, depending on where you grew up, your early life experiences can also hinder your ability to understand various forms, even if you are a native speaker.

d. **Customs, observances, and necessities.** We must also be sensitive to other culture's customs and observances. An example is when someone wants to go on leave to attend an uncle's funeral. They go to their supervisor requesting leave and the supervisor response is, "Well it's only your uncle. What's the big deal? I could understand if it was your mother, father, or sister." Many cultures

consider aunts and uncles as part of the immediate family or extended family and are much more important than in other groups. One example includes religious holidays in which we recognize Jewish holidays and give time off to celebrate. However, there are many other religions that have holidays that we do not recognize.

e. **Supervisor/subordinate relations.** To be an effective leader requires the leader to possess "people (leadership) skills". An informed leader knows that some behaviors are not a sign of disrespect or ignorance, but a part of that individual's culture. An excellent example of this is in some cultures it is disrespectful to make direct eye contact with your superiors. However, in our society, if you look down while your supervisor is talking to you, (s)he would perceive it as a sign of weakness, guilt, or a lack of trust.

f. **Social and support groups.** While it is rather common to see people of like race, ethnicity, or religious beliefs interacting in groups, the reason for this is not so much because of their prejudice as it is their preference to interact with others who share similar beliefs and common interests -- people who are like them. There is nothing wrong with interacting with groups who have common interests. A good example of this is when the NCO club has Latin night. More than likely you will see more Hispanics present. However, the common interest that brought this group together is Latin music, not the fact that they are Hispanic. Who do you think might attend on country night? Is it normal? Yes it is normal. The important thing is that you do not avoid these groups altogether because of prejudices.

All soldiers, whether or not they are leaders, need to be aware and sensitive to different cultures. You should treat everyone with dignity and respect. It is not only the right thing to do legally, but the right thing to do morally.

There are three pitfalls that cause misunderstanding between individuals of different cultures. They are stereotyping, assumptions, and differences.

a. **Stereotyping.** We define stereotyping as a person, group, event, or issue that we think typifies or conforms to an unvarying pattern or manner that lacks any individuality. This tends to happen to all groups at one time or another. Walter Lipman, who was an American journalist earlier in the 20th century, said "Stereotyping is basically developing classes of pictures in our head that are basically negative and essentially incorrect." For example, consider the following stereotypes:

- All redheads have short tempers.
- All nurses are women.
- All tall people like basketball.

Some stereotypes, however, are not always negative, but embrace the positive qualities of a certain group like musical talent, ambition, or intelligence (i.e. all Asians are smart and are especially good at math). While stereotypes tend to have an element of truth, they are incomplete and misleading because individuals need to be seen for who they are as individuals. We should not judge individuals by "the color of their skin but by the content of their character" (Martin Luther King Jr.).

b. **Assumptions.** Assumptions are a complex extension of our prejudices and stereotypes. Making assumptions about others has similar characteristics to stereotyping, but may have a very different affect on people during cross-cultural interactions. We frequently associate stereotypes with negative prejudgments. Assumptions based on stereotypes are suppositions or acts of supposing something is true based on erroneous or incomplete information. Assumptions based on prejudices or stereotypes can create expectations that have both negative and positive perceptions. These assumptions can blind people to what someone is saying or doing and can cause a self-fulfilling prophecy. Consider the following examples:

- A person who displays a rebel flag is a bigot or a racist.
- Americans are generally considered to be friendly, generous, and tolerant, but also arrogant, impatient, and domineering.
- Asians are shrewd and alert, but reserved.
- People with strong foreign accents are untrustworthy because they are aliens, etc.

Clearly, some people who display the rebel flag are not bigots or racist; not all Americans are friendly, generous, or arrogant; and not all Asians are shrewd. If you assume you know what a person is like, and don't look at each person as an individual, you are likely to make errors in your estimates of a person's character.

c. **Differences.** The Army is like a salad bowl, composed of a variety of ingredients: tomatoes, lettuce, olives, cucumbers, etc. While all these ingredients work together to make a delicious salad, each

Enculturation is the passing of culture from one generation to the next and consists of behaviors and attitudes that are socially acceptable with members of a group. Take, for example, how we learn basic table manners, such as when to say “please” or “thank you” or when to excuse ourselves from the dinner table. These are behaviors that we pass down from generation to generation. For example, if children grow up hearing negative comments about different races or ethnic groups, they are more likely to have those same attitudes as an adult.

There are five attributes of culture. They include language or symbols, values, beliefs, patterns of thinking, and customary behaviors.

a. **Language.** Language is the process and method by which individuals transmit their values, beliefs, and perceptions. Learning and sharing using Army language is how soldiers assert their membership in the Army culture. We learn nonverbal behaviors that are also a part of the language. We learn such signals as voice inflections, eye contact, and hand gestures that we associate with the language of a given culture.

b. **Values.** Values are social principles, goals, or standards held or accepted by a given culture. Values are also part of an individual's moral judgment system, how they determine right from wrong. Sometimes people express their cultural values through language; for example, phrases like "the American way", "the American dream", or mottoes like "duty, honor, and country" reveal a set of values, and in this case, distinctly American values.

c. **Beliefs.** Beliefs are judgments or expectations that a person might have about certain things. They are very similar to and closely related to someone's values. We often use a belief to express how one might see the truth in the rest of the world. When a larger group holds the same beliefs, we perceive that group as being part of the same culture. When a large group of people hold the same beliefs, then a culture is born. Some of the beliefs we share in our society may be freedom of speech or religion.

d. **Patterns of Thinking.** Patterns of thinking are ways we reach conclusions, make deductions, and solve problems. People from different cultures may use different patterns of thinking to reach solutions to different problems. Because of this, it is likely that soldiers from different cultures will have different ways of thinking about the world around them. Some cultures may rely more on logic and straight deduction, while others may use more intuitive methods, for example, using emotion and feeling

ingredient maintains its own identity. We as leaders need to appreciate those differences in our dealings with other people.

Since the majority of our armed forces deploy to Southwest Asia (SWA), we will use that region of the world to discuss cultural differences in detail during the next hour of instruction.

Student Handout 3

This student handout contains one page of material depicting dos and don’ts when dealing with Arabic persons.

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DO'S AND DON'TS

DO

- Sit properly without slouching.
- Greet males with a handshake.
- Accept hospitality (beverage, etc) after the second time offered.
- Be polite.
- Attempt to use a few Arabic terms- it shows respect.
- Stand when a female, new guest, elderly, or high-ranking person enters a room.
- Feel free to return a hug or a kiss from an Arab
- Give a gift if one is received.
- Accompany a guest outside a door or gate when they leave.
- Try the different foods if offered.
- Understand their dedication to their religion.
- Arrive on time-not early.
- Look for subtle or double meaning in answered questions. Arabs will rarely say no as it is a sign of weakness and disrespect.

DON'T

- Slouch or sit with one leg over the other.
- Expose the bottom of your foot or shoe to a person-it is an insult.
- Use the OK hand gesture-it is obscene.
- Offer something or eat with your left hand.
- Shake a female's hand unless she offers it first.
- Ask an Arab to take off his headgear.
- Lean on walls or put your hands in your pockets when talking.
- Initiate a hug or a kiss to an Arab person.
- Try to convert an Arab to your religion.
- Move away from an Arab if he invades your personal space-it's their way.
- Show impatience or lose your temper.
- Ask personal questions about family members, especially females.
- Eat or smoke in public during their holy periods when they are fasting.
- Display religious items.
- Talk about politics.

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Appendix C

PRACTICAL EXERCISE 1

Title	CULTURAL AWARENESS CONSIDERATIONS
Lesson Number / Title	L342 version 1 / CULTURAL AWARENESS CONSIDERATIONS
Introduction	None
Motivator	None
Terminal Learning Objective	**NOTE:** The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise. At the completion of this lesson, you [the student] will:

Action:	Brief unit personnel on cultural awareness considerations.
Conditions:	As a small unit leader in a company or battalion level unit.
Standards:	Briefed unit personnel on cultural awareness considerations.

Safety Requirements	None
Risk Assessment	Low
Environmental Considerations	None
Evaluation	At the end of the lesson discussion you will compare your answers with the solution sheet provided by the instructor.
Instructional Lead-In	None
Resource Requirements	**Instructor Materials:** • Solution to Practical Exercise 1 **Student Materials:** • Pen or pencil and writing paper. • Practical Exercise 1 • SH-1 thru SH-3.
Special Instructions	Students receive this practical exercise during in-processing. Students must read the reading assignment and complete the practical exercise prior to class. Students must bring the completed exercise and reading assignments to class.

Procedures

QUESTION 1: What is the definition of “culture”?

_____
_____
_____

QUESTION 2: You are born with culture.

a. True
b. False

QUESTION 3: What is the definition of “subculture”?

_____
_____
_____

QUESTION 4: List three examples of subcultures within the United States.

(1) _____

(2) _____

(3) _____

QUESTION 5: What is the definition of “enculturation”?

_____
_____
_____

QUESTION 6: What are the five attributes of “culture”?

(1) _____

(2) _____

(3) _____

(4) _____

(5) _____

QUESTION 7: Social principles, goals, or standards held or accepted by a given culture are which type of attribute?

a. Language
b. Values
c. Beliefs
d. Patterns of thinking
e. Customary behaviors

QUESTION 8: Patterns of behaving that represent the norms for a culture are which type of attribute?

a. Language
b. Values
c. Beliefs
d. Patterns of thinking
e. Customary behaviors

Procedures, continued

QUESTION 9: What is the process and method that individuals use to transmit their beliefs, perceptions, and values?

a. Language
b. Values
c. Beliefs
d. Patterns of thinking
e. Customary behaviors

QUESTION 10: What is the method by which we reach conclusions, make deductions, and solve problems?

a. Language
b. Values
c. Beliefs
d. Patterns of thinking
e. Customary behaviors

QUESTION 11: What are judgments or expectations that an individual might have about certain things?

a. Language
b. Values
c. Beliefs
d. Patterns of thinking
e. Customary behaviors

QUESTION 12: Race, genetics, and ethnicity, as a group, are known as _____?

a. Cultural attributes
b. Enculturation
c. Primate attributes
d. Cross-culture indicators
e. Innate attributes

QUESTION 13: An attribute of culture is “race.”

a. True
b. False

QUESTION 14: Culture is inherited.

a. True
b. False

QUESTION 15: _____ is a characteristic that distinguishes a group by race, religion, national origin, language, or some combination of these categories.

a. Ethnic identity
b. Race
c. Culture
d. Ethnicity
e. Genetics

.

Procedures, continued

QUESTION 16: List six implications of cross-culture interactions.

(1) _____

(2) _____

(3) _____

(4) _____

(5) _____

(6) _____

QUESTION 17: "Bottom line up front," is a quality that is acceptable by most cultures.

a. True
b. False

QUESTION 18: What are the three pitfalls to cross-cultural interactions?

(1) _____

(2) _____

(3) _____

QUESTION 19: "Individuals with heavy accents are not intelligent" is an example of (an) _____?

a. Assumption
b. Type casting
c. Difference
d. Stereotyping

QUESTION 20: "All Americans love guns" is an example of (an) _____?

a. Assumption
b. Type casting
c. Difference
d. Stereotyping

QUESTION 21: A complex extension of our prejudices and negative prejudgments are defined as _____?

a. Assumption
b. Type casting
c. Difference
d. Stereotyping

QUESTION 22: Person, groups, events, or issues that we believe typify or conform to an unvarying pattern or manner that lacks any individuality are defined as _____?

a. Assumption
b. Type casting
c. Difference
d. Stereotyping

Procedures, continued

QUESTION 23: Stereotypes are always negative.

a. True

b. False

QUESTION 24: "All secretaries are women" is an example of (an) _____?

a. Assumption

b. Type casting

c. Difference

d. Stereotyping

QUESTION 25: Who first quoted, "We should not judge individuals by "the color of their skin but by the content of their character"?

a. Abraham Lincoln

b. John F. Kennedy

c. Thurgood Marshal

d. Martin Luther King Jr.

Feedback Requirements

None

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Appendix D

HANDOUTS FOR LESSON 1: L327 version 1

This appendix contains the items listed in this table--

Title/Synopsis	Pages
SH-1, Advance Sheet	SH-1-1
SH-2, Extract AR 600-20	SH-2-1
SH-3, Extract from TSP 121-050-8010	SH-3-1 thru SH-3-26
SH-4, Situation: Green vs Brown	SH-4-1

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Student Handout 1

Advance Sheet for L327

Lesson Hours

This lesson consists of one-hour of small group instruction.

Overview

During this lesson you will learn about the Army's Equal Opportunity Program along with the Army's policies on sexual harassment. You will learn the leader's roles and responsibilities regarding these subjects, the Army's commitment to fair and equal treatment, the complaint process, and methods to resolve problems.

Learning Objectives

Terminal Learning Objective (TLO).

Action:	Determine individual and leader actions to ensure compliance with the Army's Equal Opportunity (EO) Program.
Conditions:	As a section leader in a classroom environment given extracts from AR 600-20, TSP 121-050-8010, and student handouts.
Standard:	Determined individual and leader actions to ensure compliance with the Army's Equal Opportunity (EO) Program IAW AR 600-20 and TSP 121-050-8010.

Learning Steps/Activities (LS/As).

LS/A 1 Discuss the key elements of the EO policy.
LS/A 2 Discuss unit leadership responsibilities for Equal Opportunity and Sexual Harassment policies compliance.
LS/A 3 Discuss the different behaviors that constitute EO and sexual harassment violations.
LS/A 4 Discuss appropriate individual and leader actions that prevent sexual harassment.
LS/A 5 Discuss leader actions to resolve EO complaints.

Assignment

The student assignments for this lesson are:
Before class--

- Read Student Handouts 1 thru 4.
- Complete PE-1.

Additional Subject Area Resources

None

Bring to Class

Student Handouts 1 thru 4.

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Student Handout 2

Extract from AR 600-20, Army Command Policy

This student handout contains 29 pages of extracted material from the following publication:

AR 600-20, Army Command Policy 13 May 2002.

Description	Pages
Chapter 4, Military Discipline and Conduct	17 thru 23
Chapter 6, Equal Opportunity Program in the Army	40 thru 49
Chapter 7, Prevention of Sexual Harassment	52 thru 54
Appendix E, EO/Sexual Harassment Complaint Processing System	66 thru 73

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or fail to clear their personal accounts before departure from their stations. This includes consideration under Articles 15, 121, 123a, 133, or 134, Uniform Code of Military Justice. When indebtedness information is received after a soldier departs from the station, the commanding officer of the station at which personal accounts remain unsettled will take action outlined in AR 600-15.

4–9. Civil status of members of the Reserve component

a. Reserve Component members, not serving on active duty, are not for most purposes considered officers or employees of the United States solely by reason of their Reserve status. They may accept and receive pay for employment in any civil branch of the public service, in addition to any pay and allowances they may be entitled to under the laws governing members of RCs.

b. A member of the RC, not serving on active duty, may practice his or her civilian profession or occupation before or in connection with any department of the Federal Government unless prohibited by law.

c. Conflict of interest laws impose limitations on activities in which persons may engage after terminating active duty or employment by the United States. A reservist who has handled a government matter shall not, while in a civilian status, represent any party, other than the government, in connection with the same particular matter. (See 18 USC 207.) While handling government matters, reservists will not take any direct or indirect action in a particular matter in which they have an outside financial interest. (See 18 USC 208; DODD 5500.7-R, para 5-408.)

d. ARNG and USAR soldiers who are officers and employees of the United States or the District of Columbia are entitled to a leave of absence from their civilian employment when ordered under Title 39, District of Columbia Code to ADT or annual training (AT). This leave of absence will be granted without loss of pay, time, or efficiency rating on all days during which they are ordered to duty with troops or field exercises, or for instruction, for periods not over 15 days in any calendar year. As an exception, officers and employees of the United States or of the District of Columbia who are members of the Army National Guard of the District of Columbia are authorized leave for all days (no limit) on which they are ordered under Title 39, District of Columbia Code to duty for parades or encampment under 5 USC 6323.

e. ARNG and USAR soldiers may accept and be paid for civil employment with any foreign government, when approved by the Secretary of the Army and the Secretary of State. This includes any concern controlled in whole or in part by a foreign government. AR 600-291 is used for processing applications.

4–10. Participation in support of civilian law enforcement agencies

a. Military support of civilian law enforcement is governed by the Posse Comitatus Act (18 USC 1385), 10 USC Sections 371-382, DODD 5525.5, and AR 500-51. Commanders will not sanction use of military personnel in support of civilian law enforcement agencies in the 50 states, the District of Columbia, the Common Wealth of Puerto Rico, or United States Territories, except when authorized by law. Because this is a complex area of the law, commanders and law enforcement personnel should consult with their servicing judge advocate or legal advisor.

b. Military personnel may report crimes or other suspicious activities to civilian police agencies or cooperate with civilian authorities in their capacities as private citizens. Military law enforcement personnel may exchange information with civilian authorities according to AR 500-51.

4–11. Membership campaigns

DA recognizes and benefits from the activities of many worthy organizations, associations, and clubs. Many of these organizations enjoy close, historical ties with the military community and are composed largely of active or retired military personnel. DA support of private organizations is strictly regulated by DODI 1000.15 and DODD 5500.7-R.

a. In supporting such organizations and associations, post commanders and heads of DA Staff agencies will-

(1) Ensure membership among personnel under their jurisdiction is truly voluntary.

(2) Prohibit any practice that involves or implies compulsion, coercion, influence, or reprisal in the conduct of membership campaigns. This prohibition includes repeated orientations, meetings, or similar counseling of persons who have chosen not to join after given a chance to do so. It also includes using membership statistics in support of supervisory influence.

(3) Prohibit any practice that involves or implies DA sponsorship or endorsement of the organization and its activities.

(4) Prohibit the use of government property, facilities, or services, e.g., golf course membership, as an inducement to join a private organization.

b. This policy does not prohibit commanders from informing personnel without coercion about membership in such organizations. When doing so, commanders will ensure they do not favor one organization over others.

4–12. Extremist organizations and activities

Participation in extremist organizations and activities by Army personnel is inconsistent with the responsibilities of military service. It is the policy of the United States Army to provide equal opportunity and treatment for all soldiers without regard to race, color, religion, gender, or national origin. Enforcement of this policy is a responsibility of

command, is vitally important to unit cohesion and morale, and is essential to the Army's ability to accomplish its mission. It is the commander's responsibility to maintain good order and discipline in the unit. Every commander has the inherent authority to take appropriate actions to accomplish this goal. This paragraph identifies prohibited actions by soldiers involving extremist organizations, discusses the authority of the commander to establish other prohibitions, and establishes that violations of prohibitions contained in this paragraph or those established by a commander may result in prosecution under various provisions of the UCMJ. This paragraph must be used in conjunction with DODD 1325.6, Subject: Guidelines for Handling Dissident and Protest Activities Among Members of the Armed Forces.

a. Participation. Military personnel must reject participation in extremist organizations and activities. Extremist organizations and activities are ones that advocate racial, gender or ethnic hatred or intolerance; advocate, create, or engage in illegal discrimination based on race, color, gender, religion, or national origin or advocate the use of or use force or violence or unlawful means to deprive individuals of their rights under the United States Constitution or the laws of the United States, or any State, by unlawful means.

b. Prohibitions. Soldiers are prohibited from the following actions in support of extremist organizations or activities. Penalties for violations of these prohibitions include the full range of statutory and regulatory sanctions, both criminal (UCMJ), and administrative.

(1) Participating in public demonstrations or rallies.

(2) Attending a meeting or activity with the knowledge that the meeting or activity involves an extremist cause when on duty, when in uniform, when in a foreign country (whether on or off duty or in or out of uniform), when it constitutes a breach of law and order, or when it is likely to result in violence or when in violation of off limits sanctions or commander's order.

(3) Fund raising activities.

(4) Recruiting or training members (including encouraging other soldiers to join).

(5) Creating, organizing or taking a visible leadership role in such an organization or activity.

(6) Distributing literature on or off a military installation, the primary purpose and content of which concerns advocacy or support of extremist causes, organizations, or activities; and it appears that the literature presents a clear danger to the loyalty, discipline, or morale of military personnel, or the distribution would materially interfere with the accomplishment of a military mission.

c. Command authority. Commanders have the authority to prohibit military personnel from engaging in or participating in any other activities that the commander determines will adversely affect good order and discipline or morale within the command. This includes, but is not limited to, the authority to order the removal of symbols, flags, posters, or other displays from barracks, to place areas or activities off-limits (see AR 190-24), or to order soldiers not to participate in those activities that are contrary to good order and discipline or morale of the unit or pose a threat to health, safety, and security of military personnel or a military installation.

d. Command Options. Commander's options for dealing with a soldier's violation of the prohibitions include-

(1) UCMJ action. Possible violations include-

(a) Article 92-Violation or failure to obey a lawful general order or regulation.

(b) Article 116-Riot or breach of peace.

(c) Article 117-Provoking speeches or gestures.

(d) Article 134-General article, specifically, conduct which is prejudicial to good order and discipline or service discrediting.

(2) Involuntary separation for unsatisfactory performance or misconduct, or for conduct deemed prejudicial to good order and discipline or morale.

(3) Reclassification actions or bar to reenlistment actions, as appropriate.

(4) Other administrative or disciplinary action deemed appropriate by the commander, based on the specific facts and circumstances of the particular case.

e. Command Responsibility. Any soldier involvement with or in an extremist organization or activity, such as membership, receipt of literature, or presence at an event, could threaten the good order and discipline of a unit. In any case of apparent soldier involvement with or in extremist organizations or activities, whether or not violative of the prohibitions in subparagraph b, commanders must take positive actions to educate soldiers, putting them on notice of the potential adverse effects that participation in violation of Army policy may have upon good order and discipline in the unit and upon their military service. These positive actions include-

(1) Educating soldiers regarding the Army's equal opportunity policy. Commanders will advise soldiers that extremist organizations' goals are inconsistent with Army goals, beliefs, and values concerning equal opportunity.

(2) Advising soldiers that any participation in extremist organizations or activities:

(a) Will be taken into consideration when evaluating their overall duty performance, to include appropriate remarks on evaluation reports.

(b) Will be taken into consideration when selections for positions of leadership and responsibility are made.

(c) Will result in removal of security clearances, where appropriate.

(d) Will result in reclassification actions or bar to reenlistment actions as appropriate.

(3) The commander of a military installation or other military controlled facility under the jurisdiction of the United States shall prohibit any demonstration or activity on the installation or facility that could result in interference with or prevention of orderly accomplishment of the mission of the installation or facility, or present a clear danger to loyalty, discipline, or morale of the troops. Further, such commanders shall deny requests for the use of military controlled facilities by individuals or groups that engage in discriminatory practices or for activities involving such practices.

f. Commanders should seek the advice and counsel of their legal advisor when taking actions pursuant to this policy.

4–13. Army language policy

English is the operational language of the Army. Soldiers must maintain sufficient proficiency in English to perform their military duties. Their operational communications must be understood by everyone who has an official need to know their content, and, therefore, must normally be English. However, commanders may not require soldiers to use English unless such use is clearly necessary and proper for the performance of military functions. Accordingly, commanders may not require the use of English for personal communications which are unrelated to military functions.

4–14. Relationships between soldiers of different rank

a. The term " officer," as used in this paragraph, includes both commissioned and warrant officers unless otherwise stated. The provisions of this paragraph apply to both relationships between Army personnel and between Army personnel and personnel of other military services. This policy is effective immediately, except where noted below, and applies to different-gender relationships and same-gender relationships.

b. Relationships between soldiers of different rank are prohibited if they:

(1) Compromise, or appear to compromise, the integrity of supervisory authority or the chain of command.

(2) Cause actual or perceived partiality or unfairness.

(3) Involve, or appear to involve, the improper use of rank or position for personal gain.

(4) Are, or are perceived to be, exploitative or coercive in nature.

(5) Create an actual or clearly predictable adverse impact on discipline, authority, morale, or the ability of the command to accomplish its mission.

c. Certain types of personal relationships between officers and enlisted personnel are prohibited. Prohibited relationships include-

(1) On-going business relationships between officers and enlisted personnel. This prohibition does not apply to landlord/tenant relationships or to one-time transactions such as the sale of an automobile or house, but does apply to borrowing or lending money, commercial solicitation, and any other type of on-going financial or business relationship. Business relationships which exist at the time this policy becomes effective, and that were authorized under previously existing rules and regulations, are exempt until March 1, 2000. In the case of Army National Guard or United States Army Reserve personnel, this prohibition does not apply to relationships that exist due to their civilian occupation or employment.

(2) Dating, shared living accommodations other than those directed by operational requirements, and intimate or sexual relationships between officers and enlisted personnel. This prohibition does not apply to-

(a) Marriages.

(b) Relationships (dating, shared living accommodations, and intimate or sexual relationships) outside of marriage that predate the effective date of this policy until 1 March 2000.

(c) Situations in which a relationship which complies with this policy would move into non-compliance due to a change in status of one of the members (for instance, a case where two enlisted members are married and one is subsequently commissioned or selected as a warrant officer).

(d) Personal relationships outside of marriage between members of the National Guard or Army Reserve, when the relationship primarily exists due to civilian acquaintanceships, unless the individuals are on active duty (other than annual training) or Full-time National Guard duty (other than annual training).

(e) Personal relationships outside of marriage between members of the Regular Army and members of the National Guard or Army Reserve when the relationships primarily exists due to civilian association and the Reserve component member is not on active duty (other than annual training) or Full-time National Guard duty (other than annual training).

(f) Soldiers and leaders share responsibility, however, for ensuring that these relationships do not interfere with good order and discipline. Commanders will ensure that personal relationships which exist between soldiers of different ranks emanating from their civilian careers will not influence training, readiness, or personnel actions.

(3) Gambling between officers and enlisted personnel.

d. These prohibitions are not intended to preclude normal team building associations which occur in the context of activities such as community organizations, religious activities, family gatherings, unit-based social functions, or athletic teams or events.

e. All military personnel share the responsibility for maintaining professional relationships. However, in any relationship between soldiers of different grade or rank the senior member is generally in the best position to terminate or limit the extent of the relationship. Nevertheless, all members may be held accountable for relationships that violate this policy.

f. Commanders should seek to prevent inappropriate or unprofessional relationships through proper training and leadership by example. Should inappropriate relationships occur, commanders have available a wide range of responses. These responses may include counseling, reprimand, order to cease, reassignment, or adverse action. Potential adverse action may include official reprimand, adverse evaluation report(s), nonjudicial punishment, separation, bar to reenlistment, promotion denial, demotion; and courts martial. Commanders must carefully consider all of the facts and circumstances in reaching a disposition that is warranted, appropriate, and fair.

4–15. Other prohibited relationships

a. Trainee and soldier relationships. Any relationship between permanent party personnel and IET trainees not required by the training mission is prohibited. This prohibition applies to permanent party personnel without regard to the installation of assignment of the permanent party member or the trainee.

b. Recruiter and recruit relationships. Any relationship between permanent party personnel assigned or attached to the United States Army Recruiting Command and potential prospects, applicants, members of the Delayed Entry Program (DEP), or Members of the Delayed Training Program (DTP) not required by the recruiting mission is prohibited. This prohibition applies to United States Army Recruiting Command Personnel without regard to the unit of assignment of the permanent party member and the potential prospects, applicants, DEP members, or DTP members.

4–16. Fraternization

Violations of paragraphs 4-14b, 4-14c, and 4-15 may be punished under Article 92, UCMJ, as a violation of a lawful general regulation.

4–17. Standards of conduct

Department of the Army personnel must place loyalty to country, ethical principles, and law above private gain and other personal interests. The performance of their duties should be in keeping with the highest tradition of military and civilian service to the U.S. Government.

a. Guidance. Minimum standards of conduct required of all Soldiers and Army civilians are prescribed by the Joint Ethics Regulation, DODD 5500.7-R. That regulation provides Army personnel with guidance on a multitude of ethical issues including the avoidance of conflicts of interests between their commercial/financial interest and their official duties.

b. Annual training. Commanders at all levels will ensure that all Army personnel required to file either a public or confidential financial disclosure report, contracting officers, procurement officials, and others identified by an Army ethics counselor, receive annual ethics training as prescribed by DODD 5500.7-R.

4–18. Employment and volunteer work of spouse

a. The Army affirms the rights of a spouse of a soldier to pursue and hold a job, attend school, or perform volunteer services on or off a military installation. No DA official will, directly or indirectly, impede or otherwise interfere with these rights. Moreover, no DA official will use the preferences and requirements of the Army or any other DOD component to influence the employment, educational, or volunteer service decisions of a spouse. Neither will such decision of a spouse, nor the marital status of the soldier affect, favorably or adversely, the performance evaluations, assignments, or promotion opportunities of the soldier.

(1) In discharging their responsibilities, members of military promotion, continuation, and similar personnel selection boards are prohibited from considering the marital status of a soldier, or the employment, educational, or volunteer service activities of a soldier's spouse. AR 135-155, AR 135-205, AR 140-158, and AR 600-8-29 provide specific policies governing board conduct.

(2) Personnel decisions, including those related to the assignments of soldiers, will not be affected favorably or adversely, by the employment, educational or volunteer services activities of a soldier's spouse, or solely by reason of a soldiers marital status. AR 140-10, AR 614-30, AR 614-100, AR 614-200, and AR 690-700 provide specific policies. Exceptions may be-

(a) Necessary to alleviate the personal hardship of a soldier or spouse upon the request of the soldier concerned, such as when a family member requires specialized medical treatment or educational provisions or similar personal preference accommodations.

(b) Needed to facilitate the assignment of dual-military couples to the same geographic area.

(c) Required by law such as instances in which a prohibited conflict of interest may exist between the official duties of a soldier and the employment of the soldier's spouse. DODD 5500.7-R, The Joint Ethics Regulation, provides specific policies.

(d) Made by the Assistant Secretary of Defense (Personnel and Readiness), with the concurrence of the General Counsel, on a case-by-case basis, for reasons of national security, that marital status is an essential assignment qualification for particular military billets or positions.

(3) Performance appraisals on soldiers, including officer and enlisted evaluations reports, will not contain any information regarding the employment, educational or volunteer service activities of the soldier's spouse, or reflect

favorably or adversely on the member based solely on the soldier's marital status. AR 623-1, AR 623-105, and 623-205 provide specific policies.

b. Violations of this policy provide a basis for disciplinary action under the UCMJ in addition to appropriate administrative sanctions.

4–19. Homosexual conduct policy

The DCS, G-1 is responsible for the U.S. Army Homosexual Conduct Policy.

a. General.

(1) This policy implements section 654 of Title 10, United States Code. Department of Defense has stated that the suitability of persons to serve in the Army is based on their conduct and their ability to meet required standards of duty performance and discipline.

(2) Definitions are as follows:

(a) Bisexual. A person who engages in, attempts to engage in, has a propensity to engage in, or intends to engage in both homosexual and heterosexual acts.

(b) Homosexual. A person, regardless of sex, who engages in, attempts to engage in, has a propensity to engage in, or intends to engage in homosexual acts as further described in (3) below.

(c) Sexual orientation. An abstract sexual preference for persons of a particular sex, as distinct from a propensity or intent to engage in sexual acts.

(3) *Homosexual conduct.* " Homosexual conduct" is a homosexual act, a statement by a soldier that demonstrates a propensity or intent to engage in homosexual acts, the solicitation of another to engage in homosexual act or acts, or a homosexual marriage or attempted marriage.

(a) A " homosexual act" means any bodily contact, actively undertaken or passively permitted, between members of the same sex for the purpose of satisfying sexual desires and any bodily contact (for example, hand-holding, slow dancing, or kissing) that a reasonable person would understand to demonstrate a propensity or intent to engage in such bodily contact.

(b) A " statement by a person that he or she is a homosexual or bisexual or words to that effect" means language or behavior that a reasonable person would believe intends to convey the statement that a person engages in, attempts to engage in, has a propensity to engage in, or intends to engage in homosexual acts. This may include statements such as " I am a homosexual,"" I am gay,"" I am a lesbian,"" I have a homosexual orientation," and the like.

(c) A " homosexual marriage or attempted marriage" is when a person has married or attempted to marry a person known to be of the same biological sex (as evidenced by the external anatomy of the person involved).

b. Accession policy. A person's sexual orientation is considered a personal and private matter and is not a bar to entry or continued service unless manifested by homosexual conduct in a manner described in a(3). Applicants for enlistment, appointment, or induction into the Army will not be asked or required to reveal whether they are heterosexual, homosexual or bisexual. Applicants also will not be required to reveal whether they have engaged in homosexual conduct unless independent evidence is received indicating that the applicant engaged in such conduct or unless the applicant volunteers a statement that he or she is a homosexual or bisexual or words to that effect.

Homosexual conduct is grounds for barring entry into the army, except as provided in AR 601-210. Applicants will be informed of the laws and regulations governing sexual conduct in the armed services, including homosexual conduct as defined in a(3). AR 601-210, and NGBR 600-200 governs the Army accession policy.

c. Separation policy. Homosexual conduct is grounds for separation from the army under the terms set forth in paragraph a (3). AR 635-100, AR 635-200, AR 135-175, and 135-178, govern Army separation policies.

d. Guidelines for command-directed fact-finding inquiries into homosexual conduct.

(1) *Responsibilities.*

(a) Only a soldier's commander is authorized to initiate fact-finding inquiries involving homosexual conduct. A commander may initiate a fact-finding inquiry only when he or she has received credible information that there is a basis for discharge. Commanders are accountable for ensuring that inquiries are conducted properly and that no abuse of authority occurs.

(b) A fact-finding inquiry may be conducted by the commander personally or by a person he or she appoints. It may consist of an examination of the information reported or a more extensive investigation as necessary.

(c) The inquiry should gather all credible information that directly relates to the grounds for possible separation. Inquiries shall be limited to the actual circumstances directly relevant to the specific allegations.

(d) If a commander has credible evidence of possible criminal conduct, he or she shall follow the procedures outlined in the AR 27-10 and AR 195-2.

(e) These guidelines do not apply to activities of CID and other DOD law enforcement organizations that are governed by AR 195-2.

(2) *Basis for conducting inquiries.*

(a) A commander will initiate an inquiry only if he or she has credible information that there is a basis for discharge. Credible information exists when the information, considering its source and the surrounding circumstances,

supports a reasonable belief that a soldier has engaged in homosexual conduct. It requires a determination based on articulable facts, not just a belief or suspicion.

(b) A basis for discharge exists if-

1. The soldier has engaged in a homosexual act.

2. The soldier has said that he or she is a homosexual or bisexual, or made some other statement that indicates a propensity or intent to engage in homosexual acts, or

3. The soldier has married or attempted to marry a person of the same sex.

(3) Credible information does not exist, for example, when-

(a) The individual is suspected of engaging in homosexual conduct, but there is no credible information, as described that supports the suspicion.

(b) The only information is the opinion of others that a soldier is a homosexual.

(c) The inquiry would be based on rumor, suspicion, or capricious claims concerning a soldier's sexual orientation.

(d) The only information known is an associational activity such as going to a gay bar, possessing or reading homosexual publications, associating with known homosexuals, or marching in a gay rights rally in civilian clothes. Such activity, in and of itself, does not provide the evidence of homosexual conduct.

(4) Credible information exists, for example, when-

(a) A reliable person states that he or she observed or heard a soldier engaging in homosexual acts, or saying that he or she is a homosexual or bisexual or is married to a member of the same sex.

(b) A reliable person states that he or she heard, observed or discovered a soldier make a spoken or written statement that a reasonable person would believe was intended to convey the fact that he or she engages in, attempts to engage in, or has the propensity or intent to engage in homosexual acts.

(c) A reliable person states that he or she observed behavior that amounts to a nonverbal statement by a soldier that he or she is a homosexual or bisexual-i.e., behavior that a reasonable person would believe intended to convey the statement that the soldier engages in, attempts to engage in, or has the propensity or intent to engage in homosexual acts.

(5) *Procedures.*

(a) Informal fact-finding inquiries and administrative separation procedures are the preferred method of addressing homosexual conduct. This does not prevent disciplinary action or trial by courts-martial when appropriate.

(b) Commanders shall exercise sound discretion regarding when credible information exists. They shall examine the information and decide whether an inquiry is warranted or whether no action should be taken.

(c) Commanders or appointed inquiry officers shall not ask, and soldiers shall not be required to reveal whether a soldier is a heterosexual, homosexual, or bisexual. However, upon receipt of credible information of homosexual conduct, (as described in a(3)) commanders or appointed inquiry officials may ask soldiers if they engaged in such conduct. The soldier should first be advised of the DOD policy on homosexual conduct (and rights under Article 31(b), UCMJ, if applicable). Should the soldier choose not to discuss the matter further, the commander should consider other available information. Nothing in this provision precludes questioning a soldier about any information provided by the soldier in the course of the fact-finding inquiry or any related proceedings. Nor does it provide the soldier with any basis for challenging the validity of any proceeding or the use of any evidence, including a statement by the soldier in any proceeding.

(d) At any given point in the inquiry, the commander or appointed inquiry official must be able to clearly and specifically explain which grounds for separation he or she is attempting to verify and how the information being collected relates to those specific separation grounds.

(e) A statement by a soldier that he or she is a homosexual or bisexual creates a rebuttable presumption that the soldier engages in, attempts to engage in, has a propensity to engage in, or intends to engage in homosexual acts. The soldier shall be given the opportunity to present evidence demonstrating that he or she does not engage in, attempt to engage in, or has a propensity or intent to engage in homosexual acts.

(f) The soldier bears the burden of proving, by a preponderance of evidence, that he or she is not a person who engages in, attempts to engage in, has a propensity to engage in, or intends to engage in, homosexual acts.

(6) *Legal effect.* The procedures set forth in this paragraph create no substantive or procedural rights.

e. Investigation policy. Investigations or inquiries will not be initiated solely to determine whether a member is a heterosexual, homosexual, or bisexual. There must be credible information that a basis for disciplinary action or discharge exists. The information that constitutes the basis of the investigation must be deemed credible by the criminal investigation organization commander as well as the soldier's commander in most cases. AR 195-2, Criminal Investigating Activities, provides guidance on the investigation of sexual misconduct.

f. Security. Individuals will not be asked or required to reveal on personnel security questionnaires whether they are heterosexual, homosexual, or bisexual. An individual's sexual conduct, whether homosexual or heterosexual, is a legitimate security concern only if it could make an individual vulnerable to exploitation or coercion, or indicate a lack of trustworthiness, reliability or good judgment that is required of anyone with access to classified information. AR 380-67 provides additional guidance.

g. Training.

(1) All officers and enlisted personnel of the Active Army and Reserve Components will receive briefings upon entry and periodically thereafter with a detailed explanation of regulations governing sexual conduct by members of the Armed Forces. Briefings will include policies on homosexual conduct and applicable laws in accordance with section 654 of Title 10, United States Code and Article 137, Uniform Code of Military Justice (UCMJ).

(2) The Army uses the DoD Homosexual Conduct Policy Training Plan as a guide in training commanders and personnel involved in recruiting, accession processing, criminal investigations, and administrative separations. The training plan includes detailed hypotheticals that illustrate how military personnel should approach specific, concrete scenarios under the new DoD policy on homosexual conduct.

4–20. Hazing

The Army has been and continues to be a values based organization where everyone is encouraged to do what is right by treating others as they should be treated - with dignity and respect. Hazing is fundamentally in opposition to our values and is prohibited.

a. Definition. Hazing is defined as any conduct whereby one military member or employee, regardless of Service or rank, unnecessarily causes another military member or employee, regardless of Service or rank, to suffer or be exposed to an activity which is cruel, abusive, oppressive, or harmful.

(1) Hazing includes, but is not limited to any form of initiation " rite of passage" or congratulatory act that involves:

physically striking another in order to inflict pain; piercing another's skin in any manner; forcing or requiring the consumption of excessive amounts of food, alcohol, drugs, or other substances; or encouraging another to engage in illegal, harmful, demeaning or dangerous acts. Soliciting or coercing another to participate in any such activity is also considered hazing. Hazing need not involve physical contact among or between military members or employees; it can be verbal or psychological in nature.

(2) When authorized by the chain of command and not unnecessarily cruel, abusive, oppressive, or harmful, the following activities do not constitute hazing:

(a) the physical and mental hardships associated with operations or operational training;

(b) administrative corrective measures, including verbal reprimands and a reasonable number of repetitions of authorized physical exercises;

(c) extra military instruction or training;

(d) physical training or remedial physical training;

(e) other similar activities.

(3) Whether or not such actions constitute hazing, they may be inappropriate or violate relevant civilian personnel guidance depending on the type of activities and the assigned duties of the employee involved.

b. Scope. Hazing is not limited to superior-subordinate relationships. It may occur between peers or even, under certain circumstances, may involve actions directed towards senior military personnel by those junior in rank or grade to them (for example, a training instructor hazing a student who is superior in rank). Hazing has at times occurred during graduation ceremonies or similar military " rites of passage." However, it may also happen in day-to-day military settings. It is prohibited in all cases, to include off-duty or " unofficial" celebrations or unit functions. Express or implied consent to hazing is not a defense to violation of this regulation.

c. Command responsibilities. Enforcement of this policy is a responsibility of commanders at all levels. Commanders will devote particular attention to graduation or advancement ceremonies as well as other occasions or settings which might put soldiers " at risk" for voluntary or involuntary hazing. These situations will be supervised properly, respectful of all participants, perpetuate the best of the traditions which the Army embraces, and leave all participants and spectators feeling proud to be a member of or associated with the U.S. Army.

d. Command options. This paragraph is punitive with regards to soldiers. Violators of this policy may be subject to Article 92 of the UCMJ (Failure to obey a lawful general order or regulation). Other applicable UCMJ articles include Article 80 (Attempts), Article 81 (Conspiracy), Article 93 (Cruelty and maltreatment), Article 124 (Maiming), Article 128 (Assault), Article 133 (Conduct unbecoming an officer and a gentleman), and Article 134 (Drunk and disorderly conduct, and/or Soliciting another to commit an offense). Civilian employees who violate this policy may also be subject to adverse action or discipline in accordance with applicable laws and regulations. Commanders should seek the advice and counsel of their legal advisor when taking actions pursuant to this paragraph.

4–21. Informal funds

Commanders may authorize informal funds. Examples of informal funds are office coffee, cup and flower, and annual picnic funds. These funds are subject to the following guidelines.

a. Use is limited to expenses consistent with the purpose and function of the fund.

b. Only one individual is to be responsible for fund custody, accounting, and documentation. Annually, this individual's supervisor is advised of the fund's financial status.

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d. The chain of command shall ensure complainants are protected from reprisal or retaliation for filing equal opportunity complaints. Should soldiers be threatened with such an act, or should an act of reprisal occur, they must report these circumstances to the DoD Inspector General. If the allegation of reprisal is made known to any agency authorized in this regulation to receive complaints, the agency should refer the complaint to the DoD Inspector General. It is strongly encouraged to simultaneously report such threats or acts of reprisal to the appropriate chain of command. The DoD IG Hotline number is 1(800) 424-9098 or DSN 664-8799, and may be used to report threats or acts of reprisal. Personnel calling from outside the continental United States may dial (703) 604-8569; or, mail a letter to Department Of Defense Inspector General, ATTN: Defense Hotline, 1900 Defense Pentagon, Washington, DC 20301-1900.

Chapter 6
Equal Opportunity Program In The Army

6–1. Purpose
The Equal Opportunity (EO) program formulates, directs, and sustains a comprehensive effort to maximize human potential and to ensure fair treatment for all persons based solely on merit, fitness, and capability in support of readiness. EO philosophy is based on fairness, justice, and equity. Commanders are responsible for sustaining a positive EO climate within their units. Specifically, the goals of the EO program are to-

a. Provide EO for military personnel, and family members, both on and off post and within the limits of the laws of localities, states, and host nations.

b. Create and sustain effective units by eliminating discriminatory behaviors or practices that undermine teamwork, mutual respect, loyalty, and shared sacrifice of the men and women of America's Army.

c. Additionally, in many circumstances, DA civilians may use the Equal Employment Opportunity complaint system. AR 690-600 provides further guidance.

6–2. Responsibilities
a. The Deputy Chief of Staff, G-1. The DCS, G-1 will-

(1) Be responsible for Army-wide policies, doctrine, plans, and initiatives pertaining to the Army EO Program.

(2) Be responsible for overall evaluation and assessment of the Army's EO Program.

(3) Write, coordinate, maintain, and implement the Headquarters, Department of the Army (HQDA) Affirmative Action Plan (AAP).

(4) Establish selection criteria, in coordination with the CG, U.S. Total Army Personnel Command (PERSCOM), for Army personnel to attend the Defense Equal Opportunity Management Institute (DEOMI).

(5) Coordinate, in conjunction with the CG, PERSCOM, EO training seat allocations at DEOMI.

(6) Coordinate the distribution of training seats at DEOMI between the Active Army and the U.S. Army Reserve (USAR).

(7) Include Equal Opportunity Advisor (EOA) staffing requirements in authorization documents.

(8) Establish and maintain a sexual harassment and sexual abuse assistance line to assist victims of harassment or abuse with information which will allow them to report the harassment or abuse to their local authorities and/or seek emotional counseling from local resources. Army Assistance Line number is 1-800-267-9964.

b. Chief, National Guard Bureau (CNGB), and Chief, U.S. Army Reserve (CAR). The CNGB and CAR will-

(1) Develop, monitor, and evaluate the implementation of EO policies and programs in their components.

(2) Establish requisite staff positions in their offices and make resources available to adequately carry out EO Program requirements.

(3) Select Army National Guard and Reserve personnel to attend the DEOMI.

(4) Develop information management and reporting requirements to determine the progress made toward affirmative action goals.

(5) Establish EO training for units and professional military education courses consistent with HQDA policy and command needs.

c. Commanding General, U.S. Army Forces Command (CG, FORSCOM). The CG, FORSCOM, will-

(1) Supervise and evaluate the unit EO training program conducted by the numbered armies in continental United States (CONUS).

(2) Coordinate, on a continuing basis with the Office of the Chief, Army Reserve (OCAR), to conduct EO seminars for USAR general officers assigned to Army Reserve Commands/General Officer Commands (RSCs/GOCOMs) and for key military and civilian staff assigned to those commands.

(3) Assess and evaluate USAR EO programs.

d. Commanding General, U.S. Army Training and Doctrine Command (CG, TRADOC). The CG, TRADOC, will-

(1) Develop EO training doctrine and training materials. Coordinate development with HQDA.

(2) Develop EO instruction and associated training materials for use in the accession/initial-entry-training base, in professional military education courses throughout the Army and in units. Training will be interactive, small group oriented and testable.

(3) Conduct required EO education and training in TRADOC Service schools and training centers.

(4) Evaluate the effectiveness of training conducted in TRADOC Service schools and training centers.

(5) Provide assistance and instructional materials to schools not under the jurisdiction of TRADOC. These schools include, but are not limited to The Judge Advocate General's School, Army Medical Department Center and School, Inspector General Course, and U.S. Army War College.

(6) Develop the program of instruction and evaluate the conduct of the Army Service Specific Training (ASST) for Army personnel attending the resident and reserve training courses at DEOMI.

(7) Develop EO correspondence courses available to all Army personnel.

(8) Establish the Soldier Support Institute (SSI) as the proponent for EO training.

e. Commanders of Major Army Commands (MACOM). These commanders will-

(1) Monitor the execution of the EO Program in all commands, installations, agencies, and activities (to include Army Reserve and Army National Guard units when activated) under their jurisdiction.

(2) Schedule EO training for units consistent with HQDA policy and command needs.

(3) Provide support, as appropriate, for EO matters in all host and tenant support agreements.

(4) Ensure EOAs deploy with assigned units.

(5) Ensure military and civilian EO/EEO programs complement each other.

(6) Provide personnel, funding, and other resources to carry out the EO Program. Funding may be used for the continuous education of command EOAs, local training for equal opportunity representatives (EORs), staff assistance visits (SAVs) by headquarters personnel, and ethnic observances/special commemorations for the entire installation's personnel.

(7) Ensure installations maintain EO assistance lines to provide advice and information on unlawful discrimination and sexual harassment. These assistance lines shall provide procedural information on the filing of EO complaints and clarify what constitutes acts of sexual harassment. Complaints shall not be received over the telephone. Personnel with complaints must file them in person. The assistance line shall also provide information on the complaint appeals process to include access to higher levels of authority if resolution cannot be accomplished at the installation level. The assistance line may also be used to provide information to leaders on the procedures to follow in handling sexual harassment complaints. Personnel serving as assistance line operators must be well trained in Army policies and procedures for processing EO complaints.

(8) Submit Quarterly Narrative and Statistical Report (QNSR) IAW procedures outlined in para 6-16.

f. Commanding General, U.S. Total Army Personnel Command (CG, PERSCOM). The CG, PERSCOM, will-

(1) Maintain statistical data concerning racial/ethnic designation category (REDCAT) and gender for the management of personnel systems and affirmative action initiatives.

(2) Determine the need for training seats at DEOMI for the Annual Structure Manning and Decision Review (SMDR) for the Program Objective Memorandum (POM) years.

(3) Program personnel, in coordination with HQDA, ODCS, G-1, ATTN: DAPE-HR-L, to attend DEOMI.

(4) Control DEOMI military student training allocations for the Army.

(5) Assign active duty military personnel to meet Army EOA requirements.

(6) Demographically align EOAs with population of the U.S. Army as a whole.

g. Commanders at all levels. Commanders at all levels are the EO officers for their commands. All commanders will-

(1) Be personally responsible and accountable for the EO climate within their units.

(2) Develop and implement EO programs for their organizations that enhance unit cohesion, esprit, and morale.

(3) Upon receipt of a DA Form 7279-R (Equal Opportunity Complaint Form), the Commander will, within 72 hours, provide a description of the allegations through command channels to their general court-martial convening authority. DA Form 7279 will be locally reproduced on 8 1/2 by 11-inch paper. A copy for reproduction purposes is located at the back of this regulation. DA Form 7279-R will also be available on the USAPA web site and the Army Electronic Library (AEL) CD-ROM

(4) Identify unlawful discriminatory practices affecting military personnel and family members, initiate corrective actions, and provide follow-up and feedback throughout problem resolution.

(5) Promote EO and interpersonal harmony for all military personnel and family members.

(6) Assign EOAs to their personal or coordinating staff as prescribed in paragraph 6-4, below. The EOAs must attend staff meetings and be included in unit training exercises and deployments in order to accomplish their EO mission.

(7) The commander will be in the EOA rating scheme.

(8) Conduct EO training on a continuing basis for all assigned and attached personnel. Training must be consistent with this regulation, MACOM directives, and local guidance.

(9) Monitor and assess the execution of EO programs and policies at all levels within their areas of responsibility.

(10) Involve public affairs personnel at every level of command in planning and publicizing EO programs and initiatives.

(11) Publish and post separate, written command policy statements for EO, the prevention of sexual harassment, and equal opportunity complaint procedures. All statements will be consistent with Army policy. Statements must include an overview of the command's commitment to the EO program and reaffirm that unlawful discrimination and sexual harassment will not be practiced, condoned, or tolerated. The policy statements will explain how and where to file complaints. Additionally, the statements shall include complainant's protection from acts or threats of reprisal. These statements are required for each MACOM, installation, separate unit, agency, and activity down to company/troop/battery or equivalent level. For more information on sexual harassment policy statements, see para 7-2b.

(12) Company level commanders will conduct a unit climate assessment within 90 days (180 days for USAR units) of assuming command and annually thereafter. Administration of the Command Climate Survey must be a part of the assessment for battery/company commanders. Information on conducting this assessment may be found in appendix F. Commanders should supplement any survey efforts with individual and group interviews, the analysis of unit records and statistical information (awards, promotions, reenlistment, incidents of misconduct resulting in punishment under the Uniform Code of Military Justice (UCMJ)), and with complaint reports. This assessment will provide a baseline for the commanders to develop action plans and implement program initiatives.

(13) Encourage soldiers to use their chain of command to address issues.

(14) Take appropriate action to prevent incidents of intimidation, harassment, or reprisal against individuals who file an EO complaint.

(15) Take appropriate action against those who violate Army policy.

(16) Monitor the demographics of the Equal Opportunity Representatives (EORs) in their command to ensure it reflects that of the unit as a whole.

(17) Report all EO training at the quarterly training brief.

h. EOA Responsibilities. The actual duties of EOAs, relative emphasis, and time allotted to each duty vary according to type of unit or level of command, unit composition, and location. EOAs are agents for cultural change and act as the eyes and ears for the commander. EOAs will not be assigned further duties that may create a conflict of interest. Equal Opportunity Advisors will -

(1) Understand and articulate Department of Defense (DOD) and Army policies concerning equal opportunity.

(2) Assist the commander in implementing a Consideration of Others Program.

(3) Recognize and assess indicators of institutional and individual discrimination in organizations.

(4) Recognize sexual harassment in both overt and subtle forms.

(5) Recommend appropriate remedies to eliminate and prevent unlawful discrimination and sexual harassment.

(6) Continuously assess the command climate through formal surveys, interviews and accessibility to the unit.

(7) Collect, organize, and interpret demographic data concerning all aspects of EO climate assessment.

(8) Assist commanders in assessing, planning, implementing and evaluating the EO program.

(9) Prepare input for the Quarterly Narrative Statistical Review (QNSR), which supports the Army's Military Equal Opportunity Assessment (MEOA).

(10) Train unit EORs and institutional training course\ service school instructors to assist commanders/commandants in meeting their EO responsibilities.

(11) Organize or assist with training sessions that pertain to equal opportunity, unlawful discrimination, prevention of sexual harassment, and the Consideration of Others Program.

(12) Assist in evaluating the effectiveness of unit training conducted by commanders.

(13) Plan and help conduct executive seminars for senior leadership, on EO action plans and affirmative actions, equal opportunity, unlawful discrimination, the Consideration of Others Program and the prevention of sexual harassment.

(14) Receive and assist in processing individual complaints of unlawful discrimination and sexual harassment and conduct EO inquiries according to the commander's guidance.

(15) Provide advisory assistance to commanders and investigating officers in the investigation and resolution of unlawful discrimination and sexual harassment complaints.

(16) Review and comment on investigative reports of equal opportunity complaints for compliance with DoD and DA EO policy and objectives.

(17) Conduct follow-up assessments of all formal EO complaints.

(18) Assist in the planning and conduct of ethnic observances/special commemorations, as outlined in table 6-1.

(19) Assist commanders in developing the EO policy for their unit.

(20) Maintain, where appropriate, informal liaison with community organizations fostering civil rights. If the EOA

decides to become a member of such organizations in his/her private capacity, he/she must coordinate with the servicing judge advocate to preclude possible conflicts of interest.

(21) Conduct staff assistance visits to subordinate units and other headquarters (equivalent or lower).

(22) Conduct or attend Equal Opportunity coordination training at least once quarterly at the installation level.

(23) Assist commanders in the development of realistic affirmative action plans and monitor progress of plans.

Table 6–1
Special commemorations/ethnic observances timetable

Month: January
Dates: 3d Monday
Observance: Martin Luther King, Jr., Birthday
Authority/comment: Public Law 98-144, Nov. 83 (Federal holiday)
Month: February
Dates: 1-28/29
Observance: African-American/Black History Month
Authority/comment: First Presidential Proclamation, Feb. 76
Month: March
Dates: 1-31
Observance: Women's History Month
Authority/comment: Public Law 100-9, Mar 87
Month: April/May
Dates: Sunday to Sunday for Week Incorporating Yom Hashoah
Observance: " Days of Remembrance" for Victims of the Holocaust
Authority/comment: Public Law 96-388, Oct. 80
Month: May
Dates: 1-31
Observance: Asian Pacific Heritage Month
Authority/comment: First Presidential Proclamation, May 91
Month: August
Dates: 26
Observance: Women's Equality Day
Authority/comment: First Presidential Proclamation, Aug. 73
Month: September/October
Dates: 15 Sep. - 15 Oct.
Observance: National Hispanic Heritage Month
Authority/comment: Public Law 100-402, Aug. 88
Month: November
Dates: 1-30
Observance: National Native American Indian Heritage Month
Authority/comment: Public Law 102-188, Mar 92

i. Equal opportunity representatives/leaders (EORs/EOLs) Responsibilities. EORs will assist commanders at the battalion-level or equivalent and below in carrying out the EO Program within their units. EORs serve a special duty at small unit level. Commanders must appoint EORs in their units who are members of the chain of command in the rank of SSG through 1LT. Soldiers who are graduates of DEOMI and have been awarded enlisted Skill Qualifying Identifier (SQI) Q or officer Additional Skill Identifier (ASI) 5T are still available to perform as additional unit EORs after successful completion of their special duty tour as an EOA. Brigade or higher headquarters' EOAs are available to train unit EORs using the 80 hour Training Support Package (TSP) published by the EO Proponency Office, Soldier Support Institute. EOAs are authorized to supplement that training package to meet local needs and conditions. Instruction in other subject areas related to, or supportive of EO objectives, such as the Consideration of Others Program, may be provided by personnel from other agencies or program areas during this training. Typical roles and duties of EORs are as follows-

(1) Assist commanders in the recognition of detractors from a healthy unit EO climate.

(2) Continuously assist commanders in the conduct of unit climate assessments.

(3) Prepare and assist the commander in the conduct of EO training.

(4) Establish and maintain liaison with other EORs and with the EOA at higher headquarters.

(5) Assist commanders and assigned project officers in preparing and conducting ethnic observances and special commemorations.

(6) Assist complainants by referring them to an appropriate agency for assistance. Complaints referred to another

agency will be reported to the EOA. EORs may not conduct investigations and are not trained to fully advise AR 15-6 investigating officers in their conduct of EO complaint investigations. Any commissioned officer performing the additional duty of an EOR, may be asked (in the capacity of a commissioned officer and as a disinterested, third party) to conduct investigations. Yet, those situations should not concern EO complaints within their organization.

(7) Serve as a resource person for EO matters in the unit.

6–3. Equal Opportunity Policy

a. The U.S. Army will provide equal opportunity and fair treatment for military personnel, family members and DA civlians without regard to race, color, gender, religion, or national origin, and provide an environment free unlawful discrimination and offensive behavior. This policy-

(1) Applies both on and off post, during duty and non-duty hours.

(2) Applies to working, living, and recreational environments (including both on and off-post housing).

b. Soldiers will not be accessed, classified, trained, assigned, promoted, or otherwise managed on the basis of race, color, religion, gender, or national origin. The assignment and utilization of female soldiers is partially governed by federal law. AR 600-13, Army Policy for the Assignment of Female Soldiers, prescribes policies, procedures, responsibilities, and the position coding system for female soldiers.

c. Rating and reviewing officials shall evaluate each member's commitment to elimination of unlawful discrimination and/or sexual harassment and document significant deviations from that commitment in evaluation reports. Substantiated formal complaints require a " Does not support EO" on the NCOER or the OER. This documentation includes administering appropriate administrative, disciplinary, or legal action(s) to correct inappropriate behavior.

d. This chapter does not implement the provisions of either the Age Discrimination in Employment Act of 1967 (Sections 630 through 634, Title 29, United States Code) or Title VII of the Civil Rights Act of 1964 (Section 2000e, Title 42, United States Code). Physical disability and age controls are not addressed due to overriding concerns of medical fitness and deployability of military personnel.

6–4. Staffing

a. Minimum military staffing requirements.

(1) EOAs will be assigned to the personal or coordinating staff of commanders at installations, organizations, and agencies that are brigade-level (or equivalent) and higher. Assignments will not be as collateral or part-time duty. Primary duty position authorizations and requirements that comply with this guidance are to be documented in applicable personnel management authorization documents. Authorized positions will not be eliminated without prior approval by the Secretary of the Army.

(2) Active duty military staffing.

(a) Each brigade-level or equivalent unit will have, as a minimum, one full-time EOA with the rank of SFC or higher. Each division will have four EOAs: one officer (LTC) and three noncommissioned officers (NCOs) (one MSG and two SFC). Corps staff will have one officer (LTC) and three NCOs (one SGM, one MSG and a SFC). At most Major Army Commands (MACOM), there will be three EOAs: one officer (LTC) and two NCOs (one SGM and one MSG or SFC). FORSCOM, TRADOC and USAREUR will have an additional NCO in the grade of SFC. At HQDA there will be four officers (LTC and three MAJs) and four NCOs (one SGM and three SFCs) At the Soldier Support Institute (SSI) there will be three EOAs: one officer (LTC) and two NCOs (one SGM and one MSG).

(b) In addition to the above-stated unit staffing requirements, small installations (less than 10,000 soldiers) or base support battalions (BSBs) are authorized one enlisted EOA (SFC). Large installations (greater than 10,000) and area support groups (ASGs) are authorized two enlisted EOAs (MSG and SFC).

(c) Installation EOAs will provide geographic support for units without a dedicated EOA in their specific region. Installation commanders will establish Memoranda of Agreement with tenant units without EOA support to ensure that those tenant units receive EOA support from the installation. Installation EOAs will also support non-deploying soldiers whose unit EOA deployed with their unit.

(d) Civilian substitutions for the above minimum staffing requirements are not authorized. Any staffing authorized beyond these minimum requirements may be either military EOAs or civilians officially assigned to and trained for such duties. Assignment of EO duties to civilians must be in strict accordance with applicable position classification standards and guidelines.

(3) US Army Reserve (USAR) staffing. An EOA will be assigned to the staff of each brigade-level unit or brigade equivalent unit. One officer EOA (minimum rank LTC) and one enlisted EOA (minimum rank MSG) will be assigned to the staff of each RSC/GOCOM and division-level or equivalent unit. Civilian substitutions are not authorized.

(4) Army National Guard (ARNG) staffing requirements are established by the CNGB. Civilian substitutions are not authorized.

b. Location in the organizational structure. EOAs assigned on the unit's Table of Distribution and Allowances (TDA), should be attached to a specified unit (as described above) for duty, administration, and UCMJ, because they support that specific commander.

c. The EO Program and the Equal Employment Opportunity (EEO) Program relationship. The EO program for military personnel and the EEO program for civilian personnel share the same foundations in similar goals and objectives. However, their practice and execution are considerably different. Separate laws and/or regulatory guidance and policy guide each program. The EEO Program implements laws which address employment issues for civilian employees and applicants for employment. The roles and missions of the EOA and EEO officer are not interchangeable. EOAs will not supervise EEO personnel, nor will EEO personnel supervise EOAs. EO and EEO offices will not be consolidated under the direction of one or the other program principals. There are areas in which EO and EEO programs can and should be integrated when doing so promotes understanding, efficiency, economy and common interests of both programs. These areas include the planning and execution of special observances, Consideration of Others Program, development of affirmative action plans, some aspects of training, and coordination of administrative support.

6–5. EOA Selection And Assignment Policy

a. Selection Policy. The CG, PERSCOM, will select qualified officers and NCOs for duty as EOAs in accordance with the following selection requirements -

(1) *Outstanding duty performance.* Includes a review of the individual's evaluation reports.

(2) *Stability in personal affairs.* Soldier will not have a recent history of severe domestic or personal problems (excluding divorce), chronic indebtedness, excessive use of alcohol, or any use of illegal drugs. Individuals withdrawn for cause from any Human Reliability or Personal Reliability Program during the two years preceding the nomination will need a waiver from HQDA, ODCS, G-1, ATTN: DAPE-HR-L, 300 Army Pentagon, Washington, DC 20310-0300.

(3) Must not have been punished under the provisions of the UCMJ during the 5 years preceding the nomination or have a history of frequent punishments under Article 15, UCMJ.

(4) Must have a minimum of 2 years of service remaining upon completion of the DEOMI course.

(5) Must meet Army fitness and body composition standards.

(6) Must be competitive for promotion.

(7) Must have not previously declined or been disenrolled (academic or disciplinary) from NCOES or Officer Professional Development Course.

(8) Have a GT score of 110 (waiverable).

(9) Maintain a minimum PULHES profile of 111221 (waiverable).

(10) Must maintain qualification standards throughout tour. Units will notify PERSCOM through channels when an EOA fails to meet minimum qualification standards.

(11) In addition to the above requirements, officers must-

(a) Have a bachelor's degree.

(b) Be an active duty officer in the grade of LTC or above, except as noted in paragraph 6-4a(2)(a). USAR officers must be at least in the grade of LTC. ARNG officer grade requirements are established by CNGB.

(c) Officers assigned to the DEOMI as instructors can be in the grade of CPT or above.

(d) Field Grade officers must be graduates of, or have received Military Education Level (MEL) 4 credit for, Command and General Staff College.

(12) In addition to requirements (1) through (10) above, active duty and USAR enlisted soldiers (requirements for ARNG enlisted soldiers are established by the CNGB) must-

(a) Be a high school graduate (or equivalent) and possess the potential to complete college-level courses. Soldiers who are unable to score at a 12th grade level in all measured areas of the Test of Adult Basic Education (TABE) will not be assigned to EOA duty. The soldier's test results will become part of their out-processing paperwork that will be checked off by the unit commander prior to travel to DEOMI, and taken to DEOMI for inclusion in their student packet.

(b) Be a SFC or SSG(P), or above, with less than 18 years time in service upon completion of DEOMI (Waiverable for SGM and MSG).

(c) Have served in a leadership position.

(d) Not be assigned to back-to-back special duty assignments (e.g., drill sergeant to EOA or recruiter to EOA).

b. Volunteers. Any officer or NCO who meets the selection criteria in paragraph 6-5a may volunteer for duty as an EOA by submitting a written request to his/her Branch Manager. Enlisted requests will be submitted through the first LTC in the chain of command, who will endorse the request with a statement of suitability for EOA duties.

c. Tour lengths for EOAs.

(1) *Active Duty Enlisted.* Tours for enlisted personnel assigned to CONUS units will be 24 months (exclusive of training time) with the possibility for extension of one year. Tours for enlisted personnel assigned OCONUS will be the prescribed tour length of that assignment based on status (accompanied/ unaccompanied). Those soldiers assigned to a one-year OCONUS tour will be assigned the additional one-year in CONUS.

(2) *Active Duty Officer.* Tours for officers assigned to CONUS units will be 24 months (exclusive of training time). Tours for officers assigned OCONUS will be the prescribed tour length for short tours or 18 months (exclusive of training time) for long tours.

(3) *USAR or NGB.* USAR or NGB EOA tours will be a minimum of three years upon completion of DEOMI and a maximum of six years. Reserve Component EOAs will obtain school quotas through the Army Training Requirements and Resource System (ATRRS) for course attendance in either the 15-week resident course or the three-phase Reserve Component (RC) EOA course at the DEOMI within 60 days of assignment as an EOA. USAR soldiers must complete the Reserve Component course within 1 training year of completion of the initial resident phase. Requests to exceed the 1-year completion requirement must be forwarded through the chain of command to the Commandant, DEOMI, Patrick AFB, FL 32925-3399. Each request will be handled on a case-by-case basis and will require justification of the soldier's inability to complete the course within the allotted time. However, commanders must closely monitor training status to ensure course completion is expedited to the maximum extent possible. Army National Guard soldiers must complete the course within 18 months of assignment to duty position. Failure to complete the course will result in removal from the EOA position.

d. Early Release.

(1) The Director, Enlisted Personnel Management Directorate (EPMD), PERSCOM is authorized to approve/disapprove the early release of enlisted EOAs from the EO program when:

(a) The EOA has been selected for promotion to SGM and the current unit of assignment cannot place him or her; the EOA will be moving to a command NCO position (1SG); or the EOA is a CSM designee.

(b) The EOA's commander has notified PERSCOM in writing, through the MACOM, that the EOA is being reassigned as a 1SG or CSM.

(c) PERSCOM is able to select, train, and assign a replacement for the outgoing EOA expeditiously to eliminate a gap in coverage.

(d) necessary for cause.

(2) The CG, PERSCOM, is authorized to approve/disapprove the early release of officer EOAs from the EO program when:

(a) The EOA has been selected for promotion and the current unit of assignment cannot place him or her.

(b) The EOA has been selected for a Command Selection List (CSL).

e. Relieved from EO duty. The active Army EOA relieved from EO duty will receive a Relief for Cause Evaluation Report. This will occur immediately following the removal from duty.

f. Removal of the EOA SQI. The EO SQI or ASI may be withdrawn from the active Army EOA only if approved by HQDA for active Army soldiers, a state AG for ARNG, or the Chief, Army Reserve for USAR. A memorandum signed by the commander, with a copy of the Relief for Cause Evaluation Report will be forwarded through the MACOM and PERSCOM to HQDA, ODCS, G-1, ATTN: DAPE-HR 300 Army Pentagon, Washington DC 20310-0300.

g. Recurring EOA duty. EOAs will not serve consecutive EOA duties without prior approval from CG, PERSCOM, a state AG, or OCAR.

6–6. Attendance At The Defense Equal Opportunity Management Institute (DEOMI)

a. Attendance.

(1) Enlisted personnel selected for EOA duty by PERSCOM will be programmed to attend the 15-week EO Advisor course at DEOMI. The course is described in paragraph 6-6b below.

(2) Officers in the grade of LTC will attend the 6-week EO Program Manager Course (EOPMC). Officers may attend the 15-week course when space is available.

(3) Reserve Component Full Time Support (FTS) EO personnel filling an authorized, full-time EO Specialist position, who have previously completed one or more phases of the RC EOA Course (resident or non-resident) at DEOMI are eligible to attend and complete the 15-week course. Even if these soldiers are reassigned to another military occupational specialty-enlisted (MOS-ENLD) or specialty skill identifier (SSI), they can complete the course.

b. Resident Courses. The DEOMI curriculum consists of two resident courses: a 15-week EO advisor course and a 6-week EO Program Manager course. The 15-week course is designated to train personnel for assignment as full-time EOAs. The 6-week EO Program Manager Course (EOPMC) is intended for those personnel who have supervisory or managerial responsibilities or to train officers serving as EOAs at division level and above. A three-phase Reserve Component EO Advisor Course, consisting of two 2-week resident phases and one nonresident phase, is conducted for ARNG and USAR personnel.

c. Certification. Upon successful completion of the 15-week Equal Opportunity Advisor Course and the resident/non-resident RC Equal Opportunity Advisor Course, DEOMI recommends graduates for the awarding of SQI Q (enlisted) and ASI 5T (officers). Officers attending the 6-week EO Program Manager Course will receive course code PAQ in their official records. The CG, PERSCOM, will award the appropriate designator upon the soldiers' successful completion of DEOMI. Only graduates of the DEOMI courses listed above are designated as EOAs.

d. Scheduling of training. The CG, PERSCOM, programs qualified active duty officers and NCOs for training and duty as EOAs. The CNGB and CAR program Army National Guard and U.S. Army Reserve soldiers for EOA duty. CG PERSCOM controls DEOMI training seats for active duty and USAR personnel. CNGB controls training seats for

Army National Guard for the DEOMI Reserve Component and EO Program Orientation for Managers Courses. Commands will use the following procedures to acquire these allocations:
(1) Commanders desiring to send officers and NCOs on temporary duty (TDY) to DEOMI and then return to their units as EOAs will send their requests through their MACOMs. MACOMs will forward applications for officers to CG, PERSCOM, 200 Stovall Street, ATTN: TAPC-OPB-D, Alexandria, VA 22332-0400. For NCOs, forward applications to CG, PERSCOM, ATTN: TAPC-EPM-A, 2461 Eisenhower Ave., Alexandria, VA 22331-0454.
(2) Units must request training seats in writing and requests must arrive at PERSCOM no later than 45 days before the starting date of a requested class.
(3) Reserve Component personnel must have an ATRRS allocation to be considered for attendance. This is applicable to ARNG unit members, and USAR troop program unit (TPU) members, AGR and military technicians assigned to a major Army National Guard or Army Reserve Command (MUSARC) headquarters and performing day-to-day EO duties as listed in their job descriptions or performance standards.

6–7. Off-Post Activities, On-Post Activities, And Off-Limit Actions

a. Off-post activities. Title II of the Civil Rights Act of 1964 addresses the practice of discrimination and segregation in public establishments. These public establishments include privately owned establishments such as hotels, restaurants, gasoline stations, theaters, places of entertainment, and community housing (e.g., apartments). The installation commander will ensure that the facts surrounding allegations of discriminatory practices are fully developed. The commander will also ensure those individuals and organizations alleged to practice such unlawful discrimination are given a full and fair opportunity to challenge particular allegations. If all reasonable efforts and alternatives fail to eliminate off-post discriminatory practices in public accommodations, installation commanders are authorized to place those facilities off-limits after requesting such action through the servicing Armed Forces Disciplinary Control Board (AFDCB). Military personnel outside the United States are not protected under the Civil Rights Act of 1964 while offpost. However, the commander will take whatever actions are available and appropriate to eliminate discriminatory practices in public accommodations outside the United States that affect soldiers, civilians or family members of his/her command. Commanders must promote awareness of the pertinent laws of the host nation.

b. Off-limits sanctions. Off-limits sanctions may be appropriate for public accommodations and establishments falsely claiming to be private clubs (fraternal or otherwise) with discriminatory policies and practices. If discriminatory practices off-post are found to be directed at selected soldiers in a command and efforts at conciliation prove unsuccessful, imposition of off-limits sanctions according to AR 190-24 may be appropriate.

c. Off-limits sanctions and private establishments. An installation commander ordinarily may not apply off-limits sanctions to a bona fide private establishment, club, activity, or organization. However, such an entity may be placed off-limits if the following conditions exist-

(1) It is open to military personnel in general or to soldiers who meet specific objective criteria (such as sergeant and above) but segregates or discriminates against other soldiers solely on the basis of race, color, religion, gender, or national origin.

(2) It is not primarily political or religious in nature.

(3) The installation commander, in consultation with his/her key staff, determines that the available facts support the allegations of unlawful discrimination after affording the management of the establishment, club, activity, or organization a full and fair opportunity to challenge or refute allegations.

(4) Reasonable efforts by the commander to bring about voluntary termination of the discriminatory practices are unsuccessful.

(5) The commander determines that continued unlawful discrimination by the establishment, club, activity, or organization undermines the morale, discipline, or loyalty of soldiers in the command.

d. On-post activities. All on-post facilities and official activities are open, as appropriate, to all DoD personnel and family members without regard to race, color, religion, gender, or national origin. Installation commanders are responsible for ensuring that an organization taking advantage of or using on-post facilities (whether on a reimbursable basis or otherwise) does not engage in unlawful discriminatory practices. It is not enough to depend solely on the published bylaws or the constitution of the organization. The installation commander must assess the organization's actual membership practices and their effect upon the command. In cases where the installation commander determines that credible information of discriminatory practices by an on-post private organization has been presented, the organization has the burden of proving it did not engage in discriminatory practices. Failure to substantiate the absence of discriminatory practices will result in a denial of the use of on-post facilities. However, the provisions of this paragraph do not prohibit the installation commander from approving the operation of private organizations that restrict membership to one gender if one or more of the following apply-

(1) The private organization's purpose is philanthropic and, by tradition, its membership has been of one sex

(2) The private organization's purpose and functions is to benefit one sex, and its membership is composed of that sex (Examples are scouting organizations or women's and men's sporting associations.)

(3) The private organization has a specific purpose and function that restricts membership to one sex, but also has a

counterpart organization with the same purpose and function. (Examples are women's and mens's sport club, women's and men's civic associations, and boy and girl scouting organizations.)

6–8. Procedures For Processing Equal Opportunity Complaints

a. Individual rights. Soldiers, family members and DA civilians have the right to-

(1) Present a complaint to the command without fear of intimidation, reprisal, or harassment.

(2) Communicate with the commander concerning their complaints.

(3) Receive assistance when submitting a complaint.

(4) Receive training on the Army's Equal Opportunity complaint and appeals process.

b. Individual responsibility. Individuals are responsible for:

(1) Advising the command of the specifics of sexual harassment and unlawful discrimination complaints and providing the command an opportunity to take appropriate action to rectify/resolve the issue.

(2) Submitting only legitimate complaints and exercising caution against unfounded or reckless charges.

c. While not required, it is recommended that the individual attempt to resolve a complaint by first informing the alleged offender that the behavior must stop.

d. Filing and Processing Equal Opportunity Complaints. For filing and processing of EO or sexual harassment complaints, follow the procedures as outlined in appendix E.

6–9. Housing complaints

Complaints of housing discrimination involving unequal treatment because of race, color, religion, gender, or national origin will be forwarded to the local housing division for processing. AR 210-50 provides policy for housing issues.

6–10. Evaluation reports

a. Entries. The performance evaluation process provides commanders and supervisors an excellent opportunity to discuss their goals, objectives and expectations of the EO and EEO programs. In counseling session, commanders and supervisors should discuss these programs as expressions of the Army's Values and encourage support of these programs and how they intend to evaluate individual behaviors and actions. When evaluating officers or enlisted soldiers, or Department of the Army civilian employees, rating officials will evaluate those individuals' commitment to the goals and objectives of the EO or EEO program. This includes the individuals' actions or non-actions toward the prevention and elimination of unlawful discrimination and/or sexual harassment. Raters are required to document significant deviations from that commitment and identify instances of reprisal/retaliation taken by the rated individual in that evaluation report. (See AR 623-105, para 4-13; AR 623-205, paras 6-5 and 6-6)

b. Appeals. Appeals of officer evaluation reports due to alleged unlawful discrimination, sexual harassment, or reprisal will be conducted according to the procedures specified in AR 623-105. Appeals of noncommissioned officer evaluation reports, based on allegations of unlawful discrimination, sexual harassment, or reprisal, will be submitted according to the procedures outlined in AR 623-205.

6–11. Civilian schooling

Army personnel pursuing an educational program at an institution that unlawfully discriminates in the admission or subsequent treatment of students will not be financially assisted from appropriated fund resources. Exceptions to this policy will be considered when the applicant has previously attended the institution in question and will suffer personal hardship through loss of earned credits if a transfer is required. When soldiers seek continuation of civilian schooling with schools barred from receiving DoD or DA funds because they discriminate in their admission practices or subsequent treatment of students, they will request an exception to policy through command channels.

6–12. Legal assistance

Within the framework of the legal assistance program, legal assistance may be provided to soldiers who believe they have been denied federally protected rights. If the civil rights of soldiers seem endangered and an appearance in court or other legal action beyond the authority of the legal assistance officer is required, the matter will be reported to The Judge Advocate General (HQDA (DAJA-CL), Washington DC 20310-2200) for possible referral to the Department of Justice. (See AR 27-40)

6–13. Affirmative Action plans

Affirmative Action Plans (AAPs) are planned, achievable steps that eliminate practices denying equal opportunity to soldiers and their families, and that monitor progress toward these goals.

a. Each MACOM, installation, separate unit, agency, and activity down to and including brigade-level or equivalent will develop and implement AAPs. DA Pam 600-26 is the HQDA AAP that monitors the centralized personnel management processes for which HQDA has responsibility. Heads of staff proponent agencies and their field operating agencies provide input to this AAP. Unit AAPs will be written IAW DA PAM 600-26.

b. Units will review AAPs annually to assess the effectiveness of past actions; to initiate new actions, and to sustain, monitor, or delete goals already achieved.

c. Commanders will provide a copy of their AAP to the next higher commander.

d. Affirmative action plans for civilian employees will be established in accordance with Army Regulation 690-12, Equal Employment Opportunity and Affirmative Action.

6–14. Training

a. Minimum criteria for local unit training programs.

(1) The commander will incorporate EO training into the overall training plan for the unit. The Soldier Support Institute publishes training tools (DA Pam 350-20, Unit Equal Opportunity Training Guide, and TC 26-6, Commander's Equal Opportunity Handbook) that may assist commanders in developing required training. Active Army and reserve components commanders of TOE/MTOE/TDA units will add the following topics to their quarterly or yearly training briefings:

(a) Type and dates of human relations training conducted by the unit since last Quarterly Training Brief (QTB)/Yearly Training Brief (YTB).

(b) Type and dates of human relations training scheduled for the unit before the next QTB/YTB.

(c) The number of EOAs/EORs required, authorized, on hand and the training they have completed or scheduled prior to next QTB/YTB.

(d) Date last command climate survey was conducted and date next command climate survey is scheduled.

(2) Leaders will conduct mandatory unit EO/sexual harassment training quarterly. Commanders will document training on the unit's training schedule and lead the training. In their training documentation, commanders must include type of training; instructor; date, time and length of training; roster of attendees and issues covered in the session. From time to time, different issues will be of local or Army-wide importance and require special emphasis and attention by unit commanders. As a minimum, two of the quarters will consist of Prevention of Sexual Harassment training. (see paragraph 7-8) The other two quarters will consist of training that is interactive, small group, discussion-based, and can focus on these topics-

(a) Objectives of the Army EO program.

(b) Army and local command policies on EO and affirmative action.

(c) Objectives of AAPs and EO action plans.

(d) Behavioral characteristics and other indicators of EO problems, what are and are not appropriate and acceptable behaviors leading to unit cohesion and teamwork.

(e) The impact of individual and institutional discrimination on mission accomplishment.

(f) Proper handling of EO complaints and the EO complaint system.

(g) Identifying, dealing with, preventing, and eliminating racial and ethnic discrimination and sexual harassment.

(h) Legal and administrative consequences of participating in acts of unlawful discrimination and sexual harassment.

(i) Individual responsibilities of both soldiers and DA civilians concerning equal opportunity and the prevention and eradication of sexual harassment (i.e., identifying inappropriate behaviors, handling complaints, developing techniques in dealing with sexual harassment, developing assertiveness skills, submitting complaints in the event the situation cannot be handled on-the-spot or one-on-one, and reporting incidents to the chain of command).

(j) The importance of honest and open interpersonal communications in promoting a healthy unit climate.

(k) Unit climate assessment-what it is, what it is used for, what makes it important, how it is done, what its results mean and what to do about various results.

(l) Review of actual unit climate assessment findings and amplification of issues raised. If appropriate, the commander will discuss issues that surface from assessment and develop an action plan to improve unit climate with unit members.

(3) The chain of command and other leaders (commander, command sergeant major, sergeant major, first sergeant, civilian supervisors, and others) will be present and participate in unit EO sessions.

(4) Brigade-sized units and higher headquarters will conduct EO and prevention/eradication of sexual harassment training (executive level seminars) twice a year. Training will be small group, interactive and discussion-based. It should emphasize findings determined as a result of unit command climate assessments.

b. Generally, training for Army War College (AWC) and Pre-Command Course (PCC) will cover-

(1) Planning and resourcing the implementation of the Army's EO program.

(2) Creating positive command climates that promote fair and equal treatment and that create opportunities for all soldiers, civilians, and family members by-

(a) Publishing policies and evaluating subordinate unit EO initiatives.

(b) Ensuring that EO training is focused on the roles, duties, and responsibilities for EO and the prevention and eradication of sexual harassment; on leader skills needed to handle soldier issues to include racial, cultural, and gender considerations; and on preventing, detecting, and avoiding conditions and situations that could lead to unprofessional behaviors and acts.

Chapter 7
Prevention Of Sexual Harassment

7–1. Overview
The prevention of sexual harassment is a commander's responsibility. The EOA plays a pivotal role by assisting the commander with policy awareness, training, command climate assessments, complaints processing and overall advisory assistance concerning the prevention of sexual harassment.

7–2. Chain Of Command Responsibilities
Commanders and supervisors will –

a. Ensure that assigned personnel are familiar with the Army policy on sexual harassment.

b. Publish and post written command policy statements for the prevention of sexual harassment. All statements will be consistent with Army policy. They will include the local command's commitment to the Army's policy against sexual harassment and will reaffirm that sexual harassment will not be tolerated. The statement will explain how and where to file complaints and shall include the fact that all complainants will be protected from acts or threats of reprisal. Each MACOM, installation, separate unit, agency, and activity down to company, troop or battery level will publish a sexual harassment command policy statement. Units should coordinate these policy statements with the servicing staff judge advocate or legal advisor before publishing them.

c. Continually assess and be aware of the climate of command regarding sexual harassment. Identify problems or potential problems. Take prompt, decisive action to investigate all complaints of sexual harassment. Either resolve the problem at the lowest possible level or, if necessary, take formal disciplinary or administrative action. Do not allow soldiers to be retaliated against for filing complaints. Continually monitor the unit and assess sexual harassment prevention policies and programs at all levels within area of responsibility. Ensure all leaders understand that if they witness or otherwise know of incidents of sexual harassment, they are obligated to act. If they do not, they themselves are also guilty of sexual harassment.

d. Set the standard.

7–3. Policy
a. The policy of the Army is that sexual harassment is unacceptable conduct and will not be tolerated. Army leadership at all levels will be committed to creating and maintaining an environment conducive to maximum productivity and respect for human dignity. Sexual harassment destroys teamwork and negatively affects combat readiness. The Army bases its success on mission accomplishment. Successful mission accomplishment can be achieved only in an environment free of sexual harassment for all personnel.

b. The prevention of sexual harassment is the responsibility of every soldier and DA civilian. Leaders set the standard for soldiers and DA civilians to follow.

7–4. Definition
a. Sexual harassment is a form of gender discrimination that involves unwelcomed sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when-

(1) Submission to, or rejection of, such conduct is made either explicitly or implicitly a term or condition of a person's job, pay, career, or

(2) Submission to, or rejection of, such conduct by a person is used as a basis for career or employment decisions affecting that person, or

(3) Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creates an intimidating, hostile or offensive working environment.

b. Any person in a supervisory or command position who uses or condones implicit or explicit sexual behavior to control, influence, or affect the career, pay, or job of a soldier or civilian employee is engaging in sexual harassment. Similarly, any soldier or civilian employee who makes deliberate or repeated unwelcomed verbal comments, gestures, or physical contact of a sexual nature is engaging in sexual harassment.

7–5. Categories of sexual harassment
a. Verbal. Examples of verbal sexual harassment may include telling sexual jokes, using sexually explicit profanity, threats, sexually oriented jody calls, sexual comments, whistling in a sexually suggestive manner, and describing certain sexual attributes about one's physical appearance. Verbal sexual harassment may also include using terms of endearment such as " honey", " babe", " sweetheart", " dear", " stud" or " hunk" in referring to soldiers, civilian coworkers or family members.

b. Nonverbal. Examples of nonverbal sexual harassment may include staring at someone (i.e. " undressing someone with one's eyes"), blowing kisses, winking, or licking one's lips in a suggestive manner. Nonverbal sexual harassment also includes printed material. Examples may include displaying sexually oriented pictures, cartoons or using sexually

oriented screen savers on one's computer. Further examples include sending sexually oriented notes, letters, faxes, or email.

c. Physical Contact. Examples of physical sexual harassment may include touching, patting, pinching, bumping, grabbing, cornering or blocking a passageway, kissing, and providing unsolicited back or neck rubs. Sexual assault and rape, which may be extreme forms of sexual harassment, are serious criminal acts. When these acts occur, report them immediately to the chain of command, military police, or other law enforcement agencies.

7–6. Types of sexual harassment

a. Quid Pro Quo. Quid Pro Quo is a Latin term meaning " this for that". This term refers to conditions placed on a person's career or terms of employment in retuavors. It involves implicit or explicit threats of adverse action if the person does not submit or promises of favorable actions if the person does submit. Examples include demanding sexual favors in exchange for a promotion; award or favorable assignment; disciplining or relieving a subordinate who refuses sexual advances and threats of poor job evaluation for refusing sexual advances. Incidents of " quid pro quo" may also have a harassing effect on third persons. It may result in allegations of sexual favoritism or general discrimination when a person feels unfairly deprived of recognition, advancement or career opportunities due to favoritism shown to another soldier or civilian employee based on a sexual relationship. An example would be a soldier who is not recommended for promotion and who believes that his or her squad leader recommended another soldier in his or her squad for promotion based upon provided or promised sexual favors, not upon merit or ability.

b. Hostile environment. A hostile environment occurs when soldiers or civilians are subjected to offensive, unwanted and unsolicited comments or behaviors of a sexual nature. If these behaviors unreasonably interferes with their performance, then the environment is classified as hostile. A hostile environment brings tferences iHostile environment. nto the workplace in any one of a number of forms. It does not necessarily include the more blatant acts of " quid pro quo." It normally includes nonviolent sexual behaviors that are gender-biased. Examples include use of derogatory gender-biased terms, comments about body parts, suggestive pictures, explicit jokes and unwanted touching.

7–7. Techniques of dealing with sexual harassment

All soldiers and civilians have a responsibility to help resolve acts of sexual harassment. Examples of how to accomplish this follow:

a. Direct approach. Confront the harasser and tell him/her that the behavior is not appreciated, not welcomed and that it must stop. Stay focused on the behavior and its impact. Use common courtesy. Write down thoughts before approaching the individual involved.

b. Indirect approach. Send a letter to the harasser stating the facts, personal feelings about the inappropriate behavior and expected resolution.

c. Third party. Request assistance from another person. Ask someone else to talk to the harasser, to accompany the victim, or to intervene on behalf of the victim to resolve the conflict.

d. Chain of Command. Report the behavior to immediate supervisor or others in chain of command and ask for assistance in resolving the situation.

e. File a formal complaint. Details for filing an informal or formal complaint are included in Appendix E.

7–8. Training

The elimination of sexual harassment within a unit begins with a policy of aggressive and progressive training to identify and prevent inappropriate behavior. Conduct progressive, interactive small group sexual harassment training twice each year. Soldiers must understand what sexual harassment is, how to recognize it, how to prevent it, how to report it and the consequences of engaging in sexual harassment.

a. The quality and effectiveness of unit training are of primary concern. The most effective approach to training to prevent sexual harassment is through interactive discussion in small groups of mixed gender. Situation vignettes or scenarios should be used to facilitate discussion among unit soldiers and civilians. Role playing is also an effective training means. The training focus should be appropriate to the level of the experience and breadth of responsibilities of each target audience. Unit commanders must attend this training and evaluate its content and quality.

b. Unit training for junior enlisted and civilian employees will focus on defining sexual harassment and gender discrimination, sanctions which may be used to punish harassers, techniques for soldiers to deal with sexual harassment and methods of filing a complaint through the complaint system.

c. Unit training or professional development training for junior officers, noncommissioned officers and civilian supervisors will reinforce the aforementioned training. In addition, emphasis should be placed on promoting a healthy work environment within the section or unit as well as on techniques for receiving, handling and resolving complaints. Training on the EO complaint system must include leader responsibilities in processing informal and formal complaints. It must emphasize the prevention of reprisal actions against complainants.

d. Training at unit level for senior noncommissioned officers, warrant officers, officers, civilian managers and senior executive service will focus on fostering a healthy command climate and using appropriate means for determining a

healthy command climate. This training will also focus on sanctions for offenders. In addition, it will reinforce the elements of training they receive at a more junior level.

e. Leaders may enlist the service of their brigade or higher level Equal Opportunity Advisor or DA PAM 350-20 (Unit Equal Opportunity Training Guide), Chapter 4, to help prepare and conduct Prevention of Sexual Harassment (POSH) training.

f. Commanders will document POSH training on the unit's training schedule and on individual soldier training records. Documentation will include type, instructor, date, time, length of training, roster of attendees, and issues covered in the session.

g. The chain of command and EOA's will attend and participate in POSH sessions.

h. Sexual misconduct training is not an Equal Opportunity issue. This training must be conducted by qualified personnel, separately from sexual harassment training, so as not to confuse the two.

7–9. Complaints

Filing and processing of sexual harassment complaints follow the same procedures as outlined in appendix E for EO complaints. Charges of sexual misconduct are to be processed through legal/ law enforcement channels, not equal opportunity channels.

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D–12.
The worldwide deployment of United States military forces, the international responsibilities of the United States, and the potential for involvement of the Armed Forces in actual combat routinely make it necessary for members of the Armed Forces involuntarily to accept living conditions and working conditions that are often spartan, primitive, and characterized by forced intimacy with little or no privacy.
D–13.
The prohibition against homosexual conduct is a longstanding element of military law that continues to be necessary in the unique circumstances of military service.
D–14.
The Armed Forces must maintain personnel policies that exclude persons whose presence in the Armed Forces would create an unacceptable risk to the Armed Forces' high standards of morale, good order and discipline, and unit cohesion that are the essence of military capability.
D–15.
The presence in the Armed Forces of person's who demonstrate a propensity or intent to engage in homosexual acts would create an unacceptable risk to the high standards of morale, good order and discipline, and unit cohesion that are the essence of military capability.

Appendix E
EO/Sexual Harassment Complaint Processing System

E–1. Entering the complaints processing system
The EO complaints processing system addresses complaints that allege unlawful discrimination or unfair treatment on the basis of race, color, religion, gender, and national origin. Attempts should always be made to solve the problem at the lowest possible level within an organization. Complaints by civilian personnel alleging discrimination should be handled in accordance with the procedures contained in AR 690-600, or as described in DoD and Department of the Army policy implementing 10 U.S. Code 1561, or as provided for in any applicable collective bargaining agreement.

a. Informal complaint.

(1) An informal complaint is any complaint that a soldier, family member or DA civilian does not wish to file in writing. Informal complaints may be resolved directly by the individual, with the help of another unit member, the commander or other person in the complainant's chain of command. Typically, those issues that can be taken care of informally can be resolved through discussion, problem identification, and clarification of the issues. An informal complaint is not subject to time suspense nor is it reportable. It is recommended that anyone working on the resolution of informal complaints should prepare a memorandum of record (MFR). The MFR would include information indicating nature of complaint and identifying pertinent information to assist in the identification of unit's command climate.

(2) Although the processing of EO complaints through the unit chain of command is strongly encouraged, it will not serve as the only channel available to soldiers to resolve complaints. Should the complainant feel uncomfortable in filing a complaint with his/her unit chain of command, or should the complaint be against a member of that chain of command, a number of alternative agencies exist through which the issues may be identified for resolution. Each of these agencies provides expertise in very specific subject areas. Commanders will not preclude soldiers from using these channels in accordance with the procedures inherent/established by these agencies:

(a) Someone in a higher echelon of the complainant's chain of command
(b) Equal Opportunity Advisor
(c) Inspector General
(d) Chaplain
(e) Provost Marshal
(f) Medical agency personnel
(g) Staff Judge Advocate
(h) Chief, Community Housing Referral and Relocation Services Office (CHRRS)

(3) In some informal complaints, the person or agency receiving the complaint may be able to resolve the issue while maintaining the confidentiality of the complainant, as in the case of the chaplain or a lawyer. While maintenance of confidentiality should be attempted, it will neither be guaranteed nor promised to the complainant by agencies other than the chaplain or a lawyer.

(4) Initial actions by these alternative agencies are the same for informal and formal complaints. Any alternative agency that receives an informal complaint of unlawful discrimination or sexual harassment has the obligation to talk

with the complainant. The agency should advise the complainant of his/her rights and responsibilities; listen to the complainant and find out as much information as possible concerning the complaint (including what the reasons are behind the complaint and why the individual is using the alternative agency opposed to his or her chain of command); tell the complainant what role that agency has (e.g., direct action on behalf of the complainant, information gathering, or referral to another agency or the commander for their action); what support services are available from other organizations that may help resolve the issues; explain the complaint system (principally, the differences between informal and formal complaints); and, then attempt to assure resolution of the issue (through mediation, intervention, counseling, training, etc.).

(5) The commander must eliminate underlying causes of all complaints. More members of the unit, other than complainant and alleged perpetrator, are affected by complaints, especially those that go unresolved.

b. Formal complaint.

(1) A formal complaint is one that a complainant files in writing and swears to the accuracy of the information. Formal complaints require specific actions, are subject to timelines, and require documentation of the actions taken.

(2) An individual files a formal complaint using a DA Form 7279-R

(3) In Part I of DA Form 7279-R, the complainant will specify the alleged concern, provide the names of the parties involved and witnesses, describe the incident(s)/behavior(s), and indicate the date(s) of the occurrence(s). For EO complaints, the complainant will also state the equal opportunity basis of the complaint (e.g., unlawful discrimination based upon race, color, religion, gender, or national origin. Complainant will be advised of the importance of describing the incident(s) in as much detail as possible to assist in the investigative process).

(4) The block entitled, " Requested Remedy" serves a variety of purposes for both the complainant and the command. The information in this block can vary in terms of the complainant's expectations of the investigative process and his or her reasonableness and credibility. If expectations that are not likely to be met come to the surface, they should be dispelled by the receiving agency (during acceptance of the complaint) through an explanation of the process and the possible outcomes. If the complainant's response is vindictive, vengeful, or malicious, and seems extreme in light of the events or circumstances, this may be helpful to the commander or investigating officer in terms of motive and believability.

(5) Soldiers have 60 calendar days from the date of the alleged incident in which to file a formal complaint. This time limit is established to set reasonable parameters for the inquiry or investigation and resolution of complaints, to include ensuring the availability of witnesses, accurate recollection of events, and timely remedial action. If a complaint is received after 60 calendar days, the commander may conduct an investigation into the allegations or appoint an investigating officer according to paragraph 5 below. In deciding whether to conduct an investigation, the commander should consider the reason for the delay, the availability of witnesses, and whether a full and fair inquiry or investigation can be conducted.

(6) The complainant should file his or her complaint with the commander at the lowest echelon of command at which the complainant may be assured of receiving a thorough, expeditious, and unbiased investigation of the allegations. Depending on the various aspects of the complaint and individuals involved, that lowest level commander may not be the immediate company or even battalion level commander of the complainant.

E–2. Actions of alternative agencies

The agencies listed in paragraph 1a(2) of this Appendix also serve as alternative avenues available to soldiers for registering formal EO complaints. Initial actions by these alternative agencies are the same for informal and formal complaints. Upon receipt of a formal EO complaint of unlawful discrimination or sexual harassment, the alternative agency has the obligation to talk with the complainant, advise him/her of his/her rights and responsibilities, find out as much information as possible concerning the complaint (including what the reasons were for using the alternative agency and what the complainant's expectations might be for resolution of the complaint). The agency should also tell the complainant what role that agency has (action, information gathering, or referral to another agency or the commander for their action), what support services are available from other organizations, what the complaint processing procedures are (principally, the differences between informal and formal complaints) and what will be done with the individual's complaint. Receipt of formal complaints by any alternative agency (except Inspector General) will be annotated in writing on the DA Form 7279-R, Part I, item 9b. If the alternative agency decides not to do an inquiry or conduct its own investigation and decides to refer the complaint to another agency or to the appropriate commander for his/her investigation, that referral must be made within 3 calendar days (at the next MUTA 4 or other regularly scheduled training for Reserve components). For the purposes of receiving EO complaints, any commissioned officer is authorized to administer oaths and should do so in block 9a, DA Form 7279-R prior to referring the complaint to the appropriate commander. The commander or agency receiving the referral will acknowledge receipt of the complaint (DA Form 7279-R, Part I, item 10a). In cases where the complaint is best resolved by the chain of command, the alternative agency would refer the complaint to the commander at the lowest echelon of command at which the complainant may be assured of receiving a thorough, expeditious, and unbiased investigation of the allegations.

a. If during the course of an inquiry or investigation the receiving agency or commander identifies criminal activity, the complaint will be immediately referred to the proper agency (Provost Marshal or CID) for investigation.

b. Incidents of sexual assault and rape will immediately be referred to medical agencies for the procurement of forensic evidence and for assistance in the treatment and counseling of the victim.

c. Allegations of unlawful discrimination in housing, both on and off post, will be referred to the housing division for processing under the provisions of AR 210-50.

d. If a complaint is filed against a promotable colonel, an active or retired general officer, inspectors general of any component, members of the Senior Executive Service, or Executive Schedule personnel, the allegation will be transferred directly to the Investigations Division, U.S. Army Inspector General Agency, ATTN: SAIG-IN, Pentagon, Washington, DC 20310-1700 by rapid but confidential means within 5 calendar days of receipt.

E–3. Complaints filed with the Inspector General

a. Complaints filed with the Inspector General will be processed as Inspector General Action Requests (IGARS) according to AR 20-1, rather than under the procedures outlined in this regulation. As such, no timelines will be imposed on the conduct of the investigation and/or on feedback to the complainant, and DA Form 7279-R will not be maintained.

b. Inspector General investigations are confidential and protected from unauthorized disclosure. They will include consultations with persons or activities as deemed appropriate by the Inspector General.

c. Receipt of the complaint will be acknowledged to the complainant and an estimated completion date provided. If the action is not completed by that date, the complainant will be notified and given a new estimated completion date.

E–4. Actions of the Commander upon receipt of complaint

a. Upon receipt of a complaint, the commander will ensure that the complainant has been sworn to the complaint (Block 9a, DA Form 7279-R). If not, the commander will administer the oath and annotate it on the complaint form. The commander will fill out block 10a acknowledging receipt of the complaint form. All formal complaints will be reported within 72 hours to the first General Courts-Martial Convening Authority (GCMCA) in the chain of command. Additionally, the commander will provide a progress report to the GCMCA authority 20 days after the date on which the investigation commenced and 14 days thereafter until completion.

b. The commander will either conduct an investigation personally or immediately appoint an investigating officer according to the provisions of AR 15-6. Depending on the magnitude of the complaint, the commander may deem it necessary to ask the next senior commander in the chain of command to appoint the investigating officer.

c. The commander will establish and implement a plan to protect the complainant, any named witnesses, and the alleged perpetrator from acts of reprisal. The plan will include, as a minimum, specified meetings and discussions with the complainant, alleged perpetrator, named witnesses, and selected members of the chain of command and coworkers.

(1) Content of the discussions with the above named individuals will include the definition of reprisal with examples of such behavior; the Army's policy prohibiting reprisal; the complainant's rights and extent of Whistleblower Protection afforded complainants, witnesses, and the alleged perpetrator under DoD Directive 7050.6; encouragement to all the aforementioned individuals to report incidents and/or threats of reprisal; the procedures to report acts and/or threats of reprisal; the consequences of reprisal; possible sanctions against violators; a reminder of the roles and responsibilities of the leadership in the prevention of reprisal and protection of all parties involved; the command's support of a thorough, expeditious and unbiased investigation and good faith in attempting to resolve the complaint; and the need to treat all parties in a professional manner both during and following the conduct of the investigation.

(2) Discretion will be used to determine the extent of information provided and the numbers of personnel addressed in the discussions with the chain of command and coworkers. Investigating officers will treat all those they interview professionally and courteously and will limit their discussion to only those issues relating to the specific complaint.

(3) To prevent the plan from becoming an administrative burden, the plan need only consist of a one-page list (in bullet format) of actions to be accomplished. The commander shall annotate the names of the personnel addressed and initial and date the actions as they are completed. The commander shall provide a copy of the completed plan to the investigating officer and the EOA. The investigating officer will include the commander's plan to prevent reprisal as an exhibit in the investigative findings. The EOA will retain a copy of the commander's plan to prevent reprisal with the completed case file and use the plan to conduct follow-up assessment of the complaint.

E–5. Timeliness of action

Rapid resolution of EO complaints is in the best interest of both the complainant and the command. After receipt of the complaint, the commander to whom the complaint was given has 14 calendar days (or three weekend drill periods for Reserve components) in which to conduct an investigation, either personally or through appointment of an investigating officer. If the complaint was referred to the commander from an alternate agency, or if the commander refers the complaint to an alternate agency, the 14 calendar days begins from the date the complaint was referred. If, due to extenuating circumstances, it becomes impossible to conduct a complete investigation within the 14 calendar days allowed (or three MUTA 4 training drill periods for Reserve components), that commander may obtain an extension

from the next higher commander for usually not more than 30 calendar days (or two MUTA 4 drill periods for Reserve components). After the initial 14-day suspense, all requests for extension must be requested in writing from the next higher echelon commander. Upon receipt of an extension, the commander must inform the complainant of the extension, its duration, and the reasons for which it was requested. Any additional extensions must be approved in writing by the first general officer in the chain of command. Failure to adhere to prescribed timelines will result in automatic referral of the complaint to the next higher echelon commander for investigation and resolution.

E–6. Conduct of the investigation

a. Investigation. The purpose of any investigation of unlawful discrimination or sexual harassment is to determine to the maximum extent possible what actually occurred, to assess the validity of allegations made by the complainant, to advise the commander of any leadership or management concerns which might contribute to perceptions of unlawful discrimination and poor unit command climate, and to recommend appropriate corrective actions. The commanding officer is responsible for ensuring the investigation is complete, thorough, and unbiased.

b. Initial actions. The commander who acts as the appointing authority shall provide the investigating officer (IO) a copy of orders assigning him or her as the IO officer and the initiated DA Form 7279-R, which identifies the complainant and lists the allegations to be investigated. The IO shall review AR 15-6, Procedure for Investigating Officers and Boards of Officers, and AR 600-20, Army Command Policy, to review procedures applicable to the conduct of the investigation. Should the commander elect to investigate the allegations him or herself, the procedures for investigating officer apply to the commander.

c. Legal advice. The investigating officer will meet with the servicing Staff Judge Advocate or legal advisor to review how the conduct of the investigation should be conducted under AR 15-6 and AR 600-20. The discussion should include the specific requirements of both regulations, advice on how investigations are conducted, and advice on how to question an interviewee who is suspected of committing a violation of the UCMJ.

d. EOA assistance. The investigating officer (the commander or appointed investigating officer) will meet with the unit's Equal Opportunity Advisor prior to conducting the investigation. The EOA will assist the investigating officer in the development of questions to be addressed to the complainant, the alleged perpetrator, and any witnesses or third parties. The EOA's skills in complaint handling, conflict resolution, and training in the subtleties of discrimination and sexual harassment enable him or her to advise investigative officers in these complex areas. The EOA will ensure the focus of the investigation is placed squarely on assessing the validity of the allegations and avoids shifting the focus of the investigation against the complainant. The EOA will remain available to the investigating officer for consultation and assistance throughout the conduct of the investigation.

e. Conduct of interviews. The investigating officer must interview every individual who may have first-hand knowledge of the facts surrounding the validity of the allegations. The investigating officer must also interview everyone who can substantiate the relationship or corroborate the relationship between the complainant and the alleged perpetrator. The investigating officer must interview the person who initially received the formal complaint, the complainant(s), any named witnesses, and the alleged perpetrator. The investigating officer should normally interview the alleged perpetrator after interviewing other witnesses, so that he or she will have a complete understanding of the alleged incident. If needed prior to the conclusion of the investigation, the investigating officer should conduct a second interview of the complainant and the alleged perpetrator. The investigating officer may choose to re-interview certain witnesses for clarification of conflicting statements. Should unit policies or procedures be called into question as contributing factors to perceptions of unlawful discrimination or hostile environment, the investigating officer will interview responsible members of the chain of command. It may be advisable to interview coworkers of the complainant and the alleged perpetrator for knowledge they may have about the alleged incidents or the relationship that exists between the complainant and alleged perpetrator.

f. Identification of criminal act. If, when interviewing any soldier, including the alleged perpetrator, the investigating officer reasonably suspects that the individual has committed an offense in violation of the UCMJ, the investigating officer must advise the soldier of his/her rights under Article 31, UCMJ. Investigating officers should consult with their servicing judge advocate or legal advisor before giving Article 31 rights warnings, and should record the suspect's election on DA Form 3881 (Rights Warning Procedure/Waiver Certificate). If the soldier being questioned asks for a lawyer (i.e., asserts his or her right to counsel), questioning must stop immediately and the interview must be terminated. Questioning may resume only in the presence of a lawyer, if the soldier initiates further discussion or if the soldier has consulted with a lawyer and thereafter waives his/her rights pursuant to a proper rights advisement. Similarly, questioning of a soldier must stop immediately if a soldier indicates the desire to remain silent. Once this right is asserted, questioning may resume only if the soldier initiates further questioning or if after an appropriate interval, the soldier waives his or her rights pursuant to a proper rights advisement. (See Article 31, UCMJ; Military Rules of Evidence 304 and 305, Manual for Courts-Martial).

g. Supporting documents. The investigating officer should secure copies of any documents that might substantiate or refute the testimony of the complainant, alleged perpetrator, or named witnesses. These documents may include copies of unit and personnel records and the complainant's personal documents. The investigating officer will also procure a

copy of the Commander's plan to prevent reprisal for inclusion in the final report of investigation.

h. Unit climate, policies and procedures. During the course of the investigation, the investigative officer should note concerns or observations of unit policy, procedures, and individual leadership or management techniques that may have a dysfunctional effect upon unit climate and foster discriminatory behavior and/or a hostile environment.

i. Investigative findings and recommendations. When the investigation is completed, the investigating officer should review the evidence, determine if the investigation adequately addresses allegations, make factual findings about what occurred, and provide recommendations consistent with the findings.

j. EOA review. Prior to submission of the report to the appointing authority, the investigating officer and EOA will meet and review the report. The EOA will attach a memorandum documenting his/her review.

k. Investigative report. The following items are required enclosures to the report presented to the appointing authority-

(1) Orders of appointment as investigating officer.

(2) Copy of the DA Form 7279-R with attached continuation sheets.

(3) Copy of the completed/initialed Commander's Plan to prevent reprisal.

(4) List of questions developed with Equal Opportunity Advisor.

(5) Statements/synopses of interviews with complainant(s), named witnesses, and alleged perpetrator(s) and relevant members of the chain(s) of command.

(6) Copies of supporting documents.

(7) Description/assessment of unit policies, procedures which may have contributed to perceptions of unlawful discrimination or sexual harassment within the unit.

(8) Written approval of next higher echelon commander for any approved extensions.

(9) Written explanation of extenuating circumstances that prevented the investigating officer from interviewing any named witnesses, complainants, or alleged perpetrators.

(10) Written review by the Equal Opportunity Advisor.

E–7. Actions By The Appointing Authority (Commander) Upon Receipt Of The Report Of The Investigation

The appointing authority will submit the report of investigation to the servicing Staff or Command Judge Advocate for a determination of legal sufficiency. After the legal review is completed, the appointing authority will decide whether further investigation is necessary or whether to approve all or part of the findings and recommendations. If the appointing authority is senior to the alleged perpetrator's commander, the appointing authority may refer the matter to that unit commander for appropriate action(s), unless the appointing authority or a more senior commander has reserved authority to take action on Equal Opportunity matters.

a. Actions to resolve complaints. A complaint is resolved by action to restore benefits and privileges lost because of unlawful discrimination or sexual harassment. Punitive or administrative actions against an offender do not necessarily change offending behaviors or rectify the situation for the individual complainant or unit. Commanders will take corrective action to preclude recurrence of discriminatory or sexually harassing conduct and address any management deficiencies or other contributing factors that caused the allegations to be raised. Commanders will also look at the causes of why complainants raised unsubstantiated complaints. Actions taken (or to be taken) by the commander and the chain of command will be annotated on DA Form 7279-R, Part III. Specific actions taken against the perpetrator will not be annotated on the form. This information will be discussed with the complainant. The commander and/or EOA will also inform the complainant and the subject(s) of the complaint of his/her right to appeal and make them aware of timelines and procedures to file that appeal. The complainant and subject(s) will sign and date the DA Form 7279-R to acknowledge receiving this information. This acknowledgment does not necessarily signify the complainant's agreement with the findings or actions taken to resolve the complaint.

(1) Actions upon substantiated complaint(s). A substantiated EO discrimination or sexual harassment complaint is a complaint that, after the completion of an inquiry or investigation, provides evidence to indicate that the complainant was more likely than not treated differently because of his or her race, color, national origin, gender, or religious affiliation. The standard of proof is a " preponderance of the evidence" standard. This means that the findings of the investigation must be supported by a greater weight of evidence than supports a contrary conclusion, or-in other words evidence which, after considering everything that is presented, points to one particular conclusion as being more credible and probable than any other conclusion. The " weight of the evidence" is not determined by the number of witnesses or volume of exhibits, but by considering all the evidence and evaluating such factors as the witness's demeanor, opportunity for knowledge, information possessed, ability to recall and relate events, and other indications of veracity. When an allegation of discrimination is substantiated, that finding is annotated on the DA Form 7279-R, Part II. The commander must decide what corrective action to take. Corrective action may be administrative or punitive.

(a) Administrative action. Offenders will, as a minimum, undergo counseling by a member of the chain of command, presumably their company-level commander. Commanders have the full range of administrative actions available to them to deal with offenders of Army policy on equal opportunity (including the prevention/eradication of

sexual harassment), to include discharge from the Service, bar to reenlistment, adverse performance evaluations and/or specific comments concerning non-support of EO/EEO programs on evaluation reports, relief for cause, administrative reduction, admonition, reprimand, administrative withholding of privileges, and rehabilitative transfer to another unit. Commanders should determine whether the victim desires to be transferred to another unit, but should not subject the complainant to " double victimization" by requiring that he or she be transferred to another unit while leaving the offender in the unit.

(b) UCMJ. Violators of Army policies on equal opportunity and the prevention/eradication of sexual harassment, whose conduct violates a punitive article of the UCMJ, may be charged and prosecuted. Nonjudicial punishments (e.g., Article 15) will be posted in the unit area in accordance with AR 27-10. Courts-Martial convictions may be published in installation newspapers and/or posted in the unit area where deemed appropriate.

(2) Actions upon an unsubstantiated complaint. An unsubstantiated complaint is one for which the preponderance of evidence (i.e., the greater weight of evidence) does not support and verify that the alleged unlawful discrimination or sexual harassment occurred. In this situation, the commander should determine whether the allegations, though unsubstantiated, might be indicative of problems in the unit, which require resolution through EO initiatives or other leadership actions. Should the complaint be found unsubstantiated, the commander will notify the complainant in writing (DA Form 7279-R, Part II) and, consistent with the limitations of the Privacy Act and the Freedom of Information Act (FOIA), provide the complainant with a copy of the results of the investigation. The complainant will sign and date the DA Form 7279-R to acknowledge receiving this information. This acknowledgment does not necessarily signify the complainant's agreement with the actions taken.

(3) Avoid victim focus. Actions to resolve complaints should focus on changing inappropriate behavior of offending personnel and avoid targeting the complainant. The complainant's job and status should not be affected unless he or she requests such a remedy, and the chain of command will do so only after weighing the impact on readiness.

b. Feedback. The commander shall provide periodic feedback, throughout the process, to the complainant and the alleged perpetrator on the status of the investigation.

(1) The commander shall provide written feedback to the complainant not later than the 14th calendar day (by the end of the third MUTA 4 period for Reserve components) after receiving the complaint and then provide updates every 14 calendar days (three MUTA 4 drill periods) until final resolution. Written feedback should incorporate any verbal updates provided to the complainant. Written feedback will be as complete as possible consistent with limitations of the Privacy Act and the FOIA. Whenever possible, the commander should meet with the complainant to discuss the status of the investigation to include findings and actions to resolve the issue. Oral feedback should be consistent with the limitations of the Privacy Act and the FOIA.

(2) Commanders shall also provide written feedback to the alleged perpetrator on the outcome of the investigation and subsequent actions to be taken by the chain of command. The chain of command is advised to use discretion in limiting feedback to personnel involved. This feedback should also be consistent with the limitations of the Privacy Act and the FOIA.

E–8. Appeals process

If the complainant perceives the investigation failed to reveal all relevant facts to substantiate the allegations, or that the actions taken by the command on his or her behalf were insufficient to resolve the complaint, the complainant has the right to appeal to the next higher commander in his or her chain of command. The complainant may not appeal the action taken against the perpetrator, if any is taken. If subject(s) of the complaint perceive the investigation has failed to reveal all relevant facts to prove his or her innocence, he or she has the right to appeal to the next higher commander in his or her chain of command. Geographically remote units, field operating agencies, and various other organizations (including tenant units on the installation) shall promulgate Memoranda of Understanding or Installation Standing Support Agreements between the installation (supporting) commander and their units. These documents will serve to provide the necessary guidance to unit personnel for the courses of action to be taken with appeals. EO appeals that may potentially leave the Army chain of command must be forwarded to HQDA, ODCS, G-1, Attention: DAPEHR-L for resolution.

a. The appeal must be presented within 7 calendar days (at the next MUTA 4 drill period for Reserve components) following notification of the results of investigation and acknowledgment of the actions of the command to resolve the complaint. The complainant must provide a brief statement that identifies the basis of the appeal. This will be done in writing on the DA Form 7279-R, Part IV, and the complaint form will be returned to the commander in the chain of command who either conducted the investigation or appointed the investigating officer.

b. Once the appeal is initiated by the complainant, the commander has three calendar days (or one MUTA 4 drill period for Reserve components) to refer the appeal to the next higher unit commander (or installation commander for those tenant units with Memoranda of Understanding that designate an appellate authority).

c. The commander to which the appeal is made has 14 calendar days (or three MUTA 4 periods for Reserve components) to review the case and act on the appeal (i.e. approve it, deny it, or conduct an additional investigation).

Not later than the 14th calendar day following receipt of the appeal (or appropriate RC timelines), this commander shall provide written feedback, consistent with Privacy Act and FOIA limitations, to the complainant on the results of the appeal. This process applies equally to subsequent appeals submitted through the chain of command.

E–9. Final Resolution Upon Appeal

Complaints that are not resolved at brigade level may be appealed to the General Courts-Martial Convening Authority. The only exception to this is where organizations have Memorandums of Understanding or Support that delegate Uniform Code of Military Justice authority to a local commander. Decisions at this level are final.

E–10. Follow-up assessment

The Equal Opportunity Advisor (EOA) will conduct a follow-up assessment of all formal equal opportunity and sexual harassment complaints, both for substantiated and unsubstantiated complaints, 30 to 45 calendar days (four to six MUTA 4 drill periods for Reserve components) following the final decision rendered on the complaint. The purpose of the assessment is to measure the effectiveness of the actions taken and to detect and deter any acts or threats of reprisal. The EOA will also assess the complainant's satisfaction with the procedures followed in the complaint process to include timeliness, staff responsiveness and helpfulness, and resolution of the complaint. The findings of this assessment will be annotated on DA Form 7279-1-R (Equal Opportunity Complaint Resolution Assessment) and maintained by the EOA. The EOA shall present findings and recommendations to the commander for further consideration/action within 15 calendar days (second MUTA 4 drill period for Reserve components). After the commander reviews the EOA findings and recommendation, the assessment is attached to the original complaint and maintained with the rest of the file. DA Form 7279-1-R will be locally reproduced on 8 1/2 by 11-inch paper. A copy for reproduction purposes is located at the back of the regulation. DA Form 7279-1-R will also be available on the USAPA web site and the Army Electronic Library (AEL) CD-ROM.

E–11. Documentation/reporting of formal complaints

a. After the complainant's case is closed, the entire complaint packet will be filed by the EOA who is the first in the complainant's chain of command.

b. The EOA retains the complaint file. Complaints will be retained on file for 2 years from the date of the final decision on the case, using Army Management and Record Keeping System (MARKS).

c. In addition to the completed DA Forms 7279-R and 7279-1-R, the EOA will retain the following information (using the memorandum for record format) for each case:

(1) The name, rank, and organization of the individual who conducted the inquiry/investigation;

(2) Complete report of investigation to include written review by EOA and servicing Staff Judge Advocate; and,

(3) The status or results of any judicial action, nonjudicial punishment, or other action taken to resolve the case.

d. Numbers of formal EO and sexual harassment complaints received in units will be reported to and then consolidated by MACOMs. MACOMs will submit a quarterly narrative and statistical report to HQDA, ODCS, G-1, ATTN: DAPE-HR-L, 300 Army Pentagon, Washington, DC 20310-0300.

E–12. Actions Against Soldiers Submitting False Complaints

Soldiers who knowingly submit a false equal opportunity complaint (a complaint containing information or allegations that the complainant knew to be false) may be punished under the UCMJ.

E–13. Complaint procedures for reservists serving In the Individual Ready Reserve Or those reservists not assigned to a unit

a. Complaint filed during active duty tour. Complaint procedures will remain the same as for active duty personnel. Active and reserve Army commanders, upon receiving a complaint from members of the Individual Ready Reserve (IRR) or IMA, from soldiers performing active duty for special work or temporary tour of active duty, or from any reservist who is not a member of a troop program unit, will make every attempt to resolve the complaint prior to the completion of the soldier's active duty tour.

(1) Timelines. Should the complaint be filed but not resolved prior to the soldier's release from active duty (REFRAD), the timelines will be modified. The active or reserve component commander will have 30 calendar days from the filing of the complaint to notify the complainant of the results of the investigation/actions taken to resolve the complaint.

(2) Appeals. The complainant and subject(s) of the complaint will have 30 calendar days from notification of the results of the investigation to file an appeal. Appeals filed more than 30 calendar days after notification must be accompanied by a written explanation of the reasons for delay. The commander has the discretion to consider an appeal based on its merits.

(3) Final decision. Notification of the commander's final decision will be provided to the complainant and subject(s) of the complaint with information copies to the next higher headquarters and Army Reserve Personnel Command (ARPERSCOM) within 30 calendar days of the receipt of the appeal.

b. Complaint filed subsequent to REFRAD. In the event the complaint is filed after the active duty tour has ended, the complainant will file a sworn complaint on DA Form 7279-R (Part I through item 9a) to the AR-PERSCOM EOA. (Soldiers may contact the AR-PERSCOM EO office for this form at Commander, AR-PERSCOM, ATTN: ARPCZEQ, 9700 Page Boulevard, St. Louis, MO 63132-5200.) Upon the receipt of DA Form 7279-R, AR-PERSCOM will forward the complaint to the appropriate commander of the subject(s) of the complaint active duty unit for investigation.

(1) Timelines. That commander will have 30 calendar days from date of receipt of the complaint to conduct an investigation and to provide feedback to the complainant. (Extensions, not to exceed an additional 45 calendar days, may be granted by higher echelon commander.)

(2) Appeals. Complainants and subject(s) of the complaint will have 30 calendar days from notification of the results of investigation/to appeal/decline appeal. Appeals filed more than 30 calendar days after notification must be accompanied by a written explanation of the reasons for delay. The commander has the discretion to consider an appeal based on its merits.

(3) Final notification. Within 30 calendar days of receipt of appeal, the commander will provide notification of final decision to the complainant and subject(s) of the complaint, next higher headquarters, and AR-PERSCOM.

Student Handout 3

Extract from TSP 121-050-8010, Enforce Compliance with the Army's Equal Opportunity and Sexual Harassment Policies

This student handout contains 25 pages of extracted material from the following publication: TSP 121-50-8010, Enforce Compliance with the Army's Equal Opportunity and Sexual Harassment Policies, from the Adjutant General School, Equal Opportunity Proponency Office, Fort Jackson, SC. This reading is a verbatim extract presented in paragraph format.

Disclaimer: The training developer downloaded this extract from http://155.217.58.58/atdls.htm. The text may contain passive voice, misspellings, grammatical errors, etc., and may not be in compliance with the Army Writing Style Program.

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EO VIOLATIONS SUBJECT TO UCMJ ACTIONS:

OFFENSE	ARTICLE	
Making racial or sexual comments or gestures	Art. 89 Art. 91 Art. 117 Art. 134	Disrespect toward superior commissioned officer Insubordinate conduct toward warrant officer, noncommissioned officer, or petty officer Provoking speeches or gestures General Article
Offering rewards for favors which constitute an EO violation	Art. 134	General Article (Bribery and graft)
Attempts or offers with unlawful force or violence to do bodily harm to another person because of race, color, religion, national origin, or gender	Art. 128	Assault
Making unsolicited and unwelcome sexual contact	Art. 134	General Article (Indecent assault)
Threatening the career, job, or salary of another unless they “cooperate”	Art. 127 Art. 134	Extortion General Article (Communicating a threat)
Engaging in or condoning an EO violation	Art. 92 Art. 133	Failure to obey order or regulation Conduct unbecoming an officer and a gentleman
Influencing or threatening the career, pay, or job of another person in exchange for sexual favors	Art. 93	Cruelty and maltreatment
Making false statements	Art. 107	False official statements

SEXUAL HARASSMENT BEHAVIORS SUBJECT TO UCMJ ACTIONS:

OFFENSE/BEHAVIOR	ARTICLE	
Making racial or sexual comments or gestures	Art. 89 Art. 91 Art. 117 Art. 134	Disrespect toward superior commissioned officer Insubordinate conduct toward warrant officer, noncommissioned officer, or petty officer Provoking speeches or gestures General Article
Offering rewards for sexual favors	Art. 134	General Article (Bribery and graft)
Making unsolicited and unwelcome sexual contact with intent to satisfy lust or sexual desire	Art. 134	General Article (Indecent assault)
Threatening the career, job, or salary of others unless they “cooperate”	Art. 127 Art. 134	Extortion General Article (Communicating a threat)
Engaging in or condoning sexual harassment behaviors	Art. 92 Art. 133	Failure to obey order or regulation Conduct unbecoming an officer and a gentleman
Influencing or threatening the career, pay, or job of others in exchange for sexual favors	Art. 93	Cruelty and maltreatment
Sexual intercourse was done by force and without consent (A husband can be punished for raping his wife)	Art. 120	Rape and carnal knowledge
Sexual intercourse with a female under 16 years of age who is not his wife (commonly known as statutory rape)	Art. 120	Rape and Carnal Knowledge
Unnatural sexual intercourse with another person of either gender or animal	Art. 125	Sodomy
Threatening another to obtain unlawfully anything of value– sometimes known as blackmail	Art. 127	Extortion
General Actions	Art. 134	General Article (Adultery; Assault to commit rape or sodomy; Bribery and graft; Wrongful cohabitation; Fraternization; Indecent acts of liberties with a child; Indecent exposure; Indecent acts with another; Pandering; and prostitution)

ALTERNATIVE AGENCIES:

Although handling EO complaints through the chain of command is strongly encouraged, this is not the only channel for addressing EO grievances. Several agencies have specific command responsibilities that make them a viable asset in helping soldiers and family members resolve EO grievances. The following are brief descriptions of frequently used agencies:

1. **Equal Opportunity Adviser (EOA):** EOAs are assigned to help commanders at brigade or higher levels to implement their EO program. The EOA is trained to receive, process, and conduct inquiries into complaints of discrimination and sexual harassment. In addition, the EOA has the expertise to make recommendations for corrective actions and sanctions against violators of EO policies.

2. **Chaplain:** The Chaplain serves as advisor to the command on all religious matters and provides guidance on religious practices, family and marital counseling, and other secular or non-secular services. The chaplain is the main subject matter expert on addressing issues about religious discrimination or accommodation.

3. **Provost Marshal (PM):** The PM is primarily responsible for receiving and investigating violations of the UCMJ which are criminal in nature. The PM is responsible to the Commander for monitoring the treatment of soldiers and investigating complaints of discrimination or unfair treatment by off-post activities.

4. **Staff Judge Advocate (SJA):** The SJA serves as an advisor in litigating criminal charges and prosecuting soldiers for criminal offenses; assesses trends in administering punishment and allegations of discrimination in administering military justice; may receive complaints about discrimination in legal proceedings or about administering judicial and non-judicial punishment.

5. **Community Homefinding Referral and Relocation Services Office (CHRRSO):** The CHRRSO is responsible for monitoring and administering the installation's housing referral program. The HRO will receive and investigate complaints of discrimination in rental or sale of off-post residents.

6. **Inspector General (IG):** The IG serves as advisor to the commander on all matters of command. The IG is responsible for monitoring and inspecting command functions which are essential to mission effectiveness and combat readiness. The IG's office is the principal agency for receiving and investigating complaints about command environment and leadership.

7. **Medical Agency Personnel:** Medical agency personnel are assigned primarily at installation clinics and hospitals, but are also available at separate units, battalions, and brigades up to and including the Command Surgeon. These personnel advise and assist the commander on matters about conserving and replenishing the command's fighting strength, by prevention, curative, restorative care, and other medical related services.

EQUAL OPPORTUNITY COMPLAINT FORM
For use of this form, see AR 600-20; the proponent agency is ODCSPER

AUTHORITY: Title 10, USC Section 3013(g).
PRINCIPAL PURPOSE: Formal filing of allegations of discrimination because of race, color, religion, gender, or national origin
ROUTINE USES: This form and the information on this form may be used: (a) as a data source for complaint information for production of summary descriptive statistics and analytical studies of complaints processing and resolution efforts, (b) to respond to requests from legitimate outside individuals or agencies (e.g..., Members of Congress, the White House) regarding the status of the complaint or appeal, (c) to adjudicate complaint or appeal, and (d) for any other routine uses listed in AR 340-21, para 3-2.

DISCLOSURE: Disclosure is voluntary; however, failure to complete all portions of this form may lead to rejection of complaint on the basis of inadequate data on which to determine if the complaint is acceptable.

1. NAME	2. RANK	3. SSN	4. UNIT
5. RACE/ETHNIC GROUP		6. GENDER	7. DATE

PART I - COMPLAINT

8a. NATURE OF COMPLAINT. (Give, in as much detail as possible, the basis for your complaint; describe the incident/behavior(s) and dates(s) of the occurrence(s); the names of parties involved, witnesses, and to whom it may have been previously reported; plus, and additional information that would be helpful in resolving your complaint. Attach additional sheets if needed.)

8b. REQUESTED REMEDY. (What do you think the final outcome should be?)

9a. AFFIDAVIT.

I, _____ have read or have had read to me this statement which begins on this page (page 1) and ends on page_____ . I fully understand the contents of the entire statement made by me. The statement is true. I have initialed all corrections. I made the statement without threat of punishment, and without coercion, unlawful influence, or unlawful inducement.

_____
(Signature of Person Making Statement)

Subscribed and sworn to before me, a person authorized by law to administer oaths, this

_____ day of _____ , 19___ at _____

_____ _____
(signature of Person Administering Oath) (Typed Name of Person Administering Oath)

9b. REFERRAL
I acknowledge receipt of this complaint from _____ (name/rank)

of _____ (unit) on _____

I understand I have 3 calendar days (next drill period for reserve soldiers) in which to inform the appropriate commander/ agency of the complaint and actions I propose to take.

9c. NAME	9d. GRADE	9e. DATE
9f. AGENCY	9g. SIGNATURE	

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10a. ACKNOWLEDGMENT.
I acknowledge receipt of this complaint, on behalf of (complainant's name) _____
submitted to me by (name, rank, alternative agency) _____
_____
on _____ . I understand I have 14 calendar days (3 weekend drill periods for Reserve components) in which to initiate an investigation into the complaint, implement a plan to prevent reprisal, complete the investigation, and inform the complainant of the results of the investigation.

10b. NAME	10c. GRADE	10d. DATE
10e. ORGANIZATION	10f. SIGNATURE	

PART II - RESULTS OF INVESTIGATION

11a. I (name of commander) _____ reviewed the report of investigation into your allegations. I ☐ Concur ☐ nonconcur with the findings of the investigating officer. I find that your allegations are: ☐ substantiated ☐ unsubstantiated. I base my decisions on the following points:

11b. SIGNATURE OF COMMANDER	11c. DATE

PART III - ACTIONS TO RESOLVE COMPLAINT

12a. The command has done (or will do) the following actions to resolve this complaint and continue to prevent acts of reprisal:

12b. ADVISEMENT TO COMPLAINANT: You have the right to appeal these actions to resolve your complaint. You will have 7 days (next weekend drill for Reserve components) to submit your appeal in writing. If you elect not to appeal, your case is considered closed. If you decide to appeal, state the basis of, or grounds for, your appeal in the space below. I will refer you appeal to the appellate authority, who will review your case and provide you feedback when the complaint is completed.

12c. SIGNATURE OF COMMANDER	12d. DATE

12e. ACKNOWLEDGMENT BY THE COMPLAINANT OF FINDINGS, FEEDBACK, AND APPEAL OPTIONS

12f. SIGNATURE OF COMPLAINANT	12g. DATE

PART IV - APPEAL

13a. I elect to appeal the outcome of my complaint for the following reasons:

☐ Continuation sheet(s) is attached ☐ Continuation sheet(s) is not attached

13b. COMPLAINANT'S SIGNATURE	13c. DATE

13d. I have reviewed the complaint file, the investigative findings, and other information regarding this case. My findings are:

13e. SIGNATURE OF APPELLATE AUTHORITY	13f. DATE

13e. I acknowledge being counseled concerning the outcome of this appeal.

13g. SIGNATURE OF COMPLAINANT	13h. DATE

DA FORM 7279-R, FEB 96

EQUAL OPPORTUNITY COMPLAINT RESOLUTION ASSESSMENT

For use of this form, see AR 600-20; the proponent agency is ODCSPER

In accordance with AR 600-20, Army Command Policy, 30 TO 45 calendar days (3-4 drill periods for reservists) following final decision on any complaint (substantiated or unsubstantiated) of unlawful discrimination or sexual harassment, an Equal Opportunity Advisor (EOA) will conduct an assessment of the effectiveness of corrective actions and will seek to detect and deter any acts or threats or reprisal. The equal opportunity advisor shall complete the assessment and present his or her findings and recommendations to the commander within 15 calendar days (2d next weekend drill period for Reserve component).

PART I - COMPLAINT

1. CORRECTIVE ACTIONS. The corrective actions taken as a result of the complaint of

_____ discrimination/harassment filed by
(type)

_____ on _____ were:
(rank/name) (date)

2. CONDUCT OF THE ASSESSMENT. (EOA will list the dates and times of actions taken, interview personnel {include complainant, alleged perpetrator, key witness, members of the chain of command, and support chain, sampling of unit members, etc..}, list surveys used, review of applicable unit records, etc..). Add enclosures/memorandums for record to DA Form 7279-1-R as necessary.

3. EFFECTIVENESS OF CORRECTIVE ACTIONS. I conducted an assessment of the effectiveness of the corrective actions taken on _____ My findings are:
(date)

4. REPRISAL. I also sought to detect any incidents(s) or threats of reprisals(s). My findings are:

PART II - RECOMMENDATION

5a. Based upon my findings, I recommend ☐ no further action ☐ the following actions be taken:

5b. EQUAL OPPORTUNITY ADVISOR'S NAME/UNIT	5c. SIGNATURE	5d. DATE

PART III - ACKNOWLEDGMENT

6a. I acknowledge receipt of this assessment and the EOA's recommendation.

☐ No further action will be taken ☐ The following actions(s) will be taken:

6b. COMMANDER'S NAME/RANK AND UNIT	6c. SIGNATURE	6d. DATE

This form will be retained on file with the original DA Form 7279-R

DA FORM 7279-1-R FEB 96

THE ARMY EQUAL OPPORTUNITY COMPLAINT PROCESS

IF YOU ARE THE VICTIM

MAKE AN INFORMAL COMPLAINT TO REPORT INAPPROPRIATE BEHAVIOR

CALL THE EQUAL OPPORTUNITY OFFICE AT YOUR INSTALLATION

IF BEHAVIOR PERSISTS

FILE A FORMAL WRITTEN COMPLAINT WITH ANY OF THE FOLLOWING AGENCIES WITHIN 60 DAYS OF INCIDENT.

Chain of Command	Equal Opportunity Advisor	Inspector General	Housing Referal Office	Staff Advocate General	Military Police	Criminal Investigator	Chaplain	Medical Agency

- 3 days — For complaint to be acted upon or referred to next higher command.
- 14 days — For complaint to be investigated and complaintant informed of results. (30 day extension may be granted from next higher command)
- 7 days — To appeal the investigative findings to the next higher command.
- 30-45 days — For following assessment after final decision on substantiated and unsubstantiated complaints to detect and deter incidents of reprisal.

EO PROGRAM COMPONENTS:

The Army's EO Program strives to ensure fair treatment of all based solely on merit, fitness, and capability, which supports readiness. EO is a responsibility of leadership and a function of command. Essential to having a successful EO program a combination of elements must be in place. These elements include a strong commitment by leaders to support the program, sequential and progressive training at all levels, an effective and responsive complaint system, affirmative action plans, feed back mechanisms and Equal Opportunity Advisors.

1. **Leader Commitment**. As a leader in today's Army, you are obligated to consistently demonstrate your support and commitment for the Army's EO Program. Leaders are the individuals responsible for ensuring a clearly stated policy on equal opportunity and sexual harassment is known by all individuals. Leaders must also ensure the use of prompt and even handed enforcement for discrimination or sexual harassment violations. The commander's personal policy statement should be presented during initial orientation for all incoming soldiers and be available for review at a convenient location within the unit.

2. **Sequential and Progressive Training**. Training is the primary method used to teach soldiers and civilians new skills and prevent inappropriate behavior. Through training and education, the Army seeks to influence and promote an environment that treats everyone with dignity and respect. Training is also the Army's method for improving communications and awareness that is vital to team building and unit cohesion. The Army wants to ensure that soldiers and DA civilians understand not only the consequences of their actions but also feel assured of command intervention to correct EO problems.

3. **Effective and Responsive Complaint Process**. A key component of the Army's EO Program is an effective and responsive complaint system. The Army has established a comprehensive complaint system for military personnel. The Army wants to ensure that every soldier and DA Civilian has a readily available system for submitting their grievances without intimidation or threat of reprisal. You will receive additional instruction on the Army's complaint procedures during this period of instruction.

4. **Affirmative Action Plan**. Affirmative Action Plans (AAP) are planned, achievable steps that are designed to prevent, identify, and eliminate unlawful discriminatory treatment of soldiers. These plans also assist in monitoring the progress of meeting the goals of equal opportunity.

5. **Feedback Mechanisms.** The Army has various methods of obtaining feedback on how well the EO program is working. These methods include tracking the number of complaints, sensing sessions with soldiers, EO surveys and climate assessments. All of these provide feedback to the chain of command and other senior leaders on the effectiveness of the Army's EO programs and policies.

6. **Equal Opportunity Advisors**. Another key component of the Army's EO program is the Equal Opportunity Advisor (EOA). Every unit in the Army from brigade level to major commands is required to have an EOA. The EOA is the individual who receives special training in the area of equal opportunity. Their primary responsibility includes receiving and assisting in processing individual complaints of unlawful discrimination or sexual harassment; assisting commanders in assessing, planning, implementing, and evaluating EO action plans; and understanding and articulating Army policy concerning equal opportunity.

RELATED LEADERSHIP ELEMENTS:

In addition to the program components there are six leadership elements that have special significance to Army leaders.

1. **Military Discipline and Conduct**. Military discipline is founded on the principles of self-discipline, the professional Army ethics and supporting individual values. You demonstrate your commitment to these values in your leadership, by exhibiting fairness and equity for all soldiers and DA civilians regardless of race, ethnic origin, gender, or religion.

2. **Issues of Appropriate Behavior**. Members of the military services are subject to a different set of behavioral standards than their civilian counterparts. Within the civilian work environment, the pursuit of a romantic relationship may not receive the same level of scrutiny as it would for those in uniform. When such attractions exist between soldiers of unequal rank and position, you, as leaders, must assess if it is appropriate as it relates to senior subordinate relationships. During your military or civilian career, you will receive training on Army policy regarding senior-subordinate relationships, fraternization, standards of conduct, and the Army ethic. The appropriateness of your conduct, with regard to EO and sexual harassment, will always be under close scrutiny, not only by your leaders but also by those you lead.

3. **Extremist Organizations**: As leaders in today's Army, you have additional challenges to deal with than existed a few years before. You must not only reject participation in any organizations that may espouse extremist views, you must also be alert to signs and signals from your soldiers that might warn you to their personal involvement in such organizations. You must thoroughly understand Para 4-12 of Chapter 4 in AR 600-20. Definition of "extremism:" Advocating the supremacy of one race over another; creating or engaging in illegal discrimination based on race, color, gender, religion, or national origin; advocating use of or using force or violence, or unlawful means or laws of the United States or of any state; advocating or seeking to overthrow the government of the United States or any state by unlawful means. Military personnel must reject participation in organizations or activities that advocate any of the activities detailed in Para 4-12 b. of Student Handout # 9. The commander has considerable authority to prohibit a soldier's involvement or participation in extremist organizations.

4. **Army Language Policy**. All soldiers are required to have sufficient proficiency in English to enlist and must maintain or improve that proficiency to perform their military duties. We are all required to speak English on duty when doing so is clearly necessary to perform military functions, promote safety, or other legitimate reasons to accomplish the mission. Speaking a language other than English on the job is in no way totally prohibited. Leaders should not require soldiers to speak English for personal communications that are unrelated to the mission. Your sound judgment in such situations and an ability to communicate policy and rationale clearly will promote a healthy EO climate in your unit and ensure that operational communications are understood by everyone.

5. **Accommodating Religious Practices**. The Army places a high value on the rights of soldiers to observe and practice their respective religions. Therefore, the Army's policy is to grant requests for accommodation of religious practices when they have no adverse impact on readiness. However, as you know, such accommodations cannot be guaranteed and must be considered on a case-by-case basis. Requests for religious accommodation apply to four general areas: worship, dietary practices, medical practices, and religious dress and appearance. Although such requests are approved or denied by the commander, your challenge as a leader is to assist the commander in finding ways to grant accommodation while maintaining a sense of balance and equity and not arousing perceptions of preferential treatment or discrimination based on religion.

6. **Women in the Army.** As a result of the new Secretary of Defense policy on the assignment of women, as of 1 October 1994, ninety-one percent of all Army career fields and 67 percent of all Army positions became open to women. Women are now authorized in 87 percent of the enlisted military occupational specialties, 97 percent of the warrant officer specialties, and 97 percent of the officer specialties.

UNIT CHAIN OF COMMAND:

As Army leaders, you are responsible not only for establishing acceptable standards of behavior within your areas of responsibility, but you are also responsible for monitoring constantly to ensure that your standards are being maintained. You cannot simply post a policy, or say that soldiers will or will not act or behave in certain ways. You must constantly be alert and aware of what is happening. To this end the Army's EO program calls upon you, as leaders, to perform certain duties and responsibilities in support of the Army EO Program. To make the program effective, you and other unit leaders must take a positive, proactive approach in carrying out your EO duties and responsibilities. This requires that you know and understand your EO role as it relates to those of the commander and other members of the chain of command.

The unit chain of command is designed to assist the commander in achieving primary goals and objectives to successfully accomplish the unit's assigned mission. The command channel extends both upward and downward for transmittal of orders and other official communications between senior and subordinate personnel. Equal opportunity is an integral part of unit leadership and therefore is a responsibility of the chain of command.

1. Your commander is ultimately responsible for everything the command does or fails to do. However to be effective, commanders must subdivide responsibility and authority to subordinate leaders and staff members. This ensures a proper degree of EO responsibility with each member of the chain of command. It is critical to the Army's EO Program, that unit commanders train subordinate leaders on the importance and function of this relationship.

2. The proper use of the chain of command with regard to EO matters is vital to the overall effectiveness of the program. Soldiers must be aware of it's existence and proper functioning within the unit. The relationship between the chain of command and soldiers must be a reciprocal commitment. You must help ensure that effective communications and trust are important cornerstones in this relationship. The chain of command is expected to resolve EO problems or complaints. Therefore, soldiers are also expected to use the chain of command when communicating their issues and concerns about unit EO matters. You have the responsibility to ensure through the chain of command that the commander is aware of problems which can affect discipline, morale and unit readiness.

NCO SUPPORT CHANNEL:

The NCO support channel parallels and complements the unit chain of command. The NCO support channel represents a line of communication and supervision from the battalion command sergeant major (CSM) to the unit first sergeant (1SG) and then to other NCOs and enlisted personnel of the unit. The scope of responsibility and authority to accomplish assigned tasks are defined by your commander. The support and commitment of the NCO support channel is essential for implementing and maintaining a viable EO program.

1. The role and responsibilities of the unit leadership, whether it is enlisted or officer, is to assist the chain of command in meeting Army EO program objectives and should as a minimum accomplish the following:

a. Transmit and instill the value and importance of professional Army ethics.

b. Plan, supervise, and manage day-to-day activities necessary for unit operations.

c. Train soldiers on EO policies and regulations, to include behaviors that communicates dignity and respect and the unit's EO complaint procedure.

d. Assist soldiers and their family members in resolving EO issues and complaints of sexual harassment.

e. Teach soldiers the history of the Army, a national leader in EO, to include military customs, courtesies, and traditions.

f. Teach soldiers about the mission of the unit and develop individual and team training programs to support the mission.

g. Administer and monitor NCO professional development programs, ensuring EO is an integral part of the NCO duty and responsibility.

h. Monitor and evaluate soldiers' performance, unit morale, and discipline. Report EO deficiencies and problems to the chain of command.

i. Assist the chain of command in identifying and resolving EO issues within the unit.

j. Provide individual counseling, on-the-spot correction, and team training to correct inappropriate behaviors or violations to EO policies.

2. **Equal Opportunity Representative (EOR)**. EORs assist commanders at battalion-level and below in carrying out the EO program within their units. An EOR is tasked to perform EO duties as a part-time or secondary responsibility. In addition the unit EOR assumes a special relationship with the chain of command and the leadership channels. Soldiers who are appointed as unit EORs receive training on a variety of EO subjects and can advise and assist unit leaders in carrying out their EO responsibilities. The EOR's EO duties and responsibilities include the following:

a. Recognize the detractors from healthy EO climate

b. Assist in conducting unit climate assessments

c. Assist unit leaders in conducting EO training

d. Liaison with other EORs and command/installation EOAs

e. Assist in planning and conducting ethnic observances

f. Serve as an EO resource person

3. **Equal Opportunity Advisor (EOA)**. Equal Opportunity Advisors are assigned as full-time EO duty positions at brigade or higher echelons. They are trained to assist their commanders in developing their EO programs and assessing program effectiveness. In addition they may be called upon to assist unit commanders in identifying and resolving EO problems and developing appropriate training. Commanders who require EOA support, but do not have a full-time EOA available through their command, may request EO support from the nearest installation commander through an Installation Support Agreement. The actual duties of an EOA and the relative emphasis on each duty varies according to type of unit, level of command, unit composition, location, and commander's guidance. Some of these duties will include the following:

a. Assess indicators of discrimination

b. Recognize overt and subtle forms of sexual harassment

c. Collect and interpret demographic data

d. Assist in evaluating effectiveness of EO training

e. Process individual EO complaints

f. Conduct inquiries IAW commander's guidance

g. Assist in planning and conducting ethnic observances

h. Conduct unit command climate assessments

i. Assist commander in resolving command EO issues and concerns.

EO VIOLATIONS:

These are the three basic concepts that define behaviors or actions which violate the Army's EO policies.

1. **Racism.** Racism is defined as any attitude or action by an individual, group, or institution to subordinate another person or group because of skin color or other physical traits associated with a particular group. As a leader, just being aware of a soldier's race or color, even for decisions about behaviors or other perceptual qualities, is not in and of itself racist. Your behavior is racist when your reaction to such distinctions is to dominate or subordinate an individual or group on the basis of their race, skin color, or other physical traits. There are more than one type of racism.

a. **Personal or Individual Racism.** Personal or individual racism refers to a person's prejudicial belief and discriminatory behavior against certain groups because of their race or skin color. Personal or individual racism is motivated by a belief or assumption of superiority or inferiority based on skin color or some other physical trait associated with race. Generally, minorities, who lack power and institutional support, cannot practice racism. They can, however, act out racist behaviors. As leaders, whether military or civilian, your superiority over your subordinates is derived solely from your rank and position, not your race or other physical characteristics.

b. **Institutional Racism.** Institutional racism refers to the policies of schools, businesses, law enforcement agencies, and other community and governmental activities that restrict the opportunities of certain groups because of race or skin color. Unlike personal racism, institutional racism does not have to be a deliberate or intentional practice on the part of the institution. The mere fact that certain groups are victims of unequal treatment due to their race or skin color is sufficient to classify an institution as practicing a form of racism. Another aspect or way of viewing institutional racism is that the institution assumes no responsibility or blame for its actions or impact on others. Examples of typical reactions or attempts to justify such actions are "These are the rules" or "I was just following orders".

2. **Sexism**. Sexism has many similarities to racism. However, it is based on an attitude of superiority or inferiority because of gender differences. Sexism is defined as an attitude, behavior, or conditioning that fosters stereotypes of social roles based on sex or gender. Another aspect of sexism is the individual or group belief that the differences between genders allow members of one gender rights and privileges that are not extended to the other gender. A leader of either gender can be sexist. However, the greatest number of complaints about sexist behaviors come from women. One of the reasons that sexism is so prevalent within American society is the socialization process. This may also explain why sexual harassment, a by-product of sexism, is so prevalent in our society and so difficult to eliminate. As with racism, it is difficult for women, who lack power and institutional support, to practice sexism. Women leaders, however, just as men, can demonstrate sexist or pro-sexist behaviors. Some types of sexist behavior include:

a. **Ignoring women or women's issues.** The failure to acknowledge contributions made by women in the organizational discussion of a business or duty performance issue. Other issues may typically include privacy in separate latrine facilities or special medical requirements.

b. **Exclusionary language.** Exclusive use of the pronouns "he" and "his," or the word "guys". The habitual use of such expressions as "this man's Army".

(1) **Speaking for women.** This is typically a tendency for a male to interject an answer to a question directed at a female, denying the female the opportunity to answer for herself.

(2) **Paternalism.** This involves the assumption of a role as the "father figure" to a female. A "daddy knows best" attitude. The male attempts to take charge of the female in a fatherly way that is not in keeping with the work environment or any legitimate work relationship between the man and the woman, in the belief that women are the weaker sex, deserving man's care and protection.

3. **Prejudice**. Prejudice is a negative attitude or feeling toward certain groups based upon faulty and inflexible generalizations. A leader is prejudice if he or she holds an unfavorable opinion or feeling formed beforehand without knowledge, thought, or reason. As a leader, you should be on guard against any preconceived opinion or feeling which is favorable or unfavorable toward certain groups. You must also be prepared to combat the existence of such preconceptions among those you lead. Prejudice is a major component of personal racism or sexism which is an over generalization of facts and erroneous beliefs. Prejudice is first developed and manifested with two components: the attitude or thinking component and the emotional or feeling component. Attitudes of superiority and stereotypes are formed at the thinking level by people who believe they are better because of their race or gender. Emotions such as fear, hate, or anxiety caused by close association with other racial or ethnic groups are strong by-products of prejudice at an emotional or feeling level.

a. **Prejudice Behaviors**. Another component of prejudice is the behavior associated with acting out the prejudice. As a leader, you must be careful not to act out your prejudices by discriminating against any group or its individual members. The more intense your prejudice is, the more likely your leadership will, either consciously or unconsciously, be affected by it. The behaviors that you, as leaders, or your soldiers may exhibit in acting out prejudices translate into five basic levels of action:

(1) **Disparaging Terms**. People who are prejudice might act out their feelings in a variety of ways. The first and most common form of prejudicial behavior is using degrading terms or words to describe members of a different gender or racial group. This behavior can be shown in a number of ways such as using phrases of color ("Male, white, and 21" or "barefoot and pregnant"), testimonials ("Some of my best friends are..."), and stereotype language ("We jewed him down"). Ethnic and sexist jokes are the most common and continue to get a lot of attention in the entertainment media. Another common behavior is the use of negative ethnic or gender characteristics as metaphors. Examples of these are: "This whole operation looked like a Chinese fire drill." "The detail was a Mexican showdown." "The 1SG is an Indian giver.", or "The defending force in this exercise didn't have a Chinaman's chance."

(2) **Avoidance**. Another behavior soldiers may exhibit as a result of personal prejudice is the use of avoidance. If the feelings and emotions associated with the prejudice are intense, a leader may feel compelled to avoid contact with the disliked group. A soldier who is prejudiced may not wish to inflict harm upon members of the disliked group but simply withdraw entirely from them. The need to avoid a specific group can come at a high cost in personal inconvenience and professional ineffectiveness.

(3) **Discrimination**. A third method of acting out prejudicial behaviors is discrimination. Prejudiced leaders may make personal distinctions in their treatment of a specific racial or gender group. They often actively strive to exclude or deny opportunities or fair treatment to soldiers and civilians in the disliked group that they offer to more favored groups.

(4) **Physical Attacks**. A fourth type of behavior in acting out prejudice is to engage in physical attacks. Under conditions of heightened emotions, prejudice may lead to acts of direct or indirect violence. Direct violence is the actual assault on a person or group, while indirect violence is focused more at the property or institutions of the disliked group. An example of such behavior would be the race riots that occurred on many installations in the late 1960s. While such violence was once commonplace in the military, an improved EO climate along with a system of training and education has rendered such incidents almost nonexistent. Physical attacks constitute assault and, as such, are violations of the UCMJ.

(5) **Extermination or Genocide**. The final and most extreme form of prejudicial behavior is extermination or genocide. This is the ultimate degree of violent expression because of prejudice. Acts such as lynching, massacres, holocaust, ethnic cleansing, and terrorism are some of the methods used, from a historic perspective, that define types of group extermination based on prejudice. Activities such as these are not usually performed on an individual or personal level. However, as demonstrated by a number of world conflicts, when enough political and cultural pressure is applied to military leaders and they acquire enough power to exercise their perceived ethnic superiority, then genocide is a real possibility.

DISCRIMINATION:

Discrimination can be defined as "the actions or practices carried out by members of dominant groups, or their representatives, which have a differential and harmful impact on members of subordinate groups." As discussed during the previous learning activity, discrimination is one way individuals "act out" their prejudices. Since prejudice is a mind-set or attitude, it has been suggested by some experts that our most successful strategy might be to prevent the prejudice from being acted on or exhibited in discrimination rather than trying to mount a direct attack on prejudice. Discrimination can be broken down into two types.

1. **Discrimination and Power.** You, as a leader, must be especially sensitive to and understand the direct link between discrimination and power. Without power, discrimination is ineffective; with power, prejudiced individuals can discriminate and maintain the dominance of one individual or group over another. We use the term power in this context to describe the expenditure of energy to control or influence others, or to control resources, to get things done. An Army leader is given power to make decisions or rules which can effectively discriminate and define who belongs and does not. Without power, discrimination is relatively passive. With power, unlawful discrimination is an unethical violation of the Army's policy because it denies fair treatment or any chance for equal opportunity.

2. **Personal Discrimination**. Personal discrimination is the action taken by an individual to deprive a person of a right because of race, color, religion, national origin, sex, or age. Of special concern to you, the leader, is that these actions may be open or hidden, direct or indirect, intentional or unintentional. Such discrimination might involve arbitrary decisions concerning personnel actions, awards, disciplinary actions, or punishments. In your role as a leader, you may find it necessary to take actions which others may perceive as discriminatory. You have the authority to use people effectively to get things done. You may have to assign PVT Sue Blue to clerical work and SPC Jim Slim to a cleanup detail. Although your decision may be based on training, their specific skills, or past performance, both individuals could perceive this as discrimination. As the leader, you may be called upon to show that you had a legitimate reason for your decision and that your purpose was simply to make the most effective

use of your personnel.

3. **Institutional Discrimination**. Discrimination can occur on a personal level or it may exist embedded in an institution. As discussed earlier, prejudiced leaders practice discrimination by making personal distinctions in their treatment of other individuals or groups. When whole organizations or societies practice this behavior, it is called institutional discrimination. Within the military, institutional discrimination could be defined as any systemic or functional practices that discriminate or manifest unequal treatment because of race, color, national origin, religion, or gender. Unlike other forms of discrimination discussed earlier, institutional discrimination is multifaceted and more complex. Institutional discrimination, in most cases, is systemic because the institution's practices are legal and/or supported by the society. Just as with institutional racism, it is irrelevant whether the actions of the institution were intentional or not. What matters is the disparate treatment or impact suffered by members of subordinate groups.

4. **Direct Institutional Discrimination**. There are two basic types of institutional discrimination: Direct and Indirect.

a. **Direct institutional discrimination**. Refers to socially prescribed actions which, by intention, have a differential and adverse impact on members of subordinate groups. In most instances, direct institutional discrimination is shaped by formal laws or informal rules that are imbedded in the routine operations or functions of the institution. Today, such discrimination might be more prevalent in recruiting and hiring practices that are linked to traditional gender roles.

b. **Indirect Institutional Discrimination**. Indirect institutional discrimination refers to institutional practices that have a negative or differential impact even though the policies or regulations guiding those actions were established with no intent to do harm. What is confusing and difficult to understand is that these policies and regulations, which appear to be written in neutral language, would produce unfair practices. As leaders, you have a responsibility to help the Army identify such activities you may discover within your area of responsibility.

5. **Side-Effect Discrimination**. Side-effect discrimination refers to practices in one institutional area which have an adverse impact because they are indirectly linked to discriminatory practices in another institutional area. An example in the military might be the competitive advantage that is recognized for combat experience. For instance, a woman who, during her military career, was excluded from certain combat roles, would be disadvantaged for assignments and promotions at higher levels where combat training or experience gave male competitors an edge for selection. Another example of side-effect discrimination would be a policy that required all MSM award recipients in a particular command to be in the grades of E7 and above. If the racial representation at those upper levels was out of balance, in other words one racial group was predominant, then the awarding of MSMs would be equally disproportionate.

6. **Past-In-Present Discrimination**. Past-in-present discrimination refers to the neutral practices of an institution (or organizational area) which inevitably reflect or perpetuate the effects of intentional discriminatory practices in the past. The most prevalent form of past-in-present discrimination is one in which minorities or women are penalized because they lacked some ability or qualification that was denied to them in the past. As an example: if an organization required its highest level managers to have served in numerous or all lower levels of management in order to be qualified for a certain promotion, and some of those lower levels had previously been closed to minorities, then there would be no minorities (or fewer) who met the criteria for consideration to the highest levels within the organization. They are not excluded today because of their minority status, but they lack the mandated criteria because of past hiring and promotions policies. Another example of this form of discrimination in the civilian arena,

one that receives a great deal of attention today, is the seniority rule used by employers and unions who in the past intentionally discriminated against minorities or women, but no longer do so today. However, when seniority is used as the primary factor for determining who is fired or laid off, minorities and women who were last hired will be the first to go. In the side-effect example given earlier, if the racial imbalance at the designated grades was a result of previous discrimination in promotion practices, then the resulting imbalance in MSM awards would also be a form of past-in-present discrimination.

SEXUAL HARASSMENT:

Sexual harassment is a special form of gender discrimination. Although either gender may be the target of sexual discrimination or harassment, the majority of complaints come from women. Similarly, under Title IX of the 1972 Education Act Amendments, academic advancement conditioned upon submission to sexual demands constitutes sex discrimination in education. The underlying distinction between sexual harassment and other forms of discrimination is that the disparate or differential treatment is based on the demand for or denial of sexual favors. The behavior can be overtly threatening and offensive, such as a demand for sexual favors, or it may be something as seemingly innocent as referring to a co-worker as "sweetie" or "babe". In either event, whether the recipient is offended or not, the behavior is inappropriate for the work place and illegal under both military and civilian law. Sexual harassment will be discussed in more detail later in this lesson.

EQUAL OPPORTUNITY AND THE UCMJ:

As a soldier, and especially as a leader of soldiers, any disobedience or misconduct on your part may have consequences unlike any in civilian life. For example, sexual harassment by you or a soldier can seriously disrupt mission accomplishment. It can also have fatal outcome on the battlefield.

1. Because of the serious consequences, we must approach and carry out the Army's EO program in a spirit of total commitment. As Army leaders, you must ensure that all violations of EO policies are dealt with promptly, effectively and fully investigated when appropriate. You must identify inappropriate behaviors and apply corrective actions which match the severity of the behavior. Less severe acts might be dealt with by training or on-the-spot corrections, while more serious violations may required formal counseling or a recommendation for UCMJ action. Accused persons must have full access to all legal and regulatory protection. Taking these measures will help your soldiers to have trust and confidence in you and the chain of command.

2. The UCMJ provides a number articles which may be used to deal with EO and sexual harassment violations. Refer students to the Student Handouts for a listing of the UCMJ Articles and actions relevant to EO Violations.

LEADER ACTIONS:

As a leader, you are not only charged with the responsibility to recognize violations of the equal opportunity policies, you are responsible for taking actions to stop them and keep them from being repeated. We will discuss what some of your options are during this block. These are not all inclusive and you may find different alternatives available as time goes on. The important lesson to be gained is that you must take appropriate actions when you observe violations of the equal opportunity policies. It is important for you as leaders to know that there is no one correct way to handle all situations. What might work for one soldier, at a given time may not be how a different soldier in a different situation should be handled. This is where leadership, and supervisory skills must be applied.

1. **On-the-Spot Corrections**. The easiest, and a very effective tool to deal with violations which you observe is immediate confrontation of the offender when you observe something that is wrong. Whether this would serve as a final action depends upon the gravity of the offense. For example, suppose you overheard soldiers making a sexist remark toward another soldier. Directly confronting them, clearly explaining what you found offensive, and explaining that this type of behavior constitutes sexism, or perhaps sexual harassment, and will not be tolerated could very well end the issue. You have put them on notice that you are aware of their behavior and will not accept it. If the soldiers learn from this, and change their behavior, you have solved the problem and it might not be necessary to take it any further.

2. **Counseling - Verbal and/or Written**. Counseling a soldier for violations of EO and sexual harassment policies is another option. This provides the soldier with reinforcement that you find a particular action unacceptable and that you are concerned enough you want to make a record. It demonstrates that he or she is going to be monitored in the future. It also drives home the point that when you are keeping a documented record of their actions and any future violations could incur even more serious consequences.

3. **Training/Education**. As a leader, you should be attuned to the climate in your section or unit. As you develop your impressions over a period of time, you may decide that training is in order to raise the sensitivity level within your area of responsibility. You can contact your unit Equal Opportunity Representative (EOR) and ask for a class to be presented. It can be tailored to fit whatever area you feel is a problem. If you do not have a unit EOR, then your installation or command has a Equal Opportunity Advisor (EOA) who will be able to assist you in presenting training. This can be done over and above the mandatory requirements for equal opportunity training your unit should already be providing.

4. **Deny Promotion/Advancements**. If a soldier has committed actions which constitute violations of the EO or sexual harassment policies, and you have documented them via counseling statements, then the commander can take these past actions into consideration when

deciding who should be selected for promotion and who should wait or not be selected at all. Promotion is not a right but rather a reward for service performed.

5. **Decisions concerning awards, training, or schools**. A soldier who has violated equal opportunity policies - especially more than once - might not be a good candidate for an award. Simply PCSing does not automatically mean you should receive an award. If incidents which have resulted in counseling have occurred during a soldiers tour, not giving an award may be an appropriate response. The soldier should certainly be counseled as to why they are not receiving an award. Decisions involving a soldier attending a specific course or school should take into consideration the soldiers past performance. This would include his or her job performance and any record of counseling statements. Of course, this is not to say the soldier hasn't learned and has modified his or her behavior. A single incident should never disqualify a soldier, only be taken into consideration along with recent behavior.

6. **Changes in duties or responsibilities.** If a soldier has committed violations of the Army's equal opportunity policies, and they are in a leadership position or high profile position, it may be appropriate to remove them from that position. For example, if a soldier is a Squad Leader, then perhaps they should be removed from that position. This is not meant to imply they must be removed. Other actions or solutions might be more appropriate. It simply points out that this is an option that can be reviewed and/or considered.

7. **Transfer or reassignment**. It is possible that a soldier should be transferred to another unit if they are guilty of violating equal opportunity policies. An NCO, for example, might not have

any credibility if they have been found violating policies. If this happens, then transferring them to another unit might be best for the soldier who was violated, the NCO, and the unit in general. This action should not be taken lightly. The supervisory chain and the commander must evaluate the situation and make a determination as to whether this is a reasonable action or not.

8. **Bar to Reenlistment**. If a pattern of behavior is established in which a soldier violates equal opportunity policies, a Bar to Reenlistment may be in order. A Bar to reenlistment can be an extremely affective tool to modify a soldier's behavior. It strongly points out to the soldier that his or her behavior does not meet the Army's standard and continued service would not be appropriate. If however, a soldier modifies their behavior, a Bar can relatively easily be removed and the soldier allowed to remain in the service of the Army. Any consideration of Bar to Reenlistment initiation should be discussed with the commander and appropriate legal channels.

9. **Separation**. If a soldier's actions are severe enough, then mandating exit from the Army may well be warranted. This can be accomplished in several different manners. Leaving an imposed Bar to Reenlistment in place is the easiest means. If the behavior or action which caused the Bar to be implemented have not changed, then the soldier should be permitted to leave at the end of the current term of service. Another means of forcing a separation might be the result of a courts martial proceedings. This action of course would be under the control of the court martial convening authority at the appropriate level. It is also possible that a combination of actions, including such things as Counseling Statements, Article 15s, and other administrative actions could result in sufficient documentation to warrant separation. This is routinely referred to as a 'Chapter Discharge.' Any consideration of separation should be discussed with the commander and appropriate legal channels.

RELATED ELEMENTS OF SEXUAL HARASSMENT:

There are other elements related to defining sexual harassment which must be understood in order to assess the appropriateness of your behavior and the behavior of those you lead. Two important elements that you should be aware of are: (1) Impact vs Intent, and (2) Reasonable Person Standard.

1. **Impact Vs Intent**. In addition to the policy definition of sexual harassment, it is vital to have a firm understanding of the concept of "impact vs. intent". What soldiers or leaders may consider to be joking or horseplay must be evaluated on its appropriateness or offensiveness as perceived by the recipient. Assessing whether a behavior is appropriate or offensive is a leadership responsibility and must be done from the perspective of the recipient, not the alleged harasser. An excuse such as "I was only joking" is irrelevant. In the event of a complaint, the leader or supervisor must view the impact of an incident or series of incidents from the complainant's perspective. However, whether or not the victim is emotionally effected and/or willingly submitted to the behavior of the harasser is irrelevant in determining whether sexual harassment occurred. The only relevant question to be answered is "Was the behavior appropriate or inappropriate?" As a leader, you must be willing to ask and seek an answer to that question, not only with regard to your behavior but also regarding the behavior of your subordinates and other leaders whose behaviors you will have occasion to observe.

2. **Reasonable Person Standard**. The reasonable person standard is used to predict the expected reaction to or impact of perceived offensive behaviors on the recipient. The standard asks "How would a reasonable person under similar circumstances react or be affected by such behavior?" When the complainant is a woman, the evaluation would pose, "How would a reasonable woman be affected or react?" You, as Army leaders must be aware that, because of our socialization, men and women can watch the same behavior, but have a very different perspective about what they saw and what they were feeling. For example: Only in recent

years have states changed laws which could convict a man of rape because he forced his wife to have sex. The reasonable person standard is an essential tool for leaders at all levels when determining the appropriateness of an individual's behavior.

IMPACT OF SEXUAL HARASSMENT:

As Army leaders, you must have a sense of how sexual harassment affects the victims as well as the organization. You must be familiar with the kinds of behaviors victims may use to cope with sexual harassment. A number of variables exist in assessing the impact on, or expected reactions of the victim. Leaders at all levels must be able to explain to their soldiers and civilians the devastating affects sexual harassment can have on a victim and on organizational readiness. Problems due to sexual harassment can manifest themselves in a number of ways. Some are very obvious, while others may be well hidden and not so visible.

1. The first and most obvious impact sexual harassment has on victims is that it interferes with their work performance. A soldier or civilian who has to fend off offensive and repeated sexual attacks does not perform quality work.

2. Another impact of sexual harassment has on the victim is that it creates a hostile environment by creating unreasonable stress in the work place. Sexual harassment promotes a negative form of stress that can affect everyone in the work place. Sexual harassment also puts a high degree of fear and anxiety into the work place.

3. When the harassment is "quid pro quo," the fear of loss of job or diminishing career opportunities can undermine a unit's teamwork and morale. The bottom line for commanders and their subordinate leaders is clear: Anyone who is sexually harassed is less productive, and the command climate, as well as mission effectiveness, will likely suffer. Soldiers and civilian employees can only reach their full potential in an environment that fosters dignity and respect. There must be zero tolerance for discrimination and sexual harassment.

VICTIM REACTIONS TO SEXUAL HARASSMENT:

To adequately assess the impact that sexual harassment can have on a victim, you must know the kinds of reactions that victims frequently have to a sexual harassment incident. You must learn to recognize the behavior patterns victims show in attempting to cope with a stressful situation.

1. **Denial**. Denial is the most common reaction to a sexual harassment incident. It allows the victim to "write the incident off" as if it did not take place. It provides relief by removing the victim from the incident which keeps the person from feeling negative emotions and the necessity to respond. The incident may occur again, but a victim in complete denial may never acknowledge the existence of the behavior. A person in denial will not admit that the incident ever took place.

2. **Rationalization**. Rationalization is another reaction that allows the victim to avoid dealing with an emotional incident. It gives the victim a logical way of making personal excuses for his or her behavior as well as for the behavior of others. Comments such as "It wasn't really directed at me" and "I'm not that kind of person" are frequently heard. Another version would be a person dealing with a sense of power: "What can I do?" or "I'm just a private." Sometimes the victim will rationalize to excuse the behavior of the harasser: "Surely he isn't really like that" or "She was just having fun." Rationalizing as well as denial precludes or reduces personal feelings of pain and injustice.

3. **Joking**. Joking about the harassment is another form of rationalization used to release tension and strengthen one's self-esteem. Making fun out of a sexually harassing situation allows the victims to consider the actions of the perpetrator as circumstantial and to negate their

own feelings about the incident.

4. **Avoidance**. Avoidance can have a detrimental effect on victims of sexual harassment. Unlike denial and rationalization, the behavior associated with avoidance is easily misinterpreted as abnormal, inappropriate, or bizarre. Victims of sexual harassment will sometimes behave out of character, exhibiting a host of excuses in an attempt to remove themselves from the harasser or, an offensive environment. Claiming illness can keep a soldier on sick-call or in the case of civilians, on sick leave. Depending on the severity of the harassment, avoidance can cause actual physical ailments such as an upset stomach, headaches, or other health problems.

a. Soldiers and civilians who fail to come to work because of sexual harassment increase absenteeism which hinders the Army's ability to accomplish it's mission.

b. The following questions are not meant to be all inclusive, but they can help in clarifying whether a sexual harassment incident has occurred.

(1) Is the behavior sexual in nature?

(2) Is the behavior unwelcome?

(3) Does the behavior create a hostile or offensive environment?

(4) Have sexual favors been demanded, requested or suggested?

SEXUAL HARASSMENT ASSESSMENT:

As leaders, you must be able to assess the "totality of circumstances surrounding a sexual harassment incident or event to evaluate the impact of the alleged behavior, judge its severity, and determine corrective actions and/or recommendations for sanctions. Taking into account the "totality of circumstances" of a sexual harassment incident will give you enough information to make an unbiased decision. Assessing all issues of an event allows for you to formulate an action plan to prevent similar incidents from occurring in the future. Here are a few of the issues that you should consider in that assessment.

1. **Nature of the Incident**. What was the actual behavior exhibited by the perpetrator? The nature of the act should be your first priority for assessment. You may take more severe action to correct a soldier or civilian who continually makes jokes of a sexual nature in the work place, even after being asked to stop or having been previously counseled that the behavior was inappropriate, than a person who committed the same offense for the first time. While allegations of verbal abuse are significant, stronger leader action would be in order if it were proven that someone was threatened because they failed to comply with another person's sexual advances.

2. **Frequency of Behavior**. Frequency of the act is the next issue to be addressed in the assessment process. Was this a one-time event or repeated behavior? One act of sexual harassment viewed by itself might seem relatively insignificant and easily resolved by on-the-spot correction. If your inquiry determines that the incident is a culmination of a series of such acts, its impact could logically be assumed to be greater and more severe.

3. **Impact of Behavior on the Victim**. While this issue should have less weight in your determining appropriate corrective actions or punishment, it may give you insight into other extenuating conditions or circumstances that contributed to the harassment. Be aware, however, that just because a victim is not physically or emotionally effected, should not detract from your evaluation of the severity of the behavior. Determine whether the perpetrator intended or succeeded in doing harm.

4. **Appropriateness of Behavior**. The issue of appropriateness as applied to behavior in alleged acts of sexual harassment must be determined in every case. Evaluating appropriateness of behavior forces the question that even if your soldier was not aware that the behavior was inappropriate, military bearing, discipline, and professionalism should have deterred any acts of offensive behavior. In many instances, even when no one is offended or sexual harassment cannot be proven, the violation of military standards and decorum will require you to take corrective action.

5. **Rank and Position**. You, and other unit subordinate leaders, are given the responsibility and authority to take care of soldiers. Leaders are empowered with a great deal of trust and confidence. When leaders elect to violate that trust by misusing their authority or position, then sanctions should be imposed accordingly. On the other hand, supervisors and leaders can also be intimidated by their subordinates on the basis of gender differences. Failure by any leader in a position of authority to correct the offensive behavior of a subordinate is also a misuse of that position and should be challenged regardless of the circumstances.

6. **Past History**. In reviewing the incident, you should also consider other allegations, past or present, directly or indirectly related to the case. Although it is important to consider each complaint on its own merit, the uniqueness of sexual harassment (i.e., one-on-one) may make it necessary to review issues related to past history as well as current behavior characteristics during inquiry. It is sometimes appropriate to draw conclusions and take corrective action even though you may not have sufficient evidence to recommend punishment or other sanctions.

7. **Consequences of Your Actions**. Here you must ascertain such issues as the impact and other potential problems created as a result of the incident. Will the problem be resolved with minor corrective action or should you report it to the chain of command? You must also determine what is the goal or desired outcome of your actions to correct the incident. Do you only want the behavior to stop? What is your next step if desired results are not achieved? It is equally important to consider what consequences and/or repercussions might result if you decide not to take any action.

8. **Environment Assessment**. The environment in which the incident occurred must also be part of your assessment. This entails a number of factors such as the state of your section or squad's EO climate, your support and enforcement of sexual harassment policies, outside influences, and the present state of EO training for your soldiers and civilian personnel. Constant jokes of a sexual nature made by you, your soldiers, or civilians in effect constitute a "hostile environment". Another consideration is whether the alleged harasser was trained that such behavior was inappropriate.

PREVENTION PROGRAM ACTION PLANNING:

The potential for sexual harassment allegations exists in any work place or duty environment. Both women and men can be victims. Organizations that are highly structured and stratified are more conducive to sexual harassment because the potential for negative consequences is high if the victim fails to "give in" to sexual demands. Those more vulnerable in the organization, such as trainees or those who "need" their jobs, are more likely to be harassed. This fact, combined with other social-cultural factors, makes women the more likely victims.

Sexual harassment occurs when employers, leaders, soldiers, and co-workers confuse employment, or duty expectations with sex-role expectations or when males are threatened because females have invaded what they believe is their territory, the traditionally all-male jobs. The bottom line is that sexual harassment is pervasive and affects both morale and productivity. Therefore, increased emphasis on dealing with sexual harassment in the Army is a leadership

imperative.

The components of a sound unit program to end sexual harassment are the same as those for the Army's EO program. It includes total leadership commitment, career-long mandatory training in the prevention of sexual harassment, clearly established ways to report sexual harassment, and clear demonstration through disciplinary and administrative action that certain behaviors will not be tolerated.

1. **Leadership Commitment**. The effectiveness and success of any Army program is dependent upon leader support. Without your support, the Army's effort to prevent and eradicate sexual harassment will lose its momentum and effectiveness. Your commitment is multifaceted. It starts with your understanding and total support of the commander's published policy. You must provide clarification and ensure that you and your subordinates understand the Army's policy on the Prevention of Sexual Harassment (POSH). You must instill in your subordinates a sense of caring, dignity, and respect one another. The most effective way that you, as a leader, can demonstrate your support for the program is through personal example, ensuring that your behavior is above reproach at all times. You must also demonstrate a commitment to enforcement, especially for those soldiers who "just don't get it", by taking "on-the-spot" appropriate action to correct inappropriate behavior. Counsel subordinates and, if necessary, report incidents.

2. **Progressive Training**. The elimination of sexual harassment begins with a policy of progressive and sequential training to identify and prevent inappropriate behavior. Training in the Prevention of Sexual Harassment (POSH) is required as an integral part of a unit's training program. The most effective approach to training to prevent sexual harassment is through interactive discussion in small groups of mixed gender. Situational vignettes or scenarios can also be used to facilitate discussion among unit personnel. You should ensure that your training focus is equal to the level of experience and breadth of responsibilities for your soldiers.

3. **Complaint Process.** The key to a healthy unit climate that is free of sexual harassment is a caring leadership environment in which complaints are handled fairly and expeditiously. Sometimes unit leaders might treat sexual harassment complaints as a threat to their competency or as a "stain" on the unit's performance. As a result, complaints are implicitly or explicitly discouraged and soldiers who do file complaints may find themselves threatened with intimidating reprisals. This is noticed by other soldiers and civilians and results in a hard-to-erase impression of uncaring leadership that lessens their willingness to use the chain of command as an avenue of redress. Leaders who demonstrate awareness, accept and support the complaint investigation process, improve the unit's climate by creating a sense of openness and caring. Complainants may not always be pleased with the results. However, the fact that you made a sincere effort to resolve their complaint will leave a lasting impression with the individual as well as the unit. Sometimes your effort may reveal the true problem to be a lack of communication rather than deliberate harassment. By bridging this communication gap, you can help eliminate misunderstanding and improve the working environment. Be aware that inquiry or investigation into allegations of sexual harassment require special attention. Unlike other EO complaints, you may find that allegations of sexual harassment may sometimes lack sufficient information for you to take decisive actions. Also, the one-on-one nature of sexual harassment sometimes causes evidence to be in dispute. You should not discharge claims of sexual harassment simply because the victim has failed to make a case by providing you with sufficient evidence. For this reason, your commander may consider an investigation whenever a claim of sexual harassment is raised.

ADMINISTRATIVE/DISCIPLINARY ACTIONS:

An often quoted maxim in the Army has been, "Never give an order you are not prepared to

enforce." Soldiers and civilian employees quickly ascertain which policies are mere "lip service" and which lines should not be crossed. This is especially true when enforcing sanctions against personnel guilty of sexual harassment. Leaders who clearly support a zero tolerance for sexual harassment and recommend appropriate actions against offenders greatly contribute to a healthy command climate. On the other hand, leaders who fail to support sanctions that are equal to the offense, despite a publicized written policy, send a message that sexual harassment is tolerated.

1. **Administrative Actions**. There are several administrative actions available to commanders, or that you may recommend, in dealing with sexual harassment incidents. These include, but are not limited to: bar to reenlistment, letter of admonishment and reprimand, relief for cause, rehabilitative transfer, additional training, required counseling, and denial of certain privileges. When commanders administer punishment for sexual harassment violations, the block "Supports EO/EEO" on military rating forms must be marked accordingly.

2. **UCMJ Actions**. Your commander has a wide variety of options available for the punishment of inappropriate behavior. The offenses shown here identify the more severe forms of sexual harassment which are subject to disciplinary actions under the UCMJ. The right combination of punishment and administrative sanctions sends a clear message that sexual harassment will not be condoned or tolerated. When commanders administer punishment for sexual harassment violations, the “NO” block "Supports EO/EEO" on military rating forms should be marked accordingly

3. **Sexual Misconduct**. While sexual harassment is generally not considered criminal in nature, some actions and behaviors clearly “cross the line” and become sexual misconduct and even criminal acts, punishable under one of more Articles of the UCMJ. The obvious examples of these types of actions include sexual abuse, battery, and rape. Another example of sexual misconduct would entail violations of the Army’s policy on Homosexual Conduct. Although Equal Opportunity does not normally include issues involving criminal activity, sexual misconduct is related enough to warrant discussion.

4. **Laws and Regulations Governing Sexual Misconduct**. The UCMJ makes some conduct criminal, and some sexual conduct may violate more than one article of the UCMJ. The UCMJ applies to you 24 hours a day, 7 days a week, for as long as you are in the Army. It applies on duty and off duty, in or out of uniform, on or off a military installation, in the United States and overseas, and while you are on pass or leave. The UCMJ applies to you regardless of whether you consider yourself a heterosexual, a homosexual, or a bisexual. The penalties for violating the UCMJ articles are severe. Sex crimes are no joke and the Army takes these matters very seriously, and so should you.

POLICY:

All Department of the Army personnel are prohibited from taking any action that might discourage soldiers, any family member or DA civilian from filing a complaint or seeking assistance to resolve an EO grievance. Army personnel are prohibited from taking any disciplinary or other adverse action against a complainant, or other DA personnel, seeking assistance, or cooperating with investigating officers, Inspector General or other law enforcement agencies. However, this does not preclude commanders from taking action against soldiers who file fraudulent complaints or give false statements.

DEFINITIONS:

1. **Reprisal:** Taking or threatening to take an unfavorable personnel action or withholding or threatening to withhold a favorable personnel action, or any other act of retaliation, against a military member for making or preparing a protected communication.

2. **Threatening:** Give signs or warning of, or to announce as intended or possible actions.

3. **Intimidation**: Make timid, frighten, to inhibit or discourage by or threaten with harm or adverse treatment.

4. **Harassment:** Annoy or torment repeatedly and persistently, to wear out, exhaust or impede by repeated attacks.

PROTECTED DISCLOSURE:

Any lawful communication or disclosure to a Member of Congress, Inspector General of any Service, members of any DOD audit or inspection teams, Chain of Command, investigative or law enforcement agencies in which a military member or DA civilian makes a complaint or provides information that he or she reasonably believe is evidence for the following:

1. A violation of law or regulations.

2. Severe case of mismanagement.

3. Fraud or a gross waste of public funds.

4. An abuse of authority or position.

5. Protected disclosure also includes circumstances where a military member:

a. Were preparing to make a lawful communication but it was not actually submitted, or delivered.

b. Did not actually communicate or complain, but was believed to have done so.

c. Cooperated with or otherwise assisted in an audit, inspection, or investigation by providing information that you believed evidenced wrongdoing. (Example: acted as a witness or responded to request for information in a lawful communication.

UNFAVORABLE ACTIONS:

Any action taken that might affect or have the potential to affect a persons current position or career opportunity. Such actions include, but are not limited to the following:

1. Promotions or other types of advancement.

2. Administrative disciplinary or other corrective or punitive actions.

3. Transfers or reassignments.

4. Decisions concerning pay, benefits, awards, training, or schools.

5. Counseling, reprimands, or performance evaluation.

6. Other changes in duties or responsibilities inconsistent with military rank or position.

REPORTING INCIDENTS OF REPRISAL:

It is the responsibility of the chain of command to ensure that all complainants are protected against reprisal or retaliation for filing an EO complaint. Should a military member, civilian, or your family member be threatened with such action they should immediately report the incident to the chain of command, the Inspector General, or higher echelon commander. The following should help as a guide to making that determination:

1. Did the complainant make a protected disclosure or complaint prior to the incident?

2. Was an unfavorable action threatened or taken after the disclosure or complaint was made?

3. Did the person or official taking action know of the complaint or disclosure?

4. Does the complainant believe the action taken would not have occurred if the complaint had not been made?

5. Does the complainant have evidence or other information that supports or indicates reprisal was taken because of the complaint or disclosure? (Not required to report actions of reprisal.)

FOLLOW-UP ASSESSMENT:

The Equal Opportunity Advisor (EOA) is required to conduct a follow-up assessment of all formal equal opportunity complaints, both substantiated and unsubstantiated. This assessment will be completed 30-45 calendar days (3-4 weekend drill periods for Reserve Component) after final action of the complaint. The purpose of the assessment is to measure the effectiveness of the actions taken and to detect and deter any acts or threats of reprisal. EOAs will also assess the complainant's satisfaction with the procedures followed in the complaint process to include timeliness, staff responsiveness and helpfulness, and resolution of the complaint. Findings on the assessment is provided to the commander for further consideration or action within 15 calendar days.

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Student Handout 4

Situation: Green vs Brown

This student handout contains a situation you will use to meet the requirements of LS/A 5, Discuss leader actions to resolve EO complaints.

Situation: You are a section sergeant in first platoon, HHC, 1-5th ADA. SGT Alma Green, a team leader in your section, has come to you and said she wants to submit a complaint against the platoon sergeant, SFC Brown, for sexual harassment. SGT Green said SFC Brown had called her into his office yesterday and told her he needed her to work late last night to get ready for an inspection. After work he took her to get something to eat, and they stopped at a local bar where he supposedly groped her by touching her breasts and her buttocks. She told him to stop, but he didn't. She told him to stop again and said she was going to report him. He told her if she said anything to anybody he would make things very difficult for her.

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Appendix C

PRACTICAL EXERCISE 1

Title	ENFORCE THE EQUAL OPPORTUNITY PROGRAM
Lesson Number / Title	L327 version 1 / ENFORCE THE EQUAL OPPORTUNITY PROGRAM
Introduction	None
Motivator	None
Terminal Learning Objective	**NOTE:** The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise. At the completion of this lesson, you [the student] will:

Action:	Determine individual and leader actions to ensure compliance with the Army's Equal Opportunity (EO) Program.
Conditions:	As a section leader in a classroom environment given extracts from AR 600-20, TSP 121-050-8010, and student handouts.
Standards:	Determined individual and leader actions to ensure compliance with the Army's Equal Opportunity (EO) Program IAW AR 600-20 and TSP 121-050-8010.

Safety Requirements	None
Risk Assessment	Low
Environmental Considerations	None
Evaluation	At the end of the lesson discussion you will compare your answers with the solution sheet provided by the instructor.
Instructional Lead-In	None
Resource Requirements	**Instructor Materials:** Solution to Practical Exercise 1 **Student Materials:** • Pen or pencil and writing paper. • Practical Exercise 1. • SH-2 thru SH-4.
Special Instructions	Students receive this practical exercise during in-processing. Students must read the reading assignment and complete the practical exercise prior to class. Students must bring the completed exercise and reading assignments to class.

Procedures

QUESTION 1: What is the Army's Equal Opportunity Policy?

_____

_____

_____

QUESTION 2: During what periods does this policy apply?

a. When in uniform during duty hours, on post.
b. Whenever one is officially representing the U.S. Army.
c. Both on and off post, during duty, and non-duty hours.
d. During duty hours on post, in uniform, or not.

QUESTION 3: List the six components of the Army's EO Program:

(1) _____
(2) _____
(3) _____
(4) _____
(5) _____
(6) _____

QUESTION 4: Who is the command's EO officer who is personally responsible and accountable for the EO climate within the unit?

a. The commander
b. The first sergeant
c. The platoon Sergeant
d. The squad leader

QUESTION 5: What is the time limit for a new commander to conduct a unit climate assessment?

a. Within 45 days (180 days for USAR units) annually thereafter.
b. Within 90 days (120 days for USAR units) annually thereafter.
c. Within 90 days (180 days for USAR units) semi-annually thereafter.
d. Within 90 days (180 days for USAR units) and annually thereafter.

QUESTION 6: Who is primarily responsible for recommending appropriate remedies to eliminate and prevent unlawful discrimination and sexual harassment?

a. The commander
b. The Equal Opportunity Advisor (EOA)
c. The first sergeant
d. The Equal Opportunity Representative (EOR)

QUESTION 7: To what position must Commanders appoint a member of the chain of command in the rank of SSG through 1LT to assist in carrying out the EO Program?

a. Equal Opportunity Advisor (EOA)
b. Equal Opportunity Representative (EOR)
c. Squad Leader
d. Special Emphasis Program Representative (SEPR)

Procedures, continued

QUESTION 8: Racism is a concept with behaviors or actions that violate the Army's EO policies. What is the definition of racism?

a. A form of gender discrimination that involves unwelcomed sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature.
b. Any conduct whereby one military member or employee, regardless of service or rank, unnecessarily causes another military member or employee, regardless of service or rank, to suffer or be exposed to an activity which is cruel, abusive, oppressive, or harmful.
c. Any attitude or action by an individual, group, or institution to subordinate another person or group because of skin color or other physical traits associated with a particular group.
d. Any practice that have an adverse effect on individuals or groups of individuals because of their race, color, religion, sex, national origin, age, or handicap.

QUESTION 9: Sexism is a concept with behaviors or actions that violate the Army's EO policies. What is the definition of sexism?

a. A form of gender discrimination that involves unwelcomed sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature . . . .
b. An attitude, behavior, or conditioning that fosters stereotypes of social roles based on sex or gender.
c. Any attitude or action by an individual, group, or institution to subordinate another person or group because of skin color or other physical traits associated with a particular group.
d. Any practice that have an adverse effect on individuals or groups of individuals because of their race, color, religion, sex, national origin, age, or handicap.

QUESTION 10: Prejudice is a concept with behaviors or actions that violate the Army's EO policies. What is the definition of prejudice?

a. A negative attitude or feeling toward certain groups based upon faulty and inflexible generalizations.
b. Any conduct whereby one military member or employee, regardless of service or rank, unnecessarily causes another military member or employee, regardless of service or rank, to suffer or be exposed to an activity which is cruel, abusive, oppressive, or harmful.
c. Any attitude or action by an individual, group, or institution to subordinate another person or group because of skin color or other physical traits associated with a particular group.
d. Any practice that have an adverse effect on individuals or groups of individuals because of their race, color, religion, sex, national origin, age, or handicap.

Procedures, continued

QUESTION 11: Identify four EO or sexual harassment violations that are subject to the UCMJ listed below:

a. Ignoring women or women's issues.
b. Making racial or sexual comments and/or gestures.
c. Making unsolicited and unwelcome sexual contact with intent to satisfy lust or sexual desire.
d. Exclusively using the pronouns "he" and "his," or the word "guys," such as "this man's Army"
e. Using degrading terms or words to describe members of a different gender or racial group.
f. Influencing or threatening the career, pay, or job of others in exchange for sexual favors.
g. Threatening the career, job, or salary of another unless they "cooperate."
h. Using negative ethnic or gender characteristics as metaphors, i.e., "The 1SG is an Indian giver."

QUESTION 12: List four actions you, as a unit leader, may take in response to violations of the EO and sexual harassment policies.

(1) _____

(2) _____

(3) _____

(4) _____

QUESTION 13: What is the policy of the Army on sexual harassment?

_____

_____

QUESTION 14: What is sexual harassment?

_____

_____

QUESTION 15: What are the three categories of sexual harassment?

(1) _____

(2) _____

(3) _____

QUESTION 16: What are the two types of sexual harassment?

(1) _____

(2) _____

QUESTION 17: List five techniques of dealing with sexual harassment.

(1) _____
(2) _____
(3) _____
(4) _____
(5) _____

Feedback Requirements	None

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Appendix D

HANDOUTS FOR LESSON 1: L334 version 1

This appendix contains the items listed in this table--

Title/Synopsis	Pages
SH-1, Advance Sheet	SH-1-1
SH-2, Extract AR 600-20	SH-2-1 thru SH-2-5
SH-3, HQDA Message 101800ZJAN00	SH-3-1 thru SH-3-3
SH-4, The Army's Homosexual Conduct Policy (Trifold)	SH-4-1 thru SH-4-3
SH-5, Student Notes	SH-5-1 thru SH-5-4

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Student Handout 1

Advance Sheet for L334

Lesson Hours This is a one-hour lesson.

Overview This lesson provides an overview of what you need to know to identify and determine the Army homosexual policy.

Learning Objectives

Terminal Learning Objective (TLO).

Action:	Determine the Army's Policy on Homosexual Conduct.
Conditions:	As a small unit leader in a company or battalion level unit, given extracts from AR 600-20, HQDA message, and student handouts.
Standard:	Determined the Army's Policy on Homosexual Conduct by-- • Identifying the DoD and Army homosexual conduct policy, • Defining what constitutes homosexual conduct, • Identifying the rights of the soldier being harassed or threatened based on perceived sexual orientation, • Identifying the commander's responsibilities when conducting inquiries, IAW AR 600-20.

Learning Steps/Activities (LS/As).

LS/A 1	Identify the DoD and Army homosexual conduct policy.
LS/A 2	Define what constitutes homosexual conduct.
LS/A 3	Identify the rights of the soldier being harassed or threatened based on perceived sexual orientation.
LS/A 4	Identify the commander's responsibilities when conducting inquiries.

Assignment The student assignments for this lesson are:
- Read SH-2, Extract of AR 600-20 and SH-3, HQDA Message 101800ZJAN00.

Additional Subject Area Resources None

Bring to Class Student Handouts 1 thru 5.

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Student Handout 2

Extract from AR 600-20, Army Command Policy

This student handout contains 4 pages of extracted material from the following publication:

AR 600-20, Army Command Policy, 13 Jun 02

Description	Paragraph Number
Chapter 4	4-19

Disclaimer: The developer downloaded this extract from the U.S. Army Publishing Agency Home Page. The text may contain passive voice, misspelling, grammatical errors, etc., and may not be in compliance with the Army Writing Style Program.

RECOVERABLE PUBLICATION

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4-19. Homosexual conduct policy

The DCS, G-1 is responsible for the U.S. Army Homosexual Conduct Policy.

a. General.

(1) This policy implements section 654 of Title 10, United States Code. Department of Defense has stated that the suitability of persons to serve in the Army is based on their conduct and their ability to meet required standards of duty performance and discipline.

(2) Definitions are as follows:

(a) Bisexual. A person who engages in, attempts to engage in, has a propensity to engage in, or intends to engage in both homosexual and heterosexual acts.

(b) Homosexual. A person, regardless of sex, who engages in, attempts to engage in, has a propensity to engage in, or intends to engage in homosexual acts as further described in (3) below.

(c) Sexual orientation. An abstract sexual preference for persons of a particular sex, as distinct from a propensity or intent to engage in sexual acts.

(3) *Homosexual conduct.* "Homosexual conduct" is a homosexual act, a statement by a soldier that demonstrates a propensity or intent to engage in homosexual acts, the solicitation of another to engage in homosexual act or acts, or a homosexual marriage or attempted marriage.

(a) A "homosexual act" means any bodily contact, actively undertaken or passively permitted, between members of the same sex for the purpose of satisfying sexual desires and any bodily contact (for example, hand-holding, slow dancing, or kissing) that a reasonable person would understand to demonstrate a propensity or intent to engage in such bodily contact.

(b) A "statement by a person that he or she is a homosexual or bisexual or words to that effect" means language or behavior that a reasonable person would believe intends to convey the statement that a person engages in, attempts to engage in, has a propensity to engage in, or intends to engage in homosexual acts. This may include statements such as "I am a homosexual," "I am gay," "I am a lesbian," "I have a homosexual orientation," and the like.

(c) A "homosexual marriage or attempted marriage" is when a person has married or attempted to marry a person known to be of the same biological sex (as evidenced by the external anatomy of the person involved).

b. Accession policy. A person's sexual orientation is considered a personal and private matter and is not a bar to entry or continued service unless manifested by homosexual conduct in a manner described in a(3). Applicants for enlistment, appointment, or induction into the Army will not be asked or required to reveal whether they are heterosexual, homosexual or bisexual. Applicants also will not be required to reveal whether they have engaged in homosexual conduct unless independent evidence is received indicating that the applicant engaged in such conduct or unless the applicant volunteers a statement that he or she is a homosexual or bisexual or words to that effect. Homosexual conduct is grounds for barring entry into the army, except as

provided in AR 601-210. Applicants will be informed of the laws and regulations governing sexual conduct in the armed services, including homosexual conduct as defined in a(3). AR 601-210 and NGBR 600-200 governs the Army accession policy.

c. Separation policy. Homosexual conduct is grounds for separation from the army under the terms set forth in paragraph a(3). AR 635-100, AR 635-200, AR 135-175, and 135-178, govern Army separation policies.

d. Guidelines for command-directed fact-finding inquiries into homosexual conduct.

(1) *Responsibilities.*
(a) Only a soldier's commander is authorized to initiate fact-finding inquiries involving homosexual conduct. A commander may initiate a fact-finding inquiry only when he or she has received credible information that there is a basis for discharge. Commanders are accountable for ensuring that inquiries are conducted properly and that no abuse of authority occurs.
(b) A fact-finding inquiry may be conducted by the commander personally or by a person he or she appoints. It may consist of an examination of the information reported or a more extensive investigation as necessary.
(c) The inquiry should gather all credible information that directly relates to the grounds for possible separation. Inquiries shall be limited to the actual circumstances directly relevant to the specific allegations.
(d) If a commander has credible evidence of possible criminal conduct, he or she shall follow the procedures outlined in the AR 27-10 and AR 195-2.
(e) These guidelines do not apply to activities of CID and other DOD law enforcement organizations that are governed by AR 195-2.

(2) *Basis for conducting inquiries.*
(a) A commander will initiate an inquiry only if he or she has credible information that there is a basis for discharge. Credible information exists when the information, considering its source and the surrounding circumstances, supports a reasonable belief that a soldier has engaged in homosexual conduct. It requires a determination based on articulable facts, not just a belief or suspicion.
(b) A basis for discharge exists if-
(1) The soldier has engaged in a homosexual act.
(2) The soldier has said that he or she is a homosexual or bisexual, or made some other statement that indicates a propensity or intent to engage in homosexual acts, or
(3) The soldier has married or attempted to marry a person of the same sex.

(3) Credible information does not exist, for example, when-
(a) The individual is suspected of engaging in homosexual conduct, but there is no credible information, as described that supports the suspicion.
(b) The only information is the opinion of others that a soldier is a homosexual.
(c) The inquiry would be based on rumor, suspicion, or capricious claims concerning a soldier's sexual orientation.
(d) The only information known is an associational activity such as going to a gay bar, possessing or reading homosexual publications, associating with known

homosexuals, or marching in a gay rights rally in civilian clothes. Such activity, in and of itself, does not provide the evidence of homosexual conduct.

(4) Credible information exists, for example, when-

(a) A reliable person states that he or she observed or heard a soldier engaging in homosexual acts, or saying that he or she is a homosexual or bisexual or is married to a member of the same sex.

(b) A reliable person states that he or she heard, observed or discovered a soldier make a spoken or written statement that a reasonable person would believe was intended to convey the fact that he or she engages in, attempts to engage in, or has the propensity or intent to engage in homosexual acts.

(c) A reliable person states that he or she observed behavior that amounts to a nonverbal statement by a soldier that he or she is a homosexual or bisexual-i.e., behavior that a reasonable person would believe intended to convey the statement that the soldier engages in, attempts to engage in, or has the propensity or intent to engage in homosexual acts.

(5) *Procedures.*

(a) Informal fact-finding inquiries and administrative separation procedures are the preferred method of addressing homosexual conduct. This does not prevent disciplinary action or trial by courts-martial when appropriate.

(b) Commanders shall exercise sound discretion regarding when credible information exists. They shall examine the information and decide whether an inquiry is warranted or whether no action should be taken.

(c) Commanders or appointed inquiry officers shall not ask, and soldiers shall not be required to reveal whether a soldier is a heterosexual, homosexual, or bisexual. However, upon receipt of credible information of homosexual conduct, (as described in a(3)) commanders or appointed inquiry officials may ask soldiers if they engaged in such conduct. The soldier should first be advised of the DOD policy on homosexual conduct (and rights under Article 31(b), UCMJ, if applicable). Should the soldier choose not to discuss the matter further, the commander should consider other available information. Nothing in this provision precludes questioning a soldier about any information provided by the soldier in the course of the fact-finding inquiry or any related proceedings. Nor does it provide the soldier with any basis for challenging the validity of any proceeding or the use of any evidence, including a statement by the soldier in any proceeding.

(d) At any given point in the inquiry, the commander or appointed inquiry official must be able to clearly and specifically explain which grounds for separation he or she is attempting to verify and how the information being collected relates to those specific separation grounds.

(e) A statement by a soldier that he or she is a homosexual or bisexual creates a rebuttable presumption that the soldier engages in, attempts to engage in, has a propensity to engage in, or intends to engage in homosexual acts. The soldier shall be given the opportunity to present evidence demonstrating that he or she does not engage in, attempt to engage in, or has a propensity or intent to engage in homosexual acts.

(f) The soldier bears the burden of proving, by a preponderance of evidence, that he or she is not a person who engages in, attempts to engage in, has a propensity to engage in, or intends to engage in, homosexual acts.

(6) *Legal effect.* The procedures set forth in this paragraph create no substantive or procedural rights.

e. Investigation policy. Investigations or inquiries will not be initiated solely to determine whether a member is a heterosexual, homosexual, or bisexual. There must be credible information that a basis for disciplinary action or discharge exists. The information that constitutes the basis of the investigation must be deemed credible by the criminal investigation organization commander as well as the soldier's commander in most cases. AR 195-2, Criminal Investigating Activities, provides guidance on the investigation of sexual misconduct.

f. Security. Individuals will not be asked or required to reveal on personnel security questionnaires whether they are heterosexual, homosexual, or bisexual. An individual's sexual conduct, whether homosexual or heterosexual, is a legitimate security concern only if it could make an individual vulnerable to exploitation or coercion, or indicate a lack of trustworthiness, reliability or good judgment that is required of anyone with access to classified information. AR 380-67 provides additional guidance.

g. Training.

(1) All officers and enlisted personnel of the Active Army and Reserve Components will receive briefings upon entry and periodically thereafter with a detailed explanation of regulations governing sexual conduct by members of the Armed Forces. Briefings will include policies on homosexual conduct and applicable laws in accordance with section 654 of Title 10, United States Code and Article 137, Uniform Code of Military Justice (UCMJ).

(2) The Army uses the DoD Homosexual Conduct Policy Training Plan as a guide in training commanders and personnel involved in recruiting, accession processing, criminal investigations, and administrative separations. The training plan includes detailed hypotheticals that illustrate how military personnel should approach specific, concrete scenarios under the new DoD policy on homosexual conduct.

Student Handout 3

This Student Handout contains 2 pages of the HQDA Message on Dignity and Respect for all soldiers.

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UNCLASSIFIED
ROUTINE
R 101700ZJAN 00
FM HQDA WASHINGTON DC//DAPE-HR-L//
TO ALARACT
INFO HQDA WASHINGTON DC//DAPE-HR-L//

SUBJECT: HOMOSEXUAL CONDUCT POLICY

1. REFERENCE SECRETARY OF THE ARMY AND CHIEF OF STAFF, ARMY MESSAGE DATED 101800ZJAN00, SUBJECT: DIGNITY AND RESPECT FOR ALL.

2. THIS MESSAGE PROVIDES THE ARMY'S GUIDANCE ON THE IMPLEMENTATION OF THE AUGUST 12, 1999 OFFICE OF THE SECRETARY OF DEFENSE ADDITIONAL GUIDANCE ON THE HOMOSEXUAL CONDUCT POLICY IN THE ARMED FORCES.

3 .THE SECRETARY AND THE CHIEF OF STAFF AFFIRM THAT TREATING SOLDIERS WITH DIGNITY AND RESPECT IS A BEDROCK VALUE FOR THE ARMY. WE DECLARE THAT THERE IS NO ROOM FOR HARASSMENT OR THREATS TO ANY SOLDIER IN OUR ARMY FOR ANY REASON. THEREFORE, AS THE SENIOR LEADERS OF THE ARMY WE ARE DETERMINED TO CONTINUE TO IMPLEMENT THE DOD HOMOSEXUAL CONDUCT POLICY WITH EQUITY AND FAIRNESS TO ALL OF OUR SOLDIERS.

4. THE ESSENTIAL ELEMENTS OF THE DEPARTMENT OF DEFENSE POLICY REGARDING HOMOSEXUAL CONDUCT ARE BASED ON TITLE 10, UNITED STATES CODE, AND ARE UNCHANGED. HOWEVER, IN ORDER TO PROTECT FULLY THE RIGHTS OF ALL PERSONNEL, THE FOLLOWING ADDITIONAL GUIDANCE IS PROVIDED.

1A. ALL SOLDIERS WILL RECEIVE REFRESHER TRAINING ON HOMOSEXUAL CONDUCT POLICY WITHIN 90 DAYS OF THE DATE OF THIS MESSAGE. THE DEPUTY CHIEF OF STAFF FOR PERSONNEL WILL ESTABLISH A WORLD-WIDE-WEB PAGE WITH RESOURCE MATERIAL AND PUBLISH TRAINING MATERIALS TO BE USED IN THI S TRAINING. THESE TRAINING MATERIALS ARE AVAILABLE AT THAT WEBSITE: WWW.ODCSPER.ARMY.MIL.

1B. TRADOC HAS BEEN DIRECTED TO INCORPORATE INSTITUTIONAL TRAINING ON HOMOSEXUAL CONDUCT POLICIES INTO ALL STAGES OF THE PROFESSIONAL MILITARY EDUCATION (PME) SYSTEM WITHIN 90 DAYS OF THE DATE OF THIS MESSAGE.

1C. THE ARMY INSPECTOR GENERAL HAS BEEN CHARGED TO SPECIFICALLY INSPECT HOMOSEXUAL CONDUCT POLICY TRAINING THROUGHOUT THE ARMY AND THE RESERVE COMPONENTS BEGINNING FEBRUARY 11, 2000.

1D. THE ARMY JUDGE ADVOCATE GENERAL HAS BEEN TASKED TO CREATE PROCEDURES FOR INSTALLATION-LEVEL STAFF JUDGE ADVOCATES TO USE WHEN CONSULTING WITH SENIOR LEGAL OFFICERS ON CASES INVOLVING HOMOSEXUAL CONDUCT.
1E .VERBAL ADMISSION OF HOMOSEXUALITY MAY BE GROUNDS FOR DISCHARGE. COMMANDERS MUST, HOWEVER, DETERMINE WHETHER ADMISSIONS ARE CREDIBLE. IN MOST CASES OF HOMOSEXUAL ADMISSION, NO INVESTIGATION IS REQUIRED. HOWEVER, IN INSTANCES WHERE THE COMMANDER FEELS THAT THE ADMISSION MAY NOT BE CREDIBLE, AN INQUIRY MAY BE APPROPRIATE AND WILL BE CONDUCTED PURSUANT TO AR 600-20. THE INITIATION OF ANY SUBSTANTIAL INVESTIGATION INTO WHETHER AN ADMISSION OF HOMOSEXUALITY WAS MADE FOR THE PURPOSE OF SEEKING SEPARATION FROM THE ARMY AND/OR WHETHER RECOUPMENT OF FINANCIAL BENEFITS IS WARRANTED MUST BE APPROVED AT THE ARMY SECRETARIAT LEVEL. A "SUBSTANTIAL INVESTIGATION" IS DEFINED AS ONE THAT EXTENDS BEYOND QUESTIONING THE MEMBER, INDIVIDUALS SUGGESTED BY THE MEMBER FOR INTERVIEW, AND THE MEMBER'S IMMEDIATE SUPERVISORY CHAIN OF COMMAND .THE SECRETARY HAS DESIGNATED THE ASSISTANT SECRETARY OF THE ARMY FOR MANPOWER AND RESERVE AFFAIRS (ASA M&RA) AS THE

APPROVAL AUTHORITY FOR INITIATION OF SUBSTANTIAL INVESTIGATIONS. REQUESTS FOR APPROVAL WILL BE FORWARDED THROUGH COMMAND CHANNELS TO THE ASA (M&RA). NO FURTHER ACTION WILL BE TAKEN, INCLUDING PROCESSING THE SOLDIER FOR DISCHARGE, UNTIL EITHER PERMISSION FOR TNITIATING THE INVESTIGATION IS DENIED OR PERMISSION IS GRANTED AND THE INVESTIGATION IS CONCLUDED. IF. ALL APPLICABLE ARMY REGULATIONS WILL BE REVISED AS QUICKLY AS POSSIBLE TO REFLECT THIS GUIDANCE. THE DEPUTY CHIEFS OF STAFF FOR OPERATIONS AND PERSONNEL WILL WORK TO REVISE AR 350-1 AND MANDATE ANNUAL TRAINING ON THE HOMOSEXUAL CONDUCT POLICY.

5. FINALLY, IN OUR ARMY WE EXPECT THAT ALL SOLDIERS WILL BE TREATED WITH DIGNITY AND RESPECT AT ALL TIMES, AND WILL BE AFFORDED A SAFE AND SECURE ENVIRONMENT IN WHICH TO LIVE AND WORK. HARASSMENT OF SOLDIERS FOR ANY REASON, TO INCLUDE PERCEIVED SEXUAL ORIENTATION, WILL NOT BE TOLERATED. WE EXPECT COMMANDERS AT EVERY LEVEL TO TAKE APPROPRIATE ACTION TO PREVENT HARASSMENT OF OR THREATS AGAINST ANY MEMBER OF OUR ARMY. ONCE AGAIN WE ARE DETERMINED TO CONTINUE TO IMPLEMENT THE DOD HOMOSEXUAL CONDUCT POLICY WITH FAIRNESS TO ALL BECAUSE THAT IS THE RIGHT THING TO DO FOR OUR SOLDIERS.

UNCLASSIFIED

Student Handout 4

This Student Handout contains 2 pages of the “Don’t Ask, Don’t Tell”; give this handout to the students to keep for future reference.

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In The Army…

Treating soldiers with dignity and respect is a bedrock value for the Army. There is no room for harassment or threats in the military. The Army is determined to implement the "Don't Ask, Don't Tell" Policy with fairness to all concerned. This policy must be clearly understood and fairly enforced.

What Did the Congress Say?

In 1993, Congress made a finding that engaging in, attempting to engage in, or soliciting another to engage in homosexual acts is grounds for discharge from the military. Congress said that military service by those who have demonstrated a propensity to engage in homosexual acts creates an unacceptable risk to morale, good order and discipline, and unit cohesion. Therefore, the long-standing element of military law that prohibits homosexual conduct continues to be necessary in the unique circumstances of military service.

It was the sense of Congress that applicants should not be asked about homosexuality as part of the processing of individuals entering into the Armed Forces in the absence of a determination by the Secretary of Defense that such questions are necessary. Applicants for military service are no longer asked about their sexual orientation.

Army policy is a balance of the legal prohibition of homosexual conduct with the privacy rights of Soldiers.

What Does the Law Say?

United States Code Title 10 addresses homosexuality in the armed services. The code recognizes that one of the most critical elements in combat capability is unit cohesion. The code affirms that the armed forces must maintain personnel policies that exclude persons who would create an unacceptable risk to unit cohesion. Title 10 recognizes that military life is fundamentally different from civilian life and concludes that the presence of individuals in the armed forces who engage in homosexual acts creates an unacceptable risk to unit cohesion and standards of morale, good order and discipline.

What Does “Don’t Ask” mean?

According to Department of Defense and Army policy, a person’s sexual orientation is considered a personal and private matter that is not a bar to military service unless manifested by homosexual conduct. Upon entry into the Army, applicants may not be asked nor required to reveal their sexual orientation. Applicants will not be asked if they have engaged in homosexual conduct. While on Active Duty soldiers will not be asked about their sexual orientation unless there is credible evidence of homosexual conduct.

What does “Don’t Tell” mean?

“Don’t Tell” is the opposite side of the coin from “Don’t Ask”. It means simply that soldiers should not disclose or discuss their sexual orientation or conduct. If a soldier admits publicly to being a homosexual, the commander will start an informal inquiry or investigation to determine if credible evidence exists to warrant separation.

What Is Not Credible Evidence?

- Rumors that a soldier is homosexual
- Others opinions that a soldier is homosexual
- Going to a homosexual bar, reading homosexual publications, associating with known homosexuals or marching in homosexual rights rally in civilian clothes
- Reporting threats or accusations of being homosexual

What Is Credible Evidence?

- A statement by a reliable person that the soldier has engaged in a homosexual act, heard the soldier state that he or she was homosexual or that the soldier had married or attempted to marry a member of the same sex
- A statement by a reliable person that they had observed or discovered a soldier saying or putting in writing a statement acknowledging a homosexual act or the intent to engage in a homosexual act

What Is Considered Grounds for Investigation?

Commanders can only begin an investigation or fact-finding inquiry if credible evidence of possible homosexual conduct exists. This means that before an investigation begins, a commander must have a reasonable belief that a soldier has:

- engaged in a homosexual act;
- stated that he or she is a homosexual or otherwise indicate a propensity to engage in homosexual conduct; or
- married or attempted to marry a person of the same sex

In most cases, when a soldier freely admits to being a homosexual, investigations are not needed in order for a separation to occur.

How Do Investigations Proceed?

When the commander has credible evidence, he or she initiates an inquiry. Commanders are required to consult with legal advisors prior to initiating any investigation into alleged homosexual conduct.

What Can I do If I Am Threatened or Harassed?

A soldier who feels harassed or threatened for any reason should report the harassment or threat at once to his or her commander.

Under DoD and Army Policy, the fact that a person reports being threatened or harassed because he or she is said or is perceived to be a homosexual shall not, by itself, constitute credible information justifying the initiation of an investigation of the threatened or harassed soldier.

It is Army policy that soldiers can report threats, harassment or violence to the command, free of harm or reprisal. Commanders will take appropriate action to protect the safety of soldiers who report threats or harassment. Appropriate action should include prompt investigation of the threat or harassment itself.

Threats or harassment based on a soldier's perceived or alleged homosexuality does not, by themselves, constitute credible information justifying an inquiry about possible homosexual conduct by the harassed soldier.

Who Can I Talk With in Confidentiality?

A soldier can discuss any topic regarding sexual orientation with a Legal Assistance Attorney or Chaplain because they are generally not required to disclose the contents of a privileged communication or take any actions, of which the soldier does not approve.

Summary of Current Army Policy.

On 26 July 1999, the Secretary of the Army signed Army Regulation 600-20, entitled Army Command Policy. Chapter 4-19 defines the Army's homosexual conduct policy. The policy implements section 654 of Title 10, United States Code and states that suitability to serve in the Army is based on conduct and the ability to meet required standards of duty performance and discipline. Homosexual conduct is defined as an act or a statement by a soldier that demonstrates a propensity or intent to engage in homosexual acts, the solicitation of another to engage in a homosexual act or acts, or a homosexual marriage or attempted marriage.

The challenge to all soldiers is to comply with the law that prohibits homosexual conduct while at the same time respecting the privacy and dignity of every soldier.

"Don't Ask"

"Don't Tell"

Questions and Answers

The U.S. Army's
Homosexual Conduct Policy

Student Handout 5

This Student Handout contains 3 pages of the slides, three on a page, for students to use as note taking material.

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The Army Homosexual Policy

L334/OCT04/V0T-1 Basic Noncommissioned Officer Course

DOD Homosexual Policy

- **Focuses on homosexual conduct, not orientation.**
- **Soldier will be separated for:**
  - **Statement (e.g. "I am gay").**
  - **Acts**
  - **Marriage**

L334/OCT04/V0T-2 Basic Noncommissioned Officer Course

The Army Homosexual Policy

- Implements 10 U.S. Code § 654
- Implements DOD Policy, DOD Directives 1332.14; 1332.30.
- AR 600-20, Chapter 4, para 4-19
- Policy is a balance between the legal prohibition of homosexual conduct and the privacy rights of soldiers.

L334/OCT04/V0T-3 Basic Noncommissioned Officer Course

What does the Law Say?

"A member of the Armed Forces shall be separated if one of the following findings is made:

– "the member has engaged in, attempted to engage in, or solicited another to engage in a homosexual act or acts

What does the Law Say? (cont)

– "the member has stated that he or she is a homosexual or bisexual, or words to that effect

– "the member has married or attempted to marry a person known to be of the same sex."

What is Harassment?

- **Definition:** Derogatory, abusive, threatening or annoying behavior directed toward an individual or group.
- **Possible types of harassment**
  - **Verbal (on or off duty)**
  - **Jody calls regarding homosexuals**
  - **Derogatory, abusive, threatening or annoying language or references about homosexuals**
  - **Graffiti in latrines, bulletin boards, etc.**
  - **Anonymous threats; telephonic, electronic, etc.**

Harassment

- All soldiers will be treated with dignity and respect and will be afforded a safe and secure environment in which to live and work.
- Harassment of soldiers for any reason, to include perceived or alleged homosexuality, will not be tolerated.
- Commanders at every level will take appropriate action to prevent harassment of or threats against any member of the Army.

L334/OCT04/VGT-7 Basic Noncommissioned Officer Course

What Happens if a Soldier Tells Others that he/she is Homosexual or a Bisexual

- If a soldier makes a statement that he or she is a homosexual or bisexual, or makes other statements indicating a propensity to engage in homosexual acts, the soldier's commander may initiate an inquiry to determine whether that member should be discharged.
- Discharge is not required if it is determined that the soldier made the statement for the purpose of avoiding or terminating military service.

L334/OCT04/VGT-8 Basic Noncommissioned Officer Course

Commander's Responsibilities

1. **Advise the soldier on the DOD Homosexual Policy.**
2. **Read soldier his rights.**
3. **Ask the soldier:**
   - **If he committed or attempted to commit homosexual acts, or**
   - **Does he intend to or will in the future?**
4. **May question the soldier's supervisory chain of command. Also, other persons suggested by the soldier in the interview.**

L334/OCT04/VGT-9 Basic Noncommissioned Officer Course

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HANDOUTS FOR LESSON 1: L326 version 1

This appendix contains the items listed in this table--

Title/Synopsis	Pages
SH-1, Advance Sheet	SH-1-1
SH-2, Extracted Material from Center for Army Leadership, U.S. Command and General Staff College	SH-2-1 thru SH-2-10
SH-3, Homework Examination	SH-3-1 thru SH-3-4
SH-4, Homework Examination Solution	SH-4-1 thru SH-4-4
SH-5, Extracted Material from FM 22-100	SH-5-1

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Student Handout 1

Advance Sheet

Lesson Hours

This lesson consists of 20 mins of conference/discussion and 1 hour 30 mins of practical exercise.

Overview

You will look at words and think about how words have different meanings for different people. Identify the purpose of the communication effort and required analysis for the four components of the communication environment (personal, audience, psychological factors, and environment).

Learning Objective

Terminal Learning Objective (TLO).

Action:	Identify the components of communications as they apply to effective leadership.
Conditions:	As a small unit leader in a company or battalion level unit.
Standards:	Identified the components of the communication environment (personal, audience, psychological factors, and environment) as they apply to effective leadership IAW FM 22-100 and Student Handout 2.

ELO A Demonstrate knowledge of the communication process.
ELO B Correlate how individual perceptions influence communications.
ELO C Compare the effectiveness of communication with feedback and communication without feedback.

Student Assignments

- Read Student Handouts 1, 2, and 5.
- Complete the assignment in Student Handout 3, Homework Examination.
- Turn in Student Handout 3 one day prior to class to the instructor.

Additional Subject Area Resources

None

Bring to Class

You must bring the following materials to class.

- All reference material.
- Pen or pencil and writing paper.

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Student Handout 2

Extracted Material from Center for Army Leadership, U.S. Command and General Staff College

This student handout contains 9 pages of extracted material from Center for Army Leadership, U.S. Command and General Staff College, Lesson 158-100-1140, Communicate Effectively In a Given Situation, The Communication Process.

Title/Synopsis	Pages
SH-2, Communicate Effectively In a Given Situation, The Communications Process	SH-2-2 thru SH-2-10

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PREPARE YOURSELF TO COMMUNICATE

Communication is the means for transferring information from one person to another. It involves a source of the communication, the message to be transmitted, and a receiver. Your task as a leader is to effectively communicate your intended message. Experience shows that using the following process increases the accuracy and effectiveness of your communication efforts.

1. Identify the purpose of the proposed communication:

   a. Determine what information you need to communicate.
   b. Determine why you need to communicate the information.
   c. Determine to whom you need to communicate the information.
   d. Determine if you are the correct source of the information.

2. Analyze the communication environment.

   a. Personal. Determine your ability to accurately transmit the communication by evaluating your:

      (1) Expertise.
      (2) Values.
      (3) Expectations.
      (4) Experience.
      (5) Your authority to transmit the information.
      (6) Personal attributes which influence mode of communication.

   b. Audience. Determine to whom you should transmit information and why. Base your evaluation on the following audience criteria:

      (1) Expertise.
      (2) Values.
      (3) Expectations.
      (4) Experience.
      (5) Background (cultural, education and training).
      (6) Attributes which influence mode of communication.

   c. Psychological Factors. Determine the “noise” that may influence your communications and how you can use the “noise” to enhance the transmission of your message. Some factors to consider include:

      (1) Expertise.
      (2) Values.
      (3) Expectations.
      (4) Beliefs.
      (5) Needs.
      (6) Differences in positions (ranks).
      (7) Trust.
      (8) Stress and fatigue.

   d. Environment. Identify the environmental factors in the communication situation that may facilitate or hinder your message.

      (1) Identify factors which may facilitate the receiver’s accurate receipt of the intended message.
      (2) Identify factors which may hinder the receiver’s accurate receipt of the intended message.

e. Choose an appropriate medium (or media) for the message.

(1) Consider strengths and weakness of the media based on personal, audience, psychological, and organizational (environment) factors.
(2) Determine the resource requirements for the media and availability of the resources.

f. Determine if intended message was received accurately.

(1) Review techniques for determining if the intended message was received by the intended audience.
(2) Determine if the appropriate message was received. If not, determine source of problem and approach to take to correct it.

THE PRINCIPLES OF COMMUNICATION

1. Communications is a critical component of leadership. Communications is basic to all leadership principles. It is through communications that you keep your soldiers informed and ensure that the task is understood, supervised, and accomplished.

2. Communications is a complex process including the verbal, nonverbal, and symbolic modes.

   a. Verbal communications. Words themselves do not have meaning. People have meaning, and words are simply tools to convey that meaning. What may be familiar to one person may not be to another. One of the difficulties with words is that we attach different meanings based on our experiences and emotions. Another difficulty is that we create and use jargon, clichés, and specialized vocabularies. It is not uncommon to observe people struggling to find the right words to say what they mean.

   b. Nonverbal communications. One's nonverbal communications or body language reflects one's culture, develops over time and with practice, and is usually unconscious behavior. For that reason, nonverbal signals are often viewed as a more valid source of information than are the verbal communications.

      (1) There are a number of forms of body language.

         (a) One form of body language is eye contact and how the eyes are used during the communication process. Research indicates how individuals move their eyes, even though that movement may be slight, presents a view of the individual's internal representation of the world and how he/she is really viewing the interaction. For example, eyes placed in the upper right is an indication that the individuals is remembering things seen before in the way that they were seen before. For example, "What color is your mother's home?"

         (b) Posture is a powerful form of nonverbal communication. How one sits or stands sends signals that may communicate how an individual is experiencing his/her environment. As an example, a person who folds his/her arms and crosses his/her legs is often said to be defensive. But one needs to apply care when interpreting what posture means. For some sitting with folded arms and legs may be a culturally learned behavior. On the other hand, it may be a defensive posture that says "convince me, but I'm hard to convince."

      (2) Another nonverbal communication form involves involuntary nervous spasms, "tics," or sub-vocals. A soldier may say, "uh, uh, uh," when trying to find the right word. Another person may hum, grunt, or groan. Again, use care in interpreting the behavior.

      (3) Distancing is another nonverbal communication. Some people have the need to keep distance between themselves and others. If you invade the personal space, they may become tense or uncomfortable. Interestingly, too much space tends to be taken as an indication of negative feelings or discomfort. There are cultural, gender and ethnic differences in the way personal space is perceived. Typically, intimate distance is 18 inches or less, personal distance is 18 inches to 4 feet and social distance is 4 feet to 12 feet.

      (4) Gesturing. We give emphasis to our words and attempt to clarify our meaning through the use of gestures. Gestures include movements of the head, shoulders, arms, hands, and legs. Some cultures use a lot of gesturing. Gestures do not mean he same thing to all people. For example, the comment "we're number one" and the gesture of pointing the index finger in the air, is considered obscene in some cultures.

(5) Vocalism. How we accent words when we speak may imply a different meaning other than the words themselves. The way we emphasis certain words or the tone of voice we use can send “mixed messages” and often determines what the listener understands.

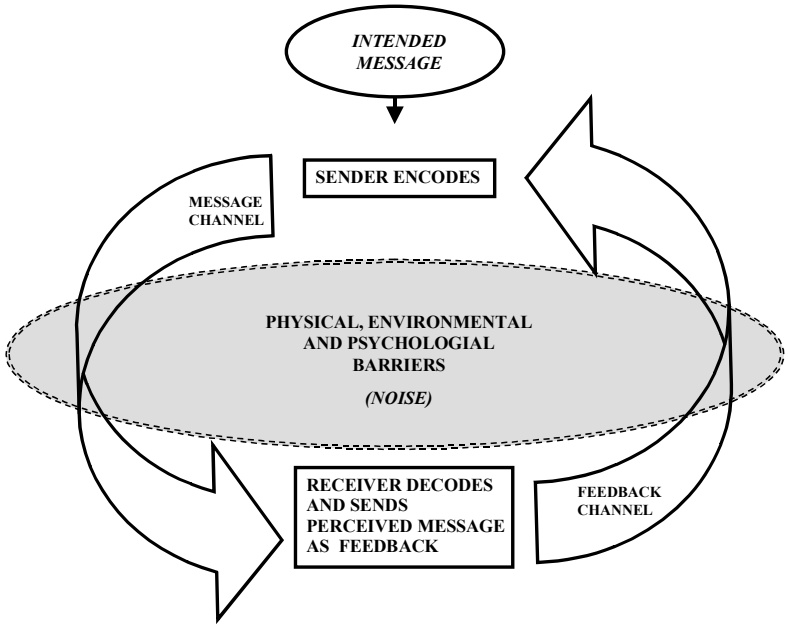
c. Symbolic. We give out signals about our meaning to other people through the symbols we use. They are a real part of our communication. The symbolic communication mode is essentially passive and messages transmitted in this way are easily misinterpreted. Symbolic communications include the following:

(1) Clothes (to include uniforms)
(2) Hair (to include length and beards)
(3) Jewelry or lack of
(4) Cosmetics or makeup
(5) Make of car
(6) Location of one’s house
(7) Type of paper used for a written communication

THE COMMUNICATIONS PROCESS

1. Communication is often defined as the process of transferring information from one person to another. Each transfer of information involves at least three basis elements: a source (sender) of the communications; a message to be transmitted, and a receiver. The message is influenced by both the content of the communication (the information being transmitted) and the mode used to transmit the content (voice, picture, writing, etc.). Each of the elements is a potential source of communication failure.

2. The communication process model below shows the chain of events that takes place when the source initiates a communication.



COMMUNICATIONS MODEL

a. Looking at the model of communications, you can see that the communications process begins with an intended message--an idea, information, or feeling--which the sender (source) wants to communicate to another (the receiver). The sender must encode the message in symbols, which he/she believes to be commonly accepted by the intended receiver.

b. In the communications model, the symbol merely means something that stands for something else and can include words, expressions, tones, graphs, drawings, etc.

(1) The sender. The sender (source) wants to transmit an idea, information, or feelings. As a leader, when you issue orders and instructions to your subordinates, you are the sender.

(2) The message. The message is composed of all the symbols assembled by the source to convey the intended thought or idea. The message will be encoded into the appropriate media and sent using the desired communications mode.

(3) The receiver. Your subordinate who receives the message is the receiver. The receiver decodes the message to determine the idea, information or feeling of the sender.

(4) Feedback. Feedback becomes another message. For communications to occur, there must be a continuous two-way interchange of feelings, ideas, and values. By soliciting feedback you can tell if the receiver has, in fact, understood your message.

3. Barriers to communication. (Noise)

a. Anything that prevents an understanding of the exact concept or information intended by the sender is a communications barrier or noise. Communication barriers also act as filters through which the message passes. The filters may muffle, distort, or change the message transmitted so that the receiver receives a message that is different from what the sender transmitted. The parlor game "Telephone" clearly illustrates the problem. In the game people sit in a circle. The first member is given a message to transmit to the second player. The first player must whisper the message to the second. The second player then transmits what he/she heard to the third and so on around the circle. When the last member receives the message, he/she tells the group what was heard. The first player then reads aloud the original message. Invariably the last message is completely different from the first because of the many filters through which it traveled to reach the last player in the circle.

b. Communications barriers are either physical or psychological.

(1) Physical barriers include such things as:
- noise
- distance between the sender and receiver
- data overload
- time
- and limited communications channels.

(2) Psychological barriers may include the following:
- personal beliefs
- values
- personal needs
- level of education
- goals
- experiences
- stress
- fatigue
- differences in rank, level of command, or a person's position within a command
- failure to listen
- the tendency to smother information
- multiple communications in a short time period
- lack of trust, respect, and confidence.

4. Guidelines for overcoming communications barriers include the following:

a. Listen to or observe the situation.

b. Develop and use good listening skills (active listening).

c. Listen with an open mind.

d. Don't let emotions cloud your communication process.

e. Understand what seniors, subordinates, and peers need to know to do their jobs. Leaders at all levels must see the battle or the training from the eyes of seniors, their subordinates, peers, and support personnel.

f. Understand how stress affects communications. You need to understand the human tendencies under stress that create communication problems. People do not see the same reality when they look at a situation or read a message. Soldiers at all levels need to be clear and concise in their communications. Prepare your soldiers to deal with stress and its effects on communications through realistic training.

g. Teach and demand accurate reporting. You have to be aware of the human tendencies that distort reality. If something is not known to be a fact, do not report it as a fact. Report it as whatever it is--a perception, belief, opinion, or assumption. Teach your soldiers to report matters exactly as they know them, based on what they see and hear. No matter how great the pressures are from a senior for progress in a situation, it is better to say, "I don't know," "I believe," or "I'll check and get back to you," than to report as "fact" something you are not certain is a fact.

h. Ensure that all soldiers are completely informed on the mission.

Summary. Communications is the means by which leaders get subordinates to understand and accomplish a mission. Communications may be verbal or nonverbal. Communications involves the transfer of information from one person to another. This involves a source (sender) of the communication, a message to be transmitted and a receiver. The message is influenced both by the content of the communication, the means of transmitting the content, and the filters (barriers) through which the message travels. Each of these elements is a potential source of communication failure. By analyzing the component parts of the communication process, the leader has a better chance to communicate effectively.

THE CHARACTERISTICS OF GOOD LISTENING AND ACTIVE LISTENING.

1. Good listening involves everything that is communicated to you both verbally and nonverbally. This means more than simply concentrating on what the other person is saying. Good listening requires effective two-way communication--not just allowing the other party to talk, but involving yourself in the process to understand, not just hear, what the other person is saying. It includes letting the other person know that you have heard him or her. You can improve your listening skills by using the following guides to analyze your listening strengths and weaknesses.

   a. *Find an area of interest*. Try to find an area of interest in the topic under discussion. Say to yourself: "What is he/she saying that I can use?"

   b. *Judge the content, not the delivery*. Even if the delivery is boring, find out what you must know.

   c. *Hold your fire*. Over-stimulation is almost as bad as under-stimulation. The over-stimulated listener gets too excited too soon. Learn not to get too excited about a speaker's point until you are certain you thoroughly understand it.

   d. *Listen for ideas*. Good listeners focus on central ideas. They recognize when central ideas are stated, and they are able to discriminate between fact and principle, idea and example, or evidence and argument.

   e. *Be flexible*. If there is the need, take notes. Sometimes you will need to develop brief, meaningful records for later review.

   f. *Work at listening*. Give the speaker your conscious attention.

g. *Resist distractions*. A good listener fights distractions. By closing a door, shutting off a radio, moving closer to the sender, or asking him to speak louder, you can fight distractions and make your listening a matter of concentration.

h. *Exercise your mind*. Good listeners develop an interest in hearing a variety of presentations difficult enough to challenge their mental capacities.

i. *Keep an open mind*. Some words trigger emotional eruptions, serve as "red flags," and distract you from understanding the message. A good listener distinguishes between the sender's intended message and the words the sender uses.

j. *Capitalize on thought speed*. There is evidence that most of us think about four times as fast as we talk. Thus you have time to spare during every minute a person talks. Keep your mind focused on the speaker. If you allow your mind to wander, you find that when your thoughts return to the person speaking he/she is far ahead of you. Good listeners use their thought speed to advantage; they constantly apply their spare thinking time to what is being said. Develop a thought pattern to include the following:

(1) Try to anticipate what a person is going to talk about.
(2) Mentally summarize what the person is saying. What point is he/she making?
(3) Weigh the speaker's facts.
(4) Listen "between the lines." Observe the nonverbal.

2. Active listening. A good listener is an active listener and must be aware of the following:

a. Do not interrupt the speaker.
b. Look at the person speaking.
c. Listen to what is said.
d. Listen to how it is said.
e. Maintain eye contact.
f. Maintain a comfortable body posture.
g. Maintain natural facial expressions. Avoid too much smiling or frowning.
h. Speak only when necessary.

3. Summary.

a. A good listener is an active listener.
b. Good listening is hearing both verbal and nonverbal messages.
c. Good listening is not automatic or easy. It takes practice and skill to become a good listener.
d. Good listening helps to improve the communication process.

INTERESTING COMMUNICATION FACTS

1. The leader's job cannot be accomplished without effective communications.

2. Communication can be defined as the process of transferring information from one person to another. The receiver then transmits feedback to the sender. The feedback becomes a message to the original sender. Thus, effective communications is self-correcting.

3. It has been found that the total impact of an oral communication is 7% verbal, 38% vocal, and 55% facial. (Mehrabian's formula) Another expert indicates that 60% of all communications is nonverbal.

4. The credibility of the sender greatly influences the message received.

5. People are generally less apt to be persuaded by communications which they perceive as being intended to persuade them.

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Student Handout 3

Homework Examination

This student handout contains item listed in this table:

Title/Synopsis	Pages
SH-3, Homework Examination	SH-3-2 thru SH-3-4

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HOMEWORK EXAMINATION - Personal Communications

1. The first step in preparing yourself to communicate is to identify the purpose of the proposed communication.

   a. True
   b. False

2. While identifying the purpose of the proposed communication you should determine--

   a. What information you need to communicate.
   b. Why you need to communicate the information.
   c. To whom you need to communicate the information.
   d. If you are the correct source of the information.
   e. All of the above.

3. Communications is basic to all leadership principles. It is through communications that you keep your soldiers informed and ensure that the task is understood, supervised, and accomplished.

   a. True
   b. False

4. Posture is a powerful form of nonverbal communication. How one sits or stands sends signals that may--

   a. Indicate an individual has no interest in what you have to say.
   b. Communicate how an individual is experiencing his/her environment.
   c. Reflect than an individual doesn't value your opinion.
   d. Indicate the need to inform the chain-of-command of the situation.

5. We give out signals about our meaning to other people through the symbols we use. Symbolic communications include the following:

   a. Friends relatives and coworkers we associate with.
   b. Gesturing and vocalism.
   c. Clothes, hair, jewelry or cosmetics, make of car, location of one’s house, and type of paper used for a written communication.
   d. The sender, the receiver, the message sent as well as physical and psychological barriers.

6. We often define communication as the process of transferring information from one person to another. Each transfer of information involves at least three basis elements: a source (sender) of the communications; a message transmitted, and a receiver.

   a. True
   b. False

7. In the communications model the sender is--

   a. The only source of feedback.
   b. The source who wants to transmit an idea, information, or feelings.
   c. Your subordinate who receives the message.
   d. The means by which two-way communication is possible.

8. We can define barriers to communications as either physical or psychological. Some physical barriers to communication are such things as--

   a. Noise, distance, data overload or time.
   b. Personal beliefs, values and needs.
   c. Goals, stress and fatigue.
   d. Lack of trust, respect and confidence**.**

9. No matter how great the pressures from a senior for progress in a situation, it is better to say:

   a. "The information I currently have is factual based on the information gathered to this point."
   b. That you informed all soldiers of the information or situation.
   c. "I don't know," "I believe," or "I'll get back to you, "than to report something you are not certain is a fact.
   d. "It is better to judge the delivery of the information than the content."

10. Good listening requires only one-way communication--just allowing the other party to talk, and hear what the other person is saying.

    a. True
    b. False

11. There is evidence that we can think about four times as fast as we can talk. If you allow your mind to wander--

    a. You can think about several things while listening to what someone is saying.
    b. You find that when your thoughts return to the person speaking he/she is far ahead of you.
    c. You can really think about and understand what the speaker is saying.
    d. None of the above.

12. Good Listeners focus on central ideas. They recognize when--

    a. The speaker has stated central ideas, and they are able to discriminate between fact and fiction.
    b. They are in over their head and ask for help understanding the information.
    c. The speaker has stated central ideas, and they are able to discriminate between fact and principle, idea and example, or evidence and argument.
    d. The over-stimulated speaker has gotten too excited and calms him/her down.

13. A good listener is an active listener and must be aware of the following:

    a. Do not interrupt the speaker.
    b. Listen to what the speaker said.
    c. Maintain eye contact.
    d. Speak only when necessary.
    e. All the above.

14. A leader cannot accomplish his job without effective communications.

    a. True
    b. False

15. People are generally less apt to allow the following to persuade them:

    a. A subordinate.
    b. The content of the message rather than the delivery.
    c. Communications which they perceive as intended to persuade them.
    d. The credibility of the sender rather than the message.

16. If you take a moment to think about all the training you've received under the heading "communication," you'll see that it probably falls into what four broad categories?

    a. Listening, reading, speaking and writing.
    b. Looking, reading, speaking, and hearing.
    c. Reading, writing, feeling, and judging.
    d. Interpersonal, conceptual, technical, and tactical skills.

17. What two common forms of one-way communication are not necessarily the best ways to exchange information?

    a. Hearing and talking.
    b. Listening and transmitting.
    c. Seeing and hearing.
    d. Talking and expression.

18. What is the cardinal sin of active listening?

    a. Avoid looking at the speaker.
    b. Avoid nodding your head at the speaker.
    c. Avoid using occasional "uh-huh" when you agree with the speaker.
    d. Avoid interrupting the speaker.

19. Nonverbal communication involves all the signals you send with all the following except?

    a. Body language.
    b. Facial Expressions.
    c. Tone of Voice.
    d. Checking your watch.

20. Which communication is preferred when time and resources permits?

    a. One-way communication.
    b. Two-way communication.
    c. Face-to-face communication.
    d. Active communication.

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Student Handout 4

Homework Examination Solution

This student handout contains item listed in this table:

Title/Synopsis	Pages
SH-4, Homework Examination Solution	SH-4-2 thru SH-4-5

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HOMEWORK EXAMINATION
Personal Communications
Solution Sheet

1. The first step in preparing yourself to communicate is to identify the purpose of the proposed communication.

   a. True
   b. False

   a. True (Ref: Student Handout 2, p SH-2-2, para 1)

2. While identifying the purpose of the proposed communication you should determine--

   a. What information you need to communicate.
   b. Why you need to communicate the information.
   c. To whom you need to communicate the information.
   d. If you are the correct source of the information.
   e. All of the above.

   e. All of the above. (Ref: Student Handout 2, p SH-2-2, para 1a through d)

3. Communications is basic to all leadership principles. It is through communications that you keep your soldiers informed and ensure that the task is understood, supervised, and accomplished?

   a. True
   b. False

   a. True (Ref: Student Handout 2, p SH-2-4, para 1)

4. Posture is a powerful form of nonverbal communication. How one sits or stands sends signals that may--

   a. Indicate an individual has no interest in what you have to say.
   b. Communicate how an individual is experiencing his/her environment.
   c. Reflect than an individual doesn't value your opinion.
   d. Indicate the need to inform the chain-of-command of the situation.

   b. Communicate how an individual is experiencing his/her environment. (Ref: Student Handout 2, p SH-2-4, para 2b (1) (b))

5. We give out signals about our meaning to other people through the symbols we use. Symbolic communications include the following:

   a. Friends relatives and coworkers we associate with.
   b. Gesturing and vocalism.
   c. Clothes, hair, jewelry or cosmetics, make of car, location of one's house, and type of paper used for a written communication.
   d. The sender, the receiver, the message sent as well as physical and psychological barriers.

   c. Clothes, hair, jewelry or cosmetics, make of car, location of one's house, and type of paper used for a written communication. (Ref: Student Handout 2, p SH-2-5, para 2c)

6. We often define communication as the process of transferring information from one person to another. Each transfer of information involves at least three basis elements: a source (sender) of the communications; a message transmitted, and a receiver.

   a. True
   b. False

   a. True. (Ref: Student Handout 2, p SH-2-6, para 1)

7. In the communications model the sender is--

   a. The only source of feedback.
   b. The source who wants to transmit an idea, information, or feelings.
   c. Your subordinate who receives the message.
   d. The means by which two-way communication is possible.

   b. The source who wants to transmit an idea, information, or feelings. (Ref: Student Handout 2, p SH-2-6, para 2 (b) (1))

8. We can define barriers to communications as either physical or psychological. Some physical barriers to communication are such things as--

   a. Noise, distance, data overload or time.
   b. Personal beliefs, values and needs.
   c. Goals, stress and fatigue.
   d. Lack of trust, respect and confidence**.**

   a. Noise, distance, data overload or time. (Ref: Student Handout 2, p SH-2-7, para 3 (b) (1))

9. No matter how great pressures from a senior for progress in a situation, it is better to say:

   a. "The information I currently have is factual based on the information gathered to this point."
   b. That you informed all soldiers of the information or situation.
   c. "I don't know," "I believe," or "I'll check and get back to you, "than to report something you are not certain is a fact.
   d. "It is better to judge the delivery of the information than the content."

   c. "I don't know," "I believe," or "I'll check and get back to you," than to report something you are not certain is a fact. (Ref: Student Handout 2, p SH-2-8, para 4g)

10. Good listening requires only one-way communication--just allowing the other party to talk, and hear what the other person is saying.

    a. True
    b. False

    b. False. (Ref: Student Handout 2, p SH-2-8, para 1)

11. There is evidence that we can think about four times as fast as we can talk. If you allow your mind to wander--

    a. You can think about several things while listening to what someone is saying.
    b. You find that when your thoughts return to the person speaking he/she is far ahead of you.
    c. You can really think about and understand what the speaker is saying.
    d. None of the above.

    b. You find that when your thoughts return to the person speaking he/she is far ahead of you. (Ref: Student Handout 2, p SH-2-9, para 1j)

12. Good Listeners focus on central ideas. They recognize when--

    a. The speaker has stated central ideas, and they are able to discriminate between fact and fiction.
    b. They are in over their head and ask for help understanding the information.
    c. The speaker has stated central ideas, and they are able to discriminate between fact and principle, idea and example, or evidence and argument.
    d. The over-stimulated speaker has gotten too excited and calms him/her down.

    c. The speaker has stated central ideas, and they are able to discriminate between (Ref: Student Handout 2, p SH-2-8, para 1d)

13. A good listener is an active listener and must be aware of the following:

    a. Do not interrupt the speaker.
    b. Listen to what the speaker said.
    c. Maintain eye contact.
    d. Speak only when necessary.
    e. All the above.

    e. All the above. (Ref: Student Handout 2, p SH-2-9, para 2a through h)

14. A leader cannot accomplish his job without effective communication.

    a. True
    b. False

    a. True. (Ref: Student Handout 2, p SH-2-10, para 1)

15. People are generally less apt to allow the following to persuade them:

    a. A subordinate.
    b. The content of the message rather than the delivery.
    c. Communications which they perceive as intended to persuade them.
    d. The credibility of the sender rather than the message.

    c. Communications which they perceive as being intended to persuade them. (Ref: Student Handout 2, p SH-2-10, para 5)

16. If you take a moment to think about all the training you've received under the heading "communication," you'll see that it probably falls into what four broad categories?

    a. Listening, reading, speaking and writing.
    b. Looking, reading, speaking, and hearing.
    c. Reading, writing, feeling, and judging.
    d. Interpersonal, conceptual, technical, and tactical skills.

    a. Listening, reading, speaking and writing. (Ref: Student Handout 5, p 4-2, para 4-6)

17. What two common forms of one-way communication are not necessarily the best ways to exchange information?

    a. Hearing and talking.
    b. Listening and transmitting.
    c. Seeing and hearing.
    d. Talking and expression.

    c. Seeing and hearing. (Ref: Student Handout 5, p 4-3, para 4-7)

18. What is the cardinal sin of active listening?

    a. Avoid looking at the speaker.
    b. Avoid nodding your head at the speaker.
    c. Avoid using occasional "uh-huh" when you agree with the speaker.
    d. Avoid interrupting the speaker.

    d. Avoid interrupting the speaker. (Ref: Student Handout 5, p 4-3, para 4-8)

19. Nonverbal communication involves all the signals you send with all the following except?

    a. Body language.
    b. Checking your watch.
    c. Tone of Voice.
    d. Facial expressions.

    b. Checking your watch. (Ref: Student Handout 5, p 4-3, para 4-10)

20. Which communication is preferred when time and resources permits?

    a. One-way communication.
    b. Two-way communication.
    c. Face-to-face communication.
    d. Active communication.

    b. Two-way communication. (Ref: Student Handout 5, p 4-3, para 4-7)

PRACTICAL EXERCISE 1

Title

MEANINGS AND COMMUNICATIONS

Lesson Number / Title

L326 version 2 / COMMUNICATE EFFECTIVELY IN A GIVEN SITUATION

Introduction

This practical exercise requires you to identify actions that occurred and to effectively communicate what happened to an individual or group.

Motivator

None

Enabling Learning Objective

NOTE: The instructor should inform the students of the following Enabling Learning Objective covered by this practical exercise. (ELO B)

At the completion of this lesson, you [the student] will:

Action:	Correlate how individual perceptions influence communications
Conditions:	Given an in-class exercise and homework reading.
Standards:	Correlated how individual perceptions influenced communications by providing the class a relevant personal example of an experience where he/she experienced a communications breakdown OR provided one concrete way that he/she can apply the in-class exercise findings in a military setting.

Safety Requirements

None

Risk Assessment

Low

Environmental Considerations

None

Evaluation

None

Instructional Lead-In

None

Resource Requirements

Instructor Materials:

- Markers.
- Chart paper.
- Easel.
- Pencil and paper.

Student Materials:

- Pencils or pens.
- Writing paper.

Special Instructions None

Procedures

STEP 1. You have three minutes to complete the exercise--first independently. Place a check mark in the appropriate column: under the plus sign (+) for each word that has a positive connotation, under the zero (0) column for each word which has a neutral connotation and under the minus (-) column for each word which has a negative connotation for you personally.

STEP 2. After three minutes, total all individuals' ratings and present them to the group recorder to record the rating next to the appropriate word on the chart paper/newsprint/board.

STEP 3. After seven minutes, display your group's chart with ratings and note the differences and similarities between the groups' responses. Discuss the reasons why the differences occurred.

Practical Exercise 1
Meanings and Communications

INSTRUCTIONS:

Determine whether each of the words below carries a positive, negative, or neutral connotation for you personally. Place a check mark in the appropriate column: under the plus sign (+) for each word that has a positive connotation, under the zero (0) for each word that has a neutral connotation and under the minus sign (-) for each word that has a negative connotation for you personally.

WORD	YOUR RATING (+)	(0)	(-)		GROUP RATINGS (+)	(0)	(-)
1. MATH							
2. CONTROL							
3. DRUGS							
4. MILITARY							
5. REGULATIONS							
6. POLICE							
7. ASSERTIVE							
8. FOREIGN							

Feedback Requirements None

PRACTICAL EXERCISE 2

Title	DIAGRAMS FOR COMMUNICATIONS WITH/WITHOUT FEEDBACK EXERCISE
Lesson Number / Title	L326 version 2 / COMMUNICATE EFFECTIVELY IN A GIVEN SITUATION
Introduction	This practical exercise requires you to demonstrate the need for feedback when communicating.
Motivator	None.
Enabling Learning Objective	**NOTE:** The instructor should inform the students of the following Enabling Learning Objective covered by this practical exercise. (ELO C) At the completion of this lesson, you [the student] will:

Action:	Compare the effectiveness of communication without feedback and communication with feedback.
Conditions:	Given a PE, required readings, and a small group assignment.
Standards:	Compared the effectiveness of communication without feedback and communication with feedback, contributed to group solution of practical exercise and participated in class discussion. Answered one question with a 75 percent accuracy rate as determined by instructor.

Safety Requirements	None
Risk Assessment	Low
Environmental Considerations	None
Evaluation	None
Instructional Lead-In	None

Practical Exercise 2

DIAGRAMS FOR COMMUNICATION WITHOUT FEEDBACK EXERCISE

DIAGRAM I: WITHOUT FEEDBACK

Instructions: Draw the figures as instructed by the exercise leader. **DO NOT** ask any questions!

Practical Exercise 2

DIAGRAMS FOR COMMUNICATION WITH FEEDBACK EXERCISE

DIAGRAM II: WITH FEEDBACK

Instructions: Draw the figures as instructed by the exercise leader. Ask any questions that may assist you in understanding the instructions. The exercise leader may respond.

Charts for Communication With / Without Feedback Exercise

PREPARE ON CHART PAPER/NEWSPRINT. PREPARE EACH TABLE ON A SEPARATE SHEET.

Note: To be prepared by instructor prior to class.

TABLE 1: Communication without feedback
(For Diagram I)

NUMBER CORRECT
5
4
3
2
1
0

EXERCISE TIME	
AVERAGE # CORRECT	

TABLE 2: Communication with feedback
(For Diagram II)

NUMBER CORRECT
5
4
3
2
1
0

EXERCISE TIME	
AVERAGE # CORRECT	

Feedback Requirements None

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HANDOUTS FOR LESSON 1: L330 version 1

This appendix contains the items listed in this table--

Title/Synopsis	Pages
SH-1, Advance Sheet	SH-1-1
SH-2, Extracted Material from AR 25-50	SH-2-1
SH-3, Extracted Material from DA Pam 600-67	SH-3-1
SH-4, The Army Writing Standard Programmed Text	SH-4-1 thru SH-4-54

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Student Handout 1

Advance Sheet

Lesson Hours

This lesson consists of 1 hour 5 minutes of conference/discussion and 45 minutes of practical exercise.

Overview

As a leader you must prepare written correspondence to your leaders and subordinates in accordance with the Army writing style. The Army writing style requires this correspondence to be effective in communicating your ideas and thoughts in a concise, organized, and main point first format to your target audience. This lesson will show you how to be successful in preparing your correspondence to meet the standards and procedures outlined in AR 25-50 and DA Pam. 600-67.

Learning Objective

Terminal Learning Objective (TLO).

Action:	Implement the Army writing style.
Conditions:	As a small unit leader in a company or battalion level unit and given AR 25-50 (SH-2), DA Pam 600-67 (SH-3), and SH-4.
Standards:	Implemented the Army writing style by-- • Reviewing the Army writing standards. • Reviewing active voice writing techniques for producing effective Army writing. • Reviewing the general rules for constructing military correspondence. IAW AR 25-50 (SH-2), DA Pam 600-67 (SH-3), and SH-4.

ELO A Review the Army writing standards.
ELO B Review active voice writing techniques for producing effective Army writing.
ELO C Review the general rules for constructing military correspondence.

Assignment

The student assignments for this lesson are:

- Read Student Handout 1, Advance Sheet.
- Read Student Handout 2, Extracted Material from AR 25-50.
- Read Student Handout 3, Extracted Material from DA Pam 600-67.
- Complete Student Handout 4, The Army Writing Style Programmed Text.

Additional Subject Area Resources

None

Bring to Class

- Pen or pencil and writing paper.
- Reading material list on advance sheet.

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Student Handout 2

Extracted Material from AR 25-50

This student handout contains 27 pages of extracted material from the following publication:

AR 25-50, Preparing and Managing Correspondence, 3 June 2002

Cover Page	not numbered
Chapter 1	pages 1 thru 7
Chapter 2	pages 8 thru 11, 23, and 27 thru 29
Appendix B	pages 65 thru 75

Disclaimer: The training developer downloaded the extracted material from the U.S. Army Publishing Directorate Home Page. The text may contain passive voice, misspellings, grammatical errors, etc., and may not be in compliance with the Army Writing Style Program.

RECOVERABLE PUBLICATION

YOU RECEIVED THIS DOCUMENT IN A DAMAGE-FREE CONDITION. DAMAGE, IN ANY WAY, TO INCLUDE HIGHLIGHTING, PENCIL MARKS, OR MISSING PAGES WILL SUBJECT YOU TO PECUNIARY LIABILITY (STATEMENT OF CHARGES, CASH COLLECTION, ETC.) TO RECOVER PRINTING COSTS.

Army Regulation 25–50

Information Management

Preparing and Managing Correspondence

Headquarters
Department of the Army
Washington, DC
3 June 2002

UNCLASSIFIED

Chapter 1
Preparing Correspondence

Section I
General

1–1. Purpose
This regulation prescribes Department of the Army (DA) policies, procedures, and standard formats for preparing and processing Army correspondence.

1–2. References
Required and related publications and prescribed and referenced forms are listed in appendix A.

1–3. Explanation of abbreviations and terms
Abbreviations and terms used in this regulation are explained in the glossary.

1–4. Responsibilities
a. The Administrative Assistant to the Secretary of the Army will—

(1) Establish policies and procedures for preparing correspondence on behalf of the Secretary of the Army.

(2) Oversee Army correspondence on behalf of the Secretary of the Army.

b. The Deputy Chief of Staff for Personnel will develop policy and direction of correspondence management for DA.

c. The Deputy Chief of Staff for Operations and Plans will incorporate effective and efficient Army writing into training policy and will fund any special requirements.

d. Heads of Headquarters, Department of the Army (HQDA) agencies and commanders of major Army commands (MACOMs), installations, activities, and units will supervise and manage the Correspondence Management Program within their agencies or commands.

e. Commanders at all levels will actively support effective and efficient Army writing by working to eliminate poor writing in their commands and providing training opportunities for all Army writers.

1–5. Restrictions to this regulation
This regulation has been made as complete as possible to avoid the need to issue additional instructions. The correspondence formats outlined in this regulation take precedence over format instructions outlined in other regulations or directives. Therefore, supplements to this regulation will be restricted to instructions that are unique to an agency or command. Guidance found in DA Memo 25–52, dated 15 September 1996 (Staff Action Process and Correspondence Policies), must be followed when preparing correspondence for signature by the Secretary of Defense; Secretary of the Army; Chief of Staff, Army; Vice Chief of Staff, Army; and the Director of the Army Staff.

1–6. Objectives
The objectives of this regulation are to—

a. Create a standard of acceptance for written communication in the Army.

b. Provide clear instructions for the preparation of all correspondence. This should reduce the time needed for training in this area.

c. Reduce the cost of preparing correspondence.

d. Standardize the preparation and distribution of correspondence.

Section II
General Correspondence Guidance

1–7. Methods of communication
a. Personal or telephone contact. Whenever possible and appropriate, conduct official business by personal contact, local telephone, Defense Switched Network (DSN) or electronic mail (e-mail). A memorandum for record (MFR) should be used to document any decisions or agreements reached during these communications.

b. Memorandum. The memorandum will be used for correspondence within a department or agency, as well as for routine correspondence to Federal Government agencies outside the Department of Defense (DOD). Do not use the memorandum format for corresponding with the families of military personnel or private businesses. See paragraph 2–2 for the proper use of the memorandum.

c. Letter. Letters will be used for correspondence addressed to the President or the Vice President of the United States, members of the White House staff, members of Congress, Justices of the Supreme Court, heads of departments and agencies, State governors, mayors, foreign government officials, and the public. Letters may also be used to

address individuals outside the department or agency when a personal tone is appropriate, such as in letters of commendation or condolence. See paragraph 3–2 for the proper use of the letter.

d. Electronic mail. Electronic mail may be used for unclassified organizational and individual information transfer.

e. Automated Digital Network (AUTODIN) messages. Use electronically transmitted AUTODIN messages or commercial telephone only when other means of transmission will not suffice.

1–8. Direct communications

Send correspondence as directly as possible to the action office concerned. See paragraph 2–4*a*(4). Include the action officer's name and office symbol when addressing correspondence.

1–9. Routing through channels

a. Routing action correspondence. Route correspondence through commands, agencies, or offices expected to exercise control or to take action.

b. Bypassing intermediate headquarters. Correspondence will not be routed through a headquarters that has no interest or concern in the matter or action. However, a copy of the communication and the referral action will be sent to the command, agency, or office that was bypassed. Routine correspondence may bypass intermediate headquarters when—

(1) It is apparent that the intermediate headquarters is not concerned.

(2) No action is required.

(3) No controls need to be exercised.

c. Routing directly to the addressee. When there is not enough time to route a communication through channels and still meet a suspense date, send it directly to the addressee. This is an exception to 1–9*a*. At the same time, send a copy of the communication and referral action to the organizations that were bypassed.

d. Using technical channels. Use technical channels to route correspondence that deals with technical matters. This includes technical reports, instructions, or requests for information that do not involve command matters. Before using technical channels, ensure that the action is not one that should be sent through command channels. Do not use FOR THE COMMANDER on the authority line of technical channel correspondence.

1–10. Quality of writing

Department of the Army writing will be clear, concise, and effective. Army correspondence must aid effective and efficient communication and decision making. Writing that is effective and efficient can be understood in a single rapid reading and is generally free of errors in grammar, mechanics, and usage. Refer to paragraphs 1–43 through 1–46 of chapter 1 and appendix B of this regulation and to DA Pamphlet (Pam) 600–67, Effective Writing for Army Leaders, for more information on effective and efficient Army writing. The standards contained in these references are the mandated Army style.

1–11. Rewriting, retyping, and drafts

a. Correspondence and mission accomplishment. Correspondence helps the Army accomplish its mission. Information clarity and efficient mission accomplishment are the most important aspects of correspondence.

b. Rewriting. Excessive revisions to create a perfect product are a waste of time. The objectives of good correspondence are clarity and brevity. Do not rewrite internal DA correspondence unless it is clearly inadequate for the intended purpose. Do not rewrite to correct minor errors in format, arrangement, and phraseology unless the correspondence is going outside DA or to the general public.

c. Retyping. Do not retype DA correspondence to correct typographical errors, word omissions, or other minor errors unless the changes are so numerous that the end result looks sloppy. Make corrections neatly and legibly with pen and ink.

d. Drafts. When correspondence must be prepared for the approval or concurrence of another office, submit it in draft form (unless it is known that it will not be changed). The approving or reviewing official will approve and return the draft. Prepare the final correspondence for signature and attach the draft to the record copy.

1–12. Review of outgoing correspondence

Keep the number of times outgoing correspondence is reviewed to a minimum. Normally, make one review for grammar, format, and content. When available, use electronic spell check. The senior secretary or administrative officer of an organization should provide a final review of all the correspondence prepared for the signature of the signing official.

1–13. Form letters

The term "form letter" is a generic term and encompasses memorandums and letters. Form letters save time and money and often provide a higher level of quality than composed letters.

a. Economy. The form letter, when designed and used properly, is the most economical of all correspondence media.

b. Appropriateness. Use a form letter to convey information about impersonal or routine matters.

c. Flexibility. Form letters that are well designed provide flexibility and can be adapted to serve almost all the needs for which a form letter is economical and appropriate.

d. Forms approval and control. See AR 25–30, The Army Publishing and Printing Program, for information on approval procedures and forms control.

1–14. Exclusive For correspondence

a. Use. Use Exclusive For correspondence for matters of a sensitive or privileged nature. Keep its use to a minimum to avoid delay of action if the named addressee is absent or unavailable to receive and act on the correspondence. Prepare Exclusive For correspondence in either the letter or memorandum format.

b. Addressing. Address Exclusive For correspondence to the name and title of the addressee.

c. Handling. When preparing Exclusive For correspondence, place it in a sealed envelope. Type and underline the words *Exclusive For* on the envelope. Distribution center and mailroom workers will give this kind of mail to addressees unopened.

d. Personal For. The term *Personal For* is not authorized for use on Army correspondence, but it is used in certain electronic message traffic as prescribed in AR 25–11, Record Communications and the Privacy Communications System.

Section III
Specific Correspondence Guidance

1–15. Dissemination of command instructions

The acronyms ALARACT (all Army activities) and ARSTAF (Army Staff) are used only in electronically transmitted messages. These acronyms assign responsibility for distribution instructions. Do not use them in Army correspondence.

1–16. Abbreviations and brevity codes

a. Memorandums. Use abbreviations and brevity codes authorized in AR 310–50, Authorized Abbreviations and Brevity Codes, for memorandums. Use standard dictionaries for abbreviations not contained in AR 310–50. Prescribing regulations for various technical fields also provide authorized abbreviations, acronyms, and brevity codes. Abbreviated ranks are authorized for memorandums and personal correspondence. General officers will use their full rank on all formal or official correspondence.

b. Letters. Use only common abbreviations found in standard dictionaries. Do not use military abbreviations, brevity codes, acronyms, or military jargon in letters addressed to persons outside the Department of Defense. Military personnel will use their full rank (for example, Lieutenant General, Major General, Captain, Sergeant First Class, and so forth) for letters.

c. Abbreviation guidelines.

(1) Established abbreviations are acceptable in all but the most formal writing. For reading ease, use only well-known abbreviations or those you think would be known by the recipient.

(2) When a word or title that is not well known will be used more than once in a document, place the abbreviated form in parentheses after the first time the word or title is used. Thereafter, only the abbreviated form is used. Do not place the abbreviated form of a word or title after the spelled out version of the word or title if the word or title will not be used more than once.

(3) Do not place a period after abbreviated words in addresses, for example, St (street), Blvd (Boulevard), and so forth. The word *Fort* can be abbreviated (Ft) when used with a location.

1–17. Acronyms

Use military and civilian acronyms in memorandums, if appropriate. Do not, however, use military acronyms when writing to individuals or organizations who would not be familiar with their use. When an acronym that is used more than once is not well known or is not contained in AR 310–50, spell out the word or title the first time it is used and follow it with the abbreviated form. Thereafter, the acronym may be used. Above all, do not overuse acronyms.

1–18. Letterhead

a. Letterhead identifies the originating agency and provides the agency's complete standardized mailing address. The letterhead does not show the organizational structure of the agency, nor should it do so. Therefore, do not make internal office designations part of the letterhead.

b. Computer-generated letterhead will be used for all official correspondence and will conform to the following:

(1) Use only the approved letterhead template provided by US Army Publishing Agency at www.usapa.army.mil.

(2) No other seal, emblem, decorative device, distinguishing insignia, slogans, or mottos will be used unless approved by the Secretary of the Army.

(3) All computer-generated letterhead will be printed on white paper.

(4) Letterhead will be printed with black ink.

1–19. Paper

Paper used for Army correspondence will be the standard 8 ½ - by 11-inch size. Continuing efforts will be made to conserve paper and to minimize the use of high cost premium grade paper by adhering to the following:

a. Original pages. Use computer-generated letterhead for the first page of all formal memorandums and letters except when an approved form is prescribed. Use plain white paper for continuing pages.

b. Copies.

(1) Use photocopies of original pages when sending outside the originating agency.

(2) Use photocopies for record copies if necessary. Type, stamp, or write clearance or coordination ladders only on record copies.

1–20. Type fonts and sizes

When creating official correspondence, use type fonts and sizes that make the correspondence easy to read and understand. The following guidelines will provide the best results:

a. A font with a point size smaller than 12 or larger than 14 should be avoided. When possible, a 12-point size will be used.

b. Preferred type fonts are Times Roman and Times New Roman.

c. Unusual type styles, such as script, should not be used to create official correspondence.

1–21. Ink color

Use black or blue ink to sign communications. Black ink will be used to stamp dates and signature blocks.

1–22. Using one side of paper

Prepare original correspondence using only one side of a sheet of paper; however, correspondence should be reproduced on both sides of the paper.

1–23. Copies

a. Record copy. Make one record or file copy of correspondence after original has been signed and dated. Stamp or write "record copy" or "file copy" along the edge of the right margin. Maintain file copies in accordance with Army recordkeeping system requirements.

b. Reading file copies. If reading files are used, maintain in accordance with Army recordkeeping system requirements.

c. Copies furnished. Use "copies furnished" to keep other than the prime addressee informed of an action. Make copies after original has been signed and dated.

1–24. Classified and special handling correspondence

a. General. Information that requires protection against unauthorized disclosure in the interest of national security shall be classified. Correspondence containing classified information will be safeguarded as prescribed in AR 380–5, Department of the Army Information Security Program. The contents of a classified communication will be revealed only to individuals who have the appropriate security clearance and whose official duties require such information.

b. Marking classified correspondence. See chapter 8 and AR 380–5 for detailed instructions on marking and downgrading instructions.

c. Use of FOR OFFICIAL USE ONLY (FOUO) marking. See AR 25–55, The Department of the Army Freedom of Information Act Program, for the proper use and marking of FOUO material.

1–25. Identification of writer

Normally, when writing any type of correspondence, the writer will be identified by military rank or civilian prefix, name, telephone number, and if appropriate, facsimile number and e-mail address. This information is generally placed in the last paragraph of the correspondence.

1–26. Identification of originating office

a. Office symbols are used to identify the office of origin for memorandums and electronically transmitted messages within the DA. Use the office symbols when addressing or replying to memorandums.

b. Office titles are used to identify the office of origin for letters. See paragraph 3–7*a*(2)(*b*).

1–27. Expression of date

a. Dates on memorandums. Express dates on memorandums in only these two ways: 1 January 2000 or 1 Jan 00. The four digits for the year will be used only when the month is spelled out or when date stamps reflect abbreviated months and four-digit year.

b. Dates on letters. Express dates on letters and refer to dates within letters only in this way: January 1, 2000.

c. Separating date elements. Avoid separating any of the three date elements (day, month, and year) from each other, but if it is absolutely necessary, the four-digit year may be carried over to the next line when the month is spelled out.

1–28. Expressing time

Military time will be expressed in a group of four digits, ranging from 0001 to 2400 based on the 24-hour clock system. The first two digits represent the hour after midnight and the last two digits represent the minutes. For example, 1:37 p.m. civilian time is expressed as 1337 military time. The word *hours* will not be used in conjunction with military time. Use civilian time in letters.

1–29. Suspense date

a. Use a suspense date on memorandums when a reply is required by a certain date. (See fig 2–2.) Suspense dates should be reflected in the body text and appear in bold. Do not use suspense dates on letters.

b. Consider the following time factors in setting a suspense date on correspondence:

(1) Number of days required to transmit the communications.

(2) Number of days needed to complete the action.

(3) Number of days required to transmit the reply.

1–30. Addressing

Address correspondence and envelopes as prescribed in AR 25–51, Official Mail and Distribution Management, and chapter 5 of this regulation.

1–31. References

List references in the first paragraph of the correspondence. Enclose copies of references that are not readily available to the addressee. List and number references in the order they appear in the correspondence. When references do not appear in the text of the correspondence, list them in ascending date order (oldest to most recent). Include the following information as a minimum:

a. Publications. When listing publications, include the number, title, and date, for example, AR 25–50, Preparing and Managing Correspondence, 21 Nov 88; and (for a supplement and change) USASC, Suppl 1, 3 Mar 95, to AR 710–2, Inventory Management Supply Policy Below the Wholesale Level, 31 Oct 97; and Change 2, 15 Oct 99, to DA Pam 27–9, Military Judges' Benchbook, 30 Sep 96.

b. Correspondence. When referencing correspondence, include the type of correspondence, organization of origin, office symbol, date, and the subject of the correspondence, for example, Memorandum, HQ USAMC, AMCIO–F, 20 Feb 88, subject: Training for AMC Personnel; and Message, HQ TRADOC, ATPL–TD–OR, 101623Z Sep 84, subject: Correspondence Management. When referencing e-mail or facsimiles, use the name of the sender and the office symbol (if included), for example, E-mail, HQ TRADOC (ATPL–TD–OR), Mr. Sam Jones, 3 Nov 96, subject: Correspondence Management; and Fax, HQ FORSCOM, Ms. Ella Johns, 25 Feb 97, subject: Copier Management.

c. Referencing classified or unclassified material. (See chap 8 for portion marking.) Use the following guidelines when referencing unclassified material in a classified document or referencing classified material in a classified or unclassified document.

Note. When the reference contains classified information or is required to be placed within a classified document, portion-mark the reference and the subject of the reference with the appropriate classification symbol. See AR 380–5 for guidance.

(1) When referencing a classified document in unclassified correspondance, show the classification of both the referenced material and the subjuct, for example, Secret message, HQ TRADOC, ATCG, 201623Z Sep 94, subject: Correspondence Management (U).

(2) When referencing unclassified correspondence in a classified document, show the classification of the referenced material and the subject, for example, (U) Unclas message, HQ TRADOC, ATPL–TD–OR, 201623Z Sep 84, subject: Correspondence Management (U).

(3) When referencing a classified document that has a classified subject in classified correspondence, show the classification of both the reference and its subject, for example, (C) Secret message, HQ TRADOC, ATCG, 201623Z Sep 94, subject: Correspondence Management (C).

(4) When drafting an unclassified document and the subject of the reference(s) is classified, the document must show the classification assigned to the referenced subject. The document then becomes classified to the level of the reference cited and must be marked appropriately. (See AR 380–5 and chap 8 for proper marking of classified correspondence.)

(5) When drafting an unclassified piece of correspondence that contains a mixture of classified and unclassified references although all subjects are unclassified, show the classification marking for each reference. Here are examples of references:

(a) (U) Secret message, HQ TRADOC, ATCG, 201623Z Sep 94, subject: Correspondence Management (U).

(b) Unclas memorandum, HQ TRADOC, ATCG, 20 Sep 94, subject: Correspondence Management (U).

(c) (U) Conf message, HQDA, DAPC–ZX, 201624Z Sep 94, subject: Correspondence Management (U).

(6) When preparing messages or when referencing correspondence on messages within messages, see AR 25–11 for guidance.

(7) When drafting unclassified correspondence that contains unclassified references, do not mark it to indicate its unclassified status.

d. Paragraphs of regulations or publications.

(1) When citing a regulation or publication, cite its number, name, and date: DA Pam 600–67, Effective Writing for Army Leaders, June 1986.

(2) When referencing a specific paragraph in a regulation or publication, cite the regulation or publication number, name, paragraph, and date, for example, DA Pam 600–67, Effective Writing for Army Leaders, paragraph 3–1a, June 1986. If the regulation has been listed as a reference in the first paragraph of the memorandum, additional references need only include the paragraph number and the number of the regulation, for example, DA Pam 600–67, paragraph 3–1a.

e. Telephone conversations or meetings. When referencing telephone conversations or meetings, first cite the communication, then the individuals' headquarters or office of location, the date, and the subject, if applicable:

(1) Reference telephone conversation between Mr. Smith, this office, and Ms. Jones, TRADOC, 23 Jan 95, subject: Office Copiers.

(2) Reference meeting between Ms. Jones, TRADOC, and Mr. Smith, this office, 23 Jan 95, subject: Office Copiers.

f. Referencing material that has the same subject. The term "subject as above" or the acronym "SAB" may be used in lieu of stating the subject in memorandums. This does not apply to letters.

1–32. Authority lines

Chapter 6 explains in detail the composition and proper use of authority lines.

1–33. Complimentary close

Chapter 3 explains in detail the composition and proper use of complimentary close.

1–34. Signature blocks

Chapter 6, section II, explains in detail the composition and proper use of signature blocks for military and civilian personnel.

1–35. Postscripts

A postscript (P.S.) is an informal technique to add an afterthought to a communication; do not use in official correspondence.

1–36. Page and paragraph numbering

See chapters 2 and 3 for exact guidance on paragraph and page numbering and placement of the page number.

1–37. Underlining, using boldface type, and italicizing for emphasis

Use underlining, boldface type, and italics only to emphasize a specific or important fact. Overuse of these methods for emphasis (like overuse of the exclamation point) defeats its own purpose. In general, substitute more specific or forceful words to gain emphasis.

1–38. Distribution formulas

Develop a distribution formula that is easy to understand and use. Ensure that it is a fast and cost-effective way to distribute information to a great number of addresses. Do not use internal distribution formulas for correspondence external to your command or installation. (See AR 25–51.)

1–39. Identifying and listing enclosures

Use enclosures for memorandums and letters. Number and attach all enclosures in the same order in which they appear in the body of the correspondence. Place the identification of each enclosure in the lower right corner of the first page, in pencil, before making copies. Specify enclosures in the text. See paragraph 4–2 for proper listing of enclosures. Attachments to enclosures are referred to as enclosures to enclosures (for example, enclosure 3 to enclosure 2).

1–40. Nine-digit ZIP Code (ZIP+4 Code)

Use the ZIP+4 Code on all return envelope addresses and on all "FOR" addresses. The ZIP+4 Codes will be used on all letterhead.

1–41. NATO correspondence

Correspondence for NATO purposes is governed by Standardization Agreements. See guidance in appendix F.

1–42. Recordkeeping requirements

This regulation requires the creation, maintenance, and use of the specific record FN 25–50a (Delegation of signature authority), in accordance with AR 25–400–2.

Section IV
Effective Writing and Correspondence: The Army Writing Style

1–43. Goal

The goal of all Army correspondence is effective communication.

1–44. Standards for Army writing

a. Effective Army writing transmits a clear message in a single, rapid reading and is generally free of errors in grammar, mechanics, and usage.

b. Good Army writing is concise, organized, and right to the point. Two essential requirements include putting the main point at the beginning of the correspondence and using the active voice (for example (*main point up front*), "You are entitled to jump pay for the time you spent in training last year").

c. The standard English sentence order, subject-verb-object, works best. It speeds communication and helps the reader understand the main point.

d. Active writing—

(1) Emphasizes the doer of the action.

(2) Shows who or what does the action in the sentence, or puts the doer before the verb.

(3) Creates shorter sentences. Eliminating the passive voice reduces the number of words in a sentence.

(a) Passive: The PT test was passed by SGT Jones (eight words).

(b) Active: SGT Jones passed the PT test (six words).

e. The passive voice is easy to recognize. A verb in the passive voice uses any form of "to be" plus the past participle of a main verb (for example, am, is, are, was, were, be, being, been), plus a main verb usually ending in "en" or "ed" (for example, were completed, is requested).

1–45. Constructing military correspondence

a. General techniques. Focus first on the main point to construct basic military correspondence. Use of the active voice is the basic style of Army writing.

b. Specific techniques. Meeting the standards for correspondence requires specific techniques. Use these additional rules of correspondence construction to improve effectiveness.

(1) Use short words. Try not to use more than 15 percent over two syllables long.

(2) Keep sentences short. The average length of a sentence should be about 15 words.

(3) Write paragraphs that, with few exceptions, are no more than 10 lines.

(4) Avoid jargon.

(5) Use correct spelling, grammar, and punctuation.

(6) Use I, you, and we as subjects of sentences instead of this office, this headquarters, this command, all individuals, and so forth.

(7) Write one-page letters and memorandums for most correspondence. Use enclosures for additional information.

(8) Avoid sentences that begin with "It is ...," "There is ...,"or "There are ...."

1–46. Packaging correspondence

a. Structure. The simplified formats in this regulation are specific ways of structuring particular kinds of correspondence. Packaging, however, applies to all Army writing.

b. Framework. Packaging is the general framework of military writing style. All formats start with this standard structure and are tailored to each type of correspondence.

c. Packaging. Structure correspondence for easy quick reading:

(1) First, open with a short, clear purpose sentence.

(2) Next, put the recommendation, conclusion, or more important information as the main point. (These first two steps can be combined in some correspondence.)

(3) Last, clearly separate each section. Use short paragraph headings or section titles.

Chapter 2
Memorandums—Special Purpose Memorandums

Section I
Memorandums

2–1. General
There are two types of memorandums: formal and informal. Figures 2–1 through 2–18 illustrate examples of usage and general rules.

DEPARTMENT OF THE ARMY
ORGANIZATIONAL NAME/TITLE
STANDARDIZED STREET ADDRESS
CITY, STATE, AND ZIP+4 CODE

REPLY TO
ATTENTION OF

OFFICE SYMBOL Date

MEMORANDUM FOR Deputy Commandant, US Army Command and General Staff College (ATZL-SWD), 1 Reynolds Avenue, Ft Leavenworth, KS 66027-1352

SUBJECT: Using and Preparing a Memorandum

1. Paragraph 2-2 defines the use of a memorandum.

2. Single-space the text of the memorandum; double-space between paragraphs.

3. When a memorandum has more than one paragraph, number the paragraphs consecutively. When paragraphs are subdivided, designate first subdivisions by the letters of the alphabet and indent them as shown below.

a. When a paragraph is subdivided, there must be at least two subparagraphs.

b. If there is a subparagraph "a," there must be a "b."

(1) Designate second subdivisions by numbers in parentheses; for example, (1), (2), and (3).

(2) Do not subdivide beyond the third subdivision.

(a) However, do not indent any further than the second subdivision.

(b) This is an example of the proper indentation procedure for a third subdivision.

AUTHORITY LINE:

Encl

JOHN W. SMITH
Colonel, GS
Deputy Chief of Staff for Operations

CF:
Director, Tactics Division (w/encl)

Figure 2–1. Using and preparing a memorandum

DEPARTMENT OF THE ARMY
ORGANIZATIONAL NAME/TITLE
STANDARDIZED STREET ADDRESS
CITY, STATE, AND ZIP+4 CODE

REPLY TO
ATTENTION OF

S: Suspense Date

OFFICE SYMBOL Date

MEMORANDUM FOR Joint Readiness Training Center (AFXX-XX), US Army Forces Command, 7330 Mississippi Avenue, Ft Polk, LA 71459-5339

SUBJECT: Preparing a Memorandum

1. This example shows how to prepare a memorandum. Allow one inch for the left, right, top and bottom margins, except for top margin on letterhead.

a. Type the *OFFICE SYMBOL* at the left margin two lines below the seal.

b. Stamp or type the *DATE* on the same line as the office symbol, ending at the right margin. If there is a *SUSPENSE DATE*, type it two lines above the office symbol line ending as close as possible to the right margin.

c. Type *MEMORANDUM FOR* on the third line below the office symbol. Begin the single address one space following *MEMORANDUM FOR*. If the *MEMORANDUM FOR* address extends more than one line, begin the second line flush with the left margin. Addresses may be in upper and lowercase type or all uppercase type. See the other figures within this chapter for preparing multiple-addressed memorandums.

d. Type the *SUBJECT* of the memorandum on the second line below the last line of an address.

e. Begin the first paragraph of the *TEXT* at the left margin on the third line below the last line of the subject.

2. When used, type the *AUTHORITY LINE* at the left margin on the second line below the last line of the text.

3. Type the *SIGNATURE BLOCK* on the fifth line below the authority line or the last line of the text beginning in the center of the page. Identify enclosures, if any, flush with the left margin beginning on the same line as the signature block.

4. Leave a one-inch margin at the bottom of the first page. (See figure 2-3 for instructions on continuing the memorandum.)

Figure 2–2. Preparing a memorandum

OFFICE SYMBOL
SUBJECT: Continuing a Memorandum

5. Type the *OFFICE SYMBOL* on the left margin one inch from the top edge of the paper.

6. Type the *SUBJECT* of the memorandum at the left margin on the next line below the office symbol.

7. Begin the continuation of the *TEXT* at the left margin on the third line below the subject phrase. When continuing a memorandum on another page:

a. Do not divide a paragraph of three lines or less between pages. At least two lines of the divided paragraph must appear on each page.

b. Include at least two words on each page of any sentence divided between pages.

c. Avoid hyphenation whenever possible.

d. Do not hyphenate a word between pages.

e. Do not type the *AUTHORITY LINE* and the *SIGNATURE BLOCK* on the continuation page without at least two lines of the last paragraph. If, however, a paragraph or subparagraph has only one line, it may be placed alone on the continuation page with the authority line and signature block.

8. Center the page number approximately one inch from the bottom of the page.

AUTHORITY LINE:

4 Encls
1. Personnel Listing, 24 May 99
2. DA Form 4187
3. Orders 114-6
4. Locator

SAM J. SMITH
Major, GS
Chief, Personnel Services

2

Figure 2–3. Continuing a memorandum

S: Suspense Date

OFFICE SYMBOL Date

MEMORANDUM FOR Deputy Chief of Staff for Resource Management (ASRM-MP)

SUBJECT: Using and Preparing an Informal Memorandum

1. Paragraph 2-2 defines the use of an informal memorandum.

2. The informal memorandum is used to correspond with organizations, activities, or individuals to whom the author's office symbol is easily identifiable. Normally, informal memorandums will be used only within the author's technical or command chain.

3. The format for the informal memorandum is the same as that for the formal memorandum. Prepare the informal memorandum on plain white paper.

4. Include a point of contact in the last paragraph of the informal memorandum.

5. An authority line may be used if appropriate; it is not mandatory. See paragraph 7-2 for guidance.

AUTHORITY LINE:

Encl

RAMEY J. BRANDON
Colonel, GS
DCSOPS

CF:
Provost Marshal (w/encl)

Figure 2–15. Using and preparing an informal memorandum

2–2. Use

a. Formal memorandums. The formal memorandum is used for correspondence that is sent outside the headquarters, the command, the installation, or similarly identifiable organizational elements within the DOD; for routine correspondence to Federal Government agencies outside the DOD; for notification of personnel actions, military or civilian; and for showing appreciation or commendation to DA employees and soldiers.

b. Informal memorandums. The informal memorandum is used for internal correspondence within the same headquarters, same command, or similarly identifiable organizational elements. As a general rule, do not use informal memorandums when corresponding with organizations or individuals not familiar with your office symbol. Informal memorandums may be preprinted and used as form letters.

Note. Refer to DA Memo 25–52, Staff Action Process and Correspondence Policies, for correspondence originating within the Army Staff or Secretariat Agencies.

2–3. General rules

a. Paper. The standard size is 8½ by 11 inches.

b. Original pages.

(1) For formal memorandums use computer-generated letterhead for the first page and plain white paper for continuing pages.

(2) The informal memorandum is typed or printed on plain white paper; do not use letterhead.

c. Copies. Prepare only the number of copies needed. See paragraph 1–23 for more information on record, copy furnished, and reading file copies.

d. Dates. Type or stamp the day, month, and year on the memorandum flush with the right margin.

e. Margins. The standard margin is 1 inch from the left, right, top, and bottom margins. Do not justify right margins.

f. Spacing. See figures 2–1 and 2–2.

g. Abbreviations and brevity codes. See paragraph 1–16.

h. Acronyms. See paragraph 1–17.

i. Signature blocks.

(1) Type the signature block of military officials on three lines with the name (in uppercase) on the first line, rank and branch of Service on the second line, and the title on the third line. If the title requires an extra line, a fourth line is authorized. Indent the beginning of the fourth line so that the first character will be aligned underneath the third character of the third line.

(2) Type the signature block of civilian officials on two lines with the name (in uppercase) on the first line and the title on the second line. If the title requires an extra line, a third line is authorized. Indent the beginning of the third line so that the first character will be aligned underneath the third character of the second line.

(3) Do not use academic degrees, religious orders, or fraternal orders as part of the signature block unless it would benefit the Army for the receiver to know this information, for example, use of a medical degree to show that medical information provided was based on expertise of a member of the medical profession.

(4) Do not use "(P)" (meaning that the signer is promotable) after the rank for personal benefit; use only if it would benefit the Army.

2–4. Format

When writing a memorandum, use the modified block style format. The format has three parts: heading, body, and closing.

a. Heading. The heading has five elements:

(1) *Office symbol.* Type the office symbol on the second line below the seal. The symbol names the writer's office (for example, DAPE–PRR). Do not use computer identification codes or word-processing codes as part of the office symbol. Other information may follow the office symbol when needed and if not part of the subject line. Some examples are the name of an individual, social security number, rank, primary military occupational specialty, contract number, or bill of lading number. Do not crowd the office or reference symbol line. If the additional information is lengthy, write it on a second line, flush with the left margin.

(2) *Date.*

(a) Put the date on the same line as the office symbol.

(b) End the date approximately even with the right margin.

(c) Express the date in this order: day, month, year. Day—Express in numerals. Month—Spell out if the year is not abbreviated; abbreviate if the year is abbreviated (15 January 1999 or 15 Jan 99 but not 15 January 99 or 15 Jan 1999).

Year—Express either with two or four digits, depending on whether the month is abbreviated or spelled out. The only exception to this rule is if the date stamp uses the abbreviated month and the four-digit year.

(d) The date may be typed or stamped.

(3) *Suspense date.* Use a suspense date if a reply is needed by a certain date. Do not impose a suspense date when there is no compelling reason.

(a) Placement. Put the suspense date at the right margin on the same line as the *Reply to Attention Of* or two lines above the date of the memorandum.

(b) Setting of suspense date. Always consider the time factors involved, for example, transmission time to the reader, time the reader needs to gather the information, and transmission time for the return reply.

(c) Format of the date. See paragraph 2–4*a*(2)(*c*).

(4) *MEMORANDUM FOR line.* Type *MEMORANDUM FOR* on the third line below the office symbol. Write to the office that is expected to complete the action. Do not simply address an action to a headquarters if it is known which element of that headquarters will receive the action. If the memorandum is sent to someone's attention, place the person's name in parentheses after the office symbol (see fig 2–4). Exception: When used for *Exclusive For* correspondence, appreciation, and commendation, a memorandum will be addressed to name and title of the addressee. When a second line is needed for the address, begin it flush with the left margin, except for multiple-address memorandums, which will begin under the third character of the line above it. Type addresses in either all uppercase or upper- and lowercase type. Be consistent. Do not mix the two type styles.

(a) Single-address memorandums. Figures 2–4 and 2–5 give examples of memorandums with a single address. Figure 2–4 gives an example for HQDA, and figure 2–5 gives one for a major command. When using a single address, *MEMORANDUM FOR* and the address are on the same line.

(b) Multiple-address memorandums. See figures 2–6 and 2–7 for examples of memorandums for HQDA and figure 2–8 for an example for MACOMs. Note that "multiple-address memorandums"means more than one and less than six. If the address extends more than one line, continue the second as stated in paragraph 2–4*a*(4). On multiple-address memorandums, prepare one original and make copies for additional addressees after signature. Place a checkmark to the immediate left of each addressee to designate that addressee's copy. This readily identifies the recipient and eliminates the need for reading the entire addressee listing.

(c) SEE DISTRIBUTION memorandums. If a memorandum is sent to more than five readers, use the *SEE DISTRIBUTION* format (see fig 2–9) for the addresses. Type the words *SEE DISTRIBUTION* one space after the words *MEMORANDUM FOR.* On the second line below the last line of the signature block or enclosure listing, whichever is lower, type *DISTRIBUTION:* and block the addresses as shown in figure 2–9. The distribution list may be continued on the second page (see fig 2–10). If necessary, the complete distribution list may be typed on a separate page. Prepare one original and make copies for additional addressees after signature. Place a checkmark to the immediate left of each addressee to designate that addressee's copy. This readily identifies the recipient and eliminates the need for reading the entire addressee listing. The envelope for an addressee on a *SEE DISTRIBUTION* list must show the complete address; otherwise, the U.S. Postal Service (USPS) will not be able to deliver it.

(d) THRU memorandums. Use a *THRU* memorandum to let others know what is being done and to give them the opportunity to comment, especially if their comment will have an impact on the action. Use this format when an action must be approved by several recipients, in turn. See figure 2–11 for the format for a single *THRU* memorandum. Use the format in figure 2–12 when sending the *THRU* memorandum to more than one reader.

(5) *Subject line.* Type the subject line on the second line below the last line of the address. Use only one subject and write the subject in 10 words or less, if possible. If the subject needs more than 10 words, limit the number of words and use authorized abbreviations. If the subject is more than one line, begin the second line flush with the left margin (see fig 2–13). Type *SUBJECT:* in uppercase letters (see examples).

b. Body (Text).

(1) *Beginning.* Begin the text on the third line below the last subject line.

(a) If there are references, list these in the first paragraph. See paragraph 1–31 for instructions on how to list.

(b) Begin the memorandum with a short, clear purpose sentence.

(c) Put the recommendation, conclusion, or most important information (the main point) next. (Some writing combines the purpose and the main point.)

(d) Clearly separate each major section. Use paragraphs, headings, or sections.

(e) When appropriate, a point of contact (POC) line will be the last paragraph of the body of the correspondence.

(2) *Spacing.* Single-space the text with double-spacing between paragraphs and subparagraphs. Single-space one-paragraph memorandums. (See fig 2–13.) On occasion, one-paragraph correspondence requires subparagraphing. The spacing for subparagraphing is the same as that for major paragraphs.

(3) *Indenting.* When paragraphs are subdivided, indent them as shown in figure 2–1.

(4) *Numbering paragraphs.*

(a) Do not number a one-paragraph memorandum.

(b) If the memorandum has more than one paragraph, number the paragraphs as outlined in figure 2–1.

c. Closing. Major elements are the authority line, signature block, and enclosure listing. Sub-elements are the DISTRIBUTION listing (if needed) and Copies Furnished (CF).

(1) *Authority line.* See chapter 7 and appendix E. Type the authority line at the left margin in uppercase letters on the second line below the last line of the text. The authority line is used by individuals properly designated as having the authority to sign for the commander or the head of an office.

(2) *Signature block.* See chapter 7 and appendix E for examples.

(a) Placement. Begin the signature block in the center of the page on the fifth line below the authority line. If there is no authority line, begin it on the fifth line below the last line of the text.

(b) Omission. Omit the signature block if it is not known at the time of writing who will sign. The signature block may be added either by typing or by use of a rubber stamp at the time of signature.

(c) Format. See paragraph 2–4.

(3) *Enclosures.* Number and attach enclosures in the same order in which they appear in the memorandum. When there is only one enclosure, do not precede "Encl" with the number "1." Use only "Encl." Begin the enclosure listing at the left margin on the same line as the signature block. (See chap 4.)

(4) *DISTRIBUTION listing (if needed).* See figures 2–9 and 2–10.

(5) *Copies Furnished.* See figures 2–10 and 2–13 through 2–15. Use the copy furnished line to inform others of the subject only if they have a need to know or an interest in the subject. Type *CF:* on the second line below the last line of the signature block, enclosure listing, or distribution listing, whichever is lower. Show whether or not enclosures are included by adding either "(w/encls)" or "(wo/encls)" at the end of each CF address. If all copies furnished addressees will be provided copies of the enclosures or all will not be provided enclosures, type either "w/encls" or "wo/encls" in parentheses after "CF" rather than type each one separately after each address (for example, CF: (w/encls)).

2–5. Multiple-Page memorandums

Try to limit the memorandum to no more than two pages. Use enclosures for additional information. If a memorandum is longer than one page, see figures 2–2 and 2–3 and follow these rules:

a. Type the office symbol at the left margin 1 inch from the top edge of the paper.

b. Type the subject of the memorandum at the left margin on the next line below the office symbol.

c. Begin the continuation of the text at the left margin on the third line below the subject phrase. When continuing a memorandum on another page—

(1) Do not divide a paragraph of three lines or less between pages. At least two lines of the divided paragraph must appear on each page.

(2) Include at least two words on each page of any sentence divided between pages.

(3) Do not hyphenate a word between pages.

(4) Do not type the authority line and the signature block on the continuation page without at least two lines of the last paragraph. If, however, the last paragraph or subparagraph has only one line, it may be placed alone on the continuation page with the authority line and signature block.

d. Center the page number approximately 1 inch from the bottom of the page.

Section II
Special Purpose Memorandums

2–6. Memorandum of Understanding or Memorandum of Agreement

a. Uses. Use a Memorandum of Understanding (MOU) or a Memorandum of Agreement (MOA) to document mutually agreed to statements of—

(1) Prepare the MOU or MOA on the letterhead of the preparing or requesting agency.

(2) Intentions.

(3) Procedures.

(4) Parameters.

(5) Policies of future actions.

(6) Matters of coordination.

Note. Do not substitute an MOA for formal support agreements within one Service or between Services. However, an MOA may be used to document an agreement before writing a more formal one.

b. Format. When an MOU or MOA is required, use the format shown in figures 2–16 and 2–17.

(1) *Heading.* Prepare the MOU or MOA on the letterhead of the preparing or requesting agency. This provision may be altered to meet internal or special requirements of the parties involved in the agreement. Center the title *MEMORANDUM OF UNDERSTANDING* or *MEMORANDUM OF AGREEMENT*on the second line below the seal. Type the word *BETWEEN*, also centered, on the line immediately following the title. Center the names of the agreeing agencies on the line immediately following the word *BETWEEN*. The requirement for centering may be altered when there are more than two agreeing agencies or where the agency titles are too lengthy to be typed on one line.

Section IV
Referenced Forms

DA Label 87
For Official Use Only Cover Sheet. (The DA Label 87 is available through normal forms supply channels.)

Appendix B
Style Practices

Section I
Capitalization

B–1. General
Problems of capitalization that most often arise in Army correspondence are covered in this section. Commonly used principles are briefly stated and supported by examples.

B–2. Titles of publications, documents, acts, and so forth
a. Capitalize all words in titles of publications and documents, except *a, an, the, at, by, for, in, of, on, to, up, and, as, but, if, or,* and *nor.*

Statutes at Large, Revised Statutes
District Code
Bancroft's History
Journal (House or Senate)
American Journal of Science
Monograph 55, Research Paper 123
Senate Document 70, *but* Senate bill 416
House Resolution 68, *but* House bill 20
Kellogg Pact, North Atlantic Pact
Treaty of Ghent

b. Do not capitalize when used apart from titles or in a general sense.

the applicable statutes
the code of the District
history books
a journal of legislative action
a professional journal
any monograph, a research paper by Sales
a historical document from the Senate
a committee resolution
a pact between nations
the treaty signed at Ghent

B–3. Titles used with names or titles standing for persons
a. Titles preceding names.
(1) Capitalize titles preceding proper names.

President Roosevelt
King George
Chairman McDowell
Ambassador Page

(2) Do not capitalize when used in a general sense.

a president of a club
a king of spades
a chairman of the committee

ambassador at large

b. Titles following names or titles used alone.
(1) Capitalize titles following proper names, or used alone as substitutes for names, when they indicate preeminence.

John Adams, President of the United States; the President, the President-elect, the Executive, the Commander in Chief, Ex-President Adams, a former President

Thomas Howells, Vice President of the United States; the Vice President

B. A. Rowland, Secretary of State; the Secretary, the Acting Secretary, the Under Secretary, the Assistant Secretary, the Director, the Chief, or the Assistant Chief

(2) Capitalize titles in the second person.

Your Excellency
Madam Chairman
Mr. Secretary

(3) Do not capitalize when used in a general sense or when not indicating preeminence.

Burns Mason, president of the Potomac Railway; president-elect of the union, the executive's suite, a young commander in chief, ex-president of Cullen Institute, a former president of the university.

Caleb Johnson, vice president of the Exchange; the vice president of SDA

secretaries of the military departments (part of the clerical staff), *but* Secretaries of the military departments (heads of Army, Navy, Air Force); the director, or chief, or assistant chief of the laboratory

Section II
Compound Words

B–4. General

a. A compound word conveys a unit idea that is not as clearly conveyed by separate words. The hyphen not only unites but separates the component words to aid readability and correct pronunciation.

b. In this section, basic rules for compounding are given first and are followed by guides to forming solid compounds and to hyphenating unit modifiers. Instructions are also given on adding prefixes and suffixes and on putting together combining forms.

B–5. Basic rules

a. Omit the hyphen when words appear in regular order and the omission causes no confusion in sound or meaning.

after action
banking hours
blood pressure
book value
census taker
day laborer
eye opener
fellow citizen
life cycle
living costs
mountain laurel
palm oil
patent right
real estate
time frame
training ship
violin teacher

b. Compound two or more words to express an idea that would not be as clearly expressed in separate words.

bookkeeping
follow-on
forget-me-not
indepth
in-house
gentlemen
man-hour
man-year
newsprint
offload
railcar
right-of-way
yearend

c. In a derivative of a compound, keep the solid or hyphenated form of the original compound, unless otherwise indicated for particular words.

coldbloodedness
footnoting
ill-advisedly
outlawry
praiseworthiness
railroader
X-rayer
Y-shaped

B–6. Solid compounds

a. When *any, every, no,* and *some* are combined with *body, thing,* and *where,* type as one word. Type as separate words *some one, every one,* and similar combinations that refer to a particular person or thing. To avoid mispronunciation, type *no one* as two words at all times.

anybody
anyone, *but* any one thing
anything
anywhere
everybody
everything
everywhere
nobody
no one
nothing
nowhere
somebody
someone
something

b. Type as one word compound personal pronouns.

herself
himself
itself
myself
oneself
ourselves
themselves
yourself
yourselves

c. Type as one word compass directions consisting of two points, but use a hyphen after the first point when three

points are combined.

northeast
north-northeast
southwest
south-southwest

B–7. Unit modifiers

a. Place a hyphen between words or abbreviations and words combined to form a unit modifier immediately preceding the word modified, except as shown in *b* below. This use of the hyphen applies particularly to combinations in which one element is a present or past participle.

a 4-percent increase
Baltimore-Washington road
drought-stricken area
English-speaking nation
Federal-State-local cooperation
guided-missile program
large-scale project
law-abiding citizen
long-term loan
lump-sum payment
multiple-purpose uses
US-owned property

b. Where meaning is clear and readability is not aided, it is not necessary to use a hyphen to form a temporary or made compound. Restraint should be exercised in forming unnecessary combinations of words used in normal sequence.

atomic energy power
child welfare plan
civil service examination
income tax form
land bank loan
life insurance company
parcel post delivery
per capita expenditure
real estate tax
social security pension
soil conservation measures
special delivery mail

c. Generally, do not use a hyphen in a two-word unit modifier if the first element is an adverb ending in *ly;* do not use hyphens in a three-word unit modifier if the first two elements are adverbs.

eagerly awaited moment
heavily laden ship
unusually well preserved specimen
very well defined usage
very well worth reading
not too distant future
often heard phrase
but
ever-normal granary
ever-rising flood
still-new car
still-lingering doubt
well-known lawyer
well-kept farm

d. Retain the original forms of proper nouns used as unit modifiers, either in their basic or derived forms.

United States laws
Latin American countries
Red Cross nurse
Winston-Salem regional office
Swedish-American descent
Minneapolis-St. Paul region

e. Do not confuse a modifier with the word it modifies.

gallant soldier
average taxpayer
but
income-tax payer
well-trained schoolteacher
wooden-shoe maker
tomato-canning factory
American flagship
but
American-flag ship

f. Retain the hyphen where two or more hyphenated compounds have a common basic element and this element is omitted in all but the last term.

8-, 10-, and 16-foot boards
2 by 4-inch boards, *but* 1 to 3 inches wide
moss- and ivy-covered walls, *not* moss and ivy covered walls

g. Do not use a hyphen in a foreign phrase used as a unit modifier.

ex officio member
per capita tax
per diem employee
prima facie evidence

h. Do not use a hyphen in a unit modifier that contains a letter or a number as its second element.

article 3 provisions
grade A eggs
point 4 program
ward D patients
strontium 90 effects

i. Do not use a hyphen in a unit modifier within quotation marks unless the modifier is usually a hyphenated term.

"blue sky" law
"good neighbor" policy
"tie-in" sale

B–8. Prefixes, suffixes, and combining forms

a. Type compounds that contain prefixes or suffixes as one word without a hyphen, except as shown in *b, c,* and *d* below. Use a hyphen to avoid doubling a vowel or tripling a consonant, except after the prefixes *co, de, pre, pro,* and *re.*

antedate
anti-inflation
Armywide
biweekly
brass-smith
cooperation

deemphasis
extracurricular
homestead
Ivernes-shire
micro-organisms
nationwide
offset
preexisting
reenact
semi-independent
semiofficial
shell-like
thimble-eye
twofold
ultra-atomic

b. Use a hyphen to avoid confusion.

anti-hog-cholera serum
co-op
non-civil-service position
re-sort (sort again)
re-treat (treat again)
un-ionized

c. Type with a hyphen the prefixes *ex, self,* and *quasi.*

ex-governor
ex-soldier
ex-trader
self-control
self-educated
quasi-academic
quasi-argument
quasi-corporation
quasi-judicial

d. Use a hyphen to join a prefix to a capitalized word, unless usage is otherwise.

anti-Arab
pro-British
un-American
but
nongovernmental
overanglicize
transatlantic

B–9. Numerical compounds

a. Type a hyphen between the elements of compound numbers from twenty-one to ninety-nine and in adjective compounds with a numerical first element.

7-hour day
6-footer
10-minute delay
3-week vacation
24-inch ruler
twenty-one
but
one hundred and twenty-one
100-odd

foursome

b. Type a hyphen between the elements of a fraction, but omit it between the numerator and the denominator when the hyphen appears in either or in both.

one-thousandth
three-fourths of an inch
twenty-one thirty-seconds
twenty-three thirtieths
two one-thousandths
two-thirds

c. Spell out numbers one through nine. Use figures for numbers 10 and higher. Except when *2* or more numbers appear in a sentence and *1*of them is *10* or higher, then use figures for both numbers. Do not follow a number with its numeral in parentheses.

B–10. Improvised compounds

a. Use a hyphen between the elements of an improvised compound serving as an adjective or a noun.

how-to-be-beautiful course
know-how
know-it-all
let-George-do-it attitude
roll-on/roll-off ship
stick-in-the-mud

b. When the corresponding noun form is printed as separate words, the verb form is always hyphenated.

blue-pencil
cold-shoulder
cross-brace

Section III
Abbreviations

B–11. General use of abbreviations

Established abbreviations are acceptable in all but the most formal writing. For reading ease use only well-known abbreviations. If it is desirable to use an abbreviation that may not be familiar to the reader, words will be written in full on first appearance followed by the abbreviation in parentheses. After this first definition of its meaning, the abbreviation may be used without further explanation.

B–12. Capitals, hyphens, periods, and spacing

a. In general, when abbreviating a word or words, capitalize and hyphenate the abbreviation as in the original word or words. Use a period after each element of the abbreviations, unless through usage the period is omitted. Omit periods after abbreviations in addresses. Allow no space after periods except when they follow the initials in names of persons.

c.o.d.
H.R. 116
A.B.
St
a.m.
J. M. Jones

b. Omit periods and spaces after initials used as shortened names of Government agencies and other organized bodies, if not contrary to usage.

HHS
TVA
DOD
ARC

AFL–CIO
USAF
USA
USN

B–13. Geographic terms

a. Abbreviate *United States* when preceding Government or the name of a Government organization, except in formal writing. Spell out *United States* when it is used as a noun or when it is used as an adjective in association with names of other countries. When abbreviations are used in correspondence within DOD or to other Government agencies, periods after U.S. may be omitted.

US Government
US Congress
US Department of Agriculture
US monitor Nantucket
USS Brooklyn (note abbreviation for ship)
but
The climate of the United States
Britain, France, and United States Governments

b. With the exceptions noted in *a* above, the abbreviation *US*is used in the adjective position but is spelled out when used as a noun. When abbreviations are used in correspondence within DOD or to other Government agencies, periods after U.S. may be omitted.

US foreign policy
US economy
US attorney
US attitude
but
foreign policy of the United States
the economy of the United States
United States Code (official title)
United States Steel Corp. (legal title)

c. In other than formal writing, abbreviate Canal Zone, Puerto Rico, Virgin Islands, and the names of States of the United States. Do not abbreviate names of other insular possessions.

B–14. Addresses

a. Words in an address are spelled out in letters. Where brevity is required, these abbreviations following a name or a number may be used in military correspondence without a period following the abbreviation.

Ave—Avenue
Bldg—Building
Blvd—Boulevard
Ct—Court
Dr—Drive
Ft—Fort
Hwy—Highway
NE—Northeast
NW—Northwest
Pkwy—Parkway
Pl—Place
Rm—Room
Rt—Route
SE—Southeast
Sq—Square
St—Street
Ste—Suite
SW—Southwest

Ter—Terrace

b. Do not abbreviate *country*, *mount*, *point*, and *port.*

B–15. Parts of publications

Abbreviations may be used to designate parts of publications mentioned in parentheses, brackets, footnotes, lists of references, and tables, and followed by figures, letters, or Roman numerals. The single abbreviation indicates either the singular or plural of the abbreviated word, for example, para—paragraph, paragraphs:

app—appendix, appendixes
art—article, articles
bul—bulletin, bulletins
chap—chapter, chapters
cl—clause, clauses
colm—column, columns
fig—figure, figures
no—number, numbers
p—page, pages
para—paragraph, paragraphs
pl—plate, plates
pt—part, parts
sec—section, sections
subchap—subchapter, subchapters
subpara—subparagraph, subparagraphs
subsec—subsection, subsections
suppl—supplement, supplements
vol—volume, volumes

B–16. Terms relating to Congress

Use the following abbreviations for the words *Congress* and *session* when these words are used in parentheses, brackets, footnotes, sidenotes, lists of references, and tables:

82d Cong., 1st Sess.
1st sess., 82d Cong.
Public Law 64, 74th Cong.

B–17. Calendar divisions

a. When brevity is required, abbreviate the names of months when used with day or abbreviated year, or both. Abbreviate year when used with abbreviated names of the months, for example, Jan 99 not Jan 1999:

Jan
Feb
Mar
Apr
May
Jun
Jul
Aug
Sep
Oct
Nov
Dec

b. The names of days of the week are preferably not abbreviated. If they are, use the following forms.

Sun
Mon
Tue
Wed

Thu
Fri
Sat

B–18. Quotes

The following rules are recommended when including a quotation in the text:

a. Long quotations. If the quotation is extensive or more than two paragraphs long, use the word *QUOTE*at the beginning and the word *UNQUOTE*at the end of the quoted material. Place these words on separate lines from the quoted material to distinguish them and offset them from the information being quoted.

b. Short quotations. Use quotation marks before and after the quoted material. Always place the comma and final period inside the quotation marks. Place other punctuation inside only if they are part of the quoted material.

B–19. Word division

Words should be divided only when necessary. When they must be divided, they are separated between syllables. One-syllable words are never divided. Proper division into syllables is given in most dictionaries.

a. Words may be divided—

(1) After a vowel, if the vowel itself is a separate syllable within a word.

physi-cal not phys-ical
sepa-rate not sep-arate
particu-lar not partic-ular
criti-cism not crit-icism

(2) Between the members of solid compounds.

rail-road
proof-reader

(3) At the hyphen in hyphenated compounds.

court-martial
above-mentioned

(4) Between adjoining vowels in separate syllables.

estu-ary
gene-alogy
cre-ation

(5) After prefixes of three or more letters.

ante-date
tri-color
inter-leaving
trans-portation

(6) Before suffixes of three or more letters.

port-able
writ-ing

(7) After the second consonant of double consonants ending a root word, when followed by a suffix.

tell-ing
express-ing

(8) Between double consonants that are doubled because a suffix is added.

remit-ted

thin-ning

(9) After the consonant at the end of a syllable with a short vowel and before the consonant at the end of a syllable with a long vowel, if no vowel is a separate syllable or if vowels do not adjoin.

progress (verb) pro-gress
progress (noun) prog-ress
project (verb) pro-ject
project (noun) proj-ect
stenographic (verb) steno-graphic
stenographer (noun) stenog-rapher

b. Words may not be divided—

(1) At the ends of more than two consecutive lines.

(2) At the end of a line when the part begun there does not suggest the whole word.

counter-offense *not* coun-teroffense

(3) If five or fewer letters, even though containing more than one syllable.

avoid
begin
into
also
every
area

(4) Between a one- or a two-letter terminal syllable and the rest of a word.

ammonia
proceeded
period

(5) Between a one- or two-letter initial syllable and the rest of the word.

identity
around
behavior

(6) At the end of a page or of a paragraph.

c. Do not separate closely related word units. Avoid separating words in close association, such as the elements of dates and of proper names, groups of initials and surnames, and abbreviated titles and names. When it is necessary to divide a date, the year may be carried over to the next line in the nonabbreviated form. When it is necessary to divide a proper name, the surname may be carried over to the next line. Do not separate figures, letters, or symbols from their accompanying words.

Appendix C
Titles and Protocol Sequence

C–1. Addressing the Office of the Secretary of Defense

Figure C–1 provides the protocol sequence for multiple-addressee correspondence within the Office of the Secretary of Defense.

C–2. Addressing the Secretary of the Army and the Army Staff

Figures C–2 through C–5 show the titles and protocol sequences for multiple-addressee correspondence within the Office of the Secretary of the Army and to the Army Staff.

Student Handout 3

Extracted Material from DA Pam 600-67

This student handout contains 3 pages of extracted material from the following publication:

DA Pam 600-67, Effective Writing for Army Leaders, 2 June 1986

Cover Page	not numbered
Chapter 1, 2, and 3	pages 1 and 2

Disclaimer: The training developer downloaded the extracted material from the U.S. Army Publishing Directorate Home Page. The text may contain passive voice, misspellings, grammatical errors, etc., and may not be in compliance with the Army Writing Style Program.

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Department of the Army
Pamphlet 600–67

Personnel—General

Effective Writing for Army Leaders

Headquarters
Department of the Army
Washington, DC
02 June 1986

Unclassified

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Chapter 1
Introduction

1–1. Purpose

This pamphlet is a leader's manual. It –

a. Provides accessible information on what kind of staff writing to demand and how to have it produced.

b. Explains in detail what good Army writing is and how to establish uniform Army writing standards.

c. Describes two quantifiable tools to reinforce better writing.

d. Provides examples of the new standard for Army writing.

1–2. References

a. Required publication. AR 600–70, The Army Writing Program, is a required publication. (Cited in para 2–1d.)

b. Related publication. (A related publication is merely a source of additional information. The user does not have to read it to understand the pamphlet.) AR 340–15, Preparing and Managing Correspondence, is a related publication.

1–3. Why there is an Army Writing Program

a. Too much Army writing does not communicate well. It confuses rather than clarifies; it is wordy rather than concise; it hides the main idea rather than getting to the point.

b. We all recognize the particular style described in a above as "Army" writing. The Army has developed this style collectively. That means that, collectively, we can build a better style.

c. Information overload and the complexity of the modern Army demand a more effective style and a new standard for writing.

1–4. Defining the standard

a. According to AR 600–70, the standard for Army writing is writing you can understand in a single rapid reading, and is generally free of errors in grammar, mechanics, and usage.

b. Good Army writing is clear, concise, organized, and right to the point.

Chapter 2
Leadership and Writing

2–1. Why we need a leader writing pamphlet

a. Leaders lose too much time grappling with poor writing.

b. Poor writing hinders decisions.

c. Only leaders can make this new style happen.

d. Paragraph 2e of AR 600–70 requires all commanders to uphold a common standard.

2–2. A different kind of writing pamphlet

a. This is a leader's manual, not a thick staff officer's guide. This pamphlet provides accessible information on what kind of writing to demand and how to get your staff to produce it.

b. Most significantly, the Army has set a standard for good writing and developed staff writing rules to reach that standard. You'll find those in this pamphlet as well.

2–3. Your role as an Army leader

This pamphlet has three primary sections and will assist you as an Army leader to —

a. Issue the guidance to establish uniform, effective writing standards.

b. Be a mentor to your subordinates using specific tools.

c. Show the new standards using sets of examples.

Chapter 3
Issuing the Guidance

3–1. Style Rules

Take these guidelines and publish them as your office writing rules to establish the new Army writing rules to establish the new Army writing standard. Require all people who write for you–

a. Put the recommendation, conclusion, or reason for writing—the " bottom line "—in the first or second paragraph, not at the end.

b. Use the active voice.

c. Use short sentences (an average of 15 or fewer words).

d. Use short words (three syllables or fewer). (See the clarity index in paragraph 4–3.)

e. Write paragraphs that, with few exceptions, are no more than 1 inch deep.

f. Use correct spelling, grammar, and punctuation.

g. Use "I,""you" and "we" as subjects of sentences instead of "this office,""this headquarters,""all individuals," and so forth, for most kinds of writing.

3–2. Two essential changes

These new writing guidelines mandate two critical changes that leaders must demand. The first change alters the structure of all Army writing; the second change transforms the style.

a. Structure—main idea first.

(1) Require all staff writing to begin with the main idea. The greatest weakness in ineffective writing is that it doesn't quickly transmit a focused message. Too much Army writing hides the main point. Insist, as business writers do, on the "bottom line" first. Have subordinates start with the information they would keep if they had to get rid of all the rest.

(2) Require specific packaging of all writing. Focusing first on the main point changes the overall construction of Army writing. This restructuring, called packaging, is the framework of the new writing style. Packaging is not format. Formatting begins after packaging to tailor the writing to a specific purpose. To package–

(a) Open with a short, clear purpose sentence.

(b) Put the recommendation, conclusion, or most important information (the main point) next. (Some writing combines the purpose and the main point.)

(c) Clearly separate each major section. Use paragraphs, headings, or section titles.

(d) Use a specific format if one is appropriate.

b. Style – the active voice.

(1) The major style change that makes Army writing clear, direct communication is using the active voice rather than passive voice. Many Army writers overuse the passive voice and create sentences that are indirect and unfocused, and that slow communication. The passive voice hides the doer of the action, blocking communication. Active example: Army beat Navy. Passive example: The Navy has been beaten by Army.

(2) The active voice is direct, natural, and forceful.

(3) The active voice does more than make sentences clearer – it shortens sentences. Eliminating the passive voice reduces a piece of writing by about 20 percent.

(4) The passive voice is actually very easy to recognize: it uses one of the eight forms of to be plus a verb usually ending in –en or –ed. Example: am, is, are, was, were, be, being, been plus the –en, –ed word (is requested, were eaten).

(5) When you see verb constructions like the examples in (4) above, you know the writing is passive. Although sometimes the passive is appropriate, most of the time it is not. Examples: The passive voice is abused in Army writing. When vagueness is wanted, the passive voice is selected by many writers. A direct style, on the other hand, is created by the active voice.

(6) When you see writing in the passive voice, have the writers change it to active voice. Tell your subordinates to put the subject first in sentences and they will become active writers. Example: Army writing abuses the passive voice. Army writers select the

passive voice when they want to be vague. The active voice, on the other hand, creates a direct style.

Chapter 4
Being a mentor

4–1. General

Despite clear staff writing guidelines and focusing on only two essential changes, some of the writing you see won't meet the new standards. Most supervisors have little trouble identifying poor writing. Many, however, have problems knowing how to fix it or counsel someone else on how to fix it. Use the tools discussed in paragraphs 4–2 and 4–3 to give your subordinates specific, quantifiable feedback.

4–2. The quick–screen edit

This editing tool identifies major violations of the Army standard for writing. To use the quick–screen edit, simply do the following:

a. use a highlighter, pencil or pen.

b. In a single, rapid reading highlight, circle, or underline–

(1) The "bottom line," the purpose of the piece of writing.

(2) Any forms of the verb to be used with a past participle (a verb ending in "–en" or "–ed"). This identifies the passive voice.

(3) Any unnecessary long words or jargon.

(4) Spelling, punctuation, or grammar mistakes.

c. Have your people revise the four targeted areas. In the revision–

(1) Move the "bottom line" to the beginning of the writing if it is not there already.

(2) Change only the other highlighted problems.

(3) Check the writing for packaging.

d. See figure 4–1 for an example of highlighting, using the quick–screen edit. (The reverse type in fig 4–1 represents use of highlighting.) Figure 4–2 shows the revised example.

e. This quick–screen edit is a quick, effective screen. It's quick because you only read it once. It's effective because you highlight specific errors. It's a screen because you highlight only those errors that are distracting.

f. With this technique, you chow subordinates exactly what to revise without requiring a complete rewrite.

4–3. The clarity index

Some writing problems do not lend themselves to a quick–screen edit. A second tool, the clarity index, pinpoints tow other major reasons why writing that arrives on the desk is often confusing and difficult to read.

a. Long words and long sentences make writing difficult to read. Such writing does not meet the new standards of Army writing. The clarity index provides a yardstick to measure how readable writing is. If you suspect that writing is not effective, this yardstick is helpful to quantify the problem.

b. The clarity index is based on word and sentence length. Selecting a sample of 200 words or less, use the formula below. (For graphic representation of the formula, see fig 4–3.)

(1) Count the number of sentences.

(2) Count the number of words.

(3) Divide the number of words by the number of sentences to get the average sentence length. (The target average is 15 words per sentence.

(4) Count the number of words that have three syllables or more.

(5) Divide the number of long words by the total of words to determine the percentage of long words. (The target is 15 percent.)

(6) Add the average sentence length to the percentage of long words.

(7) The sum is the clarity index. (The target is 30.)

c. If a writer eliminates long words and long sentences without changing meaning, writing becomes clearer. The writer is not producing simplistic papers or insulting the reader's intelligence. Instead, time–savings and understanding increase.

d. Use the clarity index once to quantify the density of a piece of writing for subordinates. Then have them periodically monitor their own writing. See figures 4–4 and 4–5 for examples of how to compute a clarity index.

e. Use the following Rules of thumb for the clarity index:

(1) Below 20, writing is too abrupt.

(2) Over 40, writing is difficult to understand.

(3) Aim for an index of 30.

Chapter 5
Showing the New Standards

5–1. Establishing the guidelines

a. The two essential changes – packaging and active writing – and the seven style techniques create a new standard for Army writing.

b. The quick–screen edit and the clarity index help enforce the new standard.

5–2. Setting the examples

a. The examples in figures 5–1 through 5–6 demonstrate the results of applying the leadership guidelines in this pamphlet to Army writing. Read and compare the examples. Do not accept writing like that labeled "poor writing." Only accept writing like that labeled "good writing." Use figures 5–1 through 5–6 as examples for your subordinates.

b. The memorandum at figure 5–1 has a clarity index of 42. That's too high. The paper is far too long, is filled with jargon, the passive voice, and is not focused. Packaging in figure 5–2 brings the recommendation to the top and eliminates unnecessary verbiage. The example in figure 5–2 has a clarity index of 23.

c. Much of figure 5–3 is error–riddled or Army jargon. It's an attempt to sound "serious" and military. Writing like this slows communication and sends the wrong message about the writer. Note the difference in figure 5–4.

d. The other examples of standards in this pamphlet reflect the dramatic difference brevity makes to bring about more effective writing. Although the example at figure 5–5 is short, it has a more basic problem – packaging. Notice that figure 5–6 does not look markedly shorter, although it is. This document's legal nature does mean some things cannot be cut out. It's much improved, however, because the "bottom line" is up front and the paragraphs are short. Packaging speeds communication.

A microcomputer can help this office speed up actions which is very important to getting all missions accomplished. By using the data base software, we can keep track of all training and not allow repetitive training. WE can use the work processor to do our administrative actions and speed up our ability to do work. We need such and instrument at this time.

Figure 3-1. Example of writing without packaging

Student Handout 4

Army Writing Style Programmed Text

This student handout contains 52 pages of material designed to provide you a review of some of the basic rules of grammar, punctuation, and word choice.

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Introduction

Introduction

AR 25-50 states, “Effective Army writing transmits a clear message in a single, rapid reading and is generally free of errors in grammar, mechanics, and usage . . . use correct spelling, grammar, and punctuation.” During the Army Writing Style lesson we do not have the time or the resources to teach these skills – you should already be familiar with them. Since it may have been a while since you attended any formal schooling, the lesson developer prepared this programmed text to provide you a review of some of the basic rules in grammar, punctuation, and word choice. This programmed text does not cover every rule and its application; we simply provide it to you as a review. It is up to you to be familiar with the rules of grammar, punctuation, and word choice.

In some cases the references regarding grammar, punctuation, and word choice contradict each other; therefore, for consistency in this lesson and throughout the rest of this course, this programmed text provides the rules by which your instructor will evaluate your work on the Army writing style. The lesson developer used *The Gregg Reference Manual*, Ninth Edition and *English Simplified,* Ninth Edition in preparing this programmed text. You may use this programmed text during the written examination.

NOTE: DO NOT WRITE IN THIS PROGRAMMED TEXT; THIS IS A RECOVERABLE STUDENT HANDOUT. If you desire to keep a copy of this programmed text, you may make a copy or download it at http://usasma.bliss.army.mil/BNCOC/. Whether you make a copy of your own or write your answers on a separate sheet of paper, compare your response with the suggested response in the programmed text. Work at your own pace and take breaks as needed. You must complete this programmed text prior to the Army Writing Style lesson.

ARMY WRITING STYLE PROGRAMMED TEXT

CONTENTS

	PAGE	FRAMES
SENTENCE (SUBJECT AND PREDICATE)	SH-4-6	2-8
NOUN	SH-4-14	10-12
PRONOUN	SH-4-17	13-16
VERB	SH-4-21	17-18
ADJECTIVE	SH-4-23	19-22
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1. To complete this programmed text turn the page and start with frame 2. After you complete frame 2, turn the page and complete frame 3. Continue this process until you reach frame 50; it will direct you back to this page, frame 51.

---

51. Select the correct verb in the following sentence:

    Leaders, given a mission, (ask, asks) subordinates for input, information, and recommendations but make the final decision on what to do themselves.

---

101. Clause A: Because SGT Thomas hit 19 of 20 targets,
     Clause B: he received the expert marksmanship badge.

     Clause A is (a) (an) _____ clause.

     Clause B is (a) (an) _____ clause.

---

151. We protested <u>that the engine used too much oil</u>, <u>that the brakes were dangerous</u>, and <u>that the tires were bald</u>.

     The underlined clauses are _____ clauses.

---

201. We removed the *and*. Punctuate the sentence now:

     The ISG prepared the duty roster he posted it on the unit bulletin board.

---

251. We normally add an apostrophe and an *s*, except when the word is _____ and ends in _____.

---

2. The sentence is our basic unit of spoken or written thought. It is a group of words representing a complete thought and containing a subject and a predicate.

52. ask (disregard the intervening clause “given a mission”)

(Leaders ask – not leaders asks)

102. a dependent

an independent

152. dependent

202. The lSG prepared the duty roster**;** he posted it on the unit bulletin board.

252. plural

s

3. The subject is the part that names the person or thing the sentence speaks about.

   The predicate tells what the subject does, what someone or something does to the subject, or what or how the subject is.

---

53. Select the correct verb in the following sentence:

    The three broad leader actions of influencing, operating, and improving (contain, contains) other activities.

---

103. SGT Snorkle drove to the PX, and he stopped at the club.

     How many independent clauses are there in this example.

---

153. Let's see how well you remember the punctuation rules you've reviewed. Punctuate the sentences in the following frames (as applicable) and justify your answer:

     He carried the wounded soldier from the downed helicopter through the stream and over the hill to the waiting vehicle.

---

203. You could also make two separate sentences by replacing the semicolon with a period and capitalizing the first word of the second independent clause.

     Remember, do not try to replace the semicolon with a comma; this will make it a run on sentence.

---

253. sergeants; dogs; students; teachers

     Each of the above words is _____ and ends in *s,* so you would add only an _____ to show possession.

---

4. SGT Smith went to the motor pool.

---

54. contain (disregard the intervening clause “of influencing, operating, and improving”)

(actions contain – not actions contains)

---

104. two

---

154. He carried the wounded soldier from the downed helicopter**,** through the stream**,** and over the hill to the waiting vehicle.

Use commas to separate three or more clauses and phrases in a series.

---

204. The lSG prepared the duty roster. He posted it on the unit bulletin board.

This shows the previous sentence divided into two sentences.

---

254. plural

apostrophe

---

5. What is the subject of the sentence in frame 4?

   What is the predicate of the sentence in frame 4?

---

55. Try another one.

    Several pieces of the puzzle (was, were) missing.

---

105. SGT Snorkle drove to the PX before he stopped at the club.

     We changed *and* to *before*. Now how many independent clauses are there?

---

155. SSG Knox did not attend the company party because he was ill.

---

205. Punctuate the following sentence using the semicolon:

     SGT Smith and SGT Trainer were at the training SGT Cooper did not attend.

---

255. Do not use an apostrophe with possessive pronouns (*his, hers, its, ours, yours, theirs)* or with *whose*.

---

6. SGT Smith (subject)
went to the motor pool (predicate)

56. were (disregard the intervening clause “of the puzzle”)
(pieces were – not pieces was)

106. one SGT Snorkle drove to the PX.

156. No punctuation required.
(independent clause precedes the dependent clause)

206. SGT Smith and SGT Trainer were at the training**;** SGT Cooper did not attend.

256. Thus far, we have reviewed how to use the apostrophe to show possession. Next we’ll review using the apostrophe to make contractions.

7. The subject is the part that names the _____ or _____ the sentence speaks about.

   The predicate tells what the subject _____, what someone or something does to the subject, or what or how the subject _____.

---

57. Now let's look at another rule. A compound subject (more than one subject) joined by *and* requires a plural verb.

---

107. SGT Snorkle stopped at the PX, and he bought a new computer.

   The word *and* joins two _____ clauses.

---

157. When war threatens world stock markets become jittery.

---

207. Correctly punctuate the following sentence:

   PFC Burns went to the PX but it was not open.

---

257. A contraction is simply the abbreviated form of two words that you have added together to form only one.

   When you join the words *can* and *not* into *can't*, you have formed a _____.

---

8. person thing

   does is

58. Wrong: A book and a pencil *is* all I need for the class.

    Right: A book and a pencil *are* all I need for the class.

108. independent

158. When war threatens**,** world stock markets become jittery.

     (the dependent clause precedes the independent clause)

208. PFC Burns went to the PX**,** but it was not open.

     Did you remember that two independent clauses joined by a coordinating conjunction require a comma?

258. contraction

9. Next we'll review the eight parts of speech in traditional grammar: nouns, pronouns, verbs, adjectives, adverbs, prepositions, conjunctions, and interjections.

59. Select the correct verb in the following sentence:

The senior instructor and the senior trainer (is, are) attending a three-day workshop.

109. Earlier we reviewed the conjunction as a part of speech. Now we'll look more closely at coordinating conjunctions.

159. The standards you establish and enforce will give your soldiers order and tough training will give them confidence.

209. Remember, the first rule for using the semicolon is to put it between two closely related _____ _____ not joined by a _____ conjunction.

259. Form contractions for the following:

what is	would not	could have
you are	who is	does not

10. A noun is a word that names a person, place, or thing (including a quality or idea).

60. are

110. SGT Snorkle stopped at the PX, and he bought a new computer.

When we use the word *and* in this way, we are using it as a coordinating conjunction.

160. The standards you establish and enforce will give your soldiers order**,** and tough training will give them confidence.

(two independent clauses joined by a coordinating conjunction)

210. independent clauses

coordinating

260.

what's	wouldn't	could've
you're	who's	doesn't

11. Identify the nouns in the following sentence:

    SPC Johnson went to the range to fire his assigned weapon.

61. Let's try another.

    Army values and leader attributes (form, forms) the foundation of the character of soldiers.

111. When you join words, phrases, and clauses of equal importance, you normally use a _____ conjunction.

161. We will now review the use of commas with restrictive and nonrestrictive clauses and phrases.

211. Another rule for using the semicolon involves sentence elements that have commas in them.

261. We also use apostrophes to make plurals of letters and symbols. Form the plural of letters and symbols by adding an apostrophe and an *s.*

    SGT Jones' grades in her college class included three A**'s** and two B**'s**.

    Use +**'s** and -**'s** on the test.

12. SPC Johnson (person)

range (place)

weapon (thing)

62. form

112. coordinating

162. A restrictive clause or phrase is essential to the meaning of the sentence. It fully or partially identifies (restricts) the word it modifies. It answers the question "which one?"

212. CPL Booker, the first squad leader; SGT Snooker, the second squad leader; and SGT Cooker, the third squad leader attended the platoon meeting.

The underlined portions make up a series.

262. Do not put an apostrophe with the *s* to form the plural of abbreviations or acronyms such as NCO and MACOM.

NCOs; not NCO's MACOMs; not MACOM's

13. A pronoun substitutes for or takes the place of a noun.

    Examples: *I, my, mine, me, we, our, ours, us, you, your, yours, he, his, him, she, her, hers, it, its, they, their, them.*

---

63. An exception to this rule is that we will use a singular verb when two or more subjects connected by *and* refer to the same person or thing.

---

113. Examples of _____ conjunctions are *and, or, but, nor, so, yet,* and *for.*

---

163. If we can't remove a clause or phrase without changing the meaning of the sentence, then we call that clause or phrase _____.

---

213. Earlier we saw that we use the **comma** to separate words in a simple series, but the series in frame 212 is a complex series that contains commas within the series.

---

263. Use only a lower case *s* to form the plural of acronyms.

    Example: Several NCOs attended the meeting.

---

14. We call the noun that a pronoun stands in for the antecedent of that pronoun.

64. My mentor and friend was by my side during the whole ordeal. (One person is both mentor and friend.)

114. coordinating

164. restrictive

214. CPL Booker, the first squad leader; SGT Snooker, the second squad leader; and SGT Cooker, the third squad leader attended the platoon meeting.

This example illustrates the use of a semicolon when the sentence contains commas within the items of the series.

264. Use an apostrophe and an *s,* however, to show possession.

Example: This NCO's performance was exceptional.

15. Identify the pronoun and antecedent in the following sentence:

PFC Thomas brought a friend with him to the company Christmas party.

---

65. Select the correct verb in the following sentence:

Corned beef and cabbage (is, are) on the menu at the dining facility today.

---

115. The commander was ill, <u>but</u> he did go to work.
The underlined word is a _____ _____.

<u>The commander was ill</u>, but he did go to work.
The underlined portion is (a) (an) _____ _____.

---

165. All vehicles <u>parked in the maintenance bay</u> are due scheduled maintenance.

If we remove the underlined clause would it change the central thought of the sentence?

---

215. Correctly punctuate this sentence:

SGT Southern from Ft Bliss SGT Smart from Ft Knox and SGT Skipper from Ft Benning are attending BNCOC.

---

265. Give the example below a try.

They asked NCO___ from several MACOM___ to comment, and they carefully considered each NCO___ reply.

---

16. him (pronoun)

PFC Thomas (antecedent)

---

66. is (Corned beef and cabbage is one dish.)

---

116. coordinating conjunction

independent clause

---

166. It most definitely would.

The clause parked in the maintenance bay answers the question “which vehicles?”

So this is a restrictive clause.

---

216. SGT Southern, from Ft Bliss; SGT Smart, from Ft Knox; and SGT Skipper, from Ft Benning; are attending BNCOC.

---

266. NCOs

MACOMs

NCO’s

---

17. A verb expresses action or state of being.

    Identify the verbs in the following sentence:

    PFC Jones is fast; he ran two miles in 10 minutes.

---

67. Another subject-verb agreement rule is that singular subjects joined by "*or, either . . . or, neither . . . nor,* or *not only . . . but also*" are singular and require a singular verb.

---

117. Because you must be familiar with the rules of grammar, punctuation, and word choice, you must complete this programmed text before class.

    The underlined portion is (a) (an) _____ _____.

---

167. All of the soldiers waiting in the hall want to see the first sergeant.

    If we delete the underlined phrase, the meaning changes; therefore, we call it a _____ _____.

---

217. We can use the semicolon in another instance also.

    We can use it to set off conjunctive adverbs. Some grammar books refer to conjunctive adverbs as transitional expressions. For the remainder of this programmed text we will use only the term conjunctive adverb.

---

267. Next we will review two uses of the question mark.

    As mentioned earlier, we use the question mark after a direct question.

    Example: Did SGT Snap get a phone call? When? From whom?

---

18. is (verb – state of being)

ran (verb - action)

68. Neither the platoon leader nor the platoon sergeant has a copy of the change to the training schedule.

118. dependent clause

168. restrictive phrase

(it answers the question “which soldiers?”)

218. The words *however, although, therefore,* and *nevertheless* are examples of conjunctive adverbs.

The conjunctive adverb is normally in the middle of the sentence.

268. We can also enclose a question mark in parentheses to express doubt or uncertainty about a word or phrase within a sentence.

Example: PFC Smith joined the Army after his graduation from high school in 2001(?).

We are indicating uncertainty about the date, so we use a question mark in parentheses.

19. An adjective modifies a noun or occasionally a pronoun.

69. Let's try one.

Either May or June (is, are) a good time for a field training exercise.

119. Now that we know how to identify dependent clauses, independent clauses, and coordinating conjunctions, we can review some rules for properly using the comma.

169. A clause or phrase that merely adds information or facts that are not essential to the meaning of the sentence is _____.

219. SGT Lee had an asthma attack; therefore, he did not complete the PT run.

Therefore is a _____ _____. We precede it with a _____ and follow it with a _____.

269. Now let's move on to quotations marks. As the name implies, we normally use quotation marks to enclose direct quotations.

The command sergeant major asked, "What time is it?"

This leads to another topic: using quotation marks in conjunction with other punctuation.

20. An adverb usually modifies a verb, but it can also modify an adjective or another adverb.

70. is

120. When a coordinating conjunction joins two independent clauses, put a comma before the conjunction.

170. nonrestrictive

220. conjunctive adverb

semicolon

comma

270. Always put *periods* and *commas inside* closing quotation marks.

Always put *colons* and *semicolons outside* closing quotation marks.

Place *question marks, exclamation points,* and *dashes inside* the quotation marks when they belong to the quotation and *outside* when they don't.

21. Identify any adjectives and adverbs in the following sentence:

SGT Smith is a very competent and confident leader.

---

71. The final agreement rule we will review pertains to having both a singular and plural subject. If the subject contains both a singular and plural word connected by *or, either . . . or, neither . . . nor,* or *not only . . . but also*, the verb agrees with the nearer part of the subject.

---

121. SGT Snorkle stopped at the PX, and he bought a new computer.

Since we have two independent clauses joined by a coordinating conjunction, we place a _____ before the _____ _____.

---

171. SSG Jones, <u>hoping to win the NCO of the Month Board</u>, studied every day for a month.

If we omitted the underlined phrase, we wouldn't change the meaning; therefore, we call it a _____ _____.

---

221. Let's see if you have it.

We put a _____ before a _____ _____ and put a _____ after it when it joins two independent clauses.

---

271. Correctly punctuate the following sentences:

Why am I here asked SGT Jiffy

SGT Sams exclaimed It's perfect

---

22. very (adverb)
competent (adjective)
confident (adjective)

72. Neither the *first sergeant* nor his *platoon sergeants* have copies of the new SOP.
(The verb *have* agrees with the nearer subject, *platoon sergeants*.)

122. comma
coordinating conjunction

172. nonrestrictive phrase

222. semicolon
conjunctive adverb
comma

272. “Why am I here?” asked SGT Jiffy.
SGT Sams exclaimed, “It’s perfect!”

23. A conjunction is a word or phrase that joins or connects words, phrases, or clauses.

73. You try one.

Not only the squad leaders but also the platoon sergeant (is, are) in favor of the policy change.

123. When we have two _____ _____ joined by a _____ _____, put a comma before the conjunction.

173. A protective mask that leaks is of no value.

What is the dependent phrase? Is it restrictive or nonrestrictive? Does it change the meaning of the sentence?

223. However, when the conjunctive adverb is the first word of a sentence, simply follow it with a comma.

Note in this example a comma follows the conjunctive adverb, *However*.

273. Let's try some more. Correctly punctuate the following sentences:

What time is training asked PFC Smith
SGT Jones announced Training will start at 1500 then he said that everyone must attend
CPT Jones asked if SGT Knead was in the hospital

24. A coordinating conjunction (*and, but, or, nor, for, yet, so*) joins words of the same kind and same importance.

A subordinating conjunction (*if, because, although, when, unless,* etc.) joins a dependent clause to an independent clause.

---

74. is

(The verb *is* agrees with the nearer subject, platoon sergeant.)

---

124. independent clauses

coordinating conjunction

---

174. "that leaks" is the dependent phrase.
It is restrictive.
It would definitely change the meaning.

---

224. The next mark of punctuation we will review is the colon.

Keep in mind that the colon is in no way related to the semicolon.

---

274. **"**What time is training**?"** asked PFC Smith**.**

SGT Jones announced**, "**Training will start at 1500**";** then he said that everyone must attend**.**

CPT Jones asked if SGT Knead was in the hospital**.** (just a period, indirect question)

---

25. Identify the conjunctions in the following sentences:

    SGT Brown went to see PVT Skippy in the hospital, but the doctor had already released PVT Skippy.

    Because his weapon jammed, PFC McCorkle did not qualify.

75. Now that we've reviewed parts of speech and subject-verb agreement, we will review punctuation and some other sentence structure rules.

125. SGT Snorkle stopped at the PX and bought a new computer.

    In this example, the word *and* does not join two independent clauses, so we don't need a comma.

175. Now we can state the rule for using the comma with restrictive and nonrestrictive clauses and phrases.

225. We can use a colon to introduce a list that follows a grammatically complete sentence.

    Often *the following* or *as follows* precedes the colon.

275. Let's look at some other uses of quotation marks. We may also use quotation marks to enclose words used in a special sense or for a special purpose.

    The urinalysis test can detect methamphetamines or "speed."

26. but

    Because

    We will review conjunctions in detail later in this programmed text during punctuation.

76. Once again, this programmed text is only a basic review. We cannot review every punctuation mark and every rule that applies to it. We will only address those that seem to be the most troublesome.

126. Okay, time for you to give it a try. Turn the page and correctly punctuate the following sentences:

176. Use commas to set off nonrestrictive clauses and phrases.

    DO NOT use commas to set off restrictive clauses or phrases.

226. SGT Snyder visited the following countries: Germany, Holland, Italy, and Austria.

    Notice that “SGT Snyder visited the following countries” is a grammatically complete statement. Also notice that *following* is the key word indicating that a list follows and that the colon introduces the names of the countries.

276. We can also use quotation marks in the definition of words.

    A *task force* is “a temporary grouping of units, under one commander, formed for the purpose of carrying out a specific operation or mission.”

    Notice the defined word is in italics (or underline); the definition is in quotation marks.

27. A preposition is a connective that shows the relationship between a noun or pronoun and some other word in the sentence.

77. Let's begin by looking at the period.

127. The staff duty NCO was ill so the next NCO on the roster had to take his place

The guest speaker was ill and cut the class short.

177. Punctuate the following sentences:

SGT Jones my squad leader is 24 today.

All soldiers who fail to attend the class will have to attend the make-up training.

227. Correctly punctuate the following sentence:

SGT Skater introduced his four brothers Pete Joe Dick and Tom.

277. The last punctuation mark we'll review is the hyphen. Before the use of computers we used the hyphen in word division at the end of a line. Computers have a feature called "text-wrapping" that eliminates the requirement for word division.

If for some reason you need to divide a word with a hyphen, check the dictionary to ensure that you put the hyphen between syllables.

28. Some prepositions show relationships in direction (*to, from, toward, down, up, at*).

78. We put a period at the end of declarative sentences. We define a declarative sentence as a sentence that makes a statement.

128. The staff duty NCO was ill**,** so the next NCO on the roster had to take his place**.** (Did you remember the period?)

The second sentence requires no punctuation. We don't have two independent clauses, so the sentence does not require a comma.

178. SGT Jones**,** my squad leader**,** is 24 today. (my squad leader is a nonrestrictive clause)

All soldiers who fail to attend the class will attend the make-up training. (no punctuation needed: "who fail to attend the class" is a restrictive clause and essential to the sentence)

228. SGT Skater introduced his four brothers**:** Pete**,** Joe**,** Dick**,** and Tom.

278. We also use the hyphen to form certain compound words such as the following:

mother-in-law; self-sustained; short-lived.

Use the dictionary to determine compound words.

29. Other prepositions show relationships in time (*before, during, after, until, till*).

79. He pulled out his weapon.

Since this is a _____ sentence, we end it with a _____.

129. The first rule we reviewed concerned independent clauses joined by a coordinating conjunction. The second rule about commas concerns both dependent and independent clauses.

179. Occasionally, we can also use parentheses to set off nonrestrictive clauses and phrases. So the question should come to mind: When do we use parentheses, and when do we use commas for nonrestrictive clauses?

229. We can also use the colon to introduce a second independent clause that explains or illustrates the first clause.

279. Use a hyphen to join words used as a single adjective before a noun, but do not use a hyphen between an *–ly* adverb and an adjective.

A well-known NCO (adjective before a noun)

freshly baked bread (no hyphen between the adverb *freshly* and the adjective *baked*)

30. Still other prepositions, such as *of*, *for*, *about*, *with*, *except*, and *but* (when it means except), show many different kinds of relationships between the words they relate.

80. declarative

period

130. When a dependent clause precedes an independent clause, **use a comma** to separate them.

Don't put a comma between clauses if an independent clause precedes a dependent clause.

180. Use parentheses to set off a nonrestrictive clause or phrase when dashes would be too emphatic and commas might create confusion.

230. The military as a career sounds very attractive: the travel, the educational benefits, and the opportunities for training and advancement seem excellent.

280. We also use a hyphen when writing out two-word numbers from twenty-one to ninety-nine and two-word fractions.

thirty-three fifty-two two-thirds

31. Identify the prepositions in the following sentence:

SPC Cook ran toward the finish line during the PT test.

81. You also put a period at the end of imperative sentences. An imperative sentence is a sentence that expresses a command or a request.

Report to the first sergeant.

131. Clause A: Because he was lazy,
Clause B: he didn't get promoted.

Clause A is _____ and clause B is _____. The comma goes after the _____ clause.

181. Many of the components, *for example, the motor*, come from outside suppliers.

The comma in this sentence might cause confusion. The next sentence illustrates the nonrestrictive clause set off with parentheses instead of commas.

Many of the components (*for example, the motor*) come from outside suppliers.

231. Now you try one. Correctly punctuate the following sentence:

Normally, the APFT consists of three events push-ups sit-ups and a two-mile run.

281. Punctuate with a hyphen, as appropriate, the examples below:

court martial one fourth task force

sixty two decision making process Army values

32. toward

during

82. Use a period to end indirect questions.

132. dependent

independent

dependent

182. To continue with our review of the comma, we will next review parenthetical expressions. Parenthetical expressions interrupt the flow of the sentence and are not essential to its meaning. Some examples include *on the other hand, by the way, coincidentally, in fact, indeed, naturally, of course, in my opinion,* etc.

232. Normally, the APFT consists of three events**:** push-ups**,** sit-ups**,** and a two-mile run.

282. court-martial one-fourth task force

sixty-two decision-making process Army values

Remember, when in doubt use a dictionary.

33. An interjection is a word that shows emotion. Unlike the other kinds of words, the interjection has little or no grammatical connection with the rest of the sentence.

---

83. She asked whether SFC Smith was looking for her.

This sentence does not ask a question directly; therefore, it is an _____ question and uses a _____ at the end of the sentence.

---

133. Clause A: He didn't get promoted
Clause B: because he was lazy.

Since clause A is _____ and precedes clause B, which is _____, we **don't put a comma** between them.

---

183. It was, I think, a good presentation.

The underlined parenthetical expression interrupts the sentence and is not essential to the sentence; therefore, we use _____ to set it off.

---

233. Try another one. Correctly punctuate the following sentence:

The following sacrifices are necessary to improve your personal fitness stop drinking stop smoking and watch your calories.

---

283. Now that we've reviewed subjects, predicates, parts of speech, and punctuation let's review something else that can be a problem, word choice. There are many words in the English language that sound alike; the only way to be sure you use the correct word is to check the dictionary and become familiar with their meanings.

Let's look at some of these words. The list in the next frame is not all inclusive.

---

34. We should punctuate mild interjections with a comma and punctuate strong interjections with an exclamation mark.

84. indirect

period

134. independent

dependent

184. commas

234. The following sacrifices are necessary to improve your personal fitness**:** stop drinking**,** stop smoking**,** and watch your calories.

284.

accept, except	to, too, two	its, it's	lie, lay	whether, weather
than, then	their, there, they're	affect, effect	your, you're	forth, fourth

The spell check tool on your computer will only identify misspelled words, not incorrect words.

35. Identify the interjections in the following sentences:

Oh, I didn't know I had CQ.

Wow! SGT Snead hit every target.

85. SFC Smith asked if PVT Green had gone to the orderly room.

Since this is an _____ question, we put a _____ at the end of this sentence.

135. Correctly punctuate the following sentences:

If you are old enough they may allow you to go in.
The lieutenant hated staff meetings but he was always present.
He donated to AER because he felt it was his responsibility.

185. Here are some other examples of parenthetical expressions: *to tell the truth, on the whole, in the first place,* and *for example.*

You may occasionally choose to omit the commas from short parenthetical expressions (such as *also, too,* and *perhaps*) if you feel they do not interrupt the flow of your sentence.

235. Next we'll review the apostrophe and its use in a sentence.

285. Select the correct word in the following sentences:

The sergeant did not (accept, except) the assignment.

CPT Travis did not (no, know) the prisoner.

36. Oh

Wow

86. indirect

period

136. If you are old enough**,** they may allow you to go in. (dependent clause precedes the independent clause)
The lieutenant hated staff meetings**,** but he was always present. (two independent clauses joined by a coordinating conjunction)
He donated to AER because he felt it was his responsibility. (no punctuation, the independent clause precedes the dependent clause)

186. The last rule concerning the comma deals with sentence elements that might be incorrectly read together.

To help**,** the government started an extensive relief program.

Without the comma after help, the above sentence might have been puzzling.

236. One of the uses of the <u>apostrophe</u> is to show possession or ownership.

286. accept -- to receive usually with favor or consent.

know – to be able to distinguish

37. Now that we've reviewed subjects, predicates, and parts of speech, let's continue by reviewing a topic that causes problems for many: subject-verb agreement.

---

87. Who is he?

This sentence asks a question directly; therefore, it is a direct question and requires a question mark.

We will cover this in more detail later in this programmed text.

---

137. Next, we will consider a series of words in a sentence. In a sentence, a series is three or more words, phrases, or clauses, all used in the same way.

Use commas to separate three or more words used in a _____.

---

187. As you know nothing came out of the meeting.

Does this sentence need punctuation?

---

237. Possessive nouns show "belonging to." If a soldier has (possesses) a beret, the beret belongs to the soldier. It is the soldier's beret.

---

287. Let's try some more. Select the correct word in the following sentences:

SGT Jones was tired so he went to (lie, lay) down.

The (principles, principals) of Be, Know, and Do are the basis for Army leadership.

---

38. In sentences, subjects and verbs have matching forms to show their grammatical relation. We call this relation agreement.

88. Use the period, or rather a series of three periods, to indicate omissions from quoted material.

When we use three periods in this manner, we call it an ellipsis.

138. series

188. As you know, nothing came out of the meeting.

Yes, since it could be misread.

238. Possessive nouns always add an apostrophe (**'**).

Singular possessive nouns normally also add an *s* (**'s**).

288. lie -- to rest

principles -- a rule or a truth

39. The subject-verb must agree in person. The first person means the person(s) doing the speaking: I or we. The second person means the person(s) spoken to: you. The third person means the person(s) or things(s) spoken about: he, she, it, they, or any such noun.

89. Patton said, “Leadership . . . is the thing that wins wars.”

The three periods, the ellipsis, indicates that we have _____ material after the word “leadership.”

Note the spaces between each period in the ellipsis.

139. We usually use the conjunction *and* or *or* to join the last two words in a <u>series</u>.

189. Does this sentence need punctuation? If so, punctuate it correctly.

If you can get some information on the newly assigned soldier.

239. If a word does not end in *s*, we add an apostrophe plus an *s* (’s) to show possession.

SGT Smith’s beret; boy’s book; pencil’s eraser; teacher’s desk

In each case, we show possession by adding an _____ and an _____ to the base word.

289. Keep up the good work.

(To, Too, Two) MPs reported (to, too, two) (their, there, they’re) supervisor; he told them they were (to, too, two) slow.

When you write your paper be sure to (sight, cite, site) all your sources.

40. Wrong: I is late for duty.

Right: You are late for duty.

90. omitted

140. Normally, putting a comma before this conjunction is optional. For military writing, however, we will always put a comma before the conjunction in a series.

Example: Use the dictionary to check spelling, usage, and pronunciation.

190. Yes, it requires punctuation; there is a chance someone could read it incorrectly.

If you can, get some information on the newly assigned soldier.

240. apostrophe

s

290. **Two** MPs reported **to their** supervisor; he told them they were **too** slow.

When you write your paper be sure to **cite** all your sources.

Check the dictionary if you need to.

41. The subject-verb must also agree in number. Singular number refers to one thing, and plural refers to more than one.

91. If you put an ellipsis at the end of a declarative sentence, add another period to complete the sentence.

141. Punctuate this sentence correctly:

SGT Smith SGT Jones and SGT Brown went before the promotion board.

191. This now concludes the review on the comma. We will now move on to the semicolon.

241. Next we'll review the rule for words that are singular but that end in *s.*

291. Let's try two more. Select the correct word in the following sentences:

(Whether, Weather) you want to or not, you must attend the meeting.

(There, Their) are 52 soldiers in the first platoon.

42. Singular subjects must take singular verbs; plural subjects must take plural verbs.

---

92. Now that we know how to use the period, let's look at some rules for developing correct sentences.

    Let's briefly review sentence structure.

---

142. SGT Smith**,** SGT Jones**,** and SGT Brown went before the promotion board.

---

192. In reviewing the semicolon, we must recall one of the rules that we reviewed earlier in this programmed text.

    We place a comma before a coordinating conjunction that joins two independent clauses.

---

242. The words boss, witness, and James are examples of words that end in *s*, but are singular, not plural.

---

292. **Whether** you want to or not, you must attend the meeting.

    There are 52 soldiers in the first platoon.

---

43. Choose the correct verb in the following sentences:

    The 1SG (call, calls) the formation to attention.

    The training NCO (maintain, maintains) training records on every soldier.

---

93. Earlier in this programmed text we reviewed conjunctions and the definition of clauses and phrases. Now we will review clauses more in depth.

---

143. The rule we have been reviewing also applies to clauses and phrases in a series. By definition, a phrase is a group of two or more words without a subject and a predicate; used as a noun, an adjective, or an adverb.

    We use a comma to separate _____ or more phrases.

---

193. The semicolon signals a greater break in thought than the comma but a lesser break than the period. It is closer to a period than to a comma in most of its uses and is often interchangeable with the period, provided the sentences are closely related.

---

243. When we wish to show possession with a singular word that ends in _____, we will do the same as we did with the previous rule for showing possession, we will add an _____ plus an _____.

---

293. This brings us to another rule. One of the sentences in frame 292 reads, “There are 52 soldiers in first platoon.” When do we use figures, and when do we spell out the number?

    In Army writing, we generally spell out numbers under 10 and use figures for expressing numbers which are 10 or higher.

---

44. calls

maintains

94. A dependent clause, even though it has a subject and verb, will not stand alone (will not be a complete sentence) when detached from its sentence.

What makes it dependent is a connecting word, such as *if, because, although, when unless*, etc.

144. three

194. SGT Berry likes to give orders, but he is much less happy taking them.

In this example, we have independent clauses joined by a coordinating conjunction.

244. *s*

apostrophe

s

294. Let's try a couple. Turn the page and determine whether to use the figure or the written out number.

45. Let's try some more. Choose the correct verb in the following sentences:

The first sergeants in our battalion (is, are) the best in the brigade.

It (seem, seems) odd that SGT Brown (has, have) not counseled PVT Cooper yet.

---

95. A clause that is not a complete sentence is (a) (an) _____ clause.

---

145. SGT Barnes ran down the sidewalk, up the steps, and into the orderly room.

In this example, we have a series of _____ so we must separate them using _____.

---

195. SGT Berry likes to give orders; he is much less happy taking them.

In this example, we deleted the word *but* and replaced it with a _____.

---

245. Punctuate each of the following singular nouns to show possession:

boss witness James

---

295. The membership included (twenty-four, 24) sergeants major and (ten, 10) master sergeants.

(Six, 6) members of SGT Smith's squad visited him in the hospital.

---

46. are

seems has

---

96. dependent

---

146. phrases

commas

---

196. semicolon

---

246. boss's witness's James's

---

296. The membership included **24** sergeants major and **10** master sergeants.

Six members of SGT Smith's squad visited him in the hospital.

AR 25-50 will give you more tips on using numbers in your documents.

---

47. When establishing agreement between subject and verb, disregard any intervening phrases or clauses.

97. Clause A: Since PFC Grapper was late,

Clause B: she received a counseling statement.

Which clause is dependent? Why?

147. Thus far, we have said that we should separate words or phrases in a _____ with _____.

The same rule applies to clauses used in a _____ also. We separate them using _____.

197. We may use a semicolon between two closely related independent clauses if we don't join them with a coordinating conjunction .

247. Now pronounce each of these examples:

boss's witness's James's

297. Well, your near the end now.

Hopefully you identified that the word "your" in the previous sentence should have been "you're."

48. We will review phrases and clauses later. For now, just remember:

A phrase is a group of related words, but it does not contain a subject and verb.

A clause is a group of related words that does contain a subject and verb.

98. Clause A. It is not a complete sentence.

It is a dependent clause.

148. series commas

series commas

198. You may **NOT** use a comma in place of the semicolon; this would create a run-on sentence (comma splice).

248. Did you find any of the possessives hard to pronounce? You probably found it difficult to pronounce James's. This leads us to an exception to the rule of adding an apostrophe plus an *s* to singular nouns ending in an *s*.

If the addition of an extra syllable makes a word ending in an *s* hard to pronounce, add the apostrophe only.

298. In addition to correct punctuation, grammar, and word choice, one more key to successful writing is proof reading what you write.

Read it slowly. Do not read what you <u>think</u> it says, but read what you have <u>actually</u> written.

49. Select the correct verb in the following sentence:

All the soldiers in the PT formation (was, were) singing cadence.

99. A clause that is a complete sentence is an _____ clause.

149. A clause, by definition, is a group of words that does include a subject and a verb.

199. The ISG prepared the duty roster and he posted it on the unit bulletin board.

The underlined portions are _____ _____ joined by a coordinating conjunction.

What mark of punctuation would you use in this sentence?

249. So based on that rule, the correct possessives are:

boss's witness's James'

299. Whenever possible, have someone proof read your writing.

50. were (disregard the intervening clause “in the PT formation”)

(Soldiers were – not soldiers was)

(turn to page SH-4-5, frame 51)

100. independent

(turn to page SH-4-5, frame 101)

150. A group of words that contain a subject and a verb, but is not a complete sentence is a dependent clause.

(turn to page SH-4-5, frame 151)

200. independent clauses

comma (. . . roster**,** and . . .)

(turn to page SH-4-5, frame 201)

250. Finally, if the word is plural and ends in *s*, we add only the apostrophe.

(turn to page SH-4-5, frame 251)

300. There is one last thing that you should always remember. Your proficiency, or lack thereof, in punctuation, grammar, and word choice will make an impression on your reader. You are the one who decides whether that impression will be positive or negative.

HANDOUTS FOR LESSON 1: L331 version 2

This appendix contains the items listed in this table--

Title/Synopsis	Pages
SH-1, Advance Sheet	SH-1-1
SH-2, Military Briefing Performance Evaluation Checklist	SH-2-1 thru SH-2-3
SH-3, Criteria for Evaluating Military Briefing	SH-3-1 thru SH-3-5
SH-4, Extract FM 101-5, App E	SH 4-1

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Student Handout 1

Advance Sheet

Lesson Hours

This lesson consists of one hour of conference/discussion and four hours of a performance test.

Overview

This lesson will provide you the information you must know to present a military briefing. The lesson consists of a before class reading assignment, a classroom discussion, and a graded oral presentation that the students will present on day 7.

Learning Objective

Terminal Learning Objective (TLO).

Action:	Conduct a military information briefing.
Conditions:	As a section sergeant, in a classroom environment, given a requirement to provide an information briefing, a specified briefing time, and access to student materials IAW FM 101-5, Appendix E.
Standards:	Conducted a military information briefing with enthusiasm, correct stance, and gestures. Maintained eye contact and incorporated voice variable with clarity and passed the information briefing examination with a satisfactory rating or better IAW SH-2 and SH-3.

ELO A Discuss the four types and format of a military briefing.
ELO B Discuss the four steps in the preparation of a military information briefing.
ELO C Discuss the six key communication factors.

Assignment

The student assignments for this lesson--

- Read FM 101-5, Appendix E (SH-4).
- Study Student Handouts 2 and 3.
- Review the key communication factors used to deliver an information briefing.

Additional Subject Area Resources

None

Bring to Class

You must bring the following material to class--

- All reference material received for this lesson.
- Pencil or pen, and writing paper.

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Student Handout 2

Military Briefing Performance Evaluation Checklist

This student handout contains the Military Briefing Performance Evaluation Checklist.

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MILITARY BRIEFING
Performance Evaluation Checklist

Student Name:	**Student Number:**	**Rank:**
Subject/Topic:	**SGL/Instructor Name:**	**Date:**

Student must receive a "GO" in eight out eleven Performance Measures and be within time to receive an overall "GO"rating. The six key communication factors do not affect the rating, but the SGL/instructor will comment on the student's strengths, weaknesses, and ways to improve in these areas.

PERFORMANCE MEASURES	**GO**	**NO-GO**
INTRODUCTION		
• **Greeting:**	( )	( )
• **Type and Classification of Briefing:**	( )	( )
• **Purpose and Scope:**	( )	( )
• **Outline or Procedure:**	( )	( )
BODY		
• **Main Ideas in a Logical Sequence:**	( )	( )
• **Visual Aids:**	( )	( )
• **Transitions:**	( )	( )
• **Prepared to Answer Questions:**	( )	( )
CLOSING (Pause timing. Q & A time does not count against briefing time.)		
• **Asked for Questions:**	( )	( )
• **Recap and Concluding Statement:**	( )	( )
• **Announced the next speaker:**	( )	( )
TIME: _____(min/sec) Critical	( )	( )

KEY COMMUNICATION FACTORS	**SAT**	**IMPROVE**
• **Enthusiasm**	( )	( )
• **Stance**	( )	( )
• **Gestures**	( )	( )
• **Eye Contact**	( )	( )
• **Voice Variables**	( )	( )
• **Clarity**	( )	( )

OVERALL EVALUATION:	**GO**	**NO-GO**

SGL/Instructor's Signature:	**Student's Signature:**

MILITARY BRIEFING
Performance Evaluation Checklist

STRENGTHS:

WEAKNESSES:

NEEDS IMPROVEMENT:

SGL/Instructor's Signature:	**Student's Signature**

Student Handout 3

Criteria for Evaluating Military Briefing

This student handout contains standards for oral presentations. It does not provide doctrine. You can use this handout to help in preparation of your oral presentations.

Criteria for Evaluating Military Briefing page SH-3-2 thru SH-3-5

RECOVERABLE PUBLICATION

YOU RECEIVED THIS DOCUMENT IN A DAMAGE-FREE CONDITION. DAMAGE IN ANY WAY, TO INCLUDE HIGHLIGHTING, PENCIL MARKS, OR MISSING PAGES WILL SUBJECT YOU TO PECUNIARY LIABILITY (STATEMENT OF CHARGES, CASH COLLECTION, ETC.) TO RECOVER PRINTING COSTS.

Criteria for Evaluating Military Briefing

INTRODUCTION

Greeting
Type and Classification of Briefing
Purpose and Scope
Outline or Procedures

GO: Introduction gained audience attention; adequately stated main point and announced major points. Main point relevant and focused on a specific idea. For a briefing only: introduction included all elements required by FM 101-5 for the type of briefing and summary of key points and title visuals.

NO-GO: Introduction failed to secure attention; lacked imagination and ingenuity. Main point is not clear, not relevant to the purpose of audience, or not focused on a specific idea. Failed to announce major points. For a briefing only: introduction failed to include elements required by FM 101-5 for the type of briefing or summary of key points and title visuals.

BODY

Main Idea in a Logical Sequence

GO: Organized presentation; logical development of subject matter and ideas; selection and sequencing of major points supported main idea. For a briefing only: body included all elements required by FM 101-5 for the type of briefing and used visual for key points.

NO-GO: Presentation failed because of poor organization, lack of unity, or inappropriate methods and techniques; sequencing inconsistent with main idea and major points; major points did not support the main idea. For a briefing only: body failed to include elements required by FM 101-5 for the type of briefing or use visual for key points. Issued handouts, if used, while conducting briefing.

Visual Aids:

GO: Visual supports were relevant and generally illustrated the points. Briefer/speaker was familiar with them, introduced them at the proper times, and used them with adequate skill.

NO-GO: Visual supports inadequate or lacking, failed to illustrate the point, or contained misspelled words. Briefer/speaker unprepared to effectively use visual supports, used them as a crutch, directed all of his attention to them, insufficiently explained them, or handled them clumsily.

Transitions

GO: Usually made smooth transitions.

NO-GO: Moved from one point to another without clear transitions.

Prepared to Answer Questions.

Criteria for Evaluating Military Briefing (cont)

CLOSING

Asked for Question

GO: Usually used proper question and answer techniques. Responses revealed an adequate knowledge of the specific subject. Responded candidly when unsure of an answer.

NO-GO: Failed to ask for questions. Failed to use proper question and answer techniques. Responses revealed a fundamental lack of knowledge; answers lacked allied or supportive information; frequent errors of facts; many ambiguities and misleading statements; bluffed to cover up inadequacies; avoided answering direct questions.

Recap and Concluding Statement

GO: Recapped major points and returned to main idea. For a briefing only: Summary included elements required by FM 101-5 for the type of briefing and summary of key points visuals. Concluding statement adequate for type of presentation and used title visual.

NO-GO: No summary, or only an ineffective, token summary. For a briefing only: Summary failed to include elements required by FM 101-5 for the type of briefing or summary of key points visuals. Failed to make Concluding statement. For a briefing only: Closing statement failed to include elements required by FM 101-5 for that type of briefing or use title visual.

Announced the Next Speaker

GO: Announced the next speaker.

NO-GO: Failed to announce the next speaker.

Time

Length

Specified time for your briefing is 6 minutes (+ or - 2 minutes).

GO: Presented briefing/speech within the time limits specified for the oral presentation.

NO-GO: Failed to present briefing/speech within the time limits specified for the oral presentation. (A NO-GO rating for time will automatically result in an overall evaluation of NO-GO for the entire presentation.)

NOTE: Question and answer time does not count against briefing time.

Criteria for Evaluating Military Briefing (cont)

Key Communication Factors

Enthusiasm (Personality, Voice Volume, Facial Expression)

Satisfactory: Generally enthusiastic presentation; conveyed speaker's personality and interest in the subject. Voice strong enough for all members of the audience to hear; volume varied and created a general feeling of confidence and enthusiasm. Facial expressions natural and varied and reflected interest in the subject.

Improve: Presentation generally lacked enthusiasm and personality. Speaker seemed bored, tired, timid, or apologetic. Speaker hard to hear; voice noticeably weak and lacking in confidence and enthusiasm; volume unvaried and monotonous. Facial expression lacked variety; conveyed impression of boredom or disinterest.

Stance (Posture, Appearance, Movement)

Satisfactory: Posture straight with weight on balls of feet. Neat and well-groomed IAW appropriate uniform regulation. Not tied to lectern. Movements varied and usually smooth and purposeful but not excessive; generally supported message

Improve: Posture unprofessional, slouching, or hunched. Untidy and careless in attire; unkempt personal appearance and grooming; uniform wrinkled. Did not move during presentation (tied to lectern) or movements were awkward, jerky, repetitious, meaningless, or excessive.

Gestures

Satisfactory. Gestures were natural and appropriate to the occasion; usually purposeful; few distracting mannerisms.

Improve: Gestures stilted, meaningless, affected, or excessive; speaker had extremely distracting mannerisms; all gestures looked alike.

Eye Contact

Satisfactory: Usually maintained eye contact with the audience; made eye contact with all members of a small audience or with groups in a larger audience. Only referred to notes occasionally.

Improve: Stared at floor, ceiling, or a fixed point in the room; depended completely on notes or script. Failed to make eye contact with audience.

Voice variables (Pace, Pitch, Pause)

Satisfactory: Pace varied and appropriate (not too fast or too slow) for subject matter and audience size. Pitch varied within normal range for speaker, not uncharacteristically shrill or monotone. Use of pauses generally effective and usually free of vocalizations.

Improve: Uneven, excessively choppy speech; too rapid; created an impression of excessive nervousness or anxiety; words not clear to all members of the audience; pace too slow to keep audience's attention; pace unvaried and monotonous. Voice was uncharacteristically raspy or shrill; pitch monotonous. Use of pauses erratic and made the ideas difficult to follow; speaker rushed words instead of pausing; speaker vocalized pauses.

Criteria for Evaluating Military Briefing (cont)

Clarity (Word Choice, Grammar, Pronunciation)

Satisfactory: Articulated most thoughts and ideas clearly. Used appropriate words. Errors in grammar were minor and not distracting. Seldom mispronounced words.

Improve: Did not articulate thoughts or ideas clearly. Often used wrong words or words chosen to impress the audience. Made frequent errors in grammar. Frequently mispronounced words.

Overall Evaluation

GO: Student achieved eight or more Go ratings out of the eleven possible areas.

NO-GO: Student achieved eight or more NO-GO ratings out of the eleven possible areas for the introduction, body, conclusion, and overall comments. Students who fail to present the briefing within the time requirements 6 minutes (+ or - 2 minutes). or failed to turn in a briefing outline will receive an overall NO-GO rating.

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Student Handout 4

Extracted Material from FM 101-5

This student handout contains 7 pages of extracted material from the following publication:

FM 101-5, Staff Organization and Operations, 31 May 1997

Appendix E, Military Briefings pages E-1 thru E-7

Disclaimer: The training developer downloaded the material from the General Dennis J. Reimer Training and Doctrine Digital Library Home Page. The text may contain passive voice, misspellings, grammatical errors, etc., and may not be in compliance with the Army Writing Style Program.

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Appendix E

MILITARY BRIEFINGS

Briefings are a means of presenting information to commanders, staffs, or other designated audiences. The techniques employed are determined by the purpose of the briefing, the desired response, and the role of the briefer. This appendix describes the types of military briefings and gives briefing formats for each type.

TYPES OF BRIEFINGS

There are four types of military briefings:

- Information.
- Decision.
- Mission.
- Staff.

Information

The information briefing is intended to inform the listener and to gain his understanding. The briefing does not include conclusions and recommendations, nor require decisions. The briefing deals primarily with facts. The briefer states that the purpose of the briefing is to provide information and that no decision is required. The briefer provides a brief introduction to define the subject and to orient the listener and then presents the information. Examples of an information briefing are information of high priority requiring immediate attention; information of a complex nature, such as complicated plans, systems, statistics, or charts, requiring detailed explanation; and controversial information requiring elaboration and explanation.

Decision

The decision briefing is intended to obtain an answer or a decision. It is the presentation of a staff officer's recommended solution resulting from analysis or study of a problem or problem area. Decision briefings vary as to formality and detail depending on the level of command and the decision maker's knowledge of the subject (the problem or problem area). In situations where the person receiving the briefing has prior knowledge of the problem and some information relating to it, the briefing normally is limited to a statement of the problem, essential background information, and a recommended solution.

However, the briefer must be prepared to present his assumptions, facts, alternative solutions, reason for choosing the recommended solution, and the coordination involved. If the person who is being briefed is unfamiliar with the problem and the facts surrounding it, then a more detailed briefing is necessary. In this case, the briefing should include any assumptions used in analyzing the problem, facts bearing on the problem, a discussion of the alternatives, the conclusions, and the coordination involved. The staff study format in Appendix D provides a logical sequence for presenting a detailed decision briefing.

At the outset of the briefing, the briefer must state that he is seeking a decision. At the conclusion of the briefing, if the briefer does not receive a decision, he asks for it. The briefer should be certain that he understands the decision thoroughly. If he is uncertain, he asks for clarification. In this regard, a precisely worded recommendation that may be used as a decision statement, once approved by the commander, assists in eliminating possible ambiguities. Following the briefing, if the chief of staff (executive officer) is not present, the briefer informs the SGS or other appropriate officer of the commander's decision.

Mission

The mission briefing is used under operational conditions to provide information, to give specific instructions, or to instill an appreciation of a mission. It is usually presented by a single briefing officer, who may be the commander, an assistant, a staff officer, or a special representative. This depends on the nature of the mission or the level of the headquarters. In an operational situation or when the mission is of a critical nature, it may become necessary to provide individuals or smaller units with more data than plans and orders provide. This may be done by means of the mission briefing. The mission briefing reinforces orders, provides more detailed requirements and instructions for each individual, and explains the significance of each individual role.

Staff

The staff briefing is intended to secure a coordinated or unified effort. This may involve the exchange of information, the announcement of decisions within a command, the issuance of directives,

or the presentation of guidance. The staff briefing may include characteristics of the information briefing, the decision briefing, and the mission briefing. Attendance at staff briefings varies with the size of the headquarters, the type of operation being conducted, and the personal desires of the commander. Generally, the commander, deputies or assistants, chief of staff (executive officer), and coordinating and special staff officers attend. Representatives from major subordinate commands may be present. The chief of staff (executive officer) usually presides over the staff briefing. He calls on staff representatives to present matters that interest those present or that require coordinated staff action. Each staff officer is prepared to brief on his area of responsibility. In garrison, staff briefings are often held on a regularly scheduled basis. In combat, staff briefings are held when required by the situation. The presentation of staff estimates culminating in a commander's decision to adopt a specific course of action is a form of staff briefing. In this type of briefing, staff officers involved follow the general pattern prescribed for the staff estimate being presented.

BRIEFING STEPS

A briefing assignment has four steps:

1. Analyze the situation. This includes analyzing the audience and the occasion by determining—

- Who is to be briefed and why?
- How much knowledge of the subject does the audience have?
- What is expected of the briefer?

Before briefing an individual the first time, the briefer should inquire as to the particular official's desires. The briefer must understand the purpose of the briefing. Is he to present facts or to make a recommendation? The purpose determines the nature of the briefing. The time allocated for a briefing will dictate the style, physical facilities, and the preparatory effort needed. The availability of physical facilities, visual aids, and draftsmen is a consideration. The briefer prepares a detailed presentation plan and coordinates with his assistants, if used. The preparatory effort is carefully scheduled. Each briefer should formulate a "briefing outline" (next page). The briefer initially estimates the deadlines for each task. He schedules facilities for practice and requests critiques.

2. Construct the briefing. The construction of the briefing will vary with its type and purpose. The analysis provides the basis for this determination. The following are the major steps in preparing a briefing:

- Collect material.
- Know the subject thoroughly.
- Isolate the key points.
- Arrange the key points in logical order.
- Provide supporting data to substantiate validity of key points.
- Select visual aids.
- Establish the wording.
- Rehearse before a knowledgeable person who can critique the briefing.

3. Deliver the briefing. A successful briefing depends on how it is presented. A confident, relaxed, forceful delivery, clearly enunciated and obviously based on full knowledge of the subject, helps convince the audience. The briefer maintains a relaxed, but military bearing. He uses natural gestures and movement, but he avoids distracting mannerisms. The briefer's delivery is characterized by conciseness, objectivity, and accuracy. He must be aware of the following:

- The basic purpose is to present the subject as directed and to ensure that it is understood by the audience.
- Brevity precludes a lengthy introduction or summary.
- Logic must be used in arriving at conclusions and recommendations.
- Interruptions and questions may occur at any point. If and when these interruptions occur, the briefer answers each question before proceeding or indicates that the questions will be answered later in the briefing. At the same time, he does not permit questions to distract him from his planned briefing. If the question will be answered later in the briefing, the briefer should make specific reference to the earlier question when he introduces the material. The briefer must be prepared to support any part of his briefing. The briefer anticipates possible questions and is prepared to answer them.

4. Follow-up. When the briefing is over, the briefer prepares a memorandum for record (MFR). This MFR should record the subject, date, time, and place of the

briefing and ranks, names, and positions of those present. The briefing's substance is concisely recorded. Recommendations and their approval, disapproval, or approval with modification are recorded as well as any instruction or directed action. This includes who is to take action. When a decision is involved and doubt exists about the decision maker's intent, the briefer submits a draft of the MFR to him for correction before preparing it in final form. The MFR is distributed to staff sections or agencies that must act on the decisions or instructions contained in it or whose operations or plans may be influenced.

BRIEFING OUTLINE

1. **Analysis of the Situation**
   a. Audience.
      (1) How many are there?
      (2) Nature.
         (a) Who composes the audience? Single or multiservice? Civilians? Foreign nationals?
         (b) Who are the ranking members?
         (c) What are their official positions?
         (d) Where are they assigned?
         (e) How much professional knowledge of the subject do they have?
         (f) Are they generalists or specialists?
         (g) What are their interests?
         (h) What are their personal preferences?
         (i) What is the anticipated reaction?
   b. Purpose and type.
      (1) Information briefing (to inform)?
      (2) Decision briefing (to obtain decision)?
      (3) Mission briefing (to review important details)?
      (4) Staff briefing (to exchange information)?
   c. Subject.
      (1) What is the specific subject?
      (2) What is the desired coverage?
      (3) How much time will be allocated?
   d. Physical facilities.
      (1) Where will the briefing be presented?
      (2) What arrangements will be required?
      (3) What are the visual aid facilities?
      (4) What are the deficiencies?
      (5) What actions are needed to overcome deficiencies?

2. **Schedule of Preparatory Effort**
   a. Complete analysis of the situation.
   b. Prepare preliminary outline.
   c. Determine requirements for training aids, assistants, and recorders.
   d. Edit or redraft.
   e. Schedule rehearsals (facilities, critiques).
   f. Arrange for final review by responsible authority.
3. **Constructing the Briefing**
   a. Collect material.
      (1) Research.
      (2) Become familiar with subject.
      (3) Collect authoritative opinions and facts.
   b. Prepare first draft.
      (1) State problem (if necessary).
      (2) Isolate key points (facts).
      (3) Identify courses of action.
      (4) Analyze and compare courses of action. State advantages and disadvantages.
      (5) Determine conclusions and recommendations.
      (6) Prepare draft outline.
      (7) Include visual aids.
      (8) Fill in appropriate material.
      (9) Review with appropriate authority.
   c. Revise first draft and edit.
      (1) Make sure that facts are important and necessary.
      (2) Include all necessary facts.
      (3) Include answers to anticipated questions.
      (4) Polish material.
   d. Plan use of visual aids.
      (1) Check for simplicity—readability.
      (2) Develop method for use.
   e. Practice.
      (1) Rehearse (with assistants and visual aids).
      (2) Polish.
      (3) Isolate key points.

(4) Commit outline to memory.

(5) Develop transitions.

(6) Use definitive words.

4. **Follow-Up**

a. Ensure understanding.

b. Record decision.

c. Inform proper authorities.

Format for an Information Briefing

1. **Introduction.**

Greeting.

Address the person(s) being briefed. Identify yourself and your organization.

"Good morning, General Smith. I'm Captain Jones, the S3 of the 1st Bn 28th Artillery.

Type and Classification of Briefing.

"This is a SECRET information briefing."

"This is an UNCLASSIFIED decision briefing."

Purpose and Scope.

Give the big picture first.

Explain the purpose and scope of your briefing.

"The purpose of this briefing is to bring you up to date on our battalion's General Defense Plan."

"I will cover the battalion's action during the first 72 hours of a general alert."

Outline or Procedure.

Briefly summarize the key points and your general approach.

Explain any special procedures (demonstrations, displays, or tours). "During my briefing, I'll discuss the six phases of our plan. I'll refer to maps of our sector, and then my assistant will bring out a sand table to show you the expected flow of battle."

2. **Body.**

Arrange the main ideas in a logical sequence.

Use visual aids correctly to emphasize your main ideas.

Plan effective transitions from one main point to the next.

Be prepared to answer questions at any time.

3. **Closing.**

Ask for questions.

Briefly recap your main ideas and make a concluding statement.

Announce the next speaker.

Format for a Decision Briefing

1. **Introduction.**

   Military greeting.

   Statement of the type, classification, and purpose of the briefing.

   A brief statement of the problem to be resolved.

   The recommendation.

2. **Body.**

   Key facts bearing upon the problem.

   Pertinent facts that might influence the decision.

   An objective presentation of both positive and negative facts.

   Necessary assumptions made to bridge any gaps in factual data.

   Courses of Action.

   A discussion of the various options that can solve the problem.

   Analysis.

   The criteria by which you will evaluate how to solve the problem (screening and evaluation).

   A discussion of each course of action's relative advantages and disadvantages.

   Comparison.

   Show how the courses of action rate against the evaluation criteria.

3. **Conclusion.**

   Describe why the selected solution is best.

4. **Questions.**

5. **Restatement of the Recommendation** so that it only needs approval/disapproval.

6. **Request a decision.**

The Mission Briefing

1. **General.** The mission briefing is an information briefing presented under tactical or operational conditions, usually given by a single briefing officer.

2. **The Purposes of a Mission Brief.**

   Give specific instructions.

   The mission briefing serves to—

   - Issue or elaborate on an operation order, warning order, and so forth.
   - Instill a general appreciation of a mission.
   - Review the key points of a forthcoming military operation.
   - Ensure participants know the mission's objective, problems they may confront, and ways to overcome them.

3. **Format.**

While the mission briefing has no set format, a convenient format is the five-paragraph operation order:

1. Situation.
2. Mission.
3. Execution.
4. Service support.
5. Command and signal.

The Staff Briefing

1. **General.** The staff briefing is a form of information briefing given by a staff officer. Often it's one of a series of briefings by staff officers.

2. **Purposes of a Staff Briefing.** The staff briefing serves to—

- Keep the commander and staff abreast of the current situation.
- Coordinate efforts through rapid oral presentation of key data.

3. **Possible Attendees:**

- The commander, his deputy, and chief of staff.
- Senior representatives of his primary and special staff; commanders of his subordinate units.

4. **Common Procedures:**

- The person who convenes the staff briefing sets the agenda.
- The chief of staff or executive officer normally presides.
- Each staff representative presents information on his particular area.
- The commander usually concludes the briefing but may take an active part throughout the presentation.

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HANDOUTS FOR LESSON 1: L335, version 1

This appendix contains the items listed in this table--

Title/Synopsis	Pages
SH-1, Advance Sheet	SH-1-1
SH-2, Extracts from FM 22-100	SH-2-1

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Student Handout 1

Advance Sheet

Lesson Hours

This lesson consists of two hours and fifteen minutes of small group instruction and a thirty-five minute practical exercise.

Overview

As a squad leader you are responsible for the development of leadership qualities in your subordinates. You are responsible for developing these soldiers utilizing army leadership policies. You will plan, observe, record, and assess a subordinate's behavior IAW the 23 core leadership dimensions. This results in a Plan of Action for leadership development, acceptable to the subordinate. This task is completed in a classroom environment, given instruction about emerging leadership doctrine outlined in FM 22-100, Army Leadership. Small group discussions and the use of practical exercises to conduct these tasks within a specified time limit.

Learning Objective

The Terminal Learning Objective (TLO).

Action:	Employ assessments to develop a subordinate.
Conditions:	As a squad leader given instruction about emerging leadership doctrine and Army leadership policy and given FM 22-100.
Standards:	Conducted a formal evaluation of a subordinate for leadership development IAW FM 22-100 within the specified time.

ELO A Explain leader values, attributes, skills, and actions, their relevancy to leader duties and responsibilities, and the framework they provide for developing leaders.
ELO B Explain the observe, assess, coach and counsel model (O/A/C/C) and how it is used to improve leadership performance and potential.
ELO C Assess subordinate performance.
ELO D Complete an assessment summary.

Assignment

The student assignments are:

- Read FM 22-100, Chapter 2, and Appendixes B and C.
- Complete PE-2, PE-3, PE-4, and PE-5, before class.

Additional Subject Area Resources

None

Bring to Class

- FM 22-100
- All advanced readings.

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Student Handout 2

Extracts from FM 22-100

This student handout contains 59 pages of extracted material from FM 22-100.

Chapter 2	pages 2-1 thru 2-28
Appendix B	pages B-1 thru B-8
Appendix C	pages C-1 thru C-23

Disclaimer: The training developer downloaded this extract from http://155.217.58.58/atdls.htm. The text may contain passive voice, misspellings, grammatical errors, etc., and may not be in compliance with the Army Writing Style Program.

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CHAPTER 2

The Leader and Leadership: What the Leader Must Be, Know, and Do

I do solemnly swear (or affirm) that I will support and defend the Constitution of the United States against all enemies, foreign and domestic; that I will bear true faith and allegiance to the same; and that I will obey the orders of the President of the United States and the orders of the officers appointed over me, according to regulations and the Uniform Code of Military Justice. So help me God.

Oath of Enlistment

I [full name], having been appointed a [rank] in the United States Army, do solemnly swear (or affirm) that I will support and defend the Constitution of the United States against all enemies, foreign and domestic; that I will bear true faith and allegiance to the same; that I take this obligation freely, without any mental reservation or purpose of evasion, and that I will well and faithfully discharge the duties of the office upon which I am about to enter. So help me God.

Oath of office taken by commissioned officers and DA civilians

2-1. Beneath the Army leadership framework shown in Figure 1-1, 30 words spell out your job as a leader: **Leaders of character and competence act to achieve excellence by developing a force that can fight and win the nation's wars and serve the common defense of the United States.** There's a lot in that sentence. This chapter looks at it in detail.

2-2. Army leadership doctrine addresses what makes leaders of character and competence and what makes leadership. Figure 2-1 highlights these values and attributes. Remember from Chapter 1 that character describes what leaders must BE; competence refers to what leaders must KNOW; and action is what leaders must DO. Although this chapter discusses these concepts one at a time, they don't stand alone; they are closely connected and together make up who you seek to be (a leader of character and competence) and what you need to do (leadership).

CHARACTER: WHAT A LEADER MUST BE **2-2**
- **Army Values** **2-2**
- **Leader Attributes** **2-10**
- **Focus on Character** **2-19**

COMPETENCE: WHAT A LEADER MUST KNOW **2-24**

LEADERSHIP: WHAT A LEADER MUST DO **2-26**
- **Influencing** **2-27**
- **Operating** **2-27**
- **Improving** **2-28**

SUMMARY **2-28**

SECTION I

CHARACTER: WHAT A LEADER MUST BE

Everywhere you look—on the fields of athletic competition, in combat training, operations, and in civilian communities—soldiers are doing what is right.

Former Sergeant Major of the Army
Julius W. Gates

2-3. Character—who you are—contributes significantly to how you act. Character helps you know what's right and do what's right, all the time and at whatever the cost. Character is made up of two interacting parts: values and attributes. Stephen Ambrose, speaking about the Civil War, says that "at the pivotal point in the war it was always the character of individuals that made the difference." Army leaders must be those critical individuals of character themselves and in turn develop character in those they lead. (Appendix E discusses character development.)

ARMY VALUES

Figure 2-1. Army Values

2-4. Your attitudes about the worth of people, concepts, and other things describe your values. Everything begins there. Your subordinates enter the Army with their own values, developed in childhood and nurtured through experience. All people are all shaped by what they've seen, what they've learned, and whom they've met. But when soldiers and DA civilians take the oath, they enter an institution guided by Army values. These are more than a system of rules. They're not just a code tucked away in a drawer or a list in a dusty book. These values tell you what you need to be, every day, in every action you take. Army values form the very identity of the Army, the solid rock upon which everything else stands, especially in combat. They are the glue that binds together the members of a noble profession. As a result, the whole is much greater than the sum of its parts. Army values are nonnegotiable: they apply to everyone and in every situation throughout the Army.

2-5. Army values remind us and tell the rest of the world—the civilian government we serve, the nation we protect, even our enemies—who we are and what we stand for. The trust soldiers and DA civilians have for each other and the trust the American people have in us depends on how well we live up to Army values. They are the fundamental building blocks that enable us to discern right from wrong in any situation. Army values are consistent; they support one another. You can't follow one value and ignore another.

2-6. Here are the Army values that guide you, the leader, and the rest of the Army. They form the acronym LDRSHIP:

Loyalty
Duty
Respect
Selfless Service
Honor
Integrity
Personal Courage

2-7. The following discussions can help you understand Army values, but understanding is only the first step. As a leader, you must not only understand them; you must believe in them, model them in your own actions, and teach others to accept and live by them.

LOYALTY

Bear true faith and allegiance to the US Constitution, the Army, your unit, and other soldiers.

Loyalty is the big thing, the greatest battle asset of all. But no man ever wins the loyalty of troops by preaching loyalty. It is given to him as he proves his possession of the other virtues.

Brigadier General S. L. A. Marshall
Men Against Fire

2-8. Since before the founding of the republic, the Army has respected its subordination to its civilian political leaders. This subordination is fundamental to preserving the liberty of all Americans. You began your Army career by swearing allegiance to the Constitution, the basis of our government and laws. If you've never read it or if it has been a while, the Constitution is in Appendix F. Pay particular attention to Article I, Section 8, which outlines congressional responsibilities regarding the armed forces, and Article II, Section 2, which designates the president as commander in chief. Beyond your allegiance to the Constitution, you have an obligation to be faithful to the Army—the institution and its people—and to your unit or organization. Few examples illustrate loyalty to country and institution as well as the example of GEN George Washington in 1782.

2-9. GEN Washington's example shows how the obligation to subordinates and peers fits in the context of loyalty to the chain of command and the institution at large. As commander of the Continental Army, GEN Washington was obligated to see that his soldiers were taken care of. However, he also was obligated to ensure that the new nation remained secure and that the Continental Army remained able to fight if necessary. If the Continental Army had marched on the seat of government, it may well have destroyed the nation by undermining the law that held it together. It also would have destroyed the Army as an institution by destroying the basis for the authority under which it served. GEN Washington realized these things and acted based on his knowledge. Had he done nothing else, this single act would have been enough to establish GEN George Washington as the father of his country.

GEN Washington at Newburgh

Following its victory at Yorktown in 1781, the Continental Army set up camp at Newburgh, New York, to wait for peace with Great Britain. The central government formed under the Articles of Confederation proved weak and unwilling to supply the Army properly or even pay the soldiers who had won the war for independence. After months of waiting many officers, angry and impatient, suggested that the Army march on the seat of government in Philadelphia, Pennsylvania, and force Congress to meet the Army's demands. One colonel even suggested that GEN Washington become King George I.

Upon hearing this, GEN Washington assembled his officers and publicly and emphatically rejected the suggestion. He believed that seizing power by force would have destroyed everything for which the Revolutionary War had been fought. By this action, GEN Washington firmly established an enduring precedent: America's armed forces are subordinate to civilian authority and serve the democratic principles that are now enshrined in the Constitution. GEN Washington's action demonstrated the loyalty to country that the Army must maintain in order to protect the freedom enjoyed by all Americans.

2-10. Loyalty is a two-way street: you should not expect loyalty without being prepared to give it as well. Leaders can neither demand loyalty nor win it from their people by talking about it. The loyalty of your people is a gift they give you when, and only when, you deserve it—when you train them well, treat them fairly, and live by the concepts you talk about. Leaders who are loyal to their subordinates never let them be misused.

2-11. Soldiers fight for each other—loyalty is commitment. Some of you will encounter the most important way of earning this loyalty: leading your soldiers well in combat. There's no loyalty fiercer than that of soldiers who trust their leader to take them through the dangers of combat. However, loyalty extends to all members of an organization—to your superiors and subordinates, as well as your peers.

2-12. Loyalty extends to all members of all components of the Army. The reserve components—Army National Guard and Army Reserve—play an increasingly active role in the Army's mission. Most DA civilians will not be called upon to serve in combat theaters, but their contributions to mission accomplishment are nonetheless vital. As an Army leader, you'll serve throughout your career with soldiers of the active and reserve components as well as DA civilians. All are members of the same team, loyal to one another.

DUTY

Fulfill your obligations.

The essence of duty is acting in the absence of orders or direction from others, based on an inner sense of what is morally and professionally right....

General John A. Wickham Jr.
Former Army Chief of Staff

2-13. Duty begins with everything required of you by law, regulation, and orders; but it includes much more than that. Professionals do their work not just to the minimum standard, but to the very best of their ability. Soldiers and DA civilians commit to excellence in all aspects of their professional responsibility so that when the job is done they can look back and say, "I couldn't have given any more."

2-14. Army leaders take the initiative, figuring out what needs to be done before being told what to do. What's more, they take full responsibility for their actions and those of their subordinates. Army leaders never shade the truth to make the unit look good—or even to make their subordinates feel good. Instead, they follow their higher duty to the Army and the nation.

Duty in Korea

CPT Viola B. McConnell was the only Army nurse on duty in Korea in July of 1950. When hostilities broke out, she escorted nearly 700 American evacuees from Seoul to Japan aboard a freighter designed to accommodate only 12 passengers. CPT McConnell assessed priorities for care of the evacuees and worked exhaustively with a medical team to care for them. Once in Japan, she requested reassignment back to Korea. After all she had already done, CPT McConnell returned to Taejon to care for and evacuate wounded soldiers of the 24th Infantry Division.

2-15. CPT McConnell understood and fulfilled her duty to the Army and to the soldiers she supported in ways that went beyond her medical training. A leader's duty is to take charge, even in unfamiliar circumstances. But duty isn't reserved for special occasions. When a platoon sergeant tells a squad leader to inspect weapons, the squad leader has fulfilled his minimum obligation when he has checked the weapons. He's done what he was told to do. But if the squad leader finds weapons that are not clean or serviced, his sense of duty tells him to go beyond the platoon sergeant's instructions. The squad leader does his duty when he corrects the problem and ensures the weapons are up to standard.

2-16. In extremely rare cases, you may receive an illegal order. Duty requires that you refuse to obey it. You have no choice but to do what's ethically and legally correct. Paragraphs 2-97 through 2-99 discuss illegal orders.

RESPECT

Treat people as they should be treated.

The discipline which makes the soldiers of a free country reliable in battle is not to be gained by harsh or tyrannical treatment. On the contrary, such treatment is far more likely to destroy than to make an army. It is possible to impart instruction and to give commands in such manner and such a tone of voice to inspire in the soldier no feeling but an intense desire to obey, while the opposite manner and tone of voice cannot fail to excite strong resentment and a desire to disobey. The one mode or the other of dealing with subordinates springs from a corresponding spirit in the breast of the commander. He who feels the respect which is due to others cannot fail to inspire in them regard for himself, while he who feels, and hence manifests, disrespect toward others, especially his inferiors, cannot fail to inspire hatred against himself.

Major General John M. Schofield
Address to the United States Corps of Cadets
11 August 1879

2-17. Respect for the individual forms the basis for the rule of law, the very essence of what makes America. In the Army, respect means recognizing and appreciating the inherent dignity and worth of all people. This value reminds you that your people are your greatest resource. Army leaders honor everyone's individual worth by treating all people with dignity and respect.

2-18. As America becomes more culturally diverse, Army leaders must be aware that they will deal with people from a wider range of ethnic, racial, and religious backgrounds. Effective leaders are tolerant of beliefs different from their own as long as those beliefs don't conflict with Army values, are not illegal, and are not unethical. As an Army leader, you need to avoid misunderstandings arising from cultural differences. Actively seeking to learn about people and cultures different from your own can help you do this. Being sensitive to other cultures can also aid you in counseling your people more effectively. You show respect when you seek to understand your people's background, see things from their perspective, and appreciate what's important to them.

2-19. As an Army leader, you must also foster a climate in which everyone is treated with dignity and respect regardless of race, gender, creed, or religious belief. Fostering this climate begins with your example: how you live Army values shows your people how they should live them. However, values training is another major contributor. Effective training helps create a common understanding of Army values and the standards you expect. When you conduct it as part of your regular routine—such as during developmental counseling sessions—you reinforce the message that respect for others is part of the character of every soldier and DA civilian. Combined with your example, such training creates an organizational climate that promotes consideration for others, fairness in all dealings, and equal opportunity. In essence, Army leaders treat others as they wish to be treated.

2-20. As part of this consideration, leaders create an environment in which subordinates are challenged, where they can reach their full potential and be all they can be. Providing tough training doesn't demean subordinates; in fact, building their capabilities and showing faith in their potential is the essence of respect. Effective leaders take the time to learn what their subordinates want to accomplish. They advise their people on how they can grow, personally and professionally. Not all of your subordinates will succeed equally, but they all deserve respect.

2-21. Respect is also an essential component for the development of disciplined, cohesive, and effective warfighting teams. In the deadly confusion of combat, soldiers often overcome incredible odds to accomplish the mission and protect the lives of their comrades. This spirit of selfless service and duty is built on a soldier's personal trust and regard for fellow soldiers. A leader's willingness to tolerate discrimination

or harassment on any basis, or a failure to cultivate a climate of respect, eats away at this trust and erodes unit cohesion. But respect goes beyond issues of discrimination and harassment; it includes the broader issue of civility, the way people treat each other and those they come in contact with. It involves being sensitive to diversity and one's own behaviors that others may find insensitive, offensive, or abusive. Soldiers and DA civilians, like their leaders, treat everyone with dignity and respect.

SELFLESS SERVICE

Put the welfare of the nation, the Army, and subordinates before your own.

The nation today needs men who think in terms of service to their country and not in terms of their country's debt to them.

General of the Army Omar N. Bradley

2-22. You have often heard the military referred to as "the service." As a member of the Army, you serve the United States. Selfless service means doing what's right for the nation, the Army, your organization, and your people—and putting these responsibilities above your own interests. The needs of the Army and the nation come first. This doesn't mean that you neglect your family or yourself; in fact, such neglect weakens a leader and can cause the Army more harm than good. Selfless service doesn't mean that you can't have a strong ego, high self-esteem, or even healthy ambition. Rather, selfless service means that you don't make decisions or take actions that help your image or your career but hurt others or sabotage the mission. The selfish superior claims credit for work his subordinates do; the selfless leader gives credit to those who earned it. The Army can't function except as a team, and for a team to work, the individual has to give up self-interest for the good of the whole.

2-23. Soldiers are not the only members of the Army who display selfless service. DA civilians display this value as well. Then Army Chief of Staff, Gordon R. Sullivan assessed the DA civilian contribution to Operation Desert Storm this way:

Not surprisingly, most of the civilians deployed to Southwest Asia volunteered to serve there. But the civilian presence in the Gulf region meant more than moral support and filling in for soldiers. Gulf War veterans say that many of the combat soldiers could owe their lives to the DA civilians who helped maintain equipment by speeding up the process of getting parts and other support from 60 logistics agencies Army-wide.

2-24. As GEN Sullivan's comment indicates, selfless service is an essential component of teamwork. Team members give of themselves so that the team may succeed. In combat some soldiers give themselves completely so that their comrades can live and the mission can be accomplished. But the need for selflessness isn't limited to combat situations. Requirements for individuals to place their own needs below those of their organization can occur during peacetime as well. And the requirement for selflessness doesn't decrease with one's rank; it increases. Consider this example of a soldier of long service and high rank who demonstrated the value of selfless service.

GA Marshall Continues to Serve

GA George C. Marshall served as Army Chief of Staff from 1939 until 1945. He led the Army through the buildup, deployment, and worldwide operations of World War II. Chapter 7 outlines some of his contributions to the Allied victory. In November 1945 he retired to a well-deserved rest at his home in Leesburg, Virginia. Just six days later President Harry S Truman called on him to serve as Special Ambassador to China. From the White House President Truman telephoned GA Marshall at his home: "General, I want you to go to China for me," the president said. "Yes, Mr. President," GA Marshall replied. He then hung up the telephone, informed his wife of the president's request and his reply, and prepared to return to government service.

GA Marshall Continues to Serve (continued)

President Truman didn't appoint GA Marshall a special ambassador to reward his faithful service; he appointed GA Marshall because there was a tough job in China that needed to be done. The Chinese communists under Mao Tse-tung were battling the Nationalists under Chiang Kai-shek, who had been America's ally against the Japanese; GA Marshall's job was to mediate peace between them. In the end, he was unsuccessful in spite of a year of frustrating work; the scale of the problem was more than any one person could handle. However, in January 1947 President Truman appointed GA Marshall Secretary of State. The Cold War had begun and the president needed a leader Americans trusted. GA Marshall's reputation made him the one; his selflessness led him to continue to serve.

2-25. When faced with a request to solve a difficult problem in an overseas theater after six years of demanding work, GA Marshall didn't say, "I've been in uniform for over thirty years, we just won a world war, and I think I've done enough." Instead, he responded to his commander in chief the only way a professional could. He said yes, took care of his family, and prepared to accomplish the mission. After a year overseas, when faced with a similar question, he gave the same answer. GA Marshall always placed his country's interests first and his own second. Army leaders who follow his example do the same.

HONOR

Live up to all the Army values.

What is life without honor? Degradation is worse than death.

Lieutenant General Thomas J. "Stonewall" Jackson

2-26. Honor provides the "moral compass" for character and personal conduct in the Army. Though many people struggle to define the term, most recognize instinctively those with a keen sense of right and wrong, those who live such that their words and deeds are above reproach. The expression "honorable person," therefore, refers to both the character traits an individual actually possesses and the fact that the community recognizes and respects them.

2-27. Honor holds Army values together while at the same time being a value itself. Together, Army values describe the foundation essential to develop leaders of character. Honor means demonstrating an understanding of what's right and taking pride in the community's acknowledgment of that reputation. Military ceremonies recognizing individual and unit achievement demonstrate and reinforce the importance the Army places on honor.

2-28. For you as an Army leader, demonstrating an understanding of what's right and taking pride in that reputation means this: **Live up to all the Army values**. Implicitly, that's what you promised when you took your oath of office or enlistment. You made this promise publicly, and the standards—Army values—are also public. To be an honorable person, you must be true to your oath and live Army values in all you do. Living honorably strengthens Army values, not only for yourself but for others as well: all members of an organization contribute to the organization's climate (which you'll read about in Chapter 3). By what they do, people living out Army values contribute to a climate that encourages all members of the Army to do the same.

2-29. How you conduct yourself and meet your obligations defines who you are as a person; how the Army meets the nation's commitments defines the Army as an institution. For you as an Army leader, honor means putting Army values above self-interest, above career and comfort. For all soldiers, it means putting Army values above self-preservation as well. This honor is essential for creating a bond of trust among members of the Army and between the Army and the nation it serves. Army leaders have the strength of will to live according to Army values, even though the temptations to do otherwise are strong, especially in the face of personal danger. The military's highest award is the Medal of Honor. Its recipients didn't do

just what was required of them; they went beyond the expected, above and beyond the call of duty. Some gave their own lives so that others could live. It's fitting that the word we use to describe their achievements is "honor."

MSG Gordon and SFC Shughart in Somalia

During a raid in Mogadishu in October 1993, MSG Gary Gordon and SFC Randall Shughart, leader and member of a sniper team with Task Force Ranger in Somalia, were providing precision and suppressive fires from helicopters above two helicopter crash sites. Learning that no ground forces were available to rescue one of the downed aircrews and aware that a growing number of enemy were closing in on the site, MSG Gordon and SFC Shughart volunteered to be inserted to protect their critically wounded comrades. Their initial request was turned down because of the danger of the situation. They asked a second time; permission was denied. Only after their third request were they inserted.

MSG Gordon and SFC Shughart were inserted one hundred meters south of the downed chopper. Armed only with their personal weapons, the two NCOs fought their way to the downed fliers through intense small arms fire, a maze of shanties and shacks, and the enemy converging on the site. After MSG Gordon and SFC Shughart pulled the wounded from the wreckage, they established a perimeter, put themselves in the most dangerous position, and fought off a series of attacks. The two NCOs continued to protect their comrades until they had depleted their ammunition and were themselves fatally wounded. Their actions saved the life of an Army pilot.

2-30. No one will ever know what was running through the minds of MSG Gordon and SFC Shughart as they left the comparative safety of their helicopter to go to the aid of the downed aircrew. The two NCOs knew there was no ground rescue force available, and they certainly knew there was no going back to their helicopter. They may have suspected that things would turn out as they did; nonetheless, they did what they believed to be the right thing. They acted based on Army values, which they had clearly made their own: *loyalty* to their fellow soldiers; the *duty* to stand by them, regardless of the circumstances; the *personal courage* to act, even in the face of great danger; *selfless service*, the willingness to give their all. MSG Gary I. Gordon and SFC Randall D. Shughart lived Army values to the end; they were posthumously awarded Medals of Honor.

INTEGRITY

Do what's right—legally and morally.

The American people rightly look to their military leaders not only to be skilled in the technical aspects of the profession of arms, but also to be men of integrity.

General J. Lawton Collins
Former Army Chief of Staff

2-31. People of integrity consistently act according to principles—not just what might work at the moment. Leaders of integrity make their principles known and consistently act in accordance with them. The Army requires leaders of integrity who possess high moral standards and are honest in word and deed. Being honest means being truthful and upright all the time, despite pressures to do otherwise. Having integrity means being both morally complete and true to yourself. As an Army leader, you're honest to yourself by committing to and consistently living Army values; you're honest to others by not presenting yourself or your actions as anything other than what they are. Army leaders say what they mean and do what they say. If you can't accomplish a mission, inform your chain of command. If you inadvertently pass on bad information, correct it as soon as you find out it's wrong. People of integrity do the right thing not because it's convenient or because

they have no choice. They choose the right thing because their character permits no less. Conducting yourself with integrity has three parts:

- Separating what's right from what's wrong.
- Always acting according to what you know to be right, even at personal cost.
- Saying openly that you're acting on your understanding of right versus wrong.

2-32. Leaders can't hide what they do: that's why you must carefully decide how you act. As an Army leader, you're always on display. If you want to instill Army values in others, you must internalize and demonstrate them yourself. Your personal values may and probably do extend beyond the Army values, to include such things as political, cultural, or religious beliefs. However, if you're to be an Army leader *and* a person of integrity, these values must reinforce, not contradict, Army values.

2-33. Any conflict between your personal values and Army values must be resolved before you can become a morally complete Army leader. You may need to consult with someone whose values and judgment you respect. You would not be the first person to face this issue, and as a leader, you can expect others to come to you, too. Chapter 5 contains the story of how SGT Alvin York and his leaders confronted and resolved a conflict between SGT York's personal values and Army values. Read it and reflect on it. If one of your subordinates asks you to help resolve a similar conflict, you must be prepared by being sure your own values align with Army values. Resolving such conflicts is necessary to become a leader of integrity.

PERSONAL COURAGE

Face fear, danger, or adversity (physical or moral).

The concept of professional courage does not always mean being as tough as nails either. It also suggests a willingness to listen to the soldiers' problems, to go to bat for them in a tough situation, and it means knowing just how far they can go. It also means being willing to tell the boss when he's wrong.

Former Sergeant Major of the Army William Connelly

2-34. Personal courage isn't the absence of fear; rather, it's the ability to put fear aside and do what's necessary. It takes two forms, physical and moral. Good leaders demonstrate both.

2-35. Physical courage means overcoming fears of bodily harm and doing your duty. It's the bravery that allows a soldier to take risks in combat in spite of the fear of wounds or death. Physical courage is what gets the soldier at Airborne School out the aircraft door. It's what allows an infantryman to assault a bunker to save his buddies.

2-36. In contrast, moral courage is the willingness to stand firm on your values, principles, and convictions—even when threatened. It enables leaders to stand up for what they believe is right, regardless of the consequences. Leaders who take responsibility for their decisions and actions, even when things go wrong, display moral courage. Courageous leaders are willing to look critically inside themselves, consider new ideas, and change what needs changing.

2-37. Moral courage is sometimes overlooked, both in discussions of personal courage and in the everyday rush of business. A DA civilian at a meeting heard *courage* mentioned several times in the context of combat. The DA civilian pointed out that consistent moral courage is every bit as important as momentary physical courage. Situations requiring physical courage are rare; situations requiring moral courage can occur frequently. Moral courage is essential to living the Army values of integrity and honor every day.

2-38. Moral courage often expresses itself as candor. Candor means being frank, honest, and sincere with others while keeping your words free from bias, prejudice, or malice. Candor means calling things as you see them, even when it's uncomfortable or you think it might be better for you to just keep quiet. It means not allowing your feelings to affect what you say about a person or situation. A candid company commander calmly points out the first sergeant's mistake. Likewise, the candid first

sergeant respectfully points out when the company commander's pet project isn't working and they need to do something different. For trust to exist between leaders and subordinates, candor is essential. Without it, subordinates won't know if they've met the standard and leaders won't know what's going on.

2-39. In combat physical and moral courage may blend together. The right thing to do may not only be unpopular, but dangerous as well. Situations of that sort reveal who's a leader of character and who's not. Consider this example.

WO1 Thompson at My Lai

Personal courage—whether physical, moral, or a combination of the two—may be manifested in a variety of ways, both on and off the battlefield. On March 16, 1968 Warrant Officer (WO1) Hugh C. Thompson Jr. and his two-man crew were on a reconnaissance mission over the village of My Lai, Republic of Vietnam. WO1 Thompson watched in horror as he saw an American soldier shoot an injured Vietnamese child. Minutes later, when he observed American soldiers advancing on a number of civilians in a ditch, WO1 Thompson landed his helicopter and questioned a young officer about what was happening on the ground. Told that the ground action was none of his business, WO1 Thompson took off and continued to circle the area.

When it became apparent that the American soldiers were now firing on civilians, WO1 Thompson landed his helicopter between the soldiers and a group of 10 villagers who were headed for a homemade bomb shelter. He ordered his gunner to train his weapon on the approaching American soldiers and to fire if necessary. Then he personally coaxed the civilians out of the shelter and airlifted them to safety. WO1 Thompson's radio reports of what was happening were instrumental in bringing about the cease-fire order that saved the lives of more civilians. His willingness to place himself in physical danger in order to do the morally right thing is a sterling example of personal courage.

LEADER ATTRIBUTES

Leadership is not a natural trait, something inherited like the color of eyes or hair…Leadership is a skill that can be studied, learned, and perfected by practice.

The Noncom's Guide, 1962

Figure 2-2. Leader Attributes

2-40. Values tell us part of what the leader must BE; the other side of what a leader must BE are the attributes listed in Figure 2-2. Leader attributes influence leader actions; leader actions, in turn, always influence the unit or organization. As an example, if you're physically fit, you're more likely to inspire your subordinates to be physically fit.

2-41. Attributes are a person's fundamental qualities and characteristics. People are born with some attributes; for instance, a person's genetic code determines eye, hair, and skin color. However, other attributes—including leader attributes—are learned and can be changed. Leader attributes can be characterized as mental, physical, and emotional. Successful leaders work to improve those attributes.

MENTAL ATTRIBUTES

2-42. The mental attributes of an Army leader include will, self-discipline, initiative, judgment, self-confidence, intelligence, and cultural awareness.

Will

The will of soldiers is three times more important than their weapons.

Colonel Dandridge M. "Mike" Malone
Small Unit Leadership: A Commonsense Approach

2-43. Will is the inner drive that compels soldiers and leaders to keep going when they are exhausted, hungry, afraid, cold, and wet—when it would be easier to quit. Will enables soldiers to press the fight to its conclusion. Yet will without competence is useless. It's not enough that soldiers are willing, or even eager, to fight; they must know how to fight. Likewise, soldiers who have competence but no will don't fight. The leader's task is to develop a winning spirit by building their subordinates' will as well as their skill. That begins with hard, realistic training.

2-44. Will is an attribute essential to all members of the Army. Work conditions vary among branches and components, between those deployed and those closer to home. In the Army, personal attitude must prevail over any adverse external conditions. All members of the Army—active, reserve, and DA civilian—will experience situations when it would be easier to quit rather than finish the task at hand. At those times, everyone needs that inner drive to press on to mission completion.

2-45. It's easy to talk about will when things go well. But the test of your will comes when things go badly— when events seem to be out of control, when you think your bosses have forgotten you, when the plan doesn't seem to work and it looks like you're going to lose. It's then that you must draw on your inner reserves to persevere—to do your job until there's nothing left to do it with and then to remain faithful to your people, your organization, and your country. The story of the American and Filipino stand on the Bataan Peninsula and their subsequent captivity is one of individuals, leaders, and units deciding to remain true to the end—and living and dying by that decision.

The Will to Persevere

On 8 December 1941, hours after the attack on Pearl Harbor, Japanese forces attacked the American and Filipino forces defending the Philippines. With insufficient combat power to launch a counterattack, GEN Douglas MacArthur, the American commander, ordered his force to consolidate on the Bataan Peninsula and hold as long as possible. Among his units was the 12th Quartermaster (QM) Regiment, which had the mission of supporting the force.

Completely cut off from outside support, the Allies held against an overwhelming Japanese army for the next three and a half months. Soldiers of the 12th QM Regiment worked in the debris of warehouses and repair shops under merciless shelling and bombing, fighting to make the meager supplies last. They slaughtered water buffaloes for meat, caught fish with traps they built themselves, and distilled salt from sea water. In coffeepots made from oil drums they boiled and reboiled the tiny coffee supply until the grounds were white. As long as an ounce of food existed, it was used. In the last desperate days, they resorted to killing horses and pack mules. More important, these supporters delivered rations to the foxholes on the front lines—fighting their way in when necessary. After Bataan and Corregidor fell, members of the 12th QM Regiment were prominent among the 7,000 Americans and Filipinos who died on the infamous Bataan Death March.

Though captured, the soldiers of the 12th QM Regiment maintained their will to resist. 1LT Beulah Greenwalt, a nurse assigned to the 12th QM Regiment, personified this will. Realizing the regimental colors represent the soul of a regiment and that they could serve as a symbol for resistance, 1LT Greenwalt assumed the mission of protecting the colors from the Japanese. She carried the colors to the prisoner of war (PW) camp in Manila by wrapping them around her

The Will to Persevere (continued)

shoulders and convincing her Japanese captors that they were "only a shawl." For the next 33 months 1LT Greenwalt and the remains of the regiment remained PWs, living on starvation diets and denied all comforts. But through it all, 1LT Greenwalt held onto the flag. The regimental colors were safeguarded: the soul of the regiment remained with the regiment, and its soldiers continued to resist.

When the war ended in 1945 and the surviving PWs were released, 1LT Greenwalt presented the colors to the regimental commander. She and her fellow PWs had persevered. They had resisted on Bataan until they had no more means to resist. They continued to resist through three long years of captivity. They decided on Bataan to carry on, and they renewed that decision daily until they were liberated. The 12th QM Regiment—and the other units that had fought and resisted with them—remained true to themselves, the Army, and their country. Their will allowed them to see events through to the end.

Self-Discipline

The core of a soldier is moral discipline. It is intertwined with the discipline of physical and mental achievement. Total discipline overcomes adversity, and physical stamina draws on an inner strength that says "drive on."

Former Sergeant Major of the Army
William G. Bainbridge

2-46. Self-disciplined people are masters of their impulses. This mastery comes from the habit of doing the right thing. Self-discipline allows Army leaders to do the right thing regardless of the consequences for them or their subordinates. Under the extreme stress of combat, you and your team might be cut off and alone, fearing for your lives, and having to act without guidance or knowledge of what's going on around you. Still, you—the leader—must think clearly and act reasonably. Self-discipline is the key to this kind of behavior.

2-47. In peacetime, self-discipline gets the unit out for the hard training. Self-discipline makes the tank commander demand another run-through of a battle drill if the performance doesn't meet the standard—even though everyone is long past ready to quit. Self-discipline doesn't mean that you never get tired or discouraged—after all, you're only human. It does mean that you do what needs to be done regardless of your feelings.

Initiative

The leader must be an aggressive thinker—always anticipating and analyzing. He must be able to make good assessments and solid tactical judgments.

Brigadier General John. T. Nelson II

2-48. Initiative is the ability to be a self-starter—to act when there are no clear instructions, to act when the situation changes or when the plan falls apart. In the operational context, it means setting and dictating the terms of action throughout the battle or operation. An individual leader with initiative is willing to decide and initiate independent actions when the concept of operations no longer applies or when an unanticipated opportunity leading to accomplishment of the commander's intent presents itself. Initiative drives the Army leader to seek a better method, anticipate what must be done, and perform without waiting for instructions. Balanced with good judgment, it becomes *disciplined* initiative, an essential leader attribute. (FM 100-5 discusses initiative as it relates to military actions at the operational level. FM 100-34 discusses the relationship of initiative to command and control. FM 100-40 discusses the place of initiative in the art of tactics.)

2-49. As an Army leader, you can't just give orders: you must make clear the intent of those orders, the final goal of the mission. In combat, it's critically important for subordinates to understand their commander's intent. When they are cut off or enemy actions derail the original plan, well-trained soldiers who understand the commander's intent will apply disciplined initiative to accomplish the mission.

2-50. Disciplined initiative doesn't just appear; you must develop it within your subordinates. Your leadership style and the organizational climate you establish can either encourage or discourage initiative: you can instill initiative in your subordinates or you can drive it out. If you underwrite honest mistakes, your subordinates will be more likely to develop initiative. If you set a "zero defects" standard, you risk strangling initiative in its cradle, the hearts of your subordinates. (Chapter 5 discusses "zero defects" and learning.)

The Quick Reaction Platoon

On 26 December 1994 a group of armed and disgruntled members of the Haitian Army entered the Haitian Army Headquarters in Port-au-Prince demanding back pay. A gunfight ensued less than 150 meters from the grounds of the Haitian Palace, seat of the new government. American soldiers from C Company, 1-22 Infantry, who had deployed to Haiti as part of Operation Uphold Democracy, were guarding the palace grounds. The quick reaction platoon leader deployed and immediately maneuvered his platoon towards the gunfire. The platoon attacked, inflicting at least four casualties and causing the rest of the hostile soldiers to flee. The platoon quelled a potentially explosive situation by responding correctly and aggressively to the orders of their leader, who knew his mission and the commander's intent.

Judgment

I learned that good judgment comes from experience and that experience grows out of mistakes.

General of the Army Omar N. Bradley

2-51. Leaders must often juggle hard facts, questionable data, and gut-level intuition to arrive at a decision. Good judgment means making the best decision for the situation. It's a key attribute of the art of command and the transformation of knowledge into understanding. (FM 100-34 discusses how leaders convert data and information into knowledge and understanding.)

2-52. Good judgment is the ability to size up a situation quickly, determine what's important, and decide what needs to be done. Given a problem, you should consider a range of alternatives before you act. You need to think through the consequences of what you're about to do before you do it. In addition to considering the consequences, you should also think methodically. Some sources that aid judgment are the boss's intent, the desired goal, rules, laws, regulations, experience, and values. Good judgment also includes the ability to size up subordinates, peers, and the enemy for strengths, weaknesses, and potential actions. It's a critical part of problem solving and decision making. (Chapter 5 discusses problem solving and decision making).

2-53. Judgment and initiative go hand in hand. As an Army leader, you must weigh what you know and make decisions in situations where others do nothing. There will be times when you'll have to make decisions under severe time constraints. In all cases, however, you must take responsibility for your actions. In addition, you must encourage disciplined initiative in, and teach good judgment to, your subordinates. Help your subordinates learn from mistakes by coaching and mentoring them along the way. (Chapter 5 discusses mentoring.)

Self-Confidence

2-54. Self-confidence is the faith that you'll act correctly and properly in any situation, even one in which you're under stress and don't have all the information you want. Self-confidence comes from competence: it's based on mastering skills, which takes hard work and dedication. Leaders who know their own capabilities and believe in themselves are self-confident. Don't mistake bluster—loudmouthed bragging or self-promotion—for self-confidence. Truly self-confident leaders don't need to advertise; their actions say it all.

2-55. Self-confidence is important for leaders and teams. People want self-confident leaders, leaders who understand the situation, know what needs to be done, and demonstrate that understanding and knowledge. Self-confident leaders instill self-confidence in their people. In combat, self-confidence helps soldiers control doubt and reduce anxiety. Together with will and self-discipline, self-confidence helps leaders act—do what must be done in circumstances where it would be easier to do nothing—and to convince their people to act as well.

Intelligence

2-56. Intelligent leaders think, learn, and reflect; then they apply what they learn. Intelligence is more than knowledge, and the ability to think isn't the same as book learning. All people have some intellectual ability that, when developed, allows them to analyze and understand a situation. And although some people are smarter than others, all people can develop the capabilities they have. Napoleon himself observed how a leader's intellectual development applies directly to battlefield success:

It is not genius which reveals to me suddenly and secretly what I should do in circumstances unexpected by others; it is thought and meditation.

2-57. Knowledge is only part of the equation. Smart decisions result when you combine professional skills (which you learn through study) with experience (which you gain on the job) and your ability to reason through a problem based on the information available. Reflection is also important. From time to time, you find yourself carefully and thoughtfully considering how leadership, values, and other military principles apply to you and your job. When things don't go quite the way they intended, intelligent leaders are confident enough to step back and ask, "Why did things turn out that way?" Then they are smart enough to build on their strengths and avoid making the same mistake again.

2-58. Reflection also contributes to your originality (the ability to innovate, rather than only adopt others' methods) and intuition (direct, immediate insight or understanding of important factors without apparent rational thought or inference). Remember COL Chamberlain at Little Round Top. To his soldiers, it sometimes appeared that he could "see through forests and hills and know what was coming." But this was no magical ability. Through study and reflection, the colonel had learned how to analyze terrain and imagine how the enemy might attempt to use it to his advantage. He had applied his intelligence and developed his intellectual capabilities. Good leaders follow COL Chamberlain's example.

Cultural Awareness

2-59. Culture is a group's shared set of beliefs, values, and assumptions about what's important. As an Army leader, you must be aware of cultural factors in three contexts:

- You must be sensitive to the different backgrounds of your people.
- You must be aware of the culture of the country in which your organization is operating.
- You must take into account your partners' customs and traditions when you're working with forces of another nation.

2-60. Within the Army, people come from widely different backgrounds: they are shaped by their schooling, race, gender, and religion as well as a host of other influences. Although they share Army values, an African-American man from rural Texas may look at many things differently from, say, a third-generation Irish-American man who grew up in Philadelphia or a Native American woman from the Pacific Northwest. But be aware that perspectives vary within groups as well. That's why you should try to understand individuals based on their own ideas, qualifications, and contributions and not jump to conclusions based on stereotypes.

2-61. Army values are part of the Army's institutional culture, a starting point for how you as a member of the Army should think and act. Beyond that, Army leaders not only recognize that people are different; they value them because of their differences, because they are people. Your job as a leader isn't to make everyone the same.

Instead, your job is to take advantage of the fact that everyone is different and build a cohesive team. (Chapter 7 discusses the role strategic leaders play in establishing and maintaining the Army's institutional culture.)

2-62. There's great diversity in the Army—religious, ethnic, and social—and people of different backgrounds bring different talents to the table. By joining the Army, these people have agreed to adopt the Army culture. Army leaders make this easier by embracing and making use of everyone's talents. What's more, they create a team where subordinates know they are valuable and their talents are important.

2-63. You never know how the talents of an individual or group will contribute to mission accomplishment. For example, during World War II US Marines from the Navajo nation formed a group of radio communications specialists dubbed the Navajo Code Talkers. The code talkers used their native language—a unique talent—to handle command radio traffic. Not even the best Japanese code breakers could decipher what was being said.

2-64. Understanding the culture of your adversaries and of the country in which your organization is operating is just as important as understanding the culture of your own country and organization. This aspect of cultural awareness has always been important, but today's operational environment of frequent deployments—often conducted by small units under constant media coverage—makes it even more so. As an Army leader, you need to remain aware of current events—particularly those in areas where America has national interests. You may have to deal with people who live in those areas, either as partners, neutrals, or adversaries. The more you know about them, the better prepared you'll be.

2-65. You may think that understanding other cultures applies mostly to stability operations and support operations. However, it's critical to planning offensive and defensive operations as well. For example, you may employ different tactics against an adversary who considers surrender a dishonor worse than death than against those for whom surrender is an honorable option. Likewise, if your organization is operating as part of a multinational team, how well you understand your partners will affect how well the team accomplishes its mission.

2-66. Cultural awareness is crucial to the success of multinational operations. In such situations Army leaders take the time to learn the customs and traditions of the partners' cultures. They learn how and why others think and act as they do. In multinational forces, effective leaders create a "third culture," which is the bridge or the compromise among partners. This is what GA Eisenhower did in the following example.

GA Eisenhower Forms SHAEF

During World War II, one of GA Eisenhower's duties as Supreme Allied Commander in the European Theater of Operations (ETO) was to form his theater headquarters, the Supreme Headquarters, Allied Expeditionary Force (SHAEF). GA Eisenhower had to create an environment in this multinational headquarters in which staff members from the different Allied armies could work together harmoniously. It was one of GA Eisenhower's toughest jobs.

The forces under his command—American, British, French, Canadian, and Polish—brought not only different languages, but different ways of thinking, different ideas about what was important, and different strategies. GA Eisenhower could have tried to bend everyone to his will and his way of thinking; he was the boss, after all. But it's doubtful the Allies would have fought as well for a bullying commander or that a bullying commander would have survived politically. Instead, he created a positive organizational climate that made best use of the various capabilities of his subordinates. This kind of work takes tact, patience, and trust. It doesn't destroy existing cultures but creates a new one. (Chapter 7 discusses how building this coalition contributed to the Allied victory in the ETO.)

PHYSICAL ATTRIBUTES

2-67. Physical attributes—health fitness, physical fitness, and military and professional bearing—can be developed. Army leaders maintain the appropriate level of physical fitness and military bearing.

Health Fitness

Disease was the chief killer in the [American Civil] war. Two soldiers died of it for every one killed in battle…In one year, 995 of every thousand men in the Union army contracted diarrhea and dysentery.

Geoffrey C. Ward
The Civil War

2-68. Health fitness is everything you do to maintain good health, things such as undergoing routine physical exams, practicing good dental hygiene, maintaining deployability standards, and even personal grooming and cleanliness. A soldier unable to fight because of dysentery is as much a loss as one who's wounded. Healthy soldiers can perform under extremes in temperature, humidity, and other conditions better than unhealthy ones. Health fitness also includes avoiding things that degrade your health, such as substance abuse, obesity, and smoking.

Physical Fitness

Fatigue makes cowards of us all.

General George S. Patton Jr.
Commanding General, Third Army, World War II

2-69. Unit readiness begins with physically fit soldiers and leaders. Combat drains soldiers physically, mentally, and emotionally. To minimize those effects, Army leaders are physically fit, and they make sure their subordinates are fit as well. Physically fit soldiers perform better in all areas, and physically fit leaders are better able to think, decide, and act appropriately under pressure. Physical readiness provides a foundation for combat readiness, and it's up to you, the leader, to get your soldiers ready.

2-70. Although physical fitness is a crucial element of success in battle, it's not just for frontline soldiers. Wherever they are, people who are physically fit feel more competent and confident. That attitude reassures and inspires those around them. Physically fit soldiers and DA civilians can handle stress better, work longer and harder, and recover faster than ones who are not fit. These payoffs are valuable in both peace and war.

2-71. The physical demands of leadership positions, prolonged deployments, and continuous operations can erode more than just physical attributes. Soldiers must show up ready for deprivations because it's difficult to maintain high levels of fitness during deployments and demanding operations. Trying to get fit under those conditions is even harder. If a person isn't physically fit, the effects of additional stress snowball until their mental and emotional fitness are compromised as well. Army leaders' physical fitness has significance beyond their personal performance and well-being. Since leaders' decisions affect their organizations' combat effectiveness, health, and safety and not just their own, maintaining physical fitness is an ethical as well as a practical imperative.

2-72. The Army Physical Fitness Test (APFT) measures a baseline level of physical fitness. As an Army leader, you're required to develop a physical fitness program that enhances your soldiers' ability to complete soldier and leader tasks that support the unit's mission essential task list (METL). (FM 25-101 discusses METL-based integration of soldier, leader, and collective training.) Fitness programs that emphasize training specifically for the APFT are boring and don't prepare soldiers for the varied stresses of combat. Make every effort to design a physical fitness program that prepares your people for what you expect them to do in combat. Readiness should be your program's primary focus; preparation for the APFT itself is secondary. (FM 21-20 is your primary physical fitness resource.)

You have to lead men in war by requiring more from the individual than he thinks he can do. You have to [bring] them along to endure and to display qualities of fortitude that are beyond the average man's thought of what he should be expected to do. You have to

inspire them when they are hungry and exhausted and desperately uncomfortable and in great danger; and only a man of positive characteristics of leadership, with the physical stamina [fitness] that goes with it, can function under those conditions.

General of the Army George C. Marshall
Army Chief of Staff, World War II

Military and Professional Bearing

Our…soldiers should look as good as they are.

Sergeant Major of the Army Julius W. Gates

2-73. As an Army leader, you're expected to look like a soldier. Know how to wear the uniform and wear it with pride at all times. Meet height and weight standards. By the way you carry yourself and through your military courtesy and appearance, you send a signal: I am proud of my uniform, my unit, and myself. Skillful use of your professional bearing—fitness, courtesy, and military appearance—can often help you manage difficult situations. A professional—DA civilian or soldier—presents a professional appearance, but there's more to being an Army professional than looking good. Professionals are competent as well; the Army requires you to both *look* good and *be* good.

EMOTIONAL ATTRIBUTES

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

Aristotle
Greek philosopher and tutor to Alexander the Great

2-74. As an Army leader, your emotional attributes—self-control, balance, and stability—contribute to how you feel and therefore to how you interact with others. Your people are human beings with hopes, fears, concerns, and dreams. When you understand that will and endurance come from emotional energy, you possess a powerful leadership tool. The feedback you give can help your subordinates use their emotional energy to accomplish amazing feats in tough times.

Self-Control in Combat

An American infantry company in Vietnam had been taking a lot of casualties from booby traps. The soldiers were frustrated because they could not fight back. One night, snipers ambushed the company near a village, killing two soldiers. The rest of the company—scared, anguished, and frustrated—wanted to enter the village, but the commander—who was just as angry—knew that the snipers were long gone. Further, he knew that there was a danger his soldiers would let their emotions get the upper hand, that they might injure or kill some villagers out of a desire to strike back at something. Besides being criminal, such killings would drive more villagers to the Viet Cong. The commander maintained control of his emotions, and the company avoided the village.

2-75. Self-control, balance, and stability also help you make the right ethical choices. Chapter 4 discusses the steps of ethical reasoning. However, in order to follow those steps, you must remain in control of yourself; you can't be at the mercy of your impulses. You must remain calm under pressure, "watch your lane," and expend energy on things you can fix. Inform your boss of things you can't fix and don't worry about things you can't affect.

2-76. Leaders who are emotionally mature also have a better awareness of their own strengths and weaknesses. Mature leaders spend their energy on self-improvement; immature leaders spend their energy denying there's anything wrong. Mature, less defensive leaders benefit from constructive criticism in ways that immature people cannot.

Self-Control

Sure I was scared, but under the circumstances, I'd have been crazy not to be scared.…There's nothing wrong with fear. Without fear, you can't have acts of courage.

Sergeant Theresa Kristek
Operation Just Cause, Panama

2-77. Leaders control their emotions. No one wants to work for a hysterical leader who might lose control in a tough situation. This doesn't mean you never show emotion. Instead, you must display the proper amount of emotion and passion—somewhere between too much and too little—required to tap into your subordinates' emotions. Maintaining self-control inspires calm confidence in subordinates, the coolness under fire so essential to a successful unit. It also encourages feedback from your subordinates that can expand your sense of what's really going on.

Balance

An officer or noncommissioned officer who loses his temper and flies into a tantrum has failed to obtain his first triumph in discipline.

Noncommissioned Officer's Manual, 1917

2-78. Emotionally balanced leaders display the right emotion for the situation and can also read others' emotional state. They draw on their experience and provide their subordinates the proper perspective on events. They have a range of attitudes—from relaxed to intense—with which to approach situations and can choose the one appropriate to the circumstances. Such leaders know when it's time to send a message that things are urgent and how to do that without throwing the organization into chaos. They also know how to encourage people at the toughest moments and keep them driving on.

Stability

Never let yourself be driven by impatience or anger. One always regrets having followed the first dictates of his emotions.

Marshal de Belle-Isle
French Minister of War, 1757-1760

2-79. Effective leaders are steady, levelheaded under pressure and fatigue, and calm in the face of danger. These characteristics calm their subordinates, who are always looking to their leader's example. Display the emotions you want your people to display; don't give in to the temptation to do what feels good for you. If you're under great stress, it might feel better to vent—scream, throw things, kick furniture—but that will not help the organization. If you want your subordinates to be calm and rational under pressure, you must be also.

BG Jackson at First Bull Run

At a crucial juncture in the First Battle of Bull Run, the Confederate line was being beaten back from Matthews Hill by Union forces. Confederate BG Thomas J. Jackson and his 2,000-man brigade of Virginians, hearing the sounds of battle to the left of their position, pressed on to the action. Despite a painful shrapnel wound, BG Jackson calmly placed his men in a defensive position on Henry Hill and assured them that all was well.

As men of the broken regiments flowed past, one of their officers, BG Barnard E. Bee, exclaimed to BG Jackson, "General, they are driving us!" Looking toward the direction of the enemy, BG Jackson replied, "Sir, we will give them the bayonet." Impressed by BG Jackson's confidence and self-control, BG Bee rode off towards what was left of the officers and men of his brigade. As he rode into the throng he gestured with his sword toward Henry Hill and shouted, "Look, men! There is Jackson standing like a stone wall! Let us determine to die here, and we will conquer! Follow me!"

BG Bee would later be mortally wounded, but the Confederate line stiffened and the nickname he gave to BG Jackson would live on in American military history. This example shows how one leader's self-control under fire can turn the tide of battle by influencing not only the leader's own soldiers, but the leaders and soldiers of other units as well.

FOCUS ON CHARACTER

Just as fire tempers iron into fine steel, so does adversity temper one's character into firmness, tolerance, and determination.

Margaret Chase Smith
Lieutenant Colonel, US Air Force Reserve
and United States Senator

2-80. Earlier in this chapter, you read how character is made up of two interacting sets of characteristics: values and attributes. People enter the Army with values and attributes they've developed over the course of a lifetime, but those are just the starting points for further character development. Army leaders continuously develop in themselves and their subordinates the Army values and leader attributes that this chapter discusses and Figure 1-1 shows. This isn't just an academic exercise, another mandatory training topic to address once a year. Your character shows through in your actions—on and off duty.

2-81. Character helps you determine what's right and motivates you to do it, regardless of the circumstances or the consequences. What's more, an informed ethical conscience consistent with Army values steels you for making the right choices when faced with tough questions. Since Army leaders seek to do what's right and inspire others to do the same, you must be concerned with character development. Examine the actions in this example, taken from the report of a platoon sergeant during Operation Desert Storm. Consider the aspects of character that contributed to them.

Character and Prisoners

The morning of [28 February 1991], about a half-hour prior to the cease-fire, we had a T-55 tank in front of us and we were getting ready [to engage it with a TOW]. We had the TOW up and we were tracking him and my wingman saw him just stop and a head pop up out of it. And Neil started calling me saying, "Don't shoot, don't shoot, I think they're getting off the tank." And they did. Three of them jumped off the tank and ran around a sand dune. I told my wingman, "I'll cover the tank, you go on down and check around the back side and see what's down there." He went down there and found about 150 PWs….

[T]he only way we could handle that many was just to line them up and run them through…a little gauntlet…[W]e had to check them for weapons and stuff and we lined them up and called for the PW handlers to pick them up. It was just amazing.

We had to blow the tank up. My instructions were to destroy the tank, so I told them to go ahead and move it around the back side of the berm a little bit to safeguard us, so we wouldn't catch any shrapnel or ammunition coming off. When the tank blew up, these guys started yelling and screaming at my soldiers, "Don't shoot us, don't shoot us," and one of my soldiers said, "Hey, we're from America; we don't shoot our prisoners." That sort of stuck with me.

2-82. The soldier's comment at the end of this story captures the essence of character. He said, "We're from America…" He defined, in a very simple way, the connection between who you are—your character—and what you do. This example illustrates character—shared values and attributes—telling soldiers what to do and what not to do. However, it's interesting for other reasons. Read it again: You can almost feel the soldiers' surprise when they realized what the Iraqi PWs were afraid of. You can picture the young soldier, nervous, hands on his weapon, but still managing to be a bit amused. The right thing, the ethical choice, was so deeply ingrained in those soldiers that it never occurred to them to do anything other than safeguard the PWs.

The Battle of the Bulge

In December 1944 the German Army launched its last major offensive on the Western Front of the ETO, sending massive infantry and armor formations into a lightly-held sector of the Allied line in Belgium. American units were overrun. Thousands of green troops, sent to that sector because it was quiet, were captured. For two desperate weeks the Allies fought to check the enemy advance. The 101st Airborne Division was sent to the town of Bastogne. The Germans needed to control the crossroads there to move equipment to the front; the 101st was there to stop them.

Outnumbered, surrounded, low on ammunition, out of medical supplies, and with wounded piling up, the 101st, elements of the 9th and 10th Armored Divisions, and a tank destroyer battalion fought off repeated attacks through some of the coldest weather Europe had seen in 50 years. Wounded men froze to death in their foxholes. Paratroopers fought tanks. Nonetheless, when the German commander demanded American surrender, BG Anthony C. McAuliffe, acting division commander, sent a one-word reply: "Nuts."

The Americans held. By the time the Allies regained control of the area and pushed the Germans back, Hitler's "Thousand Year Reich" had fewer than four months remaining.

2-83. BG McAuliffe spoke based on what he knew his soldiers were capable of, even in the most extreme circumstances. This kind of courage and toughness didn't develop overnight. Every Allied soldier brought a lifetime's worth of character to that battle; that character was the foundation for everything else that made them successful.

GA Eisenhower's Message

On 5 June 1944, the day before the D-Day invasion, with his hundreds of thousands of soldiers, sailors and airmen poised to invade France, GA Dwight D. Eisenhower took a few minutes to draft a message he hoped he would never deliver. It was a "statement he wrote out to have ready when the invasion was repulsed, his troops torn apart for nothing, his planes ripped and smashed to no end, his warships sunk, his reputation blasted."

In his handwritten statement, GA Eisenhower began, "Our landings in the Cherbourg-Havre area have failed to gain a satisfactory foothold and I have withdrawn the troops." Originally he had written, the "troops have been withdrawn," a use of the passive voice that conceals the actor. But he changed the wording to reflect his acceptance of full personal accountability.

GA Eisenhower went on, "My decision to attack at this time and place was based on the best information available." And after recognizing the courage and sacrifice of the troops he concluded, "If any blame or fault attaches to this attempt, it is mine alone."

2-84. GA Eisenhower, in command of the largest invasion force ever assembled and poised on the eve of a battle that would decide the fate of millions of people, was guided by the same values and attributes that shaped the actions of the soldiers in the Desert Storm example. His character allowed for nothing less than acceptance of total personal responsibility. If things went badly, he was ready to take the blame. When things went well, he gave credit to his subordinates. The Army values GA Eisenhower personified provide a powerful example for all members of the Army.

CHARACTER AND THE WARRIOR ETHOS

2-85. The *warrior ethos* refers to the professional attitudes and beliefs that characterize the American soldier. At its core, the warrior ethos grounds itself on the refusal to accept failure. The Army has forged the warrior ethos on training grounds from Valley Forge to the CTCs and honed it in battle from Bunker Hill to San Juan Hill, from the Meuse-Argonne to Omaha Beach, from Pork Chop Hill to the Ia Drang Valley, from Salinas Airfield to the Battle of 73 Easting. It derives from the unique realities of battle. It echoes through the precepts in the Code of Conduct. Developed through discipline, commitment to Army values, and knowledge of the Army's proud heritage, the warrior ethos makes clear that military service is much more than just another job: the purpose of winning the nation's wars calls for total commitment.

2-86. America has a proud tradition of winning. The ability to forge victory out of the chaos of battle includes overcoming fear, hunger, deprivation, and fatigue. The Army wins because it fights hard; it fights hard because it trains hard; and it trains hard because that's the way to *win*. Thus, the warrior ethos is about more than persevering under the worst of conditions; it fuels the fire to fight through those conditions to victory no matter how long it takes, no matter how much effort is required. It's one thing to make a snap decision to risk your life for a brief period of time. It's quite another to sustain the will to win when the situation looks hopeless and doesn't show any indications of getting better, when being away from home and family is a profound hardship. The soldier who jumps on a grenade to save his comrades is courageous, without question. That action requires great physical courage, but pursuing victory over time also requires a deep moral courage that concentrates on the mission.

2-87. The warrior ethos concerns character, shaping who you are and what you do. In that sense, it's clearly linked to Army values such as *personal courage, loyalty to comrades, and dedication to duty*. Both loyalty and duty involve putting your life on the line, even when there's little chance of survival, for the good of a cause larger than yourself. That's the clearest example of *selfless service*. American soldiers never give up on their fellow soldiers, and they never compromise on doing their duty. *Integrity* underlies the character of the Army as well. The warrior ethos requires unrelenting and consistent determination to do what is right and to do it with pride, both in war and military operations other than war. Understanding what is right requires *respect* for both your comrades and other people involved in such complex arenas as peace operations and nation assistance. In such ambiguous situations, decisions to use lethal or nonlethal force severely test judgment and discipline. In whatever conditions Army leaders find themselves, they turn the personal warrior ethos into a collective commitment to win with *honor*.

2-88. The warrior ethos is crucial—and perishable—so the Army must continually affirm, develop, and sustain it. Its martial ethic connects American warriors today with those whose sacrifices have allowed our very existence. The Army's continuing drive to be the best, to triumph over all adversity, and to remain focused on mission accomplishment does more than preserve the Army's institutional culture; it sustains the nation.

2-89. Actions that safeguard the nation occur everywhere you find soldiers. The warrior ethos spurs the lead tank driver across a line of departure into uncertainty. It drives the bone-tired medic continually to put others first. It pushes the sweat-soaked gunner near muscle failure to keep up the fire. It drives the heavily loaded infantry soldier into an icy wind, steadily uphill to the objective. It presses the signaler through fatigue to provide communications. And the warrior ethos urges the truck driver across frozen roads bounded by minefields because fellow soldiers at an isolated outpost need supplies. Such tireless motivation comes in part from the comradeship that springs from the warrior ethos. Soldiers fight for each other; they would rather die than let their buddies down. That loyalty runs front to rear as well as left to right: mutual

support marks Army culture regardless of who you are, where you are, or what you are doing.

2-90. That tight fabric of loyalty to one another and to collective victory reflects perhaps the noblest aspect of our American warrior ethos: the military's subordinate relationship to civilian authority. That subordination began in 1775, was reconfirmed at Newburgh, New York, in 1782, and continues to this day. It's established in the Constitution and makes possible the freedom all Americans enjoy. The Army sets out to achieve national objectives, not its own, for *selfless service* is an institutional as well as an individual value. And in the end, the Army returns its people back to the nation. America's sons and daughters return with their experience as part of a winning team and share that spirit as citizens. The traditions and values of the service derive from a commitment to excellent performance and operational success. They also point to the Army's unwavering commitment to the society we serve. Those characteristics serve America and its citizens—both in and out of uniform—well.

CHARACTER DEVELOPMENT

2-91. People come to the Army with a character formed by their background, religious or philosophical beliefs, education, and experience. Your job as an Army leader would be a great deal easier if you could check the values of a new DA civilian or soldier the way medics check teeth or run a blood test. You could figure out what values were missing by a quick glance at Figure 1-1 and administer the right combination, maybe with an injection or magic pill.

2-92. But character development is a complex, lifelong process. No scientist can point to a person and say, "This is when it all happens." However, there are a few things you can count on. You build character in subordinates by creating organizations in which Army values are not just words in a book but precepts for what their members do. You help build subordinates' character by acting the way you want them to act. You teach by example, and coach along the way. (Appendix E contains additional information on character development.) When you hold yourself and your subordinates to the highest standards, you reinforce the values those standards embody. They spread throughout the team, unit, or organization—throughout the Army—like the waves from a pebble dropped into a pond.

CHARACTER AND ETHICS

2-93. When you talk about character, you help your people answer the question, What kind of person should I be? You must not only embrace Army values and leader attributes but also use them to think, reason, and—after reflection—act. Acting in a situation that tests your character requires moral courage. Consider this example.

The Qualification Report

A battalion in a newly activated division had just spent a great deal of time and effort on weapons qualification. When the companies reported results, the battalion commander could not understand why B and C Companies had reported all machine gunners fully qualified while A Company had not. The A Company Commander said that he could not report his gunners qualified because they had only fired on the 10-meter range and the manual for qualification clearly stated that the gunners had to fire on the transition range as well. The battalion commander responded that since the transition range was not built yet, the gunners should be reported as qualified: "They fired on the only range we have. And besides, that's how we did it at Fort Braxton."

Some of the A Company NCOs, who had also been at Fort Braxton, tried to tell their company commander the same thing. But the captain insisted the A Company gunners were not fully qualified, and that's how the report went to the brigade commander.

The Qualification Report (continued)

The brigade commander asked for an explanation of the qualification scores. After hearing the A Company Commander's story, he agreed that the brigade would be doing itself no favors by reporting partially qualified gunners as fully qualified. The incident also sent a message to division: get that transition range built.

The A Company Commander's choice was not between loyalty to his battalion commander and honesty; doing the right thing here meant being loyal and honest. And the company commander had the moral courage to be both honest and loyal—loyal to the Army, loyal to his unit, and loyal to his soldiers.

2-94. The A Company Commander made his decision and submitted his report without knowing how it would turn out. He didn't know the brigade commander would back him up, but he reported his company's status relative to the published Army standard anyway. He insisted on reporting the truth—which took character—because it was the right thing to do.

2-95. Character is important in living a consistent and moral life, but character doesn't always provide the final answer to the specific question, What should I do now? Finding that answer can be called ethical reasoning. Chapter 4 outlines a process for ethical reasoning. When you read it, keep in mind that the process is much more complex than the steps indicate and that you must apply your own values, critical reasoning skills, and imagination to the situation. There are no formulas that will serve every time; sometimes you may not even come up with an answer that completely satisfies you. But if you embrace Army values and let them govern your actions, if you learn from your experiences and develop your skills over time, you're as prepared as you can be to face the tough calls.

2-96. Some people try to set different Army values against one another, saying a problem is about loyalty versus honesty or duty versus respect. Leadership is more complicated than that; the world isn't always black and white. If it were, leadership would be easy and anybody could do it. However, in the vast majority of cases, Army values are perfectly compatible; in fact, they reinforce each other.

CHARACTER AND ORDERS

2-97. Making the right choice and acting on it when faced with an ethical question can be difficult. Sometimes it means standing your ground. Sometimes it means telling your boss you think the boss is wrong, like the finance supervisor in Chapter 1 did. Situations like these test your character. But a situation in which you think you've received an illegal order can be even more difficult.

2-98. In Chapter 1 you read that a good leader executes the boss's decision with energy and enthusiasm. The only exception to this principle is your duty to disobey illegal orders. This isn't a privilege you can conveniently claim, but a duty you must perform. If you think an order is illegal, first be sure that you understand both the details of the order and its original intent. Seek clarification from the person who gave the order. This takes moral courage, but the question will be straightforward: Did you really mean for me to…steal the part…submit a false report…shoot the prisoners? If the question is complex or time permits, always seek legal counsel. However, if you must decide immediately—as may happen in the heat of combat make the best judgment possible based on Army values, your experience, and your previous study and reflection. You take a risk when you disobey what you believe to be an illegal order. It may be the most difficult decision you'll ever make, but that's what leaders do.

2-99. While you'll never be completely prepared for such a situation, spending time reflecting on Army values and leader attributes may help. Talk to your superiors, particularly those who

have done what you aspire to do or what you think you'll be called on to do; providing counsel of this sort is an important part of mentoring (which Chapter 5 discusses). Obviously, you need to make time to do this before you're faced with a tough call. When you're in the middle of a firefight, you don't have time to reflect.

CHARACTER AND BELIEFS

2-100. What role do beliefs play in ethical matters? Beliefs are convictions people hold as true; they are based on their upbringing, culture, heritage, families, and traditions. As a result, different moral beliefs have been and will continue to be shaped by diverse religious and philosophical traditions. You serve a nation that takes very seriously the notion that people are free to choose their own beliefs and the basis for those beliefs. In fact, America's strength comes from that diversity. The Army respects different moral backgrounds and personal convictions—as long as they don't conflict with Army values.

2-101. Beliefs matter because they are the way people make sense of what they experience. Beliefs also provide the basis for personal values; values are moral beliefs that shape a person's behavior. Effective leaders are careful not to require their people to violate their beliefs by ordering or encouraging any illegal or unethical action.

2-102. The Constitution reflects our deepest national values. One of these values is the guarantee of freedom of religion. While religious beliefs and practices are left to individual conscience, Army leaders are responsible for ensuring their soldiers' right to freely practice their religion. Title 10 of the United States Code states, "Each commanding officer shall furnish facilities, including necessary transportation, to any chaplain assigned to his command, to assist the chaplain in performing his duties." What does this mean for Army leaders? The commander delegates staff responsibility to the chaplain for programs to enhance spiritual fitness since many people draw moral fortitude and inner strength from a spiritual foundation. At the same time, no leader may apply undue influence or coerce others in matters of religion—whether to practice or not to practice specific religious beliefs. (The first ten amendments to the Constitution are called the Bill of Rights. Freedom of religion is guaranteed by the First Amendment, an indication of how important the Founders considered it. You can read the Bill of Rights in Appendix F.)

2-103. Army leaders also recognize the role beliefs play in preparing soldiers for battle. Soldiers often fight and win over tremendous odds when they are convinced of the ideals (beliefs) for which they are fighting. Commitment to such beliefs as justice, liberty, freedom, and not letting down your fellow soldier can be essential ingredients in creating and sustaining the will to fight and prevail. A common theme expressed by American PWs during the Vietnam Conflict was the importance of values instilled by a common American culture. Those values helped them to withstand torture and the hardships of captivity.

SECTION II

COMPETENCE: WHAT A LEADER MUST KNOW

The American soldier…demands professional competence in his leaders. In battle, he wants to know that the job is going to be done right, with no unnecessary casualties. The noncommissioned officer wearing the chevron is supposed to be the best soldier in the platoon and he is supposed to know how to perform all the duties expected of him. The American soldier expects his sergeant to be able to teach him how to do his job. And he expects even more from his officers.

General of the Army Omar N. Bradley

2-104. Army values and leader attributes form the foundation of the character of soldiers and DA civilians. Character, in turn, serves as the basis of knowing (competence) and doing

(leadership). The self-discipline that leads to teamwork is rooted in character. In the Army, teamwork depends on the actions of competent leaders of proven character who know their profession and act to improve their organizations. The best Army leaders constantly strive to improve, to get better at what they do. Their self-discipline focuses on learning more about their profession and continually getting the team to perform better. They build competence in themselves and their subordinates. Leader skills increase in scope and complexity as one moves from direct leader positions to organizational and strategic leader positions. Chapters 4, 6, and 7 discuss in detail the different skills direct, organizational, and strategic leaders require.

2-105. Competence results from hard, realistic training. That's why Basic Training starts with simple skills, such as drill and marksmanship. Soldiers who master these skills have a couple of victories under their belts. The message from the drill sergeants—explicit or not—is, "You've learned how to do those things; now you're ready to take on something tougher." When you lead people through progressively more complex tasks this way, they develop the confidence and will—the inner drive—to take on the next, more difficult challenge.

Figure 2-3. Leader Skills

2-106. For you as an Army leader, competence means much more than being well-trained. Competence links character (knowing the right thing to do) and leadership (doing or influencing your people to do the right thing). Leaders are responsible for being personally competent, but even that isn't enough: as a leader, you're responsible for your subordinates' competence as well.

2-107. Figure 2-3 highlights the four categories containing skills an Army leader must KNOW:

- **Interpersonal skills** affect how you deal with people. They include coaching, teaching, counseling, motivating, and empowering.
- **Conceptual skills** enable you to handle ideas. They require sound judgment as well as the ability to think creatively and reason analytically, critically, and ethically.
- **Technical skills** are job-related abilities. They include basic soldier skills. As an Army leader, you must possess the expertise necessary to accomplish all tasks and functions you're assigned.
- **Tactical skills** apply to solving tactical problems, that is, problems concerning employment of units in combat. You enhance tactical skills when you combine them with interpersonal, conceptual, and technical skills to accomplish a mission.

2-108. Leaders in combat combine interpersonal, conceptual, technical, and tactical skills to accomplish the mission. They use their interpersonal skills to communicate their intent effectively and motivate their soldiers. They apply their conceptual skills to determine viable concepts of operations, make the right decisions, and execute the tactics the operational environment requires. They capitalize on their technical skills to properly employ the techniques, procedures, fieldcraft, and equipment that fit the situation. Finally, combat leaders employ tactical skill, combining skills from the other skill categories with knowledge of the art of tactics appropriate to their level of responsibility and unit type to accomplish the mission. When plans go wrong and leadership must turn the tide, it is tactical skill, combined with

character, that enables an Army leader to seize control of the situation and lead the unit to mission accomplishment.

2-109. The Army leadership framework draws a distinction between developing skills and performing actions. Army leaders who take their units to a combat training center (CTC) improve their skills by performing actions—by doing their jobs on the ground in the midst of intense simulated combat. But they don't wait until they arrive at the CTC to develop their skills; they practice ahead of time in command post exercises, in combat drills, on firing ranges, and even on the physical training (PT) field.

2-110. Your leader skills will improve as your experience broadens. A platoon sergeant gains valuable experience on the job that will help him be a better first sergeant. Army leaders take advantage of every chance to improve: they look for new learning opportunities, ask questions, seek training opportunities, and request performance critiques.

SECTION III

LEADERSHIP: WHAT A LEADER MUST DO

He gets his men to go along with him because they want to do it for him and they believe in him.

General of the Army Dwight D. Eisenhower

Figure 2-4. Leader Actions

2-111. Leaders act. They bring together everything they are, everything they believe, and everything they know how to do to provide purpose, direction, and motivation. Army leaders work to influence people, operate to accomplish the mission, and act to improve their organization. This section introduces leader actions. Chapters 5, 6, and 7 discuss them more fully. As with leader skills, leader actions increase in scope and complexity as you move from direct leader positions to organizational and strategic leader positions.

2-112. Developing the right values, attributes, and skills is only preparation to lead. Leadership doesn't begin until you act. Leaders who live up to Army values, who display leader attributes, who are competent, who act at all times as they would have their people act, will succeed. Leaders who talk a good game but can't back their words with actions will fail in the long run.

INFLUENCING

2-113. Army leaders use interpersonal skills to guide others toward a goal. Direct leaders most often influence subordinates face to face—such as when a team leader gives instructions, recognizes achievement, and encourages hard work. Organizational and strategic leaders also influence their immediate subordinates and staff face to face; however, they guide their organizations primarily by indirect influence. Squad leaders, for example, know what their division commander wants, not because the general has briefed each one personally, but because his intent is passed through the chain of command. Influencing actions fall into these categories:

- **Communicating** involves displaying good oral, written, and listening skills for individuals and groups.
- **Decision making** involves selecting the line of action intended to be followed as the one most favorable to the successful accomplishment of the mission. This involves using sound judgment, reasoning logically, and managing resources wisely.
- **Motivating** involves inspiring and guiding others toward mission accomplishment.

OPERATING

2-114. Operating is what you do to accomplish the immediate mission, to get the job done on time and to standard. Operating actions fall into these categories:

- **Planning and preparing** involve developing detailed, executable plans that are feasible, acceptable, and suitable; arranging unit support for the exercise or operation; and conducting rehearsals. During tactical operations, decision making and planning are enhanced by two methodologies: the military decision making process (MDMP) and the troop leading procedures (TLP). Battalion and higher echelons follow the MDMP. Company and lower echelons follow the TLP. (FM 101-5 discusses the MDMP.)
- **Executing** involves meeting mission standards, taking care of people, and efficiently managing resources.
- **Assessing** involves evaluating the efficiency and effectiveness of any system or plan in terms of its purpose and mission.

2-115. Leaders assess, or judge, performance so they can determine what needs to be done to sustain the strong areas and improve weak ones. This kind of forward thinking is linked to the last leader action, improving.

IMPROVING

2-116. Good leaders strive to leave an organization better than they found it. A child struggling to understand why it is better to put money in a piggy bank is learning what leaders know: plan and sacrifice now for the sake of the future. All leaders are tempted to focus on the short-term gain that makes them and their organizations look good today: "Why bother to fix it now? By the time next year rolls around, it will be someone else's problem." But that attitude doesn't serve either your subordinates or the Army well. When an organization sacrifices important training with long-term effects—say, training that leads to true marksmanship skill—and focuses exclusively on short-term appearances—such as qualification scores—the organization's capabilities suffers.

2-117. The results of shortsighted priorities may not appear immediately, but they will appear. Loyalty to your people as well as the Army as an institution demands you consider the long-term effects of your actions. Some of your people will remain in the organization after you've moved on. Some will still be in the Army after you're long gone. Soldiers and DA civilians tomorrow must live with problems leaders don't fix today.

2-118. Army leaders set priorities and balance competing demands. They focus their organizations' efforts on short- and long-term goals while continuing to meet requirements that may or may not contribute directly to achieving those goals. In the case of weapons proficiency, qualification is a requirement but true marksmanship skill is the goal. For battlefield success, soldiers need training that leads to understanding and mastery of technical and tactical skills that hold up under the stress of combat. Throw in all the other things vying for an organization's time and resources and your job becomes even more difficult. Guidance from higher headquarters may help, but you must make the tough calls. Improving actions fall into these categories:

- **Developing** involves investing adequate time and effort to develop individual subordinates as leaders. It includes mentoring.
- **Building** involves spending time and resources to improve teams, groups, and units and to foster an ethical climate.
- **Learning** involves seeking self-improvement and organizational growth. It includes envisioning, adapting, and leading change.

SUMMARY

2-119. As an Army leader, leadership in combat is your primary and most important challenge. It requires you to accept a set of values that contributes to a core of motivation and will. If you fail to accept and live these Army values, your soldiers may die unnecessarily and you may fail to accomplish your mission.

2-120. What must you, as an Army leader, BE, KNOW, and DO? You must have character, that combination of values and attributes that underlie your ability to see what needs to be done, decide to do it, and influence others to follow you. You must be competent, that is, possess the knowledge and skills required to do your job right. And you must lead, take the proper actions to accomplish the mission based on what your character tells you is ethically right and appropriate for the situation.

2-121. Leadership in combat, the greatest challenge, requires a basis for your motivation and will. That foundation is Army values. In them are rooted the basis for the character and self-discipline that generate the will to succeed and the motivation to persevere. From this motivation derives the lifelong work of self-development in the skills that make a successful Army leader, one who walks the talk of BE, KNOW, DO. Chapter 3 examines the environment that surrounds your people and how what you do as a leader affects it. Understanding the human dimension is essential to mastering leader skills and performing leader actions.

Appendix B

Performance Indicators

B-1. Appendix B is organized around the leadership dimensions that Chapters 1 through 7 discuss and that Figure B-1 shows. This appendix lists indicators for you to use to assess the leadership of yourself and others based on these leadership dimensions. Use it as an assessment and counseling tool, not as a source of phrases for evaluation reports. When you prepare an evaluation, make comments that apply specifically to the individual you are evaluating. Do not limit yourself to the general indicators listed here. Be specific; be precise; be objective; be fair.

Leaders of character and competence . .			*act to achieve excellence by providing purpose, direction and motivation.*		
Values *"Be"*	**Attributes** *"Be"*	**Skills**[4] *"Know"*	**Actions**[5] *"Do"*		
			Influencing	**Operating**	**Improving**
Loyalty	Mental[1]	Interpersonal			
Duty			Communicating	Planning/ Preparing	Developing
Respect	Physical[2]	Conceptual			
Selfless Service			Decision Making	Executing	Building
Honor		Technical			
Integrity	Emotional[3]		Motivating	Assessing	Learning
Personal Courage		Tactical			

[1] The mental attributes of an Army leader are will, self-discipline, initiative, judgment, self-confidence, intelligence, and cultural awareness.

[2] The physical attributes of an Army leader are health fitness, physical fitness, and military and professional bearing.

[3] The emotional attributes of an Army leader are self-control, balance, and stability.

[4]The interpersonal, conceptual, technical, and tactical skills are different for direct, organizational, and strategic leaders.

[5]The influencing, operating, and improving actions are different for direct, organizational, and strategic leaders.

Figure B-1. Leadership Dimensions

VALUES

LOYALTY

B-2. Leaders who demonstrate loyalty—

- Bear true faith and allegiance in the correct order to the Constitution, the Army, and the organization.
- Observe higher headquarters' priorities.
- Work within the system without manipulating it for personal gain.

DUTY

B-3. Leaders who demonstrate devotion to duty—

- Fulfill obligations—professional, legal, and moral.
- Carry out mission requirements.
- Meet professional standards.
- Set the example.
- Comply with policies and directives.
- Continually pursue excellence.

RESPECT

B-4. Leaders who demonstrate respect—

- Treat people as they should be treated.
- Create a climate of fairness and equal opportunity.
- Are discreet and tactful when correcting or questioning others.
- Show concern for and make an effort to check on the safety and well-being of others.
- Are courteous.
- Don't take advantage of positions of authority.

SELFLESS SERVICE

B-5. Leaders who demonstrate selfless service—

- Put the welfare of the nation, the Army, and subordinates before their own.
- Sustain team morale.
- Share subordinates' hardships.
- Give credit for success to others and accept responsibility for failure themselves.

HONOR

B-6. Leaders who demonstrate honor—

- Live up to Army values.
- Don't lie, cheat, steal, or tolerate those actions by others.

INTEGRITY

B-7. Leaders who demonstrate integrity—

- Do what is right legally and morally.
- Possess high personal moral standards.
- Are honest in word and deed.
- Show consistently good moral judgment and behavior.
- Put being right ahead of being popular.

PERSONAL COURAGE

B-8. Leaders who demonstrate personal courage—

- Show physical and moral bravery.
- Take responsibility for decisions and actions.
- Accept responsibility for mistakes and shortcomings.

ATTRIBUTES

MENTAL ATTRIBUTES

B-9. Leaders who demonstrate desirable mental attributes—

- Possess and display will, self-discipline, initiative, judgment, self-confidence, intelligence, common sense, and cultural awareness.
- Think and act quickly and logically, even when there are no clear instructions or the plan falls apart.
- Analyze situations.
- Combine complex ideas to generate feasible courses of action.
- Balance resolve and flexibility.
- Show a desire to succeed; do not quit in the face of adversity.
- Do their fair share.
- Balance competing demands.
- Embrace and use the talents of all members to build team cohesion.

PHYSICAL ATTRIBUTES

B-10. Leaders who demonstrate desirable physical attributes—

- Maintain an appropriate level of physical fitness and military bearing.
- Present a neat and professional appearance.
- Meet established norms of personal hygiene, grooming, and cleanliness.
- Maintain Army height and weight standards (not applicable to DA civilians).
- Render appropriate military and civilian courtesies.
- Demonstrate nonverbal expressions and gestures appropriate to the situation.
- Are personally energetic.
- Cope with hardship.
- Complete physically demanding endeavors.
- Continue to function under adverse conditions.
- Lead by example in performance, fitness, and appearance.

EMOTIONAL ATTRIBUTES

B-11. Leaders who demonstrate appropriate emotional attributes—

- Show self-confidence.
- Remain calm during conditions of stress, chaos, and rapid change.
- Exercise self-control, balance, and stability.
- Maintain a positive attitude.
- Demonstrate mature, responsible behavior that inspires trust and earns respect.

SKILLS

INTERPERSONAL SKILLS

B-12. Leaders who demonstrate interpersonal skills—

- Coach, teach, counsel, motivate, and empower subordinates.
- Readily interact with others.
- Earn trust and respect.
- Actively contribute to problem solving and decision making.
- Are sought out by peers for expertise and counsel

CONCEPTUAL SKILLS

B-13. Leaders who demonstrate conceptual skills—

- Reason critically and ethically.
- Think creatively.
- Anticipate requirements and contingencies.
- Improvise within the commander's intent.
- Use appropriate reference materials.
- Pay attention to details.

TECHNICAL SKILLS

B-14. Leaders who demonstrate technical skills—

- Possess or develop the expertise necessary to accomplish all assigned tasks and functions.
- Know standards for task accomplishment.
- Know the small unit tactics, techniques, and procedures that support the organization's mission.
- Know the drills that support the organization's mission.
- Prepare clear, concise operation orders.
- Understand how to apply the factors of mission, enemy, terrain and weather, troops, time available, and civil considerations (METT-TC) to mission analysis.
- Master basic soldier skills.
- Know how to use and maintain equipment.
- Know how and what to inspect or check.
- Use technology, especially information technology, to enhance communication.

TACTICAL SKILLS

B-15. Leaders who demonstrate tactical skills—

- Know how to apply warfighting doctrine within the commander's intent.
- Apply their professional knowledge, judgment, and warfighting skill at the appropriate leadership level.
- Combine and apply skill with people, ideas, and things to accomplish short-term missions.
- Apply skill with people, ideas, and things to train for, plan, prepare, execute and assess offensive, defensive, stability, and support actions.

ACTIONS

INFLUENCING

B-16. Leaders who influence—

- Use appropriate methods to reach goals while operating and improving.
- Motivate subordinates to accomplish assigned tasks and missions.
- Set the example by demonstrating enthusiasm for—and, if necessary, methods of—accomplishing assigned tasks.
- Make themselves available to assist peers and subordinates.
- Share information with subordinates.
- Encourage subordinates and peers to express candid opinions.
- Actively listen to feedback and act appropriately based on it.
- Mediate peer conflicts and disagreements.
- Tactfully confront and correct others when necessary.
- Earn respect and obtain willing cooperation of peers, subordinates, and superiors.
- Challenge others to match their example.
- Take care of subordinates and their families, providing for their health, welfare, morale, and training.
- Are persuasive in peer discussions and prudently rally peer pressure against peers when required.
- Provide a team vision for the future.
- Shape the organizational climate by setting, sustaining, and ensuring a values-based environment.

Communicating

B-17. Leaders who communicate effectively—

- Display good oral, written, and listening skills.
- Persuade others.
- Express thoughts and ideas clearly to individuals and groups.

B-18. **Oral Communication**. Leaders who effectively communicate orally—

- Speak clearly and concisely.
- Speak enthusiastically and maintain listeners' interest and involvement.

- Make appropriate eye contact when speaking.
- Use gestures that are appropriate but not distracting.
- Convey ideas, feelings, sincerity, and conviction.
- Express well-thought-out and well-organized ideas.
- Use grammatically and doctrinally correct terms and phrases.
- Use appropriate visual aids.
- Act to determine, recognize and resolve misunderstandings.
- Listen and watch attentively; make appropriate notes; convey the essence of what was said or done to others.
- React appropriately to verbal and nonverbal feedback.
- Keep conversations on track.

B-19. **Written Communication.** Leaders who effectively communicate in writing—

- Are understood in a single rapid reading by the intended audience.
- Use correct grammar, spelling, and punctuation.
- Have legible handwriting.
- Put the "bottom line up front."
- Use the active voice.
- Use an appropriate format, a clear organization, and a reasonably simple style.
- Use only essential acronyms and spell out those used.
- Stay on topic.
- Correctly use facts and data.

(DA Pam 600-67 discusses techniques for writing effectively.)

Decision Making

B-20. Leaders who make effective, timely decisions—

- Employ sound judgment and logical reasoning.
- Gather and analyze relevant information about changing situations to recognize and define emerging problems.
- Make logical assumptions in the absence of facts.
- Uncover critical issues to use as a guide in both making decisions and taking advantage of opportunities.
- Keep informed about developments and policy changes inside and outside the organization.
- Recognize and generate innovative solutions.
- Develop alternative courses of action and choose the best course of action based on analysis of their relative costs and benefits.
- Anticipate needs for action.
- Relate and compare information from different sources to identify possible cause-and-effect relationships.
- Consider the impact and implications of decisions on others and on situations.
- Involve others in decisions and keep them informed of consequences that affect them.
- Take charge when in charge.
- Define intent.
- Consider contingencies and their consequences.
- Remain decisive after discovering a mistake.
- Act in the absence of guidance.
- Improvise within commander's intent; handle a fluid environment.

Motivating

B-21. Leaders who effectively motivate—

- Inspire, encourage, and guide others toward mission accomplishment.
- Don't show discouragement when facing setbacks.
- Attempt to satisfy subordinates' needs.
- Give subordinates the reason for tasks.
- Provide accurate, timely, and (where appropriate) positive feedback.
- Actively listen for feedback from subordinates.
- Use feedback to modify duties, tasks, requirements, and goals when appropriate.

- Recognize individual and team accomplishments and reward them appropriately.
- Recognize poor performance and address it appropriately.
- Justly apply disciplinary measures.
- Keep subordinates informed.
- Clearly articulate expectations.
- Consider duty positions, capabilities, and developmental needs when assigning tasks.
- Provide early warning to subordinate leaders of tasks they will be responsible for.
- Define requirements by issuing clear and concise orders or guidance.
- Allocate as much time as possible for task completion.
- Accept responsibility for organizational performance. Credit subordinates for good performance. Take responsibility for and correct poor performance.

OPERATING

B-22. Leaders who effectively operate—

- Accomplish short-term missions.
- Demonstrate tactical and technical competency appropriate to their rank and position.
- Complete individual and unit tasks to standard, on time, and within the commander's intent.

Planning and Preparing

B-23. Leaders who effectively plan—

- Develop feasible and acceptable plans for themselves and others that accomplish the mission while expending minimum resources and posturing the organization for future missions.
- Use forward planning to ensure each course of action achieves the desired outcome.
- Use reverse planning to ensure that all tasks can be executed in the time available and that tasks depending on other tasks are executed in the correct sequence.
- Determine specified and implied tasks and restate the higher headquarters' mission in terms appropriate to the organization.
- Incorporate adequate controls such as time phasing; ensure others understand when actions should begin or end.
- Adhere to the "1/3–2/3 Rule"; give subordinates time to plan.
- Allocate time to prepare and conduct rehearsals.
- Ensure all courses of action accomplish the mission within the commander's intent.
- Allocate available resources to competing demands by setting task priorities based on the relative importance of each task.
- Address likely contingencies.
- Remain flexible.
- Consider SOPs, the factors of METT-TC, and the military aspects of terrain (OCOKA).
- Coordinate plans with higher, lower, adjacent, and affected organizations.
- Personally arrive on time and meet deadlines; require subordinates and their organizations to accomplish tasks on time.
- Delegate all tasks except those they are required to do personally.
- Schedule activities so the organization meets all commitments in critical performance areas.
- Recognize and resolve scheduling conflicts.
- Notify peers and subordinates as far in advance as possible when their support is required.
- Use some form of a personal planning calendar to organize requirements.

Executing

B-24. Leaders who effectively execute—

- Use technical and tactical skills to meet mission standards, take care of people, and accomplish the mission with available resources.
- Perform individual and collective tasks to standard.
- Execute plans, adjusting when necessary, to accomplish the mission.
- Encourage initiative.
- Keep higher and lower headquarters, superiors, and subordinates informed.

- Keep track of people and equipment.
- Make necessary on-the-spot corrections.
- Adapt to and handle fluid environments.
- Fight through obstacles, difficulties, and hardships to accomplish the mission.
- Keep track of task assignments and suspenses; adjust assignments, if necessary; follow up.

Assessing

B-25. Leaders who effectively assess—

- Use assessment techniques and evaluation tools (especially AARs) to identify lessons learned and facilitate consistent improvement.
- Establish and employ procedures for monitoring, coordinating, and regulating subordinates' actions and activities.
- Conduct initial assessments when beginning a new task or assuming a new position.
- Conduct IPRs.
- Analyze activities to determine how desired end states are achieved or affected.
- Seek sustainment in areas when the organization meets the standard.
- Observe and assess actions in progress without oversupervising.
- Judge results based on standards.
- Sort out important actual and potential problems.
- Conduct and facilitate AARs; identify lessons.
- Determine causes, effects, and contributing factors for problems.
- Analyze activities to determine how desired end states can be achieved ethically.

IMPROVING

B-26. Leaders who effectively improve the organization—

- Sustain skills and actions that benefit themselves and each of their people for the future.
- Sustain and renew the organization for the future by managing change and exploiting individual and institutional learning capabilities.
- Create and sustain an environment where all leaders, subordinates, and organizations can reach their full potential.

Developing

B-27. Leaders who effectively develop—

- Strive to improve themselves, subordinates, and the organization.
- Mentor by investing adequate time and effort in counseling, coaching, and teaching their individual subordinates and subordinate leaders.
- Set the example by displaying high standards of duty performance, personal appearance, military and professional bearing, and ethics.
- Create a climate that expects good performance, recognizes superior performance, and doesn't accept poor performance.
- Design tasks to provide practice in areas of subordinate leaders' weaknesses.
- Clearly articulate tasks and expectations and set realistic standards.
- Guide subordinate leaders in thinking through problems for themselves.
- Anticipate mistakes and freely offer assistance without being overbearing.
- Observe, assess, counsel, coach, and evaluate subordinate leaders.
- Motivate subordinates to develop themselves.
- Arrange training opportunities that help subordinates achieve insight, self-awareness, self-esteem, and effectiveness.
- Balance the organization's tasks, goals, and objectives with subordinates' personal and professional needs.
- Develop subordinate leaders who demonstrate respect for natural resources and the environment.
- Act to expand and enhance subordinates' competence and self-confidence.
- Encourage initiative.
- Create and contribute to a positive organizational climate.
- Build on successes.
- Improve weaknesses.

Building

B-28. Leaders who effectively build—

- Spend time and resources improving the organization.
- Foster a healthy ethical climate.
- Act to improve the organization's collective performance.
- Comply with and support organizational goals.
- Encourage people to work effectively with each other.
- Promote teamwork and team achievement.
- Are examples of team players.
- Offer suggestions, but properly execute decisions of the chain of command and NCO support channel—even unpopular ones—as if they were their own.
- Accept and act on assigned tasks.
- Volunteer in useful ways.
- Remain positive when the situation becomes confused or changes.
- Use the chain of command and NCO support channel to solve problems.
- Support equal opportunity.
- Prevent sexual harassment.
- Participate in organizational activities and functions.
- Participate in team tasks and missions without being requested to do so.
- Establish an organizational climate that demonstrates respect for the environment and stewards natural resources.

Learning

B-29. Leaders who effectively learn—

- Seek self-improvement in weak areas.
- Encourage organizational growth.
- Envision, adapt, and lead change.
- Act to expand and enhance personal and organizational knowledge and capabilities.
- Apply lessons learned.
- Ask incisive questions.
- Envision ways to improve.
- Design ways to practice.
- Endeavor to broaden their understanding.
- Transform experience into knowledge and use it to improve future performance.
- Make knowledge accessible to the entire organization.
- Exhibit reasonable self-awareness.
- Take time off to grow and recreate.
- Embrace and manage change; adopt a future orientation.
- Use experience to improve themselves and the organization.

Appendix C

Developmental Counseling

C-1. Subordinate leadership development is one of the most important responsibilities of every Army leader. Developing the leaders who will come after you should be one of your highest priorities. Your legacy and the Army's future rests on the shoulders of those you prepare for greater responsibility.

C-2. Leadership development reviews are a means to focus the growing of tomorrow's leaders. Think of them as AARs with a focus of making leaders more effective every day. These important reviews are not necessarily limited to internal counseling sessions; leadership feedback mechanisms also apply in operational settings such as the CTCs.

C-3. Just as training includes AARs and training strategies to fix shortcomings, leadership development includes performance reviews. These reviews result in agreements between leader and subordinate on a development strategy or plan of action that builds on the subordinate's strengths and establishes goals to improve on weaknesses. Leaders conduct performance reviews and create plans of action during developmental counseling.

C-4. Leadership development reviews are a component of the broader concept of developmental counseling. Developmental counseling is subordinate-centered communication that produces a plan outlining actions that subordinates must take to achieve individual and organizational goals. During developmental counseling, subordinates are not merely passive listeners; they're actively involved in the process. The Developmental Counseling Form (DA Form 4856-E, which is discussed at the end of this appendix) provides a useful framework to prepare for almost any type of counseling. Use it to help you mentally organize issues and isolate important, relevant items to cover during counseling sessions.

C-5. Developmental counseling is a shared effort. As a leader, you assist your subordinates in identifying strengths and weaknesses and creating plans of action. Then you support them throughout the plan implementation and assessment. However, to achieve success, your subordinates must be forthright in their commitment to improve and candid in their own assessment and goal setting.

THE LEADER'S RESPONSIBILITIES

C-6. Organizational readiness and mission accomplishment depend on every member's ability to perform to established standards. Supervisors must mentor their subordinates through teaching, coaching, and counseling. Leaders coach subordinates the same way sports coaches improve their teams: by identifying weaknesses, setting goals, developing and implementing plans of action, and providing oversight and motivation throughout the process. To be effective coaches, leaders must thoroughly understand the strengths, weaknesses, and professional goals of their subordinates. (Chapter 5 discusses coaching.)

C-7. Army leaders evaluate DA civilians using procedures prescribed under the Total Army Performance Evaluation System (TAPES). Although TAPES doesn't address developmental counseling, you can use DA Form 4856-E to counsel DA civilians concerning professional growth and career goals. DA Form 4856-E is not appropriate for documenting counseling concerning DA civilian misconduct or poor performance. The servicing civilian personnel office can provide guidance for such situations.

C-8. Soldiers and DA civilians often perceive counseling as an adverse action. Effective leaders

who counsel properly can change that perception. Army leaders conduct counseling to help subordinates become better members of the team, maintain or improve performance, and prepare for the future. Just as no easy answers exist for exactly what to do in all leadership situations, no easy answers exist for exactly what to do in all counseling situations. However, to conduct effective counseling, you should develop a counseling style with the characteristics listed in Figure C-1.

- **Purpose**: Clearly define the purpose of the counseling.
- **Flexibility**: Fit the counseling style to the character of each subordinate and to the relationship desired.
- **Respect**: View subordinates as unique, complex individuals, each with a distinct set of values, beliefs, and attitudes.
- **Communication**: Establish open, two-way communication with subordinates using spoken language, nonverbal actions, gestures, and body language. Effective counselors listen more than they speak.
- **Support**: Encourage subordinates through actions while guiding them through their problems.

Figure C-1. Characteristics of Effective Counseling

THE LEADER AS A COUNSELOR

C-9. Army leaders must demonstrate certain qualities to be effective counselors. These qualities include respect for subordinates, self-awareness and cultural awareness, empathy, and credibility.

RESPECT FOR SUBORDINATES

C-10. As an Army leader, you show respect for subordinates when you allow them to take responsibility for their own ideas and actions. Respecting subordinates helps create mutual respect in the leader-subordinate relationship. Mutual respect improves the chances of changing (or maintaining) behavior and achieving goals.

SELF AWARENESS AND CULTURAL AWARENESS

C-11. As an Army leader, you must be fully aware of your own values, needs, and biases prior to counseling subordinates. Self-aware leaders are less likely to project their biases onto subordinates. Also, aware leaders are more likely to act consistently with their own values and actions.

C-12. Cultural awareness, as discussed in Chapter 2, is a mental attribute. As an Army leader, you need to be aware of the similarities and differences between individuals of different cultural backgrounds and how these factors may influence values, perspectives, and actions. Don't let unfamiliarity with cultural backgrounds hinder you in addressing cultural issues, especially if they generate concerns within the organization or hinder team-building. Cultural awareness enhances your ability to display empathy.

EMPATHY

C-13. Empathy is the action of being understanding of and sensitive to the feelings, thoughts, and experiences of another person to the point that you can almost feel or experience them yourself. Leaders with empathy can put themselves in their subordinate's shoes; they can see a situation from the other person's perspective. By understanding the subordinate's position, you can help a subordinate develop a plan of action that fits the subordinate's personality and needs, one that works for the subordinate. If you don't fully comprehend a situation from your subordinate's point of view, you have less credibility and influence and your subordinate is less likely to commit to the agreed upon plan of action.

CREDIBILITY

C-14. Leaders achieve credibility by being honest and consistent in their statements and actions. To be credible, use a straightforward style with your subordinates. Behave in a manner that your subordinates respect and trust. You can earn credibility by repeatedly demonstrating your willingness to assist a subordinate and being consistent in what you say and do. If you lack credibility with your subordinates you'll find it difficult to influence them.

LEADER COUNSELING SKILLS

C-15. One challenging aspect of counseling is selecting the proper approach to a specific situation. To counsel effectively, the technique you use must fit the situation, your capabilities, and your subordinate's expectations. In some cases, you may only need to give information or listen. A subordinate's improvement may call for just a brief word of praise. Other situations may require structured counseling followed by definite actions.

C-16. All leaders should seek to develop and improve their own counseling abilities. You can improve your counseling techniques by studying human behavior, learning the kinds of problems that affect your subordinates, and developing your interpersonal skills. The techniques needed to provide effective counseling will vary from person to person and session to session. However, general skills that you'll need in almost every situation include active listening, responding, and questioning.

ACTIVE LISTENING

C-17. During counseling, you must actively listen to your subordinate. When you're actively listening, you communicate verbally and nonverbally that you've received the subordinate's message. To fully understand a subordinate's message, you must listen to the words and observe the subordinate's manners. Elements of active listening you should consider include—

- **Eye contact**. Maintaining eye contact without staring helps show sincere interest. Occasional breaks of contact are normal and acceptable. Subordinates may perceive excessive breaks of eye contact, paper shuffling, and clock-watching as a lack of interest or concern. These are guidelines only. Based on cultural background, participants in a particular counseling session may have different ideas about what proper eye contact is.
- **Body posture**. Being relaxed and comfortable will help put the subordinate at ease. However, a too-relaxed position or slouching may be interpreted as a lack of interest.
- **Head nods**. Occasionally nodding your head shows you're paying attention and encourages the subordinate to continue.
- **Facial expressions**. Keep your facial expressions natural and relaxed. A blank look or fixed expression may disturb the subordinate. Smiling too much or frowning may discourage the subordinate from continuing.
- **Verbal expressions**. Refrain from talking too much and avoid interrupting. Let the subordinate do the talking while keeping the discussion on the counseling subject. Speaking only when necessary reinforces the importance of what the subordinate is saying and encourages the subordinate to

continue. Silence can also do this, but be careful. Occasional silence may indicate to the subordinate that it's okay to continue talking, but a long silence can sometimes be distracting and make the subordinate feel uncomfortable.

C-18. Active listening also means listening thoughtfully and deliberately to the way a subordinate says things. Stay alert for common themes. A subordinate's opening and closing statements as well as recurring references may indicate the subordinate's priorities. Inconsistencies and gaps may indicate a subordinate's avoidance of the real issue. This confusion and uncertainty may suggest additional questions.

C-19. While listening, pay attention to the subordinate's gestures. These actions complete the total message. By watching the subordinate's actions, you can "see" the feelings behind the words. Not all actions are proof of a subordinate's feelings, but they should be taken into consideration. Note differences between what the subordinate says and does. Nonverbal indicators of a subordinate's attitude include—

- **Boredom.** Drumming on the table, doodling, clicking a ball-point pen, or resting the head in the palm of the hand.
- **Self-confidence.** Standing tall, leaning back with hands behind the head, and maintaining steady eye contact.
- **Defensiveness.** Pushing deeply into a chair, glaring at the leader, and making sarcastic comments as well as crossing or folding arms in front of the chest.
- **Frustration.** Rubbing eyes, pulling on an ear, taking short breaths, wringing the hands, or frequently changing total body position.
- **Interest, friendliness, and openness.** Moving toward the leader while sitting.
- **Openness or anxiety.** Sitting on the edge of the chair with arms uncrossed and hands open.

C-20. Consider these indicators carefully. Although each indicator may show something about the subordinate, don't assume a particular behavior absolutely means something. Ask the subordinate about the indicator so you can better understand the behavior and allow the subordinate to take responsibility for it.

RESPONDING

C-21. Responding skills follow-up on active listening skills. A leader responds to communicate that the leader understands the subordinate. From time to time, check your understanding: clarify and confirm what has been said. Respond to subordinates both verbally and nonverbally. Verbal responses consist of summarizing, interpreting, and clarifying the subordinate's message. Nonverbal responses include eye contact and occasional gestures such as a head nod.

QUESTIONING

C-22. Although questioning is a necessary skill, you must use it with caution. Too many questions can aggravate the power differential between a leader and a subordinate and place the subordinate in a passive mode. The subordinate may also react to excessive questioning as an intrusion of privacy and become defensive. During a leadership development review, ask questions to obtain information or to get the subordinate to think about a particular situation. Generally, the questions should be open-ended so as to evoke more than a yes or no answer. Well-posed questions may help to verify understanding, encourage further explanation, or help the subordinate move through the stages of the counseling session.

COUNSELING ERRORS

C-23. Effective leaders avoid common counseling mistakes. Dominating the counseling by talking too much, giving unnecessary or inappropriate "advice," not truly listening, and projecting personal likes, dislikes, biases, and prejudices all interfere with effective counseling. You should also avoid other common mistakes such as rash judgments, stereotypes, loss of emotional control, inflexible methods of counseling and improper follow-up. To improve your counseling skills, follow the guidelines in Figure C-2.

- Determine the subordinate's role in the situation and what the subordinate has done to resolve the problem or improve performance.
- Draw conclusions based on more than the subordinate's statement.
- Try to understand what the subordinate says and feels; listen to what the subordinate says and how the subordinate says it.
- Show empathy when discussing the problem.
- When asking questions, be sure that you need the information.
- Keep the conversation open-ended; avoid interrupting.
- Give the subordinate your full attention.
- Be receptive to the subordinate's feelings without feeling responsible to save the subordinate from hurting.
- Encourage the subordinate to take the initiative and to say what the subordinate wants to say.
- Avoid interrogating.
- Keep your personal experiences out of the counseling session unless you believe your experiences will really help.
- Listen more; talk less.
- Remain objective.
- Avoid confirming a subordinate's prejudices.
- Help the subordinate help himself.
- Know what information to keep confidential and what to present to the chain of command.

Figure C-2. Guidelines to Improve Counseling

THE LEADER'S LIMITATIONS

C-24. Army leaders can't help everyone in every situation. Even professional counselors can't provide all the help that a person might need. You must recognize your limitations and, when the situation calls for it, refer a subordinate to a person or agency more qualified to help.

C-25. These agencies Figure C-3 lists can help you and your people resolve problems. Although it's generally in an individual's best interest to seek help first from their first-line leaders, leaders must always respect an individual's right to contact most of these agencies on their own.

Activity	Description
Adjutant General	Provides personnel and administrative services support such as orders, ID cards, retirement assistance, deferments, and in- and out-processing.
American Red Cross	Provides communications support between soldiers and families and assistance during or after emergency or compassionate situations.
Army Community Service	Assists military families through their information and referral services, budget and indebtedness counseling, household item loan closet, information on other military posts, and welcome packets for new arrivals.
Army Substance Abuse Program	Provides alcohol and drug abuse prevention and control programs for DA civilians.
Better Opportunities for Single Soldiers (BOSS)	Serves as a liaison between upper levels of command on the installation and single soldiers.
Army Education Center	Provides services for continuing education and individual learning services support.
Army Emergency Relief	Provides financial assistance and personal budget counseling; coordinates student loans through Army Emergency Relief education loan programs.
Career Counselor	Explains reenlistment options and provides current information on prerequisites for reenlistment and selective reenlistment bonuses.
Chaplain	Provides spiritual and humanitarian counseling to soldiers and DA civilians.
Claims Section, SJA	Handles claims for and against the government, most often those for the loss and damage of household goods.
Legal Assistance Office	Provides legal information or assistance on matters of contracts, citizenship, adoption, marital problems, taxes, wills, and powers of attorney.
Community Counseling Center	Provides alcohol and drug abuse prevention and control programs for soldiers.
Community Health Nurse	Provides preventive health care services.
Community Mental Health Service	Provides assistance and counseling for mental health problems.
Employee Assistance Program	Provides health nurse, mental health service, and social work services for DA civilians.
Equal Opportunity Staff Office and Equal Employment Opportunity Office	Provides assistance for matters involving discrimination in race, color, national origin, gender, and religion. Provides, information on procedures for initiating complaints and resolving complaints informally.
Family Advocacy Officer	Coordinates programs supporting children and families including abuse and neglect investigation, counseling, and educational programs.
Finance and Accounting Office	Handles inquiries for pay, allowances, and allotments.
Housing Referral Office	Provides assistance with housing on and off post.
Inspector General	Renders assistance to soldiers and DA civilians. Corrects injustices affecting individuals and eliminates conditions determined to be detrimental to the efficiency, economy, morale, and reputation of the Army. Investigates matters involving fraud, waste, and abuse.
Social Work Office	Provides services dealing with social problems to include crisis intervention, family therapy, marital counseling, and parent or child management assistance.
Transition Office	Provides assistance and information on separation from the Army.

Figure C-3. Support Activities

TYPES OF DEVELOPMENTAL COUNSELING

C-26. You can often categorize developmental counseling based on the topic of the session. The two major categories of counseling are event-oriented and performance/professional growth.

EVENT-ORIENTED COUNSELING

C-27. Event-oriented counseling involves a specific event or situation. It may precede events, such as going to a promotion board or attending a school; or it may follow events, such as a noteworthy duty performance, a problem with performance or mission accomplishment, or a personal problem. Examples of event-oriented counseling include, but are not limited to—

- Specific instances of superior or substandard performance.
- Reception and integration counseling.
- Crisis counseling.
- Referral counseling.
- Promotion counseling.
- Separation counseling.

Counseling for Specific Instances

C-28. Sometimes counseling is tied to specific instances of superior or substandard duty performance. You tell your subordinate whether or not the performance met the standard and what the subordinate did right or wrong. The key to successful counseling for specific performance is to conduct it as close to the event as possible.

C-29. Many leaders focus counseling for specific instances on poor performance and miss, or at least fail to acknowledge, excellent performance. You should counsel subordinates for specific examples of superior as well as substandard duty performance. To measure your own performance and counseling emphasis, you can note how often you document counseling for superior versus substandard performance.

C-30. You should counsel subordinates who don't meet the standard. If the subordinate's performance is unsatisfactory because of a lack of knowledge or ability, you and the subordinate should develop a plan to improve the subordinate's skills. Corrective training may be required at times to ensure the subordinate knows and achieves the standard. Once the subordinate can achieve the standard, you should end the corrective training.

C-31. When counseling a subordinate for a specific performance, take the following actions:

- Tell the subordinate the purpose of the counseling, what was expected, and how the subordinate failed to meet the standard.
- Address the specific unacceptable behavior or action, not the person's character.
- Tell the subordinate the effect of the behavior, action, or performance on the rest of the organization.
- Actively listen to the subordinate's response.
- Remain unemotional.
- Teach the subordinate how to meet the standard.
- Be prepared to do some personal counseling, since a failure to meet the standard may be related to or the result of an unresolved personal problem.
- Explain to the subordinate what will be done to improve performance (plan of action). Identify your responsibilities in implementing the plan of action; continue to assess and follow up on the subordinate's progress. Adjust plan of action as necessary.

Reception and Integration Counseling

C-32. As the leader, you must counsel new team members when they arrive at your organization. This reception and integration counseling serves two purposes. First, it identifies and helps fix any problems or concerns that new members may have, especially any issues resulting from the new duty assignment. Second, it lets them know the organizational standards and how they fit into the team. It clarifies job titles and sends the message that the chain of command cares. Reception and integration counseling should begin immediately upon arrival so new team members can quickly become integrated into the organization. (Figure C-4 gives some possible discussion points.)

- Organizational standards.
- Chain of command.
- NCO support channel (who and how used).
- On-and-off duty conduct.
- Personnel/personal affairs/initial clothing issue.
- Organizational history, organization, and mission.
- Soldier programs within the organization, such as soldier of the month/quarter/year and Audie Murphy.
- Off limits and danger areas.
- Functions and locations of support activities (see Figure C-3).
- On- and off-post recreational, educational, cultural, and historical opportunities.
- Foreign nation or host nation orientation.
- Other areas the individual should be aware of, as determined by the leader.

Figure C-4. Reception and Integration Counseling Points

Crisis Counseling

C-33. You may conduct crisis counseling to get a subordinate through the initial shock after receiving negative news, such as notification of the death of a loved one. You may assist the subordinate by listening and, as appropriate, providing assistance. Assistance may include referring the subordinate to a support activity or coordinating external agency support. Crisis counseling focuses on the subordinate's immediate, short-term needs.

Referral Counseling

C-34. Referral counseling helps subordinates work through a personal situation and may or may not follow crisis counseling. Referral counseling may also act as preventative counseling before the situation becomes a problem. Usually, the leader assists the subordinate in identifying the problem and refers the subordinate to the appropriate resource, such as Army Community Services, a chaplain, or an alcohol and drug counselor. (Figure C-3 lists support activities.)

Promotion Counseling

C-35. Leaders must conduct promotion counseling for all specialists and sergeants who are eligible for advancement without waivers but not recommended for promotion to the next higher grade. Army regulations require that soldiers within this category receive initial (event-oriented) counseling when they attain full eligibility and then periodic (performance/personal growth) counseling thereafter.

Adverse Separation Counseling

C-36. Adverse separation counseling may involve informing the soldier of the administrative actions available to the commander in the event substandard performance continues and of the consequences associated with those administrative actions (see AR 635-200).

C-37. Developmental counseling may not apply when an individual has engaged in more serious acts of misconduct. In those situations, you should refer the matter to the commander and the servicing staff judge advocate. When the leader's rehabilitative efforts fail, counseling with a view towards separation fills an administrative prerequisite to many administrative discharges and serves as a final warning to the soldier to improve performance or face discharge. In many situations, it may be beneficial to involve the chain of command as soon as you determine that adverse separation counseling might be required. A unit first sergeant or commander should be the person who informs the soldier of the notification requirements outlined in AR 635-200.

PERFORMANCE AND PROFESSIONAL GROWTH COUNSELING

Performance Counseling

C-38. During performance counseling, you conduct a review of a subordinate's duty performance during a certain period. You and the subordinate jointly establish performance objectives and standards for the next period. Rather than dwelling on the past, you should focus the session on the subordinate's strengths, areas needing improvement, and potential.

C-39. Performance counseling is required under the officer, NCO, and DA civilian evaluation reporting systems. The OER process requires periodic performance counseling as part of the OER Support Form requirements. Mandatory, face-to-face performance counseling between the rater and the rated NCO is required under the NCOERS. TAPES includes a combination of both of these requirements.

C-40. Counseling at the beginning of and during the evaluation period facilitates a subordinate's involvement in the evaluation process. Performance counseling communicates standards and is an opportunity for leaders to establish and clarify the expected values, attributes, skills, and actions. Part IVb (Leader Attributes/Skills/Actions) of the OER Support Form (DA Form 67-9-1) serves as an excellent tool for leaders doing performance counseling. For lieutenants and warrant officers one, the major performance objectives on the OER Support Form are used as the basis for determining the developmental tasks on the Junior Officer Developmental Support Form (DA Form 67-9-1a). Quarterly face-to-face performance and developmental counseling is required for these junior officers as outlined in AR 623-105.

C-41. As an Army leader, you must ensure you've tied your expectations to performance objectives and appropriate standards. You must establish standards that your subordinates can work towards and must teach them how to achieve the standards if they are to develop.

Professional Growth Counseling

C-42. Professional growth counseling includes planning for the accomplishment of individual and professional goals. You conduct this counseling to assist subordinates in achieving organizational and individual goals. During the counseling, you and your subordinate conduct a review to identify and discuss the subordinate's strengths and weaknesses and create a plan of action to build upon strengths and overcome weaknesses. This counseling isn't normally event-driven.

C-43. As part of professional growth counseling, you may choose to discuss and develop a "pathway to success" with the subordinate. This future-oriented counseling establishes short- and long-term goals and objectives. The discussion may include opportunities for civilian or military schooling, future duty assignments, special programs, and reenlistment options. Every person's needs are different, and leaders must apply specific courses of action tailored to each individual.

C-44. Career field counseling is required for lieutenants and captains before they're considered for promotion to major. Raters and senior raters, in conjunction with the rated officer, need to determine where the officer's skills best fit the needs of the Army. During career field counseling, consideration must be given to the rated officer's preference and his abilities (both performance and academic). The rater and senior rater should discuss career field designation with the officer prior to making a recommendation on the rated officer's OER.

C-45. While these categories can help you organize and focus counseling sessions, they should not be viewed as separate, distinct, or exhaustive. For example, a counseling session that focuses on resolving a problem may also address improving duty performance. A session focused on performance may also include a discussion on opportunities for professional growth. Regardless of the topic of the counseling session, leaders should follow the same basic format to prepare for and conduct it.

APPROACHES TO COUNSELING

C-46. An effective leader approaches each subordinate as an individual. Different people and different situations require different counseling approaches. Three approaches to counseling include nondirective, directive, and combined. These approaches differ in the techniques used, but they all fit the definition of counseling and contribute to its overall purpose. The major difference between the approaches is the degree to which the subordinate participates and interacts during a counseling session. Figure C-5 summarizes the advantages and disadvantages of each approach.

NONDIRECTIVE

C-47. The nondirective approach is preferred for most counseling sessions. Leaders use their experienced insight and judgment to assist subordinates in developing solutions. You should partially structure this type of counseling by telling the subordinate about the counseling process and explaining what you expect.

C-48. During the counseling session, listen rather than make decisions or give advice. Clarify what's said. Cause the subordinate to bring out important points, so as to better understand the situation. When appropriate, summarize the discussion. Avoid providing solutions or rendering opinions; instead, maintain a focus on individual and organizational goals and objectives. Ensure the subordinate's plan of action supports those goals and objectives.

DIRECTIVE

C-49. The directive approach works best to correct simple problems, make on-the-spot corrections, and correct aspects of duty performance. The leader using the directive style does most of the talking and tells the subordinate what to do and when to do it. In contrast to the nondirective approach, the leader directs a course of action for the subordinate.

C-50. Choose this approach when time is short, when you alone know what to do, or if a subordinate has limited problem-solving skills. It's also appropriate when a subordinate needs guidance, is immature, or is insecure.

COMBINED

C-51. In the combined approach, the leader uses techniques from both the directive and nondirective approaches, adjusting them to articulate what's best for the subordinate. The combined approach emphasizes the subordinate's planning and decision-making responsibilities.

C-52. With your assistance, the subordinate develops the subordinate's own plan of action. You should listen, suggest possible courses, and help analyze each possible solution to determine its good and bad points. You should then help the subordinate fully understand all aspects of the situation and encourage the subordinate to decide which solution is best.

	Advantages	Disadvantages
Nondirective	• Encourages maturity. • Encourages open communication. • Develops personal responsibility.	• More time-consuming. • Requires greatest counselor skill.
Directive	• Quickest method. • Good for people who need clear, concise direction. • Allows counselors to actively use their experience.	• Doesn't encourage subordinates to be part of the solution. • Tends to treat symptoms, not problems. • Tends to discourage subordinates from talking freely. • Solution is the counselor's, not the subordinate's.
Combined	• Moderately quick. • Encourages maturity. • Encourages open communication. • Allows counselors to actively use their experience.	• May take too much time for some situations.

Figure C-5. Counseling Approach Summary Chart

COUNSELING TECHNIQUES

C-53. As an Army leader, you may select from a variety of techniques when counseling subordinates. These counseling techniques, when appropriately used, cause subordinates to do things or improve upon their performance. You can use these methods during scheduled counseling sessions or while simply coaching a subordinate. Counseling techniques you can use during the nondirective or combined approaches include—

- **Suggesting alternatives**. Discuss alternative actions that the subordinate may take, but both you and the subordinate decide which course of action is most appropriate.
- **Recommending**. Recommend one course of action, but leave the decision to accept the recommended action to the subordinate.
- **Persuading**. Persuade the subordinate that a given course of action is best, but leave the decision to the subordinate. Successful persuasion depends on the leader's credibility, the subordinate's willingness to listen, and their mutual trust.
- **Advising**. Advise the subordinate that a given course of action is best. This is the strongest form of influence not involving a command.

C-54. Some techniques you can use during the directive approach to counseling include—

- **Corrective training**. Teach and assist the subordinate in attaining and maintaining the standards. The subordinate completes corrective training when the subordinate attains the standard.
- **Commanding**. Order the subordinate to take a given course of action in clear, exact words. The subordinate understands that he has been given a command and will face the consequences for failing to carry it out.

THE COUNSELING PROCESS

C-55. Effective leaders use the counseling process. It consists of four stages:

- Identify the need for counseling.
- Prepare for counseling.
- Conduct counseling.
- Follow up.

IDENTIFY THE NEED FOR COUNSELING

C-56. Quite often organizational policies, such as counseling associated with an evaluation or counseling required by the command, focus a counseling session. However, you may conduct developmental counseling whenever the need arises for focused, two-way communication aimed at subordinate development. Developing subordinates consists of observing the subordinate's performance, comparing it to the standard, and then providing feedback to the subordinate in the form of counseling.

PREPARE FOR COUNSELING

C-57. Successful counseling requires preparation. To prepare for counseling, do the following:

- Select a suitable place.
- Schedule the time.
- Notify the subordinate well in advance.
- Organize information.
- Outline the counseling session components.
- Plan your counseling strategy.
- Establish the right atmosphere.

Select a Suitable Place

C-58. Schedule counseling in an environment that minimizes interruptions and is free from distracting sights and sounds.

Schedule the Time

C-59. When possible, counsel a subordinate during the duty day. Counseling after duty hours may be rushed or perceived as unfavorable. The length of time required for counseling depends on the complexity of the issue. Generally a counseling session should last less than an hour. If you need more time, schedule a second session. Additionally, select a time free from competition with other activities and consider what has been planned after the counseling session. Important events can distract a subordinate from concentrating on the counseling.

Notify the Subordinate Well in Advance

C-60. For a counseling session to be a subordinate-centered, two-person effort, the subordinate must have time to prepare for it. The subordinate should know why, where, and when the counseling will take place. Counseling following a specific event should happen as close to the event as possible. However, for performance or professional development counseling, subordinates may need a week or more to prepare or review specific products, such as support forms or counseling records.

Organize Information

C-61. Solid preparation is essential to effective counseling. Review all pertinent information. This includes the purpose of the counseling, facts and observations about the subordinate, identification of possible problems, main points of discussion, and the development of a plan of action. Focus on specific and objective behaviors that the subordinate must maintain or improve as well as a plan of action with clear, obtainable goals.

Outline the Components of the Counseling Session

C-62. Using the information obtained, determine what to discuss during the counseling session. Note what prompted the counseling, what you aim to achieve, and what your role as a counselor is. Identify possible comments or questions to help you keep the counseling session subordinate-centered and help the subordinate progress through its stages. Although you never know what a subordinate will say or do during counseling, a written outline helps organize the session and enhances the chance of positive results. (Figure C-6 is one example of a counseling outline prepared by a platoon leader about to conduct an initial NCOER counseling session with a platoon sergeant.)

Type of counseling: Initial NCOER counseling for SFC Taylor, a recently promoted new arrival to the unit.
Place and time: The platoon office, 1500 hours, 9 October.
Time to notify the subordinate: Notify SFC Taylor one week in advance of the scheduled counseling session.
Subordinate preparation: Have SFC Taylor put together a list of goals and objectives he would like to complete over the next 90 to 180 days. Review the values, attributes, skills, and actions from FM 22-100.
Counselor preparation:

- Review the NCO Counseling Checklist/Record (DA Form 2166-8-1).
- Update or review SFC Taylor's duty description and fill out the rating chain and duty description on the working copy of the NCOER (DA Form 2166-8, Parts II and III).
- Review each of the values and responsibilities in Part IV of the NCOER and the values, attributes, skills and actions in FM 22-100. Think of how each applies to SFC Taylor and the platoon sergeant position.
- Review the actions you consider necessary for a success or excellence in each value and responsibility.
- Make notes in blank spaces in Part IV of the NCOER to assist when counseling.

Role as counselor: Help SFC Taylor to understand the expectations and standards associated with the platoon sergeant position. Assist SFC Taylor in developing the values, attributes, skills, and actions that will enable him to achieve his performance objectives, consistent with those of the platoon and company. Resolve any aspects of the job that aren't clearly understood.
Session outline: Complete an outline following the counseling session components in Figure C-7 and based on the draft duty description on the NCOER, ideally at least two to three days prior to the actual counseling session.

Figure C-6. Example of a Counseling Outline

Plan Counseling Strategy

C-63. As many approaches to counseling exist as there are leaders. The directive, nondirective, and combined approaches to counseling were addressed earlier. Use a strategy that suits your subordinates and the situation.

Establish the Right Atmosphere

C-64. The right atmosphere promotes two-way communication between a leader and subordinate. To establish a relaxed atmosphere, you may offer the subordinate a seat or a cup of coffee. You may want to sit in a chair facing the subordinate since a desk can act as a barrier.

C-65. Some situations make an informal atmosphere inappropriate. For example, during counseling to correct substandard performance, you may direct the subordinate to remain standing while you remain seated behind a desk. This formal atmosphere, normally used to give specific guidance, reinforces the leader's rank, position in the chain of command, and authority.

CONDUCT THE COUNSELING SESSION

C-66. Be flexible when conducting a counseling session. Often counseling for a specific incident occurs spontaneously as leaders encounter subordinates in their daily activities. Such counseling can occur in the field, motor pool, barracks—wherever subordinates perform their duties. Good leaders take advantage of naturally occurring events to provide subordinates with feedback.

C-67. Even when you haven't prepared for formal counseling, you should address the four basic components of a counseling session. Their purpose is to guide effective counseling rather

than mandate a series of rigid steps. Counseling sessions consist of—

- Opening the session.
- Discussing the issues.
- Developing the plan of action.
- Recording and closing the session.

Ideally, a counseling session results in a subordinate's commitment to a plan of action. Assessment of the plan of action (discussed below) becomes the starting point for follow-up counseling. (Figure C-7 is an example of a counseling session.)

Open the Session

C-68. In the session opening, state the purpose of the session and establish a subordinate-centered setting. Establish the preferred setting early in the session by inviting the subordinate to speak. The best way to open a counseling session is to clearly state its purpose. For example, an appropriate purpose statement might be: "The purpose of this counseling is to discuss your duty performance over the past month and to create a plan to enhance performance and attain performance goals." If applicable, start the counseling session by reviewing the status of the previous plan of action.

C-69. You and the subordinate should attempt to develop a mutual understanding of the issues. You can best develop this by letting the subordinate do most of the talking. Use active listening; respond, and question without dominating the conversation. Aim to help the subordinate better understand the subject of the counseling, for example, duty performance, a problem situation and its impact, or potential areas for growth.

C-70. Both you and the subordinate should provide examples or cite specific observations to reduce the perception that either is unnecessarily biased or judgmental. However, when the issue is substandard performance, you should make clear how the performance didn't meet the standard. The conversation, which should be two-way, then addresses what the subordinate needs to do to meet the standard. It's important that you define the issue as substandard performance and don't allow the subordinate to define the issue as an unreasonable standard—unless you consider the standard negotiable or are willing to alter the conditions under which the subordinate must meet the standard.

Develop a Plan of Action

C-71. A plan of action identifies a method for achieving a desired result. It specifies what the subordinate must do to reach the goals set during the counseling session. The plan of action must be specific: it should show the subordinate how to modify or maintain his behavior. It should avoid vague intentions such as "Next month I want you to improve your land navigation skills." The plan must use concrete and direct terms. For example, you might say: "Next week you'll attend the map reading class with 1st Platoon. After the class, SGT Dixon will coach you through the land navigation course. He will help you develop your skill with the compass. I will observe you going through the course with SGT Dixon, and then I will talk to you again and determine where and if you still need additional training." A specific and achievable plan of action sets the stage for successful development.

Record and Close the Session

C-72. Although requirements to record counseling sessions vary, a leader always benefits by documenting the main points of a counseling session. Documentation serves as a reference to the agreed upon plan of action and the subordinate's accomplishments, improvements, personal preferences, or problems. A complete record of counseling aids in making recommendations for professional development, schools, promotions, and evaluation reports.

C-73. Additionally, Army regulations require written records of counseling for certain personnel actions, such as a barring a soldier from reenlisting, processing a soldier for administrative separation, or placing a soldier in the overweight program. When a soldier faces involuntary separation, the leader must take special care to maintain accurate counseling records. Documentation of substandard actions conveys a strong corrective message to subordinates.

C-74. To close the session, summarize its key points and ask if the subordinate understands the plan of action. Invite the subordinate to review the plan of action and what's expected of you, the leader. With the subordinate, establish any follow-up measures necessary to support the successful implementation of the plan of action. These may include providing the subordinate with resources and time, periodically assessing the plan, and following through on referrals. Schedule any future meetings, at least tentatively, before dismissing the subordinate.

FOLLOW UP

Leader's Responsibilities

C-75. The counseling process doesn't end with the counseling session. It continues through implementation of the plan of action and evaluation of results. After counseling, you must support subordinates as they implement their plans of action. Support may include teaching, coaching, or providing time and resources. You must observe and assess this process and possibly modify the plan to meet its goals. Appropriate measures after counseling include follow-up counseling, making referrals, informing the chain of command, and taking corrective measures.

Assess the Plan of Action

C-76. The purpose of counseling is to develop subordinates who are better able to achieve personal, professional, and organizational goals. During the assessment, review the plan of action with the subordinate to determine if the desired results were achieved. You and the subordinate should determine the date for this assessment during the initial counseling session. The assessment of the plan of action provides useful information for future follow-up counseling sessions.

Open the Session

- Establish a relaxed environment. Explain to SFC Taylor that the more one discusses and understands Army values and leader attributes, skills, and actions, the easier it is to develop and incorporate them into an individual leadership style.
- State the purpose of the counseling session. Explain that the initial counseling is based on leader actions (what SFC Taylor needs to do to be a successful platoon sergeant) and not on professional developmental needs (what SFC Taylor needs to do to develop further as an NCO).
- Come to an agreement on the duty description, the meaning of each value and responsibility, and the standards for success and excellence for each value and responsibility. Explain that subsequent counseling will focus on SFC Taylor's developmental needs as well as how well SFC Taylor is meeting the jointly agreed upon performance objectives. Instruct SFC Taylor to perform a self-assessment during the next quarter to identify his developmental needs.
- Ensure SFC Taylor knows the rating chain. Resolve any questions that SFC Taylor has about the job. Discuss the team relationship that exists between a platoon leader and a platoon sergeant and the importance of two-way communication between them.

Discuss the Issue

- Jointly review the duty description on the NCOER, including the maintenance, training, and taking care of soldiers responsibilities. Mention that the duty description can be revised as necessary. Highlight areas of special emphasis and appointed duties.
- Discuss the meaning of each value and responsibility on the NCOER. Discuss the values, attributes, skills, and actions outlined in FM 22-100. Ask open-ended questions to see if SFC Taylor can relate these items to his role as a platoon sergeant.

Figure C-7. Example of a Counseling Session

- Explain that even though the developmental tasks focus on developing leader actions, character development forms the basis for leadership development. Character and actions can't be viewed as separate; they're closely linked. In formulating the plan of action to accomplish major performance objectives, the proper values, attributes, and skills form the basis for the plan. As such, character development must be incorporated into the plan of action.

Assist in Developing a Plan of Action (During the Counseling Session)

- Ask SFC Taylor to identify actions that will facilitate the accomplishment of the major performance objectives. Categorize each action into one of the values or responsibilities listed on the NCOER.
- Discuss how each value and responsibility applies to the platoon sergeant position. Discuss specific examples of success and excellence in each value and responsibility block. Ask SFC Taylor for suggestions to make the goals more objective, specific, and measurable.
- Ensure that SFC Taylor has at least one example of a success or excellence bullet listed under each value and responsibility.
- Discuss SFC Taylor's promotion goals and ask him what he considers to be his strengths and weakness. Obtain copies of the last two master sergeant selection board results and match his goals and objectives to these.

Close the Session

- Check SFC Taylor's understanding of the duty description and performance objectives.
- Stress the importance of teamwork and two-way communication.
- Ensure SFC Taylor understands that you expect him to assist in your development as a platoon leader. This means that both of you have the role of teacher and coach.
- Remind SFC Taylor to perform a self-assessment during the next quarter.
- Set a tentative date during the next quarter for the routinely scheduled follow-up counseling.

Notes on Strategy

- Facilitate answering any questions SFC Taylor may have.
- Expect SFC Taylor to be uncomfortable with the terms and the developmental process; respond in a way that encourages participation throughout the session.

Figure C-7. Example of a Counseling Session (continued)

SUMMARY

C-77. This appendix has discussed developmental counseling. Developmental counseling is subordinate-centered communication that outlines actions necessary for subordinates to achieve individual and organizational goals and objectives. It can be either event-oriented or focused on personal and professional development. Figure C-8 summarizes the major aspects of developmental counseling and the counseling process.

Leaders must demonstrate these qualities to counsel effectively:

- Respect for subordinates.
- Self and cultural awareness.
- Credibility.
- Empathy.

Leaders must possess these counseling skills:

- Active listening.
- Responding.
- Questioning.

Effective leaders avoid common counseling mistakes. Leaders should avoid the influence of—

- Personal bias.
- Rash judgments.
- Stereotyping.
- Losing emotional control.
- Inflexible counseling methods.
- Improper follow up.

The Counseling Process

1. **Identify the need for counseling.**
2. **Prepare for counseling.**
   - Select a suitable place.
   - Schedule the time.
   - Notify the subordinate well in advance.
   - Organize information.
   - Outline the components of the counseling session.
   - Plan counseling strategy.
   - Establish the right atmosphere.
3. **Conduct the counseling session.**
   - Open the session.
   - Discuss the issue.
   - Develop a plan of action (to include the leader's responsibilities).
   - Record and close the session.
4. **Follow up.**
   - Support plan of action implementation
   - Assess the plan of action.

Figure C-8. A Summary of Developmental Counseling

THE DEVELOPMENTAL COUNSELING FORM

C-78. The Developmental Counseling Form (DA Form 4856-E) is designed to help Army leaders conduct and record counseling sessions. Figure C-9 shows a completed DA Form 4856-E documenting the counseling of a young soldier with financial problems. While this is an example of a derogatory counseling , you can see that it is still developmental. Leaders must decide when counseling, additional training, rehabilitation, reassignment, or other developmental options have been exhausted. If the purpose of a counseling session is not developmental, refer to paragraphs C-36 and C-37. Figure C-10 shows a routine performance/professional growth counseling for a unit first sergeant. Figure C-11 shows a blank form with instructions on how to complete each block.

DEVELOPMENTAL COUNSELING FORM
For use of this form see FM 22-100

DATA REQUIRED BY THE PRIVACY ACT OF 1974

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

PART I - ADMINISTRATIVE DATA

Name (Last, First, MI)	Rank / Grade	Social Security No.	Date of Counseling
Lloyd, Andrew	*PFC*	*123-45-6789*	*28 March 1997*

Organization	Name and Title of Counselor
2nd Platoon, B Battery, 1 - 1 ADA Bn	*SGT Mark Levy, Squad Leader*

PART II - BACKGROUND INFORMATION

Purpose of Counseling: (Leader states the reason for the counseling, e.g. performance/professional or event-oriented counseling and includes the leader's facts and observations prior to the counseling):

The purpose of this counseling is to inform PFC Lloyd of his responsibility to manage his financial affairs and the potential consequences of poorly managing finances and to help PFC Lloyd develop a plan of action to resolve his financial problems.

Facts: The battery commander received notice of delinquent payment on PFC Lloyd's Deferred Payment Plan (DPP).

A payment of $86.00 is 45 days delinquent

PART III - SUMMARY OF COUNSELING
Complete this section during or immediately subsequent to counseling.

Key Points of Discussion:

PFC Lloyd, late payments on a DPP account reflect a lack of responsibility and poor managing of finances. You should know that the letter of lateness has been brought to the attention of the battery commander, the first sergeant, and the platoon sergeant. They're all questioning your ability to manage your personal affairs. I also remind you that promotions and awards are based more than on just performing MOS-related duties; soldiers must act professionally and responsibly in all areas. Per conversation with PFC Lloyd, the following information was obtained:

He didn't make the DPP payment due to a lack of funds in his checking account. His most recent long distance phone bill was over $220 due to calling his house concerning his grandmother's failing health. PFC Lloyd stated that he wanted to pay for the phone calls himself in order not to burden his parents with the expense of collect calls. He also stated that his calling had tapered down considerably and he expects this month's phone bill to be approximately $50. We made an appointment at ACS and ACS came up with the following information:

PFC Lloyd's monthly obligations: Car payment: $330
Car insurance: $138
Rent including utilities: $400
Other credit cards: $0
Total monthly obligations: $868.00
Monthly take-home pay: $1232.63

We discussed that with approximately $364 available for monthly living expenses, a phone bill in excess of $200 will severely affect PFC Lloyd's financial stability and can't continue. We discussed the need for PFC Lloyd to establish a savings account to help cover emergency expenses. PFC Lloyd agreed that his expensive phone bill and his inability to make the DPP payment is not responsible behavior. He confirmed that he wants to get his finances back on track and begin building a savings account.

OTHER INSTRUCTIONS
This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or retirement. For separation requirements and notification of loss of benefits/consequences, see local directives and AR 635-200.

DA FORM 4856-E, JUN 99 EDITION OF JUN 85 IS OBSOLETE

Figure C-9. Example of a Developmental Counseling Form—Event Counseling

Plan of Action: (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goals(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below)).

Based on our discussion, PFC Lloyd will be able to resume normal payment on his DPP account next month (assuming that his phone bill is approximately $50). PFC Lloyd agreed to contact the DPP office and provide a partial payment of $20 immediately. He agreed to exercise self-restraint and not make long distance calls as frequently. He decided that his goal is to make one ten-minute phone call every two weeks. He will write letters to express concern over his grandmother's condition and ask his parents to do the same to keep him informed. His long-term goal is to establish a savings account with a goal of contributing $50 a month.

PFC Lloyd also agreed to attend the check cashing class at ACS on 2, 9, and 16 April.

Assessment date: 27 June

Session Closing: (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate).

Individual counseled: I agree/ ~~disagree~~ with the information above

Individual counseled remarks:

Signature of Individual Counseled: *Andrew Lloyd* Date: *28 March 1997*

Leader Responsibilities: (Leader's responsibilities in implementing the plan of action).

PFC Lloyd will visit the DPP office to make an immediate partial payment of $20 and will give me a copy of the receipt as soon as the payment is made. PFC Lloyd will also provide me with a copy of the next month's phone bill and DPP payment receipt.
PFC Lloyd's finances will be a key topic of discussion at his next monthly counseling session.

Signature of Counselor: *Mark Levy* Date: *28 March 1997*

PART IV - ASSESSMENT OF THE PLAN OF ACTION

Assessment (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

Counselor: _____ Individual Counseled: _____ Date of Assessment: _____

Note: Both the counselor and the individual counseled should retain a record of the counseling.

DA FORM 4856-E (Reverse)

Figure C-9 (continued). Example of a Developmental Counseling Form—Event Counseling

DEVELOPMENTAL COUNSELING FORM
For use of this form see FM 22-100

DATA REQUIRED BY THE PRIVACY ACT OF 1974

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

PART I - ADMINISTRATIVE DATA

Name (Last, First, MI)	Rank / Grade	Social Security No.	Date of Counseling
McDonald, Stephen	*1SG*	*333-33-3333*	*13 March 1998*

Organization	Name and Title of Counselor
D Company, 3–95th IN	*CPT Peterson, Company Commander*

PART II - BACKGROUND INFORMATION

Purpose of Counseling: (Leader states the reason for the counseling, e.g. performance/professional or event-oriented counseling and includes the leader's facts and observations prior to the counseling):

- *To discuss duty performance for the period 19 Dec 97 to 11 March 1998.*
- *To discuss short-range professional growth goals/plan for next year.*
- *Talk about long-range professional growth (2-5 years) goals.*

PART III - SUMMARY OF COUNSELING
Complete this section during or immediately subsequent to counseling.

Key Points of Discussion:

- *Performance (sustain):*
- *Emphasized safety and knowledge of demolition, tactical proficiency on the Platoon Live Fire Exercises.*
- *Took charge of company defense during the last major field training exercise; outstanding integration and use of engineer, heavy weapons, and air defense artillery assets. Superb execution of defense preparations and execution.*
- *No dropped white cycle taskings.*
- *Good job coordinating with battalion adjutant on legal and personnel issues.*
- *Continue to take care of soldiers, keep the commander abreast of problems.*
- *Focused on subordinate NCO development; right man for the right job.*

Improve:

- *Get NCODPs on the calendar.*
- *Hold NCOs to standard on sergeants time training.*

OTHER INSTRUCTIONS
This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856-E, JUN 99 EDITION OF JUN 85 IS OBSOLETE

Figure C-10. Example of a Developmental Counseling Form—Performance/Professional Growth Counseling

Plan of Action: (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goals(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below)).

- *Developmental Plan (next year):*
- *Develop a yearlong plan for NCODPs; coordinate to place on the calendar and training schedules.*
- *Resume civilian education; correspondence courses.*
- *Develop a company soldier of the month competition.*
- *Assist the company XO in modularizing the supply room for quick, efficient load-outs.*
- *Put in place a program to develop Ranger School candidates.*

Long-range goals (2 to 5 years):

- *Earn bachelor's degree.*
- *Attend and graduate the Sergeant Majors Academy.*

Session Closing: (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate).

Individual counseled: I agree/ ~~disagree~~ with the information above

Individual counseled remarks:

Signature of Individual Counseled: 1SG McDonald Date: *13 March 1998*

Leader Responsibilities: (Leader's responsibilities in implementing the plan of action).

- *Coordinate with the 1SG on scheduling of NCODPs and soldier of the month boards.*
- *Have the XO meet with the 1SG on developing a plan for modularizing and improving the supply room.*
- *Provide time for Ranger candidate program.*

Signature of Counselor: *Mark Levy* Date: *28 March 1997*

PART IV - ASSESSMENT OF THE PLAN OF ACTION

Assessment (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

1SG McDonald has enrolled in an associates degree program at the University of Kentucky. The supply room received all green evaluations during the last command inspection. Five of seven Ranger applicants successfully completed Ranger School, exceeding the overall course completion rate of 39%. Monthly soldier of the month boards proved to be impractical because of the OPTEMPO; however, the company does now hold quarterly boards during the white cycle. Brigade command sergeant major commented favorably on the last company NCODP he attended and gave the instructor a brigade coin.

Counselor: *CPT Peterson* Individual Counseled: *1SG McDonald* Date of Assessment: *1 Aug 98*

Note: Both the counselor and the individual counseled should retain a record of the counseling.

DA FORM 4856-E (Reverse)

Figure C-10 (continued). Example of a Developmental Counseling Form—Performance/Professional Growth Counseling

DEVELOPMENTAL COUNSELING FORM
For use of this form see FM 22-100

DATA REQUIRED BY THE PRIVACY ACT OF 1974

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

PART I - ADMINISTRATIVE DATA

Name (Last, First, MI)	Rank / Grade	Social Security No.	Date of Counseling
Organization		Name and Title of Counselor	

PART II - BACKGROUND INFORMATION

Purpose of Counseling: (Leader states the reason for the counseling, e.g. performance/professional or event-oriented counseling and includes the leader's facts and observations prior to the counseling):

See paragraph C-68, Open the Session

The leader should annotate pertinent, specific, and objective facts and observations made. If applicable, the leader and subordinate start the counseling session by reviewing the status of the previous plan of action.

PART III - SUMMARY OF COUNSELING
Complete this section during or immediately subsequent to counseling.

Key Points of Discussion:

See paragraphs C-69 and C-70, Discuss the Issues.

The leader and subordinate should attempt to develop a mutual understanding of the issues. Both the leader and the subordinate should provide examples or cite specific observations to reduce the perception that either is unnecessarily biased or judgmental.

OTHER INSTRUCTIONS
This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856-E, JUN 99 EDITION OF JUN 85 IS OBSOLETE

Figure C-11. Guidelines on Completing a Developmental Counseling Form

Plan of Action: (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goals(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below)).

See paragraph C-71, Develop a Plan of Action

The plan of action specifies what the subordinate must do to reach the goals set during the counseling session. The plan of action must be specific and should contain the outline, guideline(s), and time line that the subordinate follows. A specific and achievable plan of action sets the stage for successful subordinate development.

Remember, event-oriented counseling with corrective training as part of the plan of action can't be tied to a specified time frame. Corrective training is complete once the subordinate attains the standard.

Session Closing: (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate).

Individual counseled: I agree/ disagree with the information above

Individual counseled remarks:

See paragraph C-72 through C-74, Close the Session

Signature of Individual Counseled: _____ Date: _____

Leader Responsibilities: (Leader's responsibilities in implementing the plan of action).

See paragraph C76, Leader's Responsibilities

To accomplish the plan of action, the leader must list the resources necessary and commit to providing them to the soldier.

Signature of Counselor: _____ Date: _____

PART IV - ASSESSMENT OF THE PLAN OF ACTION

Assessment (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

The assessment of the plan of action provides useful information for future follow-up counseling. This block should be completed prior to the start of a follow-up counseling session. During an event-oriented counseling session, the counseling session is not complete until this block is completed.

During performance/professional growth counseling, this block serves as the starting point for future counseling sessions. Leaders must remember to conduct this assessment based on resolution of the situation or the established time line discussed in the plan of action block above.

Counselor: _____ Individual Counseled: _____ Date of Assessment: _____

Note: Both the counselor and the individual counseled should retain a record of the counseling.

DA FORM 4856-E (Reverse)

Figure C-11 (continued). Guidelines on Completing a Developmental Counseling Form

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PRACTICAL EXERCISE 1

Title	LEADERSHIP DOCTRINE
Lesson Number/Title	L335 version 1 / DEVELOP SUBORDINATE LEADERS IN A SQUAD
Introduction	This exercise lists 23 core leadership dimensions. You must select the appropriate definition for each. Once completed each group will present a positive and negative example of each dimension in their set.
Motivator	This practical exercise gives you a tool to use in improving your leadership qualities. The 23 core leadership dimensions provide the foundation for leadership development. These values, attributes, skills, and actions are the characteristics essential to leadership excellence. Improving and defining the characteristics of leadership excellence enables us a clear path to personal and professional development.
Terminal Learning Objective	**NOTE:** The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise. At the completion of this lesson, you [the student] will:

Action:	Employ assessments to develop a subordinate.
Conditions:	As squad leader given instruction about emerging leadership doctrine and Army leadership policy and given FM 22-100.
Standards:	Conducted a formal evaluation of a subordinate for leadership development IAW FM 22-100 within the specified time.

Safety Requirements	None
Risk Assessment Level	Low
Environmental Considerations	None
Evaluation	You will complete and discuss solutions for this practical exercise.

Instructional Lead-In	This PE reflects the necessary skills needed for real life situations, which directly relate to the material covered in this lesson.
Resource Requirements	**Instructor Materials:** None **Student Materials:** Pen or pencil.
Special Instructions	None
Procedures	You will complete and discuss solutions for this PE in class.

LEADERSHIP DOCTRINE (FM 22-100)

Select the appropriate definitions for each of the 23 core leadership dimensions.

VALUES:

___1. Honor
___2. Integrity
___3. Personal Courage
___4. Loyalty
___5. Respect
___6. Selfless Service
___7. Duty

ATTRIBUTES:

___8. Mental
___9. Physical
___10. Emotional

SKILLS:

___11. Conceptual
___12. Interpersonal
___13. Technical
___14. Tactical

ACTIONS:

___15. Communicating
___16. Decision-making
___17. Motivating
___18. Planning
___19. Executing
___20. Assessing
___21. Developing
___22. Building
___23. Learning

a. Evaluating the efficiency and effectiveness of any system or plan in terms of its purpose and mission.
b. Inspiring and guiding others towards mission accomplishment.
c. Lives up to all the Army values.
d. Puts the welfare of the Nation, the Army, and subordinates before your own.
e. Maintains appropriate level of physical fitness and military bearing.
f. Competence with job-related tasks.
g. Competence in handling ideas.
h. Face fear, danger or adversity (physical or moral).
i. Spending time and resources to improve teams, groups, and units; fostering an ethical climate.
j. Possesses will, initiative, self-discipline, judgment, self-confidence, intelligence, and cultural awareness.
k. Competence in dealing with people; involves coaching, teaching, counseling, motivating and empowering.
l. Treats people with respect.
m. Displays self-control; calm under pressure.
n. Bears true faith and allegiance to the U.S. Constitution, the Army, the unit, and other soldiers.
o. Developing detailed, executable plans that are feasible, acceptable, and suitable.
p. Seeking self-improvement and organizational growth; envisioning, adapting, and leading change.
q. Displays good oral, written, and listening skills for individuals/groups.
r. Fulfills your obligations.
s. Using sound judgment, logical reasoning, and using resources wisely.
t. Do what's right legally and morally.
u. Enables a leader to make the correct decisions about employment and maneuver of forces on the battlefield.
v. Investing adequate time and effort to develop individual subordinates as leaders.
w. Meeting mission standards, taking care of people, and efficiently managing resources.

Feedback Requirements	None

PRACTICAL EXERCISE 2

Title

LEADERSHIP ASSESSMENT REPORT

Lesson Number/Title

L335 version 1 / DEVELOP SUBORDINATE LEADERS IN A SQUAD

Introduction

We will use the Leadership Assessment Report throughout this course of instruction to give you practical experience in the assessment process. As a secondary benefit, you may also use it to provide you feedback on your leadership abilities.

Motivator

This practical exercise is going to give you a tool for use in improving your leadership qualities. We will not be using it as a formal evaluation tool. Using it for formal evaluation may create a threatening environment where there is only a single right and wrong answer to every situation. Creating such an environment breeds distrust and creates barriers to open, frank, and objective communication, and developmental counseling.

Terminal Learning Objective

NOTE: The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise.

At the completion of this lesson, you [the student] will:

Action:	Employ assessments to develop a subordinate.
Conditions:	As a squad leader given instruction about emerging leadership doctrine and Army leadership policy and given FM 22-100.
Standards:	Conducted a formal evaluation of a subordinate for leadership development IAW FM 22-100 within the specified time.

Safety Requirements

None

Risk Assessment Level

Low

Environmental Considerations

None

Evaluation	None This is not a graded practical exercise; it is for self evaluation and for group discussion.
Instructional Lead-In	You will complete an honest assessment of yourself as a leader. You will NOT turn in your self assessment, and it will remain completely private; however, we will talk about what you learned from the process of doing a self-assessment, the biases you discovered, and how you plan to compensate for those biases.
Resource Requirements	**Instructor Materials:** None **Student Materials:** None
Special Instructions	None
Procedures	You will complete this PE as a homework assignment and discuss your solution in class.

Leadership Assessment Report (can use it for self-assessment)

Name & Rank: Event:
Date:

Leadership Position: Assessor's Name & Rank :

Rating Scale:
E - EXCELLENT. Exceeds requirements for successful task performance
S - SATISFACTORY. Meets requirements for successful task performance.
NI - NEEDS IMPROVEMENT. Does not meet requirements for successful task performance

Rating Values: **Dimensions COMMENTS:**

_____ **Honor:** Adheres to the Army's publicly declared code of values.
_____ **Integrity:** Possesses high personal moral standards; honest in word and deed.
_____ **Courage:** Manifests physical and moral bravery.
_____ **Loyalty:** Bears true faith and allegiance to the U.S. Constitution, the Army, the unit and the soldier.
_____ **Respect:** Promotes dignity, consideration, fairness and equal opportunity.
_____ **Selfless Service:** Places Army priorities before self.
_____ **Duty:** Fulfills professional, legal and moral obligations.

Attributes:

_____ **Mental:** Possesses desire, will, initiative, and discipline
_____ **Physical:** Maintains appropriate level of physical fitness and military bearing.
_____ **Emotional:** Displays self-control; calm under pressure.

Skills:

_____ **Conceptual:** Demonstrates sound judgment, critical/creative thinking, moral reasoning.
_____ **Interpersonal:** Shows skill with people: coaching, teaching, counseling, motivating and empowering.
_____ **Technical:** Possesses the necessary expertise to accomplish all tasks and functions.
_____ **Tactical:** Demonstrates proficiency in required professional knowledge, judgment, and warfighting.

Actions:

_____ **Communicating:** Displays good oral, written, and listening skills for individuals/groups.
_____ **Decision Making:** Employs sound judgment, logical reasoning, and uses resources wisely.
_____ **Motivation:** Inspires, motivates, and guides others toward mission accomplishment.

_____ **Planning:** Develops detailed, executable plans that are feasible, acceptable, and suitable
_____ **Executing:** Shows tactical proficiency, meets mission standards, and takes care of people/resources.
_____ **Assessing:** Uses after-action and evaluation tools to facilitate consistent improvement.
_____ **Developing:** Invests adequate time and effort to develop individual
_____ **Building:** Spends time and resources improving teams, groups, and units; fosters ethical climate.
_____ **Learning:** Seeks self-improvement and organizational growth; envisioning, adapting, and leading change.

Feedback Requirements

None

PRACTICAL EXERCISE 3

Title

SGT DONALDSON OBSERVING AND ASSESSING - OBSERVATION #1

Lesson Number/Title

L335 version 1 / DEVELOP SUBORDINATE LEADERS IN A SQUAD

Introduction

Observe and assess SGT Donaldson using the scenario provided. Throughout this lesson we have been discussing the development of your subordinate leaders within your squad. This exercise is one of the next steps in this process.

Motivator

To be a successful squad leader you must be able to observe and assess your soldiers to find out what may need improvement. This training will provide you with a base of assessment skills which you will continue to develop as you grow as a leader.

Terminal Learning Objective

NOTE: The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise.

At the completion of this lesson, you [the student] will:

Action:	Employ assessments to develop a subordinate.
Conditions:	As a squad leader given instruction about emerging leadership doctrine and Army leadership policy and given FM 22-100.
Standards:	Conducted a formal evaluation of a subordinate for leadership development IAW FM 22-100 within the specified time.

Safety Requirements

None

Risk Assessment Level

Low

Environmental Considerations

None

Evaluation

This is not a graded PE. At the end of the PE you will receive a solution sheet. As a group, you will discuss the solution and resolve any misunderstandings.

Instructional Lead-In	This PE reflects real life situations which directly relate to the material covered in this lesson.
Resource Requirements	**Instructor Materials:** None **Student Materials:** None
Special Instructions	None
Procedures	You will complete this PE as a homework assignment and discuss your solution in class.

Sergeant Donaldson Observing and Assessing, Observation #1

SCENARIO: It's Friday, 04 SEP, at 0715 hours. During a platoon FTX in Training Area 14, you watched your assistant squad leader, SGT Donaldson, prepare to move the squad out on a patrol. The soldiers were all lined-up, but SGT Donaldson was fumbling with his map and protractor. You noticed that he had forgotten to account for the 13-degree EAST declination, so you had to remind him. Then you noticed that he struggled to set it properly on his compass and then, in a rage, threw it against a tree saying, "Who needs this damn thing anyway."

1. How would you classify SGT Donaldson's technical ability?
2. How would you classify SGT Donaldson's emotional behavior?
3. What technical step did SGT Donaldson omit on his compass?

Feedback Requirements	None

PRACTICAL EXERCISE 4

Title

SGT DONALDSON OBSERVING AND ASSESSING - OBSERVATION #2 AND #3

Lesson Number/Title

L335 version 1 / DEVELOP SUBORDINATE LEADERS IN A SQUAD

Introduction

This PE continues with the observation and assessment of SGT Donaldson using additional information. Throughout this lesson we have been discussing the development of your subordinate leaders within your squad. This exercise is one of the next steps in this process.

Motivator

To be a successful squad leader you must be able to observe and assess your soldiers to find out what may need improvement. This training will provide you with a base of assessment skills which you will continue to develop as you grow as a leader.

Terminal Learning Objective

NOTE: The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise.

At the completion of this lesson, you [the student] will:

Action:	Employ assessments to develop a subordinate.
Conditions:	As a squad leader given instruction about emerging leadership doctrine and Army leadership policy and given FM 22-100.
Standards:	Conducted a formal evaluation of a subordinate for leadership development IAW FM 22-100 within the specified time.

Safety Requirements

None

Risk Assessment Level

Low

Environmental Considerations

None

Evaluation

This is not a graded PE. At the end of the PE you will receive a solution sheet. As a group, you will discuss the solution and resolve any misunderstandings.

Instructional Lead-In	This PE reflects real life situations which directly relate to the material covered in this lesson.
Resource Requirements	**Instructor Materials:** None **Student Materials:** None
Special Instructions	None
Procedures	You will complete this PE as a homework assignment and discuss your solution in class.

Sergeant Donaldson Assessment Summary, Observation #2 and Observation #3

The instructor can orally present the following scenarios or hand them out to the students in paper copy. This scenarios are a continuation of the previous observation (Observation #1) on SGT Donaldson. Students must read Observation #2 and utilize the information when preparing the assessment summary following Observation #3.

SGT Donaldson: OBSERVATION 2

SCENARIO: SGT Donaldson turned around only to see his soldiers staring at him; he was visibly embarrassed. He walked over to the tree and picked up the compass he'd thrown, put it in his pocket, and said he "would rather navigate by using the terrain alone anyway." He directed the squad to move-out in a traveling formation which was inconsistent with the current enemy situation. During the 8 kilometer movement over relatively flat terrain, the squad did not maintain good flank or rear security, nor did SGT Donaldson ever make corrections. Twice the lead team leader suggested a change in the squad's direction of movement, but SGT Donaldson insisted that he was in charge and not to worry about it. When the squad arrived at the river's edge, at 14 0930 Sept in Training Area 14, SGT Donaldson was clearly out-of-breath, and it was clear they were at the wrong spot--500 feet south of the fording site/bridge where they were supposed to cross. He started yelling at the point man of the patrol, but it was too late--the squad had already moved well-south of the platoon southern boundary.

Summarize SGT Donaldson's actions.

Sergeant Donaldson Assessment Summary, Observation #3

This scenario is a continuation of the previous observations (Observations #1 and #2) on SGT Donaldson. Students must classify and rate behaviors and then develop an assessment summary based on Observations #1, #2, and #3.

SGT Donaldson: Observation #3

SCENARIO: While describing your plan to conduct some developmental counseling, you asked the platoon sergeant/leader if he had any impressions of SGT Donaldson that you should consider. He said the following: "During recovery operations following the FTX, on 19 Sept in the motor pool, I saw Donaldson making a number of valid corrections and really teaching those soldiers about maintenance and accountability. He impressed me. He even let PFC Jones brief me, and then when I found a discrepancy, jumped right in and took responsibility the way I'd expect an NCO to do. SGT Donaldson struggles in the field, I know, but otherwise he's a good NCO with good potential. Develop him." You pulled out your notebook and recorded/assessed what the platoon sergeant/leader had said.

CLASSIFY	**RATE**		
	Excellent	Satisfactory	Unsatisfactory
Developing	( )	( )	( )
Executing	( )	( )	( )
Motivating	( )	( )	( )
Technical	( )	( )	( )
Courage	( )	( )	( )

ASSESSMENT SUMMARY:

SGT DONALDSON'S OVERALL STRENGTHS:

SGT DONALDSON'S OVERALL DEVELOPMENTAL NEEDS:

POTENTIAL CAUSES?

POTENTIAL DEVELOPMENTAL ACTIONS?

Feedback Requirements	None

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HANDOUTS FOR LESSON 1: L328 version 2

This appendix contains the items listed in this table--

Title/Synopsis	Pages
SH-1, Advance Sheet	SH-1-1 and SH-1-2
SH-2, Student Homework Assignment	SH-2-1 and SH-2-2
SH-3, Solutions for Student Homework Assignment	SH-3-1
SH-4, Developmental Counseling Form	SH-4-1 and SH-4-2
SH-5, Role Play Situations	SH-5-1 thru SH-5-11
SH-6, Observer's Worksheets for PE-1 and Developmental Counseling Video	SH-6-1 thru SH-6-12
SH-7, Extract from FM 7-22.7	SH-7-1 thru SH-7-20
SH-8, Extract from DA PAM 600-25	SH-8-1 thru SH-8-8

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Student Handout 1

Advance Sheet

Lesson Hours

This lesson consists of 2 hours and 5 minutes of conference/discussion and 2 hours and 45 minutes of practical exercises.

Overview

As a leader you will have to prepare a counseling Preparation Form prior to a counseling session, conduct a subordinate-centered counseling session and develop a Developmental Counseling Form during the session. During the counseling session, you will produce a plan of action focusing the subordinate's actions on individual and unit goal accomplishment, IAW FM 22-100. Include the four phases of a counseling session, leader's responsibilities, and the different types of counseling situations

Learning Objectives

Terminal Learning Objective (TLO)

Action:	Counsel subordinates.
Conditions:	As a small unit leader in a company or battalion level unit.
Standards:	Counseled subordinates by-- • discussing developmental counseling, • demonstrating the ability to use correct counseling procedures and skills, and • assessing the performance of subordinates, IAW DA PAM 600-25, FM 22-100 and FM 7-22.7.

ELO A Discuss developmental counseling.
ELO B Demonstrate the ability to use correct counseling procedures and skills.
ELO C Assess the performance of subordinates.

Assignments

The students assignments for this lesson are:

- Read FM 22-100, Chapters 2, 4, 5, and Appendixes B and C, and Student Handouts 1, 7, and 8.
- Complete the SH-2, Student Homework Assignment, prior to the class.

Additional Subject Area Resources

None

Bring to Class

You must bring the following materials to class:

- All reference material.
- Pen or pencil and writing paper.
- Completed Student Homework Assignment.

Student Handout 2
Student Homework Assignment

1. Define counseling.

3. Describe “subordinate-centered” communications.

3. Describe the three approaches to counseling.

4. List four qualities that leaders must demonstrate in order to counsel effectively.

5. Describe what cultural awareness means.

6. List and describe three leader counseling skills.

7. List four common counseling mistakes.

8. Identify five guidelines to improving counseling that you think are important.

9. Describe the two categories of counseling and give examples within each category.

10. List and describe the four components of the counseling session.

11. List the four sub-steps of the counseling process.

12. List the seven aspects of counseling preparation.

Student Handout 4
Developmental Counseling Form

DEVELOPMENTAL COUNSELING FORM

For use of this form see FM 22-100.

DATA REQUIRED BY THE PRIVACY ACT OF 1974

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

PART I - ADMINISTRATIVE DATA

Name (Last, First, MI) .	Rank / Grade	Social Security No.	Date of Counseling
Organization		Name and Title of Counselor	

PART II - BACKGROUND INFORMATION

Purpose of Counseling: (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

PART III - SUMMARY OF COUNSELING
Complete this section during or immediately subsequent to counseling.

Key Points of Discussion:

OTHER INSTRUCTIONS

This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856, JUN 99

EDITION OF JUN 85 IS OBSOLETE

Developmental Counseling Form (cont)

Plan of Action: (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

Session Closing: (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / disagree with the information above

Individual counseled remarks:

Signature of Individual Counseled: _____ Date: _____.

Leader Responsibilities: (Leader's responsibilities in implementing the plan of action):

Signature of Counselor: _____ Date: _____.

PART IV - ASSESSMENT OF THE PLAN OF ACTION

Assessment: (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

Counselor:_____ Individual Counseled: _____ Date of Assessment:_____

Note: Both the counselor and the individual counseled should retain a record of the counseling.

DA FORM 4856 (Reverse)

Student Handout 5

Role Play Situations

Title Role Play Situations

Instructions Instructor should issue only the situation and roles that a specific pair will use. Issue these items and give student approximately 2 minutes to read role-play exercise.

The page number indicates a (L) for leader actions and a (S) for subordinate actions.

Contents This handout contains:

	Pages
Situation 1, PT Formation (Leader)	SH-5-2 (L)
Situation 1, PT Formation (Subordinate)	SH-5-3 (S)
Situation 2, Death of a Loved One (Leader)	SH-5-4 (L)
Situation 2, Death of a Loved One (Subordinate)	SH-5-5 (S)
Situation 3, Expectant Mother (Leader)	SH-5-6 (L)
Situation 3, Expectant Mother (Subordinate)	SH-5-7 (S)
Situation 4, No Money Down (Leader)	SH-5-8 (L)
Situation 4, No Money Down (Subordinate)	SH-5-9 (S)
Situation 5, Unacceptable Duty Performance (Leader)	SH-5-10 (L)
Situation 5, Unacceptable Duty Performance (Subordinate)	SH-5-11 (S)

Situation 1

"PT Formation"

Leader:

You are CPL Downy's squad leader. He is the best worker in the section; however, he frequently arrives late to physical training. When you question CPL Downy about his tardiness, he always provides an excuse such as traffic, car problems, can't find parking, and then apologizes.

You know that he is attending college at night. You suspect that his schedule is too much for him and may be the main cause of his tardiness. You could kick yourself for recommending approval on his tuition assistance two months ago. When you recommended approval, you knew CPL Downy was setting up a pretty tough schedule; however, he is an outstanding soldier and you thought he could handle the challenge.

You suspect that CPL Downy is not being honest with you regarding his tardiness. Several times you have asked the platoon sergeant to disregard his tardiness assuring him that the tardiness was nothing more than a few "isolated instances" from an outstanding soldier. Now these "isolated instances" are becoming routine. Other squad members are crying favoritism. Today CPL Downy was late and you decide to counsel him.

Situation 1

"PT Formation"

Subordinate:

You are CPL Downy, a hard working conscientious soldier who is overcome with commitments. You are trying to complete your associates' degree by attending night courses four nights a week. You get out of school at 2200 Monday through Thursday and immediately begin your homework. You normally hit the sack at around 0100 and try to depart the house by 0545 to make PT formation. You now realize you are in over your head, but the semester is half over and you do not want to drop a course at this stage in the semester.

Lately you've been arriving at PT a little late. You are not intentionally late for PT each morning, but it has become harder and harder to get out of bed. You know that you are the best worker in the section. You figure that your exemplary performance in the section compensates for your tardiness at PT. You also feel that PT is not challenging and is a waste of time. Your squad leader has decided to counsel you as a result of your tardiness.

(**NOTE**: When you began your rigorous schooling you promised your family that homework would not occupy any time on your weekends; so far you have been true to your promise.)

Situation 2

"Death of a Loved One"

Leader:

You are Specialist Huchster's squad leader and he has just approached you in a highly excited, frustrated demeanor and requested to talk to you immediately. You ask him if it can wait, but he is really insistent to the point of demanding that you talk to him immediately!

Situation 2

"Death of a Loved One"

Subordinate:

You are Specialist Huchster and you just received a call from your parents (who live fifteen hundred miles away) that an immediate family member has passed away. Your parents request that you come home immediately.

You do not have any leave accrued, any money in your savings account, or a privately owned vehicle. You are desperate and know of no one else to turn to except your squad leader. You have just asked him to talk to you now about this pressing problem that has you anxious and frightened.

Situation #3

"Expectant Mother"

Leader:

You are the squad leader for a military police unit in Germany. You have been in Germany for almost two years. Your family joined you four months ago after a 15-month wait for government quarters. When you first arrived, you considered economy housing for your family, but the expense was above your means. You also knew that your family would be uncomfortable in the housing that you could afford on your pay. Also, the housing would be far away from the military community facilities, including the schools, and your family does not speak German.

PVT Whidby has been in your squad only a couple of weeks. He just approached you asking for a few days off so he can make arrangements to bring his expectant wife over to join him.

Situation #3

"Expectant Mother"

Subordinate:

You are PVT Whidby. You have been in the Army for ten months. You joined the Army because you couldn't find a job when you graduated from high school. You married your high school sweetheart right after graduation. The two of you lived on her earnings from the local steak house until you joined the Army. You and your wife have not had any contact with her parents since the day you married. They did not approve of her marriage right after high school since you did not have a job; they thought you were not mature enough for the responsibilities of marriage.

You were at Fort Bliss when the opportunity to transfer to Germany came up. Your wife was not happy at Fort Bliss, so you decided to take the transfer to Germany. Your wife had been working in El Paso to save some money for the baby and she understood that you would have to go to Germany to get settled before she could come over. She presently lives in an apartment. She wants to use the money, which was originally saved for the baby, to pay for utility deposits and for her plane fare to Germany. Your baby is due in three months and the doctor won't let her fly after the seventh month; this means that you have to bring her over by the end of next week.

Situation #4

"No Money Down"

Leader:

You are the squad leader of PVT Walters. This is PVT Walters' first assignment since completion of Advanced Individual Training (AIT). He has been in the unit for almost three months and is enjoying his "new freedom." He has recently purchased a new car and boasts about the great "no money down" deal that he received. While inspecting his barracks room, you noticed a closet full of new clothes and an expensive stereo. When you questioned him about his extravagance, he informed you of his "plentiful credit." He recently applied for and received four credit cards each with a $500 line of credit. You have set up an appointment to counsel PVT Walters. You think he is heading for a financial disaster if he does not get his spending under control.

Situation #4

"No Money Down"

Subordinate:

You are PVT Walters, 18 years old, and three months into your first assignment. For the first time in your life you are away from your parents and have a steady income. There are a lot of things you need to get yourself established as an adult: a car, some decent clothes, a good stereo, etc. Instead of saving for these items you shopped around for a car you could get for "no money down," you bought your stereo on the Deferred Payment Plan (DPP) and you bought a new wardrobe with one of your credit cards.

For some reason, everybody wants to give you credit. Credit card applications keep coming in the mail and you have thus far been approved for four cards and have accumulated a total line of credit of $2,000. At this rate you will never run out of "buying power."

You know your squad leader thinks you are "extravagant." He is old fashioned and boring; drives an old junker and doesn't even own a CD player. As long as you are doing your job (and you are), you feel that no one has any business passing judgment on your personal affairs. At the present time there are no letters of indebtedness, or financial problems. You don't understand why your squad leader informed you that he has scheduled counseling to discuss your financial situation.

Situation #5

"Unacceptable Duty Performance"

Leader:

You are SPC Evenhus' squad leader. Yesterday, you received word that SPC Evenhus did not perform his assigned duties to established standards. SPC Evenhus did not turn off the computer prior to leaving work and there was a fire that destroyed the computer. Prior to the incident, SPC Evenhus had performed his duties in an excellent manner. You have notified him that you wish to speak to him about yesterday's incident.

Situation #5

"Unacceptable Duty Performance"

Subordinate:

You are SPC Evenhus. Your squad leader has called you into the office to speak to you about the fire that destroyed the computer yesterday. You recognize that you may have been responsible for the fire. However, you have personal problems and you can't keep your mind on the job. Three weeks ago, Mr. House from Fly-By-Night Loan Company called you about a loan, which you signed as a cosigner two years ago for your best friend who needed the money to buy a new car. At the time, you thought helping your friend purchase a new car was the right thing to do. Since then, however, events have raised some doubts. For example, when Mr. House called, he told you that the account was four months behind in payments, and he was unable to contact your friend. He stated that his company insists on immediate payment in full on the account. You managed to get a two-week postponement, and you tried unsuccessfully to locate your friend. You have been avoiding Mr. House's calls because you don't see a solution. You have not told your wife because she did not want you to sign as a cosigner for the loan in the first place. On the day you forgot to turn your computer off prior to leaving work, you left early because your wife had called you and she sounded extremely upset. It appears that Mr. House talked to your wife and informed her that the remaining balance was due, and if it were not cleared up immediately, the company would take you to court. Now you are facing a real dilemma. Your small savings are not enough to cover the debt and on your stretched budget, you can't afford a lawyer. Your parents are unable to assist.

NOTE: It is important to the success of this role-play that you do not reveal your financial problems until the leader asks the proper questions to bring out this information.

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Student Handout 6
Observer's Worksheet for PE-1 and Developmental Counseling Video

Observer's Worksheet

For use with PE#1
Situation #1

Instructions: Rate the counselor on the items below using the scale provided.

0	1	2	3	4	5
Not at all	**Poor**	**Marginal**	**Satisfactory**	**Very good**	**Excellent**

1. Components of the Counseling Session:

A. Open the session. _____
Stated the purpose of the session and established a subordinate-centered tone.

B. Discuss the issue. _____
Developed a mutual understanding of the situation.

C. Develop a plan of action. _____
Jointly identified actions to solve problem, improve performance, or achieve goals.

D. Close the session. _____
Summarized key points, checked acceptance of plan of action, established follow-up measures.

2. Leader Counseling Skills:

A. Active Listening _____
Gave full attention to subordinate, maintained appropriate eye contact and made appropriate gestures.

B. Responding _____
Checked understanding by paraphrasing or summarizing.

C. Questioning _____
Asked open-ended questions to gain information or provoke thought.

Total Score: ..... _____

3. Make comments on each component of the counseling session and leader counseling skills listed on the front of this form.

Overall strengths of the counseling session:

Areas where the soldier needs improvement:

Name of Counselor: _____ Signature: _____ Date: _____

Name of Observer: _____ Signature: _____ Date: _____

Observer's Worksheet

For use with PE#1
Situation #2

Instructions: Rate the counselor on the items below using the scale provided.

0	1	2	3	4	5
Not at all	**Poor**	**Marginal**	**Satisfactory**	**Very good**	**Excellent**

1. Components of the Counseling Session:

A. Open the session. _____
Stated the purpose of the session and established a subordinate-centered tone.

B. Discuss the issue. _____
Developed a mutual understanding of the situation.

C. Develop a plan of action. _____
Jointly identified actions to solve problem, improve performance, or achieve goals.

D. Close the session. _____
Summarized key points, checked acceptance of plan of action, established follow-up measures.

2. Leader Counseling Skills:

A. Active Listening _____
Gave full attention to subordinate, maintained appropriate eye contact and made appropriate gestures.

B. Responding _____
Checked understanding by paraphrasing or summarizing.

C. Questioning _____
Asked open-ended questions to gain information or provoke thought.

Total Score: ..... _____

3. Make comments on each component of the counseling session and leader counseling skills listed on the front side of the form.

Overall strengths of the counseling session:

Areas where the soldier needs improvement:

Name of Counselor: _____ Signature: _____ Date: _____

Name of Observer: _____ Signature: _____ Date: _____

Observer's Worksheet

For use with PE#1
Situation #3

Instructions: Rate the counselor on the items below using the scale provided.

0	1	2	3	4	5
Not at all	**Poor**	**Marginal**	**Satisfactory**	**Very good**	**Excellent**

1. Components of the Counseling Session:

A. Open the session. _____
Stated the purpose of the session and established a subordinate-centered tone.

B. Discuss the issue. _____
Developed a mutual understanding of the situation.

C. Develop a plan of action. _____
Jointly identified actions to solve problem, improve performance, or achieve goals.

D. Close the session. _____
Summarized key points, checked acceptance of plan of action, established follow-up measures.

2. Leader Counseling Skills:

A. Active Listening _____
Gave full attention to subordinate, maintained appropriate eye contact and made appropriate gestures.

B. Responding _____
Checked understanding by paraphrasing or summarizing.

C. Questioning _____
Asked open-ended questions to gain information or provoke thought.

Total Score: ..... _____

3. Make comments on each component of the counseling session and leader counseling skills listed on the front side of the form.

Overall strengths of the counseling session:

Areas where the solider needs improvement:

Name of Counselor: _____ Signature: _____ Date: _____

Name of Observer: _____ Signature: _____ Date: _____

Observer's Worksheet For use with PE#1
Situation #4

Instructions: Rate the counselor on the items below using the scale provided.

1. Components of the Counseling Session:

A. Open the session. _____
Stated the purpose of the session and established a subordinate-centered tone.

B. Discuss the issue. _____
Developed a mutual understanding of the situation.

C. Develop a plan of action. _____
Jointly identified actions to solve problem, improve performance, or achieve goals.

D. Close the session. _____
Summarized key points, checked acceptance of plan of action, established follow-up measures.

2. Leader Counseling Skills:

A. Active Listening _____
Gave full attention to subordinate, maintained appropriate eye contact and made appropriate gestures.

B. Responding _____
Checked understanding by paraphrasing or summarizing.

C. Questioning _____
Asked open-ended questions to gain information or provoke thought.

Total Score: ..... _____

3. Make comments on each component of the counseling session and leader counseling skills listed on the front side of the form.

Overall strengths of the counseling session:

Areas where the soldiers needs improvement:

Name of Counselor: _____ Signature: _____ Date: _____

Name of Observer: _____ Signature: _____ Date: _____

Observer's Worksheet

For use with PE#1
Situation #5

Instructions: Rate the counselor on the items below using the scale provided.

0	1	2	3	4	5
Not at all	**Poor**	**Marginal**	**Satisfactory**	**Very good**	**Excellent**

1. Components of the Counseling Session:

A. Open the session. _____
Stated the purpose of the session and established a subordinate-centered tone.

B. Discuss the issue. _____
Developed a mutual understanding of the situation.

C. Develop a plan of action. _____
Jointly identified actions to solve problem, improve performance, or achieve goals.

D. Close the session. _____
Summarized key points, checked acceptance of plan of action, established follow-up measures.

2. Leader Counseling Skills:

A. Active Listening _____
Gave full attention to subordinate, maintained appropriate eye contact and made appropriate gestures.

B. Responding _____
Checked understanding by paraphrasing or summarizing.

C. Questioning _____
Asked open-ended questions to gain information or provoke thought.

Total Score: ..... _____

3. Make comments on each component of the counseling session and leader counseling skills listed on the front side of the form.

Overall strengths of the counseling session:

Areas where the soldiers needs improvement:

Name of Counselor: _____ Signature: _____ Date: _____

Name of Observer: _____ Signature: _____ Date: _____

Observer's Worksheet For use with The Developmental Counseling Video

Instructions: Rate the counselor on the items below using the scale provided.

0	1	2	3	4	5
Not at all	**Poor**	**Marginal**	**Satisfactory**	**Very good**	**Excellent**

1. Components of the Counseling Session:

A. Open the session. _____
Stated the purpose of the session and established a subordinate-centered tone.

B. Discuss the issue. _____
Developed a mutual understanding of the situation.

C. Develop a plan of action. _____
Jointly identified actions to solve problem, improve performance, or achieve goals.

D. Close the session. _____
Summarized key points, checked acceptance of plan of action, established follow-up measures.

2. Leader Counseling Skills:

A. Active Listening _____
Gave full attention to subordinate, maintained appropriate eye contact and made appropriate gestures.

B. Responding _____
Checked understanding by paraphrasing or summarizing.

C. Questioning _____
Asked open-ended questions to gain information or provoke thought.

Total Score: ..... _____

3. Make comments on each component of the counseling session and leader counseling skills listed on the front side of the form.

Overall strengths of the counseling session:

Areas where the soldiers needs improvement:

Name of Counselor: _____ Signature: _____ Date: _____

Name of Observer: _____ Signature: _____ Date: _____

Student Handout 7

Extracted Material from FM 7-22.7

This student handout contains 19 pages of extracted material from the following publication:

FM 7-22.7, The Army Noncommissioned Officer Guide, 23 December 2002

Chapter 5 pages 5-1 thru 5-20

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Chapter 5

Counseling and Mentorship

We have the best doctrine, the best training and the best ***equipment in the world – but our people are the Army's greatest resource***

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For more information on Counseling and Mentorship see FM 6-22 (22-100) ***Army Leadership,*** **Appendix C, Counseling; The Army Leadership Homepage, www.leadership.army.mil; and the Army Counseling Homepage, www.counseling.army.mil.**

For more information on the NCO Evaluation System, see AR 623-205, "Noncommissioned Officer Evaluation Reporting System," 15 May 2002.

For more information on mentorship, see DA PAM 600-XX, "Army Mentorship," TBP.

Counseling and Mentorship

5-1. At the time of the American Revolution, European armies were held together by the most severe discipline. Enlistments in Europe and England were often as long as twenty-five years, pay was very low and punishments were cruel by today's standards. To reduce desertion and motivate troops for battle, the threat of flogging, even death, was held over soldier's heads. Frederick the Great of Prussia set the tone of the period with his view that soldiers should be more afraid of their NCOs then the enemy. From the founding of the Continental Army , the European tradition of harsh discipline was rejected. Friedrich von Steuben, the Army's first trainer and himself a product of the old Prussian tradition, quickly came to understand that it would take more than threats to get American recruits to perform well on the battlefield. General George Washington agreed and together, both leaders recognized that the American soldier was an individual citizen, not an interchangeable commodity. Citizen-soldiers would have to be led, inspired and disciplined by reason, creating the need to counsel.

5-2. To best understand the value of counseling it is best to first understand its definition. Counseling is a type of communication that leaders use to empower soldiers to achieve goals. It is much more than providing feedback or direction. It is communication aimed at developing a soldier's ability to achieve individual and unit goals. Soldiers want to be counseled and will respond to counseling because they want to know what it takes to be successful in today's Army. Regardless of your leadership position, your soldiers see you as successful simply because you have achieved the level they are striving to accomplish. Leaders must provide each of their soldiers with the best possible road map to success. Today's leadership doctrine incorporates this definition in subordinate-centered communication, which leads to the achievement of individual and unit goals.

LEADER'S RESPONSIBILITY

5-3. Today's Army demands effective counseling. Due to the complexity of equipment, diversity of personnel and organizational structure, we have unique challenges. To overcome these problems, a leader has talent, experience and the desire to succeed. Leaders help soldiers solve their problems by guiding them to a workable solution through effective counseling. Counseling is so important it should be on the training schedule to ensure sufficient time is available to do it.

5-4. The Army's values of Loyalty, Duty and Selfless Service require us to counsel. The Army's values of Honor, Integrity and Personal Courage also require us to give straightforward feedback and the Army's value of Respect requires us to find the best way to communicate that feedback.

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5-5. Leaders conduct counseling to develop soldiers to achieve personal, professional development and organizational goals, and to prepare them for increased responsibilities. Leaders are responsible for developing their soldiers. Unit readiness and mission accomplishment depend on every member's ability to perform to established standards. Supervisors must develop their subordinates through teaching, coaching and counseling. Leaders coach soldiers the same way any sports coach improves their team: by identifying weaknesses, setting goals, developing and implementing a plan of action and providing oversight and motivation throughout the process. To be effective coaches, leaders must thoroughly understand the strengths, weaknesses and professional goals of their soldiers.

"In developmental counseling, it's a matter of sitting the soldier down and telling him not only how well he did over the last thirty days, but also of telling the soldier how he or she can improve their performance and then looking deeper down the road."

CSM Anthony Williams

5-6. Leaders counsel because it is their duty and the primary tool in developing future leaders. For their counseling to be effective they must be honest and have the personal courage to give straightforward feedback. Through respect for the individual, leaders find the best way to communicate that guidance. Senior NCOs should develop the counseling skills of their subordinate leaders. One way to do this is for the senior NCO to sit in on a counseling session, perhaps a reception and integration counseling, and then do an AAR with the junior NCO.

- Purpose: Clearly define the purpose of the counseling.
- Flexibility: Fit the counseling style to the character of each soldier and to the relationship desired.
- Respect: View soldiers as unique, complex individuals, each with their own sets of values, beliefs and attitudes.
- Communication: Establish open, two-way communication with soldiers using spoken language, nonverbal actions, gestures and body language. Effective counselors listen more than they speak.
- Support: Encourage soldiers through actions while guiding them through their problems.
- Motivation: Get every soldier to actively participate in counseling and understand its value.

Figure 5-1. Characteristics of Effective Counseling

5-7. Some soldiers may perceive counseling as an adverse action. Effective leaders who counsel properly and regularly can change that perception.

5-4

Counseling and Mentorship

Leaders conduct counseling to help soldiers become better members of the team, maintain or improve performance and prepare for the future. No easy answers exist for exactly what to do in all leadership and counseling situations. However, to conduct effective counseling, leaders should develop a counseling style with the characteristics listed in Figure 5-1.

"You also must ensure the session is not done in a threatening manner. Nothing will destroy communications faster than if the soldier thinks there will be negative consequences to that conversation."
CSM Daniel E. Wright

EFFECTIVE ARMY COUNSELING PROGRAM

5-8. Four elements are essential to the creation of an effective counseling program:

- **Education and Training** : Institutional and in units, through mentorship and self-development. The Army must first provide a base line of education to its soldiers to "show what right looks like." The Noncommissioned Officer Education System (NCOES) has the primary responsibility to educate the NCO Corps on counseling. However, NCOES cannot accomplish this alone. Unit NCO Development Programs can and must conduct training workshops to provide that base of education of what right looks like to our junior leaders.

- **Experience**: Learn by doing coupled with guidance from more senior leaders. After initial education and training, all leaders must put their skills to use. NCOs must practice counseling while at the same time receiving guidance and mentoring on how to improve counseling techniques.

- **Continued support from both the Army and leaders**: The Army's Counseling Website (www.counseling.army.mil), FM 6-22 (22-100), Appendix B and C and leaders (through spot checks and random monitoring of counseling sessions) provide the necessary support and critiques that will improve a young leader's counseling skills.

- **Enforcement**: Once NCOs have the tools (both education and support) necessary for quality counseling, leaders must hold them accountable to ensure acceptable counseling standards for both frequency and content. This is accomplished through some type of compliance program on unit inspections.

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THE COUNSELING PROCESS

5-9. Effective leaders use the counseling process. It consists of four stages:
- Identify the need for counseling.
- Prepare for counseling.
- Conduct counseling.
- Follow-up.

"Listen to what soldiers have to say- they'll tell you everything if you listen openly. Criticize and they'll clam up. Ask what isn't working about programs even if company statistics indicate that they are running well. Soldier comments often provide insight into ways to improve things to save time and make things more meaningful."

COL David Reaney

Leaders must demonstrate certain qualities to counsel effectively: ▪ Respect for soldiers. ▪ Self and cultural awareness. ▪ Credibility. ▪ Empathy. Leaders must possess certain counseling skills: ▪ Active listening. ▪ Responding. ▪ Questioning. Effective leaders avoid common counseling mistakes. Leaders should avoid the influence of: ▪ Personal bias. ▪ Rash judgments. ▪ Stereotyping. ▪ The loss of emotional control. ▪ Inflexible methods of counseling. ▪ Improper follow-up.	The Counseling Process: 1. Identify the need for counseling. 2. Prepare for counseling: Select a suitable place. Schedule the time. Notify the counselee well in advance. Organize information. Outline the components of the counseling session. Plan counseling strategy. Establish the right atmosphere. 3. Conduct the counseling session: Open the session. Discuss the issue. Develop a plan of action (to include the leader's responsibilities). Record and Close the session. 4. Follow-up. Support Plan of Action Implementation. Assess Plan of Action.

Figure 5-2. Major Aspects of Counseling Process

Counseling and Mentorship

ASSESS THE PLAN OF ACTION

5-10. The purpose of counseling is to develop soldiers who are better able to achieve personal, professional and organizational goals. During the assessment, review the plan of action with the soldier to determine if the desired results were achieved. The leader and soldier should schedule future follow-up counseling sessions. Figure 5-2 summarizes the major aspects of the counseling process. Additional information on counseling is in Appendix C of FM 6-22 (22-100) and on the Army Counseling Homepage (www.counseling.army.mil).

"Nothing will ever replace one person looking another in the eyes and telling the soldier his strengths and weaknesses. [Counseling] charts a path to success and diverts soldiers from heading down the wrong road."

SGM Randolph S. Hollingsworth

TYPES OF DEVELOPMENTAL COUNSELING

5-11. You can often categorize developmental counseling based on the topic of the session. The two major categories of counseling are event-oriented and performance and professional growth.

EVENT-ORIENTED COUNSELING

5-12. Event-oriented counseling involves a specific event or situation. It may precede events, such as going to a promotion board or attending a school; or it may follow events, such as a noteworthy duty performance, a problem with performance or mission accomplishment, or a personal problem. Examples of event-oriented counseling include, but are not limited to these types:

- Specific instances of superior or substandard performance.
  - Reception and integration counseling.
  - Crisis counseling.
  - Referral counseling.
  - Promotion counseling.
  - Separation counseling.

COUNSELING FOR SPECIFIC INSTANCES

5-13. Sometimes counseling is tied to specific instances of superior or substandard duty performance. For example, you tell your soldier whether or not the performance met the standard and what the soldier did right or wrong. The key to successful counseling for specific performance is to conduct the counseling session as close to the time of the event as possible.

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5-14. When counseling a soldier for specific performance take the following actions:

- Tell the soldier the purpose of the counseling, what was expected and how they failed to meet the standard.
- Address the specific unacceptable behavior or action, not the person's character.
- Tell the soldier the effect of the performance on the rest of the unit.
- Actively listen to the soldier's response.
- Remain unemotional.
- Teach the soldier how to meet the standard.
- Be prepared to do some personal counseling since the lack of performance may be related to or the result of a personal problem.
- Explain to the soldier what will be done to improve performance (plan of action). Identify your responsibilities in implementing the plan of action.
- Continue to assess and follow-up on the soldier's progress. Adjust the plan of action as necessary.

Reception and Integration Counseling

5-15. Leaders must counsel new team members when they report in. Reception and integration counseling serves two purposes: First, it identifies and helps fix any problems or concerns that new members have, especially any issues resulting from the new duty assignment. Second, it lets them know the unit standards and how they fit into the team. Reception and integration counseling starts the team building process and lets the soldier know the leadership cares. Reception and integration counseling clarifies job titles and it sends the message that the chain of command cares. Reception and integration counseling should begin immediately upon arrival so new team members can quickly become integrated into the organization. Figure 5-3 gives some possible discussion points.

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- Unit standards.
  - Chain of command.
  - NCO support channel (who and how used).
  - On and off duty conduct.
  - Personnel/personal affairs/initial clothing issue.
  - Unit history, organization and mission.
  - Soldier programs within the unit, such as soldier of the month/quarter/year and Audie Murphy and Sergeant Morales Board.
  - Off limits and danger areas.
  - Functions and locations of support activities.
  - On and off post recreational, educational, cultural and historical opportunities.
  - Foreign nation or host nation orientation.
  - Other areas the individual should be aware of, as determined by the rater.

Figure 5-3. Reception and Integration Counseling Points

Crisis Counseling

5-16. You may conduct crisis counseling to get a soldier through the initial shock after receiving negative news, such as notification of the death of a loved one. You help the soldier by listening and providing assistance, as appropriate. Assistance may include referring the soldier to a support activity or coordinating external agency support. Crisis counseling focuses on the soldier's immediate, short-term needs.

Referral Counseling

5-17. Referral counseling helps soldiers work through a personal situation and may follow crisis counseling. Referral counseling also acts as preventative counseling before the situation becomes a problem. Usually, the leader assists the soldier in identifying the problem.

5-18. Outside agencies can help leaders resolve problems. Although it is generally in an individual's best interest to seek help first from his first line leader, leaders must always respect an individual's right to contact these agencies on their own. Leaders can refer the soldier to the appropriate resource, such as Army Community Services, a Chaplain, or a substance abuse counselor. Additional information on support activities can be found in Appendix B, Army Programs or in FM 6-22 (22-100), Appendix C.

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[Helping] soldiers cope with personal problems...means more than referring the soldier to another person- the chaplain, a doctor, or counselor. Until the problem is resolved, you have a soldier with a problem in your unit, so it's your problem.... Let your soldiers know what you're doing to help them solve their problems.

FM 22-600-20, *The Army Noncommissioned Officer Guide*, 1980

Promotion Counseling

5-19. Commanders or their designated representatives must conduct promotion counseling for all specialists, corporals and sergeants who are eligible for advancement without waiver, but are not recommended for promotion to the next higher grade. Army regulations require that soldiers within this category receive initial (event-oriented) counseling when they attain full eligibility and then periodic (performance and personal growth) counseling at least quarterly.

Adverse Separation Counseling

5-20. Adverse separation counseling may involve informing the soldier of the administrative actions available to the commander in the event substandard performance continues and of the consequences associated with those administrative actions. (See AR 635-200, Chapter 1, paragraph 1-16 and Chapter 17.)

5-21. Developmental counseling may not apply when a soldier has engaged in more serious acts of misconduct. In those situations, the leader should refer the matter to the commander and the servicing staff judge advocate's office. When the leader's rehabilitative efforts fail, counseling with a view towards separation fills an administrative prerequisite to many administrative discharges and serves as a final warning to the soldier to improve performance or face discharge. In many cases, it may be beneficial to involve the chain of command as soon as you determine that adverse separation counseling might be required. The first sergeant or commander should inform the soldier of the notification requirements outlined in AR 635-200.

PERFORMANCE AND PROFESSIONAL GROWTH COUNSELING
Performance Counseling

5-22. During performance counseling, the leader conducts a review of the soldier's duty performance during the previous quarter. The leader and soldier jointly establish performance objectives and standards for the next quarter. Rather than dwelling on the past, leaders should focus the session on the soldier's strengths, areas needing improvement and potential.

5-10

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Performance counseling informs soldiers about their jobs and the expected performance standards and provides feedback on actual performance -- the best counseling is always looking forward. It does not dwell on the past and what was done, rather on the future and what can be done better.
DA Pam 623-205, "The NCO Evaluation Reporting System 'In Brief,'" 1988

5-23. Performance counseling is required for noncommissioned officers; mandatory, face-to-face performance counseling between the rater and the rated NCO is required under the NCOER system.

5-24. Performance counseling at the beginning of and during the evaluation period facilitates a soldier's involvement in the evaluation process. Performance counseling communicates standards and is an opportunity for leaders to establish and clarify the expected values, attributes, skills and actions.

5-25. As an Army leader, you must ensure you've tied your expectations to performance objectives and appropriate standards. **You must establish standards that your soldiers can work towards and must teach them how to achieve those standards if they are to develop.**

The NCO Evaluation Report

5-26. The Noncommissioned Officer Evaluation Reporting System (NCOERS) is designed to –

- Strengthen the ability of the NCO Corps to meet the professional challenges of the future through the indoctrination of Army values and basic NCO responsibilities. The continued use of Army values and NCO responsibilities as evaluation criteria provides and reinforces a professional focus for the rating chain's view of performance. Over time, this results in acceptance of the values and NCO responsibilities, better performance and a stronger NCO Corps.
- Ensure the selection of the best qualified noncommissioned officers to serve in positions of increasing responsibility by providing rating chain view of performance/potential for use in centralized selection, assignment and other Enlisted Personnel Management System (EPMS) decisions. The information in evaluation reports, the Army's needs and the individual NCO's qualifications are used together as a basis for such personnel actions as school selection, promotion, assignment, military occupational specialty (MOS) classification, command sergeant major (CSM) designation and qualitative management.
- Contribute to Army-wide improved performance and professional development by increased emphasis on performance counseling. Evaluation reports provide the NCO formal recognition for performance of duty, measurement of professional values and personal traits and along with the NCO Counseling Checklist/Records are the basis for performance counseling

by rating officials. Senior/subordinate communication is necessary to maintain high professional standards and is key to an effective evaluation system.

5-27. To ensure that sound personnel management decisions can be made and that an NCO's potential can be fully developed, evaluation reports must be accurate and complete. Each report must be a thoughtful, fair appraisal of an NCO's ability and potential. Reports that are incomplete or fail to provide a realistic and objective evaluation make personnel management decisions difficult.

5-28. A single report should not, by itself, determine an NCO's career. An appraisal philosophy that recognizes continuous professional development and growth (rather than one that demands immediate, uncompromising perfection) best serves the Army and the NCO.

Professional Growth Counseling

5-29. Professional growth counseling is subordinate-centered communication that outlines actions necessary for soldiers to achieve individual and organizational goals and objectives. It is imperative for all leaders to conduct professional growth counseling with their soldiers to develop the leaders of tomorrow.

5-30. Professional growth counseling begins an initial counseling within 30 days of arrival. Additional counseling occurs **quarterly thereafter with an assessment at a minimum of once a month**. Counseling is a continuous process. Reception/Integration/Initial counseling must include goals/expectations for most current quarter along with long term goals and expectations.

5-31. During the counseling session a review is conducted jointly by the leader and soldier to identify and discuss the soldier's strengths/weaknesses and to create a plan of action to build upon strengths and overcome weaknesses. The leader must encourage, remain objective/positive, assist the soldier help himself and focus more towards the future. This future-oriented approach establishes short and long-term goals and objectives.

5-32. FM 6-22 (22-100), Appendix B, provides the necessary tools for the soldier to do a self-assessment based on performance indicators outlined in the leadership dimension. This self-assessment will assist soldiers in identifying their weaknesses and strengths and provide a means of improving their leadership abilities/skills. All leaders should use the performance indicators in FM 6-22 (22-100), Appendix B, as an assessment tool when counseling their soldiers. This will assist them in providing specific, precise and objective guidance to their soldiers.

THE COUNSELING SESSION

This is an example of a Performance/Professional Growth counseling session presented in four parts. It shows disagreement between the leader and led on the leadership assessment. This makes the counseling session difficult for both at first (each is a little defensive). SFC Lang has difficulty getting SSG Rovero to do an honest self-appraisal of his performance. The strategy in this situation is to provide SSG Rovero with clear examples of his leader behavior along with the adverse effects it is having on the soldiers and the unit.

SFC LANG: Come in.
SSG ROVERO: Sorry I'm late, SFC Lang. I got tied up on a job that's been running late.
SFC LANG: Have a seat SSG Rovero and lets get started. Do you have your self-assessment with you? *[This reinforces the expectation that all leaders will prepare a self-assessment prior to developmental counseling. This also is a good technique to try in order to get the subordinate leader to start with most of the talking]*
SSG ROVERO: I have it here somewhere. Yes here it is. You know, SFC Lang, after I finished reading my self-assessment, I realized, hey, I'm pretty good!
SFC LANG: You want to know the truth? You are pretty good, but… *[Here, the leader is trying to reinforce and recognize good performance even though it's clear the leader is not satisfied with some other aspects of the subordinate leader's performance]*
SSG ROVERO: Thanks. But?
SFC LANG: Well, like you said; you always seem to be running late on jobs.
SSG ROVERO: Well, some of the guys have been goofing off lately and I just haven't been able to get them back in line yet, that's all. *[There can be a tendency to place blame or identify causal factors that may or may not be beyond the control of the subordinate leader]*
SFC LANG: Well that's why we're here.
SSG ROVERO: What do you mean? *[The leader can expect that some subordinates will be pretty defensive when it comes to leadership assessment. It will be viewed by some as threatening]*
SFC LANG: I thought we went over this last week when we set up this meeting. What'd I say then?
SSG ROVERO: Something about assessing my leadership strengths; areas I can improve in…
SFC LANG: That's part of it. The focus is on developing your leadership.
SSG ROVERO: That's funny, Sergeant. I was a squared away NCO until I got here. Now, all of a sudden I've got all this stuff to improve on. *[Initially, leaders can expect to have many soldiers who have never received feedback on their leadership. As developmental counseling becomes ingrained in the Army, more*

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soldiers will be comfortable and familiar with leadership assessment and development]
SFC LANG: Well, leadership is a bigger part of your job now. Leadership responsibilities increase as you move up in the ranks. You've got a lot of attributes in your favor. Like I said, you have very good technical skills, but… *[Again, the leader reinforces the good performance while still trying to get the subordinate leader to admit and 'own up' to the shortcomings that need improvement]*

SSG ROVERO: I run a good shop. Our supply room is always stocked – nobody ever has to borrow a tool from another company. And I go to bat for my soldiers. Like when Hennessey needed time to take care of some family business. I helped him with that. Right? Isn't that leadership?
SFC LANG: Yes, but that's not the whole story… *[SFC Lang has already mentioned she has concerns with SSG Rovero's leadership. She wants SSG Rovero to tell his side of the story and complete his self-assessment. Does he think everything is going well?]*
SSG ROVERO: Well, okay, maybe things in the shop aren't going as smoothly as they should be. And maybe it is my fault, but…

SSG Rovero realizes he could make some improvements in some areas.

SFC LANG: The way I see it, you act like you're still a mechanic instead of a supervisor. Every time I walk through the bays you're under some vehicle turning wrenches. But while you're doing that, who's making sure all the jobs in the shop are getting done? Sometimes these young mechanics we've got are just spinning their wheels. Maybe if you spent more time making the rounds and checking up on each job, we'd have a better OR rate. Plus we might be able to get out of here at a decent hour. *[SFC Lang knew this would probably*

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be a sore spot with SSG Rovero. But, this is what the supervisor is observing along with the general effect it is having on soldiers and the unit]
SSG ROVERO: I don't think that is what's really happening.
SFC LANG: OK, I've got several observations here; let's take yesterday for example. We had three HMMWVs deadlined with electrical problems. Those new soldiers, Harris, Jones and Wilson, worked on them all day and still couldn't figure out what was causing the problem. Meanwhile, you're over with another HMMWV changing tires. *[SFC Lang did her homework. Observing and assessing is part of her daily activity around the motor pool. Specific observations of leader behavior along with the effects they are having on individuals, the unit and operational outcomes are key prerequisites to developmental activities]*
SSG ROVERO: Somebody had to do it.
SFC LANG: And are the HWMMVs up? [Links behavior to outcomes]
SSG ROVERO: We're working on it.
SFC LANG: And when did everybody finish and leave last night? *[Again this question links leader behavior to outcomes. SFC Lang asks SSG Rovero rather than tells him the outcome to promote ownership]*
SSG ROVERO: About twenty-one hundred.
SFC LANG: We have to agree on what's happening here.
SSG ROVERO: Maybe you're right, Sergeant. I need to work on my organizational skills. I'm not comfortable walking around with a list of jobs and checking up on people. I'd rather do it myself. *[It appears as though SFC Lang's detailed assessment resulted in SSG Rovero becoming a little more honest with himself. Given that SFC Lang also evaluates SSG Rovero, leaders can expect that soldiers might hesitate to admit to shortcomings]*
SFC LANG: I understand, but leaders have to learn how to assign tasks and supervise. That's the only way our soldier's will learn.
SSG ROVERO: OK, Sergeant.

Once they both agree on the assessment, both SFC Lang and SSG Rovero visibly relax. From this point on, the tone of the counseling session turns visibly positive and developmental as they talk about ways to improve SSG Rovero's performance.

SFC LANG: So what could you do to improve your leadership skills? *[Action plan development is a joint activity. The leader should refrain from prescribing developmental tasks unless the subordinate has no clue what to do or where to begin. Having the soldier identify the developmental task also promotes ownership and additional motivation to follow through]*
SSG ROVERO: I know I need to learn how to delegate tasks. I could prioritize the work that needs to be done and assign jobs based on experience. That way I could spend more time training and supervising my more inexperienced soldiers. *[This reinforces the concept that leaders should solicit the input of their soldiers and peers and include them in the decision-making process]*
SFC LANG: Sounds like you have a good plan. Remember, all your soldiers need your supervision. *[SFC Lang is making a subtle correction here to put a little more structure into this developmental plan.]*
SSG ROVERO: Thanks for your help, Sergeant.

FM 7-22.7

MENTORSHIP

5-33. Mentorship, probably the singular most misunderstood word surrounding counseling and leadership. To best understand mentorship, it is best to first define it. Mentorship is a voluntary, developmental relationship that exists between a person of greater experience and a person of lesser experience. Mentorship is not just a fancy buzzword. It is a proven approach and a valuable tool for NCO leaders.

"The experiences of the mentor when shared gives the soldier a comparative view to allow the soldier to develop and grow. The mentor is the sage old owl who has been there and done that and uses the experience to counsel wisely that young soldier."

CSM A. Frank Lever, III

5-34. Note that no specific action is exclusively "mentoring." In fact, the term "mentoring" is often used to describe a wide array of actions that outside of a mentorship relationship refer to the core of leader development such as counseling, teaching, coaching, role modeling, advising and guiding.

To be an effective mentor, you need the experience and wisdom of your years. You also have to care. If you really care about your soldiers, then you will devote the necessary time and attention to guiding them. Mentoring can take place anywhere. It is a key way to lead and to strengthen Army values.

DA Pam 600-25, "NCO Development Program," 1987

DEVELOPMENTAL RELATIONSHIP

5-35. Mentorship is clearly a developmental relationship and noncommissioned officers have a mandate to develop their soldiers. Given that fact, shouldn't all leader-follower relationships be considered mentorship? Or why confuse the issue by labeling as mentorship what is in the essence, good leadership? Why do we need mentorship? When those mandated leader development actions occur within a mentorship relationship, their potential impact is greatly magnified, both for the individual and for the Army. This increase in development is due primarily because of the high degree of trust and respect that characterizes a mentoring relationship. Simply put good leadership stimulates development; mentorship magnifies that development. See Figure 5-4.

"One of the most important responsibilities of a leader is to train, coach and mentor subordinates… Some folks might maintain a relationship with an old mentor throughout their careers and use them as a sounding board and for guidance, but most people will have several mentors over their careers. Keep in mind that a ***mentor*** *is not a substitute for personal research, personal planning, hard work and dedication to service."*

CSM Larry W. Gammon

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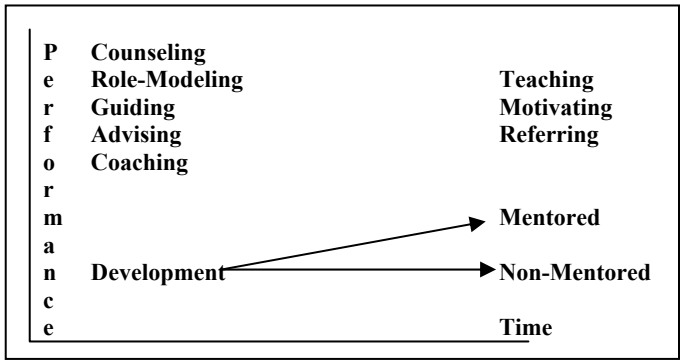

Figure 5-4. Mentorship Development

5-36. Mentorship can and will augment the natural development that occurs in leadership, but it is not necessary or practical in all leader-follower relationships. Soldiers will still develop if they are not mentored, but mentorship can be a key element in the development of soldiers, contributing to their greater well-being. We all have experience to give if we have the heart, the spirit and the caring attitude to share these experiences and the lessons we derive from them. Mentoring is simply giving of your knowledge to other people. To be an effective mentor, all you need is experience and the wisdom of your years and one other vital quality — ***you have to care!***

"Soldiers want to know what's going on. They don't want to reinvent the wheel to address problems that someone else has already solved."
CSM Cynthia A. Pritchett

SUSTAIN MENTORSHIP

5-37. Mentorship is demanding business, but the future of the Army depends on the trained and effective leaders whom you leave behind. Sometimes it requires you to set priorities, to balance short-term readiness with long-term leader development. The commitment to mentoring future leaders may require you to take risks. It requires you to give soldiers the opportunity to learn and develop them while using your experience to guide them without micromanaging. Mentoring will lead your soldiers to successes that build their confidence and skills for the future. The key to mentorship in the US Army is

that it is a sustained relationship and may last through the entire career of a young soldier and even into retirement.

5-38. While not a formal, mandated program like counseling, mentorship does have some very distinct characteristics that we can use as a guide for our mentoring. See Figure 5-5.

- Personal, voluntary developmental relationship existing between soldiers.
- Mentor is a close, trusted and experienced counselor or guide.
- Not bound by geographical location.
- Mutual agreement on mentoring relationship.
- Mentoring relationship devoid of conflicting interests.
- Common professional interests.
- Enduring relationship, frequency based on need, not predetermined event or time.
- Shared Army Values.
- Soldier may have more than one mentor over time.
- Two-way communications.
- Mentor must be willing to share professional knowledge, training and experience in a trusted and respected atmosphere.
- Mentor maintains confidentiality and trust.
- Sincere caring on part of the mentor.
- Relationship may be initiated by superior, peer, or subordinate.
- Can cross military, civilian, active or retired lines.

Figure 5-5. Mentorship Characteristics

"Soldiers can solve 98 percent of their problems by just talking to someone about them. All you have to do is listen."
SMA William G. Bainbridge

NCO MENTORSHIP OF OFFICERS

5-39. Senior NCOs have a great deal of experience that is valuable to officers. An officer who has an NCO as a mentor is taking advantage of that experience and also of the unique perspective NCOs develop in leadership, training and professionalism. Even very senior officers seek trusted NCOs' advice and counsel. A mentorship relationship that is unique in the Army and the NCO Corps is the relationship between a platoon sergeant and his young platoon leader. Especially in their early years, young officers need to be paired with senior experienced NCOs. The relationship that frequently comes from this experience tends to be instrumental in the young officers' development. Young

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officers may forget a lot of things about their time in the military, but they will never forget, good or bad, their first platoon sergeant.

MENTORSHIP BUILDS THE FUTURE

5-40. Mentorship offers unparalleled opportunities to build a better Army. If you are a noncommissioned officer and are not mentoring several promising young leaders, you are missing an important opportunity to contribute to the Army's future. Mentorship is the single, easiest way to develop young leaders. But to do so, the mentor must be willing to commit the time and energy necessary to do it right and to set the conditions for success so young leaders will seek him out to be their mentor.

"Becoming a mentor should not be a hasty endeavor. It is not a part-time job. It is an intense relationship between teacher and student. The process requires time and caring. Effective mentors are totally committed to spending the necessary time and attention it takes to share values, attitudes and beliefs. This includes helping a soldier make career decisions and providing support and encouragement that allow leaders to grow."

CSM Christine E. Seitzinger

Near the end of the session, SSG Rovero starts taking charge of his action plan – identifying, without SFC Lang's assistance, things he can do to improve his leadership. As the session closes, there is a renewed air of respect and understanding between SFC Lang and SSG Rovero.

FM 7-22.7

SFC LANG: Why don't you read back to me what you've got. *[As developmental sessions come to a close, it is important to review tasks and confirm what was said earlier in the session]*
SSG ROVERO: Okay. *[Making notes to himself.]* "Conduct an AAR with the maintenance section; observe Sergeant Leroy supervising maintenance operations."
SFC LANG: Those should both work to improve Executing. *[SFC Lang reinforces the leadership doctrinal framework by listing developmental tasks IAW with the value, attribute, skill and/or action it is designed to improve]*
SSG ROVERO: One I just thought of, "develop a daily plan for supervising maintenance operations." I think if I just sat down each morning and split up the jobs better, plus figure out where I'm needed most… *[This is an ideal outcome to be sought after in developmental counseling — the subordinate leader coming up with and identifying developmental tasks. Also note the total number of tasks identified. A few clearly defined tasks with high potential for improvement and are better than numerous, ill-defined tasks with questionable outcomes]*
SFC LANG: Sounds good. OR rate is bound to go up. And just think of what this is going to do to everybody's motivation around here – getting home at a decent hour. And I'll let Sergeant LeRoy know you're coming over to have a look at his maintenance operations. *[Again, the action plan may very well require action on the part of the leader, not just the subordinate leader. At a minimum the leader is going to have to plan and allocate time to get out and make subsequent observations of the leader to assess whether or not improvement is being made and perhaps conduct some on-the-spot coaching]*. Well, Sergeant, we've had some pretty straight talk here on things that need to improve. And don't forget you've got a lot going for you. Best technical skill I've seen. Keep up the good work. *[Action plans are also about sustaining the 'good stuff.' In closing the session, SFC Lang is conscience of the need to reinforce and communicate what SSG Rovero is doing well]*
SSG ROVERO: Appreciate that, SFC Lang.

5-41. During the counseling, the leader and soldier conduct a review to identify and discuss the soldier's strengths and weaknesses and create a plan of action to build upon strengths and overcome weaknesses. This counseling is not normally event-driven. The discussion may include opportunities for civilian or military schooling, future duty assignments, special programs and reenlistment options. Every person's needs are different and leaders must apply specific courses of action tailored to each soldier.

5-20

Student Handout 8

Extracted Material from DA Pam 600-25

This Student Handout contains 7 pages of extracted material from the following publication:

DA Pam 600-25, US Army NCO Professional Development Guide, 15 October 2002

Cover Page	
Chapter 2	para 2-1 thru 2-6
Chapter 4	para 4-1 and 4-2

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Department of the Army

Pamphlet 600–25

Personnel-General

U.S. Army Noncommissioned Officer Professional Development Guide

Headquarters
Department of the Army
Washington, DC
15 October 2002

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Chapter 2
Leader Development Process

2–1. Leader development process

The leader development process consists of three distinct, but closely related pillars: institutional training, operational assignments, and self-development. This is a continuous cycle of education, training, experience, assessment, feedback, and reinforcement designed to meet the needs of the Army, the unit, and develop the potential of noncommissioned officers as leaders. In all three pillars, the emphasis is on developing competent and confident leaders of character who understand, and have the ability to exploit the full potential of current and future Army doctrine across the full spectrum of military operations.

2–2. Institutional training

a. Institutional training is all formal military training and education NCOs receive throughout a military career. The purpose of institutional training is to develop the values, attributes, critical war fighting skills, and actions that are essential to quality NCO leadership. When these same values, attributes, skills, and actions are tested, reinforced, and strengthened by follow-on operational assignments and meaningful self-development programs, NCOs attain and sustain competency in their profession of arms. Institutional training provides the sound foundation upon which all future leader development rests. The Noncommissioned Officer Education System (NCOES) and certain other functional courses form the institutional training pillar of NCO leader development. NCOES is designed to prepare noncommissioned officers to lead and train soldiers who work and fight under their leadership, and assist their assigned leaders to execute unit missions. NCOES does this through progressive and sequential training using small group instruction for NCOs throughout four levels of schooling: primary, basic, advanced, and senior. Functional courses are based on specific skills required for special assignments or duties. The Army uses resident and distance learning instruction to provide this institutional training.

b. The Primary Leadership Development Course (PLDC) is a non-military occupational specialty (MOS) specific, field-oriented, leadership course built around basic soldier skills. PLDC trains specialist (SPC)(P), corporal (CPL)(P), and sergeants at Noncommissioned Officer Academies (NCOA) throughout the Army. The training is focused on the values, attributes, skills, and actions needed for team leadership responsibilities at the rank of sergeant (SGT). Active Army (AA) and Active Guard (AGR) Reserve Component (RC) NCOs attend a 30-day resident course. Non-AGR RC NCOs complete pre-resident training, then attend a 15 day resident phase during active duty for training (ADT) or annual training (AT) at a TASS (The Army School System) institution. Promotion to SGT is contingent upon successful completion of PLDC.

c. The Basic Noncommissioned Officer Course (BNCOC) is between 2 to 55 weeks, depending upon the MOS, and consists of two or more phases. Phase I, which is a stand alone common core, uses the small group instruction process to teach the theory and principles of battle-focused common core training, leadership, and war fighting skills required to lead a squad-sized element in combat. Phase II is "hands on," performance oriented, technical training that is specific to the MOS. The level of training received at BNCOC progressively and sequentially improves upon the previous instruction received in PLDC and operational assignments. All NCOs attend a TASS school facility dependent upon training seat availability and proximity to home station. Non-AGR RC NCOs attend during ADT or AT. Promotion to staff sergeant is contingent upon successful completion of BNCOC.

d. The Advanced Noncommissioned Officer Course (ANCOC) is structured similar to BNCOC, and prepares NCOs to assume the duties and responsibilities needed to lead a platoon-sized element. ANCOC has a phase I stand-alone common core, as well as proponent phases that include hands-on and performance oriented training that emphasize war-fighting skills. ANCOC is conducted at resident service schools and the course length is based upon the MOS. As with BNCOC, AA and RC NCOs attend a TASS school facility dependent upon training seat availability. Non-AGR RC NCOs attend during ADT or AT. Promotion to SFC is contingent upon successful completion of ANCOC.

e. The Sergeants Major Course (SMC) prepares selected master sergeants (MSG) to perform the duties of sergeant major (SGM) and command sergeant major (CSM) for staff and troop assignments. The SMC is the pinnacle of the enlisted education system, and is a prerequisite for promotion to SGM and appointment to CSM. This senior-level training is obtained through a 9-month resident course taught at Fort Bliss, TX or through a two-year non-resident course for RC and selected AA personnel.

f. Functional courses such as drill sergeant, recruiter, and attaché training are required for special assignments. Other functional courses such as the Battle Staff Course and First Sergeants Course (FSC), provide specific skills required for duties in operations and leadership areas of responsibility. Senior NCOs selected for first sergeant duty are required to attend the FSC prior to assuming their initial first sergeant position. Command sergeants major (CSM) attend the Command Sergeants Major course to prepare them for their initial duty as a CSM.

2–3. Operational assignments

a. Operational experience provides leaders the opportunity to employ and further develop those skills attained through the process of formal education. Experience gained through a variety of challenging duty assignments prepares NCOs to lead soldiers in combat.

b. Operational assignments are made based on the NCO's military specialty and additional skills. Special duty assignments present a unique challenge and opportunity for leader development as the NCO is often performing duties outside his or her primary military occupational specialty (PMOS) in positions that include drill instructor, recruiter, joint duty, and attaché. Commanders and leaders use the Unit Leader Development Plan (LDP) and noncommissioned officer professional development (NCOPD) to enhance NCO leader development during operational assignments.

c. Developing leaders is a priority mission in Army organizations. Commanders, leaders, and supervisors develop subordinates and ensure necessary educational requirements are met. Commanders should establish a formal unit LDP that focuses on developing individual leaders. These programs should consist of three phases: reception and integration; basic skills development; and advanced development and sustainment.

(1) Conduct an assessment of basic skills to identify strengths that must be sustained, weaknesses that need improvement, and skills that need to be developed for the NCO to assume greater responsibilities.

(2) Integrate mission essential task list (METL) based training and other unit-related training that support the unit METL.

(3) Correct weaknesses that impact on the performance of duties. Gain experience for assignment and career development needs.

d. The NCOPD is the NCO leader development program implemented by the CSM, and is based on the commander's guidance and directives. This program encompasses most leadership training at the unit level, and is tailored to the unique requirements of that unit and its NCOs.

e. Commanders must continuously integrate individual training with collective training to effectively use available time and resources to develop leaders and ensure soldiers can perform every task required at their skill level. Operational assignments should reflect the present and projected level of the soldier's institutional training and performance abilities.

2–4. Self-development

a. Self-development is a planned, progressive and sequential program followed by NCOs. This program is comprised of individual study, education, research, and professional reading (see the Army Chief of Staff's professional reading list–appendix E). Self-development also includes practice, and self-assessment, and ideally is synchronized with institutional training and operational assignments. Self-development programs should complement and expand on advancements and accomplishments gained during institutional training and operational assignments, and the programs require a lifelong commitment. Self-development is a personal responsibility and focuses on maximizing leader strengths, minimizing weaknesses, and achieving individual leader development goals. Self-development is a joint effort involving the individual soldier and the full support of commanders, leaders, and supervisors to be effective.

b. Initially, self-development is narrow in focus, but broadens as individuals become more familiar with their own strengths and weaknesses, determine their specific needs, and become more independent. Each leader's knowledge and perspective increase with age, experience, institutional training, and operational assignments. Specific and goal-oriented development allows individuals, commanders, and leaders to build a functional self-development program tailored to NCO and unit needs. NCO professional development models (PDM) are the soldiers' guide to self-development.

2–5. Educational activities in support of self-development

Many self-development activities recommended on a PDM come from programs and services offered through the Army Continuing Education System (ACES), which operates education and learning centers throughout the Army. ACES assists soldiers with self-development as described below:

a. Education center counseling services provide academic and vocational counseling to help soldiers establish professional and educational goals. Counselors assist in enrolling the soldier in appropriate courses and in finding alternate methods to achieve the soldier's goal when duty schedule prevents regular course enrollment.

b. Functional Academic Skills Training (FAST) offers instruction in reading, mathematics, and communication skills to help soldiers function on the job, prepare for advanced training, and meet prerequisites for continued education. These courses can help selected soldiers achieve the current recommended reading grade levels and the Army's recommended writing standard. This is an on-duty commander's program to ensure soldiers possess the necessary reading and writing skills to succeed in their occupational specialty. Read-to-lead is a self-paced program to help soldiers improve their reading skills.

c. High school completion programs offer soldiers the opportunity to earn a high school diploma or equivalency certificate on or off-duty.

d. College level courses are available through installation education centers that coordinate with participating colleges to provide on-post programs that lead to a degree. Most institutions, operating on-post, are part of the Service members Opportunity Colleges Army Degree (SOCAD), which guarantees soldiers' transfer of credits and acceptance of non-traditional credits, such as military experience and College Level Examination Program (CLEP) tests. Also included are courses for credentialing, certification, and licensing through the education centers or using an online Web site, Army Credentialing Opportunities Online (COOL). Tuition assistance (TA) is authorized to pay for voluntary off-duty, and approved on duty, education programs that support Army educational objectives and the soldier's self-development goals. These programs help soldiers earn post secondary degrees, that is, associate and baccalaureate's degrees, recommended on professional development models. Education counselors assist soldiers in applying for tuition assistance.

e. Testing is offered by education centers for a wide range of academic and vocational tests. These tests include the Adult Basic Education (Test) (TABE)-A Reading Comprehension Test for NCOES; Scholastic Aptitude Test (SAT) and American College Test (ACT) for college entrance; and College Level Examination Program tests for college credit.

f. Language training for non-linguists is provided by ACES through host-nation orientation and instruction in basic language skills. These courses enhance language skills of soldiers whose primary duties require frequent contact with host-nation counterparts. Materials are also available for sustainment of language skills.

g. Correspondence courses are offered through The Defense Activity for Non-Traditional Educational Support (DANTES), which publishes a catalog of post-secondary correspondence courses in which soldiers may enroll in, as well as attending regular classroom courses. Education counselors can advise soldiers on the availability of approved courses and tuition assistance.

h. Army Learning Centers provide a variety of independent study materials, computer-based instruction, language labs, tutorial services, and a military publications library. These centers support self-development, unit, and individual training. Materials recommended on PDM reading lists can generally be found in Army learning centers.

i. The Army Correspondence Course Program (ACCP) provides a variety of self-study correspondence courses that are specific to each MOS and CMF. Courses are also available in leadership and training management, and are geared to professional development. Proponent schools develop the courses, many of which consist of sub-courses that provide the soldier promotion points once completed. Soldiers can enroll for courses at the their unit, their Army learning center or online.

2–6. Professional development models

Professional development models are developed for each MOS, and are found in chapters 4 through 36 of this publication. PDMs —

a. Outline institutional training and operational assignments in relation to career management field (CMF) recommended self-development activities. Leader self-development is an individual soldier responsibility, and the only leader development phase over which a soldier has direct control.

b. Emphasize self-development. However, soldiers should not emphasize PDM activities to the point where self development takes precedence over duty performance.

c. List operational assignments as examples of career development. Soldiers should consult with their supervisors and career advisors for their particular CMF progression.

d. Guide soldiers through CMF proponent recommended activities to become more proficient at current and next higher-level duty positions.

e. Identify courses and training that complement and supplement institutional instruction and operational assignment experiences.

f. Focus on broad recommendations, which address the values, attributes, skills, and actions successful NCOs have found to be beneficial to their career progression. Each PDM lists recommended self-development activities to complete prior to attending NCOES and for specific MOS skill levels. Activities include ACCP, computer-based instruction, post secondary courses, professional readings, and learning center activities.

g. Recommend goals to include professional certification, credentialing, and degrees related to the soldier's CMF.

h. Contain recommendations for self-development. It may not be feasible for a soldier to complete all recommended activities since some duty assignments may preclude off-duty education. However, there are alternate methods of achieving recommendations, for example, examinations, distance learning, and learning center activities.

i. Offer a series of planned, progressive, and sequential developmental activities that leaders can follow to enhance and sustain military leadership competencies throughout their careers. Any self-development activities undertaken will require personal sacrifice of off-duty time if the soldier is to achieve the desired goal.

j. Provide the recommended activities soldiers can take to better prepare themselves for each phase of NCOES and to perform in each duty assignment.

Chapter 4
Infantry (CMF 11) Career Progression Plan

4–1. Duties
The Infantry Force is a branch designed to close with the enemy by fire and maneuver to destroy or capture him, and repel his assault by fire, close combat, and counterattack. The Infantry can fight mounted or dismounted according to terrain conditions and mission requirements. This career field is closed to women.

4–2. MOS 11B Infantryman
a. Major duties. The infantryman supervises, leads, or serves as a member of an infantry activity that employs individual small arms weapons or heavy anti-armor crew served weapons, either vehicle or dismounted in support of offensive and defensive combat operations.

b. Prerequisites. See DA Pam 611–21 and PERSCOM Smartbook Web site.

c. Goals for development The purpose of the infantryman professional development pattern is to educate soldiers and NCOs on how to map their career to become successful combat leaders. United States Army Infantry Center's (USAIC's) commitment to the Infantry Force is that it will prepare NCOs for success through training in the institution, based on a thorough review of training strategy. The Noncommissioned Officer Education System (NCOES) System will also provide multifunctional training during Basic Noncommissioned Officer Course (BNCOC), and Advanced Noncommissioned Officer Course (ANCOC) to all NCOs to assist in forming the NCO into a leader prepared to excel in any Infantry assignment. Infantrymen will fill varied tactical assignments during their career, which will come when the NCO transitions between the different functions of Infantry (light, mechanized, and antiarmor). The Light Leaders Course, Bradley Transition Course, and Anti-Armor Leaders course have been instituted to
provide the specialized training required to set the adaptive infantry leader for success. Follow-on assignments at the brigade and division staff will then add to their overall professional knowledge. In a tactical unit, the NCO should spend roughly 75 percent of his assignments at battalion level and below and 25 percent in other duty positions. Back-to-back, non-infantry tactical assignments should be avoided (such as going from drill sergeant to recruiter duty, instructor, or staff to similar positions). It is possible these situations will occur due to direct assignment from the Department of the Army. NCOs should seek the harder, more professionally rewarding, leadership positions: team leader, squad leader, section leader, platoon sergeant, and first sergeant. They should round out their careers with battalion/brigade operations experience.

(1) *Private (PVT)-SPC/CPL.*
(a) Institutional training. One station unit training (OSUT), Primary Leadership Development Course (PLDC).
(b) Operational assignments. The focus during the early years of a soldier's career should be on building a strong base of technical expertise in equipment, basic MOS skills, and common soldier tasks.
(c) Self-development. Soldiers should become familiar with and study the following military publications: FM 21–20, FM 22–5, AR 670–1, FM 21–75, FM 21–11, and all-10 level maintenance manuals associated with their equipment. The following is the suggested reading list: Art of War (Sun Tzu), The Forgotten Soldier (Sajer, Guy), The Killer Angels (Shaara, Michael). The OPTEMPO of tactical assignments limits the opportunity for civilian education, but if you are willing to make sacrifices, then the chances are there. If you are unable to pursue formal civilian courses CLEP and DANTES are available; again these are based on the individual soldiers' own desire to excel. There are, however, ample opportunities to participate in various types of correspondence courses.
(d) Additional training. Airborne, Air Assault, Javelin/Dragon, Sniper, Rappel Master.
(e) Special assignments. Recruiter programs (must volunteer).

(2) *SGT.*
(a) Institutional training. PLDC (for conditional promotion to SGT, see AR 600–8–19), and BNCOC.
(b) Operational assignments. The focus during this phase of a soldier's career should be on developing leadership skills, honing on technical expertise, and laying a foundation of tactical knowledge. Team leader and squad leader positions should be sought out.
(c) Self-development. Soldiers should study and master the following military publications: FM 1, FM 3–0, FM 3–25.26, FM 22–100, FM 25–100, FM 25–101, all -10 level maintenance manuals associated with their equipment, and all battle drills that are associated with current assignment. The following is the suggested reading list:

Common Sense Training (Collins, Presidio Press, 1980, ISBN 0–89141–046–5), Small Unit Leadership (Malone, Mike), Rules for Leadership; Improving Unit Performance (Blade, National Defense University Press, 1986, 88–28556), Guide to Effective Military Writing (McIntosh, Stackpole Books), Readings on famous military leaders; that is, Napoleon, Grant, Lee, Pershing, Patton, Bradley, Ridgeway, Westmoreland, Schwartzkopf, The Story of the Noncommissioned Officer Corps (Center for Military History, 70–38), Attacks (Rommel), When bad things happen to good people (Kushner, Harold S). Seek opportunities to pursue college level courses.
(d) Additional training. Light Leaders Course, Bradley Transition Course, Anti-Armor Leaders Course, Ranger, Airborne, Air Assault, Jumpmaster, Sniper, Master Fitness, Rappel Master, Master Gunner (SGT promotable).
(e) Special assignments.. Drill sergeant (SGT promotable).

(3) *SSG.*
(a) Institutional training. BNCOC (for conditional promotion to SSG, see AR 600–8–19), ANCOC, and Battle Staff Course.
(b) Operational assignments. The focus of this phase is to continue development and refinement of the leadership skills and tactical and technical expertise at the squad and platoon level. Soldiers should seek duty as squad/section leaders, possibly platoon sergeants if the opportunity is available.
(c) Self-development. Soldiers should study and master the following military publications: FM 3–25.26, FM 22–100, FM 25–100, FM 25–101, DA Pam 600–25, all-10 level maintenance manuals associated with their equipment, and all battle drills that are associated with current assignment. The following is the suggested reading list: Small Unit Administration (Manual or ADP Systems, Stackpole Books), The Noncommissioned Officers' Family Guide (Gross, Beau Lac Pub, 1985, ISBN 0–911980–13–X). At this stage soldiers should seek opportunities to pursue completion of an associate's degree.
(d) Additional training. Master gunner, Light Leaders Course, Bradley Transition Course, Anti-Armor Leaders Course, Ranger, Airborne, Air Assault, Master Gunner, Pathfinder, Jumpmaster, Rappel Master, Master Fitness.
(e) Special assignments. Instructor, drill sergeant, recruiter, AA/RC advisor, observer/controller.

(4) *SFC.*
(a) Institutional training. ANCOC (for conditional promotion to SFC, see AR 600–8–19), First Sergeants Course (First time first sergeants are required to attend the FSC prior to holding a first sergeant position), and Battle Staff Course.
(b) Operational assignments. The critical assignment at this stage is platoon sergeant, especially in a tactical unit. Platoon sergeant is an assignment you must seek to be qualified in the duty position and will enhance your ability to be a better leader in combat. It also increases soldier potential for selection to MSG.
(c) Self-development. Soldiers should study and master the following military publications: FM 3–7, FM 21–31, FM 25–100, FM 3–0, FM 25–101, DA Pam 600–25, AR 350–17, AR 750–1. The following is the suggested reading list: Readings about world politics and tensions issues, Combat Leader's Field Guide (10th Ed., Stackpole Books), Roots of Strategy, Book 2 (Picq, Clausewitz, Jomini, Stackpole Books). At this stage you should seek opportunities to pursue completion of an associate's degree.
(d) Additional training. Light Leaders Course, Bradley Leaders Course, Master Gunner, Anti-Armor Leaders Course, Ranger, Airborne, Air Assault, Drill Sergeant, Rappel Master, Jumpmaster, Air Tactical Operation Course, Master Fitness, Equal Opportunity Advisor.
(e) Special assignments. IG NCO, instructor, drill sergeant, observer/controller at a Combat Training Center (JRTC, CMTC, NTC), AA/RC advisor, ROTC, EO advisor, Career management NCO, battalion/brigade/division operations, troop command (RC), State HQ (ARNGUS), regional support command or GO command (USAR).

d. Professional Development Model for MOS 11B. See Professional Development Model for MOS 11B.

e. Army career degrees. See SOCAD Army Career Degree Program.

f. GI to Jobs. See GI to Jobs COOL Web site.

PRACTICAL EXERCISE 1

Title	CONDUCT A COUNSELING SESSION
Lesson Number/Title	L328 version 2 / COUNSEL SUBORDINATES
Introduction	Use the situations in SH-5 for the counseling preparation and role-play exercise. In each scenario, there is a brief reading for both the counselor and the subordinate. Students may play the role of any counselor in the scenarios.
Motivator	To be a successful Army leader, you show respect for your subordinates when you allow them to take responsibility for their own ideas and actions. This training will provide you with the basics of counseling, a skill; you will continue to develop as you grow as a leader.
Learning Step/Activity	**NOTE:** The instructor should inform the students of the following Learning Step/Activity requirements. (ELO B.1) At the completion of this lesson, you [the student] will:

Action:	Demonstrate the ability to use correct counseling procedures and skills.
Conditions:	As a small unit leader in a company or battalion level unit.
Standards:	Demonstrated the ability to use correct counseling procedures by-- • identifying strengths and weakness of the counseling session, and • observing the parts of the counseling session that need improvement, IAW FM 22-100, SH-5, and SH 6.

Safety Requirements	None
Risk Assessment Level	Low
Environmental Considerations	None

Evaluation

This is not a graded PE. As a group, you will discuss the solution, review the DA Form 4856 solution sheet that the instructor will hand out, and resolve any misunderstandings.

Instructional Lead-In

This PE replicates real life situations, which directly relate to the material covered in the lesson.

Resource Requirements

Instructor Materials:

- Copy of the practical exercise.
- Copies of all Student Handouts.
- FM 22-100.

Student Materials:

- Student Handouts.
- FM 22-100.
- Pencils or pens and writing paper.

Special Instructions

Preparation for Counseling (role-play). Instructors will assign students a counseling situation SH-5, (App D), and provide students approximately 2 minutes to read the situation. The rest of the students in the class will complete an O*bservers Worksheet SH-6, (App D)* during the counseling role-play and discuss his/her results with class following the role-play exercise.

- Instructor selects a pair of students to conduct each of the counseling role-play situations. Within the pair, assign students the roles of counselor and subordinate. The instructor will give the counselor and subordinate the handout for their situation SH-5, (App D). The subordinate and counselor will read the handouts prior to the beginning of the counseling session. The counselor will counsel the subordinate for a period of approximately 10 minutes using the Developmental Counseling procedures he/she reviewed earlier for the counseling session.

- The rest of the class will evaluate the counselor's counseling performance using the *Observer's Worksheet SH-6, (App D)*. The instructor will call on students to assess the conduct of the session performance at the conclusion of the counseling session. The theory is that the students will have to demonstrate some mastery of the task to correctly evaluate someone else.

The counselor and the subordinate should receive ONLY the situations, which apply to their role.

Procedures

Instructors will choose from the following situations for this role-play exercise form SH-5, (App D).

Situation 1. "PT Formation" (event / substandard performance counseling)
Situation 2. "Death of a Loved One" (event-crisis counseling)
Situation 3. "Expectant Mother" (event-crisis counseling)
Situation 4. "No Money Down" (event / referral counseling)
Situation 5. "Unacceptable Duty Performance" (event / substandard performance counseling)

Feedback Requirements

At the end of the role-plays, the students will discuss observations. The class will discuss any points the counselor may have missed. The instructor will hand out the solution DA Form 4856 at the end of each session and answer any questions that the class may have concerning the recording of the counseling session. The instructor will stress to the class that this is just one possible solution, but that any correct solution must follow our counseling doctrine as outlined in Appendix C, FM 22-100 and Chapter 5, FM 7-22.7.

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PRACTICAL EXERCISE 2

Title

CLASSIFICATION AND RATING EXERCISE

Lesson Number/Title

L328 version 2 / COUNSEL SUBORDINATES

Introduction

Professional counselors receive years of schooling to learn how to effectively counsel. In the military, all leaders must be able to counsel. Throughout this lesson we introduced you to the fundamentals of counseling, now you will have the opportunity to apply these fundamentals in some very realistic counseling situations.

Motivator

To be a successful Army leader, you show respect for your subordinates when you allow them to take responsibility for their own ideas and actions. This training will provide you with the basics of counseling, a skill; you will continue to develop as you grow as a leader.

Learning Step/Activity

NOTE: The instructor should inform the students of the following Learning Step/Activity requirements. (ELO C.1)

At the completion of this lesson, you [the student] will:

Action:	Assess the performance of subordinates.
Conditions:	As a small unit leader in a company or battalion level unit.
Standards:	Assessed the performance of subordinates by-- • observing leadership performance, • recording actions, • classifying actions using leadership dimensions, • rating leadership performance, and • developing subordinates using performance indicators, IAW FM 22-100 within a specific timeline.

Safety Requirements

None

Risk Assessment Level

Low

Environmental Considerations	None
Evaluation	This is not a graded PE. At the end of the PE, you will receive a solution sheet. As a group, you will discuss the solution and resolve any misunderstandings.
Instructional Lead-In	This PE replicates real life situations that directly relates to the material covered in the lesson.
Resource Requirements	**Instructor Materials:** • Copy of the practical exercise. • Copies of all student handouts. • DA Video 710942 “Developmental Counseling.” • FM 22-100. • FM 7-22.7. • DA PAM 600-25. **Student Materials:** • Reading materials listed on SH-1, Advance Sheet. • Pencils or pens and writing paper.
Special Instructions	None

Procedures

Complete the PE and discuss solutions during this training.

Directions: As an assessor, you have observed and recorded behaviors. It is now your task to accomplish the following:

- classify using the **attributes, skills and actions** and
- rate the behaviors as either leader strength (S) or a leader weakness (W).

A rating of "S" represents a successful performance of the task by a leader in the targeted leadership position, while a rating of “W” means that the leader needs some improvement in this area to meet the standard. Review the definition of each attribute, skill or behavior before you rate the behaviors.

1. As soon as the mortar round landed outside the impact area, the unit stopped training. The investigating officer interviewed the platoon and found that someone opened and left the ammunition containers out in the open overnight. He also found that the aiming circle used to lay the mortars was improperly set up. When asked to show how to operate the mortar's sight, the squad leader was unable to properly perform the task two times out of five.

Classification: _____ Rating: _____

2. SGT Hardy spoke in a clear, articulate manner with considerable inflection, enthusiasm, and confidence. At times however, his enthusiasm caused him to be rather lengthy in his responses, which also caused him to occasionally become sidetracked from the topic of the discussion.

Classification: _____ Rating: _____

3. After issuing clear guidance, 1SG Jones established milestones for the training and then told the platoon sergeants that he wanted them to brief him on their plans in three days. He listened to their plans, gave recommendations, and then watched each platoon conduct the training.

Classification: _____ Rating: _____

4. SFC Jones told the new Section Chief: "I'll test your competence by giving you lots of responsibility, step aside, and watch to see how you handle it. You will either sink or swim. If you can't produce, I need to find out now so that I can get rid of you and get a replacement." The new NCO was clearly not comfortable with this plan, but before he could ask any questions, SFC Jones left the room.

Classification: _____ Rating: _____

5. SGT James established clear standards, told soldiers what he expected, and then monitored closely to see where he could assist and to see if his subordinates' met his expectations. By doing this, he ensured uniformity of performance in critical areas. His presence showed the importance of the mission and that he expected high standards.

Classification: _____ Rating: _____

6. SFC Thomas decided to counsel every soldier in his platoon that would soon be in the window for reenlistment. He identified the six soldiers in his platoon who were in the window, checked with the reenlistment NCO, and arranged to meet with each soldier for thirty minutes. Though the sessions went well, there were numerous interruptions because SFC Thomas used the dayroom to meet with the soldiers.

Classification: _____ Rating:_____

7. Since SGT Foote did not have all the information she needed, she talked to the platoon sergeant and the other squad leaders. After considering the information they provided, she selected a course of action.

Classification: _____ Rating: _____

8. The vehicle winch was improperly adjusted. SGT Miller, the mechanic who completed the service, said he did not know this was part of the service. The vehicle's technical manual clearly showed that he was to check and adjust the winch during the service. There were no other problems found during a check of the rest of the vehicle.

Classification: _____ Rating: _____

9. SGT Sharpe called the weather service, considered their forecast, and announced that they conduct the class in the auditorium.

Classification: _____ Rating: _____

10. As soon as it was evident that none of the section leaders understood the new requisitioning procedures, SGT Good took time to explain the procedures to them. He used the chalkboard to illustrate the procedures step by step and identify responsibilities. He showed them how to complete the forms and explained the advantages of the new system. After the short class, each of them seemed to understand the system.

Classification: _____ Rating: _____

11. Because of a long line at the supply window, the supply clerk chose to issue the tools without referring to the SOP or talking to his NCOIC. This caused many problems since he did not properly account for the tools on a shortage annex.

Classification: _____ Rating: _____

12. The support platoon sergeant was always looking for new ideas. He came up with a creative plan for resupplying the companies. Initially, there was some resistance to the new procedures because they changed the way the companies had been operating. In time, the new procedures improve resupply procedures.

Classification: _____ Rating: _____

13. SPC Wilson presented his ideas for improving TOC operations to the OPS NCOIC. The ideas were very innovative. SFC Thomas listened to the ideas but quickly discounted them as being too different from the way they had been operating.

Classification: _____ Rating: _____

14. SPC Jones used the Digital Message Device to send the fire mission. According to the NCOIC, he did not input the data properly.

Classification: _____ Rating: _____

15. The squad leader used the reverse planning process to ensure the unit would cross the line of departure on time. He correctly considered that movement at night would be slow.

Classification: _____ Rating: _____

Feedback Requirements

None

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HANDOUTS FOR LESSON 1: L333 version 2

This appendix contains the items listed in this table-

Item/Title	Pages
SH-1, Advance Sheet	SH-1-1
SH-2, Extracted material from AR 623-205	SH-2-1

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Student Handout 1

Advance Sheet

Lesson Hours

This lesson consists of one hour, fifty-five minutes of small group instruction and two practical exercises (35 Mins).

Overview

The Noncommissioned Officer Evaluation Reporting System (NCOERS) supports the Army's personnel management program and the career development of individual soldiers. It has a direct impact upon NCO's careers. It influences promotion, school selection, assignments, and qualitative management and measures the quality of the NCO Corps. Ultimately, NCO-ERs help determine the senior enlisted leadership of the Army. With such an impact, it is important that NCOs understand their responsibilities not only to the system, but also to the soldiers they rate. This lesson will provide you with a review of your responsibilities for preparing fair and correct NCO-ERs.

Learning Objective

Terminal Learning Objective (TLO).

Action:	Prepare a Noncommissioned Officer Evaluation Report.
Conditions:	As a squad leader in a classroom environment and given DA Form 2166-8-1, DA Form 2866-8 and AR 623-205.
Standards:	Prepared a Noncommissioned Officer Evaluation Report IAW AR 623-205.

Enabling Learning Objectives (ELOs)

The ELOs for this lesson are:

- ELO A: Identify Counseling Requirements.
- ELO B: Identify Rater Qualifications and Responsibilities.
- ELO C: Identify Different Types of Reports.
- ELO D: Complete The Rater Portion of an NCO-ER.
- ELO E: Complete the Senior Rater Portion of an NCO-ER.

Assignment

The student assignments for this lesson are:

- Read AR 623-205:

Cover Page
Chapter 1, Introduction, pages 1 thru 5
Chapter 2, The Rating Chain, pages 5 thru 10
Chapter 3, Evaluation Forms and Preparation, pages 9 thru 36
Chapter 4, Army National Guard of the United States, pages 49 thru 51
Chapter 5, US Army Reserve, page 52
Section II, Terms, pages 81 thru 83

Additional Subject Area Resourses

None

Bring to class

- Pen or pencil and writing paper.
- All reference material for this lesson.

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Student Handout 2

Extracted Material from AR 623-205

This student handout contains 44 pages of extracted material from the following publication:

AR 623-205, Noncommissioned Officer Evaluation Reporting System, dated 15 May 2002.

Cover Page	no number
Chapter 1, Introduction	pages 1 thru 5
Chapter 2, The Rating Chain	pages 5 thru 9
Chapter 3, Evaluation Forms and Preparation	pages 9 thru 36
Chapter 4, Army National Guard of the United States	pages 49 thru 51
Chapter 5, US Army Reserve	page 51 thru 52
Section II, Terms	pages 81 thru 83

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Army Regulation 623–205

Personnel Evaluation

Noncommissioned Officer Evaluation Reporting System

Headquarters
Department of the Army
Washington, DC
15 May 2002

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Chapter 1
Introduction

Section I
Information

1–1. Purpose
This regulation prescribes the enlisted evaluation function of the military personnel system. It is linked to AR 600-8 and provides principles of support, standards of service, policies, tasks, rules, and steps governing all work required in the field to support the Noncommissioned Officer Evaluation Reporting System (NCOERS). It also provides guidance regarding redress programs including Ccommander's inquiries and appeals.

1–2. References
Required and related publications and prescribed and referenced forms are listed in appendix A.

1–3. Explanation of abbreviations and terms
Abbreviations and special terms used in this regulation are explained in the glossary.

1–4. Responsibilities
a. Executive agents. Acting as executive agents for the Secretary of the Army, the Commanding General (CG), PERSCOM; Chief, National Guard Bureau (CNGB); and the Commander, AR-PERSCOM are responsible for the effective operation of the NCOERS. In addition, State Adjutants General exercise certain responsibilities on behalf of the Army National Guard.

(1) The State Adjutants General will—

(a) Exercise final review authority on all evaluation reports prior to acceptance in the official files. This includes—

1. Determining that a report is correct as submitted and needs no further action.

2. Correcting, or returning to rating officials for correction, reports that may be in error, may violate provisions of this regulation, or would result in an injustice to an individual or a disservice to the Army.

3. Directing commanders to investigate apparent errors or violations of this regulation and to submit their findings or recommendations. These will be filed in official files or otherwise disposed of as the executive agent deems appropriate.

(b) Direct the rendering of reports when circumstances warrant and other provisions of this regulation do not apply.

(c) Dispose of commander's inquiries conducted according to paragraph 6-3 and the subject evaluation as deemed appropriate.

(2) The CG, PERSCOM (for the Active Army), CNGB (for the Army National Guard) and CAR (for the U.S. Army Reserve) will clarify or grant exceptions to policies, as the need arises.

b. Commanders.

(1) The commanders at all levels will ensure that—

(a) A copy of this regulation is available to the rated noncommissioned officer (NCO) and rating officials.

(b) Rating chains correspond as nearly as practical to the chain of command and supervision within an organization, regardless of component or geographical location.

(c) For all except ARNGUS, rating chains are drawn up by name, given effective dates, published, and distributed to each rated NCO and each member of the rating chain. Any changes to rating chains will also be published and distributed. No changes may be retroactive.

(d) For ARNGUS (not on Active Guard Reserve (AGR) or Full-Time National Guard Duty (FTNGD)), official rating schemes are published by duty position and posted in the unit so all NCOs are familiar with who their rating officials are (rater, senior rater, and reviewer). The published rating schemes will include the effective date of the rating chain. The rating scheme for ARNGUS/AGR NCOs will be by name.

(e) Each rating official is fully qualified to meet his or her responsibilities.

(f) Rating officials give timely counseling to subordinates on professionalism and job performance, encouraging self-improvement when needed.

(g) Reports are prepared by the rating officials designated in the published rating scheme.

(h) Rated NCOs are provided a copy of their completed evaluation report (see para 3-16).

(i) NCOs receive assistance, if requested, in preparing and submitting appeals (see chap 6).

(j) Reports are carefully prepared with a true sense of fairness, and submitted in sufficient time to reach the U.S. Army Enlisted Records and Evaluation Center (USAEREC), CNGB, the appropriate State Adjutant General (AG), or AR-PERSCOM, via first class mail, no later than the established suspense dates. Suspense dates are as follows: Not later than 60 days for Active Army and AGR NCOs, or 90 days for ARNGUS/USAR and soldiers not on active duty or FTNGD, after the ending month of the report. (See app B for addresses.)

(k) The duties described in paragraph 6-3 are performed when a report rendered by a subordinate appears illegal, unjust, or otherwise in violation of this regulation.

(2) The commanders at all levels will request from CDR, PERSCOM, ATTN: TAPC-MSE, Alexandria, VA 22332-0442, the appropriate State AG, or OCAR, ATTN: DAAR-PE, 2400 Army Pentagon, Washington, DC 20310-2400, clarification of policies, exceptions to policies, or specific guidance when situations arise that—

(a) Are not clearly covered by this regulation.

(b) Would result in an injustice to an individual or the Army if specific guidance is not provided or an exception not granted.

(3) The commanders at all levels will charge the command sergeant major or sergeant major with the responsibility for quality control of Noncommissioned Officer Evaluation Reports (NCO-ERs), to include ensuring that reports are accurate and submitted on time. However, no one can direct a rater or senior rater to render or change bullet comments on a report felt to be accurate and just.

1–5. Manpower resources

Manpower Staffing Standards Systems (MS3) recognizes the evaluation function as being the functional responsibility of the Evaluation Work Center of the Personnel Service Battalion (PSB). Manpower officials will use the workload factors (obtained from MS3) to determine the manpower authorizations.

1–6. Levels of work

a. Most personnel work in the field is performed at three primary levels: unit, battalion, and installation (or some equivalent in the tactical force). The focus of the guidance in this regulation is on those levels.

(1) Unit and battalion-level work is clearly defined by where it is performed.

(2) Installation-level work is subdivided into work centers. This regulation identifies the work center required to perform the work for manpower purposes.

b. This regulation will address the following levels of work:

(1) Soldiers. Work beginning with input from a soldier.

(2) Unit. Work executed at unit level.

(3) Battalion. Work executed at battalion level.

(4) Command and staff (C&S). Work executed within the chain of command (other than battalion). The specific C&S work center covered by this regulation is plans and staff support (SS).

(5) Personnel support (PS). Work executed in a personnel support organization. The specific PS work centers covered by this regulation are evaluation (EVAL), enlisted records (ENRC), and in/out-processing (IOPR).

1–7. ARNGUS-AGR title 10 and title 32 NCOs

a. ARNGUS-AGR personnel on active duty UP section 12301(d), title 10, United States Code, are those with ARNGUS full-time NGB-controlled positions, while section 502(f), title 32, United States Code AGR soldiers are those with ARNGUS full-time state-controlled positions.

b. For the purpose of this regulation, reference to ARNGUS-AGR includes both title 10 and 32 NCOs, unless specifically stated otherwise.

c. Throughout this regulation, the policies and procedures governing the ARNGUS-AGR parallel those of the Active Army with the following exceptions:

(1) *Submission of completed NCO-ERs.* Submit completed NCO-ERs to the appropriate State Adjutant General (instead of USAEREC). For title 10 AGR NCOs, the servicing Personnel Service Battalion (PSB) will retain the original copy in the Military Personnel Records Jacket (MPRJ) and forward a copy to the appropriate Adjutant General, and career management file maintained at NGB (app B).

(2) *Filing of NCO-ERs in MPRJ.* Copies of all ARNGUS NCO-ERs are filed in the permanent section of the rated NCO's MPRJ.

(3) *Processing of NCO-ERs.* The servicing PSB will process NCO-ERs for title 10 NCOs, whereas the ARNGUS personnel officer will process NCO-ERs for title 32 NCOs.

(4) *Rating chains.* The rating chain for ARNGUS-AGR (title 32) NCOs will include an AGR individual, preferably the NCO's immediate supervisor, when it will not violate the chain of command. Where it is impractical to have an AGR in the rating chain, a memorandum of input will be provided to the rater by the AGR supervisor. The memorandum will be similar to the requirement established in table 3-5, note 1.

1–8. U.S. Army Reserve-Active Guard Reserve Program

a. The U.S. Army Reserve-Active Guard Reserve (USAR-AGR) Program provides a highly qualified corps of USAR NCOs to meet support requirements for USAR programs and projects. The participants are soldiers serving on active duty in an AGR status (10 USC 12301(d)). They are not programmed against the Active Army end strength. The USAR-AGR program is supervised by the U.S. Army Reserve Full-Time Support Management Division (FTSMD) through a centralized personnel management system.

b. Throughout this regulation, the policies and procedures governing USAR-AGR personnel parallel those of the Active Army, with the following exceptions:

(1) Appeals based on administrative error will be adjudicated by Commander, AR-PERSCOM.

(2) Completed NCO-ERs will be sent to AR-PERSCOM (see para 3-23).

(3) A copy of the NCO-ER is filed in accordance with AR 600-8-104.

Section II
Overview of the Noncommissioned Officer Evaluation Reporting System

1–9. Overview

a. The Noncommissioned Officer Evaluation Reporting System (NCOERS) is designed to:

(1) Strengthen the ability of the NCO Corps to meet the professional challenges of the future through the indoctrination of Army values and basic NCO responsibilities. The continued use of Army values and NCO responsibilities as evaluation criteria provides and reinforces a professional focus for the rating chain's view of performance. Over time, this results in acceptance of the values and NCO responsibilities, better performance, and a stronger NCO Corps.

(2) Ensure the selection of the best qualified noncommissioned officers to serve in positions of increasing responsibility by providing rating chain view of performance/potential for use in centralized selection, assignment, and other Enlisted Personnel Management System (EPMS) decisions. The information in evaluation reports, the Army's needs, and the individual NCO's qualifications are used together as a basis for such personnel actions as school selection, promotion, assignment, military occupational specialty (MOS) classification, command sergeant major (CSM) designation, and qualitative management.

(3) Contribute to Army-wide improved performance and professional development by increased emphasis on performance counseling. Evaluation reports provide the NCO formal recognition for performance of duty, measurement of professional values and personal traits, and along with the NCO Counseling Checklist/Record (DA Form 2166-8-1) are the basis for performance counseling by rating officials. Senior/subordinate communication is necessary to maintain high professional standards and is key to an effective evaluation system.

b. To ensure that sound personnel management decisions can be made and that an NCO's potential can be fully developed, evaluation reports must be accurate and complete. Each report must be a thoughtful, fair appraisal of an NCO's ability and potential. Reports that are incomplete or fail to provide a realistic and objective evaluation make personnel management decisions difficult.

c. A single report should not, by itself, determine an NCO's career. An appraisal philosophy that recognizes continuous professional development and growth (rather than one that demands immediate, uncompromising perfection) best serves the Army and the NCO.

1–10. Principles of support

The Military Personnel System will—

a. Evaluate the performance and potential of noncommissioned officers (SGT through CSM), in peacetime and wartime.

b. Support the Army's personnel life-cycle function of professional development.

1–11. Standards of service

a. The enlisted evaluation process is—

(1) A wartime military personnel function.

(2) Resourced in the table of organization and equipment (TOE) Personnel Services Battalion (PSB).

(3) Deployed with the tactical force.

(4) The functional responsibility of the Personnel Services Branch (and its tactical counterpart).

b. Peacetime standards are—

(1) Evaluation reports will be prepared and forwarded to the Official Military Personnel File (OMPF) not later than 60 days (Active Army) and 90 days (ARNGUS-USAR) after the THRU date.

(2) Evaluation reports will be prepared on all noncommissioned officers from SGT through CSM.

(3) The rater will be senior to the rated noncommissioned officer; the senior rater will be senior to the rater; and the reviewer will be senior to the senior rater.

(4) Mandatory evaluations will normally cover a minimum of 90 days.

(5) Optional evaluations to complete OMPFs prior to promotion or selection consideration may be prepared.

(6) The rated noncommissioned officer will be provided a copy of the evaluation; the original will be forwarded to USAEREC (AC), State Adjutant General (ARNGUS), or AR-PERSCOM (USAR).

(7) Evaluation reports will be typed or computer printed.

(8) The PSB will intensively manage the NCO-ER processing system to ensure accurate and timely processing.

c. Information on wartime standards is given in paragraph 1-17. When needed, paragraph 1-17 contains guidance during periods of mobilization.

Section III
Policy

1–12. Rating chain

Rating chains must correspond as nearly as practicable to the chain of command and supervision within an organization, regardless of component or geographical location. Except for ARNGUS, the rating scheme will be established by name, given effective dates, published, and distributed to each rated NCO and each member of the chain. Any changes to rating chains will also be published and distributed as they occur. Changes will not be retroactive.

1–13. Rating chain performance and potential evaluations

a. Performance evaluations are assessments on how well the rated NCO met duty requirements and adhered to the professional standards of the NCO Corps. Performance is evaluated by observing action, demonstrated behavior, and results from the point of view of the values and NCO responsibilities identified in paragraph 3-10 and contained in the NCO-ER and NCO Counseling Checklist/Record. Consideration is given to the following:

(1) The relative experience of the NCO.

(2) The efforts made by the NCO.

(3) The results that could be reasonably expected given the time and resources available.

b. Potential evaluations are performance-based assessments of the rated NCO's ability, compared with that of NCOs of the same grade, to perform in positions of greater responsibility and/or higher grade. Assessment of potential applies to all NCOs, regardless of their opportunity to be selected for higher positions or grades, and ignores such factors as impending retirement or release from active duty; this assessment is continually changing and is reserved for Headquarters, Department of the Army (HQDA).

1–14. Changes to an Noncommissioned Officer Evaluation Report

Except to comply with this regulation, no person may require changes be made to an Noncommissioned Officer Evaluation Report (NCO-ER). However, members of the rating chain and the PSB will point out obvious inconsistencies or errors to the appropriate rating officials. After needed corrections are made, the original form will be sent to USAEREC, NGB, State Adjutant General, or AR-PERSCOM, depending upon the rated NCO's status.

1–15. Commander's Inquiry

When it is brought to the attention of a commander that a report rendered by a subordinate or by a member of a subordinate command may be illegal, unjust, or otherwise in violation of this regulation, that commander will conduct an inquiry into the matter. The commander will confine the inquiry to matters relating to the clarity of the report, the facts contained in the report, the compliance of the report with this regulation, and the conduct of the rated NCO and members of the rating chain. The commander does not have the authority to direct that an evaluation be changed; he or she may not use command influence to alter the honest evaluation of a NCO by a rating official. However, he or she may provide results of a Commander's Inquiry to the rating chain. The procedures used by the commander to process an inquiry are described in chapter 6.

1–16. Access to reports

Access to reports at HQDA is limited to individuals responsible for maintaining the file or authorized to use it for personnel management purposes. Access to reports at the local level is limited to those persons having command, administrative, or rating official responsibility for the report.

1–17. Mobilization

Definitions of the categories of mobilization are found in Joint Publication 1-02. Policy changes in table 1-1 are not automatic at different stages of mobilization. Implementing instructions will be released by HQDA.

Table 1–1
Mobilization

Policy and/or procedure change	Selective mobilization	Partial mobilization	Full mobilization	Total mobilization
Length of rating period.	No policy change.	No policy change.	Minimum rating period modified by HQDA as appropriate.	Minimum rating period modified by HQDA as appropriate.
Reasons for submission of reports.	No policy change.	No policy change.	No policy change.	No policy change.
Preparation and forwarding requirements.	No policy change.	No policy change.	Reports may be typed or neatly printed in black ink. Copy of report is not required to be furnished to the rated NCO.	Reports may be typed or neatly printed in black ink. A copy of the report is not required to be furnished to the rated NCO.
Use of Counseling Checklist (DA Form 2166-8-1).	No policy change.	No policy change.	Use of Counseling Checklist is optional.	Use of Counseling Checklist is optional.
Appeals procedures.	No policy change.	No policy change.	Appeals may be submitted but action at HQDA may be delayed until post-mobilization.	Appeals may be submitted but action at HQDA may be delayed until post-mobilization.
Filing centers.	No policy change.	No policy change.	No policy change.	Reports for all activated components are forwarded to USAREC.

Notes:

These policy changes do not automatically go into effect when the various stages of mobilization are declared. Messages will be released by HQDA implementing these or any other policy adjustments that may be necessary.

Chapter 2
The Rating Chain

Section I
Managing the Rating Chain

2–1. Overview

This chapter governs the development of rating chains, rating chain qualifications, and special evaluation requirements.

2–2. Information

a. A rating chain is established to provide the best evaluation of an NCO's performance and potential. A rating chain also ties the rated NCO's performance to a specific senior/subordinate relationship. This allows for the proper counseling to develop the rated NCO and accomplish the mission. These purposes are best achieved within an organization's chain of command.

b. The evaluation of NCOs by persons not involved with their supervision is not authorized.

c. Rating chains will consist of the rater, the senior rater, and the reviewer.

d. In view of the fact that the rated NCO verifies the correctness of the rating scheme in part II of DA Form 2166-8, the S-1 or administrative office need not maintain copies of superseded rating schemes.

e. Special rules for designating rating officials have been made to cover the death, relief, or incapacitation of a rating official. These rules are covered in section IV of this chapter.

2–3. Rating chain

Rating chains must correspond as nearly as practicable to the chain of command and supervision within an organization, regardless of component or geographical location. Except for ARNGUS, the rating scheme will be established by name, given effective dates, published, and distributed to each rated NCO and each member of the chain. Any changes to rating chains will also be published and distributed as they occur. No changes may be retroactive.

Section II
Rating Chain Development and Maintenance

2–4. Rules for designating the rater

a. The rater must be—

(1) The immediate supervisor of the rated NCO and designated as the rater for a minimum period of 90 rated days. (See paras 3-30, 3-32, 3-33, 4-12, and 5-12 for exceptions.)

(2) A sergeant or above and senior to the rated NCO by either pay grade or date of rank (see AR 600-20). If the NCO is on a recommended list for promotion to one of the top three NCO grades and is serving in an authorized position for the new grade, then he or she may rate any NCO he or she supervises, if after the rater's promotion he or she will be senior in pay grade or date of rank to the rated NCO. An NCO frocked to the grade of 1SG, SGM, or CSM and serving in an authorized 1SG, SGM, or CSM position may rate any NCO he or she supervises, if after promotion he or she will be senior to the rated NCO by either pay grade or date of rank.

b. Commanders may appoint civilian employees of DOD, GS-6 and above, as raters when an immediate military supervisor is not available and when the civilian supervisor is in the best position to accurately evaluate the NCO's performance. The uniqueness of the other civilian pay scales (WG, WL, and WS) precludes the establishment of a general Army-wide policy. Therefore, the minimum grade for civilian raters holding other than GS pay grades is determined by local commanders. The civilian rater must be officially designated on the published rating scheme established by the local commander. ARNGUS military technicians (32 USC 709) must also be senior in military grade or, if the same grade, senior in date of rank, to the rated NCO.

c. Members of other U.S. military services who meet the qualifications above may be raters.

d. Members of Allied Forces are not authorized to be raters.

e. Command sergeants major (CSM) of table of organization and equipment (TOE) and table of distribution and allowance (TDA) duty assignment units will be rated by the commander with the following exceptions, provided rater qualifications are met:

(1) Military Community or Garrison CSM may be rated by Deputy Community Commander or Deputy Garrison Commander.

(2) The Assistant Division Commander or the Division/Installation CSM may rate the Active Army CSMs who are Commandants of NCO Academies. The Assistant Adjutant General Army or the State CSM may rate ARNGUS NCO Academy Commandants.

(3) The CG, Division (Institutional Training) will determine the rating chain for USAR NCO Academy CSMs who are commandants.

f. A rater may act as both the rater and senior rater when the rater is a general officer, officer of flag rank, or civilian with Senior Executive Service (SES) rank and precedence (see para 2-9g).

2–5. Rules for designating the senior rater

a. The senior rater must be—

(1) In the direct line of supervision of the rated NCO and designated as the senior rater for a minimum period of 60 rated days. (See paras 3-30, 4-12, and 5-11 for exceptions.)

(2) Senior to the rater by either pay grade or date of rank. If the NCO is on a recommended list for promotion to one of the top three NCO grades or an active Army or USAR NCO frocked to the grade of 1SG, SGM, or CSM and serving in an authorized position for the new grade, he or she may be the senior rater for any NCO he or she supervises if, after promotion, he or she will be senior to the rated NCO and the rater by either pay grade or date of rank.

b. Commanders may appoint civilian employees of DOD, GS-6 and above, as senior raters when a military supervisor is not available and when the civilian supervisor is in the best position to accurately evaluate the NCO's performance. The uniqueness of the other civilian pay scales (WG, WL, and WS) precludes the establishment of a general Army-wide policy. Therefore, the minimum grade for civilian senior raters holding other than GS pay grades is determined by local commanders. The civilian senior rater must be officially designated on the published rating scheme established by the local commander.

c. Members of other U.S. military services who meet the qualifications above may be senior raters.

d. Members of Allied Forces are not authorized to be senior raters.

e. A rater may act as both the rater and senior rater, when the rater is a general officer, officer of flag rank, or civilian with Senior Executive Service (SES) rank and precedence (see para 2-11h).

2–6. Rules for designating the reviewer

a. The reviewer must be a commissioned officer, warrant officer, command sergeant major, or sergeant major in the direct line of supervision and senior in pay grade or date of rank to the senior rater. Promotable master sergeants may serve as reviewers, provided they are working in an authorized CSM or SGM position.

b. No minimum time period is required for reviewer qualification.

c. Commanders may appoint officers of other U.S. military services or civilian employees of DOD, GS-9 and above, or other civilian pay scales as determined by the commander, as reviewers when—

(1) The grade and line-of-supervision requirements are met.

(2) Either the rater or senior rater is a uniformed Army official.

d. In cases where both the rater and senior rater are other than uniformed Army rating officials (excluding those

described in paragraph 2-6f), and no uniformed Army reviewer is available, the report will be reviewed by a uniformed Army officer in the rated NCO's PSB or unit administrative office. As an exception, this officer is not required to be senior to the rater or senior rater.

e. Members of Allied Forces are not authorized to be reviewers.

f. When the rater or senior rater is a general officer, officer of flag rank, or civilian with Senior Executive Service (SES) rank and precedence, that official will also act as reviewer (see para 2-13e). Also, general/flag rank officers and SES civilians serving with any branch of the U.S. Armed Forces may be appointed as reviewers when the rater and senior rater are other than uniformed Army rating officials.

2–7. Steps for rating chain development and maintenance

The steps for developing and maintaining a rating scheme are found in table 2-1.

Table 2–1
Rating chain development and maintenance

Step	Work center	Action required
1	BNS1	Coordinate with commander, establish by name rating chain for NCOs assigned, attached, TDY, or on special duty to the unit. Identify all rating officials for each rated NCO. Include the date that each rating official was designated.
2	BNS1	Forward draft copy of rating chain to subordinate units for review and edit.
3	UNIT	Review for accuracy of information and provide suggested corrections/changes as necessary.
4	BNS1	In coordination with the commander, prepare final rating chain document.
5	BNS1	Commander authenticates rating chain. Chain is published showing the effective date; copy is provided to each rated NCO and rating official.
6	BNS1	Forward copy of published rating chain to supporting S-1 or administrative office.
7	BNS1	Annotate changes to rating scheme as they occur. Publish authenticated revisions, with effective date, as necessary. Provide copies to each rated NCO, rating official, and the supporting S-1 or administrative office.

Section III
Rating Chain Members and Program Responsibilities

2–8. The rater

a. The rater is the person in the rating chain who—

(1) Is most familiar with the day-to-day performance of the rated NCO.

(2) Most directly guides the rated NCO's participation in the organization's mission.

(3) Has been designated and has served in that capacity for at least 90 rated days.

b. Exceptions to this policy are provided in paragraphs 3-30 and 3-33.

2–9. Program responsibilities of the rater

The rater's primary role is that of evaluation, focusing on performance and performance counseling. The rater will—

a. Counsel the rated NCO on his or her duty performance and professional development throughout the rating period; and define and discuss the duty description for part III of the NCO-ER with the rated NCO during these sessions. At a minimum, the rated NCO will be counseled within the first 30 days of each rating period and quarterly thereafter, or semiannually for ARNGUS and USAR NCOs in inactive duty training (IDT) status. Corporals and sergeants will be counseled within the first 30 days of the effective date of lateral appointment to corporal or promotion to sergeant. The DA Form 2166-8-1 is mandatory for use by the rater when counseling NCOs, CPL through CSM.

b. Prepare a separate DA Form 2166-8-1 for each rated NCO. Use the form together with a working copy of the NCO-ER for conducting performance counseling. The DA Form 2166-8-1 is maintained by the rater until after the NCO-ER for that period has been approved and submitted to USAEREC; CNGB; state AG; or CDR, AR-PERSCOM. For corporals, who will not receive a record NCO-ER, the rater will maintain the checklist for one year. There is no regulatory requirement to keep the DA Form 2166-8-1 beyond these periods. Nonetheless, in some cases, keeping it for possible future use to support personnel actions may be appropriate.

c. Assess the performance of the rated NCO, using all reasonable means (see para 3-2).

d. Prepare a fair, correct report evaluating the NCO's duty performance, values/NCO responsibilities, and potential.

e. Verify parts I and II and enter the Army physical fitness test (APFT) and height and weight result entries in part IVc of the NCO-ER.

f. Date and sign the report in part IIa.

g. Sign part IIb and d when also serving as senior rater and reviewer per paragraphs 2-5e and 2-6f.

2–10. The senior rater

a. The senior rater uses his or her position and experience to evaluate the rated NCO from a broad organizational perspective. His or her evaluation is the link between the day-to-day observation of the rated NCO's performance by the rater and the longer-term evaluation of the rated NCO's potential by DA selection boards.

b. Normally, to evaluate an NCO, the senior rater must be designated and serve in that capacity for at least 60 rated days. The exception to this policy is a Relief-for-Cause Report (see para 3-30).

2–11. Program responsibilities of the senior rater

The senior rater's role is primarily to evaluate potential, over-watch the performance evaluation, and mentor subordinates. The senior rater will—

a. Use all reasonable means to become familiar with the rated NCO's performance throughout the rating period.

b. Prepare a fair, correct report evaluating the NCO's duty performance, professionalism, and potential.

c. Date and sign the report in part IIb.

d. Obtain the rated NCO's signature in part II of the NCO-ER; ensure the rated NCO is aware that his or her signature does not constitute agreement or disagreement with the evaluations of the rater and senior rater. The rated NCO's signature indicates that he or she has seen the completed report (except parts II d and e), has verified that the administrative data (part I) is correct, the rating officials are proper (part II), and the duty description is accurate (part III) and includes the counseling dates. When counseling dates are omitted, the senior rater will enter a statement in part Ve, explaining why counseling was not accomplished. The rated NCO's signature also verifies that the APFT and height/weight entries are correct (part IVc) and shows awareness of the appeals process contained in chapter 6. If the NCO refuses to sign the report or is unavailable to sign the report, enter the appropriate statement "NCO refuses to sign" or "NCO is not available for signature" in part IIc.

e. Ensure the specific bullet examples support the appropriate ratings in part IVb-f.

f. Ensure the bullet "senior rater does not meet minimum qualifications" is entered in part Ve when the senior rater does not meet the minimum time requirement.

g. Not render an evaluation in part Vc or d when the minimum time requirement is not met.

h. Sign part IId when also serving as reviewer.

i. Not direct the rater to change an evaluation that he or she believes to be honest.

2–12. The reviewer

The reviewer is responsible for rating safeguard over-watch. He or she may comment only when in disagreement with the rater and/or senior rater.

2–13. Program responsibilities of the reviewer

The reviewer will—

a. Ensure that the proper rater and senior rater complete the report.

b. Examine the evaluations rendered by the rater and senior rater to ensure they are clear, consistent, and just, in accordance with known facts. Special care must be taken to ensure the specific bullet comments support the appropriate excellence, success, or needs improvement ratings in part IVb-f (see para 3-10 for definitions).

c. Indicate concurrence or nonconcurrence with rater and/or senior rater by annotating the appropriate box with a typewritten or handwritten "X" in part II and adding an enclosure (not to exceed one page), when the nonconcurrence box is marked (see para 3-14).

(1) When the reviewer determines that the rater and or senior rater have not evaluated the rated NCO in a clear, consistent or just manner based on known facts, the reviewer's first responsibility is to consult with one or both rating officials to determine the basis for the apparent discrepancy.

(a) If the rater and/or senior rater acknowledge the discrepancy and revise the NCO-ER so that the reviewer agrees with the evaluation, then the reviewer checks the concur box in part II.

(b) If the rater and/or senior rater fail to acknowledge a discrepancy and indicate that the evaluation is their honest opinion, the reviewer checks the nonconcur box in part II. The reviewer then adds an enclosure that clarifies the situation and renders his or her opinion regarding the rated NCO's performance and potential.

(c) The reviewer may not direct that the rater and/or senior rater change an evaluation believed to be honest.

(d) In cases where neither the rater nor the senior rater is an NCO, the reviewer may find it useful to get additional informal input from the senior NCO subordinate to the reviewer.

(2) The reviewer's enclosure is submitted in the format shown at figure 3-8 and is limited to one page. The reviewer

will notify the rating chain and rated NCO of nonconcurrence with the report. This ensures the rating chain and rated NCO have been informed of the completed report and may allow for a possible request for a Commander's Inquiry or appeal if desired.

(3) The reviewer's enclosure is not to be used as a third reworded agreement with evaluations by the rater and senior rater.

d. Date and enter his/her signature in part IId and forward the report (for enclosure policy, see para 3-24) to officers listed below:

(1) PSB for Active Army, ARNGUS title 10 AGR, and USAR-AGR NCOs.

(2) Appropriate ARNGUS personnel officer for ARNGUS and ARNGUS title 32 AGR NCOs.

(3) USAR unit personnel officer for USAR unit NCOs.

(4) Address shown in appendix B-1c for Individual Mobilization Augmentee (IMA) and Individual Ready Reserve (IRR) NCOs.

e. Sign parts IIa, b, and d when serving as rater, senior rater, and reviewer.

Section IV
Special Evaluation Requirements

2–14. Loss of a rating chain official

Special rules apply when a rating chain official is unable to render an evaluation on the rated NCO. These situations occur when a rating official dies, is suspended, relieved, reduced, absent without leave (AWOL), declared missing, or becomes incapacitated to such an extent that the reviewer, on the advice of medical authorities, believes he or she is unable to submit an accurate evaluation. When a rating official is relieved, reduced, AWOL, or incapacitated, he or she will not be permitted to evaluate his or her subordinates.

2–15. Applicable rules after loss of a rating chain official

The following rules apply to the situations described in paragraph 2–14 above:

a. The removal of the senior rater or reviewer from the rating chain is treated as a routine change. A new rating official is designated, and may participate in the evaluation after completing the required minimum time in position.

b. When the rater or senior rater is suspended, the suspended time will be counted as non-rated time.

c. When the rater is removed from the rating chain, it must be determined whether the minimum rating period for an evaluation report has been met.

(1) If the minimum rating period (90 rated days) has not been met, the period is non-rated and a new rater is designated.

(2) If the minimum rating period (90 rated days) has been met, the senior rater will perform the rater's functions provided rater qualifications are met. The senior rater will serve as both the rater and senior rater and the senior rater's information will be entered into part IIa and b.

(3) When the senior rater performs the functions of the rater, the rated period of the report will be the period the senior rater has been in the rating chain.

Chapter 3
Evaluation Forms and Preparation

Section I
The Evaluation Process

3–1. Overview

This chapter governs evaluation principles, forms, preparation, and submission of evaluation reports. Special requirements for Army National Guard of the United States and U.S. Army Reserve NCOs can be found in chapters 4 and 5, respectively. Throughout this chapter, there are references to various figures to use as examples. Additionally, there are several examples given in figures 3-9 through 3-20 to provide assistance/guidance in requesting preparation of NCO-ERs, submitting completed NCO-ERs, and correction of NCO-ERs. These are samples only. The actual content/wording of memorandums may vary depending on the organization and/or circumstances.

3–2. Evaluation principles

a. Reports will not be submitted unless authorized by this regulation or directed by HQDA.

b. Reports are submitted on all NCOs in the grade of SGT through CSM. Reports are not required but optional for CSMs serving in three and four star nominative positions, except for Relief-for-Cause Reports. When CSMs serving in

three or four star nominative positions are reassigned to other duties and no report has been submitted, that time will be considered nonrated and will appear on the next report submitted upon reassignment from those duties.

c. There are two types of reports: mandatory and optional. They are further divided into those with a 90-day minimum rating period and those with other than a 90-day requirement. To determine if an NCO meets the minimum rating-day requirements set by this chapter, nonrated periods occurring during the rating period must be deducted from the total number of days he or she has served in the same position under the same rater during the same rating period. Mandatory reports take precedence over optional reports. The event requiring a report determines the type of report.

d. Rating officials directly affect a rated NCO's performance and professional development. Thus, these officials must ensure that the rated NCO thoroughly understands the organization, its mission, his or her role in support of the mission, and all of the standards (values/NCO responsibilities) by which performance will be judged.

e. To render an objective evaluation, rating officials must use all opportunities to observe and gather information on the rated NCO's performance.

f. Rating officials must prepare complete, accurate, and fully-considered evaluation reports. This responsibility is vital to the long-range success of the Army's missions. With due regard to the NCO's current grade, experience, and military schooling, evaluations should cover failures as well as achievements. However, evaluations will not normally be based on isolated minor incidents.

g. Rating officials have a responsibility to balance their obligations to the rated NCO with their obligations to the Army. Rating officials must make honest, fair evaluations of the NCOs under their supervision. On the one hand, they must give full credit to the rated NCO for his or her achievements and potential. On the other hand, rating officials are obligated to the NCO and the Army to be honest in their evaluations. Selection boards and career managers need balanced evaluations in order to make intelligent decisions.

3–3. Evaluation forms

There are two forms used in the evaluation process: DA Form 2166-8-1 and DA Form 2166-8. The rater uses DA Form 2166-8-1 as a guide to prepare, conduct, and record performance counseling sessions with the rated NCO. The rating chain uses DA Form 2166-8 to record the performance evaluation of the rated NCO (see figures 3-1 and 3-2).

Section II
DA Form 2166-8-1 (NCO Counseling Checklist/Record)

3–4. Purpose and process

a. Samples. See figures 3-3 through 3-6 for samples of the form.

b. Purpose. Contribute to Army-wide improved performance and professional development by increased emphasis on performance counseling. The rater uses DA Form 2166-8-1, along with a working copy of the NCO-ER, to prepare for, conduct, and record results of performance counseling with the rated NCO. Its use is mandatory for counseling all NCOs, CPL through CSM. The purpose of the checklist is to improve performance counseling by providing structure and discipline to the process.

c. Process.

(1) Within the first 30 days of the rating period, effective date of lateral appointment to corporal, or promotion to sergeant, the rater will conduct the first counseling session with the rated NCO (except for IRR and IMA NCOs completing more than 11 consecutive days on annual training (AT), active duty for training (ADT), active duty for special work (ADSW), or temporary tour of active duty (TTAD)). This counseling session is somewhat different from later counseling sessions in that the primary focus is on communicating performance standards to the rated NCO. It should specifically let the rated NCO know what is expected during the rating period. The DA Form 2166-8-1 provides examples, definitions, and step-by-step assistance to the rater for preparing and communicating performance standards and directions to the rated NCO. Specifically, the rater shows the rated NCO the rating chain and a complete duty description, discusses the meaning of the values and responsibilities contained on the NCO-ER, and explains the standards for success. Before the rated NCO departs the counseling session, the rater records key points discussed and obtains the rated NCO's initials on page 2 of the DA Form 2166-8-1.

(2) The rater will conduct later counseling sessions during the rating period. Counseling sessions will be conducted at least quarterly for Active Army and AGR NCOs and at least semiannually for ARNGUS and USAR NCOs performing IDT. These counseling sessions differ from the first counseling session in that the primary focus is on telling the rated NCO how well he or she is doing. The DA Form 2166-8-1 provides step-by-step assistance to the rater. Specifically, the rater updates the duty description, and based on observed action and demonstrated behavior and results, discusses what was done well and what could be done better. The guide for this discussion is the success standards established in the previous counseling session. Prior to the conclusion of the counseling session, the rater records key points discussed and obtains the rated NCO's initials on page 2 of the DA Form 2166-8-1.

(3) The rater will maintain one DA Form 2166-8-1 for each rated NCO until after the NCO-ER for that period has been approved and submitted to USAEREC; CNGB; State AG; or CDR, AR-PERSCOM. For corporals, who do not receive a record NCO-ER, the checklist will be maintained for one year. There is no regulatory requirement to keep the

DA Form 2166-8-1 beyond this time. However, in some cases keeping it for possible future use to support personnel actions may be appropriate.

3–5. The communication process

a. Face-to-face performance counseling between the rater and the rated NCO is accomplished in order to improve or maintain performance and professionally develop the rated NCO. It is the process by which the rater develops and communicates performance standards to the rated NCO at the beginning of the rating period. The rater should also conduct additional performance counseling during the rating period by providing the rated NCO with feedback regarding his or her progress in meeting the goals established at the beginning of the rating period.

b. The goal of performance counseling is to get all NCOs to be successful and meet or exceed standards; therefore, the best counseling is always looking forward. Counseling does not dwell on the past and what was done, but rather on the future and what can be done better.

c. Face-to-face performance counseling is mandatory for all noncommissioned officers. The initial counseling will be accomplished within the first 30 days of the rating period and additional counseling will be conducted at least quarterly (every 3 months) thereafter. ARNGUS and USAR NCOs in IDT status will be counseled at least twice a year. (See para 5-9 for special IRR and IMA counseling procedures.)

d. Several items have been identified as Army-wide areas of special interest. When applicable, the rater should include in the counseling session with the rated NCO these special interest items. These will be used in the overall assessment of performance on the NCO-ER. Areas identified for Army-wide emphasis are listed below. This list is not all inclusive; commanders may establish their own special interest items and performance objectives.

(1) Civilian position management (AR 690-500).

(2) Internal control system (AR 11-2).

(3) Audits (AR 36-2).

(4) Safety (AR 385-10).

(5) Contracting and acquisition (DODD 5000.52-M).

(6) Information Security Program (AR 380-19). Rating officials will consider and may evaluate the rated NCO's discharge of any assigned security responsibilities. Rating officials will comment on any action, behavior, or condition that would constitute a reportable matter under Army security regulations and indicate if an appropriate report has been made.

(7) Property accountability-unit (supply update handbook).

(8) Personnel management responsibility for Army civilian employees (AR 10-20).

e. Rating officials will consider and use FM 22-100 with the appropriate NCO Values and Responsibilities (pages 3 and 4 of DA Form 2166-8-1 and part IV of DA Form 2166-8) when conducting performance counseling sessions.

Section III
DA Form 2166-8 (Noncommissioned Officer Evaluation Report)

3–6. Purpose and use

a. Sample. See figures 3-1 and 3-2 for a sample of the form.

b. Purpose.

(1) Rating chain members use the DA Form 2166-8 (NCO-ER) to provide DA with performance and potential assessments of each rated NCO.

(2) The DA Form 2166-8 also provides evaluation information to ensure that sound personnel management decisions can be made and that an NCO's potential can be fully developed.

3–7. Part I, Administrative Data

a. Part I is for administrative data, which includes identifying the rated NCO, the period of the report, and the reason for submitting the report.

b. The battalion S-1 or administrative office is responsible for completing part I. The rater will verify the data in part I with the rated NCO and notify the battalion S-1, administrative office, or RC personnel officer of any errors.

c. The following is an explanation for use in computing the rating period and nonrated periods.

(1) The minimum authorized period for an NCO-ER is 90 rated days (February is considered as having 30 days) except for Relief-for-Cause, Senior Rater Option, and Sixty-Day Option Reports (see paras 3-32, 3-34, and 3-35).

(2) Once a report has been submitted, NCO-ERs will show a continuous record for each month and year unless a break in the NCO status occurs, or there is a break created when a CSM who was serving in a three- or four-star nominative position returns to other duties. Academic Evaluation Reports (AER) received by SGT through CSM for service schools involving a PCS of 20 weeks or longer will count in the continuity of rating periods as an NCO-ER would.

(3) Nonrated periods are determined by the status of the rated NCO. They are described in table 3-3 and will not be counted toward a rating period or rater/senior rater qualification (see chap 2).

(4) Periods of attendance at military or civilian schools that represent a TDY, SD, or permanent change of station (PCS) of less than 20 weeks will be nonrated. The period of attendance for these categories, whether or not the NCO receives an Academic Evaluation Report (AER) as described in AR 623-1, paragraph 1-1, will be included in the nonrated months recorded in the next NCO-ER.

(5) A break in the NCO's status (to include reduction below the rank of SGT) of *12 months or less*, will be included as nonrated months and recorded on the next NCO-ER (provided a previous NCO-ER was completed). For a break in the NCO's status (to include reduction below the rank of SGT) of *more than 12 months*, the beginning month of the next NCO-ER will be the month the NCO returns to active duty, reverts to NCO status, or regains the rank (effective date) of SGT or above.

(6) A temporary disability retired list (TDRL) status of any duration-the beginning month of the next NCO-ER will be the month that the NCO returns to active duty from the TDRL.

(7) Periods of leave are rated, except as indicated in table 3-3, reason codes I and P.

(8) The number of nonrated months is computed by determining the total nonrated days in the report period and converting them to nonrated months by using table 3-4.

d. With the exception of part IId and e, all of the following blocks must be completed before sending the report to the rated NCO for authentication.

(1) *Part Ia and part Ib.* Self-explanatory. Name will be capitalized.

(2) *Part Ic.* Enter the three-letter abbreviation for the NCO's military rank, not pay grade (for example, SSG, SFC). If the rated NCO is frocked to 1SG, SGM, or CSM, enter the rank, date of rank, and PMOSC held prior to the frocking action. However, in addition to the NCO's rank in part Ic, enter the appropriate frocked rank in parentheses immediately following the rank entry. The entries are SFC(1SG), MSG(SGM), or MSG(CSM).

(3) *Part Id.* Enter the rated NCO's date of rank (for example, 990613). If the rated NCO is frocked enter the date of rank for the rank held prior to the frocking action.

(4) *Part Ie.* Enter up to nine digits of the primary military occupational specialty (MOS) code (for example, 19E30, 75H5MA3, and 18Z5PW9LA). If an NCO does not possess an additional skill identifier or language identifier, only a five digit MOS is entered.

(5) *Part If.* Enter data in the order listed on the form (for example, HHC, 1st Engr Bn, Fort Riley, KS 66442 FC). When an NCO-ER is completed on an NCO at a temporary duty/special duty (TDY/SD) unit (see para 3-31), the TDY/SD unit information may be entered in parentheses in part If after the required parent unit data if space permits. If not, the TDY/SD unit data may be reflected in part IIIc. In addition—

(a) For ARNGUS enter the 3 character SIDPERS state unit code (SUC) or payroll number (PRN).

(b) For ARNGUS and USAR enter the unit identification code (UIC) of the unit by which the NCO is evaluated.

(c) For USAR enter the NCO's status code as follows:

1. "TPU" for an NCO assigned to a TPU.

2. "AGR" for an NCO serving an AGR status.

3. "IRR" for an NCO assigned to the IRR.

4. "IMA" for an NCO assigned to an IMA position.

(d) USAR must include the appropriate Major United States Army Reserve Command/United States Army Reserve General Officer Command (MUSARC/GOCOM) (for example, 81st RSC, 104th Div (IT), 143d TRANSCOM, and so forth).

(6) *Part Ig.* Enter the appropriate report code (shown in table 3-1) in the left-hand portion of the block and the type of report title in the right-hand portion of the block.

(7) *Part Ih.*

(a) FROM date. Enter the beginning date in the boxes, using a four-digit numerical identifier for year and a two-digit numerical identifier for month (for example, 2001 12). The beginning month is always the month following the ending month of the last report, except for reports rendered in the following situations:

1. Active Army. An NCO's first report period (see para 3-7) begins on the effective date of promotion to sergeant, reversion to NCO status after serving as a commissioned or warrant officer for 12 months or more, or reentry on active duty after a break in service of 12 months or more, or the date of the ABCMR memorandum that approves reinstatement of a promotion.

2. ARNGUS. The initial report period will begin on the effective month of promotion to sergeant or the effective month assigned/attached to a unit, whichever occurs later.

3. USAR-AGR. An NCO's first report period begins on the effective date of promotion to sergeant or the effective month ordered to AGR status, whichever occurs later.

4. USAR TPU. The first report period will begin on the effective date of promotion to sergeant or the effective month assigned/attached to a troop program unit (TPU), whichever occurs later.

5. IRR, IMA, or ING. Based on paragraphs 4-10 and 5-9 report periods will begin with the month that the NCO

performs annual training (AT), active duty for training (ADT), active duty for special work (ADSW), full-time National Guard duty (FTNGD), temporary tour of active duty (TTAD), or period of extended active duty (EAD).

(b) THRU date. Enter the ending date in the same manner as the beginning date (for example, 2002 06). The ending month is always the month of the event generating the report, regardless of when the event occurs during that month (for example, 1st day, 10th day, or 28th day). Enter the same THRU date in the header of page two of the NCO-ER in the same format (2002 06). The THRU date upon retirement/separation is the month the NCO starts transition leave/ out-processing.

(8) *Part Ii.* Compute the number of rated months as shown in table 3-2.

(9) *Part Ij.* Enter the appropriate codes from table 3-3. If there were no nonrated periods, leave blank. Entries in parts Ii and j are not required for ARNGUS, USAR, IRR, and IMA soldiers not on active duty.

(10) *Part Ik.* Enter the number of authorized enclosures, if any, that are being attached and forwarded with the completed NCO-ER.

(11) *Part Il.* Enter either a typewritten or handwritten (using black ink) "X" and six digit date (for example, 020429). For ARNGUS title 10 AGR, enter the six character abbreviation of the parent state to which assigned (for example, NHARNGUS) to ensure the copy will be forwarded (see para 1-4b(1)(j)).

(12) *Part Im.* Enter the handwritten PSB/RC representative's initials, using black ink. (See para 3-36, for specific responsibilities.)

(13) *Part In.* Identify the rated NCO's major command (MACOM) by entering the two-character command assignment code (see AR 680-29). Leave blank for ARNGUS NCOs not on title 10 AGR tours, unless directed by the State AG. USAR TPUs will enter the two character command assignment code found in ADSM 18-P19-GRA-IBM-UM, 30 April 97 (AR-PERSCOM Automated Data Systems Manual, SIDPERS-USAR Users Manual, part I, attachment 4, Data Reference Guide).

(14) *Part Io.* Enter the four position alphanumeric PSB code. RC personnel officer will leave this block blank.

3–8. Part II, Authentication

a. Part II is for authentication by the rated NCO and rating officials after they have completed their portions of the form at the end of the rating period.

b. Restrictions on signature dates are in section V of this chapter. Reports will be dated by the rating officials and rated NCO when signed and prior to forwarding to the PSB, RC personnel officer, or battalion S1. Rated NCOs and rating officials should not sign blank NCO-ER forms.

c. Detailed instructions for this part are as follows:

(1) *Parts IIa, b, and d.* Self-explanatory.

(2) *Part IIc.*

(a) The rater will verify parts I and II, and the APFT and height/weight entries with the rated NCO.

(b) The senior rater will obtain the rated NCO's signature or enter the appropriate statement "NCO refuses to sign" or "NCO unavailable for signature."

(c) The rated NCO's signature verifies the following: That he or she has seen the completed report (except part IId and e), the administrative data (part I) is correct (except part Ik through o), the rating officials are proper (part II), the duty description is accurate (part III) and includes the counseling dates, the APFT and height/weight entries are correct (part IVc), and that the rated NCO is aware of the appeals process. It is important that rated NCOs and rating officials clearly understand that the rated NCO's signature does not constitute agreement or disagreement with the evaluations of the rater and/or senior rater.

(3) *Part IId.* The reviewer has overall responsibility for ensuring the timely submission of an accurate DA Form 2166-8 in accordance with controls established by the commander.

(4) *Part IIe.* Reviewer places a typewritten or handwritten (in black ink) "X" in the appropriate block, indicating concurrence or nonconcurrence. NOTE: Nonconcurrence enclosure is mandatory (see para 3-14). Enclosures will not be used to add an additional concurrence to the report. The reviewer will ensure the rated NCO is provided a copy of the nonconcurrence enclosure.

(5) *Part IIa, b, and d.* The rank portion of part II, a, b, and d will contain the appropriate three letter Army rank abbreviation (not pay grade) unless the official is a promotable master sergeant occupying a sergeant major position, and acting as a reviewer, in which case enter MSG(P) (Active and USAR only). For rating officials who have been frocked, enter the three letters frocked rank (for example, COL). For rating officials who are not U.S. Army officers/ NCOs, in addition to their rank, enter their pay grade and branch of service. For example, an U.S. Navy captain would be entered as CAPT/06 USN; an USMC gunnery sergeant would be entered as GYSGT/E7 USMC. A civil service official would be entered as GS- or GM- (6-15). For members of the Senior Executive Service, "SES" will be entered in lieu of a grade. Additionally, enter the appropriate PMOS for NCOs, MOS for warrant officers, or branch for commissioned officers. For officers detailed to GS, NGB or IG, enter the detail designation followed by the basic branch in parentheses such as GS (MP).

3–9. Part III, Duty Description

a. Duty description. Part III provides for the duty description of the rated NCO. It is the responsibility of the rating officials to ensure the duty description information is factually correct. The duty description—

(1) Is entered by the rater and verified with the rated NCO.

(2) Is an outline of the normal requirements of the specific duty position.

(3) Should show type of work required rather than frequently changing tasks.

(4) Is essential to performance counseling and evaluation. It is used during the first counseling session to tell the rated NCO what the duties are and what needs to be emphasized.

(5) May be updated during the rating period.

(6) Is used at the end of the rating period to record what was important about the duties.

b. Detailed instructions.

(1) *Principal duty title.* Enter principal duty title that most accurately reflects actual duties performed.

(2) *Duty MOS code.* Enter the enlisted DMOS (at least five characters but no more than nine). In cases where the rated NCO is filling an officer position, enter the enlisted MOS that best matches the officer position.

(3) *Daily duties and scope.* Daily duties and scope must be a series of phrases, starting with action words and separated by semicolons. This portion should address the most important routine duties and responsibilities. Ideally, this should include the number of people supervised, equipment, facilities, and dollars involved and any other routine duties and responsibilities critical to mission accomplishment.

(4) *Areas of special emphasis.* Areas of special emphasis/appointed duties must be a list of tasks/duties separated by semicolons. This portion is most likely to change during the rating period. It should include the most important items that applied at any time during the rating period. (See fig 3-4 for details: DA Form 2166-8-1.)

(5) *Appointed duties.* This portion should include those duties that are appointed and are not normally associated with the duty description.

(6) *Counseling dates.* Enter the actual dates of the counseling (for example, 021021) obtained from the DA Form 2166-8-1. The absence of counseling will not be used as the sole basis for an appeal. However, the lack of counseling may be used to help support other claims made in an appeal.

c. Readiness NCO or training NCO. For ARNGUS AGR soldiers assigned as readiness NCO or training NCO, enter both the NCO's TOE or TDA assignment and the full-time support titles such as Chief or Firing Battery/Readiness NCO. Include a mix of both the position duties and the full-time support duties in part IIIc, d, and e.

3–10. Part IV, Army Values/NCO Responsibilities

a. Part IV of DA Form 2166-8. Part IV of DA Form 2166-8 is completed by the rater, including the Army Physical Fitness Test (APFT) performance entry and the height and weight entry in part IVc. Part IVa contains a listing of the Army values that define professionalism for the Army NCO. They apply across all grades, positions, and MOS. These Army values are needed to maintain public trust and confidence as well as the qualities of leadership and management needed to maintain an effective NCO Corps. These values are listed on the DA Form 2166-8 to emphasize and reinforce professionalism. They will be considered in the evaluation of the performance of all NCOs.

b. Values and NCO requirements/responsibilities. Values and NCO requirements/responsibilities are the sole focus for evaluation of performance in part IV of the NCO-ER. Box marks (typewritten or handwritten X) and bullet comments (rules below) are used throughout the evaluation.

c. Bullet comments. Narrative rules for part IV, bullet comments will—

(1) Be short, concise, to the point. Bullets will not be longer than two lines, preferably one; and no more than one bullet to a line.

(2) Start with action words (verbs) or possessive pronouns (his or her); do not use the NCO's name or the personal pronouns he or she; should use 'past' tense when addressing NCO's performance and/or contributions.

(3) Be double-spaced between bullets.

(4) Be preceded by a small letter 'o' to designate the start of the comment. Each bullet comment should start with a small letter unless it's a proper noun that is usually capitalized.

d. Values/NCO responsibilities (part IV). An NCO's performance on commander's evaluation (CE), common task test (CTT), Army Physical Fitness Test (APFT), weapons qualifications, and compliance with AR 600-9 (Army Weight Control Program standards), must be considered before completing the evaluation portion of part IV.

e. Values (part IVa). The rater will check either a 'yes' or 'no' in the values block (all check marks must be consistent, that is, they all must be either typewritten, handwritten, or entered with a computer). Mandatory specific bullet comments are required for all 'no' entries. Base each entry on whether the rated NCO 'meets' or 'does not meet' the standard for each particular value. Bullet comments are used to explain any area where rated NCO is particularly strong or needs improvement. A list of the values and their definitions are as follows (a more detailed explanation can be found in FM 22-100):

(1) Loyalty—Bears true faith and allegiance to the U.S. Constitution, the Army, the unit, and other soldiers.

(2) Duty—Fulfills their obligations.

(3) Respect—Treats people with dignity and respect.

(4) Selfless service—Puts the welfare of the nation, the Army, and subordinates before their own.

(5) Honor—Lives up to all the Army values.

(6) Integrity—Does what's right, legally and morally.

(7) Personal courage—Faces fear, danger, or adversity (physical or moral).

f. Listing of NCO values/responsibilities. NCO values/responsibilities are listed below. Definitions of these are provided in the glossary.

(1) Values.

(2) Competence.

(3) Physical fitness and military bearing.

(4) Leadership.

(5) Training.

(6) Responsibility and accountability.

g. Responsibilities (part IVb through f).

(1) Rater indicates the level of performance (excellence, success, or needs improvement) for each responsibility by placing a typewritten or handwritten (in black ink) "X" in the appropriate box (all box marks must be consistent, that is, they all must be typewritten, handwritten, or entered with a computer). Definitions of performance levels are as follows:

(a) Excellence. Exceeds standards; demonstrated by specific examples and measurable results; special and unusual; achieved by only a few; clearly better than most others. Examples:

1. Received physical fitness badge.

2. Qualified entire squad as expert with M-16 and M-60.

3. Awarded the Expert Infantryman Badge (EIB).

(b) Success. Meets all standards. Majority of ratings are in this category; fully competitive for schooling and promotion. The goal of counseling is to bring all NCOs to this level. Examples:

1. Shares experiences readily, constantly teaches soldiers.

2. Constantly seeking to improve, completed three subcourses during rating period.

3. Coached and played on company softball team.

4. Established comprehensive cross-training program for his section.

5. His or her platoon had only one tank on deadline report (for 10 days) during last 11 months.

(c) Needs improvement. Missed meeting some standard. Examples:

1. Was often unaware of whereabouts of subordinates.

2. Had the highest deadline rate in the company due to apathy.

3. Unprepared to conduct formal training on three occasions.

(2) Rater explains, with specific bullet examples, any area where rated NCO demonstrated excellence, notable success, or need for improvement. Specific bullet examples are mandatory for 'excellence' or 'needs improvement' ratings. A specific bullet example can be used only once; therefore, the rater must decide under which responsibility the bullet fits best (or is most applicable).

3–11. Part IVc, Army Physical Fitness Test Entry

a. APFT data. The rater will enter one of the following APFT entries: "PASS" or "FAIL" and the year and month of the APFT results. APFT refers to both the PT test for NCOs without profiles consisting of pushups, situps, and the two-mile run; and the alternate PT test as prescribed by health care personnel for NCOs with permanent profiles who have been cleared to take the alternate PT test. If no APFT is taken due to profile, the entry will be: "PROFILE" and the year and month the profile was awarded. These entries will reflect the NCO's status on the date of the most recent record APFT administered by the unit within the 12-month period prior to the last rated day of supervision. Sample entries are "PASS 0105," "FAIL 0105," or "PROFILE 9903." NCOs who have a permanent profile and are cleared to take the alternate PT test, do not need the statement "profile does, or does not hinder duty performance." The APFT is considered valid as long as it consists of one of the aerobic events (run, walk, bike, swim). "Received APFT badge" may be entered as a bullet comment to justify "excellence." The APFT badge is awarded for scores of 270 and above with at least 90 in each of the three events. Numerical scores will be used to justify "needs improvement" ratings that are based solely on the APFT. It is optional to enter the APFT score for success ratings.

b. Bullet examples. Rater specific bullet examples are mandatory in part IVc for the following:

(1) The rater will explain an APFT entry of "FAIL" or "PROFILE." Comments on "FAIL" entries will address reasons for failure and note any progress toward meeting physical fitness standards (see AR 350-41). Comments on "PROFILE" (both permanent and temporary) will describe the rated NCO's ability to perform assigned duties. Note, however, that if a NCO has appeared before a MOS Medical Retention Board (MMRB) and been determined fit for duty and deployable, rating officials may not state that the profile hinders duty performance.

(2) If the APFT has not been taken within twelve months of the THRU date of the report, and soldier is not on any profile, the APFT data entry will be left blank. The rater will explain the absence of an APFT entry in part IVc.

(3) An APFT entry is not required for pregnant NCOs who are exempt from the APFT in accordance with AR 40-501. For pregnant NCOs who have not taken the APFT within the last 12 months due to pregnancy, convalescent leave, and temporary profile, the rater will enter the following statement in part IVc: Exempt from APFT requirement in accordance with AR 40-501.

c. Personnel who meet Army minimum standards for APFT, but fail to meet unit standards, will not be given a rating of "needs improvement" for physical fitness and military bearing if such rating is based solely on the failure to meet unit standards.

3–12. Part IVc, Height and Weight Entry

a. The rater will enter the rated NCO's verified height and weight (in inches and pounds) as of the unit's last record weigh-in and an entry of "YES" or "NO" to indicate compliance or noncompliance with the provisions of AR 600-9. If there is no record weigh-in during the period covered by the report, the rater will enter the NCO's height and weight as of the THRU date of the NCO-ER (no supplemental weigh-in is required). The data will be typed in part IVc. Example entries are "72/180 YES" or "68/205 NO." Note: The rater enters "YES" for those NCOs who meet the weight for height screening table or are in compliance with the body fat standards of AR 600-9. The statement "within body fat standards of AR 600-9" is no longer required and will not be used on evaluation reports.

b. Rater specific bullet examples are mandatory in part IVc for the following:

(1) To explain the absence of the height and weight data.

(2) To explain any entry of "NO," indicating noncompliance with the standards of AR 600-9. These comments will indicate the reason for noncompliance. Medical conditions may be cited for noncompliance; however, the 'NO' entry is still required because medical waivers to weight control standards are not permitted for evaluation report purposes. The progress or lack of progress in a weight control program will be indicated.

(3) For pregnant NCOs, the entire entry is left blank. The rater will enter the following bullet in part IVc: "Exempt from weight control standards of AR 600-9."

Note. Rating officials will not use the word "pregnant" or refer to an NCO's pregnancy in any manner when completing an NCO-ER.

3–13. Part V, Overall Performance and Potential

Structured potential rating for overall performance and potential consists of, and includes, rater box marks for promotion/service potential; rater specific positions recommendation; senior rater overall performance and potential; and senior rater choice of alternatives for future performance.

a. Part Va. Rater places a typewritten or handwritten (in black ink) "X" in the appropriate box. NCOs receiving one or more "needs improvement" ratings in part IVb-f cannot receive a rating of "among the best." The following definitions will be used when completing part Va:

(1) *Among the best.* NCOs who have demonstrated a very good, solid performance and a strong recommendation for promotion and/or service in positions of greater responsibility.

(2) *Fully capable.* NCOs who have demonstrated a good performance and strong recommendation for promotion should sufficient allocations be available.

(3) *Marginal.* NCOs who have demonstrated poor performance and should not be promoted at this time.

b. Part Vb. Rater lists up to three (at least two) different future duty positions (job title) in which the rated NCO could best serve the Army at the current or next grade. When the rated NCO is being reduced to a lower grade, raters may enter duty positions of the lower grade.

c. Part Vc and Vd. Senior rater evaluates overall performance and potential by placing one typewritten or handwritten (in black ink) "X" in the appropriate box for each area. (Box marks should be consistent throughout the report, either all typewritten or all handwritten.) The senior rater's box marks are independent of the rater's. There are no specific box mark ratings required of the senior rater based on box marks made by the rater. The following definitions will be used when completing parts Vc and Vd:

(1) *Successful/superior.* A "1" rating represents the cream of the crop and is a recommendation for immediate promotion. A "2" rating represents a very good, solid performance and is a strong recommendation for promotion. A "3" rating also represents a good performance and, should sufficient allocations be available, is a recommendation for promotion.

(2) *Fair.* Represents NCOs who may require additional training/observation and should not be promoted at this time.

(3) *Poor.* Represents NCOs who are weak or deficient and, in the opinion of the senior rater, need significant improvement or training in one or more areas. Do not promote and consider for DA imposed bar to reenlistment under the Qualitative Management Program (QMP).

d. Part Ve. When the senior rater does not meet minimum time requirements for evaluation of the rated NCO, he or she will enter the following statement in part Ve: "Senior rater does not meet minimum qualifications." Parts Vc and Vd will not be completed. Senior rater narrative rules are as follows:

(1) Bullet comments (see para 3-10) are mandatory.

(2) The senior rater must address marginal ratings given in part Va and fair or poor ratings in part Vc.

(3) Bullet comments should focus on potential, but may address performance, and/or the evaluation rendered by rater. If the senior rater meets the minimum time qualifications for evaluation, he or she must make bullet comments.

3–14. Reviewer nonconcurrence actions

When the reviewer disagrees with the rater and/or senior rater and marks the "nonconcur" block in part IIe of the NCO-ER, an explanation enclosure is required. The bullet comment rules governing the completion of the DA Form 2166-8 itself do not apply. The enclosure rules of paragraph 3-24 apply (see fig 3-8). The reviewer is required to notify the rater, senior rater, and rated NCO of nonconcurrence before the report is forwarded.

Section IV
Restrictions Applying to DA Form 2166-8

3–15. Each report must stand alone

a. Each report will be an independent evaluation of the rated NCO for a specific rating period. It will not refer to prior or subsequent reports. It will not remark on performance or incidents occurring before or after the rating period. The determination of whether an incident occurred during the period covered must be based on the date of the actual incident or performance. It will not be based on the date of any subsequent acts, such as the date of its discovery, a confession, or finding of guilt, or the completion of an investigation.

b. Exceptions to this policy are granted only in the following situations:

(1) Relief-for-Cause Reports based on information pertaining to a previous reporting period. (Example: A rating official may relieve an NCO found to be involved in some illegal activity during a previous reporting period; he or she may refer to the prior rating period to explain the reasons for relief.)

(2) The most recent APFT performance or profile data occurred prior to the beginning date of the report. This exception is allowed only to permit the rated NCO to comply with the requirements of paragraph 3-11.

3–16. Narrative gimmicks prohibited

A thorough evaluation of the NCO is required. The following techniques will, therefore, not be used:

a. Generic bullets to support a "no" entry under values or a "needs improvement" entry under responsibilities. They frequently need to be interpreted by the selection board and personnel manager. If not correctly interpreted, the best interests of the Army and the rated NCO are not served.

b. Any technique aimed at making specific words, phrases, or bullets stand out from the rest of the bullets, including, but not limited to, the following:

(1) Handwritten comments.

(2) More than one bullet per line.

(3) Single spacing between bullets.

(4) Excessive use of capital letters.

(5) Underlining.

(6) Italic, dashes, and similar techniques.

(7) Exaggerated margins.

3–17. No references made to unproven derogatory information

a. No reference will be made to an incomplete investigation (formal or informal) concerning an NCO.

b. References will be made only to actions or investigations that have been processed to completion, adjudicated, and had final action taken before submitting the NCO-ER to USAEREC; State AG; or CDR, AR-PERSCOM. If the rated NCO is absolved, comments about the incident will not be included in the NCO-ER.

c. This restriction is intended to prevent unverified derogatory information from being included in evaluation reports. It will also prevent information that would be unjustly prejudicial from being permanently included in an NCO's OMPF, such as—

(1) Charges that are later dropped.

(2) Charges or incidents of which the rated NCO may later be absolved.

d. Any verified derogatory information (information that is already proven factual by a preponderance of the evidence) may be entered on an NCO-ER. This is true whether the NCO is under investigation, flagged, or awaiting trial. While the fact that an NCO is under investigation or trial may not be mentioned in an NCO-ER until the investigation or trial is completed, this does not preclude the rating chain's use of verified derogatory information. For example, when an interim report with verified derogatory information is made available to a commander, the verified information may be included in an NCO-ER.

3–18. Prohibited comments

a. The use of inappropriate or arbitrary remarks or comments that draw attention to differences relating to race, color, religion, gender, age, or national origin is prohibited. A subjective evaluation must not reflect a rating official's personal bias or prejudice (see AR 600-20, chap 6).

b. No mention will be made of any punitive or administrative action taken (or planned) against a rated NCO. This does not preclude mentioning the rated NCO's underlying misconduct that served as the basis for the action. For example, when an Article 15 is imposed, regardless of the filing decision, rating officials may not comment on the fact that an Article 15 was given to the rated NCO. This does not preclude mentioning the rated NCO's underlying misconduct, which served as the basis for the Article 15. No remarks on this report will be made on performance or incidents occurring before or after the current rating period except those mentioned in 3-15b above.

3–19. Comments about marital status and spouse

a. No evaluation comments, favorable or unfavorable, will be based solely on an NCO's marital status. For example, "MSG Doe and his wife make a fine team," or "As a bachelor, SFC Doe can quickly react to his unit's contingency missions," are not permitted.

b. Evaluation comments will not be made about the employment, educational, or volunteer activities of an NCO's spouse. For example, "Mr. Doe's participation in post activities is limited by his civilian employment," or "Mrs. Doe has made a significant contribution to soldier morale by her caring sponsorship of the hospital volunteer staff," are not permitted.

c. There are limited circumstances, involving actual and demonstrable effect on the rated NCO's performance or conduct, when comments containing reference to a spouse may be made. These comments must be focused on the rated NCO's actions, not those of the spouse. For example, "SSG Doe continued outstanding, selfless service, despite her husband's severe illness," or "SGM Doe's intemperate public confrontations with his wife were detrimental to his status as a noncommissioned officer," are permitted.

3–20. Classified information

Normally, reports will not contain classified information as defined in AR 380-5. Exceptional cases requiring classification will contain downgrading instructions under AR 380-5. In addition, each section, part, bullet, or similar portion will be marked to show the level of classification of the information in it. Unclassified sections will be marked unclassified (DOD 5200.1-R). The NCO-ER must be marked so that doubt is eliminated as to which parts contain or reveal classified information.

3–21. Prisoners of war

Evaluation reports will not be rendered on NCOs for periods during which they are prisoners of war. The effect, if any, of an individual's status as a prisoner of war on other personnel actions, favorable or unfavorable (such as letters of commendation or reprimand), and on actions under the Uniform Code of Military Justice will be governed by the laws and regulations pertaining to the particular action.

3–22. Participation in the Alcohol and Drug Abuse Prevention and Control Program

An NCO who voluntarily enters the Alcohol and Drug Abuse Prevention and Control Program (ADAPCP) for an alcohol or drug abuse problem that has not been detected by his or her chain of command should not be penalized by mention of ADAPCP participation in his or her NCO-ER. To do so would discourage voluntary entry in the ADAPCP upon self-recognition of the need for help. However, in those cases where alcohol and drug abuse has resulted in substandard performance and/or disciplinary problems, subsequent voluntary entry in ADAPCP does not preclude rating officials from recording substandard performance or disciplinary problems on the NCO-ER. However, rating officials cannot use information derived from ADAPCP records in their evaluations. Once an NCO has been identified in an NCO-ER as having an alcohol or drug abuse problem based on information obtained independently of the ADAPCP—

a. His or her voluntary entry into the ADAPCP or successful rehabilitation should be mentioned as a factor to the rated NCO's credit.

b. The rating chain should note status of rehabilitation progress or outcome in the NCO-ER or in later reports.

3–23. Preparation and forwarding

a. Preparation. DA Form 2166-8 will be typed, or printed, using a laser or dot matrix printer, in either pica (10 pitch) or elite (12 pitch) typeface or 12 point font size for computers. The most commonly accepted fonts for electronically generated forms are Courier, CG Times, or Times New Roman. Bolding, italic, and compressed typeface or spacing will not be used. A clear original is required so that legible copies of the report can be given to both the rated NCO and the microfiche files at Enlisted Records and Evaluation Center (EREC). The only electronically generated DA Form 2166-8 series forms that are authorized are the forms designed and distributed by the U.S. Army Publishing Agency. Evaluation reports will be printed on one sheet of good quality standard paper, front and back, head to foot. Evaluation reports submitted on poor quality and tissue thin paper will be returned. All box marks may be

either all typewritten or all handwritten in black ink. Signatures in part II will be handwritten in black ink; facsimile signatures are not authorized. Authorized abbreviations may be used; however, avoid acronyms.

b. Copies.

(1) Each rated NCO will be given a copy of his/her NCO-ER by the PSB once it has been completed and processed locally. This copy may be either a carbon or machine-reproduced copy of the original NCO-ER.

(2) Rated NCOs who fail to receive a copy of the NCO-ER after the close of the reporting period should request a copy from their servicing PSB.

(3) If an original NCO-ER failed to reach USAEREC, CNGB, State AG, or CDR, AR-PERSCOM, a true copy of the DA Form 2166-8 must be submitted. When this happens, the PSB will enter in part Vc of the NCO-ER the statement "true copy" or "corrected copy" and the signature block of the PSB officer. The PSB/RC personnel officer will sign above the signature block and forward the report to USAEREC, CNGB, State AG or CDR, AR-PERSCOM, for filing.

(4) For ARNGUS soldiers, paper copies in MPRJ and state files may be photostatic copies. Originals may be returned to the soldier in this case. When ARNGUS enlisted military personnel records are filed on PERMS (Personnel Electronic Records Maintenance System), paper copies will be maintained in state, command, or local career management individual files (CMIF) such as AGR management files.

c. Forwarding. The servicing PSB will provide the rated NCO a copy of the report when it is completed. Confidentiality will be ensured. If the rated NCO departs the organization before receiving a copy of the completed report, the PSB will send a copy to his or her forwarding address. The PSB will retain an additional copy in suspense for 120 days for use if the rated noncommissioned officer does not receive the mailed copy. The PSB will ensure that—

(1) Reports are complete and administratively correct.

(2) For active Army NCOs the original report is placed unfolded in an envelope and forwarded via first-class mail to Commander, USAEREC, ATTN: PCRE-RE, 8899 East 56th Street, Indianapolis, IN 46249-5301. (This report is exempt from reports control under AR 335-15, chap 5.) Registered or certified mail will only be used when reports contain classified information.

(3) Reports must be forwarded to reach EREC not later than 60 days after the THRU date of the report. However, the centralized selection, promotion and school boards schedule must be closely monitored to ensure that eligible reports, both mandatory and optional, are forwarded to EREC in sufficient time to be included in an NCO's board file.

(4) Reports for ARNGUS NCOs not in active Federal service will be forwarded to State Adjutants General based on appendix B.

(5) Reports for ARNGUS title 10 AGR NCOs will be processed as described in paragraph (2) above and paragraph 3-34h, but will be mailed to Chief, NGB, ATTN: NGB-ARZ-SEC, 111 South George Mason Drive, Arlington, VA 22204-1382, with a copy to the soldier's State Adjutant General.

(6) Reports for USAR NCOs will be processed as described in paragraph (2) above and paragraph 3-36h, but will be mailed to Commander, AR-PERSCOM, ATTN: ARPC-PSV-EE, 1 Reserve Way, St. Louis, MO 63132-5200.

3–24. Enclosures

a. The only enclosures that may be attached to the completed NCO-ER areas are as follows:

(1) Comments by the reviewer when nonconcurrence box in part IIe is marked (see paras 2-13c and 3-14).

(2) Statement from person who directed relief-for-cause if other than rating official (see para 3-30c(2)).

(3) Thirty-day waiver approval for Relief-for-Cause Report (see para 3-32c(4)).

b. When an authorized enclosure is used, it will not exceed one page and will be prepared based on AR 25-50 on 8 1/2 by 11-inch bond paper and will include the following (see fig 3-7):

(1) The rated NCO's full name, SSN, and rank.

(2) The period of the report.

(3) Signature of the originator.

(4) Reason for the enclosure, that is, reviewer nonconcurrence, 30-day relief waiver, or relieving official's statement.

c. Awards, memoranda of relief addressed to the NCO, memoranda of commendation or appreciation, medical documents, publications, statements by persons outside the rating chain (other than that required in paragraph a(2) above), and any other favorable or unfavorable communications are not authorized enclosures.

3–25. Performance as counsel or as a member of a court-martial

No reference will be made to the rated NCO's performance of duty as a member of a court-martial, or the zeal with which the NCO represented, as counsel, any accused before a court-martial or administrative board proceeding.

3–26. Performance as equal opportunity noncommissioned officer

An NCO serving as an equal opportunity NCO, either as a principal or additional duty, will not be given an unfavorable rating:

a. Because of his or her enthusiasm and zeal for implementing the Army's Equal Opportunity Program.

b. In retaliation for criticism of command policies and practices related to that program.

Section V
Types of Reports (Active Army, ARNGUS-AGR, and USAR-AGR)

3–27. Authorized reports

Only those reports authorized by this regulation will be submitted. Reports in paragraphs 3-29, 3-30, 3-31, and 3-32 are mandatory reports and take precedence over optional reports in paragraphs 3-33, 3-34, and 3-35. The event requiring a report determines the type of report.

3–28. Starting the initial reporting period

The first report received by an Active Army, ARNGUS/USAR AGR NCO will be determined by the date of the event requiring a report (for example, change of rater, annual). The beginning month will be the month of the effective date of promotion to sergeant, reversion to NCO status (after serving as a commissioned or warrant officer for 12 months or more), reentry on active duty (after a break in service of 12 months or more), or the date of the memorandum from the Army Board for Correction of Military Records (ABCMR), which approves reinstatement in an NCO grade.

3–29. Annual

a. A report will be submitted 12 months after the most recent of the following events:

(1) Ending month of last report.

(2) Effective date of promotion to sergeant.

(3) Reversion to NCO status after serving as a commissioned or warrant officer for 12 months or more.

(4) Reentry on active duty in a rank of sergeant or above after a break in enlisted service of 12 months or more.

b. The 90-day rater minimum qualification period must be met. In cases when it is not, the annual report period will be extended until the minimum rater qualification period is met.

c. An annual report will not be signed prior to the first day of the month following the ending month of the report.

d. An annual report will not be submitted when the provisions for the Change-of-Rater Report apply.

e. The senior rater will complete both the rater and senior rater portions of the NCO-ER, provided that minimum rater qualifications are met, under the following circumstances:

(1) The rater dies, is relieved, reduced, or absent without leave.

(2) Rater is declared an unsatisfactory participant based on AR 135-91, paragraph 4-9b (for ARNGUS and USAR not on active duty or FTNGD).

(3) Rater is declared missing or incapacitated (to such an extent that the reviewer, on the advice of medical authorities, believes the rater is unable to submit an accurate evaluation) after the report period but before the report is signed.

3–30. Change-of-Rater

a. A report will be submitted whenever the designated rater is changed as long as the minimum rater qualifications are met. The minimum rating period is 90 rated days. Rater changes include:

(1) Rater or rated NCO is reassigned.

(2) Rater or rated NCO departs on extended TDY or SD (see para 3-31).

(3) Rater or rated NCO is released from active duty or full-time National Guard duty early based on AR 635-200 or AR 135-178, or normal expiration term of service (ETS), except for discharge and immediate reenlistment.

(4) Rated NCO is reduced to CPL/SPC or below. Part Ic will contain the 'reduced' rank and part Id will reflect the effective date of the reduction. Reduction to another NCO grade (for example, SFC to SG) does not require a report, unless the actual rater changes.

(5) When paragraph 3–29e applies. The senior rater will complete both the rater and senior rater portions of the reports on each of the rater's subordinates (provided senior rater meets minimum rater qualifications) and will enter a brief explanation of the reason for the report in part Ve (for example, "rater deceased" or "rater relieved"). When both the rater and senior rater are unable to render an evaluation because of any combination of these factors, a report will not be submitted. The period will be shown as nonrated on the next report. Code "Q" will be used to explain nonrated period.

b. A Change-of-Rater Report is mandatory when the rated NCO is separated from active duty. As an exception, retirement reports of less than one year will be rendered at the option of the rater or senior rater or when requested by the rated NCO.

c. The Change-of-Rater Report may not be signed before the date the change occurs. In the event of PCS, ETS, or retirement, the report may be completed and signed up to 10 days prior to the date of departure in order to facilitate

orderly outprocessing. However, when this is done, the rating period ends as of the rater's signature date (that is, a report cannot be signed before the rating period ends).

3–31. Temporary duty, special duty, or compassionate reassignment

a. When an NCO departs on temporary duty (TDY) or special duty (SD) under one of the following conditions, change of rater reports for both the NCO and their eligible subordinates will be submitted, provided rater qualifications are met, prior to departure:

(1) To attend a resident course of instruction or training scheduled for 90 calendar days or more at a service school.

(2) To attend a civilian academic or training institution on a full-time basis for a period of 90 calendar days or more.

(3) To perform duties not related to his or her primary functions in his or her parent unit under a different immediate supervisor for 90 days or more. In cases where it cannot be determined if the TDY or SD will last for 90 days, a report will be submitted. A report is not authorized if the NCO will still be responsible to or be receiving instructions from rating officials in the parent organization.

b. An NCO on TDY or SD other than (1) and (2) above who is not responsible to rating officials in his or her parent organization will be rated by the TDY or SD supervisor according to table 3-5. The TDY or SD supervisor will ensure that a rating scheme is published (see para 1-4b).

c. An NCO on TDY or SD who remains responsible to rating officials in his or her parent organization will continue to be rated for that period, regardless of its length, by the normal rating officials. Memorandum input from officials at TDY or SD location is optional (see table 3-5, note 1).

d. An NCO attached to an organization pending compassionate reassignment remains responsible to his or her parent unit and will not receive an evaluation report from the attached organization. Memorandum input from the supervising officials of the attached organization is mandatory (see table 3-5, note 1).

3–32. Relief-for-Cause

a. A report is required when an NCO is relieved for cause regardless of the rating period involved. Relief-for-cause is defined as the removal of an NCO from a rateable assignment based on a decision by a member of the NCO's chain of command or supervisory chain. A relief-for-cause occurs when the NCO's personal or professional characteristics, conduct, behavior, or performance of duty warrants removal in the best interest of the U.S. Army (see AR 600-20, para 2-15). If, for whatever reasons, the relief does not occur on the date the NCO is removed from his or her duty position or responsibilities, the suspended period of time between the removal and the relief will be nonrated time included in the period of the relief report. The published rating chain at the time of the relief will render the report; no other report will be due during this nonrated period. When an NCO is suspended from duties pending investigation, every effort should be made to retain the established rating chain until the investigation is resolved.

b. If relief-for-cause is contemplated on the basis of an informal AR 15-6 investigation, the referral procedures contained in that regulation must be complied with before the act of initiating or directing the relief. This does not preclude a temporary suspension from assigned duties pending application of the procedural safeguards contained in AR 15-6. A relief-for-cause should be the final action after all investigations have been completed and a determination made.

c. The following specific instructions apply to completing a relief report:

(1) The rating official directing the relief will clearly explain the reason for relief in part IV, if the relieving official is the rater; if the relieving official is the senior rater, in part Ve.

(2) If the relief is directed by an official other than the rater or senior rater, the official directing the relief will describe the reasons for the relief in an enclosure (not to exceed one page) to the report.

(3) Regardless of who directs the relief, the rater will enter the bullet, "The rated NCO has been notified of the reason for the relief" in part IVf.

(4) The minimum rater and senior rater qualifications and the minimum rating period are 30 rated days. The fundamental purpose of this restriction is to allow the rated NCO a sufficient period to react to performance counseling during each rating period. Authority to waive this 30-day minimum rating period and rater and senior rater qualification period in cases of misconduct is granted to a general officer in the chain of command or an officer having general courts-martial jurisdiction over the relieved NCO. The waiver approval will be in memorandum format and attached as an enclosure to the report (see para 3-24).

(5) The date of relief determines the "THRU" date of the report (see para 3-7d(7)(b)). Relief-for-Cause Reports may be signed at anytime during the closing or following month of the report.

(6) When the rater is relieved, or when the rated NCO and the rater are concurrently relieved, the senior rater will complete the rater and senior rater portions of the report for each of the rater's subordinates. Enter "rater relieved" in part Ve, and do not identify the relieved rater in part IIa. (Refer to paragraph 2-15c.)

(7) When computation of rated months outlined in table 3-2 results in zero (0) rated months, as an exception to normal policy, DA Form 2166-8, part I, item j, will reflect one rated month.

d. Cases where the rated NCO has been suspended from duties pending an investigation should be resolved by the chain of command as expeditiously as possible to reduce the amount of nonrated time.

3–33. Complete-the-Record Report

a. At the option of the rater, a Complete-the-Record Report may be submitted on an NCO who is about to be considered by a DA centralized board for promotion, school, or CSM selection, provided the following conditions are met:

(1) The rated NCO must be in the zone of consideration (primary or secondary) for a centralized promotion board or in the zone of consideration for a school or CSM selection board.

(2) The rated NCO must have been under the same rater for at least 90 rated days as of the ending month established in the message announcing the zones of consideration.

(3) The rated NCO must not have received a previous report for the current duty position.

b. Complete-the-Record Reports are optional. Therefore, the absence of such a report from the Official Military Personnel File (OMPF) at the time of the board's review will not be a basis to request standby reconsideration unless the absence is due to administrative error or a delay in processing at the Enlisted Records Evaluation Center (EREC).

c. Complete-the-Record Reports will not be signed prior to the first day of the month following the ending month.

d. This paragraph is also applicable to the ARNGUS and USAR Command Sergeant Major Programs and ARNGUS and USAR promotion boards centralized at State or MUSARC headquarters, NGB, and AR-PERSCOM.

3–34. Senior Rater Option

a. When a change in senior rater occurs, the senior rater may direct that a report be made on any NCO for whom he or she is the senior rater. This applies only if the following conditions are met:

(1) The senior rater has served in that position for at least 60 rated days. In cases where a General Officer is serving as both rater and senior rater the minimum rater requirement will also be 60 rated days versus the normal 90-day requirement.

(2) The rater meets the minimum requirements to give a report.

(3) The rated NCO has not received a report in the preceding 90 rated days.

b. In instances where an evaluation report would become due within 60 calendar days after the change in senior rater, the senior rater will submit a Senior Rater Option Report to prevent an NCO-ER being submitted later without a senior rater evaluation, provided the requirements of paragraphs 3–34a(1)-(3) are met.

3–35. Sixty-Day Option

When one of the conditions described in paragraphs 3-29 through 3-31 occurs but there are fewer than 90 rated days but more than 59 rated days in the rating period, a report may be submitted at the option of the rater. However, the following conditions must be met:

a. The rated NCO must be serving in an overseas designated short tour for a period of 14 months or less. (See appendix B, AR 614-30 for all others tour identification by area.)

b. The senior rater must meet the minimum time-in-position requirements to evaluate (60 rated days) and must approve or disapprove submission of the report. When the senior rater disapproves the submission of the report, he or she will state the basis for the disapproval and return the report to the rater. The rater will inform the rated NCO that the report has been disapproved and will destroy the report.

Section VI
Processing Responsibilities

3–36. Personnel Service Battalion or Reserve Component personnel officer responsibilities

The Personnel Service Battalion (PSB) or Reserve Component (RC) personnel officer will—

a. Follow procedures in tables 3-6, 3-8, and 3-9.

b. Review the submitted report for completeness and administrative accuracy. Return reports that contain errors to the rating officials, advising them to correct the report.

c. Ensure that the rated NCO's signature or a statement explaining its absence has been entered in part II (see para 2-11d).

d. Enter the number of enclosures (may be handwritten) and ensure that they meet the requirements of paragraph 3-24.

e. Complete part I (k through o).

(1) If the NCO departs the installation or RC command before the report is completed, the gaining PSB or RC command must be notified, in writing, to update the NCO's DA Form 2A with the ending month and type of report. In this case, enter the date of written notification in part Il of the report.

(2) In no case will the report be hand carried by the rated NCO or forwarded to the gaining PSB or RC command

for completion. The PSB or RC personnel officer who initiates the report will complete and forward it to the appropriate office.

f. Provide a copy of the completed report including any authorized enclosures to the rated NCO.

(1) A signed copy of the report may be given to the rated NCO, forwarded to him or her in a sealed envelope through the distribution center, or sent by first-class mail.

(2) The NCO's copy of a Relief-for-Cause Report or report that the NCO refuses to sign will be sent by certified mail when it cannot be given directly to the NCO.

g. For all grades in the Reserve Component (RC), including ARNGUS-AGR and USAR-AGR, make a copy of the report and file it in the permanent section of the rated NCO's Military Personnel Records Jacket (MPRJ).

h. Forward originals of all completed reports by first-class mail in sufficient time to reach the below addresses not later than 60 days (for active Army) and 90 days (for ARNGUS/USAR—not on active duty or FTNGD) after the ending month of the report. Reports must be forwarded intact (separated reports will not be accepted for processing):

(1) *Active Army.* CDR, USAEREC, ATTN: PCRE-RE, 8899 East 56th Street, Indianapolis, IN 46249-5301.

(2) *Army National Guard of the United States (including ARNGUS-AGR).*

(a) For AGR title 10 NCOs, the original NCO-ER or a photostatic copy will be filed in the permanent section of the NCO's MPRJ and maintained by the servicing PSB. A copy of the NCO-ER will be forwarded by the PSB to the appropriate State Adjutant General with a copy sent to Chief, National Guard Bureau, ATTN: NGB-ARZ-SEC, 111 South George Mason Dr., Arlington, VA 22204-1382.

(b) All other ARNGUS NCOs, including ARNGUS-AGR title 32 NCOs, will have their NCO-ERs forwarded to the appropriate State Adjutant General.

(3) *U.S. Army Reserve, including USAR-AGR.* CDR, AR-PERSCOM, ATTN: ARPC-PSV-EE, 1 Reserve Way, St. Louis, MO 63132-5200.

i. Assist NCOs, if requested, in preparing and submitting appeals (see para 6-6).

3–37. USAEREC/CNGB/State Adjutant General/AR-PERSCOM Program Responsibilities

The USAEREC/CNGB/State Adjutant General/AR-PERSCOM will—

a. Record and process all NCO-ERs received.

b. Edit all reports for administrative errors.

c. File each accepted NCO-ER in the OMPF.

d. Administer and process appeals of NCO-ERs in compliance with chapter 6.

Table 3–1
Reports by code and type

Report code: 1 **Type of report:** First (Does not apply to Active Army, see chaps 4 and 5.)
Report code: 2 **Type of report:** Annual
Report code: 3 **Type of report:** Change of Rater
Report code: 4 **Type of report:** Complete the Record
Report code: 5 **Type of report:** Relief for Cause
Report code: 6 **Type of report:** Release from AT/ADT/ADSW/AGR/EAD/TTAD (See chaps 4 and 5.)
Report code: 7 **Type of report:** 60-day Rater Option
Report code: 8 **Type of report:** Senior Rater Option

Table 3–2
Computation of rated months

Step	Work center	Action required
1	ALL	Identify the beginning month. The beginning month is always the month following the ending month of the last report (para 3-7d(7)(a)), except for an NCO's first report, which begins on the effective date of promotion to sergeant or reentry on active duty after a break in service.
2	ALL	Identify the ending month. The ending month is always the month of the event that generated the report (para 3-7d(7)(b)), regardless of when the event occurs during the month for example, 1st day or 28th day. If a change of rater occurs during the first 15 days of the month, do not change the ending month to the preceding month.
3	ALL	Total the number of calendar months in the report period.
4	ALL	Compute the number of nonrated months using table 3-4. If more than one nonrated period exists during the entire period covered by a report, all nonrated days are added together before converting to nonrated months.
5	ALL	Subtract nonrated months, if any, from total calendar months.
6	ALL	The net remainder is the number of rated months in the period. Enter this result in block I of the NCO-ER.

Notes:

For example:

a. An NCO previously received a report ending in June 01 and subsequently has a change of rater on 2 October 01. Complete the NCO-ER as follows:

Part Ih. Period of report: From 2001 07 through 2001 10 (4 months).
Part Ii. Rated months: 3 months.
Part Ij. Nonrated codes: Q.

b. An NCO previously received a report ending in July 01 and departs on permanent change of station (PCS) on 18 October 01. An NCO-ER is not required because the period covered is less than 90 rated days.

Table 3–3
Reasons and definitions for nonrated periods

Reason code: A
Definition: AWOL/desertion/unsatisfactory participant based on AR 135-91.

Reason code: B
Definition: Break in active enlisted service of 12 months or less (see para 3-7c).

Reason code: C
Definition: Confinement in a military or civilian detention facility; assignment to military personnel control facility; or assignment to correctional training facility.

Reason code: D
Definition: Temporary disability retirement list (TDRL) status (see para 3-7c).

Reason code: I
Definition: In transit between duty stations, including leave, and temporary duty (TDY).

Reason code: M
Definition: Missing in action.

Reason code: P
Definition: Patient (including convalescent leave).

Reason code: Q
Definition: Lack of rater qualification.

Reason code: R
Definition: New Recruiter Program (see AR 601-1).

Reason code: S
Definition: Student at a military service or civilian school (see para 3-31).

Definition: TDY or special duty (SD) other than to attend school or compassionate reassignment (see para 3-29).

Reason code: W
Definition: Prisoner of war.

Table 3–3
Reasons and definitions for nonrated periods —Continued

Reason code: X

Definition: Inactive National Guard or Standby Reserve (Inactive List). Periods of ING service based on NGR 614-1, or inactive Reserve service per AR 140-10, paragraph 8-3.

Reason code: Z

Definition: None of the above. This code will also be used when there is a nonrated period of less than 12 months resulting from reduction to a rank below SG (see para 3-7c) or when a previous command did not render an NCO-ER.

Table 3–4
Computation of nonrated months

Total nonrated days: 15 days or less
Nonrated months: 0

Total nonrated days: 16 days to 45 days
Nonrated months: 1

Total nonrated days: 46 days to 75 days
Nonrated months: 2

Total nonrated days: 76 days to 105 days
Nonrated months: 3

Total nonrated days: 106 days to 135 days
Nonrated months: 4

Total nonrated days: 136 days to 165 days
Nonrated months: 5

Table 3–5
TDY, SD, or compassionate attachment supervisor's reports (other than TDY or SD to attend school)

Period	Responsible to	Evaluation	Disposition
TDY, SD:			
Regardless of length	Parent unit	Memorandum input to rater (optional)	Note 1
Less than 90 days	TDY/SD unit	Memorandum input to rater (optional)	Notes 1, 3
More than 90 days	TDY/SD unit	DA Form 2166-8	Notes 2, 3
Compassionate attachment:			
Regardless of length	Parent unit	Memorandum input (mandatory)	Note 1

Notes:

[1] Memorandum input describing duties and manner of performance is prepared by the TDY, SD, or compassionate reassignment supervisor and sent to the rated NCO's Personnel Services Battalion (PSB) or Reserve Component (RC) personnel officer. The PSB or RC personnel officer will forward copies to the rated NCO and the normal rater. The normal rater will consider the information when preparing the rated NCO's next NCO-ER. The memorandum input will not be enclosed with the NCO-ER when it is forwarded to USAEREC (Active Army), CNGB (ARNGUS title 10 AGR), State Adjutant General (ARNGUS/AGR), or AR-PERSCOM.

[2] A Change-of-Rater Report prepared by the TDY or SD supervisor is forwarded to USAEREC, the State Adjutant General, or AR-PERSCOM through the rated NCO's PSB or RC personnel officer. The PSB or RC personnel officer will annotate the rated NCO's records, give the rated NCO a copy, and send the NCO-ER to USAEREC, CNGB, the appropriate State Adjutant General, or AR-PERSCOM.

[3] Periods of TDY or SD to attend school are exempt from the above requirements. The period of attendance, whether or not the NCO receives an AER as described in AR 623-1, paragraph 1, will be included in the nonrated months recorded in the next NCO-ER (reason code S).

Table 3–6
Initiating evaluations

Step	Work center	Action required
1	BN S1	Initiate an NCO-ER when an event of personnel status change requires the submission of an NCO-ER.
2	EVAL	Notify commanders/BN S-1 of optional Complete-the-Record (para 3-33) Reports for NCOs being considered by HQDA selection Board.
3	BN S1	Provide administrative data as indicated below by preparing a shell of DA Form 2166-8. Part I, Administrative Data (see para 3-7). Part Ia and b-enter name and SSN. Part 1c—enter the three letter abbreviation for the NCO's rank (not pay grade) as of the THRU date of the report. If the rated NCO is frocked to 1SG, SGM, or CSM, enter the rank held prior to the frocking action. However, in addition to the NCO's rank, enter the appropriate frocked rank in parentheses immediately following the rank entry. Part Id—enter the rated NCO's date of rank for the rank held as of the THRU date of the report. If the rated NCO is frocked enter the date of rank for the rank held prior to the frocking action. Part Ie—enter up to nine digits of the Primary MOS code. Part 1f—enter unit, organization, station, zip code or APO, and major command. Authorized abbreviations (AR 310-50) may be used. TDY/SD unit information may be entered in parentheses after the required parent unit data if space permits. Part Ig—enter code and reason for submission of report as designated in table 3-1. Part Ih—the From date is always the month following the ending month of the last report. (See para 3-7 for exceptions.) The THRU date is always the month of the event that generates the report, regardless of when the event occurs during that month. Enter the same THRU date in the header of page two of the NCO-ER. For the rated NCO departing on transition leave, the THRU date is the month in which transition leave begins. Part Ii—enter the number of rated months. Compute the number of rated months as shown in table 3-2. Part Ij—enter the codes for the nonrated periods, leave blank. Part Ik—enter the number of authorized enclosures, if any, that are being attached and forwarded with the completed NCO-ER. Part In—enter code for the rated NCO's major command (MACOM). Use command codes in para 2-4, AR 680-29. USAR TPUs will enter the two character command assignment code found in ADSM 18-P19-GRA-IBM-UM, 30 April 97 (AR-PERSCOM Automated Data System Manual, SIDPERS-USAR Users Manual, part I, attachment 4, Data Reference Guide). Part Io—enter the 4-character alphanumeric PSB code. See AR 680-29, appendix D for use of PSB codes. Part II, Authentication (see para 3-8). Part II a, b, and d—enter the rater's, senior rater's, and reviewer's name, SSN, rank, primary MOS code or branch, organization and duty assignment.

Table 3–7
Evaluation report administrative control requirements-unit

Step	Work center	Action required
1	BN S1	Forward NCO-ER shell or memorandum with information outlined in table 3-6 to the unit and/or rater in accordance with local procedures.
2	BN S1	Notify unit, rating chain, and rated NCO: (1) That the NCO-ER has been initiated. (2) Of the date the NCO-ER was forwarded to the unit and/or rater. (3) Of the suspense date for returning the completed report to ensure reports arrive at HQDA within 60 days after the THRU date of the report.
3	BN S1/UNIT	Ensure the rating officials meet established suspense to ensure the completed NCO-ER is forwarded to PSB so as to arrive at HQDA within 60 days of the THRU date of report.
4	BN S1/UNIT	Ensure the completed report has been prepared in accordance with the administrative instructions contained in section III, this chapter.
5	BN S1	Thoroughly review completed NCO-ER for administrative accuracy before forwarding in accordance with locally established procedures. a. Part I, Administrative Data (see para 3-7). (1) Name and SSN. (2) Grade and date of rank. (3) Primary military occupational specialty code. (4) Unit, organization, station, zip code or APO, and major command. (5) Code and reason for submission of NCO-ER. (6) From date-begins the month following the THRU date of the last report. (7) THRU date-ends with the month of the event causing the report. (8) Number of rated months-nonrated months are not included in the rated months. (9) Codes for nonrated periods. (10) Two-character command code and four-character PSB code. b. Part II, Authentication (see para 3-8). (1) Ensure rating officials are correctly identified and that entries are complete. (2) Check for rated NCO's signature. If rated NCO declines to sign because inaccuracies cannot be resolved, or is unavailable for signature, enter statement identified in para 3-8. (3) Check signature date of each rating official and rated NCO. Dates must be in appropriate sequence, that is, rater, senior rater, rated NCO, and reviewer. All rating officials must sign on or after the THRU date. (See para 3-30 for exception.) c. Part III, Duty Description (see para 3-9). (1) Principal duty title and duty MOSC. (2) Daily duties and scope. (3) Areas of special emphasis. (4) Appointed duties. (5) Counseling dates, if left blank a statement must be entered in the senior rater comments identifying why (see para 3-9). d. Part IV, Army values/NCO responsibilities (see para 3-10). (1) Ensure all Army values blocks are checked. Comments are mandatory for all "NO" entries. (2) Ensure all NCO responsibilities are checked. Comments are mandatory for all "excellence" or "needs improvement" entries. (3) Ensure entries pertaining to APFT and height/weight are present in part IVc. Mandatory comments are required for APFT entries of "fail" or "profile", and height/weight entry of "NO." Mandatory comments are also required for APFT and/or height/weight entries left blank. e. Part V, Overall Performance and Potential (see para 3-13). (1) Overall potential for promotion and/or service in positions of greater responsibility-box check. (2) Rater lists at least 2 positions in which the rated NCO could best serve the Army at his/her current or next higher grade. (3) Senior rater overall performance-box check. (4) Senior rater overall potential for promotion and/or service in positions of greater responsibility-box check. (5) Senior rater bullet comments are mandatory.

Table 3–7
Evaluation report administrative control requirements-unit—Continued

Step	Work center	Action required
6	BN S1	If the report is a relief-for-cause NCO-ER (see para 3-32) ensure the following is evident: a. Comment in part IVf identifying that the rated NCO has been notified of the reason for relief. b. An enclosure is provided identifying the reason for relief, if relief is directed by someone other than the rater or senior rater. A waiver in memorandum format is attached if the report is for less than 30 days. Waiver must be approved by a general officer in the chain of command or an officer having general courts-martial jurisdiction over the relieved NCO.
7	BN S1	If the NCO-ER is a Complete-the-Record (see para 3-33), verify the following: a. That the rated NCO is in the zone of consideration for a DA announced promotion or selection board. b. That the THRU date on the NCO-ER is the same as the THRU date contained in the DA announcement message. c. That there are at least 90 rated days as of the THRU date. d. That the rater has been in the rating chain for 90 rated days or more. e. That NCO has not received an NCO-ER in the current position.
8	BN S1	Ensure only those enclosures authorized by para 3-24 are attached.
9	BN S1	Forward completed report and all authorized enclosures to the servicing PSB in accordance with locally established procedures.

Table 3–8
Evaluation report administrative control requirements—PSB-ACTIVE ARMY

Step	Work center	Action required
1	EVAL/BN S1	Assist the rating officials as necessary in preparation of the NCO-ER.
2	EVAL/BN S1	When a completed NCO-ER is received from a unit, check for administrative accuracy and complete administrative processing: a. Verify that entries made by rating officials in parts II through V, DA Form 2166-8, are in accordance with this regulation. b. Ensure only those enclosures authorized by this regulation (see para 3-24) are included with the report. c. Notify rating officials of any discrepancies and advise them of corrective action.
3	EVAL	Provide the rated NCO a copy of the completed report prior to forwarding to HQDA. a. Part Ik, enter the number of enclosures attached to the report. b. Part Il, if the rated NCO copy is to be given to the rated NCO, “x” box l and enter the date; if the copy is to be forwarded to the rated NCO, “x” box 2 and enter the date. 1. If the NCO was released from active duty, enter “REFRAD” above the date. 2. If the NCO was discharged, enter “DISCHARGE” above the date. 3. Part Im, enter initials in this box after the NCO-ER is completed and ready to be forwarded to HQDA. The PSB responsible for servicing the rated NCO’s unit is the controlling office and has final responsibility for completion and forwarding.
4	EVAL	If the rated NCO departs the command before receiving a copy of the completed report: a. Prepare a memorandum to the rated NCO’s gaining commander showing the date the NCO-ER was forwarded to USAEREC, the beginning and ending months and years of the NCO-ER, and the type of NCO-ER. The gaining commander will be requested to forward the memorandum to the unit’s servicing PSB for update of the rated NCO’s PQR. b. Mail a copy of the completed NCO-ER to the rated NCO at the address provided by him or her, or to the gaining command address provided on the PCS orders.
5	EVAL	Submit SIDPERS transaction to update last NCO-ER.
6	EVAL	Mail completed NCO-ER to Commander, U.S. Army Enlisted Records and Evaluation Center, ATTN: PCRE-RE, 8899 East 56th Street, Indianapolis, IN 46249-5301. Use first class mail in a flat envelope; cardboard backing prevents damage. NCO-ERs containing classified information will be mailed in accordance with the provisions of AR 380-5.

Table 3–9
Evaluation report administrative control requirements-in/out-processing

Step	Work center	Action required
1	OUTPROCESS	Upon receipt of notification of an NCO's impending separation, file in suspense pending transfer of records to the transition point (see AR 635-10).
2	OUTPROCESS	When the NCO's records are processed for transfer activity, take the following actions: a. If the NCO is a SGT or above, verify that an NCO-ER was completed, is being processed, or is not required. b. If an NCO-ER is not required, print the following comment at the bottom of the Form AAA-347, Enlisted Records Brief (ERB): "An NCO-ER was not required at PCS/separation. The last NCO-ER end date in section A, item A23, is correct." c. If an NCO-ER is required and entry was not made in section A, item A23 of the ERB, take the following action: 1. Contact the personnel records specialist and verify whether or not the NCO-ER has been completed. 2. If the NCO-ER was completed, make appropriate entries on the ERB. 3. If the NCO-ER has not been completed, obtain period of NCO-ER from memorandum provided by the Personnel Records Officer and print the following comment at the bottom of the ERB: "An NCO-ER for the period (period of report) is being prepared and will be completed on or about (date)."
3	INPROCESS	Upon inprocessing, identify if an NCO-ER was required. If required, identify if the NCO-ER was completed. If not completed, notify evaluations section at the PSB.
4	EVAL	Upon receipt of information from the inprocessing clerk that an NCO-ER is pending on an incoming NCO, obtain NCO's name and new unit of assignment and establish a 30-day suspense.
5	EVAL	Upon receipt of correspondence from the losing PSB regarding completion of an NCO-ER, take the following actions: a. Check suspense file for pending NCO-ER on incoming NCO. b. If the file reflects an outstanding suspense, clear it. c. If the file does not reflect an outstanding suspense, forward correspondence to inprocessing clerk.
6	EVAL	Upon expiration of the 30-day suspense on a pending NCO-ER (see step 4 above), take the following actions: a. Obtain the NCO's MPRJ. b. Prepare a memorandum to the NCO's losing PSB requesting information on completion of NCO-ER. If the losing PSB cannot be determined, send the memorandum to the headquarters that issued the reassignment orders (see fig 3-20). c. Return the NCO's MPRJ to file. d. Establish a 30-day suspense for reply to memorandum. e. If an answer is not received within 30 days, send a follow-up memorandum. If a response is not received from the second memorandum within 30 days, direct that a report be prepared as soon as rater qualifications are met, if an annual report is due. f. Upon receipt of reply from the losing PSB regarding the completion of an NCO-ER, clear the suspense. g. Upon receipt of a copy of the completed NCO-ER from the losing PSB, submit ERPT SIDPERS transaction to update the ERB.

Table 3–10
Conditions requiring preparation and submission of Noncommissioned Officer Evaluation Report (DA Form 2166-8))

Rule	When individual is serving as a SGT or above and	Then an NCO-ER is prepared
1	meets minimum rating period requirements (90 days) and has not had a previous NCO-ER for any reason in the last 12 months	with ending period as the 12th month after the ending month of the last NCO-ER (Annual Report) (see para 3-29).
2	meets minimum rating period requirements (90 days), has a change of rater, and has not had a previous NCO-ER for any reason in the last 3 months	and submitted upon change of rater and at ETS (except upon discharge and immediate reenlistment) with ending period the same month as change of rater or ETS. This includes personnel released from active duty due to administrative discharge and those reduced to SPC and below (Change-of-Rater Report) (see para 3-30).
3	dies	no report is required.
4	has not had a previous NCO-ER for current duty assignment, is being considered by a HQDA Centralized Promotion/Selection Board, and in the opinion of the rater, the NCO's performance of duty merits updating and meets minimum rating period requirements (90 rated days)	with ending period established in HQDA message that announced the Board (Complete-the-Record Report) (see para 3-33).
5	has an approved voluntary retirement and it has been less than twelve months since the last evaluation as of the month transition leave begins or the month that retirement is effective if transition leave is not taken	no report is required, unless requested by the rater, senior rater, or NCO (see para 3-30b).
6	is scheduled for TDY or special duty other than as a student for a period of more than 3 months and meets minimum rating period requirements (90 days)	upon departure of the NCO and by the TDY or special duty unit until upon completion of TDY or special duty (Change-of-Rater Report) (see paras 3-30 and 3-31).
7	individual's rater dies, is declared missing, is suspended, relieved, AWOL, receives an administrative discharge, or becomes incapacitated	as of the month of the incident or incapacitation (Change-of-Rater Report) (see para 3-32).
8	the NCO is released early from a specific assignment through inefficiency and the rated period is 30 days or more	as of the month of relief (Relief-for-Cause Report) (see para 3-32).
9	the NCO is released early from a specific assignment through misconduct and the rated period is 30 days or more	as of the month of relief. (Relief-for-Cause-Report) (see para 3-32).
10	the NCO is released early from a specific assignment through misconduct and the rated period is less than 30 days	within 30 days of the event, if first General Officer or Officer exercising General Courts-Martial Convening Authority approves a request for waiver of the 30 day minimum requirement (Relief-for-Cause Report) (see para 3-32).
11	the NCO is reduced or receives an administrative discharge	as of the month of the incident (change-of-rater) (see para 3-30).

NCO EVALUATION REPORT

For use of this form, see AR 623-205; the proponent agency is ODCSPER

SEE PRIVACY ACT STATEMENT IN AR 623-205, APPENDIX C.

PART I - ADMINISTRATIVE DATA

a. NAME *(Last, First, Middle Initial)*	b. SSN	c. RANK	d. DATE OF RANK	e. PMOSC
3-7d(1)	3-7d(1)	3-7d(2)	3-7d(3)	3-7d(4)

f. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND	g. REASON FOR SUBMISSION
3-7d(5)	3-7d(6)

h. PERIOD COVERED FROM (YYYY MM)	h. PERIOD COVERED THRU (YYYY MM)	i. RATED MONTHS	j. NON-RATED CODES	k. NO. OF ENCL	l. RATED NCO COPY *(Check one and Date)*		m. PSC Initials	n. CMD CODE	o. PSB CODE
					1. Given to NCO	*Date*			
3-7d(7)	3-7d(7)	3-7d(8)	3-7d(9)	3-7d(10)	2. Forwarded to NCO	3-7d(11)	3-7d(12)	3-7d(13)	3-7d(14)

PART II - AUTHENTICATION

a. NAME OF RATER *(Last, First, Middle Initial)*	SSN	SIGNATURE	
3-8c(1)			
RANK, PMOSC/BRANCH, ORGANIZATION, DUTY ASSIGNMENT			DATE
3-8c(5)			
b. NAME OF SENIOR RATER *(Last, First, Middle Initial)*	SSN	SIGNATURE	
3-8c(1)			
RANK, PMOSC/BRANCH, ORGANIZATION, DUTY ASSIGNMENT			DATE
3-8c(5)			
c. RATED NCO: I understand my signature does not constitute agreement or disagreement with the evaluations of the rater and senior rater. I further understand my signature verifies that the administrative data in Part I, the rating officials in Part II, the duty description to include the counseling dates in Part III, and the APFT and height/weight entries in Part IVc are correct. I have seen the report completed through Part V, except Parts IId and IIe. I am aware of the appeals process of AR 623-205.		SIGNATURE 3-8c(2)	DATE
d. NAME OF REVIEWER *(Last, First, Middle Initial)*	SSN	SIGNATURE	
3-8c(1)			
RANK, PMOSC/BRANCH, ORGANIZATION, DUTY ASSIGNMENT			DATE
3-8c(5)			

e. ☐ CONCUR WITH RATER AND SENIOR RATER EVALUATIONS ☐ NONCONCUR WITH RATER AND/OR SENIOR RATER EVAL *(See attached comments)*

PART III - DUTY DESCRIPTION ***(Rater)***

a. PRINCIPAL DUTY TITLE	b. DUTY MOSC
3-9b(1)	3-9b(2)

c. DAILY DUTIES AND SCOPE *(To include, as appropriate, people, equipment, facilities and dollars)*

The rater completes and verifies with the rated NCO; address the most important daily/routine duties and responsibilities.

3-9b(3)

d. AREAS OF SPECIAL EMPHASIS

3-9b(4)

e. APPOINTED DUTIES

3-9b(5)

f. COUNSELING DATES	INITIAL	LATER	LATER	LATER
3-9b(6)				

PART IV - ARMY VALUES/ATTRIBUTES/SKILLS/ACTIONS ***(Rater)***

a. ARMY VALUES. Check either "YES" or "NO". ***Comments are mandatory for "No" entries; optional for "Yes" entries.)***

V — Loyalty, Duty, Respect, Selfless-Service
A
L
U
E
S — Honor, Integrity, Personal Courage

	YES	NO
1. LOYALTY: Bears true faith and allegiance to the U. S. Constitution, the Army, the unit, and other soldiers.	X	
2. DUTY: Fulfills their obligations.	X	
3. RESPECT/EO/EEO: Treats people as they should be treated.	X	
4. SELFLESS-SERVICE: Puts the welfare of the nation, the Army, and subordinates before their own.	X	
5. HONOR: Lives up to all the Army values.	X	
6. INTEGRITY: Does what is right - legally and morally.	X	
7. PERSONAL COURAGE: Faces fear, danger, or adversity (physical and moral).	X	

Bullet comments

o bullet comments are mandatory to address "NO" ratings and are optional for "YES" ratings

3-10c

DA FORM 2166-8, OCT 2001 REPLACES DA FORM 2166-7,SEP 87, WHICH IS OBSOLETE USAPA V1.01

Figure 3–1. Sample DA Form 2166-8 (front side)

RATED NCO'S NAME *(Last, First, Middle Initial)*	SSN	THRU DATE
+ 3-7d(1)	3-7d(1)	3-7d(7) +

PART IV *(Rater)* - VALUES/NCO RESPONSIBILITIES

Specific Bullet examples of "EXCELLENCE" or "NEEDS IMPROVEMENT" are mandatory. Specific Bullet examples of "SUCCESS" are optional.

b. COMPETENCE o Duty proficiency; MOS competency o Technical & tactical; knowledge, skills, and abilities o Sound judgment o Seeking self-improvement; always learning o Accomplishing tasks to the fullest capacity; committed to excellence **EXCELLENCE** *(Exceeds std)* **SUCCESS** *(Meets std)* **NEEDS IMPROVEMENT** *(Some)* *(Much)*	o bullet comments are mandatory to address 'excellence' or 'needs improvement' ratings o bullet comments are optional but 'recommended' for 'success' ratings 3-10f
c. PHYSICAL FITNESS & MILITARY BEARING o Mental and physical toughness o Endurance and stamina to go the distance o Displaying confidence and enthusiasm; looks like a soldier **EXCELLENCE** *(Exceeds std)* **SUCCESS** *(Meets std)* **NEEDS IMPROVEMENT** *(Some)* *(Much)*	APFT / HEIGHT/WEIGHT o bullet comments are mandatory to address APFT failure and/or 'NO' entry for height/weight o bullet comment is mandatory to address 'profile' entry o no bullet comment if body fat standards are met 3-10f
d. LEADERSHIP o Mission first o Genuine concern for soldiers o Instilling the spirit to achieve and win o Setting the example; Be, Know, Do **EXCELLENCE** *(Exceeds std)* **SUCCESS** *(Meets std)* **NEEDS IMPROVEMENT** *(Some)* *(Much)*	o mandatory and optional comments are the same as Part IVb above 3-10f
e. TRAINING o Individual and team o Mission focused; performance oriented o Teaching soldiers how; common tasks, duty-related skills o Sharing knowledge and experience to fight, survive and win **EXCELLENCE** *(Exceeds std)* **SUCCESS** *(Meets std)* **NEEDS IMPROVEMENT** *(Some)* *(Much)*	o mandatory and optional comments are the same as Part IVb above 3-10f
f. RESPONSIBILITY & ACCOUNTABILITY o Care and maintenance of equipment/facilities o Soldier and equipment safety o Conservation of supplies and funds o Encouraging soldiers to learn and grow o Responsible for good, bad, right & wrong **EXCELLENCE** *(Exceeds std)* **SUCCESS** *(Meets std)* **NEEDS IMPROVEMENT** *(Some)* *(Much)*	o mandatory and optional comments are the same as Part IVb above 3-10f

PART V - OVERALL PERFORMANCE AND POTENTIAL

a. RATER. Overall potential for promotion and/or service in positions of greater responsibility. 3-13a AMONG THE BEST / FULLY CAPABLE / MARGINAL	e. SENIOR RATER BULLET COMMENTS o bullet comments are mandatory o comments 'must' address potential, but may also address performance and/or evaluation rendered by rater o ratings of 'marginal', 'fair', or 'poor' in Part V must be addressed o if senior rater lacks qualification to render evaluation, enter "senior rater does not meet minimum qualifications" 3-13d
b. RATER. List 3 positions in which the rated NCO could best serve the Army at his/her current or next higher grade. 3-13b	

c. SENIOR RATER. Overall performance 3-13c + 1 2 3 4 5 Successful Fair Poor	d. SENIOR RATER. Overall potential for promotion and/or service in positions of greater responsibility. 3-13c 1 2 3 4 5 Superior Fair Poor

DA FORM 2166-8, OCT 2001 USAPA V1.01

Figure 3–2. Sample DA Form 2166-8 (back side)

NCO COUNSELING CHECKLIST/RECORD

For use of this form, see AR 623-205; the proponent agency is ODCSPER

NAME OF RATED NCO	RANK	DUTY POSITION	UNIT
Completed by the rater for each rated NCO	3-4c(1)		

PURPOSE: The primary purpose of counseling is to improve performance and to professionally develop the rated NCO. The best counseling is always looking forward. It does not dwell on the past and on what was done, rather on the future and what can be done better. Counseling at the end of the rating period is too late since there is no time to improve before evaluation.

RULES:

1. Face-to-face performance counseling is mandatory for all Noncommissioned Officers.
2. This form is for use along with a working copy of the NCO-ER for conducting NCO performance counseling and recording counseling content and dates. Its use is mandatory for counseling all NCOs, CPL through CSM.
3. Active Component. Initial counseling must be conducted within the first 30 days of each rating period, and at least quarterly thereafter. Reserve Components. (ARNG, USAR). Counseling must be conducted at least semiannually. There is no mandatory counseling at the end of the rating period.

CHECKLIST - FIRST COUNSELING SESSION AT THE BEGINNING OF THE RATING PERIOD

PREPARATION

1. Schedule counseling session, notify rated NCO.
2. Get copy of last duty description used for rated NCO's duty position, a blank copy of the NCO-ER, and the names of the new rating chain.
3. Update duty description (see page 2).
4. Fill out rating chain and duty description on working copy of NCO-ER. Parts II and III.
5. Read each of the values/responsibilities in Part IV of NCO-ER and the expanded definitions and examples on page 3 and 4 of this form.
6. Think how each value and responsibility in Part IV of NCO-ER applies to the rated NCO and his/her duty position.

Note: Leadership and training may be more difficult to apply than the other values/responsibilities when the rated NCO has no subordinates. Leadership is simply influencing others in the accomplishment of the mission and that can include peers and superiors. It also can be applied directly to additional duties and other areas of Army community life. Individual training is the responsibility of all NCOs whether or not there are subordinates. Every NCO knows something that can be taught to others and should be involved in some way in a training program.

7. Decide what you consider necessary for success (a meets standards rating) for each value/responsibility. Use the examples listed on pages 3 and 4 of this form as a guide in developing your own standards for success. Some may apply exactly, but you may have to change them or develop new ones that apply to your situation. Be specific so the rated NCO will know what is expected.
8. Make notes in blank spaces in Part IV of NCO-ER to help when counseling.
9. Record rated NCO's name, rank, duty position, and unit date on this form.
10. Write key points to be made during the counseling session on this form.
11. Review Developmental Counseling in FM 22-100, appendix C.

COUNSELING

1. Make sure rated NCO knows rating chain.
2. Show rated NCO the draft duty description on your working copy of the NCO-ER. Explain all parts. If rated NCO performed in position before, ask for any ideas to make duty description better.
3. Discuss the meaning of each value/responsibility in Part IV of NCO-ER. Use the trigger words on the NCO-ER, and the expanded definitions on pages 3 and 4 of this form to help.
4. Explain how each value/responsibility applies to the specific duty position by showing or telling your standards for success (a meets standards rating). Use examples on pages 3 and 4 of this form as a start point. Be specific so the rated NCO really knows what's expected.
5. When possible, give specific examples of excellence that could apply. This gives the rated NCO something special to strive for. Remember that only a few achieve real excellence and that real excellence always includes specific results and often includes accomplishments of subordinates.
6. Give rated NCO opportunity to ask questions and make suggestions.

BEFORE THE NCO DEPARTS THE COUNSELING SESSION

1. Record counseling date on this form.
2. Write any additional key points that came up during the counseling session on this form.
3. Show key points to rated NCO and get his/her initials.
4. Save NCO-ER with this checklist for next counseling session.

CHECKLIST - LATER COUNSELING SESSIONS DURING THE RATING PERIOD

PREPARATION

1. Schedule counseling session, notify rated NCO, and tell him/her to come prepared to discuss what has been accomplished in each value/responsibility area.
2. Look at working copy of NCO-ER you used during last counseling session.
3. Read and update duty description. Especially note the area of special emphasis; the priorities may have changed.
4. Read again, each of the values/responsibilities in Part IV of NCO-ER and the expanded definitions and examples on pages 3 and 4 of this form; then think again, about your standards for success.
5. Look over the notes you wrote down on page 2 of this form about the last counseling session.
6. Think about what the rated NCO has done so far during this rating period (specifically, observed action, demonstrated behavior, and results).
7. For each value/responsibility area, answer three questions: First, what has happened in response to any discussion you had during the last counseling session? Second, what has been done well?; and Third, what could be done better?
8. Makes notes in blank spaces in Part IV of NCO-ER to help focus when counseling. (Use new NCO-ER if old one is full from last counseling session.)
9. Write key points to be made during the counseling session on this form.
10. Review Developmental Counseling in FM 22-100, appendix C.

DA FORM 2166-8-1, OCT 2001 REPLACES DA FORM 2166-7-1, SEP 87, WHICH IS OBSOLETE. USAPA V1.01

Figure 3–3. Sample DA Form 2166-8-1 (page 1)

COUNSELING

1. Go over each part of the duty description with rated NCO. Discuss any changes, especially to the area of special emphasis.

2. Tell rated NCO how he / she is doing. Use your success standards as a guide for the discussion (the examples on pages 3 and 4 may help). First, for each value/responsibility, talk about what has happened in response to any discussion you had during the last counseling session (remember, observed action, demonstrated behavior and results). Second, talk about what was done well. Third, talk about how to do better. The goal is to get all NCOs to be successful and meet standards.

3. When possible, give examples of excellence that could apply. This gives the rated NCO something to strive for, REMEMBER, EXCELLENCE IS SPECIAL, ONLY A FEW ACHIEVE IT! Excellence includes results and often involves subordinates.

4. Ask rated NCO for ideas, examples and opinions on what has been done so far and what can be done better. (This step can be done first or last).

BEFORE THE NCO DEPARTS THE COUNSELING SESSION

1. Record counseling date on this form.
2. Write any additional key points that came up during the counseling session on this form. .
3. Show key points to rated NCO and get his/her initials.
4. Save NCO-ER with this checklist for next counseling session. (Notes should make record NCO-ER preparation easy at the end of the rating period.

COUNSELING RECORD/KEY POINTS MADE

INITIAL

Conducted within the first 30 days of the rating period or effective date of lateral appointment to corporal, or promotion to sergeant.

3-4c(1)

DATE RATED NCO'S INITIALS

LATER

Later counseling sessions will be conducted at least quarterly (every 3 months).

3-4c(2)

DATE RATED NCO'S INITIALS

LATER

3-4c(2)

DATE RATED NCO'S INITIALS

LATER

3-4c(2)

DATE RATED NCO'S INITIALS

DUTY DESCRIPTION (PART III of NCO-ER)

The duty description is essential to performance counseling and evaluation. It is used during the first counseling session to tell rated NCO what the duties are and what needs to be emphasized. It may change somewhat during the rating period. It is used at the end of the rating period to record what was important about the duties.

The five elements of the duty description:

1 & 2. Principal Duty Title and Duty MOS Code. Enter principal duty title and DMOS that most accurately reflects actual duties performed.

3. Daily Duties and Scope. This portion should address the most important routine duties and responsibilities. Ideally, this should include number of people supervised, equipment, facilities, and dollars involved and any other routine duties and responsibilities critical to mission accomplishment.

4. Area of Special Emphasis. This portion is most likely to change somewhat during the rating period. For the first counseling session, it includes those items that require top priority effort at least for the first part of the upcoming rating period. At the end of the rating period, it should include the most important items that applied at any time during the rating period (examples are preparation for deployment, combined arms drills training for FTX, preparation for NTC rotation, revision of battalion maintenance SOP, training for tank table qualification, ITEP and company AMTP readiness, related tasks cross-training, reserve components annual training support (AT) and SIDPERS acceptance rate).

5. Appointed Duties. This portion should include those duties that are appointed and are not normally associated with the duty description.

DA FORM 2166-8-1, OCT 2001 2 USAPA V1.01

Figure 3–4. Sample DA Form 2166-8-1 (page 2)

VALUES/NCO RESPONSIBILITIES (PART IV of NCO-ER)

VALUES: Values tell us what we need to be, every day, in every action we take. Army values form the identity of America's Army, the solid rock upon which everything else stands. They are the glue that binds us together as members of a noble profession. They make the whole much greater than the sum of the parts. They are nonnegotiable: they apply to everyone all the time and in every stituation. Part IVa of the NCO-ER includes these values. They are: Loyalty - Bears true faith and allegiance to the U.S. Constitution, the Army, the unit, and the soldier. Duty - Fulfills their obligations. Respect - Treats people as they should be treated. Selfless-Service - Puts the welfare of the nation, the Army, and subordinates before their own. Honor - Lives up to all the Army values. Integrity - Does what's right - legally and morally. Personal Courage - Faces fear, danger, or adversity (physical and moral).

Examples of standards for "YES" ratings:

- Put the Army, the mission and subordinates first before own personal interest.
- Meet challenges without compromising integrity.
- Personal conduct, both on and off duty, reflects favorably on NCO corps.
- Obey lawful orders and do what is right without orders.
- Choose the hard right over the easy wrong.
- Exhibit pride in unit, be a team player.
- Demonstrate respect for all soldiers regardless of race, creed, color, sex, or national origin.

COMPETENCE: The knowledge, skills and abilities necessary to be expert in the current duty assignment and to perform adequately in other assignments within the MOS when required. Competence is both technical and tactical and includes reading, writing, speaking and basic mathematics. It also includes sound judgment, ability to weigh alternatives, form objective opinions and make good judgments. Closely allied with competence is the constant desire to be better, to listen and learn more and do each task completely to the best of one's ability. Learn, grow, set standards, and achieve them, create and innovate, take prudent risks, never settle for less than best. Committed to excellence.

Examples of standards for "Success/Meets Standards" rating:

- Master the knowledge, skills and abilities required for performance in your duty position.
- Accomplish completely and promptly those tasks assigned or required by duty position.
- Constantly seek ways to learn, grow and improve.
- Formulate and develop new ideas.

Examples of "Excellence":

- Picked as SSG to be a platoon sergeant over twelve other SSGs.
- Maintained SIDPERS rating of 98% for six months.
- Selected best truck master in annual battalion competition.
- Designated Installation Drill Sergeant of Quarter.
- Exceeded recruiting objectives two consecutive quarters.
- Awarded Expert Infantryman Badge (EIB).

PHYSICAL FITNESS AND MILITARY BEARING: Physical fitness is the physical and mental ability to accomplish the mission - combat readiness. Total fitness includes weight control, diet and nutrition, smoking cessation, control of substance abuse, stress management, and physical training. It covers strength, endurance, stamina, flexibility, speed, agility, coordination and balance. NCOs are responsible for their own physical fitness and that of their subordinates. Military Bearing consists of posture, dress, overall appearance, and manner of physical movement. Bearing also includes an outward display of inner-feelings, fears, and overall confidence and enthusiasm. An inherent NCO responsibility is concern with the military bearing of the individual soldier, to include on-the-spot corrections.

Examples of standards for "Success/Meets Standards" rating:

- Maintain weight within Army limits for age and sex.
- Obtain passing score in APFT and participate in a regular exercise program.
- Maintain personal appearance and exhibit enthusiasm to the point of setting an example for junior enlisted soldiers.
- Monitor and encourage improvement in the physical and military bearing of subordinates.

Examples of "Excellence":

- Received Physical Fitness Badge for 292 score on APFT.
- Selected soldier of the month/quarter/year.
- Three of the last four soldiers of the month were from his/her platoon.
- As Master Fitness Trainer, established battalion physical fitness program.
- His entire squad was commended for scoring above 270 on APFT.

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Figure 3–5. Sample DA Form 2166-8-1 (page 3)

LEADERSHIP: Influencing others to accomplish the mission. It consists of applying leadership attributes (Beliefs, Values, Ethics, Character, Knowledge, and Skills). It includes setting tough, but achievable standards and demanding that they be met; Caring deeply and sincerely for subordinates and their families and welcoming the opportunity to serve them; Conducting counseling;	Setting the example by word and act/deed; Can be summarized by BE (Committed to the professional Army ethic and professional traits); KNOW (The factors of leadership, yourself, human nature, your job, and your unit); DO (Provide direction, implement, and motivate). Instill the spirit to achieve and win: Inspire and develop excellence. A soldier cared for today, leads tomorrow.
Examples of standards for "Success/Meets Standards" rating: • Motivate subordinates to perform to the best of their ability as individuals and together as a disciplined cohesive team to accomplish the mission. • Demonstrate that you care deeply and sincerely for soldiers and welcome the opportunity to serve them. • Instill the spirit to achieve and win; Inspire and develop excellence through counseling. • Set the example: BE, KNOW, DO.	**Examples of "Excellence":** • Motivated entire squad to qualify expert with assigned weapon. • Won last three platoon squad inspections. • Selected for membership in Sergeant Morales Club. • Inspired mechanics to maintain operational readiness rating of 95% for two consecutive quarters. • Led his squad through map orienteering course to win the battalion competition. • Counseled two marginal soldiers ultimately selected for promotion.
TRAINING: Preparing individuals, units and combined arms teams for duty performance; The teaching of skills and knowledge. NCOs contribute to team training, are often responsible for unit training (Squads, Crews, Sections), but individual training is the most important, exclusive responsibility of the NCO Corps. Quality training bonds units: Leads directly to good discipline; Concentrates on wartime missions; Is tough and demanding	without being reckless; Is performance oriented; Sticks to Army doctrine to standardize what is taught to fight, survive, and win, as small units when wartime actions dictate. "Good training means learning from mistakes and allowing plenty of room for professional growth. Sharing knowledge and experience is the greatest legacy one can leave subordinates."
Examples of standards for "Success/Meets Standards" rating: • Make sure soldiers:- a. Can do identified common tasks. b. Are prepared for Commander's Evaluation. c. Develop and practice skills for duty position. d. Train as a squad/crew/section. • Identify and recommend subordinates for professional development courses. • Participate in unit training program. • Share knowledge and experience with subordinates.	**Examples of "Excellence":** • Taught five common tasks resulting in 100% GO on Annual CTT for all soldiers in directorate. • Trained best howitzer section of the year in battalion. • Coached subordinates to win consecutive soldier of month competitions. • Established company Expert Field Medical Badge program resulting in 85% of all eligible soldiers receiving EFMB. • Distinguished 1 tank and qualified 3 tanks in platoon on first run of tank table VIII. • Trained platoon to fire honor battery during annual service practice.
RESPONSIBILITY AND ACCOUNTABILITY: The proper care, maintenance, use, handling, and conservation of personnel, equipment, supplies, property, and funds. Maintenance of weapons, vehicles, equipment, conservation of supplies, and funds is a special NCO responsibility because of its links to the success of all missions, especially those on the battlefield. It includes inspecting soldier's equipment often, using manual or checklist; holding soldiers responsible for repairs and losses; learning how to use and maintain all the equipment soldiers use; being among the first to operate new equipment; keeping up-to-date component	lists; setting aside time for inventories; and knowing the readiness status of weapons, vehicles, and other equipment. It includes knowing where each soldier is during duty hours; why he/she is going on sick call, where he/she lives, and his/her family situation; it involves reducing accidental manpower and monetary losses by providing a safe and healthful environment; it includes creating a climate which encourages young soldiers to learn and grow, and, to report serious problems without fear of repercussions. Also, NCOs must accept responsibility for their own actions and for those of their subordinates.
Examples of standards for "Success/Meets Standards" rating: • Make sure your weapons, equipment, and vehicles are serviceable, maintained and ready for accomplishing the mission. • Stop waste of supplies and limited funds. • Be aware of those things that impact on soldier readiness e.g., family affairs, CTT, PQR, special duty, medical conditions, etc. • Be responsible for your actions and those of your subordinates.	**Examples of "Excellence":** • His/her emphasis on safety resulted in four tractor trailer drivers logging 10,000 miles accident free. • Received commendation from CG for organizing post special olympics program. • Won the installation award for Quarters of the Month. • His/her constant instruction on maintenance resulted in six of eight mechanics earning master mechanic badges. • Commended for no Bradley's on deadline report for six months. • His/her learn and grow climate resulted in best platoon ARTEP results in the battalion.

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Figure 3–6. Sample DA Form 2166-8-1 (page 4)

Chapter 4
Army National Guard of the United States

Section I
Managing ARNGUS Evaluations

4–1. Overview
This chapter governs Army National Guard of the United States (ARNGUS) NCOs, in the grade of corporal and above, when not in active Federal service or full-time National Guard duty (FTNGD). It does not apply to personnel assigned to the Active Army or to participants in the ARNGUS-AGR programs.

4–2. Purpose
This chapter provides policies and procedures unique to the ARNGUS. In addition to this chapter, all other provisions of this regulation, except chapter 5 (USAR) apply to ARNGUS NCOs, unless otherwise indicated.

Section II
Submission of Reports

4–3. Minimum rating period
The minimum authorized period for an NCO-ER is 90 rated days, except Relief-for-Cause Reports (see para 4-7).

4–4. Continuity of rating periods
a. Once the first report has been submitted, NCO-ERs will show a continuous record for each month and year.

b. NCO-ERs will not normally be prepared for NCOs who are within 4 months of a mandatory separation or retirement date unless an annual report is normally due or a report is requested by the rater or rated NCO.

Section III
Types of Reports

4–5. First reports
The first NCO-ER is submitted on sergeants or above who have not been previously evaluated in the NCO-ER System. For ARNGUS prepare the first report for whichever of the following occurs first:

a. Immediate reenlistment or extension.

b. Transfer to the IRR.

c. Transfer to another ARNGUS unit.

d. Transfer to another Reserve Component.

e. Required for board action.

f. Change of rater.

g. Annual reporting month.

4–6. Annual reports
a. Annual reports will be prepared annually as of the last day of the month in table 4-1.

b. Annual reports must meet the 90-day minimum rating period and rater qualifications. The report period will be extended until these minimums are met.

c. If another report has been submitted during the 3-month period preceding the end of the annual reporting month, an annual report will not be prepared. Add those months not included in the last report to the next report, regardless of the purpose of that report. For example, if an NCO receives a Change of Rater Report two months before the end of the annual rating period, the next report will include 14 months and be rendered on the schedule in table 4-1.

d. Annual reports will not be signed prior to the first day of the month following the ending month of the report (see para 3-8c).

Table 4–1
Schedule for regular evaluation reports (ARNGUS)

Grade: MSG/1SG and SGM/CSM **Prepare as of last day of reporting month:** August
Grade: SFC **Prepare as of last day of reporting month:** September
Grade: SSG **Prepare as of last day of reporting month:** October
Grade: Grade: SGT **Prepare as of last day of reporting month:** November

4–7. Relief-for-Cause Reports

A report is required if an NCO is relieved for cause. The policy and guidance in paragraph 3-11 apply to all ARNGUS NCOs except that the minimum rating period is 90 rated days.

4–8. Change-of-Rater Reports

Change-of-Rater Reports are optional for ARNGUS NCOs whose duties change significantly with the change-of-rater and the NCO remains in the same unit. They are also optional for ARNGUS NCOs whose rater transfers within the unit. A Change-of-Rater Report is required when an ARNGUS NCO or the rater:

a. Transfers to another unit;

b. Transfers to the IRR or another component; or

c. When directed by the chain of command in conjunction with a change-of-rater or change-of-duty assignment.

4–9. Reports for NCOs in the Inactive National Guard

NCO-ERs will normally not be submitted for members of the Inactive National Guard (ING). However, the NCO-ER will be completed for sergeants and above who return to unit status to complete annual training (AT) of more than 11 days and return to the ING upon completion of the AT period. A copy of the completed NCO-ER will be forwarded to the State Personnel Officer not later than 30 days after the ending date of the report. A copy will be given to the rated NCO and the original will be filed in the NCO's MPRJ.

4–10. Restrictions

Paragraph 1-13 and chapter 3, section III, apply to the ARNGUS.

Section IV
Rating Chain Qualifications and Responsibilities

4–11. Rater qualifications

a. The rater must be:

(1) The immediate supervisor of the rated NCO for a minimum period of—

(a) Ninety rated days for all cases except Relief-for-Cause Reports involving misconduct.

(b) For Relief-for-Cause Reports involving misconduct, the 90-day period may be waived by a general officer in the chain of command or an officer having general court-martial jurisdiction over the relieved NCO, including the State Adjutant General.

(c) For NCOs on a Key Personnel Upgrade Program (KPUP) or similar tour of less than 16 days the supervisor will provide the normal rater with a memorandum (see table 3-5 for guidelines) providing input for the NCO's next evaluation.

(2) A sergeant or higher, if military and senior to the rated NCO by either pay grade or date of rank. Where pay grade is the same, seniority is determined by date of rank.

b. Commanders may appoint civilian employees of DOD, GS-6 and above, as raters when a first-line military supervisor is not available and when the civilian supervisor is in the best position to accurately evaluate the NCO's performance. The civilian rater must be officially designated on the published rating scheme established by the local commander. (See also para 2-4b for requirement when military technicians are designated as raters.)

c. Members of other U.S. military services who meet the qualifications above may be raters.

d. Members of allied forces are not authorized to be raters.

4–12. Other rating chain qualifications and program responsibilities

With the exception of paragraph 2-4, the rest of chapter 2 applies to the ARNGUS. Paragraph 2-4e applies to an ARNGUS CSM serving as an NCO Academy Commandant. The State CSM will be rated by the State Adjutant General.

Chapter 5
U.S. Army Reserve

Section I
Managing USAR Evaluations

5–1. Overview

This chapter applies to U.S. Army Reserve (USAR) NCOs, in the grade of corporal and above. It does not apply to personnel assigned to the Active Army or to participants in the USAR-AGR Program.

5–2. Purpose

This chapter provides policies and procedures unique to the USAR. In addition to this chapter, all other provisions of this regulation apply to USAR NCOs, unless otherwise indicated.

Section II
Submission of reports

5–3. Minimum rating period

The minimum authorized period for an NCO-ER is 90 rated days, except for IRR or IMA NCOs (see para 5-12c).

5–4. Continuity of rating periods

a. Once the first report has been submitted, NCO-ERs will show a continuous record for each month and year, except for reports rendered on IRR or IMA NCOs (see para 5-10).

b. NCO-ERs will not normally be prepared for NCOs who are within 4 months of a mandatory removal or retirement date unless an annual report is normally due or a report is requested by the rater or rated NCO.

Section III
Types of Reports

5–5. First reports

The first NCO-ER is submitted on sergeants and above who have not been previously evaluated in the NCO-ER System. Prepare the first report for whichever of the following occurs first:

a. Required for board action.

b. Change of rater.

c. Annual reporting month.

5–6. Annual reports

a. Annual reports for USAR NCOs assigned to TPUs will be prepared based on paragraph 3-29. IRR and IMA NCOs will have annual reports prepared annually as of the last day of the month in table 5-1, except as specified in paragraph 5-10.

b. Annual reports must meet the 90-day minimum rating period and rater qualifications. The report period will be extended until these minimums are met.

c. For IRR and IMA NCOs, if another report has been submitted during the 3-month period preceding the end of the annual reporting month, an annual report will not be prepared.

d. Annual reports will not be signed prior to the first day of the month following the ending month of the report (see para 3-29c).

Table 5–1
Schedule for regular evaluation reports (USAR)

Grade: MSG/1SG and SGM/CSM **Prepare as of last day of reporting month:** August
Grade: SFC **Prepare as of last day of reporting month:** September
Grade: SSG **Prepare as of last day of reporting month:** October
Grade: SGT **Prepare as of last day of reporting month:** November

5–7. Relief-for-Cause Reports

A report is required if an NCO is relieved for cause.

a. The policy and guidance in paragraph 3-32 apply to all USAR NCOs except that the minimum rating period is 90 rated days.

b. For Relief-for-Cause Reports involving misconduct, the provisions of paragraph 5-12a(1)(b) apply.

5–8. Change-of-Rater Reports

A report will be submitted on USAR NCOs whenever the designated rater is changed as long as minimum rater qualifications are met (see para 5-12). Rater changes include:

a. Rater or rated NCO are reassigned; transferred to another unit; transferred to the IRR, IMA, or transferred to another Reserve Component.

b. Rater or rated NCO is discharged or normal expiration of term of service (ETS), except discharge for immediate reenlistment.

c. Rated NCO is reduced to CPL/SPC or below. Reduction to another NCO grade (for example, SFC to SG) does not require a report, unless the actual rater changes.

d. Rater dies, is relieved, reduced, absent without leave (AWOL), declared an unsatisfactory participant based on AR 135-91, paragraph 4-9b, for USAR not on active duty, declared missing, or becomes incapacitated to such an extent that the reviewer, on the advice of medical authorities, believes the rater is unable to submit an accurate evaluation. The senior rater will complete both rater and senior rater portions of the reports on each of the rater's subordinates (provided senior rater meets minimum rater qualifications) and will enter a brief explanation of the reason for the report in part Ve (for example, "rater deceased" or "rater relieved"). When both the rater and senior rater are unable to evaluate because of any combination of these factors, a report will not be submitted. The period will be shown as nonrated on the next report. Code "Q" will be used to explain nonrated periods.

e. A Change-of-Rater Report will be submitted when requested by the rater or rated NCO upon approved retirement.

f. A Change-of-Rater Report may not be signed before the date the change occurs. However, in the event of PCS, the report may be completed and signed up to 10 days prior to the date of departure in order to facilitate orderly outprocessing.

5–9. Counseling IRR and IMA NCOs

Performance counseling for IRR and IMA NCOs (CPL and above) serving on tours of duty described in paragraph 5-10b will be accomplished:

a. Not later than 1200 on the NCO's first duty day, the NCO will meet with the rater. The rater will conduct the first counseling session in accordance with paragraph 3-4c. The rater will ensure the NCO understands the duty requirements and responsibilities during the tour of duty that will form the basis for the evaluation report. The rated NCO must be given the opportunity to express his or her expectations of achievements during the tour of duty.

b. At a midway point during the tour of duty, the rater will again schedule and conduct a counseling session with the NCO.

c. The counseling checklist will be maintained in accordance with paragraph 3-4.

5–10. Reports for IRR, IMA, and AMEDD NCOs in career management field (CMF) 91

Prepare the NCO-ER in triplicate. Send the original and a copy to CDR, AR-PERSCOM, ATTN: ARPC-PSV-EE, 1 Reserve Way, St. Louis, MO 63132-5200. Give the other copy to the rated NCO. Reports must be forwarded not later than 90 days after the ending date of the report.

a. NCO-ERs, submitted according to table 5-1, will be completed as follows:

(1) For IRR and IMA NCOs, SGT and above, attached or assigned to Active Army or Reserve Component

TDY
temporary duty

TOE
table of organization and equipment

TPU
troop program unit

TTAD
temporary tour of active duty

UCMJ
Uniform Code of Military Justice

USAEREC
U.S. Army Enlisted Records and Evaluation Center

USAR
United States Army Reserve

USARC
U.S. Army Reserve Command

Section II
Terms

Appeal
The procedure taken by the rated NCO or another interested party to correct administrative or substantive type errors for evaluation reports accepted for inclusion in the NCO's Official Military Personnel File.

Appointed duties
Appointed duties that are not normally associated with the duty description.

Bullet comments
Short, concise, to-the-point comments starting with action words (verbs) or possessive pronoun (his/her). Bullet comments will not be longer than two lines, preferably one, and no more than one bullet to a line.

Competence
The knowledge, skills, and abilities necessary to be expert in the current duty assignment and to perform adequately in other assignments within the MOS when required. Competence is both technical and tactical and includes reading, writing, speaking, and basic mathematics. It also includes sound judgment, ability to weigh alternatives, form objective options, and make good decisions. Closely allied with competence is the constant desire to better, to listen and learn more, and to do each task completely to the best of one's ability. Learn, grow, set standards, and achieve them, create and innovate, take prudent risks, never settle for less than the best. Committed to excellence.

Leadership
Influencing others to accomplish the mission. It consists of applying leadership attributes (beliefs, values, ethics, character, knowledge, and skills). It includes setting tough, but achievable standards and demanding that they be met; caring deeply and sincerely for subordinates and their families and welcoming the opportunity to serve them; conducting counseling; setting the example by word and act/deed; can be summarized by BE (committed to the professional Army ethic and professional traits); KNOW (the factors of leadership, yourself, human nature, your job, and your unit); DO (provide direction, implement, and motivate). Instill the spirit to achieve and win. Inspire and develop excellence. A soldier who is cared for today is a soldier who leads tomorrow.

Performance counseling
Informs soldiers about their jobs and the expected performance standards and provides feedback on actual performance. Soldiers' performance includes appearance, conduct, mission accomplishment, and the way duties are carried out. Provides honest feedback to let soldiers know how they are performing.

Performance evaluation
Judgments on how well the rated NCO met his or her duty requirements and adhered to professional standards of NCO Corps. Performance is evaluated by observing an NCO's action, demonstrated behavior, and results from the point of view of the values and NCO responsibilities. Due regard is given to experience of the NCO, efforts made, and results achieved.

Period of report
The period of time the report covers including rated and nonrated time. Beginning with the month following the ending month of the last report with the THRU date that is the month of the event generating the report.

Physical fitness and military bearing
Physical fitness is the physical and mental ability to accomplish the mission - combat readiness. Total fitness includes weight control, diet and nutrition, smoking cessation, control of substance abuse, stress management, and physical training. It covers strength, endurance, stamina, flexibility, speed, agility, coordination, and balance. NCOs are responsible for their own physical fitness and that of their subordinates. Military bearing consists of posture, dress, overall appearance, and manner of physical movement. Bearing also includes an outward display of inner feelings, fears, and overall confidence and enthusiasm. An inherent NCO responsibility is concern with the military bearing of the individual soldier, to include on-the-spot corrections.

Potential evaluation
An assessment of the rated NCO's ability, compared with that of other NCO's of the same grade, to perform in positions of greater responsibility and/or higher grade.

Rated NCO
A rated noncommissioned officer.

Rater
First line supervisor of the rated NCO and designated as the rater on the rating scheme. Primary role is that of evaluating, focusing on performance, and performance counseling. Conducts face-to-face performance counseling with the rated NCO on duty performance and professional development within the first 30 days of each rating period and at least quarterly thereafter.

Rating chain
The NCO's rating officials (rater, senior rater, and reviewer) as published on the rating scheme.

Rating officials
Individuals (rater, senior rater, and reviewer) as published on the rating scheme who render an evaluation on the rated NCO.

Redress
Procedures by which rated individuals can address errors, bias, or injustice during and after the preparation of an evaluation and have them corrected.

Relief-for-cause
The removal of an NCO from a rateable assignment based on a decision by a member of the person's chain of command or supervisory chain that his or her personal or professional characteristics, conduct, behavior, or performance of duty warrant removal in the best interests of the U.S. Army.

Responsibility and accountability
The proper care, maintenance, use, handling, and conservation of personnel, equipment, supplies, property, and funds. Maintenance of weapons, vehicles, equipment, conservation of supplies and funds is a special NCO responsibility because of its links to the success of all missions, especially those on the battlefield. It includes inspecting soldier's equipment often, using a manual or checklist; holding soldiers responsible for repairs and losses; learning how to use and maintain all the equipment soldiers use; being among the first to operate new equipment; keeping up-to-date component lists; setting aside time for inventories; and knowing the readiness status of weapons, vehicles, and other equipment. It includes knowing where each soldier is during duty hours, why he or she is going on sick call, where he or she lives, and his or her family situation. It involves reducing accidental manpower and monetary losses by providing a safe and healthful environment; it includes creating a climate that encourages young soldiers to learn and grow; and to report serious problems without fear of repercussions. Also NCOs must accept responsibility for their own actions and for those of their subordinates.

Reviewer
Third line rating official. Must be a commissioned officer, warrant officer, command sergeant major, or sergeant major in the direct line of supervision and senior in pay grade, grade of rank, or date of rank to the senior rater. Promotable master sergeants may serve as reviewers provided they are serving in an authorized SGM/CSM position. Primary role is that of rating safeguard/over-watch.

Senior rater
Second line rating official. Must be in the direct line of supervision of the rated NCO and senior to the rater by either pay grade or date of rank. Primary role is that of evaluation, focusing on potential; responsible for over-watching the performance evaluation; and mentoring. Obtains the rated NCO's signature or enters appropriate statement if rated NCO refuses or is not available.

Suspended
Temporary removal of an NCO from his/her position pending a final decision on an adjudicated issue. The period of suspension must be shown as nonrated time on the NCO-ER.

Training
Preparing individuals, units, and combined arms teams for duty performance; and the teaching of skills and knowledge. NCOs contribute to team training, are often responsible for unit training (squads, crews, sections), but individual training is the most important, exclusive responsibility of the NCO Corps. Quality training bonds units; leads directly to good discipline; concentrates on wartime missions; is tough and demanding without being reckless; is performance oriented; sticks to Army doctrine to standardize what is taught to fight, survive, and win as small units. Good training means learning from mistakes and allowing plenty of room for professional growth. Sharing knowledge and experience is the greatest legacy one can leave subordinates.

Values
Values tell us what we need to be, every day, in every action we take. Army values form the very identity of America's Army, the solid rock upon which everything else stands. Values are the glue that binds us together as members of a noble profession. They make the whole much greater than the sum of the parts. They are nonnegotiable; they apply to everyone, all the time, and in every situation.

Section III
Special Abbreviations and Terms

AGI
annual general inspection

C&S
command and staff

DCS, G-1
Deputy Chief of Staff, G-1

EMF
enlisted master file

ENRC
enlisted records

EREC
Enlisted Records and Evaluation Center

EVAL
evaluation

FTSMD
U.S. Army Reserve Full-Time Support Management Division

IOPR
in/out-processing

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PRACTICAL EXERCISE 1

Title	Complete the Rater Portion of an NCO-ER
Lesson Number/Title	L333 version 2 / THE NONCOMMISSIONED OFFICER EVALUATION REPORTING SYSTEM
Introduction	This practical exercise will help you understand how to complete the rater portion of the NCO-ER.
Motivator	As a squad leader in your company, battery, or troop, you are responsible for rating the NCOs under you. This PE gives you the opportunity to use the knowledge gained during this lesson.
Learning Step/Activity	**NOTE:** The instructor should inform the students of the following Learning Step/Activity requirements. (ELO B) At the completion of this lesson, you [the student] will:

ACTION:	Complete the rater portion of an NCO-ER.
CONDITIONS:	As a squad leader in a classroom environment and given DA Form 2166-8-1 and AR 623-205.
STANDARDS:	Completed the rater portion of an NCO-ER IAW AR 623-205.

Safety Requirements	None
Risk Assessment Level	Low
Environmental Considerations	None
Evaluation	There is no 100 percent solution to this practical exercise. Discuss the solutions as a group, along with your instructor.
Instructional Lead-In	None

Resource Requirements

Instructor Materials:

- AR 623-205, DA Form 2166-8-1 (SH-2-2), Practical Exercise Situation, and blank DA Form 21-66-8.

Student Materials:

- AR 623-205, DA Form 2166-8-1 (SH-2-2), Practical Exercise Situation (C-2 and C-3), and blank DA Form 21-66-8 (provided by instructor).

Special Instructions

You must prepare the rater's portion of DA Form 2166-8 for the situation given on pages C-3 and C-4 IAW the following instructions:

a. The numbers superimposed on DA Form 2166-8 correspond with the applicable paragraph in AR 623-205.

b. Use the situation sheet (C-3 and C-4) and student handout C-5 and C-6 (DA Form 2166-8).

c. Compare your solutions with other students and then review in class as a group discussion.

PRACTICAL EXERCISE 1

SITUATION

1. You are the rater. Use your own organization (the academy you are attending) for this PE.

2. Rated soldier:

   a. TOMMY A. SANDS, 438-90-9197, SGT, DOR 001001, PMOS and unit of assignment is the same as the rater (you). The rating period is 1 Oct 01 through 30 Sep 02.

3. Use the following information to complete the DA Form 2166-8:

   a. First 30 days in unit:

      (1) Assigned as squad leader of the 2nd squad, which has 12 soldiers, effective 1 Jul 01.

      (2) Last APFT score 183, 9 Sep 01 (Passed)

      (3) GT score is 93.

      (4) High school graduate.

      (5) Male, age 29; HT: 71; WT: 178 (meets standards).

      (6) Immediate tasks to accomplish:

      (a) Prepare your squad for a battalion command inspection.

      (b) Ensure all squad personnel have military driver's license.

      (c) Inventory and order new radio equipment for the squad.

      (7) Additional duty assignments:

      (a) Additional duty as Equal Opportunity/Sexual Harassment NCO.

      (b) Member of the unit Better Opportunity for Single Soldiers (BOSS)/fund council.

   b. First quarter in the unit:

      (1) Developed a leader book for all squad members.

(2) Conducted professional development counseling with all squad members.

c. Second quarter in the unit:

(1) Enrolled in GT improvement class and raised GT score to 111.

(2) Three squad members failed the APFT.

(3) Scored 201 on the APFT, 9 Oct 01 (passed).

(4) Licensed 10 men of a 12 man squad on all vehicles assigned.

(5) Conducted remedial training for all soldiers who failed the current APFT.

(6) The squad passed the battalion command inspection.

(7) The squad received new radio equipment he requisitioned.

d. Third quarter in the unit:

(1) Qualified expert on the M16A2.

(2) Retested personnel who previously failed the APFT--all three passed.

(3) Enrolled in college courses.

e. Fourth quarter in the unit:

(1) Scored 290 on the APFT, 9 Aug 02

(2) Two squad members reenlisted resulting in a 100 percent retention rate.

(3) Average APFT score for the squad was 250.

(4) Maintained 100 percent accountability of personnel and equipment.

NCO EVALUATION REPORT

For use of this form, see AR 623-205; the proponent agency is OCCSPER

SEE PRIVACY ACT STATEMENT IN AR 623-205, APPENDIX C

PART I - ADMINISTRATIVE DATA

a. NAME *(Last, First, Middle Initial)* 3-7d(1)	b. SSN 3-7d(1)	c. RANK 3-7d(2)	d. DATE OF RANK 3-7d(3)	e. PMOSC 3-7d(4)
f. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND 3-7d(5)			g. REASON FOR SUBMISSION 3-7d(6)	

h. PERIOD COVERED FROM (YYYY MM)	THRU (YYYY MM)	i. RATED MONTHS	j. NON RATED CODES	k. NO OF ENCL	l. RATED NCO COPY *(Check one and Date)* 1. Given to NCO / 2. Forwarded to NCO	Date	m. PSC Initials	n. CMD CODE	o. PSB CODE
3-7d(7)	3-7d(7)	3-7d(8)	3-7d(9)	3-7d(10)		3-7d(11)	3-7d(12)	3-7d(13)	3-7d(14)

PART II - AUTHENTICATION

a. NAME OF RATER *(Last, First, Middle Initial)* 3-8c(1)	SSN	SIGNATURE 2-9f	
RANK, PMOSC/BRANCH, ORGANIZATION, DUTY ASSIGNMENT 3-8c(5)			DATE 3-8(b)
b. NAME OF SENIOR RATER *(Last, First, Middle Initial)* 3-8c(1)	SSN	SIGNATURE 3-8c(2)(b)	
RANK, PMOSC/BRANCH, ORGANIZATION, DUTY ASSIGNMENT 3-8c(5)			DATE 3-8(b)
c. RATED NCO: To declare that my signature does not constitute agreement or disagreement with the evaluations of the rater and senior rater. Further, to declare that my signature verifies that the administrative data in Part I, the rating officials in Part II, the duty description to include the counseling dates in Part III, and the APFT and height/weight entries in Part IV are correct. This can be report completed through Part V, except Parts III and IIIa. I am aware of the appeals process of AR 623-205.		SIGNATURE 3-8c(2)(c)	DATE 3-8(b)
d. NAME OF REVIEWER *(Last, First, Middle Initial)* 3-8c(1)	SSN	SIGNATURE 2-13d	
RANK, PMOSC/BRANCH, ORGANIZATION, DUTY ASSIGNMENT 3-8c(5)			DATE 3-8(b)

e. ☐ CONCUR WITH RATER AND SENIOR RATER EVALUATIONS ☐ NONCONCUR WITH RATER AND/OR SENIOR RATER EVAL *(See attached comments)*

PART III - DUTY DESCRIPTION *(Rater)*

a. PRINCIPAL DUTY TITLE 3-9b(1)	b. DUTY MOSC 3-9b(2)

c. DAILY DUTIES AND SCOPE *(To include, as appropriate, people, equipment, facilities and dollars)*

The rater completes and verifies with the rated NCO; address the most important daily/routine duties and responsibilities.

3-9b(3)

d. AREAS OF SPECIAL EMPHASIS

3-9b(4)

e. APPOINTED DUTIES

3-9b(5)

f. COUNSELING DATES	INITIAL	LATER	LATER	LATER
3-9b(6)				

PART IV - ARMY VALUES/ATTRIBUTES/SKILLS/ACTIONS *(Rater)*

a. ARMY VALUES. Check either "YES" or "NO". *Comments are mandatory for "No" entries; optional for "Yes" entries.*

V A L U E S

Loyalty
Duty
Respect
Selfless Service

Honor
Integrity
Personal Courage

	YES	NO
1. LOYALTY: Bears true faith and allegiance to the U.S. Constitution, the Army, the unit, and other soldiers.	X	
2. DUTY: Fulfils their obligations.	X	
3. RESPECT TO DEED: Treats people as they should be treated.	X	
4. SELFLESS-SERVICE: Puts the welfare of the nation, the Army, and subordinates before their own.	X	
5. HONOR: Lives up to all the Army values.	X	
6. INTEGRITY: Does what is right - legally and morally.	X	
7. PERSONAL COURAGE: Faces fear, danger, or adversity (physical and moral).	X	

Bullet comments:

0 bullet comments are mandatory to address "NO" ratings and are optional for "YES" ratings

3-10c

DA FORM 2166-8, OCT 2001 REPLACES DA FORM 2166-7, SEP 87, WHICH IS OBSOLETE USAPA V1.00

RATED NCOS NAME (Last, First, Middle (initial))	SSN	THRU DATE
+ 3-7d(1)	3-7d(1)	3-7d(7) +

PART IV (Rater) - VALUES/NCO RESPONSIBILITIES

Specific Bullet examples of "EXCELLENT" or "NEEDS IMPROVEMENT" are mandatory.
Specific Bullet examples of "SUCCESS" are optional.

b. COMPETENCE
- Duty proficiency; MOS competency
- Technical & tactical; knowledge, skills, and abilities
- Sound judgment
- Seeking self-improvement; always learning
- Accomplishing tasks to the fullest capacity; committed to excellence

EXCELLENCE (Exceeds std) ☐ SUCCESS (Meets std) ☐ NEEDS IMPROVEMENT (Some) ☐ (Much) ☐

- o bullet comments are mandatory to address 'excellence' or 'needs improvement' ratings
- o bullet comments are optional but 'recommended' for 'success' ratings

3-10f

c. PHYSICAL FITNESS & MILITARY BEARING
- Mental and physical toughness
- Endurance and stamina to go the distance
- Displaying confidence and enthusiasm; looks like a soldier

EXCELLENCE (Exceeds std) ☐ SUCCESS (Meets std) ☐ NEEDS IMPROVEMENT (Some) ☐ (Much) ☐

APFT | HEIGHT/WEIGHT

- o bullet comments are mandatory to address APFT failure and/or 'NO' entry for height/weight
- o bullet comment is mandatory to address 'profile' entry
- o no bullet comment if body fat standards are met

3-10f

d. LEADERSHIP
- Mission first
- Genuine concern for soldiers
- Instilling the spirit to achieve and win
- Setting the example; Be, Know, Do

EXCELLENCE (Exceeds std) ☐ SUCCESS (Meets std) ☐ NEEDS IMPROVEMENT (Some) ☐ (Much) ☐

- o mandatory and optional comments are the same as Part IVb above

3-10f

e. TRAINING
- Individual and team
- Mission focused; performance oriented
- Teaching soldiers how; common tasks, duty related skills
- Sharing knowledge and experience to fight, survive and win

EXCELLENCE (Exceeds std) ☐ SUCCESS (Meets std) ☐ NEEDS IMPROVEMENT (Some) ☐ (Much) ☐

- o mandatory and optional comments are the same as Part IVb above

3-10f

f. RESPONSIBILITY & ACCOUNTABILITY
- Care and maintenance of equipment/facilities
- Soldier and equipment safety
- Conservation of supplies and funds
- Encouraging soldiers to learn and grow
- Responsible for good, bad, right & wrong

EXCELLENCE (Exceeds std) ☐ SUCCESS (Meets std) ☐ NEEDS IMPROVEMENT (Some) ☐ (Much) ☐

- o mandatory and optional comments are the same as Part IVb above

3-10f

PART V - OVERALL PERFORMANCE AND POTENTIAL

a. RATER. Overall potential for promotion and/or service in positions of greater responsibility.

3-13a

AMONG THE BEST ☐ FULLY CAPABLE ☐ MARGINAL ☐

a. SENIOR RATER BULLET COMMENTS
- o bullet comments are mandatory
- o comments 'must' address potential, but may also address performance and/or evaluation rendered by rater
- o ratings of 'marginal', 'fair', or 'poor' in Part V must be addressed
- o if senior rater lacks qualification to render evaluation, enter "senior rater does not meet minimum qualifications"

3-13d

b. RATER. List 3 positions in which the rated NCO could best serve the Army at his/her current or next higher grade.

3-13b

_____
_____
_____

c. SENIOR RATER. Overall performance

1 2 3 4 5
Successful Fair Poor

+ 3-13c

d. SENIOR RATER. Overall potential for promotion and/or service in positions of greater responsibility.

1 2 3 4 5
Superior Fair Poor

3-13c

DA FORM 2166-8, OCT 2001 USAPA V1.00

PRACTICAL EXERCISE 2

Title	Complete the Senior Rater Portion of an NCO-ER.
Lesson Number/Title	L333 version 2 / THE NCO EVALUATION REPORTING SYSTEM
Introduction	This practical exercise will help you understand how to complete the senior rater portion of the NCO-ER.
Motivator	As a leader and senior rater in your unit, you are responsible for the quality control of the NCO-ER. This PE gives you the opportunity to practice using the knowledge gained during this lesson.
Learning Step/Activity	**NOTE:** The instructor should inform the students of the following Learning Step/Activity requirements. (ELO B) At the completion of this lesson, you [the student] will:

ACTION:	Complete the senior rater portion of an NCO-ER.
CONDITIONS:	As a squad leader in a classroom environment and given DA Form 2166-8-1 and AR 623-205.
STANDARDS:	Completed the senior rater portion of an NCO-ER IAW AR 623-205.

Safety Requirements	None
Risk Assessment Level	Low
Environmental Considerations	None
Evaluation	There are several possible solutions to some parts of this PE. Other parts of the PE, however, have specific “correct” responses. The solution sheet shows wrong items, suggested senior rater ratings, and bullet comments. This is a self-graded practical exercise. Your instructor will provide you with a copy of the solution sheet and solicit feedback on your performance.
Instructional Lead-In	None

Resource Requirements

Instructor Materials:

- AR 623-205, DA Form 2166-8-1 (C-11), DA Form 2166-8 (C-12 thru C-14) and solution for PE-2 (C-15 and C-16).

Student Materials:

- AR 623-205, DA Form 2166-8-1 (C-11), and DA Form 2166-8 (C-12 thru C-14). For this PE we have completed the rater's part on DA Forms 2166-8-1 and 2166-8.

Special Instructions

You must prepare the senior rater's portion of DA Form 2166-8 for the situation given on page C-9 IAW the following instructions:

a. You may type or hand-write your part of the NCO-ER.

b. If you discover errors or discrepancies in the rater's part of the NCO-ER while performing your senior rater responsibilities, list them in the NCO-ER Discrepancy/Comment Sheet, C-10.

c. The instructor will pass out the solution for you to correct your own PE. Afterwards you will discuss the PE in class with the group.

PRACTICAL EXERCISE 2

SITUATION

1. You are the senior rater for the practical exercise. Your duty assignment is Personnel Administration Center (PAC) NCO for HHC, Troop Command (W5YAAA), Fort Anywhere, TX 00000-0000. Your unit is a USAR Troop Program Unit (TPU) assigned to the 12th ARCOM.

2. The rated soldier is SERGEANT WILLIE B. HEARD, 123-45-6789, DOR 981101, PMOS 75B20, assigned to HHC Troop Command, Fort Anywhere, TX 00000-0000.

a. The rating period is December 2001 thru November 2002.

b. SGT Heard is a 29 year old male who is 73" tall and weighs 164 pounds (meets standards).

c. SGT Heard is a graduate of PLDC.

d. SGT Heard reported to HHC, Troop Command on 1 December 2001.

3. As senior rater you have personal knowledge of the following items pertaining to SGT Heard:

a. He procured new recreation equipment for the unit with unit fund monies.

b. He volunteered for the Master Fitness Course. As part of the application process, he took a record APFT in October 2002 and scored 291.

c. He was runner-up in NCO of the Year competition held in September 2002.

d. He attends the same college as you. He has attained one year of college credit through CLEP examinations and actual college courses.

PRACTICAL EXERCISE 2
NCO-ER DISCREPANCY/COMMENT SHEET

PART	BLOCK	DISCREPANCY/COMMENT
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

ADDITIONAL COMMENTS:

_____

_____

_____

_____

_____

_____

_____

_____

_____

COUNSELING

1. Go over each part of the duty description with rated NCO. Discuss any change, especially to the area of special emphasis.
2. Tell rated NCO how he/she is doing. Use your success standards as a guide for discussion (the examples on pages 3 and 4 may help). First, for each value/responsibilities, talk about what has happened in response to any discussion you had during the last counseling session (remember, observed action, demonstrated behavior and results). Second, talk about what was done well. Third, talk about how to do better. The goal is to get all NCOs to be successful and meet standards.

3. When Possible, Give Examples Of Excellence That Could Apply. This gives the rated NCO something to strive for, REMEMBER, EXCELLENCE IS SPECIAL, ONLY A FEW ACHIEVE IT!
Excellence includes results and often involves subordinates.

4. Ask rated NCO for ideas, examples and opinions on what has been done so far and what can be done better. (This step can be done first or last).

BEFORE THE NCO DEPARTS THE COUNSELING SESSION

1. Record counseling date on this form.
2. Write any additional key points that came up during the counseling session on this form.
3. Show key points to rated NCO and get his/her initials.
4. Save NCO-ER with this checklist for next counseling session. (Notes should make record NCO-ER preparation easy at the end of the rating period.

COUNSELING RECORD/KEY POINTS MADE

INITIAL Explained rating chain discussed new duty description; explained standards for success and gave examples of excellence. To receive an "among the best " rating in part Va, you must receive at least two: "excellence" rating in part IV.

DATE 12 DEC 01 RATED NCO'S INITIALS WBH

LATER Updated duty description; indicated that our SIDPERS acceptance rate needed to meet DA standard of 90% for success, meet or exceed DA goal of 90% for excellence; commended for being top graduate of SIDPERS class; most recent APFT score (250) is passing but there is room for improvement to achieve "excellence" in the physical fitness area.

DATE 03 MAR 02 RATED NCO'S INITIALS WBH

LATER Showed technical expertise by meeting command SIDPERS acceptance rate April through June; enthusiasm for physical training is great and sets the example for subordinates ; area of special interest changed to cross-training in personnel actions administration due to shortage of personnel in the PAC.

DATE 06 JUN 02 RATED NCO'S INITIALS WBH

LATER Cross-trained SPC Glotfelty in SIDPERS; took over promotion section in PAC; initiated suspense system to track required medical and dental examinations for all personnel; commended for improving APFT score from 250 to 270. Maintained 100% SIDPERS rate for July through October; encouraged to begin college courses to be more competitive for promotion.

DATE 09 SEP 02 RATED NCO'S INITIALS WBH

DUTY DESCRIPTION (PART III of NCO-ER)

The duty description is essential to performance counseling and evaluation. It is used during the first counseling session to tell rated NCO what the duties are what needs to be emphasized. It may change somewhat during the rating period. It is used at the end of the rating period to record what was important about the duties.

The five elements of the duty description:

1 & 2. Principal Duty Title and Duty MOS Code. Enter principal duty title and DMOS that accurately reflects actual duties performed.
3. **Daily Duties and Scope**. This portion should address the most important routine duties and responsibilities. Ideally, this should include number of people supervised, equipment, facilities, and dollars involved any other routine duties and responsibilities critical to mission accomplishment.

4. **Area of Special Emphasis**. This portion is most likely to change somewhat during the rating period. For the first counseling session, it includes those items that require top priority effort at least for the first part of the upcoming rating period. .At the end of the rating period, it should include the most important items that applies at any time during the rating period (examples are preparation for deployment, combine arms drills training to FTX, preparation to NTC rotation, revision of battalion maintenance SOP, training for tank table qualification , ITEP and company AMTP readiness, related tasks cross-training, reserve components annual training support (AT) and SIDPERS acceptance rate).

5**. Appointed Duties.** The portion should include those duties that are appointed and are not normally associated with the duty description.

NCO EVALUTION REPORT

For use of this form, see AR 623-205; the proponent agency is ODCSPER

SEE PRIVACY ACT STATEMENT IN AR 623-205, APPENDIX C.

PART I – ADMINISTRATE DATA

a.	b. SSN	c. RANK	d. DATE OF RANK	e.
HEARD, Willie B.	123-45-6789	SGT	981101	PMOSC 75B20

f.	g.
Anywhere, TX 00000 (W5YAAA 12 th ARCOM TPU)	First

h. PERIOD COVERD FROM (YYYY MM)	h. PERIOD COVERD THRU (YYYY MM)	i.	j.	k.	l. RATED NCO COPY(*Check one and Date*)		m. PSC Initials	n. CMC CODE	o. PSB CODE
2001 12	2002 11	12			1. Given to NCO	*DATE*			
					2. Fowarded to NCO				

PART II – AUTHENTICATION

a. NAME OF RATER (*Last, First, Middle Initial)*	SSN	SIGNATURE
CASE, Justin	213-45-7890	

RANK, PMOSC/BRANCH, ORGANIZATION, DUTY ASSIGNMENT	DATE
SSG, 75B30, HHC Troop Command, Anywhere, TX 00000 PSNCO	

b. NAME OF SENOIR RATER (*Last, First, Middle Initial)*	SSN	SIGNATURE

RANK, PMOSC/BRANCH, ORGANIZATION, DUTY ASSIGNMENT	DATE
SFC, 75B30, HHC Troop Command, Anywhere, TX 00000 PAC NCO	

c. NOTED NCO: I understand my signature does not constitute agreement or disagreement with the evaluations of the rater and senior rater. I further understand my signature verifies that the administrative data in Part I, the rating officials in Part II, the duty description to include the counseling dates in Part III, and the APFT and height/weight entries in Part IVc are correct. I have seen the report completed through Part V, except Parts IId and IIe. I am aware of the appeals process of AR 623-205.	SIGNATURE	DATE

d. NAME OF REVIEWER (*Last, First, Middle Initial)*	SSN	SIGNATURE
WRIGHT, Will B.		

RANK, PMOSC/BRANCH, ORGANIZATION, DUTY ASSIGNMENT	DATE
CPT, AG, HHC Troop Command, Anywhere, TX 00000 Adjutant	

e. CONCUR WITH RATER AND SENIOR RATER EVALUATIONS NONCONCUR WITH RATER AND/OR SENIOR EVAL (*See attached comments)*

PART III – DUTY DESCRIPTION *(RATER)*

a. PRINCIPAL DUTY TITLE	b. DUTY MOSC
Personnel Administrative Specialist	75B20

c. DAILY DUTIES AND SCOPE *(To include, as appropriate, people, equipment, facilities and dollars)*

Determine reportable duty status code and other documentation required for SIDPERS transactions, prepare SIDPERS input and control data; generate SIDPERS input that applies to support units, read, interpret, and reconcile SIDPERS generated reports pertinent to supported units.

d. AREAS OF SPECIAL EMPHASIS Improve SIDPERS acceptance rate; to cross-train personnel in administrative actions

Rater: Justin Case@; S/R: Your Name@; Rev: Will B. Wright@

e. APPOINTED DUTIES

Unit Fund Council member; Assistant NBC NCO

f. COUNSELING DATES	INITIAL	LATER	LATER	LATER
	011212	020303	020606	020909

PART IV – ARMY VALUES/ATTRIBUTES/SKILLS/ACTIONS *(RATER)*

a. ARMY Values. Check either "YES" or "NO". Comments are mandatory for "NO" entries; optional for "Yes" entries)	YES	NO
1. LOYALTY: Bears true faith and allegiance to the U.S. Constitution, the Army, the units, and other soldiers.		
2. DUTY: Fulfills their obligations.		
3. RESPECT/EO/EEO: Treats people as they should be treated.		
4. SELFLESS SERVICE: Put the welfare of the nation, the Army, and subordinates before their own.		
5. HONOR: Lives up to all the Army values.		
6. INTEGRITY: Does what is right – legally and morally.		
7. PERSONAL COURAGE: Faces fear, danger, or adversity (physical and moral).		
Bullet comments		

DA FORM 2166-8, OCT 2001 **REPLACES DA FORM 2166-7, SEP 87, WHICH IS OBSOLETE,** **USAPA V1.01**

RATED NCO'S NAME (*Last, First, Middle Initial*)	SSN	THRU DATE
HEARD, Willie B. Willie B.Heard@	123-45-6789	0211

PART IV (*Rater*) VALUES/NCO RESPONSIBLITIESS

Specific Bullet examples of "EXCELLENCE" or "NEEDS IMPROVEMENT" are mandatory.
Specific Bullet examples of "SUCCESS" are optional.

b. COMPETENCE
- o Duty proficiency; MOS competency
- o Technical & tactical; knowledge, skills, and abilities
- o Sound judgment
- o Seeking self-improvement; always learning

EXCELLENCE (*Exceeds std*)	SUCCESS (*Meets std*)	NEEDS IMPROVEMENT (*Some*)	NEEDS IMPROVEMENT (*Much*)
X			

- o distinguished graduate of SIDPERS class
- o improved SIDPERS acceptance rate to 100%
- o seeking self-mprovement by enrolling in correspondance courses

c.. PHYSICAL FITNESS & MILITARY BEARING
- o Mental and physical toughness
- o Endurance and stamina to go the distance
- o Displaying confidence and enthusiasm; looks like a soldier

EXCELLENCE (*Exceeds std*)	SUCCESS (*Meets std*)	NEEDS IMPROVEMENT (*Some*)	NEEDS IMPROVEMENT (*Much*)
X			

APFT PASS 0207 | HEIGHT/WEIGHT 73/164

o improved APFT score from 250 to 290

d. LEADERSHIP
- o Mission first
- o Genuine concern for soldiers
- o Instilling the spirit to achieve and win
- o Setting the example; Be, Know, Do

EXCELLENCE (*Exceeds std*)	SUCCESS (*Meets std*)	NEEDS IMPROVEMENT (*Some*)	NEEDS IMPROVEMENT (*Much*)
	X		

- o sets high standards for himself and others

e. TRAINING
- o Individual and train
- o Mission focused; performances oriented
- o Teaching soldiers how; common tasks, duty-related skills
- o Sharing knowledge and experience to fight, survive and win

EXCELLENCE (*Exceeds std*)	SUCCESS (*Meets std*)	NEEDS IMPROVEMENT (*Some*)	NEEDS IMPROVEMENT (*Much*)
	X		

- o trained assistant SIDPERS clerk
- o SGT HEARD presented NBC classes to unit
- o supervised and ensured accurate input of SIDPERS transactions

f. RESPONSIBILTITY & ACCOUNTABILITY
- o Care and maintenance of equipment/falcilities
- o Soldier and equipment safety
- o Conservation of supplies and funds
- o Encouraging soldiers to learn and grow

EXCELLENCE (*Exceeds std*)	SUCCESS (*Meets std*)	NEEDS IMPROVEMENT (*Some*)	NEEDS IMPROVEMENT (*Much*)
X			

- o procedred new recreation equipment for the unit

PART V – OVERALL PERFORMANCE AND POTENTIAL

a. RATER. Overall potential for promotion and/or service in positions of greater responsibility.

AMONG THE BEST [X] FULLY CAPABLE [ ] MARGINAL [ ]

b. RATER. List 3 positions in which the rated NCO could best serve the Army at his/her current or next higher grade.

PSNCO

Squad Leader

e. SENIOR RATER BULLET COMMENTS

c. SENIOR RATER. Overall performance +

1 2 3 4 5
Successful Fair Poor

SENIOR RATER. Overall potential for promotion and/or service in positions of greater responsibility.

1 2 3 4 5
Superior Fair Poor

USAPA V1.01

DA FORM 2166-8, OCT 2001

HANDOUTS FOR LESSON 1: L336 version 1

This appendix contains the items listed in this table--

Title/Synopsis	Pages
SH-1, Advance Sheet	SH-1-1
SH-2, Extract from TSP 158-L-1250, Motivate Subordinates to Accomplish Unit Missions	SH-2-1
SH-3, Pretest and Pretest Solution	SH-3-1
SH-4, Extract from FM 22-100, Army Leadership	SH-4-1

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Student Handout 1

Advance Sheet for L336

Lesson Hours

This lesson consists of one hour and thirty minutes of small group instruction and four hours and twenty minutes of practical exercises.

Overview

You are a leader with subordinates and a specified mission, apply sound motivational techniques which will result in motivated soldiers who accomplish the unit mission. You will develop one motivation plan for each of the three case studies. Each plan will demonstrate a clear understanding and application of motivation theory and include: (1) the identification of relevant factors influencing the case, (2) an accurate analysis of factors influencing the level of motivation and (3) specific actions which the leader can take to motivate subordinates.

Learning Objective

Terminal Learning Objective (TLO)

Action:	Develop a motivation plan.
Conditions:	Given a situation that shows poorly motivated soldiers.
Standards:	Developed a motivation plan that demonstrates a clear understanding and application of motivation theory and includes-- • the identification of relevant factors influencing the case, • an accurate analysis of factors influencing the level of motivation, and • specific actions which the leader can take to motivate subordinates IAW SH-2 and FM 22-100 (SH-4).

A Discuss motivation theories and techniques.
B Discuss needs motivation theories.
C Discuss goal setting as a motivation tool.
D Analyze case studies.
E Analyze jobs to determine appropriateness for redesign strategies.

Assignments

- Read SH- 4, FM 22-100, para 1-13 thru 1-16, 1-85, 2-113, 5-32 thru 5-38, 5-56 and 5-57.
- Read SH-2, extract from TSP 158-L-1250, Motivate Subordinate to Accomplish Unit Missions.
- Complete and grade assigned pretest prior to class (SH-3).

Additional Subject Area Resources

None

Bring to Class

- Student handouts.
- Pen or pencil.
- Writing paper.

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Student Handout 2

Extract From TSP 158-L-1250, Motivate Subordinates to Accomplish Unit Missions

This student handout contains 21 pages of extracted material from the following publication:

Extract from TSP 158-L-1250, Motivate Subordinates to Accomplish Unit Missions, pages SH-2-2 thru SH-2-22.

Disclaimer: The training developer downloaded this extract from http://155.217.58.58/atdls.htm. The text may contain passive voice, misspellings, grammatical errors, etc., and may not be in compliance with the Army Writing Style Program.

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Student Handout 2

Leadership in Organizations (Extract)

Fundamentals of Motivation and Motivational Techniques

Motivating another person to accomplish a given task is a challenge no matter what your occupation. Motivating a person in the Army to accomplish a mission is particularly challenging when the task is physically hazardous or especially disagreeable. Getting soldiers to move forward under intense fire and to risk their lives so that a unit may succeed is important for leaders. Leaders must help soldiers overcome their fears and instill in them the will to succeed. Motivating soldiers requires leaders to be especially proficient in the competencies of communications, supervision, teaching and counseling, soldier team development and decision making.

Motivation can be defined as the cause of action. Motivation energizes human behavior. It causes a person to act. Motivation often explains why a person performs at a particular level. People can be motivated to do just about anything and conversely, they can be motivated to do absolutely nothing.

Methods of Motivation

In a previous course, you were introduced to five methods of motivating subordinates. Leaders can motivate soldiers by:

1**. Serving as an ethical standard bearers**. As a leader, you are an ethical standard bearer. Soldiers perform better if they have confidence in their leaders and in themselves. Your soldiers need you to be the example against which they can compare their own behavior and abilities. They want to depend on you to provide the moral force, which the values of our society demand. They want you to be good at your job, but they also want you to be decent and honorable. If soldiers are confident in you, they will develop the self-discipline and the will to fight courageously and do the right thing, regardless of danger.

2. **Developing cohesive soldiers teams.** You have undoubtedly noticed that when you are in a group you will attempt things that you would otherwise not attempt. The strength that comes from a cohesive group is a powerful motivator. Caring for your soldiers and working hard to make soldiering meaningful will assist in the development of cohesive soldier teams. It takes a lot of work to properly teach, coach, counsel, and train your soldiers but this creates bonds that lead to cohesion, trust and mutual respect. Studies have been conducted of individual acts of bravery and heroism. Soldiers typically do not perform great acts of heroism for the nation. They perform these acts to keep themselves and other soldiers alive. A soldier in a cohesive team is confident in their peers, their leaders, their equipment, and their training. By developing cohesive teams, you plant the seeds of motivation.

3. **Rewarding and punishing soldiers**. Rewards and punishment are often referred to as the consequence of an action. The consequences of an individual's actions can become an effective motivational tool. The rewards or punishment a soldier receives or expects to receive can be silent tools of motivation.

a. Rewards**:** We use the term rewards as a general expression of reinforcers of positive behavior. A reward is designed to promote desired behavior. A well-developed system of rewards, which is understood by soldiers, will affect performance. Subordinates become self-starters by attempting to achieve or earn rewards. Napoleon marveled at the motivational power of a small piece of ribbon (a decoration). He once said that if he had enough ribbon, he could conquer the world. When using rewards you must ensure that they are fairly and equitably distributed. If not, their value as a motivator will be diminished and they can ultimately become counterproductive. As a leader you must be aware of positive ways that you can use rewards as motivational tools.

Some of the tools you can use to reward your soldiers include:

- Set the example in terms of expected behavior. It is a lot easier to tell a soldier to do something that you can and will do that it is to tell him/her to do something that you can't or won't do. Leaders have to be credible and competent. Soldiers must have the confidence that their leaders know that they are telling them to do. Your soldiers need you to be the example to which they can compare their own behavior.
- Establish clear goals and objectives and publish them. Make sure that everyone knows what you are trying to do and that the objectives are achievable.
- Obtain recommendations from every leader in the chain on rewards, awards and schooling. This means identifying those who deserve either rewards, awards or schooling. It also means that the leader either approves the reward, award or schooling or that he/she exercises a degree of control over each.
- Use the established awards system to the maximum. Spend some of your in-processing time familiarizing yourself with the award policy of your unit. Find out who is eligible for what type of award. Ensure you check the policy for safety, driver, and mechanic awards as well. Find out what type of unit awards are available. There are Army programs for best maintenance, best supply, and best dining facility. Find out the nomination process.
- Create unit level certificates or awards for individuals and units. Have the artist in your platoon or section design a certificate for your unit such as a "broken wrench" maintenance award or the "crushed soda can" area police award.
- Reward the desired behavior of an individual or group promptly. For the reward to have its maximum value, present the soldier with the reward as quickly as possible to reinforce the desired behavior.
- Present awards at a retreat, parade, or some other appropriate unit ceremony. This makes the soldier receiving the award feel special. He/she is getting public recognition for doing something special. This helps motivate the soldier as well as the unit. However, waiting a month for an award ceremony may diminish the effect of the award.
- Give verbal praise liberally. Everyone likes to be told that they're doing a good job. Verbal praise does not cost anything and has a tremendously positive impact on an individual or a group.
- Develop awards and ways of recognizing the majority of your soldiers who consistently meet or exceed the standard.
- Promote those who work hard, achieve standards and influence others to achieve unit standards. The consistently high performing soldier is a positive role model. By promoting this soldier first, you send a silent message to the other members of your unit. By virtue of his or her performance, they deserve recognition for their efforts.

Each of the tools above has the potential to become a motivator. A decoration, a medal, a badge, a certificate, or a letter are small tangible objects, but they can mean a great deal to a soldier. Rewards are visible evidence to the soldier that their leader, their unit, and their country appreciate their courage or hard work. Well-chosen rewards normally increase a soldier's motivation to work for more recognition.

b. Punishment**:** As a leader, you must correct a soldier who does not perform to standard. If a soldier does not try, intentionally fails to meet your standard, or fails to follow your guidance, that behavior must not be allowed to go unchecked. Punishment is designed to reduce undesired behavior and prevent its recurrence. Leaders punish soldiers in an attempt to change behavior. It also shows others what they can expect if they choose to perform in a similar manner. Seeing what happens to a person who is unwilling or unmotivated to meet standards can have the same influence on behavior as firsthand experience. Although this is one of the least desirable aspects of leadership, a leader has the responsibility to counsel and punish. The leader has a number of tools available to motivate soldiers who do not perform to standard. These tools are often referred to as the coercive tools of motivation. It is important to remember that the type of punishment used should fit the situation. Examples of punishment or coercive tools of motivation include the following:

- Give warnings about inappropriate behavior.

- Use verbal and written reprimands when appropriate.
- Conduct reprimands, counseling and corrective action as privately and as quickly as possible after an offense.
- Direct the punishment or counseling at the behavior, not the subordinate.
- The subordinate must know the desired behavior and be able to perform it to standard.

When you use punishment tools you must:

- Let the soldiers know you are upset about the behavior and not about them.
- Let the soldiers know you care about them as people but expect more from them as soldiers.
- Do not punish soldiers who are unable to perform a task. Punish those unwilling or unmotivated to succeed.
- Never lose control of your temper.
- Do not hold a grudge after punishment is over.

c. Group rewards and punishments. While generally the same principles of reward and punishment apply in both individual and group cases, the latter is vastly more complicated because of the greater number of personalities involved, and because of their interactions--many of which the leader may or may not be aware. The basic problem is that group solutions not only apply to the group collectively, but to each individual in the group. It is often difficult for even the experienced leader to predict the important effects of rewards and punishments that are applied to the group. A group reward will be regarded differently by the various members. It is also unlikely that all group members performed or contributed equally hence, the same reward may be differentially rewarding.

Nevertheless, the group is a powerful influence of behavior. When the leader can inform the group in advance about the adverse consequence of their undesirable behavior, they may exert the internal pressure necessary to avoid the adversity and the results can be beneficial. When the consequence is reward or punishment for individuals or subgroups within a larger body, the leader must be sensitive to the resultant perceptions of equity, fairness, and timeliness by group members who have performed as expected, as well as those who did not. In this situation, the leader should also keep in mind that other organization members who were not involved in the performance may form their own perceptions of how the reward or punishment act was carried out.

Group rewards and punishments can be effective, especially when time is an issue. By using the group approaches, the leader must be willing to sacrifice the desirability and greater precision of the individual solution.

4. **Recognizing and meeting soldier needs**. All people have needs. Each of us needs food, water and shelter. Beyond these we need to feel secure in our home and work place. We need to belong to and be accepted by a group. We need to feel that we make a difference. Social scientists have developed several motivational theories based on the concept of needs. The underlying concept of all need theories of motivation is that an unsatisfied need creates a state of internal wanting or disequilibrium. In order to restore equilibrium, we are energized to reduce the need. In simple terms, a person will be motivated to do something, which he or she perceives will satisfy a need or reduce the tension of an unpleasant situation.

5. **Serving as, and developing, positive role models**. Role models within a unit can also be used as motivators. You know that soldiers learn through observation and imitation. We also know that a soldier's level of commitment increases when he or she recognizes that the leaders are committed to the unit and its goals. Each member of your unit is a role model and as such has the potential to contribute to or detract from individual motivation. Positive role models can be:

a. Formal leaders. Members of the formal chain of command are obviously role models. The members of the unit observe the actions of the officers and noncommissioned officers (NCOs) and the consequences of those actions. Leaders are constantly under the scrutiny of their subordinates. Officers and NCOs who demonstrate initiative, take responsibility for their actions, and develop well-trained, cohesive units, are positive role models. Soldiers will emulate their leaders and ultimately improve their

own performance. When this occurs, role modeling is a positive motivator.

b. Informal leaders. Within each organization, leaders who are not part of the chain of command emerge. An informal leader is an individual whom peers look to for direction. He or she is both trusted and respected. Because the informal leader exercises a great deal of control and influence within an organization, it is essential that leaders identify the informal leaders as quickly as possible. Informal leaders can be used as an excellent role model for their peers. By tailoring your motivational tools to the informal leader, you can influence the actions of the unit. However, you must be careful not to overlook the beliefs and values of the other members of the unit. If informal leaders have a negative impact on the motivation of a unit, they must be dealt with quickly.

c. Successful soldiers. Each soldier is a unique individual. Leaders who know their soldiers can increase an individual's motivation by selecting tasks, which are realistic yet challenging. Others will observe a soldier's successful accomplishment of a task in the unit. Successful soldiers become role models for others who have not reached that level of achievement. An accurate understanding of your soldiers and their abilities is essential in developing successful soldiers.

Successful soldiers who become informal leaders are excellent role models. They have earned the trust and respect of their fellow soldiers. Leaders influence the actions of their unit by developing informal leaders who are positive role models. However, the leader must also be aware that an informal leader may also be a poor role model. If the informal leader models inappropriate behavior he/she negatively influences your unit and more importantly, your soldiers. When developing the informal leader, use caution. You don't want to give the impression that you're giving preferential treatment to a specific individual.

SUMMARY. Motivation results in action. By serving as an ethical standard bearer, building cohesive soldier teams, properly using rewards and punishments, recognizing and satisfying individual needs, and by serving as, and developing, positive role models, leaders motivate their subordinates to act in a way that helps the unit.

We have just presented actions, which the leader can take to motivate subordinates. But how do you decide which is the best action to take? Knowing actions you can take to improve motivation is important, but understanding the underlying motivation factors can help you to be an even more effective leader. The reading above included a short discussion of Maslow's Hierarchy of Needs and other theorists such as Alderfer and Herzberg (summaries below), and discussed motivation in terms of motivation being internal to the individual or work environment. These theories are concerned with identifying what it is within an individual or the work environment that energizes and sustain behavior. That is, what specific things motivate people?

THEORIES OF MOTIVATION

Section I: Needs Theories

Needs theories of motivation assume that all people share a common set of basic needs--internal states of tension or discomfort that the individual is motivated to change. The needs theories of motivation are considered to be the most popular of the motivation theories.

The underlying concept of all need approaches is that a need that is unsatisfied creates a state of internal disequilibrium which is uncomfortable for the individual. In order to restore equilibrium, the individual is "energized" to reduce the need. This approach assumes that human beings constantly seek a state of equilibrium. When thirsty, one drinks to reduce the feeling of thirst. When dissatisfied with a job, we do something to solve the problem. In motivation terms, the individual is motivated to engage in behaviors that will satisfy a need and reduce associated tension.

A. MASLOW'S HIERARCHY OF NEEDS

The best known of the need theories of motivation is Abraham H. Maslow's hierarchy of needs theory. Maslow's theory is popular because of the optimistic picture of human nature that it presents. He originally proposed his theory as a study of the ultimate human goals that people seek. Maslow's theory stresses two basic premises:

1. Human beings are constantly in a state of "wanting." Needs which are not satisfied are motivators. Needs which have been satisfied can not be motivators. Humans rarely reach a state of complete homeostasis or satisfaction. As soon as one desire is gratified, another surfaces to take its place. Maslow believed that humans are always "wanting."

2. Human needs are arranged in order of importance. Once a need is satisfied, another takes its place. The needs range from fundamental animal needs (lower level) to the more advanced human needs that represent the uniqueness of mankind (higher levels). They are represented in the chart below in ascending order. Those at the bottom of the drawing must be satisfied before the higher-level needs can be satisfied.

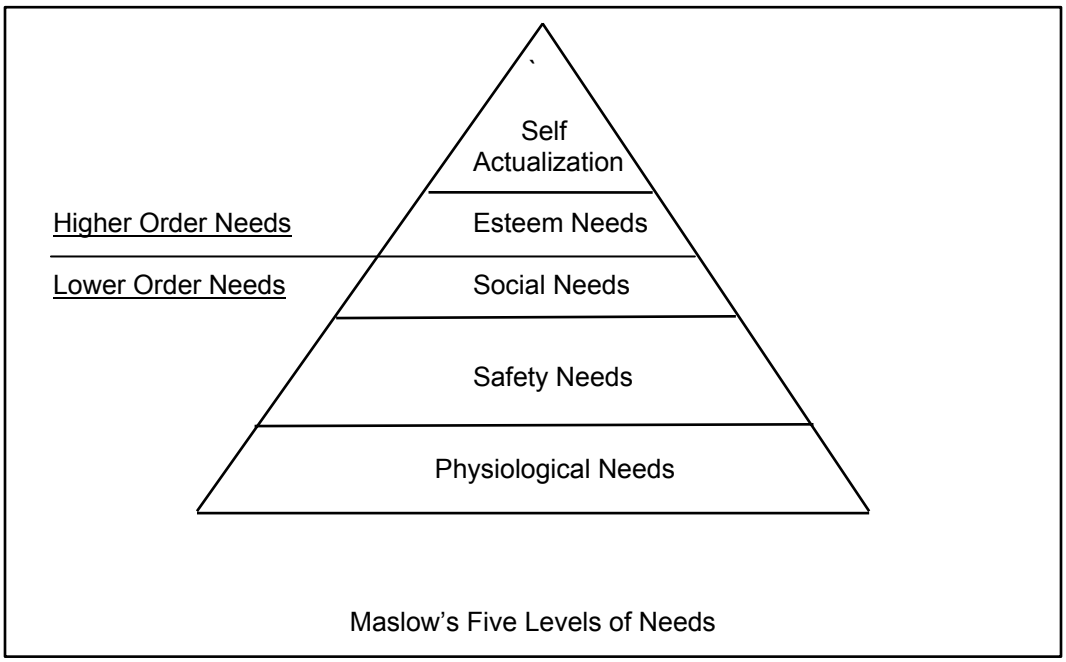
a. Physiological needs are basic to the survival of the organism and include such things as food, water, rest, shelter, and air. The physiological needs will dominate when they are unsatisfied. As a result, no other need will serve as a basis for motivation until the physiological needs are met. For example, Maslow stated, "a person who is lacking food, safety, love and esteem probably would hunger for food more strongly than for anything else."

b. Safety needs are concerned with providing a safe and secure environment, free from threats to one's existence. Safety needs also include areas such as protection from ill health, economic disaster, physical harm and the unexpected. Safety needs may be manifested in the subordinate's concern with job security and benefits.

3. Social needs deal with the need for friendship, affection, and affiliation, and is sometimes referred to as belonging or need for love. It is at this point that the needs separate from the physical or quasi-physical needs and where failure to satisfy the needs at this level can affect the individual's mental health.

4. Esteem needs are concerned with the desire of individuals to have a stable, high evaluation of themselves and to have respect from other people. Satisfaction of these needs leads to a feeling of self-confidence and prestige.

5. Self-actualization needs refer to the desire to achieve self-fulfillment, to develop one's potential to the fullest, to become everything that one is capable of becoming, and to achieve fulfillment of one's life goals.



Maslow's Five Levels of Needs

Maslow argues that needs are arranged in a hierarchy of importance in which each lower level need must be fulfilled to some degree of satisfaction before advancing to the next higher level need. Hence we see that Maslow considers a lower level need as being the most potent motivator when it is not satisfied. On the other hand, Maslow does not propose that a lower level need must be completely satisfied before the next higher level need becomes important. In fact, Maslow said that "...most members of our society who are normal are partially satisfied in all their basic needs..."

Maslow uses the concepts of deprivation and satisfaction to change his theory from one that merely categorizes needs to one that tells how needs affect behavior. The deprivation/ satisfaction process deals with the way in which needs are activated by the external environment to produce need-fulfilling behaviors. The deprivation concept is used to explain the temporary dominance of a particular need level over others. Maslow's position is that environmental deprivation of lower level needs would lead to a domination of that need level in the person's day-to-day activities. For example, those who have been on a restricted diet know the craving that follows notification that certain foods are now banned. The longer we go without satisfying that need, the more it dominates every sensory attention. We may even notice pictures of the restricted foods where we have never noticed them before. After that dominant need is finally satisfied, however, we no longer pay particular attention to that food--another need is activated. So we have a continuous process where each need level in turn becomes satisfied, and the next need level becomes dominant until all lower level needs have been satisfied and we become primarily concerned with the need for self-actualization.

Maslow referred to lower order needs as "deficiency needs" and to higher order needs as "growth needs." The deficiency needs consist of physiological, safety, and social (love/belonging) needs. The growth needs are esteem and self-actualization. The distinction between the deficiency needs and the growth needs is key to Maslow's theory. Deficiency needs motivate behavior only if they are in a state of deprivation. In other words, the less you have, the more you want, and the more you will do for it. However, once a deficiency need is satisfied, it loses its motivating force. People will go to great lengths to satisfy thirst, but, once satisfied, water will probably not motivate behavior any longer (at least not immediately). Growth needs, on the other hand, are those that continue to motivate behavior even when whatever it is that satisfies the need is being received. For growth needs, the more

you get, the more you want, and the more you will do for it! Receiving recognition and praise from others usually increases the motivational force of esteem needs.

B. ALDERFER'S THEORY: EXISTENCE, RELATEDNESS, AND GROWTH

Research based on Maslow's concept of needs demonstrated some problems with his hierarchy of needs theory. Although findings appeared consistent in the very low levels and at high levels, conflicting findings were reported in the areas of social, safety, and esteem. Primarily, there appeared to be a great deal of overlap in these three levels. For this reason, Clayton P. Alderfer, another need theorist, modified Maslow's approach and developed what he calls Existence, Relatedness, and Growth (ERG) theory. The major differences between the Maslow and Alderfer approaches center around three concepts: how needs are categorized , the relationship of needs and levels, and what happens when a need is not satisfied.

To clear up the overlaps in Maslow's hierarchy, Alderfer rearranged Maslow's five levels into three categories shown in the figure below. Alderfer proposed that security, social, and esteem (from others) is a common type of need as they all involve some interpersonal relationship. He therefore combined these into a single class of needs called "relatedness needs." Self-esteem is based on internal cues of personal achievement, independence, and goal achievement, and thus appears very close to self-actualization. These two needs are combined into "growth needs" in ERG theory. Finally, those safety needs, which are related to physical (as opposed to interpersonal) security, could be seen as strongly akin to physiological needs. These two levels he combined into "existence needs."

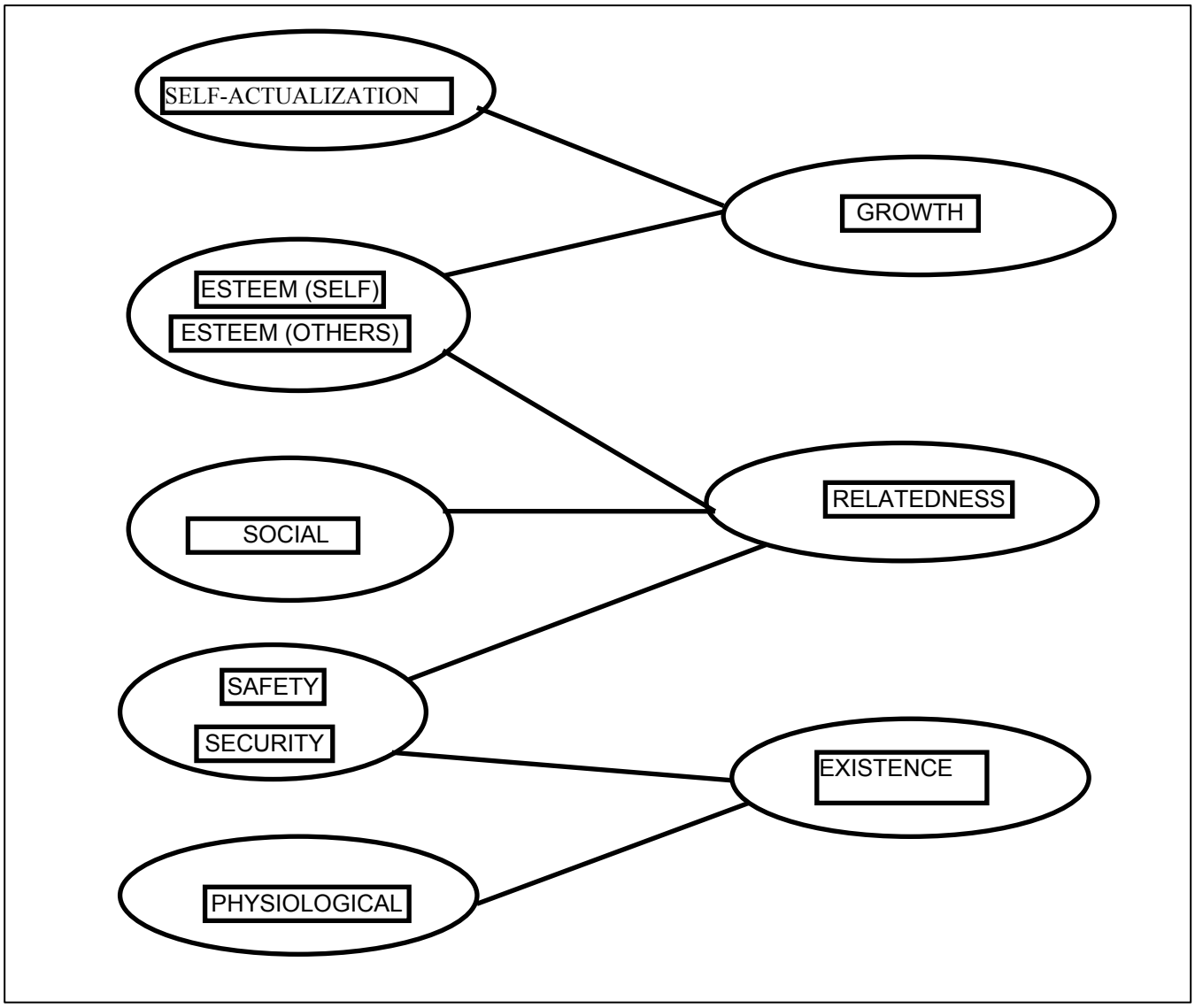
The second concept addressed differently in the two theories is the relationship between needs and levels. Recall that Maslow suggests a strict hierarchy--all lower needs must be minimally satisfied before a higher need can be operative. ERG theory, although hierarchical, does not presuppose a strict hierarchy. Thus, in ERG theory, it is not contradictory that a person will deny himself basic needs in order to be creative or to gain the esteem of others. Consider, for example, the inconsistency that the hunger striker poses for a strict hierarchical approach.

The final difference concerns the relationship of needs and dissatisfaction. Although Maslow and Alderfer would agree that satisfaction at each need level leads to desire at the next higher one, they see a difference in what happens to unsatisfied needs. In Maslow's theory, an unsatisfied need provides motivation. For example, to the extent that all lower level needs are satisfied and self-actualization is not, people will be motivated to self-actualize. ERG theory provides a more complex view of this relationship. To the extent that a need is not satisfied, it provides motivation. However, if the drive for that need is frustrated, people may compensate by substituting fulfillment at the next lower need level. Thus, to the extent that growth needs are desired and not satisfied, people may turn to relatedness needs as an alternative. Also, to the extent that relatedness needs are unsatisfied, people will continue to seek relatedness, but may also increase their desire for existence needs. Thus, according to Alderfer, an unsatisfied need does not necessarily motivate only at that level, but may also be compensated for at a lower level.

This distinction is particularly important because the leader may compensate a subordinate by concentrating on relatedness needs when growth needs cannot be met on the job. For instance, sometimes organizations emphasize the "family" aspect of the organization or use slogans such as "We take care of our own" as compensation for the lack of challenging jobs. This, in effect, emphasizes the fulfillment of the need to feel wanted or secure to make up for the deficiency in a feeling of accomplishment or achievement.

MASLOW ALDERFER

Comparison of Maslow and Alderfer's Need Categories



C. HERZBERG'S TWO-FACTOR THEORY:

Herzberg's works centered on the job or work itself and what can be done with it to enhance individual motivation. Basically Herzberg's work looks at such issues surrounding restructuring a job to increase subordinate performance. His studies deal with factors, which are job satisfiers, and how they differ from factors, which result in dissatisfaction. His work lead him to draw two main categories of factors:

1. **Maintenance factors**. There are factors/conditions, which serve primarily as dissatisfiers to workers when they are not present. Herzberg called these factors the Maintenance Factors. The presence of Maintenance Factors does not result in strong motivation. Rather, it is the absence of these factors which leads to dissatisfaction. In other words, the factors are more potent as dissatisfiers when they are absent than they are as motivators when they are present. Some of these factors include:

Policy and administration
Technical supervision
Interpersonal relations with supervisor, peers and subordinates
Status
Salary
Job security
Personal life
Work conditions

2. **Motivational factors**. Herzberg also identified a second set of factors that lead to high levels of motivation and job satisfaction when they are present, but which do not prove to be highly dissatisfying if they are absent. Herzberg named these factors Motivational Factors. The following factors are among those that he identified as Motivational Factors:

Achievement
Advancement
Recognition
The work itself
Possibility of personal growth
Responsibility

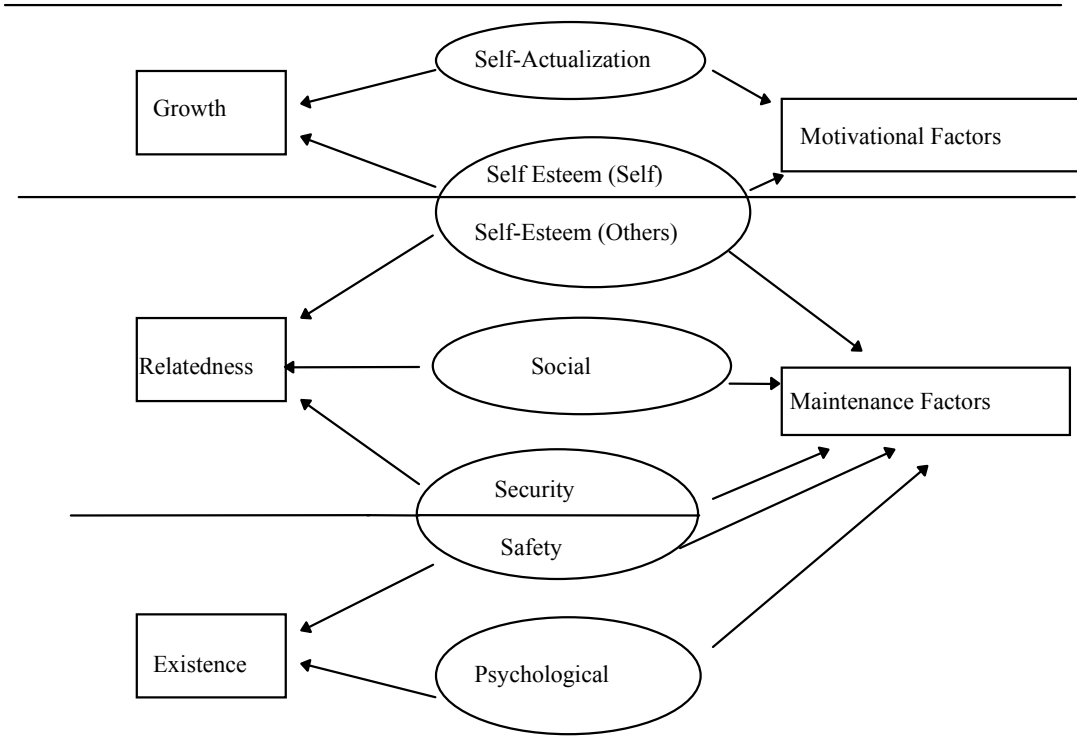
Thus, Herzberg found that the opposite of job "satisfaction" is not "dissatisfaction" but "no satisfaction."

A comparison of Herzberg's two factors is presented below:

FACTOR TYPE	ABSENCE OF FACTOR	PRESENCE OF FACTOR
Maintenance Factors	Dissatisfaction	No dissatisfaction
Motivational Factors	No satisfaction	Satisfaction

Herzberg's work has led to interest in job enrichment that attempts to restructure the job to increase the worker's job satisfaction. Herzberg 's theory implies that if leaders focus on Maintenance Factors, motivation will not occur. Motivation must be built into the job itself in order to improve motivation.

Below is a comparison of the three motivational theories about which you read: Maslow, Alderfer, and Herzberg. Similarities and differences between the three theories can easily be seen.



COMPARISON OF ALDERFER, MASLOW AND HERZBERG'S THEORIES

Section II: Process Theories

Other theories of motivation try to explain and describe the process of how behavior is energized, directed, sustained, and finally stopped. Some of the theories of this type we are going to cover include the following approaches: Equity Theory, Expectancy Theory, Goal Setting and Job Redesign. These theories provide you with ways that you can look at your work environment and make appropriate behavioral and organizational changes that may result in increased motivation on part of your subordinates. These theories first attempt to define the major variables necessary for explaining choice (e.g., should I work hard), effort (e.g., how much do I need to work), and persistence (e.g., how long do I have to keep this pace).

A. EQUITY THEORY

Have you ever been in a situation where, after you worked hard to obtain a reward, you were dissatisfied with the reward you received? Perhaps the reward was one that was offered to other people also. Was it received by someone you didn't think devoted as much effort to earning it as you did? Perhaps your sense of fairness was violated. Humans have a culturally induced belief that life owes them a "fair shake." This desire for equity is based on the belief that there should be an equitable distribution of rewards based on contributions. What we get out of our work should reflect what we put into it. Equity theory states that we judge the equity of our outcomes by a process of comparison. We generally believe that there should be an equitable distribution of rewards based on an individual's input.

Equity theory removes needs from their social isolation and makes the assumption that people engage in social comparison and are attentive to the process of exchanging their work contributions for organizational rewards. Either the exchange is perceived as equitable, or some adjustment will have to be made. As with need theories (Maslow is an example), equity theory assumes that a feeling of inequity will result in tension within the individual, and that the individual will be motivated to reduce that tension. The behaviors associated with this tension reduction provide the key for a motivational strategy for leaders.

The clear implication of equity theory for leaders is that they must insure that there is a perception of fairness associated with the organizational rewards system. If this sense of fairness does not exist, the leader must take steps to establish it in the minds of the subordinates as well as within the objective reality of the rewards system. (It is important to remember that the way people perceive things is more important to subsequent behavior than is the objective reality--the way things actually are.)

Equity theory involves the inputs a person brings to the work environment and the outcomes the person receives as a result of those inputs. It is the ratio of these inputs to outcomes in comparison with the perception of this ratio for other persons which is of importance to the leader. People normally compare themselves with others whom they see as being like themselves in terms of either similar past experience or similar interests. For example, the "A" student probably compares himself/herself with other "A" students. The comparison person usually is not the same in all situations. For example, we do not use the same comparison person in academic, sports, and work situations. Also, the comparison person may be a composite, or ideal, rather than an actual person.

The notation used to describe the comparison ratio is:

Own Outcomes Own Inputs	compared with	Other's Outcomes Other's Inputs

Suppose you work hard and the organization promotes you ahead of schedule, while peers fail to work hard and are not promoted early. The notation would be as follows:

Individual		**Others**
High Outcome (Early promotion) High Input (Work Hard)	compared with	Low Outcome (No early promotion) Low Input (Not working hard)

Based on the ratios above, you would probably conclude that this is an equitable situation where hard work resulted in your early promotion while your peers, who did not work hard, did not receive a reward. If however, the situation presented by the following set of ratios occurred, you might not feel the same way:

Own		**Others**
High Outcomes	compared with	High Outcomes
High Inputs		Low Inputs

In the second example, where peers receive the same outcome without contributing the same degree of inputs, you would probably find inequity existing and would probably be disturbed and frustrated. As you can conclude, inequity has two aspects. First, people feel under-rewarded when they receive fewer outcomes than they think they deserve. Second, people feel over-rewarded when they receive more in outcomes than they feel they deserve. Thus, the three conditions that can result under equity theory are equity, under-reward, and over-reward.

How does the equity theory relate to motivation? As long as a feeling of equity exists, individuals will continue to operate as they have been doing. A feeling of over reward usually is not a problem for the individual. However, if the individual feels under rewarded, you have a motivation problem. Additionally, the theory suggests that the strength of the motivational force is directly proportional to the degree of inequity.

Equity Restoration Strategies

A person experiencing inequity uses one of six equity restoration strategies to return to a state of equity.

1. The individual may alter inputs. The most direct motivational strategy is for the individual to change their job input--to do more or less work--thereby restoring perceived equity. If, for instance, the imbalance is the direction of under-reward, reduction of input is a common strategy. When people feel over-rewarded, however, they tend to restore equity by means other than increasing input. People are reluctant to change inputs which are directly related to self-esteem--few people, for instance, will de-value themselves to gain more organizational rewards. For the leader, this means that providing more rewards may not increase performance (input), but that providing too few, may reduce it.

2. The individual may alter outcomes. Usually this involves trying to get more for what is being done, rather than trying to get less for doing too little. People will try to maximize outcomes that are important to them as well as resist changing outcomes that threaten self-esteem. Sometimes they may even resort to unethical efforts to restore equity. For the leader, this reinforces the need to be sensitive to perceived inequity, and to increase rewards when appropriate.

3. The individual may cognitively distort inputs and outcomes. Although it is difficult to distort objective reality, people can and will distort the impact of different aspects of the real situation to resolve inequity. To say to oneself, “That wasn’t very important anyway,” is one way to distort an outcome that you have worked for but failed to receive. Again, cognitive changes that threaten self-esteem will be resisted. Also, it is often easier to distort one’s perception of someone else’s inputs or outcomes than our own. The individual may say, for example, “We may be getting the same pay, but the boss thinks more highly of me than of him because I work harder.”

4. The individual may act on the comparison other. Simply, the individual may try to get the comparison other to change either inputs or outcomes. We observe this happening with informal norms that restrict production, or in situations where pressure is placed on a group member to decrease work inputs. Comments such as, “What are you trying to do, make the rest of us look bad?” are powerful demotivators which seek to restore equity.

5. The individual may change the comparison other. If people cannot resolve the inequity between themselves and a reference other, they may simply change the reference point. People who have a comparison other that they have been using for a long time, however, normally find it difficult to change the object of comparison.

6. The individual may leave the field**.** Quitting is a realistic escape from a situation of inequity, and absenteeism and turnover are prime indicators of perceived inequity. For people who have been with the organization for a long time, quitting is usually a last-resort strategy.

Equity theory predicts that subordinates in organizations will take one or more of the six steps discussed above as an inequity resolution strategy. Note that the only strategies with a direct effect upon behavior changes are the alterations of one's own inputs and quitting. All of the other strategies may affect behavior indirectly, but generally restrict themselves to attitude changes or attempts to change environment rather than performance. The most appropriate place for the leader to intervene, then, is where inequity affects behavior. It is important for the leader to understand the vital role of perception in motivation. A person's expectancies, depend upon a person's perceptions. The importance of perceptual differences among workers with similar skill levels is made obvious by the expectancy theory. Different levels of motivation among people with similar skills could be explained in terms of perceptual differences.

The major observation for the leader here is that several of the resolution strategies are potentially adverse for the organization. Therefore, the lesson of equity theory for the organizational leader is prevention of perceived and actual inequity. The major underlying premise of equity theory is that the whole comparison process is based on the perceived situation, which may or may not reflect reality. The leader must be alert to perceived inputs by subordinates, as well as to the fairness of the outcomes provided for those inputs. A knowledge of equity theory puts pressure on the leader to discriminate in allocating rewards based on performance. Further, perceptions of inequity demand that the leader insures that the objective reality of organizational reward systems is clear to all subordinates. Leaders should be able to analyze the reward system from a subordinate's viewpoint. In conclusion, equity theory tells us that organizational rewards must depend on level of performance so that there is perceived equity (not necessarily equality).

B. EXPECTANCY THEORY

The anticipation of a reward or punishment also motivates people. This is called expectancy theory. When a person expects an important reward, there is an increase in the intensity and persistence of behavior directed toward that reward. The expectancy of a reward motivates behavior. The expectancy theory is based on four assumptions:

1. Behavior is caused by a number of forces in the work environment and in the individual.

2. People consciously make decisions about their behavior.

3. People have different types of needs, goals, and desires.

4. People will do things, which will result in favorable outcomes and will avoid those behaviors that lead to unfavorable outcomes.

A person who expects or anticipates a valued reward will work hard to achieve the level of performance necessary to receive the reward. However, performance is not simply working hard. In addition to effort, innate skills and abilities limit the performance level of an individual. If this is the case, no matter how motivated the subordinate is, it is unlikely that performance will exceed a certain ability level. Therefore, a leader's motivation strategy must include an assessment of the skills and abilities of subordinates. A third variable that must be considered by the leader is the knowledge on the part of the subordinate of those job-related behaviors, which lead to a desired performance level. This is different from ability. Such behaviors may include some work behaviors that the boss desires even though the subordinate may not see the relation between these and objective performance

outcomes. People may learn “what to do” through prior learning in similar circumstances, through communication
with more experienced workers, and through experience on the job. They usually learn “how to do” from the boss. That is, they learn how the boss wants the job performed. So, performance in work settings is a function of three interrelated variables: subordinate skills, abilities, and personality; subordinate effort; and accuracy of subordinate perception of how the boss wants the job done.

The expectancy theory is a complex motivational theory. However, it is an important theory as it provides a great deal of insight into why some attempts to motivate soldiers are successful and others fail. To better understand the theory, let's build a model of it.

Individual Behavior	Performance Outcomes	Reward Outcomes

Expectancy Theory Model

Individual behaviors are the actions a person performs. Performance outcomes are the results of the individual's behavior or action. Some of these outcomes are desirable for the unit, others are not. Use the following example to clarify the model.

Individual behaviors are the actions a person performs. Performance outcomes are the results of the individual's behavior or action. Some of these outcomes are desirable for the unit, others are not. Use the following example to clarify the model.

Example**:** Everyone has to take the PT test twice a year. If we practice the three events regularly (individual behaviors), the practice should result in a higher number of repetitions and faster time on the two-mile run (performance outcomes). The high number of repetitions and faster time, however, are valuable to us only because of the reward outcomes associated with them which is pass the PT test or, in many cases, max the PT test.

Reward outcomes are either intrinsic or extrinsic. The satisfaction and sense of achievement from being physically fit may be reward enough. This is an intrinsic reward because the behavior is important in and of itself. If, on the other hand, the soldier strives to obtain a high score on the PT test just to earn the respect of his peers or superiors, the reward is extrinsic. The reward is not tied to the behavior but rather to the associated needs. The individual controls intrinsic rewards. Others generally control extrinsic rewards.

Unfortunately, not all soldiers are intrinsically motivated to accomplish their assigned tasks and responsibilities. Leaders who understand what motivates their soldiers can use expectancy theory to improve individual and unit performance. Let's take a more detailed look at our model.

How can the leader view the expectancy theory in terms of value to the organization? We have three sets of variables displayed in the model: individual behaviors, performance outcomes, and reward outcomes. The relationship between the individual's behavior and the performance outcome is the expectancy or the belief that a given behavior will result in the desired performance outcome. This belief is subjective

Example: The belief is that by practicing push-ups or sit-ups, you will achieve the performance outcome
(a high number of repetitions on the PT test) is the expectancy.

Leaders affect the expectancy or belief by teaching the subordinate behaviors that lead to the performance outcome. If the subordinates really believe that the behaviors they learn or do lead to the performance outcome, there is a high degree of expectancy.

Example**:** Let's look at our PT test example. A platoon leader starts a PT test training program with the goal of having everyone in the platoon achieve a minimum of 60 push-ups, 60 sit-ups and running 2 miles in 15 minutes. The behaviors are training in preparation for the PT test. The performance outcomes of obtaining 60, 60 and a 15-minute two-mile time would have a high expectancy for most soldiers since most of the soldiers probably believe that, with practice, they can obtain these goals.

There is also a relationship between the performance outcome and the reward outcome. If the subordinate knows that by achieving the desired level of performance, valued reward outcomes follow, we can say that the act of achieving the performance outcome is instrumental in obtaining the reward outcomes. We call this relationship the instrumentality relationship. You'll notice that the instrumentality is a relationship between two outcomes--performance and reward. Leaders exercise the greatest degree of control over these two outcomes. First, they are generally the ones who set the performance standard. Second, they generally have full control over the reward for achieving the desired level of performance. In order to motivate soldiers, the soldiers must be reasonably certain that the leader will provide the reward. If the leader's track record of providing rewards is good there will be a high instrumentality level. If the leader's track record is poor-the instrumentality level is low and the subordinate is less likely to achieve the performance outcome. In short, the instrumentality is dependent upon the leader's ability to ensure the promised rewards are available from the organization.

Example: Our platoon leader wants to reward all those soldiers who achieve his goal of 60, 60 and 15 minutes. He/she decides to make PT optional for those who achieve his/her goal. Since the PT test training sessions are the idea of the platoon leader and he/she runs the sessions, then the instrumentality of this reward would be high. The soldiers can expect to achieve this reward if they obtain the leader’s PT goals. If the PT test training program is a company level program and the platoon leader promised the same reward while the company commander announces something different, then the instrumentality of the platoon leader's reward would be low.

The final aspect of the basic expectancy theory addresses the importance of each outcome. The term given to the importance that the subordinates place on each outcome is called valence.

In our example, the reward of being exempt from the PT sessions may have a high valence if the PT sessions are held under unpleasant conditions or after duty hours. Also, if being recognized as an individual excused from PT gives soldiers additional status or recognition from other soldiers, that may contribute to a positive valence of the reward outcome. If, however, the soldiers who are excused from PT catch a lot of flack from other soldiers, that reward outcome may have a negative valence. This would also be true if the soldiers attending the PT sessions view by as a fun, team building activity. In both of these cases, the valence of the reward outcome would negate the purpose of the reward. The important point is that the leader must carefully determine the valence of the reward outcome before linking the performance outcome to the reward outcome.

The brief summary below presents an illustrative list of leader actions available to the organizational leader to increase a subordinate’s expectancy, instrumentality and/or valence:

1. To increase expectancy (Can I achieve the desired level of task performance?):

a. Clarify the relationship between individual behavior and performance outcomes. Show the subordinate what specific behavior will lead to the desired performance outcome.

b. Lower the performance outcome/standard, if consistent with organizational goals.

c. Conduct additional training for the subordinate.

d. Alter the subordinate's perception of his/her capabilities, (i.e., build the subordinate's self-confidence).

e. Restructure the work environment (resource availability, etc.).

2. To increase instrumentality (What is the probability that rewards will be received as a result of the performance?):

a. Ensure that a well defined performance outcome to reward outcome relationship is established, effectively communicated, and understood by all. Make the reward contingent on the desired performance outcome.

b. Ensure that equitable rewards are available, contingent on performance, and consistently administered in a timely manner.

3. To increase valence (How highly do I value the reward outcomes?):

a. Determine what reward outcomes are valued (via surveys, direct observations, direct inquiries, need theories, etc.) and provide those outcomes.

b. Clarify individual perceptions concerning the value of reaching particular performance outcome. The individual may be overlooking some critical reward outcomes that are associated with the performance outcome in question.

How can you use this theory? You, the leader, can motivate soldiers by influencing the expectancy, the instrumentality, and the valence. You can make the expectancy high by making the desired performance outcomes challenging but achievable. You can make the instrumentality high by promising only the rewards that you can provide and by following through with the rewards you promise. Finally, you can make sure that the awards are desirable. High expectancy, high instrumentality and high valence help motivate soldiers to perform at a high level.

C. GOAL SETTING THEORY

Goal setting also affects motivation. Simply stated, goal setting is a process where leaders and their subordinates jointly identify common objectives, define subordinates' major areas of responsibility in terms of the results expected, through mutual agreement obtain the subordinates' personal commitment, and use these objectives as guides for operating the unit and assessing the contribution of each of its members. This is one approach to motivation--establishing clear goals and objectives. The subordinates want to work because they thoroughly understand what is expected of them and what they need to accomplish. The subordinates feel a sense of ownership in the organization's goals. Goal setting is the theory behind the current officer evaluation report support form.

The positive side of goal setting is that it places the leader's emphasis on results rather than handling daily crises. Teamwork is improved because of more clearly defined goals, established priorities and planned resource allocation. Goal setting provides for the possibility of clear standards for performance evaluation and creates an environment for constructive and timely criticism, better communications and greater subordinate development. Since subordinates know what is expected of them, know what constitutes success, and agree to the objectives, they are motivated to accomplish their jobs.

The leader must be careful that the goal setting process fits the needs and realities of the organization. Some leaders feel threatened by goal setting because they believe they lose control and authority when subordinates are allowed to help in setting goals and action plans. The leader must ensure the goals are achievable by subordinates but still challenging. Leaders must be careful not to place too much emphasis on numerically measurable results. This creates a climate of leadership by statistics and involves an extraordinary amount of paperwork. If used well, the positive aspects of goal setting outweigh the limitations. The periodic review of the progress achieved by the leader and subordinate greatly assists in the development of subordinates, improves communication, increases individual motivation and improves the organization's planning capability.

How can you use this theory? Research indicates that goals which are both specific and difficult result in consistently higher effort and performance than when the established goal focuses on "do your best" type goals. Secondly, goal commitment is critical. Even though subordinate participation in developing the goals is one way to increase commitment, goals set by the leader or jointly between the leader and subordinates can both result in the accomplishment of the desired goal. Subordinates were as committed to goals assigned to them as they were to the goals they helped establish when they viewed the leader as having the legitimate authority, having confidence in the subordinates and having clear standards for the performance. Regardless of the source of the goals, subordinates exerted the greatest effort when the goals were accompanied by feedback--subordinates getting goals or feedback alone generally exerted less effort to accomplish the goals.

In research dealing specifically with group performance, it is found that goal specificity is critical for improving group performance. Leaders with the highest performing groups worked with followers to jointly set goals and also gave concrete feedback on goal progress. Leaders who used participatory goal setting or provided feedback were not as successful. If time is limited, however, it may be preferable for the group leader to establish challenging goals and provided ongoing concrete feedback instead of taking the time to engage the group in participative goal-setting efforts.

In summary, successfully completing goals provides subordinates with a sense of accomplishment and satisfaction, and a greater sense of motivation. You can achieve these goals by talking to your subordinates about the unit goals, your goals and their goals, involving the subordinates in establishing goals when possible, and providing them on-going concrete feedback about the accomplishment of the established goals.

D. JOB REDESIGN

The last motivation concept we will examine is that of job redesign. The main assumption in job redesign is that the job itself promotes motivation. To use a term we discussed earlier, the intrinsic rewards of the job are the most important rewards. You may not be able to use the concept of job redesign in every assignment, but you can use the concept when you reach positions of greater authority and responsibility.

As you read the material on job redesign, you will find that high growth strength persons--persons who characteristically seek additional responsibility and challenge in their work--prefer jobs that they find challenging. The absence of certain core dimensions which make the jobs challenging may cause high growth need strength persons to become dissatisfied, unmotivated, and unwilling to perform well or even to attend work regularly.

Core job dimensions represent the key attributes of the job itself which can be affected by the leader through job design efforts. There are three major core job dimensions: skill variety, the degree to which different skills are needed for the job; task identity, the degree to which the job can be seen as a meaningful chunk of work by the subordinates; and task significance, the degree to which the subordinate sees the job as having importance for the organization as a whole. The three-core job dimensions impact directly on the experienced meaningfulness of the work that the subordinate does. Essentially, if subordinates can say to themselves that their work is important to others, requires a number of challenging skills, and can be identified as a meaningful whole, the experienced feeling of the subordinates will be one of meaningfulness.

Two aspects of the work that can impact directly on critical psychological states are the autonomy which the work allows and the feedback from leaders and others which the subordinates gain from doing the work. Increased autonomy will bring about feelings of increased responsibility for the outcomes of the work. Likewise, increased feedback will give the subordinate a more complete knowledge of the actual results of the work activity.

Implementing concepts:

The following implementing concepts are strategies which leaders can employ to redesign work, thereby increasing subordinate motivation toward quality organizational performance:

1. Combining tasks refers to the strategy prevalent in most job enlargement (adding additional duties or rotating the subordinate through a number of different jobs) and job enrichment efforts (enriching the job through vertical expansion). Segmented jobs are re-combined to add depth or scope to each job. This strategy affects both the skill variety and task identifies dimensions--which, in turn, impacts on feelings of meaningfulness.

2. Forming natural work units means breaking up the workflow at some natural break point to create a meaningful chunk of work. Work units are designed so that one worker or group of workers, in the case of large tasks, has responsibility for an identifiable body of work (such as a jeep engine). This strategy is expected to increase both task identify and task significance.

3. Establishing client relationships has to do with increasing the control of the subordinate for the input and output aspects of the job. The individual is given responsibility for direct contact with those who receive the finished output and contact with the client is maintained by the subordinate rather than by someone else in the chain of command. This strategy can affect skill variety and autonomy and can provide the individual subordinate with direct and work-relevant feedback.

4. Vertical loading as a strategy (involving much more than just adding jobs) directly affects job autonomy and, in turn, the feeling of responsibility for work outcomes. Vertical job loading involves not only performing the job but includes giving the soldier responsibility for planning the job and evaluating the product of the job. The seven principles of vertical job loading are:

(a) Remove some controls while retaining accountability. An example is giving a radio mechanic the weekly goal of trouble shooting and repairing all the radio equipment in a company, but allowing the soldier to determine the work pace.

(b) Increasing the accountability of individuals for their own work. By making this radio mechanic responsible for the proper diagnosis and repair of the company's radio problems, you increase the accountability of the soldier.

(c) Giving a person a complete natural unit of work. (division, product, area.). An example of this is to take a clerk working in the S1 shop and put him in charge of all the battalion's issuing meal cards to new soldiers, accounting for the cards on hand and collecting them from soldiers leaving the unit.

(d) Granting additional authority to a worker. If you were the SFC, you could grant additional authority to the meal card clerk. When the battalion goes to the field, rather than you coordinating with the first sergeants for issuing field meal cards, allow the clerk to coordinate with the first sergeants and allow him to set his own schedule for issuing and collecting the field meal cards. As a result, he/she develops a sense of responsibility.

(e) Make periodic reports directly available to the subordinate, rather than the supervisor. Divisions usually publish statistics on various administrative and logistics data once a month. Give the results of all the reports about meal cards (inventories, finance notification, and errors) directly to the meal card clerk rather than routing it through the SFC. This gives the subordinate immediate feedback on his/her efforts and gives him/her some autonomy. He/she then knows where to focus his/her efforts.

(f) Introduce new and more difficult tasks not previously handled Take our steadily improving meal card clerk and have him/her submit the required reports after the unit returns from the field. He/she collects the information from each company, puts it in the correct format and submits the report to finance within the established timelines. This provides the individual a new, more difficult task and makes him/her responsible for the completion of that task.

(g) Assign individuals specific or specialized tasks, enabling them to become experts. We have done this with our meal card clerk. He/she is now the battalion's expert in all meal card operations. He/she is a valued member of the team and has earned recognition along with increased responsibility.

(h) Opening feedback channels between the subordinate and the leader and among peers delineates a strategy for increasing feedback. However, feedback is most effective when it comes directly through the accomplishment of the task.

Properly applied work redesign programs have resulted in increased motivation and job satisfaction. On the other hand, it has <u>not</u> been found that the quality and quantity of production also increases. One possible explanation is that although individuals may be more satisfied on the job, they may not necessarily put the satisfaction into greater effort on their jobs. Other studies have found that satisfaction which leads to high effort is dependent on the worker's satisfaction coming from meeting higher-order needs, such as the needs for recognition and achievement. Referring back to the expectancy theory, the expectancy that high effort will lead to good performance and subsequent reward must be present.

Job redesign does not work for all jobs. Many low-level jobs may not be applicable because the tasks involved do not allow for enrichment--such as manual type labor. On the other hand, there are jobs which are already so enriched that little can be done to change them and make them more enriched--such as some research jobs. Finally, job redesign only works for subordinates who have high growth needs. For the person with low growth needs, a job redesign effort by the leader may be counterproductive. Individuals with low growth needs (have little desire to acquire more responsibility) who are given more responsibility may demonstrate adjustment problems, erratic performance, and even increased absenteeism and turnover. It is also important to note that it is just as dysfunctional to have an individual motivated by lower-order growth needs in an enriched job as it is to have an individual motivated by higher-order growth needs in a simple, routine job. The important question for the leader to answer is, "Does this subordinate want more responsibility?" The table below summarizes these points:

	SIMPLE, ROUTINE JOB	"ENRICHED" JOB
HIGH-GROWTH NEED INDIVIDUAL	Individual feels underutilized and bored. High frustration, dissatisfaction, and turnover	Very high quality performance. High satisfaction, low absenteeism and low turnover.
LOW-GROWTH NEED INDIVIDUAL	Effective performance. Adequate levels of satisfaction. Low absenteeism	Individual overwhelmed by job demands. Psychological withdrawal from job or overt hostility and inadequate job performance

Core Job Dimensions:

The final aspect of job redesign that we will look at concerns changing the core job dimensions to motivate our soldiers. As we discuss each of the core job dimensions, we see how the previously mentioned principles fit into this concept. If we positively influence these aspects of the job, we help motivate our soldiers.

1. Skill Variety: Recall that when we talked about vertical job loading, we mentioned that introducing new and more difficult tasks would help motivate soldiers. This is skill variety. Give soldiers more to do. Make the conditions more challenging by decreasing the time allowed or by requiring the soldiers to perform the tasks while wearing chemical clothing. As the soldier masters the task under increasingly more difficult conditions, he develops self-confidence and which, in-turn, helps create a cohesive team.

2. Task Identity: This means developing a sense of task ownership by the soldiers. We mentioned this aspect as a part of goal setting. You can also improve task identity by providing a natural work unit rather than making soldiers work on just a portion of a bigger job. The soldier wants to work because it means something to him.

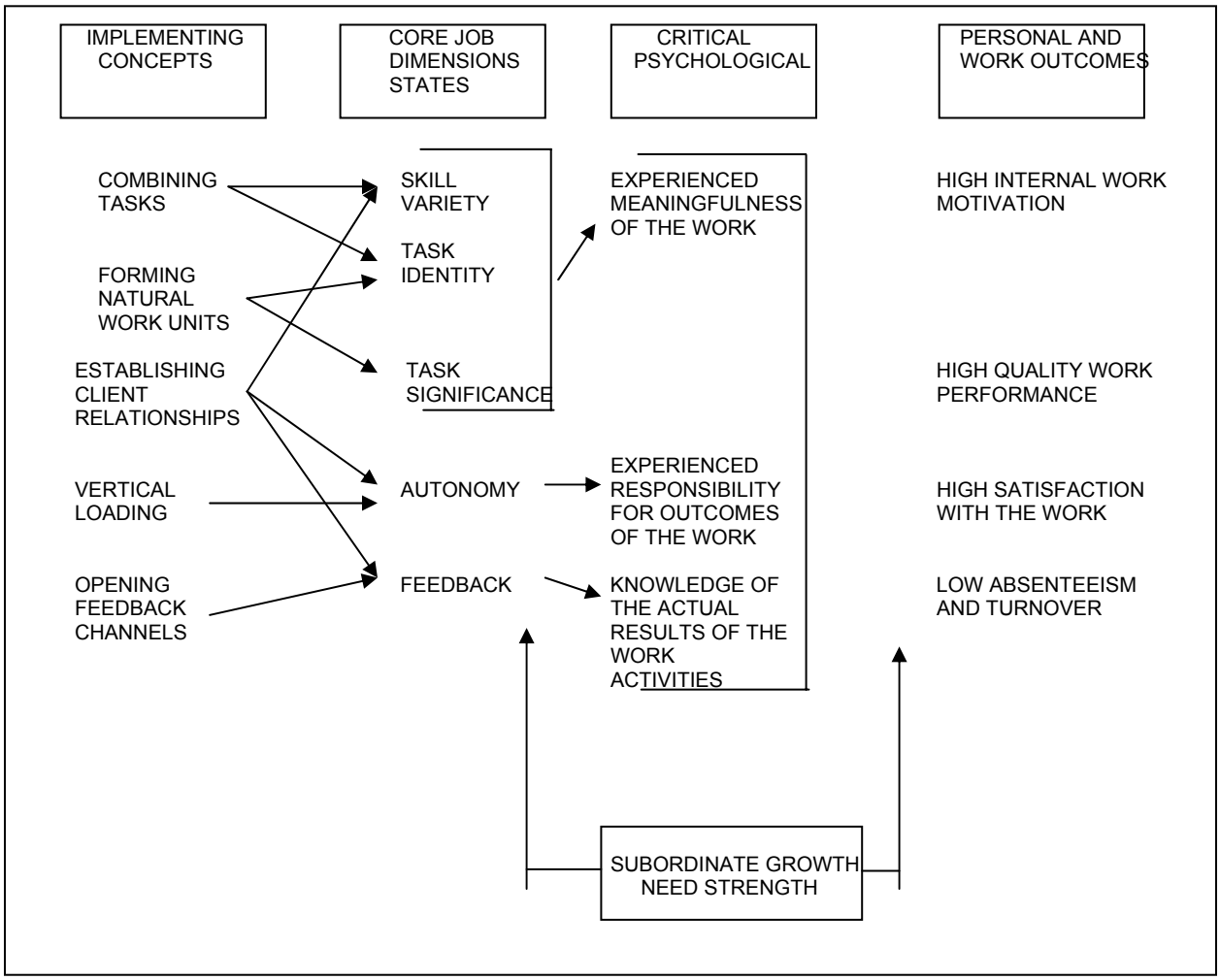
3. Task Significance: This dimension is closely related to task identity. Also, forming natural work units influences it. If we make the soldier understand how his/her job helps the unit, he/she appreciates the importance of his job. This recognition, in turn, gives him/her high internal work motivation.

4. Autonomy: A key core job dimension is autonomy. When soldiers speak of being their own boss, they are talking of autonomy. We all, to some degree, want and need some autonomy. We increase autonomy by vertical job loading and goal setting. By increasing autonomy we trigger the internal motivators or the intrinsic rewards in a job. When you hear someone tell you that it's better to tell someone what has to be done rather than how to do it, they are speaking of appealing to someone's need for autonomy. All the examples we mentioned on vertical job loading relate to autonomy.

5. Feedback: Feedback is the last core job dimension we need to discuss. When we talk about feedback, we are talking about giving an individual information on his/her job performance. There are a couple of ways to do this. Through regular performance counseling we inform subordinates on what they are doing well and what they must improve on. Also, we can improve the feedback dimension by establishing client relationship. We can easily do this when we find ourselves in charge of a staff section or in a support job. We should talk to the leaders of the section or unit we support. Let the soldiers talk to the leaders they support. Let the soldiers associate faces with the paperwork they process or equipment they repair. We should ensure that all of our soldiers are regularly counseled on their performance and receive copies of any periodic reports on subjects that they influence.

How can you use this concept? We all want our subordinates to perform their jobs well, be very satisfied with their work, and have a high amount of internal motivation. In order to achieve all of these outcomes, our subordinates must have a feeling of the importance of their work, their responsibility, and the results of their job. To create this positive feeling, we have to influence the core job dimension of their particular assignments.

How can the leader use this concept? Just changing the job conditions doesn't help motivate soldiers. To motivate, you change the nature of the job to fit the individual and increase the job's intrinsic rewards. Job redesign, however, is not for everyone or for every type of job. Consider the job and the individual before you recommend a job redesign or before you redesign a job. The chart below shows the benefits which can result from job redesign:



SUMMARY

Motivating subordinates to do their jobs well is a major task for any leader. Motivation gives the soldiers the will to do what must be done to accomplish the mission. You can motivate your subordinates by serving as the ethical standard bearer, developing cohesive soldier teams, properly using rewards and punishments, and recognizing and satisfying soldier needs, and by serving as positive role models.

We gain a deeper understanding of motivation through the concepts of equity, expectancy, goal setting and job redesign and how they apply to a situation. These concepts give us a better insight into why people may or may not react when you attempt to motivate them. Each of these concepts should improve your ability to motivate your subordinates.

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Student Handout 3

Pretest and Pretest Solution

This student handout contains five pages of material.

Pretest	SH-3-2 thru SH-3-4
Pretest Solution	SH-3-5 and SH-3-6

Disclaimer: The training developer downloaded this extract from http://155.217.58.58/atdls.htm. The text may contain passive voice, misspellings, grammatical errors, etc., and may not be in compliance with the Army Writing Style Program.

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Pretest

1. (3 points) What are three methods of motivating subordinates?
   a. Planning, organizing, controlling.
   b. Cohesiveness, positive reinforcement, rewards.
   c. Ethical standard bearer, cohesive soldier teams, rewards and punishment.
   d. Negative reinforcement, attitude adjustments, positive approach.

2. (3 points) Which of the following reinforces a positive behavior?
   a. Attitude.
   b. Affiliation.
   c. Rewards.
   d. Privileges.

3. (3 points) What approach reduces undesirable behavior?
   a. Team concept.
   b. Counseling.
   c. Punishment.
   d. Leadership.

4. (3 points) What is the theory used when leaders and subordinates work together to identify tasks for the subordinate to accomplish and the standards for those tasks?
   a. Mind setting.
   b. Objectives.
   c. Goal setting.
   d. Standards.

5. (3 points) Which method of motivation emphasizes caring?
   a. Serving as an ethical standard bearer.
   b. Developing cohesive soldier teams.
   c. Rewarding and punishing soldiers.
   d. Serving as and developing role models.

6. (3 points) The underlying concept of all needs theories of motivation is that an unsatisfied need creates a state of disequilibrium.
   a. True.
   b. False.

7. (3 points) A soldier's level of commitment decreases when he/she recognizes that the leaders have a commitment to the unit and its goals.
   a. True.
   b. False.

8. (3 points) Which of the following is true of an informal leader?
   a. Is not part of the chain of command.
   b. Is both trusted and respected.
   c. Can be a negative role model for peers.
   d. All of the above.
   e. a and b above.

9. (3 points) Which of the following is an excellent role model?
   a. A formal leader that says one thing and does something different.
   b. An informal leader that doesn't follow set procedures.
   c. A soldier that takes short cuts in training.
   d. A successful soldier.
   e. All of the above.

10. (3 points) Alderfer's relatedness factors include which of the following?
   a. Maslow's physiological, social and security levels.
   b. Maslow's physiological, self-esteem, and security levels.
   c. Herzberg's motivational factors.
   d. All of the above.
   e. None of the above.

11. (3 points each) What are the two basic premises of Maslow's Hierarchy of Needs?
   a._____
   b._____

12. (3 points) In Maslow's Theory, where do physical needs separate from physical and quasi-physical needs?_____

13. (3 points each) Define each of the following terms.
   a. Theory:_____
   b. Maintenance factors: _____
_____
   c. Motivational factors: _____
_____

14. Define Expectancy Theory and list and define each of the four assumptions.
   a. (3 points) Expectancy Theory:_____
_____
   b. (4 points each) Four assumptions and definitions:
      (1)_____
_____
_____

      (2)_____
_____
_____

      (3)_____
_____
_____

      (4)_____
_____
_____

15. (3 points each) The Equity Theory strategies which have a direct effect upon behavior changes are _____and _____.

16. (3 points each) Basic to the Expectancy Theory, a leader's motivation strategy must include an assessment of the _____ and _____ of the subordinate.

17. (3 points) The main assumption in job redesign is that_____
_____.

18. (3 points each) The three-core job dimensions which impact directly on the experienced meaningfulness of the work the subordinate does are _____,
_____, and_____.

19. (3 points each) The two-core job dimensions which can impact directly on critical psychological states are _____and _____.

20. (3 points) The individual who practices push-ups so that they can achieve a high PT score is and example of the _____ Theory.

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Pretest Solution

1. What are the three methods of motivating subordinates?
   a. Planning, organizing, controlling.
   b. Cohesiveness, positive reinforcement, rewards.
   c. Ethical standard bearer, cohesive soldier teams, rewards and punishment. Ref: SH-2-2 thru SH-2- 4
   d. Negative reinforcement, attitude adjustments, positive approach.

2. Which of the following reinforces a positive behavior?
   a. Attitude.
   b. Affiliation.
   c. Rewards. Ref: SH-2-2
   d. Privileges.

3. What approach reduces undesirable behavior?
   a. Team concept.
   b. Counseling.
   c. Punishment. Ref: SH-2-3
   d. Leadership.

4. What is the theory used when leaders and subordinates work together to identify tasks for the subordinate to accomplish and the standards for those tasks?
   a. Mind setting.
   b. Objectives.
   c. Goal setting. Ref: SH-2-18
   d. Standards.

5. Which method of motivation emphasizes caring?
   a. Serving as an ethical standard bearer.
   b. Developing cohesive soldier teams. Ref: SH-2-2
   c. Rewarding and punishing soldiers.
   d. Serving as and developing role models.

6. The underlying concept of all needs theories of motivation is that an unsatisfied need creates a state of disequilibrium.
   a. True. Ref: SH-2-6
   b. False.

7. A soldier's level of commitment decreases when he/she recognizes that the leaders are committed to the unit and its goals.
   a. True.
   b. False. Ref: SH-2-18

8. Which of the following is true of an informal leader?
   a. Is not part of the chain of command.
   b. Is both trusted and respected.
   c. Can be a negative role model for peers.
   d. All of the above. Ref: SH-2-4
   e. a and b above.

9. Which of the following is an excellent role model?
   a. A formal leader that says one thing and does something different.
   b. An informal leader that doesn't follow set procedures.
   c. A soldier that takes short cuts in training.
   d. A successful soldier. Ref: SH-2-4 and SH-2-5

e. All of the above.

10. Alderfer's relatedness factors include which of the following?
    a. Maslow's physiological, social and security levels.
    b. Maslow's physiological, self-esteem, and security levels.
    c. Herzberg's motivational factors.
    d. All of the above.
    e. None of the above. Ref: SH-2-8

11. What are the two basic premises of Maslow's Hierarchy of Needs?
    1. Human beings are constantly in a state of wanting.
    2. Arranged human needs in order of importance. Satisfied lower level needs first. Ref: SH-2-6

12. In Maslow's Theory, where do physical needs separate from physical and quasi-physical needs?
    Social needs level. Ref: SH-2-6

13. Define each of the following terms.
    a. Theory Herzberg's Two-Factor Theory.
    b. Maintenance factors: Factors/conditions which serve primarily as dissatisfiers to workers when they are not present.
    c. Motivational factors: Factors/conditions that lead to high levels of motivation and job satisfaction when they are present but which do not prove to be highly dissatisfying if they are absent.
    Ref: SH-2-10

14. Define Expectancy Theory and list and define each of the four assumptions.
    a. Expectancy Theory defined: Views motivation as a process governing choices. In this model, a person who has a goal weighs the likelihood that various behaviors will achieve that goal and is likely to select the behavior he/she expects to be most successful.
    b. Four assumptions:
       (1) Behavior is caused by a number of forces in the work environment and in the individual.
       (2) People consciously make decisions about their behavior.
       (3) People have different types of needs, goals, and desires.
       (4) People will do things which will result in favorable outcomes and will avoid behaviors which lead to unfavorable outcomes. Ref: SH-2-14

15. The Equity Theory strategies which have a direct effect upon behavior changes are alteration of one's own inputs and quitting. Ref: SH-2-14

16. Basic to the Expectancy Theory, a leader's motivation strategy must include an assessment of the skills and abilities of the subordinate. Ref: SH-2-14

17. The main assumption of job redesign is that the job itself promotes motivation. Ref: SH-2-19

18. The three core job dimensions which impact directly on the experienced meaningfulness of the work the subordinate does are skill variety, task identity, and task significance. Ref: SH-2-21

19. The two core job dimensions which can impact directly on critical psychological states are autonomy and feedback. Ref: SH-2-21

20. The individual who practices push-ups so that they can achieve a high PT score is an example of the Expectancy Theory. Ref: SH-2-16

PRACTICAL EXERCISE 1

Title

EQUITY OR EXPECTANCY?

Lesson Number/Title

L336 version 1 / MOTIVATE SUBORDINATES TO ACCOMPLISH UNIT MISSION

Introduction

As an Army leader, you must be able to motivate your subordinates to accomplish the mission no matter what it may be. As such, you must understand the methods of motivation and apply them daily to build soldier teams and drive subordinates toward mission accomplishment.

Motivator

This practical exercise will assist you in gaining a better understanding of the Equity Motivation Theory and how it can be useful to you as a leader.

Terminal Learning Objective

NOTE: The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise.

At the completion of this lesson, you [the student] will:

Action:	Develop a motivation plan.
Conditions:	As a small unit leader in a company or battalion level unit given a situation that shows poorly motivated soldiers and FM 22-100.
Standards:	Developed a motivation plan that demonstrates a clear understanding and application of motivation theory and includes-- • the identification of relevant factors influencing the case, • an accurate analysis of factors influencing the level of motivation, and • specific actions which the leader can take to motivate subordinates IAW SH-2 and FM 22-100 (SH-4).

Safety Requirements

None

Risk Assessment Level

Low

Environmental Considerations

None

Evaluation

None

Instructional Lead-In

Two of the motivation theories which you read about in your advance packet are the Equity and the Expectancy Motivation Theories. Each of the theories offers insight on how to motivate subordinates.

Resource Requirements

Instructor Materials:

Chart paper/chalk board.

Student Materials:

Chart paper/chalk board.

Special Instructions

None

Procedures

- At this time divide class into small groups (4).
- Be sure to read and follow the directions for this exercise.
- You will have 20 minutes to prepare your responses.
- Write your responses on the chart paper/chalk board provided.
- You will have 5 minutes to brief both of your responses.

Have each group brief their conclusions. After the briefings have each group compare and contrast their solutions or responses. Summarize the briefings. Emphasize the important points.

Step 1. Determine whether you would use the Equity Motivation Theory or the Expectancy Theory in dealing with each situation.

Step 2.

a. For the Expectancy Theory situation, provide the following information:

(1) Explain why you think the situation falls under the Expectancy Theory.

(2) What is/are the individual behavior(s), performance outcome(s), and reward outcome(s) in the situation?

(3) What action(s) should the leader take?

b. For the Equity Motivation Theory situation, provide the following information:

(1) Explain why the situation falls under the Equity Theory. The explanation must include all the components of the comparison ratio.

(2) Identify the individual's chosen resolution strategy(ies).

(3) What action(s) should the leader take?

Step 3. Write your solutions on the chart paper/chalk board provided. Be ready to brief your findings.

Situation 1

You report to the battalion and the S1 introduces you to your Battery Commander, CPT Smith. During your discussion with CPT Smith, you find out that one of your subordinate leaders is having problems motivating a section chief. CPT Smith also provides his assessments of the section chief.

SSG Jones, your Maintenance Section Chief, is 38 years old and has ten years of service. He is a great section chief who is on the E-7 promotion list, but he is questioning whether he should stay in the Army or get out and go to work for a large maintenance company where he would make more money. He loves the Army, but he has two children whom he plans to help through college. During a recent reenlistment interview, he mentioned that the cost of sending his two children through college concerns him greatly. He mentioned that it might be time for him to start looking at a second career. He also said that his brother-in-law does the same type of work that he does but for a civilian company. His brother is making two and a half times more money for 50 percent less work. CPT Smith doesn't think that this is correct, but it is what SSG Jones believes. CPT Smith states that during the open door period last week, some of SSG Jones' soldiers indicated that he wasn't showing much interest in their personal problems.

Situation 2

You have been the staff sergeant for only three weeks. While in the NCO Basic Course, you heard excellent reports about your new company. After you reported you found that one of your tank commanders, SGT Black, was not preparing the crew for the tank gunnery. Just as you had been told, gunnery is quite a significant event and you cannot afford to have an unprepared crew. You are especially concerned about the lack of preparation as you know that SGT Black's crew had the best score last year. You ask him about his poor performance this year, and he says the following:

> Sergeant, I'm the best tank commander in the division. Last year I blew all those guys away on the gunnery course. I really did well--not only for the platoon and the company, but it also looked good for the battalion and the brigade. Every time the brigade commander sees me, he still mentions it. But, what did I get for it? Nothing but prestige, and my family and I can't eat that. That's right sergeant. The PSG told me that he would recommend me for promotion to E-6 if I did well last year. I'm still an E-5. This promotion means a lot to me, but I can't get promoted if I can't even get recommended.

Feedback Requirements

None

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PRACTICAL EXERCISE 2

Title

JOB CHARACTERISTICS INVENTORY

Lesson Number/Title

L336 version 1 / MOTIVATE SUBORDINATES TO ACCOMPLISH UNIT MISSION

Introduction

None

Motivator

Motivating another person to accomplish a given task is a challenge no matter what your occupation. Motivating a person in the Army to accomplish a mission is particularly challenging when the task is physically hazardous or especially disagreeable. Motivating soldiers requires leaders to be especially proficient in the competencies of communication, supervision, teaching, counseling, soldier team development, and decision making.

Terminal Learning Objective

NOTE: The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise.

At the completion of this lesson, you [the student] will:

Action:	Develop a motivation plan.
Conditions:	As a small unit leader in a company or battalion level unit given a situation that shows poorly motivated soldiers and FM 22-100.
Standards:	Developed a motivation plan that demonstrates a clear understanding and application of motivation theory and includes-- • the identification of relevant factors influencing the case, • an accurate analysis of factors influencing the level of motivation, and • specific actions which the leader can take to motivate subordinates IAW SH-2 and FM 22-100 (SH-4).

Safety Requirements

None

Risk Assessment

Low

Environmental Considerations

None

Evaluation

None

Instructional Lead-In

None

Resource Requirements	**Instructor Materials:** • VGT-1 thru VGT-6. • Chart paper. • Pen or pencil. **Student Materials:** • Paper, pen/pencils. • Reference material as listed in SH-1.
Special Instructions	None
Procedures	Complete this PE according to the directions on pp C-8 and C-10. Inform students they have 10 minutes to complete the job characteristics inventory (JCI). Upon completion of the JCI they have 40 minutes to prepare a 5 to 8 minute motivation plan representative of the JCI results. Students brief their motivation plan to the class.

JOB CHARACTERISTIC INVENTORY

Directions Listed below are some statements which could describe a job. Please indicate the degree to which each statement is **true or not true** of your subordinates' job. Try to be as objective as you can in deciding your answer to the statement.

-2	1-	0	1	2
Not True	Slightly Not True	Uncertain	Slightly True	True

Number	Subordinate's Job	Characteristic
1.		Able to Follow Do your soldiers take your orders cheerfully and accurately? Do they support their actions?
2.		Able to Lead Do your soldiers follow your suggestions?
3.		Able to Learn Do your soldiers turn mistakes into learning opportunities? Can they understand, remember, and synthesize information?
4.		Able to Work Alone Do your soldiers plan your own work? Can your soldiers work without supervision or reminders?
5.		Ambitious Do your soldiers take on extra assignments? Do they try to reach new levels of achievement?
6.		Articulate Can your soldiers express ideas easily, both verbally and in writing?
7.		Competent Do your soldiers meet deadlines? Is their work thorough?
8.		Conscientious Do your soldiers do a full day's work? Do they double-check their work?
9..		Cooperative Do your soldiers volunteer to help? Do they do their part on teams?
10..		Creative Do your soldiers come up with new ideas? Do they look for possibilities?
11..		Decisive Can your soldiers make decisions under pressure?

JOB CHARACTERISTIC INVENTORY (continued)

Number	Subordinate Job	Characteristic
12..		Diplomatic Can your soldiers handle difficult situations with grace and tact?
13.		Flexible Do your soldiers embrace change? Can they adapt well to new situations or challenges?
14..		Honest Do your soldiers tell the truth? Do they avoid using company materials for personal use? Do they give credit and accept blame honestly?
15.		Loyal Do your soldiers strive to be a good representative of the company? Do they avoid doing or saying things that makes it look bad?
16.		Organized Are your soldiers neat? Do they plan and arrange things logically?
17.		Persuasive Can your soldiers sell ideas and products?
18.		Resourceful Can your soldiers work their way out of difficult situations?
19.		Sober Do drugs and alcohol affect your soldiers work?
20.		Proactive Do your soldiers address issues before they become full-blown conflicts or problems? Do they make plans that avoid potential pitfalls?

JOB CHARACTERISTIC INVENTORY SCORING INSTRUCTIONS

For each of the six scales (A, B, C, D, and E), compute a total score by summing the answer to the appropriate questions.

SCALE A		SCALE B	
Question Number	**Subordinate's Score**	**Question Number**	**Subordinate's Score**
1.	( )	7.	( )
2.	( )	8.	( )
3.	( )	15.	( )
12.	( )	20.	( )
Total score	( )	Total score	( )
SCALE C		**SCALE D**	
Question Number	**Subordinate's Score**	**Question Number**	**Subordinate's Score**
9.	( )	4.	( )
11.	( )	5.	( )
13.	( )	10.	( )
19.	( )	18.	( )
Total score	( )	Total score	( )
SCALE E		**SCALE F**	
Question Number	**Subordinate's Score**	**Question Number**	**Subordinate's Score**
6.	( )		
14.	( )		
16.	( )		**NOT USED**
17.	( )		
Total score	( )	Total score	( )

Next, on the following graphs, write a large "X" to indicate the total score for each scale for your subordinates' job. The negative side of the table is an indicator on the need for job redesign.

A. Skill Variety	-8	-7	-6	-5	-4	3	-2	-1	0	1	2	3	4	5	6	7	8
B. Task Identity	-8	-7	-6	-5	-4	3	-2	-1	0	1	2	3	4	5	6	7	8
C. Task Significance	-8	-7	-6	-5	-4	3	-2	-1	0	1	2	3	4	5	6	7	8
D. Autonomy	-8	-7	-6	-5	-4	3	-2	-1	0	1	2	3	4	5	6	7	8
E. Feedback	-8	-7	-6	-5	-4	3	-2	-1	0	1	2	3	4	5	6	7	8

Feedback Requirements

The instructor will allow time for the class to provide feedback after the completion of student presentations.

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HANDOUTS FOR LESSON 1: L324 version 1

This appendix contains the items listed in this table--

Title/Synopsis	Page
SH-1, Advance Sheet	SH-1-1
SH-2, Extracted material from FM 22-100	SH-2-1

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Student Handout 1

Advance Sheet

Lesson Hours

This lesson consists of forty minutes of small group instruction and three practical exercises totaling one hour 10 minutes.

Overview

As a squad leader in an organization, this lesson will familiarize you with analyzing the ethical climate in the squad and then develop a plan to sustain or improve it. By using practical exercises and class readings you will identify behaviors, which are inconsistent with Army values. You will analyze the Army values and operational values in a practical exercise. You will take action to create a positive ethical climate and identify at least two behavioral values of the command climate to change and determine leadership behaviors to improve the ethical climate. The assessment will include how you will change these behavioral values to support Army values and then determine leadership behaviors that improve the squads ethical climate.

Learning Objective

Terminal Learning Objective (TLO).

Action:	Apply leadership fundamentals to improve the ethical climate within an organization or unit.
Conditions:	As a small unit leader in a company or battalion level unit.
Standards:	Applied leadership fundamentals to improve the ethical climate within an organization or unit by: • Identifying how a leader's ethical behavior influence's a squad's climate. • Applying ethical reasoning to choose a course of action that best represents Army values. IAW FM 22-100.

LS/A

(1). Review Homework Reading.
(2). Army Values.
(3). Practical Exercise/Solution
(4). Army Values
(5). Practical Exercise/Solution
(6). Practical Exercise/Solution

Assignment	The student assignment for this lesson are: • Read FM 22-100, Chap 2, pp 2-1 thru 2-28, Chap 3, pp 3-1 thru 3-19, Chap 4, pp 4-8 thru 4-10, Chap 5, pp 5-23 thru 5-25, and App D, pp D-1 thru D-5.
Additional Subject Area Resources	None
Bring to Class	• All reference material. • Pen or pencil. • Writing paper.

Student Handout 2

Extracted Material from FM 22-100

This student handout contains 58 pages of extracted text from FM 22-100:

Chap 2, p 2-1 thru 2-28
Chap 3, p 3-1 thru 3-19
Chap 4, p 4-8 thru 4-10
Chap 5, p 5-23 thru 5-25
App D, p D-1 thru D-5

Disclaimer: The developer downloaded the text in this student handout from the Reimer Digital Library. The text may contain passive voice, misspelling grammatical errors, etc., and may not conform to the Army Writing Style Program.

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Actions to *correct* negative aspects of the ethical climate in the organization

Problem: Dysfunctional competition/stress in the unit (the competition is causing some members of the unit to seek ways to gain an unfair advantage over others) ECAS question II.C., IV.A. & IV.C.
Action:

- Postpone the platoon competition; focus on the readiness of equipment and soldier preparation rather than competition.
- Build some time in the long-range calendar to allow soldiers time to get away from work and relax.
- Focus on the group's accomplishment of the mission (unit excellence). Reward the platoon, not squads, for excellent performance. Reward teamwork.

Problem: Battalion XO "ordering" the changing of reports IV B., D. & F.
Action:

- Go see the company XO first and discuss what he should do.
- If the XO won't deal with it, see the commander myself to raise the issue.

Problem: Squad leader's unethical behavior I.B. & II.A.
Action:

- Reprimand the squad leader for getting the land navigation points unfairly.
- Counsel the squad leader on appropriate ways to give instructions and accomplish the mission without compromising values.

Problem: Unclear instructions given by the squad leader ("get the parts no matter what") II.A.
Action:

- Have the platoon sergeant give a class (NCODP) on proper guidelines for giving instructions and appropriate ethical considerations when asking subordinates to complete a task.
- Have the platoon sergeant counsel the squad leader(s) on the importance of using proper supply procedures.

Problem: Company XO "changing report" to meet battalion XO's needs IV.B. & F.
Action:

- Have an informal discussion with the company XO about correct reporting or see the company commander to raise the issue about the battalion XO.

Actions to *maintain* positive aspects of the ethical climate in the organization

Maintain: Continue to hold feedback (sensing) sessions and conduct ECAS assessments to maintain a feel for how the platoon is accomplishing its mission. II.D. & G.; III.A. & B.

Maintain: Continue to reward people who perform to high standards without compromising values. Punish those caught compromising them. III.E. & F.

Figure D-3. Example of a Leader Plan of Action

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CHAPTER 2

The Leader and Leadership: What the Leader Must Be, Know, and Do

I do solemnly swear (or affirm) that I will support and defend the Constitution of the United States against all enemies, foreign and domestic; that I will bear true faith and allegiance to the same; and that I will obey the orders of the President of the United States and the orders of the officers appointed over me, according to regulations and the Uniform Code of Military Justice. So help me God.

Oath of Enlistment

I [full name], having been appointed a [rank] in the United States Army, do solemnly swear (or affirm) that I will support and defend the Constitution of the United States against all enemies, foreign and domestic; that I will bear true faith and allegiance to the same; that I take this obligation freely, without any mental reservation or purpose of evasion, and that I will well and faithfully discharge the duties of the office upon which I am about to enter. So help me God.

Oath of office taken by commissioned officers and DA civilians

2-1. Beneath the Army leadership framework shown in Figure 1-1, 30 words spell out your job as a leader: **Leaders of character and competence act to achieve excellence by developing a force that can fight and win the nation's wars and serve the common defense of the United States.** There's a lot in that sentence. This chapter looks at it in detail.

2-2. Army leadership doctrine addresses what makes leaders of character and competence and what makes leadership. Figure 2-1 highlights these values and attributes. Remember from Chapter 1 that character describes what leaders must BE; competence refers to what leaders must KNOW; and action is what leaders must DO. Although this chapter discusses these concepts one at a time, they don't stand alone; they are closely connected and together make up who you seek to be (a leader of character and competence) and what you need to do (leadership).

CHARACTER: WHAT A LEADER MUST BE **2-2**
- **Army Values** **2-2**
- **Leader Attributes** **2-10**
- **Focus on Character** **2-19**

COMPETENCE: WHAT A LEADER MUST KNOW **2-24**

LEADERSHIP: WHAT A LEADER MUST DO **2-26**
- **Influencing** **2-27**
- **Operating** **2-27**
- **Improving** **2-28**

SUMMARY **2-28**

SECTION I

CHARACTER: WHAT A LEADER MUST BE

Everywhere you look—on the fields of athletic competition, in combat training, operations, and in civilian communities—soldiers are doing what is right.

Former Sergeant Major of the Army
Julius W. Gates

2-3. Character—who you are—contributes significantly to how you act. Character helps you know what's right and do what's right, all the time and at whatever the cost. Character is made up of two interacting parts: values and attributes. Stephen Ambrose, speaking about the Civil War, says that "at the pivotal point in the war it was always the character of individuals that made the difference." Army leaders must be those critical individuals of character themselves and in turn develop character in those they lead. (Appendix E discusses character development.)

ARMY VALUES

Figure 2-1. Army Values

2-4. Your attitudes about the worth of people, concepts, and other things describe your values. Everything begins there. Your subordinates enter the Army with their own values, developed in childhood and nurtured through experience. All people are all shaped by what they've seen, what they've learned, and whom they've met. But when soldiers and DA civilians take the oath, they enter an institution guided by Army values. These are more than a system of rules. They're not just a code tucked away in a drawer or a list in a dusty book. These values tell you what you need to be, every day, in every action you take. Army values form the very identity of the Army, the solid rock upon which everything else stands, especially in combat. They are the glue that binds together the members of a noble profession. As a result, the whole is much greater than the sum of its parts. Army values are nonnegotiable: they apply to everyone and in every situation throughout the Army.

2-5. Army values remind us and tell the rest of the world—the civilian government we serve, the nation we protect, even our enemies—who we are and what we stand for. The trust soldiers and DA civilians have for each other and the trust the American people have in us depends on how well we live up to Army values. They are the fundamental building blocks that enable us to discern right from wrong in any situation. Army values are consistent; they support one another. You can't follow one value and ignore another.

2-6. Here are the Army values that guide you, the leader, and the rest of the Army. They form the acronym LDRSHIP:

Loyalty
Duty
Respect
Selfless Service
Honor
Integrity
Personal Courage

2-7. The following discussions can help you understand Army values, but understanding is only the first step. As a leader, you must not only understand them; you must believe in them, model them in your own actions, and teach others to accept and live by them.

LOYALTY

Bear true faith and allegiance to the US Constitution, the Army, your unit, and other soldiers.

Loyalty is the big thing, the greatest battle asset of all. But no man ever wins the loyalty of troops by preaching loyalty. It is given to him as he proves his possession of the other virtues.

Brigadier General S. L. A. Marshall
Men Against Fire

2-8. Since before the founding of the republic, the Army has respected its subordination to its civilian political leaders. This subordination is fundamental to preserving the liberty of all Americans. You began your Army career by swearing allegiance to the Constitution, the basis of our government and laws. If you've never read it or if it has been a while, the Constitution is in Appendix F. Pay particular attention to Article I, Section 8, which outlines congressional responsibilities regarding the armed forces, and Article II, Section 2, which designates the president as commander in chief. Beyond your allegiance to the Constitution, you have an obligation to be faithful to the Army—the institution and its people—and to your unit or organization. Few examples illustrate loyalty to country and institution as well as the example of GEN George Washington in 1782.

2-9. GEN Washington's example shows how the obligation to subordinates and peers fits in the context of loyalty to the chain of command and the institution at large. As commander of the Continental Army, GEN Washington was obligated to see that his soldiers were taken care of. However, he also was obligated to ensure that the new nation remained secure and that the Continental Army remained able to fight if necessary. If the Continental Army had marched on the seat of government, it may well have destroyed the nation by undermining the law that held it together. It also would have destroyed the Army as an institution by destroying the basis for the authority under which it served. GEN Washington realized these things and acted based on his knowledge. Had he done nothing else, this single act would have been enough to establish GEN George Washington as the father of his country.

GEN Washington at Newburgh

Following its victory at Yorktown in 1781, the Continental Army set up camp at Newburgh, New York, to wait for peace with Great Britain. The central government formed under the Articles of Confederation proved weak and unwilling to supply the Army properly or even pay the soldiers who had won the war for independence. After months of waiting many officers, angry and impatient, suggested that the Army march on the seat of government in Philadelphia, Pennsylvania, and force Congress to meet the Army's demands. One colonel even suggested that GEN Washington become ing George I.

Upon hearing this, GEN Washington assembled his officers and publicly and emphatically rejected the suggestion. He believed that seizing power by force would have destroyed everything for which the Revolutionary War had been fought. By this action, GEN Washington firmly established an enduring precedent: America's armed forces are subordinate to civilian authority and serve the democratic principles that are now enshrined in the Constitution. GEN Washington's action demonstrated the loyalty to country that the Army must maintain in order to protect the freedom enjoyed by all Americans.

2-10. Loyalty is a two-way street: you should not expect loyalty without being prepared to give it as well. Leaders can neither demand loyalty nor win it from their people by talking about it. The loyalty of your people is a gift they give you when, and only when, you deserve it—when you train them well, treat them fairly, and live by the concepts you talk about. Leaders who are loyal to their subordinates never let them be misused.

2-11. Soldiers fight for each other—loyalty is commitment. Some of you will encounter the most important way of earning this loyalty: leading your soldiers well in combat. There's no loyalty fiercer than that of soldiers who trust their leader to take them through the dangers of combat. However, loyalty extends to all members of an organization—to your superiors and subordinates, as well as your peers.

2-12. Loyalty extends to all members of all components of the Army. The reserve components—Army National Guard and Army Reserve—play an increasingly active role in the Army's mission. Most DA civilians will not be called upon to serve in combat theaters, but their contributions to mission accomplishment are nonetheless vital. As an Army leader, you'll serve throughout your career with soldiers of the active and reserve components as well as DA civilians. All are members of the same team, loyal to one another.

DUTY

Fulfill your obligations.

The essence of duty is acting in the absence of orders or direction from others, based on an inner sense of what is morally and professionally right....

General John A. Wickham Jr.
Former Army Chief of Staff

2-13. Duty begins with everything required of you by law, regulation, and orders; but it includes much more than that. Professionals do their work not just to the minimum standard, but to the very best of their ability. Soldiers and DA civilians commit to excellence in all aspects of their professional responsibility so that when the job is done they can look back and say, "I couldn't have given any more."

2-14. Army leaders take the initiative, figuring out what needs to be done before being told what to do. What's more, they take full responsibility for their actions and those of their subordinates. Army leaders never shade the truth to make the unit look good—or even to make their subordinates feel good. Instead, they follow their higher duty to the Army and the nation.

Duty in Korea

CPT Viola B. McConnell was the only Army nurse on duty in orea in July of 1950. When hostilities broke out, she escorted nearly 700 American evacuees from Seoul to Japan aboard a freighter designed to accommodate only 12 passengers. CPT McConnell assessed priorities for care of the evacuees and worked exhaustively with a medical team to care for them. Once in Japan, she requested reassignment back to orea. After all she had already done, CPT McConnell returned to Taejon to care for and evacuate wounded soldiers of the 24th Infantry Division.

2-15. CPT McConnell understood and fulfilled her duty to the Army and to the soldiers she supported in ways that went beyond her medical training. A leader's duty is to take charge, even in unfamiliar circumstances. But duty isn't reserved for special occasions. When a platoon sergeant tells a squad leader to inspect weapons, the squad leader has fulfilled his minimum obligation when he has checked the weapons. He's done what he was told to do. But if the squad leader finds weapons that are not clean or serviced, his sense of duty tells him to go beyond the platoon sergeant's instructions. The squad leader does his duty when he corrects the problem and ensures the weapons are up to standard.

2-16. In extremely rare cases, you may receive an illegal order. Duty requires that you refuse to obey it. You have no choice but to do what's ethically and legally correct. Paragraphs 2-97 through 2-99 discuss illegal orders.

RESPECT

Treat people as they should be treated.

The discipline which makes the soldiers of a free country reliable in battle is not to be gained by harsh or tyrannical treatment. On the contrary, such treatment is far more likely to destroy than to make an army. It is possible to impart instruction and to give commands in such manner and such a tone of voice to inspire in the soldier no feeling but an intense desire to obey, while the opposite manner and tone of voice cannot fail to excite strong resentment and a desire to disobey. The one mode or the other of dealing with subordinates springs from a corresponding spirit in the breast of the commander. He who feels the respect which is due to others cannot fail to inspire in them regard for himself, while he who feels, and hence manifests, disrespect toward others, especially his inferiors, cannot fail to inspire hatred against himself.

Major General John M. Schofield
Address to the United States Corps of Cadets
11 August 1879

2-17. Respect for the individual forms the basis for the rule of law, the very essence of what makes America. In the Army, respect means recognizing and appreciating the inherent dignity and worth of all people. This value reminds you that your people are your greatest resource. Army leaders honor everyone's individual worth by treating all people with dignity and respect.

2-18. As America becomes more culturally diverse, Army leaders must be aware that they will deal with people from a wider range of ethnic, racial, and religious backgrounds. Effective leaders are tolerant of beliefs different from their own as long as those beliefs don't conflict with Army values, are not illegal, and are not unethical. As an Army leader, you need to avoid misunderstandings arising from cultural differences. Actively seeking to learn about people and cultures different from your own can help you do this. Being sensitive to other cultures can also aid you in counseling your people more effectively. You show respect when you seek to understand your people's background, see things from their perspective, and appreciate what's important to them.

2-19. As an Army leader, you must also foster a climate in which everyone is treated with dignity and respect regardless of race, gender, creed, or religious belief. Fostering this climate begins with your example: how you live Army values shows your people how they should live them. However, values training is another major contributor. Effective training helps create a common understanding of Army values and the standards you expect. When you conduct it as part of your regular routine—such as during developmental counseling sessions—you reinforce the message that respect for others is part of the character of every soldier and DA civilian. Combined with your example, such training creates an organizational climate that promotes consideration for others, fairness in all dealings, and equal opportunity. In essence, Army leaders treat others as they wish to be treated.

2-20. As part of this consideration, leaders create an environment in which subordinates are challenged, where they can reach their full potential and be all they can be. Providing tough training doesn't demean subordinates; in fact, building their capabilities and showing faith in their potential is the essence of respect. Effective leaders take the time to learn what their subordinates want to accomplish. They advise their people on how they can grow, personally and professionally. Not all of your subordinates will succeed equally, but they all deserve respect.

2-21. Respect is also an essential component for the development of disciplined, cohesive, and effective warfighting teams. In the deadly confusion of combat, soldiers often overcome incredible odds to accomplish the mission and protect the lives of their comrades. This spirit of selfless service and duty is built on a soldier's personal trust and regard for fellow soldiers. A leader's willingness to tolerate discrimination

or harassment on any basis, or a failure to cultivate a climate of respect, eats away at this trust and erodes unit cohesion. But respect goes beyond issues of discrimination and harassment; it includes the broader issue of civility, the way people treat each other and those they come in contact with. It involves being sensitive to diversity and one's own behaviors that others may find insensitive, offensive, or abusive. Soldiers and DA civilians, like their leaders, treat everyone with dignity and respect.

SELFLESS SERVICE

Put the welfare of the nation, the Army, and subordinates before your own.

The nation today needs men who think in terms of service to their country and not in terms of their country's debt to them.

General of the Army Omar N. Bradley

2-22. You have often heard the military referred to as "the service." As a member of the Army, you serve the United States. Selfless service means doing what's right for the nation, the Army, your organization, and your people—and putting these responsibilities above your own interests. The needs of the Army and the nation come first. This doesn't mean that you neglect your family or yourself; in fact, such neglect weakens a leader and can cause the Army more harm than good. Selfless service doesn't mean that you can't have a strong ego, high self-esteem, or even healthy ambition. Rather, selfless service means that you don't make decisions or take actions that help your image or your career but hurt others or sabotage the mission. The selfish superior claims credit for work his subordinates do; the selfless leader gives credit to those who earned it. The Army can't function except as a team, and for a team to work, the individual has to give up self-interest for the good of the whole.

2-23. Soldiers are not the only members of the Army who display selfless service. DA civilians display this value as well. Then Army Chief of Staff, Gordon R. Sullivan assessed the DA civilian contribution to Operation Desert Storm this way:

Not surprisingly, most of the civilians deployed to Southwest Asia volunteered to serve there. But the civilian presence in the Gulf region meant more than moral support and filling in for soldiers. Gulf War veterans say that many of the combat soldiers could owe their lives to the DA civilians who helped maintain equipment by speeding up the process of getting parts and other support from 60 logistics agencies Army-wide.

2-24. As GEN Sullivan's comment indicates, selfless service is an essential component of teamwork. Team members give of themselves so that the team may succeed. In combat some soldiers give themselves completely so that their comrades can live and the mission can be accomplished. But the need for selflessness isn't limited to combat situations. Requirements for individuals to place their own needs below those of their organization can occur during peacetime as well. And the requirement for selflessness doesn't decrease with one's rank; it increases. Consider this example of a soldier of long service and high rank who demonstrated the value of selfless service.

GA Marshall Continues to Serve

GA George C. Marshall served as Army Chief of Staff from 1939 until 1945. He led the Army through the buildup, deployment, and worldwide operations of World War II. Chapter 7 outlines some of his contributions to the Allied victory. In November 1945 he retired to a well-deserved rest at his home in Leesburg, Virginia. Just six days later President Harry S Truman called on him to serve as Special Ambassador to China. From the White House President Truman telephoned GA Marshall at his home: "General, I want you to go to China for me," the president said. "Yes, Mr. President," GA Marshall replied. He then hung up the telephone, informed his wife of the president's request and his reply, and prepared to return to government service.

GA Marshall Continues to Serve (continued)

President Truman didn't appoint GA Marshall a special ambassador to reward his faithful service; he appointed GA Marshall because there was a tough job in China that needed to be done. The Chinese communists under Mao Tse-tung were battling the Nationalists under Chiang ai-shek, who had been America's ally against the Japanese; GA Marshall's job was to mediate peace between them. In the end, he was unsuccessful in spite of a year of frustrating work; the scale of the problem was more than any one person could handle. However, in January 1947 President Truman appointed GA Marshall Secretary of State. The Cold War had begun and the president needed a leader Americans trusted. GA Marshall's reputation made him the one; his selflessness led him to continue to serve.

2-25. When faced with a request to solve a difficult problem in an overseas theater after six years of demanding work, GA Marshall didn't say, "I've been in uniform for over thirty years, we just won a world war, and I think I've done enough." Instead, he responded to his commander in chief the only way a professional could. He said yes, took care of his family, and prepared to accomplish the mission. After a year overseas, when faced with a similar question, he gave the same answer. GA Marshall always placed his country's interests first and his own second. Army leaders who follow his example do the same.

HONOR

Live up to all the Army values.

What is life without honor? Degradation is worse than death.

Lieutenant General Thomas J. "Stonewall" Jackson

2-26. Honor provides the "moral compass" for character and personal conduct in the Army. Though many people struggle to define the term, most recognize instinctively those with a keen sense of right and wrong, those who live such that their words and deeds are above reproach. The expression "honorable person," therefore, refers to both the character traits an individual actually possesses and the fact that the community recognizes and respects them.

2-27. Honor holds Army values together while at the same time being a value itself. Together, Army values describe the foundation essential to develop leaders of character. Honor means demonstrating an understanding of what's right and taking pride in the community's acknowledgment of that reputation. Military ceremonies recognizing individual and unit achievement demonstrate and reinforce the importance the Army places on honor.

2-28. For you as an Army leader, demonstrating an understanding of what's right and taking pride in that reputation means this: **Live up to all the Army values**. Implicitly, that's what you promised when you took your oath of office or enlistment. You made this promise publicly, and the standards—Army values—are also public. To be an honorable person, you must be true to your oath and live Army values in all you do. Living honorably strengthens Army values, not only for yourself but for others as well: all members of an organization contribute to the organization's climate (which you'll read about in Chapter 3). By what they do, people living out Army values contribute to a climate that encourages all members of the Army to do the same.

2-29. How you conduct yourself and meet your obligations defines who you are as a person; how the Army meets the nation's commitments defines the Army as an institution. For you as an Army leader, honor means putting Army values above self-interest, above career and comfort. For all soldiers, it means putting Army values above self-preservation as well. This honor is essential for creating a bond of trust among members of the Army and between the Army and the nation it serves. Army leaders have the strength of will to live according to Army values, even though the temptations to do otherwise are strong, especially in the face of personal danger. The military's highest award is the Medal of Honor. Its recipients didn't do

just what was required of them; they went beyond the expected, above and beyond the call of duty. Some gave their own lives so that others could live. It's fitting that the word we use to describe their achievements is "honor."

MSG Gordon and SFC Shughart in Somalia

During a raid in Mogadishu in October 1993, MSG Gary Gordon and SFC Randall Shughart, leader and member of a sniper team with Task Force Ranger in Somalia, were providing precision and suppressive fires from helicopters above two helicopter crash sites. Learning that no ground forces were available to rescue one of the downed aircrews and aware that a growing number of enemy were closing in on the site, MSG Gordon and SFC Shughart volunteered to be inserted to protect their critically wounded comrades. Their initial request was turned down because of the danger of the situation. They asked a second time; permission was denied. Only after their third request were they inserted.

MSG Gordon and SFC Shughart were inserted one hundred meters south of the downed chopper. Armed only with their personal weapons, the two NCOs fought their way to the downed fliers through intense small arms fire, a maze of shanties and shacks, and the enemy converging on the site. After MSG Gordon and SFC Shughart pulled the wounded from the wreckage, they established a perimeter, put themselves in the most dangerous position, and fought off a series of attacks. The two NCOs continued to protect their comrades until they had depleted their ammunition and were themselves fatally wounded. Their actions saved the life of an Army pilot.

2-30. No one will ever know what was running through the minds of MSG Gordon and SFC Shughart as they left the comparative safety of their helicopter to go to the aid of the downed aircrew. The two NCOs knew there was no ground rescue force available, and they certainly knew there was no going back to their helicopter. They may have suspected that things would turn out as they did; nonetheless, they did what they believed to be the right thing. They acted based on Army values, which they had clearly made their own: *loyalty* to their fellow soldiers; the *duty* to stand by them, regardless of the circumstances; the *personal courage* to act, even in the face of great danger; *selfless service*, the willingness to give their all. MSG Gary I. Gordon and SFC Randall D. Shughart lived Army values to the end; they were posthumously awarded Medals of Honor.

INTEGRITY

Do what's right—legally and morally.

The American people rightly look to their military leaders not only to be skilled in the technical aspects of the profession of arms, but also to be men of integrity.

General J. Lawton Collins
Former Army Chief of Staff

2-31. People of integrity consistently act according to principles—not just what might work at the moment. Leaders of integrity make their principles known and consistently act in accordance with them. The Army requires leaders of integrity who possess high moral standards and are honest in word and deed. Being honest means being truthful and upright all the time, despite pressures to do otherwise. Having integrity means being both morally complete and true to yourself. As an Army leader, you're honest to yourself by committing to and consistently living Army values; you're honest to others by not presenting yourself or your actions as anything other than what they are. Army leaders say what they mean and do what they say. If you can't accomplish a mission, inform your chain of command. If you inadvertently pass on bad information, correct it as soon as you find out it's wrong. People of integrity do the right thing not because it's convenient or because

they have no choice. They choose the right thing because their character permits no less. Conducting yourself with integrity has three parts:

- Separating what's right from what's wrong.
- Always acting according to what you know to be right, even at personal cost.
- Saying openly that you're acting on your understanding of right versus wrong.

2-32. Leaders can't hide what they do: that's why you must carefully decide how you act. As an Army leader, you're always on display. If you want to instill Army values in others, you must internalize and demonstrate them yourself. Your personal values may and probably do extend beyond the Army values, to include such things as political, cultural, or religious beliefs. However, if you're to be an Army leader *and* a person of integrity, these values must reinforce, not contradict, Army values.

2-33. Any conflict between your personal values and Army values must be resolved before you can become a morally complete Army leader. You may need to consult with someone whose values and judgment you respect. You would not be the first person to face this issue, and as a leader, you can expect others to come to you, too. Chapter 5 contains the story of how SGT Alvin York and his leaders confronted and resolved a conflict between SGT York's personal values and Army values. Read it and reflect on it. If one of your subordinates asks you to help resolve a similar conflict, you must be prepared by being sure your own values align with Army values. Resolving such conflicts is necessary to become a leader of integrity.

PERSONAL COURAGE

Face fear, danger, or adversity (physical or moral).

The concept of professional courage does not always mean being as tough as nails either. It also suggests a willingness to listen to the soldiers' problems, to go to bat for them in a tough situation, and it means knowing just how far they can go. It also means being willing to tell the boss when he's wrong.

Former Sergeant Major of the Army William Connelly

2-34. Personal courage isn't the absence of fear; rather, it's the ability to put fear aside and do what's necessary. It takes two forms, physical and moral. Good leaders demonstrate both.

2-35. Physical courage means overcoming fears of bodily harm and doing your duty. It's the bravery that allows a soldier to take risks in combat in spite of the fear of wounds or death. Physical courage is what gets the soldier at Airborne School out the aircraft door. It's what allows an infantryman to assault a bunker to save his buddies.

2-36. In contrast, moral courage is the willingness to stand firm on your values, principles, and convictions—even when threatened. It enables leaders to stand up for what they believe is right, regardless of the consequences. Leaders who take responsibility for their decisions and actions, even when things go wrong, display moral courage. Courageous leaders are willing to look critically inside themselves, consider new ideas, and change what needs changing.

2-37. Moral courage is sometimes overlooked, both in discussions of personal courage and in the everyday rush of business. A DA civilian at a meeting heard *courage* mentioned several times in the context of combat. The DA civilian pointed out that consistent moral courage is every bit as important as momentary physical courage. Situations requiring physical courage are rare; situations requiring moral courage can occur frequently. Moral courage is essential to living the Army values of integrity and honor every day.

2-38. Moral courage often expresses itself as candor. Candor means being frank, honest, and sincere with others while keeping your words free from bias, prejudice, or malice. Candor means calling things as you see them, even when it's uncomfortable or you think it might be better for you to just keep quiet. It means not allowing your feelings to affect what you say about a person or situation. A candid company commander calmly points out the first sergeant's mistake. Likewise, the candid first

sergeant respectfully points out when the company commander's pet project isn't working and they need to do something different. For trust to exist between leaders and subordinates, candor is essential. Without it, subordinates won't know if they've met the standard and leaders won't know what's going on.

2-39. In combat physical and moral courage may blend together. The right thing to do may not only be unpopular, but dangerous as well. Situations of that sort reveal who's a leader of character and who's not. Consider this example.

WO1 Thompson at My Lai

Personal courage—whether physical, moral, or a combination of the two—may be manifested in a variety of ways, both on and off the battlefield. On March 16, 1968 Warrant Officer (WO1) Hugh C. Thompson Jr. and his two-man crew were on a reconnaissance mission over the village of My Lai, Republic of Vietnam. WO1 Thompson watched in horror as he saw an American soldier shoot an injured Vietnamese child. Minutes later, when he observed American soldiers advancing on a number of civilians in a ditch, WO1 Thompson landed his helicopter and questioned a young officer about what was happening on the ground. Told that the ground action was none of his business, WO1 Thompson took off and continued to circle the area.

When it became apparent that the American soldiers were now firing on civilians, WO1 Thompson landed his helicopter between the soldiers and a group of 10 villagers who were headed for a homemade bomb shelter. He ordered his gunner to train his weapon on the approaching American soldiers and to fire if necessary. Then he personally coaxed the civilians out of the shelter and airlifted them to safety. WO1 Thompson's radio reports of what was happening were instrumental in bringing about the cease-fire order that saved the lives of more civilians. His willingness to place himself in physical danger in order to do the morally right thing is a sterling example of personal courage.

LEADER ATTRIBUTES

Leadership is not a natural trait, something inherited like the color of eyes or hair…Leadership is a skill that can be studied, learned, and perfected by practice.

The Noncom's Guide, 1962

Figure 2-2. Leader Attributes

2-40. Values tell us part of what the leader must BE; the other side of what a leader must BE are the attributes listed in Figure 2-2. Leader attributes influence leader actions; leader actions, in turn, always influence the unit or organization. As an example, if you're physically fit, you're more likely to inspire your subordinates to be physically fit.

2-41. Attributes are a person's fundamental qualities and characteristics. People are born with some attributes; for instance, a person's genetic code determines eye, hair, and skin color. However, other attributes—including leader attributes—are learned and can be changed. Leader attributes can be characterized as mental, physical, and emotional. Successful leaders work to improve those attributes.

MENTAL ATTRIBUTES

2-42. The mental attributes of an Army leader include will, self-discipline, initiative, judgment, self-confidence, intelligence, and cultural awareness.

Will

The will of soldiers is three times more important than their weapons.

Colonel Dandridge M. "Mike" Malone
Small Unit Leadership: A Commonsense Approach

2-43. Will is the inner drive that compels soldiers and leaders to keep going when they are exhausted, hungry, afraid, cold, and wet—when it would be easier to quit. Will enables soldiers to press the fight to its conclusion. Yet will without competence is useless. It's not enough that soldiers are willing, or even eager, to fight; they must know how to fight. Likewise, soldiers who have competence but no will don't fight. The leader's task is to develop a winning spirit by building their subordinates' will as well as their skill. That begins with hard, realistic training.

2-44. Will is an attribute essential to all members of the Army. Work conditions vary among branches and components, between those deployed and those closer to home. In the Army, personal attitude must prevail over any adverse external conditions. All members of the Army—active, reserve, and DA civilian—will experience situations when it would be easier to quit rather than finish the task at hand. At those times, everyone needs that inner drive to press on to mission completion.

2-45. It's easy to talk about will when things go well. But the test of your will comes when things go badly— when events seem to be out of control, when you think your bosses have forgotten you, when the plan doesn't seem to work and it looks like you're going to lose. It's then that you must draw on your inner reserves to persevere—to do your job until there's nothing left to do it with and then to remain faithful to your people, your organization, and your country. The story of the American and Filipino stand on the Bataan Peninsula and their subsequent captivity is one of individuals, leaders, and units deciding to remain true to the end—and living and dying by that decision.

The Will to Persevere

On 8 December 1941, hours after the attack on Pearl Harbor, Japanese forces attacked the American and Filipino forces defending the Philippines. With insufficient combat power to launch a counterattack, GEN Douglas MacArthur, the American commander, ordered his force to consolidate on the Bataan Peninsula and hold as long as possible. Among his units was the 12th Quartermaster (QM) Regiment, which had the mission of supporting the force.

Completely cut off from outside support, the Allies held against an overwhelming Japanese army for the next three and a half months. Soldiers of the 12th QM Regiment worked in the debris of warehouses and repair shops under merciless shelling and bombing, fighting to make the meager supplies last. They slaughtered water buffaloes for meat, caught fish with traps they built themselves, and distilled salt from sea water. In coffeepots made from oil drums they boiled and reboiled the tiny coffee supply until the grounds were white. As long as an ounce of food existed, it was used. In the last desperate days, they resorted to killing horses and pack mules. More important, these supporters delivered rations to the foxholes on the front lines—fighting their way in when necessary. After Bataan and Corregidor fell, members of the 12th QM Regiment were prominent among the 7,000 Americans and Filipinos who died on the infamous Bataan Death March.

Though captured, the soldiers of the 12th QM Regiment maintained their will to resist. 1LT Beulah Greenwalt, a nurse assigned to the 12th QM Regiment, personified this will. Realizing the regimental colors represent the soul of a regiment and that they could serve as a symbol for resistance, 1LT Greenwalt assumed the mission of protecting the colors from the Japanese. She carried the colors to the prisoner of war (PW) camp in Manila by wrapping them around her

The Will to Persevere (continued)

shoulders and convincing her Japanese captors that they were "only a shawl." For the next 33 months 1LT Greenwalt and the remains of the regiment remained PWs, living on starvation diets and denied all comforts. But through it all, 1LT Greenwalt held onto the flag. The regimental colors were safeguarded: the soul of the regiment remained with the regiment, and its soldiers continued to resist.

When the war ended in 1945 and the surviving PWs were released, 1LT Greenwalt presented the colors to the regimental commander. She and her fellow PWs had persevered. They had resisted on Bataan until they had no more means to resist. They continued to resist through three long years of captivity. They decided on Bataan to carry on, and they renewed that decision daily until they were liberated. The 12th QM Regiment—and the other units that had fought and resisted with them—remained true to themselves, the Army, and their country. Their will allowed them to see events through to the end.

Self-Discipline

The core of a soldier is moral discipline. It is intertwined with the discipline of physical and mental achievement. Total discipline overcomes adversity, and physical stamina draws on an inner strength that says "drive on."

Former Sergeant Major of the Army
William G. Bainbridge

2-46. Self-disciplined people are masters of their impulses. This mastery comes from the habit of doing the right thing. Self-discipline allows Army leaders to do the right thing regardless of the consequences for them or their subordinates. Under the extreme stress of combat, you and your team might be cut off and alone, fearing for your lives, and having to act without guidance or knowledge of what's going on around you. Still, you—the leader—must think clearly and act reasonably. Self-discipline is the key to this kind of behavior.

2-47. In peacetime, self-discipline gets the unit out for the hard training. Self-discipline makes the tank commander demand another run-through of a battle drill if the performance doesn't meet the standard—even though everyone is long past ready to quit. Self-discipline doesn't mean that you never get tired or discouraged—after all, you're only human. It does mean that you do what needs to be done regardless of your feelings.

Initiative

The leader must be an aggressive thinker—always anticipating and analyzing. He must be able to make good assessments and solid tactical judgments.

Brigadier General John. T. Nelson II

2-48. Initiative is the ability to be a self-starter—to act when there are no clear instructions, to act when the situation changes or when the plan falls apart. In the operational context, it means setting and dictating the terms of action throughout the battle or operation. An individual leader with initiative is willing to decide and initiate independent actions when the concept of operations no longer applies or when an unanticipated opportunity leading to accomplishment of the commander's intent presents itself. Initiative drives the Army leader to seek a better method, anticipate what must be done, and perform without waiting for instructions. Balanced with good judgment, it becomes *disciplined* initiative, an essential leader attribute. (FM 100-5 discusses initiative as it relates to military actions at the operational level. FM 100-34 discusses the relationship of initiative to command and control. FM 100-40 discusses the place of initiative in the art of tactics.)

2-49. As an Army leader, you can't just give orders: you must make clear the intent of those orders, the final goal of the mission. In combat, it's critically important for subordinates to understand their commander's intent. When they are cut off or enemy actions derail the original plan, well-trained soldiers who understand the commander's intent will apply disciplined initiative to accomplish the mission.

2-50. Disciplined initiative doesn't just appear; you must develop it within your subordinates. Your leadership style and the organizational climate you establish can either encourage or discourage initiative: you can instill initiative in your subordinates or you can drive it out. If you underwrite honest mistakes, your subordinates will be more likely to develop initiative. If you set a "zero defects" standard, you risk strangling initiative in its cradle, the hearts of your subordinates. (Chapter 5 discusses "zero defects" and learning.)

The Quick Reaction Platoon

On 26 December 1994 a group of armed and disgruntled members of the Haitian Army entered the Haitian Army Headquarters in Port-au-Prince demanding back pay. A gunfight ensued less than 150 meters from the grounds of the Haitian Palace, seat of the new government. American soldiers from C Company, 1-22 Infantry, who had deployed to Haiti as part of Operation Uphold Democracy, were guarding the palace grounds. The quick reaction platoon leader deployed and immediately maneuvered his platoon towards the gunfire. The platoon attacked, inflicting at least four casualties and causing the rest of the hostile soldiers to flee. The platoon quelled a potentially explosive situation by responding correctly and aggressively to the orders of their leader, who knew his mission and the commander's intent.

Judgment

I learned that good judgment comes from experience and that experience grows out of mistakes.

General of the Army Omar N. Bradley

2-51. Leaders must often juggle hard facts, questionable data, and gut-level intuition to arrive at a decision. Good judgment means making the best decision for the situation. It's a key attribute of the art of command and the transformation of knowledge into understanding. (FM 100-34 discusses how leaders convert data and information into knowledge and understanding.)

2-52. Good judgment is the ability to size up a situation quickly, determine what's important, and decide what needs to be done. Given a problem, you should consider a range of alternatives before you act. You need to think through the consequences of what you're about to do before you do it. In addition to considering the consequences, you should also think methodically. Some sources that aid judgment are the boss's intent, the desired goal, rules, laws, regulations, experience, and values. Good judgment also includes the ability to size up subordinates, peers, and the enemy for strengths, weaknesses, and potential actions. It's a critical part of problem solving and decision making. (Chapter 5 discusses problem solving and decision making).

2-53. Judgment and initiative go hand in hand. As an Army leader, you must weigh what you know and make decisions in situations where others do nothing. There will be times when you'll have to make decisions under severe time constraints. In all cases, however, you must take responsibility for your actions. In addition, you must encourage disciplined initiative in, and teach good judgment to, your subordinates. Help your subordinates learn from mistakes by coaching and mentoring them along the way. (Chapter 5 discusses mentoring.)

Self-Confidence

2-54. Self-confidence is the faith that you'll act correctly and properly in any situation, even one in which you're under stress and don't have all the information you want. Self-confidence comes from competence: it's based on mastering skills, which takes hard work and dedication. Leaders who know their own capabilities and believe in themselves are self-confident. Don't mistake bluster—loudmouthed bragging or self-promotion—for self-confidence. Truly self-confident leaders don't need to advertise; their actions say it all.

2-55. Self-confidence is important for leaders and teams. People want self-confident leaders, leaders who understand the situation, know what needs to be done, and demonstrate that understanding and knowledge. Self-confident leaders instill self-confidence in their people. In combat, self-confidence helps soldiers control doubt and reduce anxiety. Together with will and self-discipline, self-confidence helps leaders act—do what must be done in circumstances where it would be easier to do nothing—and to convince their people to act as well.

Intelligence

2-56. Intelligent leaders think, learn, and reflect; then they apply what they learn. Intelligence is more than knowledge, and the ability to think isn't the same as book learning. All people have some intellectual ability that, when developed, allows them to analyze and understand a situation. And although some people are smarter than others, all people can develop the capabilities they have. Napoleon himself observed how a leader's intellectual development applies directly to battlefield success:

It is not genius which reveals to me suddenly and secretly what I should do in circumstances unexpected by others; it is thought and meditation.

2-57. Knowledge is only part of the equation. Smart decisions result when you combine professional skills (which you learn through study) with experience (which you gain on the job) and your ability to reason through a problem based on the information available. Reflection is also important. From time to time, you find yourself carefully and thoughtfully considering how leadership, values, and other military principles apply to you and your job. When things don't go quite the way they intended, intelligent leaders are confident enough to step back and ask, "Why did things turn out that way?" Then they are smart enough to build on their strengths and avoid making the same mistake again.

2-58. Reflection also contributes to your originality (the ability to innovate, rather than only adopt others' methods) and intuition (direct, immediate insight or understanding of important factors without apparent rational thought or inference). Remember COL Chamberlain at Little Round Top. To his soldiers, it sometimes appeared that he could "see through forests and hills and know what was coming." But this was no magical ability. Through study and reflection, the colonel had learned how to analyze terrain and imagine how the enemy might attempt to use it to his advantage. He had applied his intelligence and developed his intellectual capabilities. Good leaders follow COL Chamberlain's example.

Cultural Awareness

2-59. Culture is a group's shared set of beliefs, values, and assumptions about what's important. As an Army leader, you must be aware of cultural factors in three contexts:

- You must be sensitive to the different backgrounds of your people.
- You must be aware of the culture of the country in which your organization is operating.
- You must take into account your partners' customs and traditions when you're working with forces of another nation.

2-60. Within the Army, people come from widely different backgrounds: they are shaped by their schooling, race, gender, and religion as well as a host of other influences. Although they share Army values, an African-American man from rural Texas may look at many things differently from, say, a third-generation Irish-American man who grew up in Philadelphia or a Native American woman from the Pacific Northwest. But be aware that perspectives vary within groups as well. That's why you should try to understand individuals based on their own ideas, qualifications, and contributions and not jump to conclusions based on stereotypes.

2-61. Army values are part of the Army's institutional culture, a starting point for how you as a member of the Army should think and act. Beyond that, Army leaders not only recognize that people are different; they value them because of their differences, because they are people. Your job as a leader isn't to make everyone the same.

Instead, your job is to take advantage of the fact that everyone is different and build a cohesive team. (Chapter 7 discusses the role strategic leaders play in establishing and maintaining the Army's institutional culture.)

2-62. There's great diversity in the Army—religious, ethnic, and social—and people of different backgrounds bring different talents to the table. By joining the Army, these people have agreed to adopt the Army culture. Army leaders make this easier by embracing and making use of everyone's talents. What's more, they create a team where subordinates know they are valuable and their talents are important.

2-63. You never know how the talents of an individual or group will contribute to mission accomplishment. For example, during World War II US Marines from the Navajo nation formed a group of radio communications specialists dubbed the Navajo Code Talkers. The code talkers used their native language—a unique talent—to handle command radio traffic. Not even the best Japanese code breakers could decipher what was being said.

2-64. Understanding the culture of your adversaries and of the country in which your organization is operating is just as important as understanding the culture of your own country and organization. This aspect of cultural awareness has always been important, but today's operational environment of frequent deployments—often conducted by small units under constant media coverage—makes it even more so. As an Army leader, you need to remain aware of current events—particularly those in areas where America has national interests. You may have to deal with people who live in those areas, either as partners, neutrals, or adversaries. The more you know about them, the better prepared you'll be.

2-65. You may think that understanding other cultures applies mostly to stability operations and support operations. However, it's critical to planning offensive and defensive operations as well. For example, you may employ different tactics against an adversary who considers surrender a dishonor worse than death than against those for whom surrender is an honorable option. Likewise, if your organization is operating as part of a multinational team, how well you understand your partners will affect how well the team accomplishes its mission.

2-66. Cultural awareness is crucial to the success of multinational operations. In such situations Army leaders take the time to learn the customs and traditions of the partners' cultures. They learn how and why others think and act as they do. In multinational forces, effective leaders create a "third culture," which is the bridge or the compromise among partners. This is what GA Eisenhower did in the following example.

GA Eisenhower Forms SHAEF

During World War II, one of GA Eisenhower's duties as Supreme Allied Commander in the European Theater of Operations (ETO) was to form his theater headquarters, the Supreme Headquarters, Allied Expeditionary Force (SHAEF). GA Eisenhower had to create an environment in this multinational headquarters in which staff members from the different Allied armies could work together harmoniously. It was one of GA Eisenhower's toughest jobs.

The forces under his command—American, British, French, Canadian, and Polish—brought not only different languages, but different ways of thinking, different ideas about what was important, and different strategies. GA Eisenhower could have tried to bend everyone to his will and his way of thinking; he was the boss, after all. But it's doubtful the Allies would have fought as well for a bullying commander or that a bullying commander would have survived politically. Instead, he created a positive organizational climate that made best use of the various capabilities of his subordinates. This kind of work takes tact, patience, and trust. It doesn't destroy existing cultures but creates a new one. (Chapter 7 discusses how building this coalition contributed to the Allied victory in the ETO.)

PHYSICAL ATTRIBUTES

2-67. Physical attributes—health fitness, physical fitness, and military and professional bearing—can be developed. Army leaders maintain the appropriate level of physical fitness and military bearing.

Health Fitness

Disease was the chief killer in the [American Civil] war. Two soldiers died of it for every one killed in battle…In one year, 995 of every thousand men in the Union army contracted diarrhea and dysentery.

Geoffrey C. Ward
The Civil War

2-68. Health fitness is everything you do to maintain good health, things such as undergoing routine physical exams, practicing good dental hygiene, maintaining deployability standards, and even personal grooming and cleanliness. A soldier unable to fight because of dysentery is as much a loss as one who's wounded. Healthy soldiers can perform under extremes in temperature, humidity, and other conditions better than unhealthy ones. Health fitness also includes avoiding things that degrade your health, such as substance abuse, obesity, and smoking.

Physical Fitness

Fatigue makes cowards of us all.

General George S. Patton Jr.
Commanding General, Third Army, World War II

2-69. Unit readiness begins with physically fit soldiers and leaders. Combat drains soldiers physically, mentally, and emotionally. To minimize those effects, Army leaders are physically fit, and they make sure their subordinates are fit as well. Physically fit soldiers perform better in all areas, and physically fit leaders are better able to think, decide, and act appropriately under pressure. Physical readiness provides a foundation for combat readiness, and it's up to you, the leader, to get your soldiers ready.

2-70. Although physical fitness is a crucial element of success in battle, it's not just for frontline soldiers. Wherever they are, people who are physically fit feel more competent and confident. That attitude reassures and inspires those around them. Physically fit soldiers and DA civilians can handle stress better, work longer and harder, and recover faster than ones who are not fit. These payoffs are valuable in both peace and war.

2-71. The physical demands of leadership positions, prolonged deployments, and continuous operations can erode more than just physical attributes. Soldiers must show up ready for deprivations because it's difficult to maintain high levels of fitness during deployments and demanding operations. Trying to get fit under those conditions is even harder. If a person isn't physically fit, the effects of additional stress snowball until their mental and emotional fitness are compromised as well. Army leaders' physical fitness has significance beyond their personal performance and well-being. Since leaders' decisions affect their organizations' combat effectiveness, health, and safety and not just their own, maintaining physical fitness is an ethical as well as a practical imperative.

2-72. The Army Physical Fitness Test (APFT) measures a baseline level of physical fitness. As an Army leader, you're required to develop a physical fitness program that enhances your soldiers' ability to complete soldier and leader tasks that support the unit's mission essential task list (METL). (FM 25-101 discusses METL-based integration of soldier, leader, and collective training.) Fitness programs that emphasize training specifically for the APFT are boring and don't prepare soldiers for the varied stresses of combat. Make every effort to design a physical fitness program that prepares your people for what you expect them to do in combat. Readiness should be your program's primary focus; preparation for the APFT itself is secondary. (FM 21-20 is your primary physical fitness resource.)

You have to lead men in war by requiring more from the individual than he thinks he can do. You have to [bring] them along to endure and to display qualities of fortitude that are beyond the average man's thought of what he should be expected to do. You have to

inspire them when they are hungry and exhausted and desperately uncomfortable and in great danger; and only a man of positive characteristics of leadership, with the physical stamina [fitness] that goes with it, can function under those conditions.

General of the Army George C. Marshall
Army Chief of Staff, World War II

Military and Professional Bearing

Our…soldiers should look as good as they are.

Sergeant Major of the Army Julius W. Gates

2-73. As an Army leader, you're expected to look like a soldier. Know how to wear the uniform and wear it with pride at all times. Meet height and weight standards. By the way you carry yourself and through your military courtesy and appearance, you send a signal: I am proud of my uniform, my unit, and myself. Skillful use of your professional bearing—fitness, courtesy, and military appearance—can often help you manage difficult situations. A professional—DA civilian or soldier—presents a professional appearance, but there's more to being an Army professional than looking good. Professionals are competent as well; the Army requires you to both *look* good and *be* good.

EMOTIONAL ATTRIBUTES

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

Aristotle
Greek philosopher and tutor to Alexander the Great

2-74. As an Army leader, your emotional attributes—self-control, balance, and stability—contribute to how you feel and therefore to how you interact with others. Your people are human beings with hopes, fears, concerns, and dreams. When you understand that will and endurance come from emotional energy, you possess a powerful leadership tool. The feedback you give can help your subordinates use their emotional energy to accomplish amazing feats in tough times.

Self-Control in Combat

An American infantry company in Vietnam had been taking a lot of casualties from booby traps. The soldiers were frustrated because they could not fight back. One night, snipers ambushed the company near a village, killing two soldiers. The rest of the company—scared, anguished, and frustrated—wanted to enter the village, but the commander—who was just as angry—knew that the snipers were long gone. Further, he knew that there was a danger his soldiers would let their emotions get the upper hand, that they might injure or kill some villagers out of a desire to strike back at something. Besides being criminal, such killings would drive more villagers to the Viet Cong. The commander maintained control of his emotions, and the company avoided the village.

2-75. Self-control, balance, and stability also help you make the right ethical choices. Chapter 4 discusses the steps of ethical reasoning. However, in order to follow those steps, you must remain in control of yourself; you can't be at the mercy of your impulses. You must remain calm under pressure, "watch your lane," and expend energy on things you can fix. Inform your boss of things you can't fix and don't worry about things you can't affect.

2-76. Leaders who are emotionally mature also have a better awareness of their own strengths and weaknesses. Mature leaders spend their energy on self-improvement; immature leaders spend their energy denying there's anything wrong. Mature, less defensive leaders benefit from constructive criticism in ways that immature people cannot.

Self-Control

Sure I was scared, but under the circumstances, I'd have been crazy not to be scared.…There's nothing wrong with fear. Without fear, you can't have acts of courage.

Sergeant Theresa Kristek
Operation Just Cause, Panama

2-77. Leaders control their emotions. No one wants to work for a hysterical leader who might lose control in a tough situation. This doesn't mean you never show emotion. Instead, you must display the proper amount of emotion and passion—somewhere between too much and too little—required to tap into your subordinates' emotions. Maintaining self-control inspires calm confidence in subordinates, the coolness under fire so essential to a successful unit. It also encourages feedback from your subordinates that can expand your sense of what's really going on.

Balance

An officer or noncommissioned officer who loses his temper and flies into a tantrum has failed to obtain his first triumph in discipline.

Noncommissioned Officer's Manual, 1917

2-78. Emotionally balanced leaders display the right emotion for the situation and can also read others' emotional state. They draw on their experience and provide their subordinates the proper perspective on events. They have a range of attitudes—from relaxed to intense—with which to approach situations and can choose the one appropriate to the circumstances. Such leaders know when it's time to send a message that things are urgent and how to do that without throwing the organization into chaos. They also know how to encourage people at the toughest moments and keep them driving on.

Stability

Never let yourself be driven by impatience or anger. One always regrets having followed the first dictates of his emotions.

Marshal de Belle-Isle
French Minister of War, 1757-1760

2-79. Effective leaders are steady, levelheaded under pressure and fatigue, and calm in the face of danger. These characteristics calm their subordinates, who are always looking to their leader's example. Display the emotions you want your people to display; don't give in to the temptation to do what feels good for you. If you're under great stress, it might feel better to vent—scream, throw things, kick furniture—but that will not help the organization. If you want your subordinates to be calm and rational under pressure, you must be also.

BG Jackson at First Bull Run

At a crucial juncture in the First Battle of Bull Run, the Confederate line was being beaten back from Matthews Hill by Union forces. Confederate BG Thomas J. Jackson and his 2,000-man brigade of Virginians, hearing the sounds of battle to the left of their position, pressed on to the action. Despite a painful shrapnel wound, BG Jackson calmly placed his men in a defensive position on Henry Hill and assured them that all was well.

As men of the broken regiments flowed past, one of their officers, BG Barnard E. Bee, exclaimed to BG Jackson, "General, they are driving us " Looking toward the direction of the enemy, BG Jackson replied, "Sir, we will give them the bayonet." Impressed by BG Jackson's confidence and self-control, BG Bee rode off towards what was left of the officers and men of his brigade. As he rode into the throng he gestured with his sword toward Henry Hill and shouted, "Look, men There is Jackson standing like a stone wall Let us determine to die here, and we will conquer Follow me "

BG Bee would later be mortally wounded, but the Confederate line stiffened and the nickname he gave to BG Jackson would live on in American military history. This example shows how one leader's self-control under fire can turn the tide of battle by influencing not only the leader's own soldiers, but the leaders and soldiers of other units as well.

FOCUS ON CHARACTER

Just as fire tempers iron into fine steel, so does adversity temper one's character into firmness, tolerance, and determination.

Margaret Chase Smith
Lieutenant Colonel, US Air Force Reserve
and United States Senator

2-80. Earlier in this chapter, you read how character is made up of two interacting sets of characteristics: values and attributes. People enter the Army with values and attributes they've developed over the course of a lifetime, but those are just the starting points for further character development. Army leaders continuously develop in themselves and their subordinates the Army values and leader attributes that this chapter discusses and Figure 1-1 shows. This isn't just an academic exercise, another mandatory training topic to address once a year. Your character shows through in your actions—on and off duty.

2-81. Character helps you determine what's right and motivates you to do it, regardless of the circumstances or the consequences. What's more, an informed ethical conscience consistent with Army values steels you for making the right choices when faced with tough questions. Since Army leaders seek to do what's right and inspire others to do the same, you must be concerned with character development. Examine the actions in this example, taken from the report of a platoon sergeant during Operation Desert Storm. Consider the aspects of character that contributed to them.

Character and Prisoners

The morning of [28 February 1991], about a half-hour prior to the cease-fire, we had a T-55 tank in front of us and we were getting ready [to engage it with a TOW]. We had the TOW up and we were tracking him and my wingman saw him just stop and a head pop up out of it. And Neil started calling me saying, "Don't shoot, don't shoot, I think they're getting off the tank." And they did. Three of them jumped off the tank and ran around a sand dune. I told my wingman, "I'll cover the tank, you go on down and check around the back side and see what's down there." He went down there and found about 150 PWs….

[T]he only way we could handle that many was just to line them up and run them through…a little gauntlet…[W]e had to check them for weapons and stuff and we lined them up and called for the PW handlers to pick them up. It was just amazing.

We had to blow the tank up. My instructions were to destroy the tank, so I told them to go ahead and move it around the back side of the berm a little bit to safeguard us, so we wouldn't catch any shrapnel or ammunition coming off. When the tank blew up, these guys started yelling and screaming at my soldiers, "Don't shoot us, don't shoot us," and one of my soldiers said, "Hey, we're from America; we don't shoot our prisoners." That sort of stuck with me.

2-82. The soldier's comment at the end of this story captures the essence of character. He said, "We're from America…" He defined, in a very simple way, the connection between who you are—your character—and what you do. This example illustrates character—shared values and attributes—telling soldiers what to do and what not to do. However, it's interesting for other reasons. Read it again: You can almost feel the soldiers' surprise when they realized what the Iraqi PWs were afraid of. You can picture the young soldier, nervous, hands on his weapon, but still managing to be a bit amused. The right thing, the ethical choice, was so deeply ingrained in those soldiers that it never occurred to them to do anything other than safeguard the PWs.

The Battle of the Bulge

In December 1944 the German Army launched its last major offensive on the Western Front of the ETO, sending massive infantry and armor formations into a lightly-held sector of the Allied line in Belgium. American units were overrun. Thousands of green troops, sent to that sector because it was quiet, were captured. For two desperate weeks the Allies fought to check the enemy advance. The 101st Airborne Division was sent to the town of Bastogne. The Germans needed to control the crossroads there to move equipment to the front; the 101st was there to stop them.

Outnumbered, surrounded, low on ammunition, out of medical supplies, and with wounded piling up, the 101st, elements of the 9th and 10th Armored Divisions, and a tank destroyer battalion fought off repeated attacks through some of the coldest weather Europe had seen in 50 years. Wounded men froze to death in their foxholes. Paratroopers fought tanks. Nonetheless, when the German commander demanded American surrender, BG Anthony C. McAuliffe, acting division commander, sent a one-word reply: "Nuts."

The Americans held. By the time the Allies regained control of the area and pushed the Germans back, Hitler's "Thousand Year Reich" had fewer than four months remaining.

2-83. BG McAuliffe spoke based on what he knew his soldiers were capable of, even in the most extreme circumstances. This kind of courage and toughness didn't develop overnight. Every Allied soldier brought a lifetime's worth of character to that battle; that character was the foundation for everything else that made them successful.

GA Eisenhower's Message

On 5 June 1944, the day before the D-Day invasion, with his hundreds of thousands of soldiers, sailors and airmen poised to invade France, GA Dwight D. Eisenhower took a few minutes to draft a message he hoped he would never deliver. It was a "statement he wrote out to have ready when the invasion was repulsed, his troops torn apart for nothing, his planes ripped and smashed to no end, his warships sunk, his reputation blasted."

In his handwritten statement, GA Eisenhower began, "Our landings in the Cherbourg-Havre area have failed to gain a satisfactory foothold and I have withdrawn the troops." Originally he had written, the "troops have been withdrawn," a use of the passive voice that conceals the actor. But he changed the wording to reflect his acceptance of full personal accountability.

GA Eisenhower went on, "My decision to attack at this time and place was based on the best information available." And after recognizing the courage and sacrifice of the troops he concluded, "If any blame or fault attaches to this attempt, it is mine alone."

2-84. GA Eisenhower, in command of the largest invasion force ever assembled and poised on the eve of a battle that would decide the fate of millions of people, was guided by the same values and attributes that shaped the actions of the soldiers in the Desert Storm example. His character allowed for nothing less than acceptance of total personal responsibility. If things went badly, he was ready to take the blame. When things went well, he gave credit to his subordinates. The Army values GA Eisenhower personified provide a powerful example for all members of the Army.

CHARACTER AND THE WARRIOR ETHOS

2-85. The *warrior ethos* refers to the professional attitudes and beliefs that characterize the American soldier. At its core, the warrior ethos grounds itself on the refusal to accept failure. The Army has forged the warrior ethos on training grounds from Valley Forge to the CTCs and honed it in battle from Bunker Hill to San Juan Hill, from the Meuse-Argonne to Omaha Beach, from Pork Chop Hill to the Ia Drang Valley, from Salinas Airfield to the Battle of 73 Easting. It derives from the unique realities of battle. It echoes through the precepts in the Code of Conduct. Developed through discipline, commitment to Army values, and knowledge of the Army's proud heritage, the warrior ethos makes clear that military service is much more than just another job: the purpose of winning the nation's wars calls for total commitment.

2-86. America has a proud tradition of winning. The ability to forge victory out of the chaos of battle includes overcoming fear, hunger, deprivation, and fatigue. The Army wins because it fights hard; it fights hard because it trains hard; and it trains hard because that's the way to *win*. Thus, the warrior ethos is about more than persevering under the worst of conditions; it fuels the fire to fight through those conditions to victory no matter how long it takes, no matter how much effort is required. It's one thing to make a snap decision to risk your life for a brief period of time. It's quite another to sustain the will to win when the situation looks hopeless and doesn't show any indications of getting better, when being away from home and family is a profound hardship. The soldier who jumps on a grenade to save his comrades is courageous, without question. That action requires great physical courage, but pursuing victory over time also requires a deep moral courage that concentrates on the mission.

2-87. The warrior ethos concerns character, shaping who you are and what you do. In that sense, it's clearly linked to Army values such as *personal courage, loyalty to comrades, and dedication to duty*. Both loyalty and duty involve putting your life on the line, even when there's little chance of survival, for the good of a cause larger than yourself. That's the clearest example of *selfless service*. American soldiers never give up on their fellow soldiers, and they never compromise on doing their duty. *Integrity* underlies the character of the Army as well. The warrior ethos requires unrelenting and consistent determination to do what is right and to do it with pride, both in war and military operations other than war. Understanding what is right requires *respect* for both your comrades and other people involved in such complex arenas as peace operations and nation assistance. In such ambiguous situations, decisions to use lethal or nonlethal force severely test judgment and discipline. In whatever conditions Army leaders find themselves, they turn the personal warrior ethos into a collective commitment to win with *honor*.

2-88. The warrior ethos is crucial—and perishable—so the Army must continually affirm, develop, and sustain it. Its martial ethic connects American warriors today with those whose sacrifices have allowed our very existence. The Army's continuing drive to be the best, to triumph over all adversity, and to remain focused on mission accomplishment does more than preserve the Army's institutional culture; it sustains the nation.

2-89. Actions that safeguard the nation occur everywhere you find soldiers. The warrior ethos spurs the lead tank driver across a line of departure into uncertainty. It drives the bone-tired medic continually to put others first. It pushes the sweat-soaked gunner near muscle failure to keep up the fire. It drives the heavily loaded infantry soldier into an icy wind, steadily uphill to the objective. It presses the signaler through fatigue to provide communications. And the warrior ethos urges the truck driver across frozen roads bounded by minefields because fellow soldiers at an isolated outpost need supplies. Such tireless motivation comes in part from the comradeship that springs from the warrior ethos. Soldiers fight for each other; they would rather die than let their buddies down. That loyalty runs front to rear as well as left to right: mutual

support marks Army culture regardless of who you are, where you are, or what you are doing.

2-90. That tight fabric of loyalty to one another and to collective victory reflects perhaps the noblest aspect of our American warrior ethos: the military's subordinate relationship to civilian authority. That subordination began in 1775, was reconfirmed at Newburgh, New York, in 1782, and continues to this day. It's established in the Constitution and makes possible the freedom all Americans enjoy. The Army sets out to achieve national objectives, not its own, for *selfless service* is an institutional as well as an individual value. And in the end, the Army returns its people back to the nation. America's sons and daughters return with their experience as part of a winning team and share that spirit as citizens. The traditions and values of the service derive from a commitment to excellent performance and operational success. They also point to the Army's unwavering commitment to the society we serve. Those characteristics serve America and its citizens—both in and out of uniform—well.

CHARACTER DEVELOPMENT

2-91. People come to the Army with a character formed by their background, religious or philosophical beliefs, education, and experience. Your job as an Army leader would be a great deal easier if you could check the values of a new DA civilian or soldier the way medics check teeth or run a blood test. You could figure out what values were missing by a quick glance at Figure 1-1 and administer the right combination, maybe with an injection or magic pill.

2-92. But character development is a complex, lifelong process. No scientist can point to a person and say, "This is when it all happens." However, there are a few things you can count on. You build character in subordinates by creating organizations in which Army values are not just words in a book but precepts for what their members do. You help build subordinates' character by acting the way you want them to act. You teach by example, and coach along the way. (Appendix E contains additional information on character development.) When you hold yourself and your subordinates to the highest standards, you reinforce the values those standards embody. They spread throughout the team, unit, or organization—throughout the Army—like the waves from a pebble dropped into a pond.

CHARACTER AND ETHICS

2-93. When you talk about character, you help your people answer the question, What kind of person should I be? You must not only embrace Army values and leader attributes but also use them to think, reason, and—after reflection—act. Acting in a situation that tests your character requires moral courage. Consider this example.

The Qualification Report

A battalion in a newly activated division had just spent a great deal of time and effort on weapons qualification. When the companies reported results, the battalion commander could not understand why B and C Companies had reported all machine gunners fully qualified while A Company had not. The A Company Commander said that he could not report his gunners qualified because they had only fired on the 10-meter range and the manual for qualification clearly stated that the gunners had to fire on the transition range as well. The battalion commander responded that since the transition range was not built yet, the gunners should be reported as qualified: "They fired on the only range we have. And besides, that's how we did it at Fort Braxton."

Some of the A Company NCOs, who had also been at Fort Braxton, tried to tell their company commander the same thing. But the captain insisted the A Company gunners were not fully qualified, and that's how the report went to the brigade commander.

The Qualification Report (continued)

The brigade commander asked for an explanation of the qualification scores. After hearing the A Company Commander's story, he agreed that the brigade would be doing itself no favors by reporting partially qualified gunners as fully qualified. The incident also sent a message to division: get that transition range built.

The A Company Commander's choice was not between loyalty to his battalion commander and honesty; doing the right thing here meant being loyal and honest. And the company commander had the moral courage to be both honest and loyal—loyal to the Army, loyal to his unit, and loyal to his soldiers.

2-94. The A Company Commander made his decision and submitted his report without knowing how it would turn out. He didn't know the brigade commander would back him up, but he reported his company's status relative to the published Army standard anyway. He insisted on reporting the truth—which took character—because it was the right thing to do.

2-95. Character is important in living a consistent and moral life, but character doesn't always provide the final answer to the specific question, What should I do now? Finding that answer can be called ethical reasoning. Chapter 4 outlines a process for ethical reasoning. When you read it, keep in mind that the process is much more complex than the steps indicate and that you must apply your own values, critical reasoning skills, and imagination to the situation. There are no formulas that will serve every time; sometimes you may not even come up with an answer that completely satisfies you. But if you embrace Army values and let them govern your actions, if you learn from your experiences and develop your skills over time, you're as prepared as you can be to face the tough calls.

2-96. Some people try to set different Army values against one another, saying a problem is about loyalty versus honesty or duty versus respect. Leadership is more complicated than that; the world isn't always black and white. If it were, leadership would be easy and anybody could do it. However, in the vast majority of cases, Army values are perfectly compatible; in fact, they reinforce each other.

CHARACTER AND ORDERS

2-97. Making the right choice and acting on it when faced with an ethical question can be difficult. Sometimes it means standing your ground. Sometimes it means telling your boss you think the boss is wrong, like the finance supervisor in Chapter 1 did. Situations like these test your character. But a situation in which you think you've received an illegal order can be even more difficult.

2-98. In Chapter 1 you read that a good leader executes the boss's decision with energy and enthusiasm. The only exception to this principle is your duty to disobey illegal orders. This isn't a privilege you can conveniently claim, but a duty you must perform. If you think an order is illegal, first be sure that you understand both the details of the order and its original intent. Seek clarification from the person who gave the order. This takes moral courage, but the question will be straightforward: Did you really mean for me to…steal the part…submit a false report…shoot the prisoners? If the question is complex or time permits, always seek legal counsel. However, if you must decide immediately—as may happen in the heat of combat make the best judgment possible based on Army values, your experience, and your previous study and reflection. You take a risk when you disobey what you believe to be an illegal order. It may be the most difficult decision you'll ever make, but that's what leaders do.

2-99. While you'll never be completely prepared for such a situation, spending time reflecting on Army values and leader attributes may help. Talk to your superiors, particularly those who

have done what you aspire to do or what you think you'll be called on to do; providing counsel of this sort is an important part of mentoring (which Chapter 5 discusses). Obviously, you need to make time to do this before you're faced with a tough call. When you're in the middle of a firefight, you don't have time to reflect.

CHARACTER AND BELIEFS

2-100. What role do beliefs play in ethical matters? Beliefs are convictions people hold as true; they are based on their upbringing, culture, heritage, families, and traditions. As a result, different moral beliefs have been and will continue to be shaped by diverse religious and philosophical traditions. You serve a nation that takes very seriously the notion that people are free to choose their own beliefs and the basis for those beliefs. In fact, America's strength comes from that diversity. The Army respects different moral backgrounds and personal convictions—as long as they don't conflict with Army values.

2-101. Beliefs matter because they are the way people make sense of what they experience. Beliefs also provide the basis for personal values; values are moral beliefs that shape a person's behavior. Effective leaders are careful not to require their people to violate their beliefs by ordering or encouraging any illegal or unethical action.

2-102. The Constitution reflects our deepest national values. One of these values is the guarantee of freedom of religion. While religious beliefs and practices are left to individual conscience, Army leaders are responsible for ensuring their soldiers' right to freely practice their religion. Title 10 of the United States Code states, "Each commanding officer shall furnish facilities, including necessary transportation, to any chaplain assigned to his command, to assist the chaplain in performing his duties." What does this mean for Army leaders? The commander delegates staff responsibility to the chaplain for programs to enhance spiritual fitness since many people draw moral fortitude and inner strength from a spiritual foundation. At the same time, no leader may apply undue influence or coerce others in matters of religion—whether to practice or not to practice specific religious beliefs. (The first ten amendments to the Constitution are called the Bill of Rights. Freedom of religion is guaranteed by the First Amendment, an indication of how important the Founders considered it. You can read the Bill of Rights in Appendix F.)

2-103. Army leaders also recognize the role beliefs play in preparing soldiers for battle. Soldiers often fight and win over tremendous odds when they are convinced of the ideals (beliefs) for which they are fighting. Commitment to such beliefs as justice, liberty, freedom, and not letting down your fellow soldier can be essential ingredients in creating and sustaining the will to fight and prevail. A common theme expressed by American PWs during the Vietnam Conflict was the importance of values instilled by a common American culture. Those values helped them to withstand torture and the hardships of captivity.

SECTION II

COMPETENCE: WHAT A LEADER MUST KNOW

The American soldier…demands professional competence in his leaders. In battle, he wants to know that the job is going to be done right, with no unnecessary casualties. The noncommissioned officer wearing the chevron is supposed to be the best soldier in the platoon and he is supposed to know how to perform all the duties expected of him. The American soldier expects his sergeant to be able to teach him how to do his job. And he expects even more from his officers.

General of the Army Omar N. Bradley

2-104. Army values and leader attributes form the foundation of the character of soldiers and DA civilians. Character, in turn, serves as the basis of knowing (competence) and doing

(leadership). The self-discipline that leads to teamwork is rooted in character. In the Army, teamwork depends on the actions of competent leaders of proven character who know their profession and act to improve their organizations. The best Army leaders constantly strive to improve, to get better at what they do. Their self-discipline focuses on learning more about their profession and continually getting the team to perform better. They build competence in themselves and their subordinates. Leader skills increase in scope and complexity as one moves from direct leader positions to organizational and strategic leader positions. Chapters 4, 6, and 7 discuss in detail the different skills direct, organizational, and strategic leaders require.

2-105. Competence results from hard, realistic training. That's why Basic Training starts with simple skills, such as drill and marksmanship. Soldiers who master these skills have a couple of victories under their belts. The message from the drill sergeants—explicit or not—is, "You've learned how to do those things; now you're ready to take on something tougher." When you lead people through progressively more complex tasks this way, they develop the confidence and will—the inner drive—to take on the next, more difficult challenge.

Figure 2-3. Leader Skills

2-106. For you as an Army leader, competence means much more than being well-trained. Competence links character (knowing the right thing to do) and leadership (doing or influencing your people to do the right thing). Leaders are responsible for being personally competent, but even that isn't enough: as a leader, you're responsible for your subordinates' competence as well.

2-107. Figure 2-3 highlights the four categories containing skills an Army leader must KNOW:

- **Interpersonal skills** affect how you deal with people. They include coaching, teaching, counseling, motivating, and empowering.
- **Conceptual skills** enable you to handle ideas. They require sound judgment as well as the ability to think creatively and reason analytically, critically, and ethically.
- **Technical skills** are job-related abilities. They include basic soldier skills. As an Army leader, you must possess the expertise necessary to accomplish all tasks and functions you're assigned.
- **Tactical skills** apply to solving tactical problems, that is, problems concerning employment of units in combat. You enhance tactical skills when you combine them with interpersonal, conceptual, and technical skills to accomplish a mission.

2-108. Leaders in combat combine interpersonal, conceptual, technical, and tactical skills to accomplish the mission. They use their interpersonal skills to communicate their intent effectively and motivate their soldiers. They apply their conceptual skills to determine viable concepts of operations, make the right decisions, and execute the tactics the operational environment requires. They capitalize on their technical skills to properly employ the techniques, procedures, fieldcraft, and equipment that fit the situation. Finally, combat leaders employ tactical skill, combining skills from the other skill categories with knowledge of the art of tactics appropriate to their level of responsibility and unit type to accomplish the mission. When plans go wrong and leadership must turn the tide, it is tactical skill, combined with

character, that enables an Army leader to seize control of the situation and lead the unit to mission accomplishment.

2-109. The Army leadership framework draws a distinction between developing skills and performing actions. Army leaders who take their units to a combat training center (CTC) improve their skills by performing actions—by doing their jobs on the ground in the midst of intense simulated combat. But they don't wait until they arrive at the CTC to develop their skills; they practice ahead of time in command post exercises, in combat drills, on firing ranges, and even on the physical training (PT) field.

2-110. Your leader skills will improve as your experience broadens. A platoon sergeant gains valuable experience on the job that will help him be a better first sergeant. Army leaders take advantage of every chance to improve: they look for new learning opportunities, ask questions, seek training opportunities, and request performance critiques.

SECTION III

LEADERSHIP: WHAT A LEADER MUST DO

He gets his men to go along with him because they want to do it for him and they believe in him.

General of the Army Dwight D. Eisenhower

Figure 2-4. Leader Actions

2-111. Leaders act. They bring together everything they are, everything they believe, and everything they know how to do to provide purpose, direction, and motivation. Army leaders work to influence people, operate to accomplish the mission, and act to improve their organization. This section introduces leader actions. Chapters 5, 6, and 7 discuss them more fully. As with leader skills, leader actions increase in scope and complexity as you move from direct leader positions to organizational and strategic leader positions.

2-112. Developing the right values, attributes, and skills is only preparation to lead. Leadership doesn't begin until you act. Leaders who live up to Army values, who display leader attributes, who are competent, who act at all times as they would have their people act, will succeed. Leaders who talk a good game but can't back their words with actions will fail in the long run.

INFLUENCING

2-113. Army leaders use interpersonal skills to guide others toward a goal. Direct leaders most often influence subordinates face to face—such as when a team leader gives instructions, recognizes achievement, and encourages hard work. Organizational and strategic leaders also influence their immediate subordinates and staff face to face; however, they guide their organizations primarily by indirect influence. Squad leaders, for example, know what their division commander wants, not because the general has briefed each one personally, but because his intent is passed through the chain of command. Influencing actions fall into these categories:

- **Communicating** involves displaying good oral, written, and listening skills for individuals and groups.
- **Decision making** involves selecting the line of action intended to be followed as the one most favorable to the successful accomplishment of the mission. This involves using sound judgment, reasoning logically, and managing resources wisely.
- **Motivating** involves inspiring and guiding others toward mission accomplishment.

OPERATING

2-114. Operating is what you do to accomplish the immediate mission, to get the job done on time and to standard. Operating actions fall into these categories:

- **Planning and preparing** involve developing detailed, executable plans that are feasible, acceptable, and suitable; arranging unit support for the exercise or operation; and conducting rehearsals. During tactical operations, decision making and planning are enhanced by two methodologies: the military decision making process (MDMP) and the troop leading procedures (TLP). Battalion and higher echelons follow the MDMP. Company and lower echelons follow the TLP. (FM 101-5 discusses the MDMP.)
- **Executing** involves meeting mission standards, taking care of people, and efficiently managing resources.
- **Assessing** involves evaluating the efficiency and effectiveness of any system or plan in terms of its purpose and mission.

2-115. Leaders assess, or judge, performance so they can determine what needs to be done to sustain the strong areas and improve weak ones. This kind of forward thinking is linked to the last leader action, improving.

IMPROVING

2-116. Good leaders strive to leave an organization better than they found it. A child struggling to understand why it is better to put money in a piggy bank is learning what leaders know: plan and sacrifice now for the sake of the future. All leaders are tempted to focus on the short-term gain that makes them and their organizations look good today: "Why bother to fix it now? By the time next year rolls around, it will be someone else's problem." But that attitude doesn't serve either your subordinates or the Army well. When an organization sacrifices important training with long-term effects—say, training that leads to true marksmanship skill—and focuses exclusively on short-term appearances—such as qualification scores—the organization's capabilities suffers.

2-117. The results of shortsighted priorities may not appear immediately, but they will appear. Loyalty to your people as well as the Army as an institution demands you consider the long-term effects of your actions. Some of your people will remain in the organization after you've moved on. Some will still be in the Army after you're long gone. Soldiers and DA civilians tomorrow must live with problems leaders don't fix today.

2-118. Army leaders set priorities and balance competing demands. They focus their organizations' efforts on short- and long-term goals while continuing to meet requirements that may or may not contribute directly to achieving those goals. In the case of weapons proficiency, qualification is a requirement but true marksmanship skill is the goal. For battlefield success, soldiers need training that leads to understanding and mastery of technical and tactical skills that hold up under the stress of combat. Throw in all the other things vying for an organization's time and resources and your job becomes even more difficult. Guidance from higher headquarters may help, but you must make the tough calls. Improving actions fall into these categories:

- **Developing** involves investing adequate time and effort to develop individual subordinates as leaders. It includes mentoring.
- **Building** involves spending time and resources to improve teams, groups, and units and to foster an ethical climate.
- **Learning** involves seeking self-improvement and organizational growth. It includes envisioning, adapting, and leading change.

SUMMARY

2-119. As an Army leader, leadership in combat is your primary and most important challenge. It requires you to accept a set of values that contributes to a core of motivation and will. If you fail to accept and live these Army values, your soldiers may die unnecessarily and you may fail to accomplish your mission.

2-120. What must you, as an Army leader, BE, KNOW, and DO? You must have character, that combination of values and attributes that underlie your ability to see what needs to be done, decide to do it, and influence others to follow you. You must be competent, that is, possess the knowledge and skills required to do your job right. And you must lead, take the proper actions to accomplish the mission based on what your character tells you is ethically right and appropriate for the situation.

2-121. Leadership in combat, the greatest challenge, requires a basis for your motivation and will. That foundation is Army values. In them are rooted the basis for the character and self-discipline that generate the will to succeed and the motivation to persevere. From this motivation derives the lifelong work of self-development in the skills that make a successful Army leader, one who walks the talk of BE, KNOW, DO. Chapter 3 examines the environment that surrounds your people and how what you do as a leader affects it. Understanding the human dimension is essential to mastering leader skills and performing leader actions.

Chapter 3

The Human Dimension

All soldiers are entitled to outstanding leadership; I will provide that leadership. I know my soldiers and I will always place their needs above my own. I will communicate consistently with my soldiers and never leave them uninformed.

Creed of the Noncommissioned Officer

3-1. Regardless of the level, keep in mind one important aspect of leadership: you lead people. In the words of former Army Chief of Staff Creighton W. Abrams,

The Army is not made up of people; the Army is people…living, breathing, serving human beings. They have needs and interests and desires. They have spirit and will, strengths and abilities. They have weaknesses and faults, and they have means. They are the heart of our preparedness…and this preparedness—as a nation and as an Army—depends upon the spirit of our soldiers. It is the spirit that gives the Army…life. Without it we cannot succeed.

3-2. GEN Abrams could not have been more clear about what's important. To fully appreciate the human dimension of leadership, you must understand two key elements: *leadership* itself and the *people* you lead. Leadership—what this manual is about—is far from an exact science; every person and organization is different. Not only that, the environment in which you lead is shaped first by who you are and what you know; second, by your people and what they know; and third, by everything that goes on around you.

3-3. This chapter examines this all-important human dimension. Later chapters discuss the levels of Army leadership and the skills and actions required of leaders at each level.

PEOPLE, THE TEAM, AND THE INSTITUTION

3-4. Former Army Chief of Staff John A. Wickham Jr. described the relationship between the people who are the Army and the Army as an institution this way:

The Army is an institution, not an occupation. Members take an oath of service to the nation and the Army, rather than simply accept a job…the Army has moral and ethical obligations to those who serve and their families; they, correspondingly, have responsibilities to the Army.

3-5. The Army has obligations to soldiers, DA civilians, and their families that most organizations don't have; in return, soldiers and DA civilians have responsibilities to the Army that far exceed those of an employee to most employers. This relationship, one of mutual obligation and responsibility, is at the very center of what makes the Army a team, an institution rather than an occupation.

3-6. Chapter 2 discussed how the Army can't function except as a team. This team identity doesn't come about just because people take an

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oath or join an organization; you can't force a team to come together any more than you can force a plant to grow. Rather, the team identity comes out of mutual respect among its members and a trust between leaders and subordinates. That bond between leaders and subordinates likewise springs from mutual respect as well as from discipline. The highest form of discipline is the willing obedience of subordinates who trust their leaders, understand and believe in the mission's purpose, value the team and their place in it, and have the will to see the mission through. This form of discipline produces individuals and teams who—in the really tough moments—come up with solutions themselves.

Soldiers Are Our Credentials

In September 1944 on the Cotentin Peninsula in France, the commander of a German stronghold under siege by an American force sent word that he wanted to discuss surrender terms. German MG Hermann Ramcke was in his bunker when his staff escorted the assistant division commander of the US 8th Infantry Division down the concrete stairway to the underground headquarters. MG Ramcke addressed BG Charles D. W. Canham through an interpreter: "I am to surrender to you. Let me see your credentials." Pointing to the dirty, tired, disheveled—but victorious—American infantrymen who had accompanied him and were now crowding the dugout entrance, the American officer replied, "These are my credentials."

DISCIPLINE

I am confident that an army of strong individuals, held together by a sound discipline based on respect for personal initiative and rights and dignity of the individual, will never fail this nation in time of need.

General J. Lawton Collins
Former Army Chief of Staff

3-7. People are our most important resource; soldiers are in fact our "credentials." Part of knowing how to use this most precious resource is understanding the stresses and demands that influence people.

3-8. One sergeant major has described discipline as "a moral, mental, and physical state in which all ranks respond to the will of the [leader], whether he is there or not." Disciplined people take the right action, even if they don't feel like it. True discipline demands habitual and reasoned obedience, an obedience that preserves initiative and works, even when the leader isn't around. Soldiers and DA civilians who understand the purpose of the mission, trust the leader, and share Army values will do the right thing because they're truly committed to the organization.

3-9. Discipline doesn't just mean barking orders and demanding an instant response—it's more complex than that. You build discipline by training to standard, using rewards and punishment judiciously, instilling confidence in and building trust among team members, and creating a knowledgeable collective will. The confidence, trust, and collective will of a disciplined, cohesive unit is crucial in combat.

3-10. You can see the importance of these three characteristics in an example that occurred during the 3 October 1993 American raid in Somalia. One soldier kept fighting despite his wounds. His comrades remembered that he seemed to stop caring about himself, that he had to keep fighting because the other guys—his buddies—were all that mattered. When things go badly, soldiers draw strength from their own and their unit's discipline; they know that other members of the team are depending on them.

3-11. Soldiers—like those of Task Force Ranger in Somalia (which you'll read about later in this chapter) and SGT Alvin York (whose story is in Chapter 5)—persevere in tough situations. They fight through because

they have confidence in themselves, their buddies, their leaders, their equipment, and their training—and because they have discipline and will. A young sergeant who participated in Operation Uphold Democracy in Haiti in 1994 asserted this fact when interviewed by the media. The soldier said that operations went well because his unit did things just the way they did them in training and that his training never let him down.

3-12. Even in the most complex operations, the performance of the Army comes down to the training and disciplined performance of individuals and teams on the ground. One example of this fact occurred when a detachment of American soldiers was sent to guard a television tower in Udrigovo, Bosnia-Herzegovina.

3-13. After the soldiers had assumed their posts, a crowd of about 100 people gathered, grew to about 300, and began throwing rocks at the Americans. However, the soldiers didn't overreact. They prevented damage to the tower without creating an international incident. There was no "Boston Massacre" in Udrigovo. The discipline of American soldiers sent into this and other highly volatile situations in Bosnia kept the lid on that operation. The bloody guerrilla war predicted by some didn't materialize. This is a testament to the professionalism of today's American soldiers—your soldiers—and the quality of their leaders—you.

MORALE

NSDQ [Night Stalkers Don't Quit]

Motto of the 160th Special Operations Aviation Regiment, "The Night Stalkers"
Message sent by Chief Warrant Officer Mike Durant, held by Somali guerrillas, to his wife, October 1993

3-14. When military historians discuss great armies, they write about weapons and equipment, training and the national cause. They may mention sheer numbers (Voltaire said, "God is always on the side of the heaviest battalions") and all sorts of other things that can be analyzed, measured, and compared. However, some also write about another factor equally important to success in battle, something that can't be measured: the emotional element called morale.

3-15. Morale is the human dimension's most important intangible element. It's a measure of how people feel about themselves, their team, and their leaders. High morale comes from good leadership, shared hardship, and mutual respect. It's an emotional bond that springs from common values like loyalty to fellow soldiers and a belief that the organization will care for families. High morale results in a cohesive team that enthusiastically strives to achieve common goals. Leaders know that morale, the essential human element, holds the team together and keeps it going in the face of the terrifying and dispiriting things that occur in war.

You have a comradeship, a rapport that you'll never have again…There's no competitiveness, no money values. You trust the man on your left and your right with your life.

Captain Audie Murphy
Medal of Honor recipient and most decorated American soldier of World War II

TAKING CARE OF SOLDIERS

Readiness is the best way of truly taking care of soldiers.

Former Sergeant Major of the Army
Richard A. Kidd

3-16. Sending soldiers in harm's way, into places where they may be killed or wounded, might seem to contradict all the emphasis on taking care of soldiers. Does it? How can you truly care for your comrades and send them on missions that might get them killed? Consider this important and fundamental point as you read the next few paragraphs.

3-17. Whenever the talk turns to what leaders do, you'll almost certainly hear someone say, "Take care of your soldiers." And that's good advice. In fact, if you add one more clause, "Accomplish the mission *and* take care of your soldiers," you have guidance for a career. But "taking care of soldiers" is one of those slippery phrases, like the word "honor," that lots of people talk about but few take the trouble to explain. So what does taking care of soldiers mean?

3-18. Taking care of soldiers means creating a disciplined environment where they can learn and grow. It means holding them to high standards, training them to do their jobs so they can function in peace and win in war. You take care of soldiers when you treat them fairly, refuse to cut corners, share their hardships, and set the example. Taking care of soldiers encompasses everything from making sure a soldier has time for an annual dental exam to visiting off-post housing to make sure it's adequate. It also means providing the family support that assures soldiers their families will be taken care of, whether the soldier is home or deployed. Family support means ensuring there's a support group in place, that even the most junior soldier and most inexperienced family members know where to turn for help when their soldier is deployed.

3-19. Taking care of soldiers also means demanding that soldiers do their duty, even at the risk of their lives. It doesn't mean coddling them or making training easy or comfortable. In fact, that kind of training can get soldiers killed. Training must be rigorous and as much like combat as is possible while being safe. Hard training is one way of preparing soldiers for the rigors of combat. Take care of soldiers by giving them the training, equipment, and support they need to keep them alive in combat.

3-20. In war, soldiers' comfort is important because it affects morale and combat effectiveness, but comfort takes a back seat to the mission. Consider this account of the 1944 landings on the island of Leyte in the Philippines, written more than 50 years later by Richard Gerhardt. Gerhardt, who was an 18-year-old rifleman in the 96th Infantry Division, survived two amphibious landings and months of close combat with the Japanese.

The 96th Division on Leyte

By the time we reached the beach, the smoke and dust created by the preparation fire had largely dissipated and we could see the terrain surrounding the landing area, which was flat and covered with some underbrush and palm trees. We were fortunate in that our sector of the beach was not heavily defended, and in going ashore there were few casualties in our platoon. Our company was engaged by small arms fire and a few mortar rounds, but we were able to move forward and secure the landing area in short order. Inland from the beach, however, the terrain turned into swamps, and as we moved ahead it was necessary to wade through muck and mud that was knee-deep at times.…Roads in this part of the island were almost nonexistent, with the area being served by dirt trails around the swamps, connecting the villages.…The Japanese had generally backed off the beaches and left them lightly defended, setting up their defense around certain villages which were at the junctions of the road system, as well as dug-in positions at points along the roads and trails. Our strategy was to…not use the roads and trails, but instead to move through the swamps and rice paddies and attack the enemy strong points from directions not as strongly defended. This was slow, dirty, and extremely fatiguing, but by this tactic we reduced our exposure to the enemy defensive plan, and to heavy fire from their strong points. It must be recognized that in combat the comfort of the front-line troops isn't part of the…planning process, but only what they can endure and still be effective. Conditions that seriously [affect] the combat efficiency of the troops then become a factor.

3-21. Gerhardt learned a lifetime's worth of lessons on physical hardship in the Pacific. Mud, tropical heat, monsoon rains, insects, malaria, Japanese snipers, and infiltrators—the details are still clear in his mind half a century later. Yet he knows—and he tells you—that soldiers must endure physical hardship when the best plan calls for it. In the Leyte campaign, the best plan was extremely difficult to execute, but it was tactically sound and it saved lives.

3-22. This concept doesn't mean that leaders sit at some safe, dry headquarters and make plans without seeing what their soldiers are going through, counting on them to tough out any situation. Leaders know that graphics on a map symbolize soldiers going forward to fight. Leaders get out with the soldiers to see and feel what they're experiencing as well as to influence the battle by their presence. (Gerhardt and numerous other front-line writers refer to the rear echelon as "anything behind my foxhole.") Leaders who stay a safe distance from the front jeopardize operations because they don't know what's going on. They risk destroying their soldiers' trust, not to mention their unit.

The K Company Visit

1LT Harold Leinbaugh, commander of Company, 333d Infantry Regiment, 84th Division,related this experience from the ETO in January,1945, during the coldest winter in Europe in nearly 50 years:

On a front-line visit, the battalion commander criticized 1LT Leinbaugh and CPT Jay Prophet, the A Company Commander, for their own and their men's appearance. He said it looked like no one had shaved for a week. 1LT Leinbaugh replied that there was no hot water. Sensing a teaching moment, the colonel responded: "Now if you men would save some of your morning coffee it could be used for shaving." Stepping over to a snowbank, 1LT Leinbaugh picked up a five-gallon GI [general issue] coffee can brought up that morning, and shook it in the colonel's face. The frozen coffee produced a thunk. 1LT Leinbaugh shook it again.

"That's enough," said the colonel,"…I can hear."

3-23. This example illustrates three points:

- The importance of a leader going to where the action is to see and feel what's really going on.
- The importance of a first-line leader telling the boss something he doesn't want to hear.
- The importance of a leader accepting information that doesn't fit his preconceived notions.

3-24. Soldiers are extremely sensitive to situations where their leaders are not at risk, and they're not likely to forget a mistake by a leader they haven't seen. Leaders who are out with their soldiers—in the same rain or snow, under the same blazing sun or in the same dark night, under the same threat of enemy artillery or small arms fire—will not fall into the trap of ignorance. Those who lead from the front can better motivate their soldiers to carry on under extreme conditions.

3-25. Taking care of soldiers is every leader's business. A DA civilian engineering team chief volunteered to oversee the installation of six Force Provider troop life support systems in the vicinity of Tuzla, Bosnia-Herzogovina. Using organizational skills, motivational techniques, and careful supervision, the team chief ensured that the sites were properly laid out, integrated, and installed. As a result of thorough planning and the teamwork the DA civilian leader generated, the morale and quality of life of over 5,000 soldiers were significantly improved.

COMBAT STRESS

All men are frightened. The more intelligent they are, the more they are frightened. The courageous man is the man who forces himself, in spite of his fear, to carry on.

General George S. Patton Jr.
War As I Knew It

3-26. Leaders understand the human dimension and anticipate soldiers' reactions to stress, especially to the tremendous stress of combat. The answers may look simple as you sit somewhere safe and read this manual, but be sure easy answers don't come in combat. However, if you think about combat stress and its effects on you and your soldiers ahead of time, you'll be less surprised and better prepared to deal with and reduce its effects. It takes mental discipline to imagine the unthinkable—the plan going wrong, your soldiers wounded or dying, and the enemy coming after YOU. But in combat all of these things can happen, and your soldiers expect you, their leader, to have thought through each of them. Put yourself in the position of the squad leader in the following example.

Task Force Ranger in Somalia, 1993

"Sarge" was a company favorite, a big powerful kid from New Jersey who talked with his hands and played up his "Joy-zee" accent. He loved practical jokes. One of his favorites was to put those tiny charges in guys' cigarettes, the kind that would explode with a loud "POP " about halfway through a smoke. If anyone else had done it, it would have been annoying; Sarge usually got everyone to laugh—even the guy whose cigarette he destroyed.

During the 3 October 1993 raid in Mogadishu, Sarge was manning his Humvee's .50 cal when he was hit and killed. The driver and some of the guys in back screamed, "He's dead He's dead " They panicked and were not responding as their squad leader tried to get someone else up and behind the gun. The squad leader had to yell at them, "Just calm down We've got to keep fighting or none of us will get back alive."

3-27. Consider carefully what the squad leader did. First he told his squad to calm down. Then he told them why it was important: they had to continue the fight if they wanted to make it back to their base alive. In this way he jerked his soldiers back to a conditioned response, one that had been drilled during training and that took their minds off the loss. The squad leader demonstrated the calm, reasoned leadership under stress that's critical to mission success. In spite of the loss, the unit persevered.

WILL AND WINNING IN BATTLE

3-28. The Army's ultimate responsibility is to win the nation's wars. And what is it that carries soldiers through the terrible challenges of combat? It's the will to win, the ability to gut it out when things get really tough, even when things look hopeless. It's the will not only to persevere but also to find workable solutions to the toughest problems. This drive is part of the warrior ethos, the ability to forge victory out of the chaos of battle—to overcome fear, hunger, deprivation, and fatigue and accomplish the mission. And the will to win serves you just as well in peacetime, when it's easy to become discouraged, feel let down, and spend your energy complaining instead of using your talents to make things better. Discipline holds a team together; the warrior ethos motivates its members—you and your people—to continue the mission.

3-29. All soldiers are warriors: all need to develop and display the will to win—the desire to do their job well—to persevere, no matter what the circumstances. The Army is a team, and all

members' contributions are essential to mission accomplishment. As an Army leader, you're responsible for developing this sense of belonging in your subordinates. Not only that; it's your job to inculcate in your people the winning spirit—the commitment to do their part to accomplish the mission, no matter when, no matter where, no matter what.

3-30. Army operations often involve danger and therefore fear. Battling the effects of fear has nothing to do with denying it and everything to do with recognizing fear and handling it. Leaders let their subordinates know, "You can expect to be afraid; here's what we'll do about it." The Army standard is to continue your mission to successful completion, as GEN Patton said, in spite of your fears. But saying this isn't going to make it happen. Army leaders expect fear to take hold when things go poorly, setbacks occur, the unit fails to complete a mission, or there are casualties. The sights and sounds of the modern battlefield are terrifying. So is fear of the unknown. Soldiers who see their buddies killed or wounded suddenly have a greater burden: they become aware of their own mortality. On top of all these obvious sources of fear is the insecurity before battle that many veterans have written about: "Will I perform well or will I let my buddies down?"

3-31. In the October 1993 fight in Somalia, one soldier who made it back to the safety of the American position was told to prepare to go back out; there were other soldiers in trouble. He had just run a gauntlet of fire, had just seen his friends killed and wounded, and was understandably afraid. "I can't go back out there," he told his sergeant. The leader reassured the soldier while reminding him of the mission and his responsibility to the team: "I know you're scared…I'm scared…I've never been in a situation like this, either. But we've got to go. It's our job. The difference between being a coward and a man isn't whether you're scared; it's what you do while you're scared." That frightened soldier probably wasn't any less afraid, but he climbed back on the vehicle and went out to rescue the other American soldiers.

3-32. Will and a winning spirit apply in more situations than those requiring physical courage; sometimes you'll have to carry on for long periods in very difficult situations. The difficulties soldiers face may not be ones of physical danger, but of great physical, emotional, and mental strain. Physical courage allowed the soldier in the situation described above to return to the fight; will allowed his leader to say the right thing, to influence his frightened subordinate to do the right thing. Physical courage causes soldiers to charge a machine gun; will empowers them to fight on when they're hopelessly outnumbered, under appalling conditions, and without basic necessities.

STRESS IN TRAINING

When the bullets started flying…I never thought about half the things I was doing. I simply relied on my training and concentrated on the mission.

Captain Marie Bezubic
Operation Just Cause, Panama

3-33. Leaders must inject stress into training to prepare soldiers for stress in combat. However, creating a problem for subordinates and having them react to it doesn't induce the kind of stress required for combat training. A meaningful and productive mission, given with detailed constraints and limitations plus high standards of performance, does produce stress. Still, leaders must add unanticipated conditions to that stress to create a real learning environment. Sometimes, you don't even have to add stress; it just happens, as in this example.

Mix-up at the Crossroads

A young transportation section chief was leading a convoy of trucks on a night move to link up with several rifle companies. He was to transport the infantry to a new assembly area. When a sudden rainstorm dropped visibility to near zero, the section chief was especially glad that he had carefully briefed his drivers, issued strip maps, and made contingency plans. At a road intersection, his northbound convoy passed through an artillery battery moving east. When his convoy reached the rendezvous and the section chief got out to check his vehicles, he found he was missing two of his own trucks but had picked up three others towing howitzers. The tired and wet infantry commander was concerned that his unit would be late crossing the line of departure and forcefully expressed that concern to the section chief. The section chief now had to accomplish the same mission with fewer resources as well as run down his lost trucks and soldiers. There was certainly enough stress to go around.

After the section chief sent one of his most reliable soldiers with the artillery vehicles to find his missing trucks, he started shuttling the infantrymen to their destination. Later, after the mission was accomplished, the section chief and his drivers talked about what had happened. The leader admitted that he needed to supervise a convoy more closely under difficult conditions, and his soldiers recognized the need to follow the part of the unit SOP concerning reduced visibility operations.

3-34. The section chief fixed the immediate problem by starting to shuttle the infantry soldiers in the available trucks. During the AAR with the drivers, the leader admitted a mistake and figured out how to prevent similar errors in the future. The section chief also let the team know that sometimes, in spite of the best plans, things go wrong. A well-trained organization doesn't buckle under stress but deals with any setbacks and continues the mission.

THE STRESS OF CHANGE

3-35. Since the end of the Cold War, the Army has gone through tremendous change—dramatic decreases in the number of soldiers and DA civilians in all components, changes in assignment policies, base closings, and a host of other shifts that put stress on soldiers, DA civilians, and families. In those same years, the number of deployments to support missions such as peace operations and nation assistance has increased. And these changes have occurred in a peacetime Army. At the same time, Army leaders have had to prepare their soldiers for the stresses of combat, the ultimate crucible.

3-36. The stresses of combat you read about earlier in this chapter are classic: they've been the same for centuries. However, there's an aspect of the human dimension that has assumed an increasing importance: the effect of technological advances on organizations and people. Military leaders have always had to deal with the effect of technological changes. What's different today is the rate at which technology, to include warfighting technology, is changing. Rapid advances in new technologies are forcing the Army to change many aspects of the way it operates and are creating new leadership challenges.

TECHNOLOGY AND LEADERSHIP

3-37. Technology's presence challenges all Army leaders. Technology is here to stay and you, as an Army leader, need to continually learn how to manage it and make it work for you. The challenges come from many directions. Among them—

- You need to learn the strengths and vulnerabilities of the different technologies that support your team and its mission.
- You need to think through how your organization will operate with organizations that are less or more technologically complex. This situation may take the form of heavy and light Army units working together, operating with elements of another service, or

cooperating with elements of another nation's armed forces.

- You need to consider the effect of technology on the time you have to analyze problems, make a decision, and act. Events happen faster today, and the stress you encounter as an Army leader is correspondingly greater.

Technological advances have the potential to permit better and more sustainable operations. However, as an Army leader you must remember the limitations of your people. No matter what technology you have or how it affects your mission, it's still your soldiers and DA civilians—their minds, hearts, courage, and talents—that will win the day.

3-38. Advances in electronic data processing let you handle large amounts of information easily. Today's desktop computer can do more, and do it faster, than the room-sized computers of only 20 years ago. Technology is a powerful tool—if you understand its potential uses and limitations. The challenge for all Army leaders is to overcome confusion on a fast-moving battlefield characterized by too much information coming in too fast.

3-39. Army leaders and staffs have always needed to determine mission-critical information, prioritize incoming reports, and process them quickly. The volume of information that current technology makes available makes this skill even more important than in the past. Sometimes something low-tech can divert the flood of technological help into channels the leader and staff can manage. For example, a well-understood commander's intent and thought-through commander's critical information requirements (CCIR) can help free leaders from nonessential information while pushing decisions to lower levels. As an Army leader, you must work hard to overcome the attractiveness and potential pitfalls of centralized decision making that access to information will appear to make practical.

3-40. Technology is also changing the size of the battlefield and the speed of battle. Instant global communications are increasing the pace of military actions. Global positioning systems and night vision capabilities mean the Army can fight at night and during periods of limited visibility—conditions that used to slow things down. Continuous operations increase the mental and physical stress on soldiers and leaders. Nonlinear operations make it more difficult for commanders to determine critical points on the battlefield. Effective leaders develop techniques to identify and manage stress well before actual conflict occurs. They also find ways to overcome the soldier's increased sense of isolation that comes with the greater breadth and depth of the modern battlefield. (FM 100-34 discusses continuous operations. FM 22-51 discusses combat stress control.)

3-41. Modern technology has also increased the number and complexity of skills the Army requires. Army leaders must carefully manage low-density specialties. They need to ensure that critical positions are filled and that their people maintain perishable skills. Army leaders must bring together leadership, personnel management, and training management to ensure their organizations are assigned people with the right specialties and that the entire organization is trained and ready. On top of this, the speed and lethality of modern battle have made mental agility and initiative even more necessary for fighting and winning. As in the past, Army leaders must develop these attributes in their subordinates.

3-42. To some, technology suggests a bloodless battlefield that resembles a computer war game more than the battlefields of the past. That isn't true now and it won't be true in the immediate future. Technology is still directed at answering the same basic questions that Civil War leaders tried to answer when they sent out a line of skirmishers: Where am I? Where are my buddies? Where is the enemy? How do I defeat him? Armed with this information, the soldiers and DA civilians of the Army will continue to accomplish the mission with character, using their technological edge to do the job better, faster, and smarter.

3-43. Modern digital technology can contribute a great deal to the Army leader's understanding of the battlefield; good leaders stay abreast of advances that enhance their tactical abilities. Digital technology has a lot to offer, but don't be

fooled. A video image of a place, an action, or an organization can never substitute for the leader's getting down on the ground with the soldiers to find out what's going on. Technology can provide a great deal of information, but it may not present a completely accurate picture. The only way leaders can see the urgency in the faces of their soldiers is to get out and see them. As with any new weapon, the Army leader must know how to use technology without being seduced by it. Technology may be invaluable; however, effective leaders understand its limits.

3-44. Whatever their feeling regarding technology, today's leaders must contend more and more with an increased information flow and operational tempo (OPTEMPO). Pressures to make a decision increase, even as the time to verify and validate information decreases. Regardless of the crunch, Army leaders are responsible for the consequences of their decisions, so they gather, process, analyze, evaluate—and check—information. If they don't, the costs can be disastrous. (FM 100-34 discusses information management and decision making.)

"Superior Technology"

In the late fall of 1950, as United Nations (UN) forces pushed the North orean People's Army northward, the People's Republic of China prepared to enter the conflict in support of its ally. The UN had air superiority, a marked advantage that had contributed significantly to the UN tactical and operational successes of the summer and early fall. Nonetheless, daily reconnaissance missions over the rugged North orean interior failed to detect the Chinese People's Liberation Army's movement of nearly a quarter of a million ground troops across the border and into position in the North orean mountains.

When the first reports of Chinese soldiers in North orea arrived at Far East Command in Tokyo, intelligence analysts ignored them because they contradicted the information provided by the latest technology—aerial surveillance. Tactical commanders failed to send ground patrols into the mountains. They assumed the photos gave an accurate picture of the enemy situation when, in fact, the Chinese were practicing strict camouflage discipline. When the Chinese attacked in late November, UN forces were surprised, suffered heavy losses, and were driven from the Chinese border back to the 38th parallel.

When GEN Matthew B. Ridgway took over the UN forces in orea in December, he immediately visited the headquarters of every regiment and many of the battalions on the front line. This gave GEN Ridgway an unfiltered look at the situation, and it sent a message to all his commanders: get out on the ground and find out what's going on.

3-45. The Chinese counterattack undid the results of the previous summer's campaign and denied UN forces the opportunity for a decisive victory that may have ended the war. The UN forces, under US leadership, enjoyed significant technological advantages over the Chinese. However, failure to verify the information provided by aerial photography set this advantage to zero. And this failure was one of leadership, not technology. Questioning good news provided by the latest "gee-whiz" system and ordering reconnaissance patrols to go out in lousy weather both require judgment and moral courage: judgment as to when a doubt is reasonable and courage to order soldiers to risk their lives in cold, miserable weather. But Army leaders must make those judgments and give those orders. Technology has not changed that.

3-46. Technology and making the most of it will become increasingly important. Today's Army leaders require systems understanding and more technical and tactical skills. Technical skill: What does this system do? What does it not do? What are its strengths? What are its weaknesses? What must I check? Tactical skill:

How do this system's capabilities support my organization? How should I employ it to support this mission? What must I do if it fails? There's a fine line between a healthy questioning of new systems' capabilities and an unreasoning hostility that rejects the advantages technology offers. You, as an Army leader, must stay on the right side of that line, the side that allows you to maximize the advantages of technology. You need to remain aware of its capabilities and shortcomings, and you need to make sure your people do as well.

LEADERSHIP AND THE CHANGING THREAT

3-47. Another factor that will have a major impact on Army leadership in the near future is the changing nature of the threat. For the Army, the twenty-first century began in 1989 with the fall of the Berlin Wall and subsequent collapse of the Soviet Union. America no longer defines its security interests in terms of a single, major threat. Instead, it faces numerous, smaller threats and situations, any of which can quickly mushroom into a major security challenge.

3-48. The end of the Cold War has increased the frequency and variety of Army missions. Since 1989, the Army has fought a large-scale land war and been continually involved in many different kinds of stability operations and support operations. There has been a greater demand for special, joint, and multinational operations as well. Initiative at all levels is becoming more and more important. In many instances, Army leaders on the ground have had to invent ways of doing business for situations they could not have anticipated.

3-49. Not only that, the importance of direct leaders—NCOs and junior officers—making the right decisions in stressful situations has increased. Actions by direct-level leaders—sergeants, warrant officers, lieutenants, and captains—can have organizational- and strategic-level implications. Earlier in this chapter, you read about the disciplined soldiers and leaders who accomplished their mission of securing a television tower in Udrigovo, Bosnia-Herzegovina. In that case, the local population's perception of how American soldiers secured the tower was just as important as securing the tower itself. Had the American detachment created an international incident by using what could have been interpreted as excessive force, maintaining order throughout Bosnia Herzegovina would have become more difficult. The Army's organizational and strategic leaders count on direct leaders. It has always been important to accomplish the mission the right way the first time; today it's more important than ever.

3-50. The Army has handled change in the past. It will continue to do so in the future as long as Army leaders emphasize the constants—Army values, teamwork, and discipline—and help their people anticipate change by seeking always to improve. Army leaders explain, to the extent of their knowledge and in clear terms, what may happen and how the organization can effectively react if it does. Change is inevitable; trying to avoid it is futile. The disciplined, cohesive organization rides out the tough times and will emerge even better than it started. Leadership, in a very real sense, includes managing change and making it work for you. To do that, you must know what to change and what not to change.

3-51. FM 100-5 provides a doctrinal framework for coping with these challenges while executing operations. It gives Army leaders clues as to what they will face and what will be required of them, but as COL Chamberlain found on Little Round Top, no manual can cover all possibilities. The essence of leadership remains the same: Army leaders create a vision of what's necessary, communicate it in a way that makes their intent clear, and vigorously execute it to achieve success.

CLIMATE AND CULTURE

3-52. Climate and culture describe the environment in which you lead your people. Culture refers to the environment of the Army as an institution and of major elements or communities within it. Strategic leaders maintain the Army's institutional culture. (Chapter 7 discusses their role.) Climate refers to the environment of units and organizations. All organizational and direct leaders establish their organization's climate, whether purposefully or unwittingly. (Chapters 5 and 6 discuss their responsibilities.)

CLIMATE

3-53. Taking care of people and maximizing their performance also depends on the climate a leader creates in the organization. An organization's climate is the way its members feel about their organization. Climate comes from people's shared perceptions and attitudes, what they believe about the day-to-day functioning of their outfit. These things have a great impact on their motivation and the trust they feel for their team and their leaders. Climate is generally short-term: it depends on a network of the personalities in a small organization. As people come and go, the climate changes. When a soldier says "My last platoon sergeant was pretty good, but this new one is great," the soldier is talking about one of the many elements that affect organizational climate.

3-54. Although such a call seems subjective, some very definite things determine climate. The members' collective sense of the organization—its organizational climat —is directly attributable to the leader's values, skills, and actions. As an Army leader, you establish the climate of your organization, no matter how small it is or how large. Answering the following questions can help you describe an organization's climate:

- Does the leader set clear priorities and goals?
- Is there a system of recognition, rewards and punishments? Does it work?
- Do the leaders know what they're doing? Do they admit when they're wrong?
- Do leaders seek input from subordinates? Do they act on the feedback they're provided?
- In the absence of orders, do junior leaders have authority to make decisions that are consistent with the leader's intent?
- Are there high levels of internal stress and negative competition in the organization? If so, what's the leader doing to change that situation?
- Do the leaders behave the way they talk? Is that behavior consistent with Army values? Are they good role models?
- Do the leaders lead from the front, sharing hardship when things get tough?
- Do leaders talk to their organizations on a regular basis? Do they keep their people informed?

3-55. Army leaders who do the right things for the right reasons—even when it would be easier to do the wrong thing—create a healthy organizational climate. In fact, it's the leader's behavior that has the greatest effect on the organizational climate. That behavior signals to every member of the organization what the leader will and will not tolerate. Consider this example.

Changing a Unit Climate—The New Squad Leader

SSG Withers was having a tough week. He had just been promoted to squad leader in a different company; he had new responsibilities, new leaders, and new soldiers. Then, on his second day, his unit was alerted for a big inspection in two days. A quick check of the records let him know that the squad leader before him had let maintenance slip; the records were sloppy and a lot of the scheduled work had not been done. On top of that, SSG Withers was sure his new platoon sergeant didn't like him. SFC ing was professional but gruff, a person of few words. The soldiers in SSG Withers' squad seemed a little afraid of the platoon sergeant.

After receiving the company commander's guidance about the inspection, the squad leaders briefed the platoon sergeant on their plans to get ready. SSG Withers had already determined that he and his soldiers would have to work late. He could have complained about his predecessor, but he thought it would be best just to stick to the facts and talk about what he had found in the squad. For all he knew, the old squad leader might have been a favorite of SFC ing.

SFC ing scowled as he asked, "You're going to work late?"

SSG Withers had checked his plan twice: "Yes, sergeant. I think it's necessary."

SFC ing grunted, but the sound could have meant "okay" or it could have meant "You're being foolish." SSG Withers wasn't sure.

The next day SSG Withers told his soldiers what they would have to accomplish. One of the soldiers said that the old squad leader would have just fudged the paperwork. "No kidding," SSG Withers thought. He wondered if SFC ing knew about it. Of course, there was a good chance he would fail the inspection if he didn't fudge the paperwork—and wouldn't *that* be a good introduction to the new company? But he told his squad that they would do it right: "We'll do the best we can. If we don't pass, we'll do better next time."

SSG Withers then asked his squad for their thoughts on how to get ready. He listened to their ideas and offered some of his own. One soldier suggested that they could beat the other squads by sneaking into the motor pool at night and lowering the oil levels in their vehicles. "SFC ing gives a half day off to whatever squad does best," the soldier explained. SSG Withers didn't want to badmouth the previous squad leader; on the other hand, the squad was his responsibility now. "It'd be nice to win," SSG Withers said, "but we're not going to cheat."

The squad worked past 2200 hours the night before the inspection. At one point SSG Withers found one of the soldiers sleeping under a vehicle. "Don't you want to finish and go home to sleep?" he asked the soldier.

"I…uh…I didn't think you'd still be here," the soldier answered.

"Where else would I be?" replied the squad leader.

The next day, SFC ing asked SSG Withers if he thought his squad's vehicle was going to pass the inspection.

"Not a chance," SSG Withers said.

SFC ing gave another mysterious grunt.

Later, when the inspector was going over his vehicle, SSG Withers asked if his soldiers could follow along. "I want them to see how to do a thorough inspection," he told the inspector. As the soldiers followed the inspector around and learned how to look closely at the vehicle, one of them commented that the squad had never been around for any inspection up to that point. "We were always told to stay away," he said.

Later, when the company commander went over the results of the inspection, he looked up at SSG Withers as he read the failing grade. SSG Withers was about to say, "We'll try harder next time, sir," but he decided that sounded lame, so he said nothing. Then SFC ing spoke up.

"First time that squad has ever failed an inspection," the platoon sergeant said, "but they're already better off than they were the day before yesterday, failing grade and all."

3-56. SFC King saw immediately that things had changed for the better in SSG Withers' squad. The failing grade was real; previous passing grades had not been. The new squad leader told the truth and expected his soldiers to do the same. He was there when his people were working late. He acted to improve the squad's ethical and performance standards (by clearly stating and enforcing them). He moved to teach his soldiers the skills and standards associated with vehicle maintenance (by asking the inspector to show them how to look at a vehicle). And not once did SSG Withers whine that the failing grade was not his fault; instead, he focused on how to make things better. SSG Withers knew how to motivate soldiers to perform to standard and had the strength of character to do the right thing. In addition, he trusted the chain of command to take the long-term view. Because of his decisive actions, based on his character and competence, SSG Withers was well on his way to creating a much healthier climate in his squad.

3-57. No matter how they complain about it, soldiers and DA civilians expect to be held to standard; in the long run they feel better about themselves when they do hard work successfully. They gain confidence in leaders who help them achieve standards and lose confidence in leaders who don't know the standards or who fail to demand performance.

CULTURE

When you're first sergeant, you're a role model whether you know it or not. You're a role model for the guy that will be in your job. Not next month or next year, but ten years from now. Every day soldiers are watching you and deciding if you are the kind of first sergeant they want to be.

An Army First Sergeant
1988

3-58. Culture is a longer lasting, more complex set of shared expectations than climate. While climate is how people feel about their organization right now, culture consists of the shared attitudes, values, goals, and practices that characterize the larger institution. It's deeply rooted in long-held beliefs, customs, and practices. For instance, the culture of the armed forces is different from that of the business world, and the culture of the Army is different from that of the Navy. Leaders must establish a climate consistent with the culture of the larger institution. They also use the culture to let their people know they're part of something bigger than just themselves, that they have responsibilities not only to the people around them but also to those who have gone before and those who will come after.

3-59. Soldiers draw strength from knowing they're part of a tradition. Most meaningful traditions have their roots in the institution's culture. Many of the Army's everyday customs and traditions are there to remind you that you're just the latest addition to a long line of American soldiers. Think of how much of your daily life connects you to the past and to American soldiers not yet born: the uniforms you wear, the martial music that punctuates your day, the way you salute, your title, your organization's history, and Army values such as selfless service. Reminders of your place in history surround you.

3-60. This sense of belonging is vitally important. Visit the Vietnam Memorial in Washington, DC, some Memorial Day weekend and you'll see dozens of veterans, many of them wearing bush hats or campaign ribbons or fatigue jackets decorated with unit patches. They're paying tribute to their comrades in this division or that company. They're also acknowledging what for many of them was the most intense experience of their lives.

3-61. Young soldiers want to belong to something bigger than themselves. Look at them off duty, wearing tee shirts with names of sports teams and famous athletes. It's not as if an 18-year-old who puts on a jacket with a professional sports team's logo thinks anyone will mistake him for a professional player; rather, that soldier wants to be associated with a winner. Advertising and mass media make heroes of rock stars, athletes, and actors. Unfortunately, it's easier to let some magazine or TV show tell you whom to admire than it is to dig up an organization's history and learn about heroes.

3-62. Soldiers want to have heroes. If they don't know about SGT Alvin York in World War I, about COL Joshua Chamberlain's 20th Maine during the Civil War, about MSG Gary Gordon and SFC Randall Shughart in the 1993 Somalia fight, then it's up to you, their leaders, to teach them. (The bibliography lists works you can use to learn more about your profession, its history, and the people who made it.)

3-63. When soldiers join the Army, they become part of a history: the Big Red One, the King of Battle, Sua Sponte. Teach them the history behind unit crests, behind greetings, behind decorations and badges. The Army's culture isn't something that exists apart from you; it's part of who you are, something you can use to give your soldiers pride in themselves and in what they're doing with their lives.

LEADERSHIP STYLES

3-64. You read in Chapter 2 that all people are shaped by what they've seen, what they've learned, and whom they've met. Who you are determines the way you work with other people. Some people are happy and smiling all the time; others are serious. Some leaders can wade into a room full of strangers and inside of five minutes have everyone there thinking, "How have I lived so long without meeting this person?" Other very competent leaders are uncomfortable in social situations. Most of us are somewhere in between. Although Army leadership doctrine describes at great length how you should interact with your subordinates and how you must strive to learn and improve your leadership skills, the Army recognizes that you must always be yourself; anything else comes across as fake and insincere.

3-65. Having said that, effective leaders are flexible enough to adjust their leadership style and techniques to the people they lead. Some subordinates respond best to coaxing, suggestions, or gentle prodding; others need, and even want at times, the verbal equivalent of a kick in the pants. Treating people fairly doesn't mean treating people as if they were clones of one another. In fact, if you treat everyone the same way, you're probably being unfair, because different people need different things from you.

3-66. Think of it this way: Say you must teach map reading to a large group of soldiers ranging in rank from private to senior NCO. The senior NCOs know a great deal about the subject, while the privates know very little. To meet all their needs, you must teach the privates more than you teach the senior NCOs. If you train the privates only in the advanced skills the NCOs need, the privates will be lost. If you make the NCOs sit through training in the basic tasks the privates need, you'll waste the NCOs' time. You must fit the training to the experience of those being trained. In the same way, you must adjust your leadership style and techniques to the experience of your people and characteristics of your organization.

3-67. Obviously, you don't lead senior NCOs the same way you lead privates. But the easiest distinctions to make are those of rank and experience. You must also take into account personalities, self-confidence, self-esteem—all the elements of the complex mix of character traits that makes dealing with people so difficult and so rewarding. One of the many things that makes your job tough is that, in order to get their best performance, you must figure out what your subordinates need and what they're able to do—even when they don't know themselves.

3-68. When discussing leadership styles, many people focus on the extremes: autocratic and democratic. Autocratic leaders tell people what to do with no explanation; their message is, "I'm the boss; you'll do it because I said so." Democratic leaders use their personalities to persuade subordinates. There are many shades in between; the following paragraphs discuss five of them. However, bear in mind that competent leaders mix elements of all these styles to match to the place, task, and people involved. Using different leadership styles in different situations or elements of different styles in the same situation isn't inconsistent. The opposite is true: if you can use only one leadership style,

you're inflexible and will have difficulty operating in situations where that style doesn't fit.

DIRECTING LEADERSHIP STYLE

3-69. The directing style is leader-centered. Leaders using this style don't solicit input from subordinates and give detailed instructions on how, when, and where they want a task performed. They then supervise its execution very closely.

3-70. The directing style may be appropriate when time is short and leaders don't have a chance to explain things. They may simply give orders: Do this. Go there. Move. In fast-paced operations or in combat, leaders may revert to the directing style, even with experienced subordinates. This is what the motor sergeant you read about in Chapter 1 did. If the leader has created a climate of trust, subordinates will assume the leader has switched to the directing style because of the circumstances.

3-71. The directing style is also appropriate when leading inexperienced teams or individuals who are not yet trained to operate on their own. In this kind of situation, the leader will probably remain close to the action to make sure things go smoothly.

3-72. Some people mistakenly believe the directing style means using abusive or demeaning language or includes threats and intimidation. This is wrong. If you're ever tempted to be abusive, whether because of pressure or stress or what seems like improper behavior by a subordinate, ask yourself these questions: Would I want to work for someone like me? Would I want my boss to see and hear me treat subordinates this way? Would I want to be treated this way?

PARTICIPATING LEADERSHIP STYLE

3-73. The participating style centers on both the leader and the team. Given a mission, leaders ask subordinates for input, information, and recommendations but make the final decision on what to do themselves. This style is especially appropriate for leaders who have time for such consultations or who are dealing with experienced subordinates.

3-74. The team-building approach lies behind the participating leadership style. When subordinates help create a plan, it becomes—at least in part—their plan. This ownership creates a strong incentive to invest the effort necessary to make the plan work. Asking for this kind of input is a sign of a leader's strength and self-confidence. But asking for advice doesn't mean the leader is obligated to follow it; the leader alone is always responsible for the quality of decisions and plans.

DELEGATING LEADERSHIP STYLE

3-75. The delegating style involves giving subordinates the authority to solve problems and make decisions without clearing them through the leader. Leaders with mature and experienced subordinates or who want to create a learning experience for subordinates often need only to give them authority to make decisions, the necessary resources, and a clear understanding of the mission's purpose. As always, the leader is ultimately responsible for what does or does not happen, but in the delegating leadership style, the leader holds subordinate leaders accountable for their actions. This is the style most often used by officers dealing with senior NCOs and by organizational and strategic leaders.

TRANSFORMATIONAL AND TRANSACTIONAL LEADERSHIP STYLES

A man does not have himself killed for a few halfpence a day or for a petty distinction. You must speak to the soul in order to electrify the man.

Napoleon Bonaparte

3-76. These words of a distinguished military leader capture the distinction between the transformational leadership style, which focuses on inspiration and change, and the transactional leadership style, which focuses on rewards and punishments. Of course Napoleon understood the importance of rewards and punishments. Nonetheless, he also understood that carrots and sticks alone don't inspire individuals to excellence.

Transformational Leadership Style

3-77. As the name suggests, the transformational style "transforms" subordinates by challenging them to rise above their immediate needs and self-interests. The transformational style is developmental: it emphasizes individual growth (both professional and personal) and organizational enhancement. Key features of the transformational style include empowering and mentally stimulating subordinates: you consider and motivate them first as individuals and then as a group. To use the transformational style, you must have the courage to communicate your intent and then step back and let your subordinates work. You must also be aware that immediate benefits are often delayed until the mission is accomplished.

3-78. The transformational style allows you to take advantage of the skills and knowledge of experienced subordinates who may have better ideas on how to accomplish a mission. Leaders who use this style communicate reasons for their decisions or actions and, in the process, build in subordinates a broader understanding and ability to exercise initiative and operate effectively. However, not all situations lend themselves to the transformational leadership style. The transformational style is most effective during periods that call for change or present new opportunities. It also works well when organizations face a crisis, instability, mediocrity, or disenchantment. It may not be effective when subordinates are inexperienced, when the mission allows little deviation from accepted procedures, or when subordinates are not motivated. Leaders who use only the transformational leadership style limit their ability to influence individuals in these and similar situations.

Transactional Leadership Style

3-79. In contrast, some leaders employ only the transactional leadership style. This style includes such techniques as—

- Motivating subordinates to work by offering rewards or threatening punishment.
- Prescribing task assignments in writing.
- Outlining all the conditions of task completion, the applicable rules and regulations, the benefits of success, and the consequences—to include possible disciplinary actions—of failure.
- "Management-by-exception," where leaders focus on their subordinates' failures, showing up only when something goes wrong.

The leader who relies exclusively on the transactional style, rather than combining it with the transformational style, evokes only short-term commitment from his subordinates and discourages risk-taking and innovation.

3-80. There are situations where the transactional style is acceptable, if not preferred. For example, a leader who wants to emphasize safety could reward the organization with a three-day pass if the organization prevents any serious safety-related incidents over a two-month deployment. In this case, the leader's intent appears clear: unsafe acts are not tolerated and safe habits are rewarded.

3-81. However, using only the transactional style can make the leader's efforts appear self-serving. In this example, soldiers might interpret the leader's attempt to reward safe practices as an effort to look good by focusing on something that's unimportant but that has the boss's attention. Such perceptions can destroy the trust subordinates have in the leader. Using the transactional style alone can also deprive subordinates of opportunities to grow, because it leaves no room for honest mistakes.

3-82. The most effective leaders combine techniques from the transformational and transactional leadership styles to fit the situation. A strong base of transactional understanding supplemented by charisma, inspiration and individualized concern for each subordinate, produces the most enthusiastic and genuine response. Subordinates will be more committed, creative, and innovative. They will also be more likely to take calculated risks to accomplish their mission. Again referring to the safety example, leaders can avoid any misunderstanding of their intent by combining transformational techniques with transactional techniques. They can explain why safety is important (intellectual stimulation) and encourage their subordinates to take care of each other (individualized concern).

INTENDED AND UNINTENDED CONSEQUENCES

3-83. The actions you take as a leader will most likely have unintended as well as intended consequences. Like a chess player trying to anticipate an opponent's moves three or four turns in advance—if I do this, what will my opponent do; then what will I do next?—leaders think through what they can expect to happen as a result of a decision. Some decisions set off a chain of events; as far as possible, leaders must anticipate the second- and third-order effects of their actions. Even lower-level leaders' actions may have effects well beyond what they expect.

3-84. Consider the case of a sergeant whose team is manning a roadblock as part of a peace operation. The mission has received lots of media attention (Haiti and Bosnia come to mind), and millions of people back home are watching. Early one morning, a truckload of civilians appears, racing toward the roadblock. In the halflight, the sergeant can't tell if the things in the passengers' hands are weapons or farm tools, and the driver seems intent on smashing through the barricade. In the space of a few seconds, the sergeant must decide whether or not to order his team to fire on the truck.

3-85. If the sergeant orders his team to fire because he feels he and his soldiers are threatened, that decision will have international consequences. If he kills any civilians, chances are good that his chain of command from the president on down—not to mention the entire television audience of the developed world—will know about the incident in a few short hours. But the decision is tough for another reason: if the sergeant doesn't order his team to fire and the civilians turn out to be an armed gang, the team may take casualties that could have been avoided. If the only factor involved was avoiding civilian casualties, the choice is simple: don't shoot. But the sergeant must also consider the requirement to protect his force and accomplish the mission of preventing unauthorized traffic from passing the roadblock. So the sergeant must act; he's the leader, and he's in charge. Leaders who have thought through the consequences of possible actions, talked with their own leaders about the commander's intent and mission priorities, and trust their chain of command to support them are less likely to be paralyzed by this kind of pressure.

INTENDED CONSEQUENCES

3-86. Intended consequences are the anticipated results of a leader's decisions and actions. When a squad leader shows a team leader a better way to lead PT, that action will have intended consequences: the team leader will be better equipped to do the job. When leaders streamline procedures, help people work smarter, and get the resources to the right place at the right time, the intended consequences are good.

UNINTENDED CONSEQUENCES

3-87. Unintended consequences are the results of things a leader does that have an unplanned impact on the organization or accomplishment of the mission. Unintended consequences are often more lasting and harder to anticipate than intended consequences. Organizational and strategic leaders spend a good deal of energy considering possible unintended consequences of their actions. Their organizations are complex, so figuring out the effects today's decisions will have a few years in the future is difficult.

3-88. Unintended consequences are best described with an example, such as setting the morning PT formation time: Setting the formation time at 0600 hours results in soldiers standing in formation at 0600 hours, an intended consequence. To not be late, soldiers living off post may have to depart their homes at 0500 hours, a consequence that's probably also anticipated. However, since most junior enlisted soldiers with families probably own only one car, there will most likely be another consequence: entire families rising at 0430 hours. Spouses must drive their soldiers to post and children, who can't be left at home unattended, must accompany them. This is an unintended consequence.

SUMMARY

3-89. The human dimension of leadership, how the environment affects you and your people, affects how you lead. Stress is a major part of the environment, both in peace and war. Major sources of stress include the rapid pace of change and the increasing complexity of technology. As an Army leader, you must stay on top of both. Your character and skills—how you handle stress—and the morale and discipline you develop and your team are more important in establishing the climate in your organization than any external circumstances.

3-90. The organizational climate and the institutional culture define the environment in which you and your people work. Direct, organizational, and strategic leaders all have different responsibilities regarding climate and culture; what's important now is to realize that you, the leader, establish the climate of your organization. By action or inaction, you determine the environment in which your people work.

3-91. Leadership styles are different ways of approaching the DO of BE, KNOW, DO—the actual work of leading people. You've read about five leadership styles: directing, participating, delegating, transformational, and transactional. But remember that you must be able to adjust the leadership style you use to the situation and the people you're leading. Remember also that you're not limited to any one style in a given situation: you should use techniques from different styles if that will help you motivate your people to accomplish the mission. Your leader attributes of judgment, intelligence, cultural awareness, and self-control all play major roles in helping you choose the proper style and the appropriate techniques for the task at hand. That said, you must always be yourself.

3-92. All leader actions result in intended and unintended consequences. Two points to remember: think through your decisions and do your duty. It might not seem that the actions of one leader of one small unit matter in the big picture. But they do. In the words of Confederate COL William C. Oats, who faced COL Joshua Chamberlain at Little Round Top: "Great events sometimes turn on comparatively small affairs."

3-93. In spite of stress and changes, whether social or technological, leadership always involves shaping human emotions and behaviors. As they serve in more complex environments with wider-ranging consequences, Army leaders refine what they've known and done as well as develop new styles, skills, and actions. Parts Two and Three discuss the skills and actions required of leaders from team to Department of the Army level.

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ETHICAL REASONING

4-24. Ethical leaders do the right things for the right reasons all the time, even when no one is watching. But figuring out what's the "right" thing is often, to put it mildly, a most difficult task. To fulfill your duty, maintain your integrity, and serve honorably, you must be able to reason ethically.

4-25. Occasionally, when there's little or no time, you'll have to make a snap decision based on your experience and intuition about what feels right. For Army leaders, such decisions are guided by Army values (discussed in Chapter 2), the institutional culture, and the organizational climate (discussed in Chapter 3). These shared values then serve as a basis for the whole team's buying into the leader's decision. But comfortable as this might be, you should not make all decisions on intuition.

4-26. When there's time to consider alternatives, ask for advice, and think things through, you can make a deliberate decision. First determine what's legally right by law and regulation. In gray areas requiring interpretation, apply Army values to the situation. Inside those boundaries, determine the best possible answer from among competing solutions, make your decision, and act on it.

4-27. The distinction between snap and deliberate decisions is important. In many decisions, you must think critically because your intuition—what feels right—may lead to the wrong answer. In combat especially, the intuitive response won't always work.

4-28. The moral application of force goes to the heart of military ethics. S. L. A. Marshall, a military historian as well as a brigadier general, has written that the typical soldier is often at a disadvantage in combat because he "comes from a civilization in which aggression, connected with the taking of a human life, is prohibited and unacceptable." Artist Jon Wolfe, an infantryman in Vietnam, once said that the first time he aimed his weapon at another human being, a "little voice" in the back of his mind asked, "Who gave you permission to do this?" That "little voice" comes, of course, from a lifetime of living within the law. You can determine the right thing to do in these very unusual circumstances only when you apply ethical as well as critical reasoning.

4-29. The right action in the situation you face may not be in regulations or field manuals. Even the most exhaustive regulations can't predict every situation. They're designed for the routine, not the exceptional. One of the most difficult tasks facing you as an Army leader is determining when a rule or regulation simply doesn't apply because the situation you're facing falls outside the set of conditions envisioned by those who wrote the regulation. Remember COL Chamberlain on Little Round Top. The drill manuals he had studied didn't contain the solution to the tactical problem he faced; neither this nor any other manual contain "cookbook" solutions to ethical questions you will confront. COL Chamberlain *applied* the doctrine he learned from the drill manuals. So you should apply Army values, your knowledge, and your experience to any decision you make and be prepared to accept the consequences of your actions. Study, reflection, and ethical reasoning can help you do this.

4-30. Ethical reasoning takes you through these steps:

- Define the problem.
- Know the relevant rules.
- Develop and evaluate courses of action.
- Choose the course of action that best represents Army values.

4-31. These steps correspond to some of the steps of the decision making leadership action in Chapter 5. Thus, ethical reasoning isn't a separate process you trot out only when you think you're facing an ethical question. It should be part of the thought process you use to make any decision. Your subordinates count on you to do more than make tactically sound decisions. They rely on you to make decisions that are ethically sound as well. You should always consider ethical factors and, when necessary, use Army values to gauge what's right.

4-32. That said, not every decision is an ethical problem. In fact, most decisions are ethically neutral. But that doesn't mean you don't have

to think about the ethical consequences of your actions. Only if you reflect on whether what you're asked to do or what you ask your people to do accords with Army values will you develop that sense of right and wrong that marks ethical people and great leaders. That sense of right and wrong alerts you to the presence of ethical aspects when you face a decision.

4-33. Ethical reasoning is an art, not a science, and sometimes the best answer is going to be hard to determine. Often, the hardest decisions are not between right and wrong, but between shades of right. Regulations may allow more than one choice. There may even be more than one good answer, or there may not be enough time to conduct a long review. In those cases, you must rely on your judgment.

Define the Problem

4-34. Defining the problem is the first step in making any decision. When you think a decision may have ethical aspects or effects, it's especially important to define it precisely. Know who said what—and what specifically was said, ordered, or demanded. Don't settle for secondhand information; get the details. Problems can be described in more than one way. This is the hardest step in solving any problem. It's especially difficult for decisions in the face of potential ethical conflicts. Too often some people come to rapid conclusions about the nature of a problem and end up applying solutions to what turn out to be only symptoms.

Know the Relevant Rules

4-35. This step is part of fact gathering, the second step in problem solving. Do your homework. Sometimes what looks like an ethical problem may stem from a misunderstanding of a regulation or policy, frustration, or overenthusiasm. Sometimes the person who gave an order or made a demand didn't check the regulation and a thorough reading may make the problem go away. Other times, a difficult situation results from trying to do something right in the wrong way. Also, some regulations leave room for interpretation; the problem then becomes a policy matter rather than an ethical one. If you do perceive an ethical problem, explain it to the person you think is causing it and try to come up with a better way to do the job.

Develop and Evaluate Courses of Action

4-36. Once you know the rules, lay out possible courses of action. As with the previous steps, you do this whenever you must make a decision. Next, consider these courses of action in view of Army values. Consider the consequences of your courses of action by asking yourself a few practical questions: Which course of action best upholds Army values? Do any of the courses of action compromise Army values? Does any course of action violate a principle, rule, or regulation identified in Step 2? Which course of action is in the best interest of the Army and of the nation? This part will feel like a juggling act; but with careful ethical reflection, you can reduce the chaos, determine the essentials, and choose the best course—even when that choice is the least bad of a set of undesirable options.

Choose the Course of Action That Best Represents Army Values

4-37. The last step in solving any problem is making a decision and acting on it. Leaders are paid to make decisions. As an Army leader, you're expected—by your bosses and your people—to make decisions that solve problems without violating Army values.

4-38. As a values-based organization, the Army uses expressed values—Army values—to provide its fundamental ethical framework. Army values lay out the ethical standards expected of soldiers and DA civilians. Taken together, Army values and ethical decision making provide a moral touchstone and a workable process that enable you to make sound ethical decisions and take right actions confidently.

4-39. The ethical aspects of some decisions are more obvious that those of others. This example contains an obvious ethical problem. The issues will seldom be so clear-cut; however, as you read the example, focus on the steps SGT Kirk follows as he moves toward an ethical decision. Follow the same steps when you seek to do the right thing.

The EFMB Test

SGT irk, who has already earned the Expert Field Medical Badge (EFMB), is assigned as a grader on the division's EFMB course. Sergeant irk's squad leader, SSG Michaels, passes through SGT irk's station and fails the task. Just before SGT irk records the score, SSG Michaels pulls him aside.

"I need my EFMB to get promoted," SSG Michaels says. "You can really help me out here; it's only a couple of points anyway. No big deal. Show a little loyalty."

SGT irk wants to help SSG Michaels, who's been an excellent squad leader and who's loyal to his subordinates. SSG Michaels even spent two Saturdays helping SGT irk prepare for his promotion board. If SGT irk wanted to make this easy on himself, he would say the choice is between honesty and loyalty. Then he could choose loyalty, falsify the score, and send everyone home happy. His life under SSG Michaels would probably be much easier too.

However, SGT irk would not have defined the problem correctly. (Remember, defining the problem is often the hardest step in ethical reasoning.) SGT irk knows the choice isn't between loyalty and honesty. Loyalty doesn't require that he lie. In fact, lying would be disloyal to the Army, himself, and the soldiers who met the standard. To falsify the score would also be a violation of the trust and confidence the Army placed in him when he was made an NCO and a grader. SGT irk knows that loyalty to the Army and the NCO corps comes first and that giving SSG Michaels a passing score would be granting the squad leader an unfair advantage. SGT irk knows it would be wrong to be a coward in the face of this ethical choice, just as it would be wrong to be a coward in battle. And if all that were not enough, when SGT irk imagines seeing the incident in the newspaper the next morning—Trusted NCO Lies to Help Boss—he knows what he must do.

4-40. When SGT Kirk stands his ground and does the right thing, it may cost him some pain in the short run, but the entire Army benefits. If he makes the wrong choice, he weakens the Army. Whether or not the Army lives by its values isn't just up to generals and colonels; it's up to each of the thousands of SGT Kirks, the Army leaders who must make tough calls when no one is watching, when the easy thing to do is the wrong thing to do.

REFLECTIVE THINKING

4-41. Leader development doesn't occur in a vacuum. All leaders must be open to feedback on their performance from multiple perspectives—seniors, peers, and subordinates. But being open to feedback is only one part of the equation. As a leader, you must also listen to and use the feedback: you must be able to reflect. Reflecting is the ability to take information, assess it, and apply it to behavior to explain why things did or did not go well. You can then use the resulting explanations to improve future behavior. Good leaders are always striving to become better leaders. This means you need consistently to assess your strengths and weaknesses and reflect on what you can do to sustain your strengths and correct your weaknesses. To become a better leader, you must be willing to change.

4-42. For reasons discussed fully in Chapter 5, the Army often places a premium on doing—on the third element of BE, KNOW, DO. All Army leaders are busy dealing with what's on their plates and investing a lot of energy in accomplishing tasks. But how often do they take the time to STOP and really THINK about what they are doing? How often have you seen this sign on a leader's door: Do Not Disturb—Busy Reflecting? Not often. Well, good leaders need to take the time to think and reflect. Schedule it; start really exercising your capacity to get feedback. Then reflect on it and use it to improve. There's nothing wrong with making mistakes, but there's plenty wrong with not learning from those mistakes. Reflection is the means to that end.

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Reception on Christmas Eve (continued)

"My guess is that those soldiers will not only do anything and everything that first sergeant wants, but they are going to tell anyone who will listen that they belong to the best outfit in the Army."

5-118. **Enrichment stage.** New teams and new team members gradually move from questioning everything to trusting themselves, their peers, and their leaders. Leaders earn that trust by listening, following up on what they hear, establishing clear lines of authority, and setting standards. By far the most important thing a leader does to strengthen the team is training. Training takes a group of individuals and molds them into a team while preparing them to accomplish their missions. Training occurs during all three team building stages, but is particularly important during enrichment; it's at this point that the team is building collective proficiency.

5-119. **Sustainment stage.** When a team reaches this stage, its members think of the team as "their team." They own it, have pride in it, and want the team to succeed. At this stage, team members will do what needs to be done without being told. Every new mission gives the leader a chance to make the bonds even stronger, to challenge the team to reach for new heights. The leader develops his subordinates because they're tomorrow's team leaders. He continues to train the team so that it maintains proficiency in the collective and individual tasks it must perform to accomplish its missions. Finally, the leader works to keep the team going in spite of the stresses and losses of combat.

Building the Ethical Climate

5-120. As an Army leader, you are the ethical standard bearer for your organization. You're responsible for building an ethical climate that demands and rewards behavior consistent with Army values. The primary factor affecting an organization's ethical climate is its leader's ethical standard. Leaders can look to other organizational or installation personnel—for example, the chaplain, staff judge advocate, inspector general, and equal employment opportunity manager—to assist them in building and assessing their organization's ethical climate, but the ultimate responsibility belongs to the leader—period.

5-121. Setting a good ethical example doesn't necessarily mean subordinates will follow it. Some of them may feel that circumstances justify unethical behavior. (See, for example, the situation portrayed in Appendix D.) Therefore, you must constantly seek to maintain a feel for your organization's current ethical climate and take prompt action to correct any discrepancies between the climate and the standard. One tool to help you is the Ethical Climate Assessment Survey (ECAS), which is discussed in Appendix D. You can also use some of the resources listed above to help you get a feel for your organization's ethical climate. After analyzing the information gathered from the survey or other sources, a focus group may be a part of your plan of action to improve the ethical climate. Your abilities to listen and decide are the most important tools you have for this job.

5-122. It's important for subordinates to have confidence in the organization's ethical environment because much of what is necessary in war goes against the grain of the societal values individuals bring into the Army. You read in the part of Chapter 4 that discusses ethical reasoning that a soldier's conscience may tell him it's wrong to take human life while the mission of the unit calls for exactly that. Unless you've established a strong ethical climate that lets that soldier know his duty, the conflict of values may sap the soldier's will to fight.

SGT York

A conscientious objector from the Tennessee hills, Alvin C. York was drafted after America's entry into World War I and assigned to the 328th Infantry Regiment of the 82d Division, the "All Americans." PVT York, a devout Christian, told his commander, CPT E. C. B. Danforth, that he would bear arms against the enemy but didn't believe in killing. Recognizing PVT York as a potential leader but unable to sway him from his convictions, CPT Danforth consulted his battalion commander, MAJ George E. Buxton, about how to handle the situation.

MAJ Buxton was also deeply religious and knew the Bible as well as PVT York did. He had CPT Danforth bring PVT York to him, and they talked at length about the Scriptures, about God's teachings, about right and wrong, about just wars. Then MAJ Buxton sent PVT York home on leave to ponder and pray over the dilemma. The battalion commander promised to release him from the Army if PVT York decided he could not serve his country without sacrificing his integrity. After two weeks of reflection and deep soul-searching, PVT York returned, having reconciled his personal values with those of the Army. PVT York's decision had great consequences for both himself and his unit.

Alvin York performed an exploit of almost unbelievable heroism in the morning hours of 8 October 1918 in France's Argonne Forest. He was now a corporal (CPL), having won his stripes during combat in the Lorraine. That morning CPL York's battalion was moving across a valley to seize a German-held rail point when a German infantry battalion, hidden on a wooded ridge overlooking the valley, opened up with machine gun fire. The American battalion dived for cover, and the attack stalled. CPL York's platoon, already reduced to 16 men, was sent to flank the enemy machine guns.

As the platoon advanced through the woods to the rear of the German outfit, it surprised a group of about 25 German soldiers. The shocked enemy offered only token resistance, but then more hidden machine guns swept the clearing with fire. The Germans dropped safely to the ground, but nine Americans, including the platoon leader and the other two corporals, fell dead or wounded. CPL York was the only unwounded leader remaining.

CPL York found his platoon trapped and under fire within 25 yards of the enemy's machine gun pits. Nonetheless, he didn't panic. Instead, he began firing into the nearest enemy position, aware that the Germans would have to expose themselves to get an aimed shot at him. An expert marksman, CPL York was able to hit every enemy soldier who popped his head over the parapet.

After he had shot more than a dozen enemy, six German soldiers charged him with fixed bayonets. As the Germans ran toward him, CPL York once again drew on the instincts of a Tennessee hunter and shot the last man first (so the ones in front wouldn't see the ones he shot fall), then the fifth, and so on. After he had shot all the assaulting Germans, CPL York again turned his attention to the machine gun pits. In between shots, he called for the Germans to give up. It may have initially seemed ludicrous for a lone soldier in the open to call on a well-entrenched enemy to surrender, but their situation looked desperate to the German battalion commander, who had seen over 20 of his soldiers killed by this one American. The commander advanced and offered to surrender if CPL York would stop shooting.

CPL York now faced a daunting task. His platoon, now numbering seven unwounded soldiers, was isolated behind enemy lines with several dozen prisoners. However, when one American said their predicament was hopeless, CPL York told him to be quiet and began organizing the prisoners for a movement. CPL York moved his unit and prisoners toward American lines, encountering other German positions and forcing their surrender. By the time the platoon reached the edge of the valley they had left just a few hours before, the hill was clear of German machine guns. The fire on the Americans in the valley was substantially reduced and their advance began again.

SGT York (continued)

CPL York returned to American lines, having taken a total of 132 prisoners and putting 35 machine guns out of action. He left the prisoners and headed back to his own outfit. Intelligence officers questioned the prisoners and learned from their testimony the incredible story of how a fighting battalion was destroyed by one determined soldier armed only with a rifle and pistol. Alvin C. York was promoted to sergeant and awarded the Medal of Honor for this action. His character, physical courage, technical competence, and leadership enabled him to destroy the morale and effectiveness of an entire enemy infantry battalion.

5-123. CPT Danforth and MAJ Buxton could have ordered SGT York to go to war, or they might have shipped him out to a job that would take him away from the fight. Instead, these leaders carefully addressed the soldier's ethical concerns. MAJ Buxton, in particular, established the ethical climate by showing that he, too, had wrestled with the very questions that troubled SGT York. The climate these leaders created held that every person's beliefs are important and should be considered. MAJ Buxton demonstrated that a soldier's duties could be consistent with the ethical framework established by his religious beliefs. Leaders who create a healthy ethical environment inspire confidence in their subordinates; that confidence and the trust it engenders builds the unit's will. They create an environment where soldiers can truly "be all they can be."

LEARNING

For most men, the matter of learning is one of personal preference. But for Army [leaders], the obligation to learn, to grow in their profession, is clearly a public duty.

General of the Army Omar N. Bradley

5-124. The Army is a learning organization, one that harnesses the experience of its people and organizations to improve the way it does business. Based on their experiences, learning organizations adopt new techniques and procedures that get the job done more efficiently or effectively. Likewise, they discard techniques and procedures that have outlived their purpose. However, you must remain flexible when trying to make sense of your experiences. The leader who works day after day after day and never stops to ask "How can I do this better?" is never going to learn and won't improve the team.

5-125. Leaders who learn look at their experience and find better ways of doing things. Don't be afraid to challenge how you and your subordinates operate. When you ask "Why do we do it that way?" and the only answer you get is "Because we've always done it that way," it's time for a closer look. Teams that have found a way that works still may not be doing things the best way. Unless leaders are willing to question how things are, no one will ever know what can be.

"Zero Defects" and Learning

5-126. There's no room for the "zero-defects" mentality in a learning organization. Leaders willing to learn welcome new ways of looking at things, examine what's going well, and are not afraid to look at what's going poorly. When direct leaders stop receiving feedback from subordinates, it's a good indication that something is wrong. If the message you hammer home is "There will be no mistakes," or if you lose your temper and "shoot the messenger" every time there's bad news, eventually your people will just stop telling you when things go wrong or suggesting how to make things go right. Then there will be some unpleasant surprises in store. Any time you have human beings in a complex organization doing difficult jobs, often under pressure, there are going to be problems. Effective leaders use those mistakes to figure out how to do things better and share what they have learned with other leaders in the organization, both peers and superiors.

Appendix D

A Leader Plan of Action and the ECAS

D-1. By completing a set of tasks (shown in Figure D-1), leaders can improve, sustain, or reinforce a standard of performance within their organizations. Leaders may complete some or all of the sub-tasks shown in Figure D-1, depending on the situation.

D-2. A leader plan of action (developed in step 3) identifies specific leader actions necessary to achieve improvement. It is similar to the individual plan of action that Appendix C discusses.

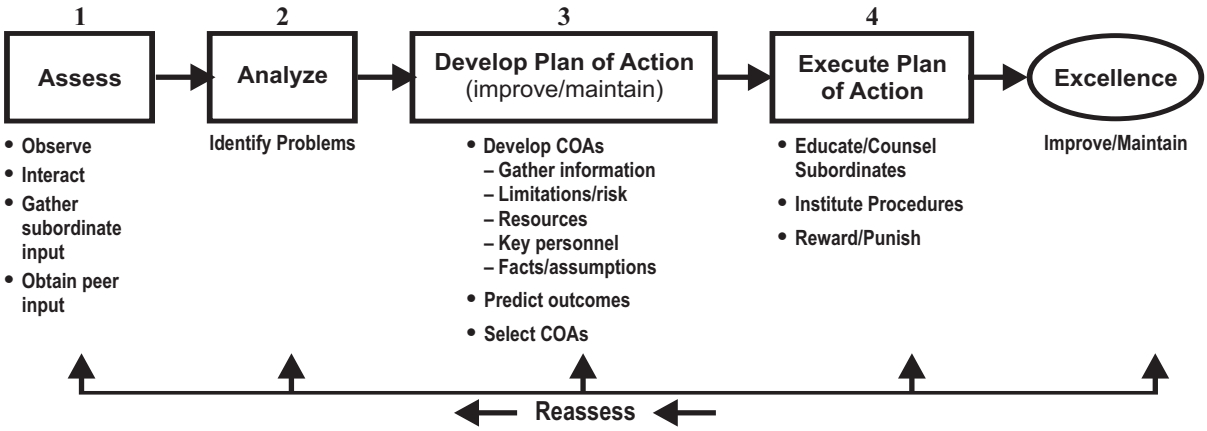

Figure D-1. The Leader Plan of Action Development Process

D-3. Begin your plan of action by assessing your unit (Step 1). Observe, interact, and gather feedback from others; or conduct formal assessments of the workplace. Then analyze the information you gathered to identify what needs improvement (Step 2). Once you have identified what needs improvement, begin to develop courses of action to make the improvements.

D-4. In Step 3, you develop your plan of action. First, develop and consider several possible courses of action to correct the weaknesses you identified. Gather important information, assess the limitations and risks associated with the various courses, identify available key personnel and resources, and verify facts and assumptions. Attempt to predict the outcome for each possible course of action. Based on your predictions, select several leader actions to deal with the problems.

D-5. Execute your plan of action (Step 4) by educating, training, or counseling your subordinates; instituting new policies or procedures; and revising or enforcing proper systems of rewards and punishment. Your organization moves towards excellence by improving substandard or weak areas and maintaining conditions that meet or exceed the standard. Finally, periodically reassesses your unit to identify new matters of concern or to evaluate the effectiveness of the leader actions.

D-6. You can use this process for many areas of interest within your organization. A case study demonstrating how to use an ECAS to prepare a leader plan of action follows. It includes a description of how one leader gathered information to complete the survey. (You can obtain the form used to conduct an ECAS through Training Support Centers by ordering GTA 22-6-1.)

PREPARATION OF AN ECAS

D-7. 2LT Christina Ortega has been a military police platoon leader for almost eight months. When she first came to the platoon, it was a well-trained, cohesive group. Within two months of her taking charge, she and her platoon deployed on a six-month rotation to support operations in Bosnia. The unit performed well, and she quickly earned a reputation as a leader with high standards for herself and her unit. Now redeployed, she must have her platoon ready in two months for a rotation at the Combat Maneuver Training Center (CMTC). She realizes that within that time she must get the unit's equipment ready for deployment, train her soldiers on different missions they will encounter at the CMTC, and provide them some much needed and deserved time off.

D-8. As 2LT Ortega reflects on her first eight months of leadership, she remembers how she took charge of the platoon. She spoke individually with the leaders in the platoon about her expectations and gathered information about her subordinates. She stayed up all night completing the leadership philosophy memorandum that she gave to every member of her platoon. After getting her feet on the ground and getting to know her soldiers, she assessed the platoon's ethical climate using the ECAS. Her unit's overall ECAS score was very good. She committed herself to maintaining that positive ethical climate by continuing the established policies and by monitoring the climate periodically.

D-9. Having completed a major deployment and received a recent influx of some new soldiers, 2LT Ortega decides to complete another ECAS. She heads to the unit motor pool to observe her soldiers preparing for the next day's training exercise. The platoon is deploying to the local training area for the "best squad" competition prior to the ARTEP evaluation at the CMTC. "The best squad competition has really become a big deal in the company," she thinks. "Squad rivalry is fierce, and the squad leaders seem to be looking for an edge so they can come out on top and win the weekend pass that goes to the winning squad."

D-10. She talks to as many of her soldiers as she can, paying particular attention to the newest members of the unit. One new soldier, a vehicle driver for SSG Smith, the 2nd Squad Leader, appears very nervous and anxious. During her conversation with the soldier, 2LT Ortega discovers some disturbing information.

D-11. The new soldier, PFC O'Brien, worries about his vehicle's maintenance and readiness for the next day. His squad leader has told him to "get the parts no matter what." PFC O'Brien says that he admires SSG Smith because he realizes that SSG Smith just wants to perform well and keep up the high standards of his previous driver. He recounts that SSG Smith has vowed to win the next day's land navigation competition. "SSG Smith even went so far as to say that he knows we'll win because he already knows the location of the points for the course. He saw them on the XO's desk last night and wrote them on his map."

D-12. 2LT Ortega thanks the soldier for talking honestly with her and immediately sets him straight on the proper and improper way to get repair parts. By the time she leaves, PFC O'Brien knows that 2LT Ortega has high standards and will not tolerate improper means of meeting them. Meanwhile, 2LT Ortega heads back toward the company headquarters to find the XO.

D-13. She finds the XO busily scribbling numbers and dates on pieces of paper. He is obviously involved and frantic. He looks up at her and manages a quick "Hi, Christina," before returning to his task. The battalion XO apparently did not like the way the unit status report (USR) portrayed the status of the maintenance in the battalion and refused to send that report forward. Not completely familiar with the USR, 2LT Ortega goes to the battalion motor officer to get some more information. After talking to a few more people in her platoon, 2LT Ortega completes the ECAS shown in Figure D-2.

GTA 22-6-1

*E*thical *C*limate *A*ssessment *S*urvey

An ethical climate is one in which our stated Army values are routinely articulated, supported, practiced and respected. The Ethical Climate of an organization is determined by a variety of factors, including the ***individual character*** of unit members, the ***policies and practices*** within the organization, the ***actions of unit leaders***, and ***environmental and mission factors***. Leaders should periodically assess their unit's ethical climate and take appropriate actions to maintain the high ethical standards expected of all Army organizations. This survey will assist you in making these assessments and in identifying the actions necessary to accomplish this vital leader function. FM 22-100, Army Leadership, provides specific leader actions necessary to sustain or improve your ethical climate, as necessary.

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OCTOBER 1997

INSTRUCTIONS

Answer the questions in this survey according to how you currently perceive your unit and your own leader actions, NOT according to how you would prefer them to be or how you think they should be. This information is for your use, (not your chain of command's) to determine if you need to take action to improve the Ethical Climate in your organization. Use the following scale for all questions in Sections I and II.

Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree
1	2	3	4	5

I. Individual Character - *"Who are we?"* This section focuses on your organization's members' commitment to Army values. Please answer the following questions based on your observations of the ethical commitment in your unit. (This means your *immediate* unit. If you are a squad leader, it means you and your squad. If you are a civilian supervisor, it means you and your section.)

A. In general, the members of my unit demonstrate a commitment to Army values (honor, selfless service, integrity, loyalty, courage, duty and respect).	4
B. The members of my unit typically accomplish a mission by "doing the right thing" rather than compromising Army values.	2
C. I understand, and I am committed to, the Army's values as outlined in FM 22-100, Army Leadership.	5
Section I Total	11

II. Unit/Workplace Policies & Practices - *"What do we do?"*
This section focuses on what you, and the leaders who report to you, do to maintain an ethical climate in your workplace. (This does **not** mean your superiors. Their actions will be addressed in Section IV).

A. We provide clear instructions which help prevent unethical behavior.	2
B. We promote an environment in which subordinates can learn from their mistakes.	5
C. We maintain appropriate, not dysfunctional, levels of stress and competition in our unit.	1
D. We discuss ethical behavior and issues during regular counseling sessions.	3
E. We maintain an organizational creed, motto, and/or philosophy that is consistent with Army values.	4
F. We submit unit reports that reflect accurate information.	3
G. We ensure unit members are aware of, and are comfortable using, the various channels available to report unethical behavior.	4
H. We treat fairly those individuals in our unit who report unethical behavior.	5
I. We hold accountable (i.e., report and/or punish) members of our organization who behave unethically.	4
Section II Total	31

Use the following scale for questions in Section III.

Never	Hardly Ever	Sometimes	Almost Always	Always
1	2	3	4	5

III. Unit Leader Actions - *"What do I do?"* This section focuses on what you do as the leader of your organization to encourage an ethical climate.

A. I discuss Army values in orientation programs when I welcome new members to my organization.	5
B. I routinely assess the ethical climate of my unit (i.e., sensing sessions, climate surveys, etc.).	5
C. I communicate my expectations regarding ethical behavior in my unit, and require subordinates to perform tasks in an ethical manner.	5
D. I encourage discussions of ethical issues in After Action Reviews, training meetings, seminars, and workshops.	3
E. I encourage unit members to raise ethical questions and concerns to the chain of command or other individuals, if needed (i.e., chaplain, IG, etc.).	5
F. I consider ethical behavior in performance evaluations, award and promotion recommendations, and adverse personnel actions.	4
G. I include maintaining a strong ethical climate as one of my unit's goals and objectives.	5
Section III Total	32

IV. Environmental/Mission Factors - *"What surrounds us?"*
This section focuses on the external environment surrounding your organization. Answer the following questions to assess the impact of these factors on the ethical behavior in your organization.

Use the following scale for all questions in Section IV. Note: the scale is reversed for this section (Strongly Agree is scored as a 1 , not a 5)

Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
1	2	3	4	5

A. My unit is currently under an excessive amount of stress (i.e., inspections, limited resources, frequent deployments, training events, deadlines, etc.).	1
B. My higher unit leaders foster a 'zero defects' outlook on performance, such that they do not tolerate mistakes.	1
C. My higher unit leaders over-emphasize competition between units.	1
D. My higher unit leaders appear to be unconcerned with unethical behavior as long as the mission is accomplished.	2
E. I do not feel comfortable bringing up ethical issues with my supervisors.	5
F. My peers in my unit do not seem to take ethical behavior very seriously.	1
Section IV Total	11

Place the Total Score from each section in the spaces below:
(A score of 1 or 2 on any question requires some immediate leader action.)

Section I - Individual Character Total Score	11
Section II - Leader Action Total Score	31
Section III - Unit Policies and Procedures Total Score	32
Section IV - Environmental/Mission Factors Total Score	11
***ECAS* Total Socre (I II III IV)**	85

25 - 75	76-100	101 - 125
Take *Immediate* Action to Improve Ethical Climate	Take Actions to Improve Ethical Climate	Maintain a Healthy Ethical Climate

Figure D-2. Example of an Ethical Climate Assessment Survey

PREPARATION OF A LEADER PLAN OF ACTION

D-14. 2LT Ortega looks at her ECAS score and determines that she needs to take action to improve the ethical climate in her platoon. To help determine where she should begin, 2LT Ortega looks at the scores for each question. She knows that any question receiving a "1" or "2" must be addressed immediately in her plan of action. As 2LT Ortega reviews the rest of the scores for her unit, she identifies additional problems to correct. Furthermore, she decides to look at a few actions in which her unit excels and to describe ways to sustain the performance. As she continues to develop the leader plan of action, she looks at each subject she has identified. She next develops the plan shown in Figure D-3 to correct the deficiencies. At the bottom of the form, she lists at least two actions she plans to take to maintain the positive aspects of her platoon's ethical climate.

D-15. 2LT Ortega has already completed the first three steps (assess, analyze, and develop a plan of action) specified in Figure D-1. When she takes action to implement the plan she will have completed the process. She must then follow up to ensure her actions have the effects she intended.

Practical Exercises and Solutions

This appendix contains the items listed in this table--

Title/Synopsis	Pages
PE-1	C-2 and C-5
PE-1 Solution	C-6
PE-2	C-7 and C-8
PE-2 Solution	C-9 and C-10
PE-3	C-11 thru C-13
PE-3 Solution	C-14

PRACTICAL EXERCISE 1

Title	DESERTION
Lesson Number/Title	L324 version 1 / ETHICAL BEHAVIOR
Introduction	This practical exercise gives you the opportunity to assess the affects of leader actions and attitudes on the climate of a unit and individual Soldiers.
Motivator	As a leader your attitudes and actions have a direct impact on your Soldiers. You must be constantly aware of your behavior and ensure that at all times your actions reflect the standards of conduct and Army Values.
Learning Step/Activity	**NOTE:** The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise. At the completion of this lesson, you [the student] will:

Action:	Apply leadership fundamentals to improve the ethical climate within an organization or unit.
Conditions:	As a small unit leader in a company or battalion level unit.
Standards:	Applied leadership fundamentals to improve the ethical climate within an organization or unit by: • Identifying how a leader's ethical behavior influence's a squad's climate. • Applying ethical reasoning to choose a course of action that best represents Army values. IAW FM 22-100.

Safety Requirements	None
Risk Assessment Level	Low
Environmental Considerations	None

Evaluation	This is not a graded exercise. You will use the solution to the practical exercise to review your answers.
Instructional Lead-In	This PE contains a case study titled "Desertion". After reading the scenario, you must identify the command climate as demonstrated by unit members, identify who is responsible for developing and maintaining an ethical climate, and identify behaviors that need changing.
Resource Requirements	**Instructor Materials:** • Paper, easel paper and/or white board. **Student Materials:** • Pencils or pens. • Writing paper. • Advanced packet.
Special Instructions	Inform the groups that they will each have to brief a portion of their findings.
Procedures	You have 10 minutes to complete the practical exercise and prepare to brief the other groups. Upon completion ask the other groups if they came up with different results and for any other feedback they may have. Finish by adding any points they may have overlooked from the solution sheet.
Feedback Requirements	Ask the other groups if they came up with different results and for any other feedback they may have. Finish by adding any points they may have overlooked from the solution sheet.

CASE STUDY
"DESERTION"

In 1995, James Scott joined the Army, attended basic training, AIT, followed by assignment to his first permanent duty post. After being on post for 14 months, he deserted. Two years later the authorities apprehended him. He was court-martialed and pled guilty to a single specification of desertion terminated by apprehension. After sentencing by a military judge to a reduction in grade to E-1, he received a bad conduct discharge (BCD).

On the surface, this seems like a very light sentence for desertion. But now, let's look at the rest of the story.

James Scott joined the Army after completing several semesters of college work. After completing basic training, en route to AIT, he married his high school sweetheart.

At his first permanent duty assignment, he could not get on-base housing, so he and his wife rented a small apartment about 10 miles from the base. As with most very young couples, there wasn't a lot of money; in fact, they joined with some small debts which they were paying off month-to-month. He requested and received advance pay for the apartment deposit and to cover minor moving expenses. His car became unreliable, so he got more advance pay to make a down payment on a newer, more reliable car. They were making it, but barely. He wanted to get a second job. He discussed this with his NCOIC, SSG Kennedy, and his chain of command, but all told him that it was more important to learn his job. His wife could not work because she had had several illnesses. The post doctor, Dr. Smith, suspected kidney problems and referred her off-post for evaluation. Tests showed she had less than 20 percent of her kidney function left.

Renal failure is a progressive, insidious disease of the kidney, once affected function is not restorable. Without dialysis, the body fills up with poison. Mrs. Scott's weight went from 130 to 200 pounds, solely because of the excess fluid in her system. Dialysis was the only solution. There was no available equipment at the base for dialysis. This resulted in her admission to the local hospital to have an artificial vein created to prepare for dialysis. The surgery was unsuccessful, and the next month she had additional surgery to create a vein in her leg.

The Scotts did not have any supplementary insurance. He applied for Medicaid and was refused because of the medical benefits provided by the military for dependents. Medical bills began to mount. TRICARE STANDARD has a catastrophic cap of $7500, which is renewable each calendar year.

TRICARE STANDARD does not cover all medical bills. For example, Dr. Smith told the soldier that a particular hospital in the civilian community was the only place where his wife could get the necessary treatment even though he knew that the hospital routinely billed higher fees than TRICARE STANDARD allowed. Also, Dr. Smith and the hospital staff failed to inform TRICARE STANDARD the civilian hospital would

provide treatment because the services were not available in the military hospital. Subsequently, TRICARE STANDARD refused to pay for routine lab work and x-rays that the soldier's wife had as a patient at the civilian hospital because they were available at the military hospital. All declined claims were the soldier's responsibility to pay. Military personnel never adequately answered the soldier's question of how his wife was supposed to get to the post to get these services when she was an in-patient downtown.

When the soldier went to his command for help, SSG Kennedy and 1SG Cain told the soldier to apply for a compassionate reassignment to a post that was near his extended family. This post had a hospital with the ability to treat his wife's condition which would significantly reduce his expenses, and his family would be able to help out with getting his wife to appointments, along with providing emotional support. The Army turned down his request. He obtained more documentation from his wife's doctor and reapplied. His second request also met denial. At no time did his NCOIC, 1SG, commander, or anyone else discuss the possibility of a hardship discharge.

For five months, the soldier tried to get other help from the Army. With all the medical and normal expenses, he couldn't make ends meet. His command recommended he go to Army Community Services for assistance. After attending a budgeting class, he tried, but everything seemed to be working against him. His wife's condition worsened. She required expensive medication. One particular medication cost $50.00 a week. TRICARE would pay for some but the soldier had to pay for it first and then file a claim. He got an emergency loan through Army Emergency Relief**,** but he was told their money was tight, and he would have to find some other way to buy the medicine the next time.

Mrs. Scott’s medical condition continued to deteriorate. Unable to drive PVT Scott had to drive her everywhere**.** She required three 4-hour sessions of dialysis per week. The hospital was 30 minutes away from the post. SSG Kennedy and 1SG Cain repeatedly reminded the soldier that his military duties were suffering.

The soldier took a day off from work, got all of his belongings, placed them in a trailer, got his wife, and went to his hometown. Over the two years he was a deserter; he got a job, got promoted in that job, and took care of his wife. At the time of his apprehension, his wife was virtually blind and in a wheelchair.

Subsequently the Army tried the soldier and found him guilty of desertion and sentenced him to a Bad Conduct Discharge. After the trial, the judge said the Army deserted the soldier long before the soldier deserted the Army.

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PRACTICAL EXERCISE 2

Title	DESERTION
Lesson Number/Title	L324 version 1 / ETHICAL BEHAVIOR
Introduction	This practical exercise gives you the opportunity to assess the affects of leader actions and attitudes on the climate of a unit and individual Soldiers and how the relate to the Army Values.
Motivator	
Learning Step/Activity	**NOTE:** The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise. At the completion of this lesson, you [the student] will:

Action:	Apply leadership fundamentals to improve the ethical climate within an organization or unit.
Conditions:	As a small unit leader in a company or battalion level unit.
Standards:	Applied leadership fundamentals to improve the ethical climate within an organization or unit by: • Identifying how a leader's ethical behavior influence's a squad's climate. • Applying ethical reasoning to choose a course of action that best represents Army values. IAW FM 22-100.

Safety Requirements	None
Risk Assessment Level	Low
Environmental Considerations	None

Evaluation	This is not a graded exercise. You will use the solution to the practical exercise to review your answers.
Instructional Lead-In	You will use the case study "Desertion" from PE-1 to complete this exercise. Again, read the case study and then as a group: • Identify the Army values demonstrated. • Identify any conflicts between the Army values and the command climate and how the command climate contributed to the conflicts. • Identify the behaviors which support or conflict with the Army values.
Resource Requirements	**Instructor Materials:** • Paper, easel paper, and/or white board. **Student Materials:** • Pencils or pens. • Writing paper. • Advanced packet.
Special Instructions	Inform the groups that they will each have to brief a portion of their findings.
Procedures	You have 10 minutes to complete the practical exercise and prepare to brief the other groups. Upon completion ask the other groups if they came up with different results and for any other feedback they may have. Finish by adding any points they may have overlooked from the solution sheet.
Feedback Requirements	Ask the other groups if they came up with different results and for any other feedback they may have. Finish by adding any points they may have overlooked from the solution sheet.

PRACTICAL EXERCISE 3

Title	CASE STUDY: SFC SHARP AND THE SECRET PAPERS
Lesson Number/Title	L324 version 1 / ETHICAL BEHAVIOR
Introduction	Sometimes simple situations can create an ethical dilemma that can evolve into a more serious problem if not dealt with properly.
Motivator	This practical exercise assists you in gaining a better understanding of ethical behavior and its value to you as leader.
Terminal Learning Objective	**NOTE:** The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise. At the completion of this lesson, you [the student] will:

Action:	Apply leadership fundamentals to improve the ethical climate within an organization or unit.
Conditions:	As a small unit leader in a company or battalion level unit.
Standards:	Applied leadership fundamentals to improve the ethical climate within an organization or unit by: • Identifying how a leader's ethical behavior influence's a squad's climate. • Applying ethical reasoning to choose a course of action that best represents Army values. IAW FM 22-100.

Safety Requirements	None
Risk Assessment Level	Low
Environmental Considerations	None

Evaluation	This is not a graded exercise. You will use the solution to the practical exercise to review your answers.
Instructional Lead-In	In resolving the ethical problem shown in the case study, you are to develop possible courses of action and the solution that best represents Army values. Keep in mind; however, that there may be several correct solutions to the problem. Arriving at a different solution does not necessarily mean that your solution is wrong.
Resource Requirements	**Instructor Materials:** • Paper, easel paper, and/or white board. **Student Materials:** • Pencils or pens. • Writing paper.
Special Instructions	None
Procedures	• Break class into 2 or 3 groups (not more than 6 students in each group). Inform the groups that they will each have to brief a portion of their findings. Give groups 10 minutes to arrive at their solution. • Give instructor guidance to students for analyzing the in-class practical exercise. • At the end of the 10 minutes, have each group brief their group's solution. Finish by adding any points they may have overlooked from the solution sheet (Instructor use only).
Feedback Requirements	None

CASE STUDY

"SFC Sharp and the Secret Papers"

You are newly assigned as the communications and electronics staff NCO of the 99th Infantry Battalion. You are replacing SFC Sharp, as a result of his selection for promotion to MSG and departure for a new assignment in two weeks.

SFC Sharp impressed you with the welcome you received and all he is doing to ensure that you get off to a good start. Your soldiers appear well trained and your admin sergeant, SSG Day, seems to know just about everything. You know you have big shoes to fill when SFC Sharp leaves because everyone seems to like and respect him. You've heard people say that he knows more about infantry operations than most infantrymen do.

SFC Sharp has cleaned out his desk and tells you to make yourself at home. Later this afternoon he will receive an award for his service to the 99th. His farewell party is this evening at the NCO club.

As you are setting up your things in your new desk, you discover some papers wedged between the wall and the side of the desk. You pull them out and discover that they are pages from a communication security book and marked "SECRET." You attach a cover sheet to them and go into the security vault to talk to SSG Day.

SSG Day checks the inventory and destruction certificates and discovers that SFC Sharp certified that the book these pages came from was destroyed two weeks ago. Both you and SSG Day search the vault and the outer office for any other pages, but you don't find any. SSG Day turns to you and says,

"I don't know about you, but the way I see this is that our section area is locked every evening. The civilian cleaning team doesn't even clean our area. Only our people ever come in here. From the look of these pages they've been behind that desk for some time. These pages are from an alternate communications security book and have not been used. They were to be destroyed two weeks ago, and as far as I'm concerned SFC Sharp destroyed them two weeks ago."

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HANDOUTS FOR LESSON 1: L338 version 1

This appendix contains the items listed in the table--

Title/Synopsis	Page
SH-1, Advance Sheet	SH-1-1 and SH-1-2
SH-2, Extracted Material from FM 22-100	SH-2-1

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Student Handout 1

Advance Sheet

Overview

This lesson uses a case study approach. As a leader faced with a situation that requires you to make an ethical decision, you resolve the situation by using sound reasoning and judgment in the application of the Ethical Reasoning Process.

Learning Objective

Terminal Learning Objective (TLO):

Action:	Employ the ethical decision-making process to resolve an ethical problem.
Conditions:	As a small unit leader in a company or battalion level unit given a case study, references, and class notes.
Standards:	Employed the ethical decision-making process to resolve an ethical problem using sound reasoning and judgment in the application of the Ethical Reasoning Process as evidenced by selecting the correct course of action during the instructor-led practical exercise.

ELO A Define an ethical problem
ELO B Identify the ethical questions of the Situation

Assignment(s)

The student assignments for this lesson are:

Before class--

- Skim SH-2.
- Read each Case Study (PE-1) and answer the questions following each case.
- Be prepared to discuss the Case Study (PE-1).

During class--

- Participate in the classroom discussion.

After class--

- Review all reference material.
- Turn in all recoverable materials.
- Participate in an after action review.

Additional Subject Area Resources

None

Bring to Class You must bring the following materials to class.

- PE-1, Case Studies.
- Pen or pencil and writing paper.

Student Handout 2

Extracted Material from FM 22-100

This student handout contains 12 pages of extracted text from FM 22-100.

Chap 2, p. 2-2 thru 2-10
Chap 4, p. 4-8 thru 4-9

Disclaimer: The developer downloaded the text in this student handbook from the TRADOC Library. The text may contain passive voice, misspelling, grammatical errors, etc., and may not conform to the Army Writing Style Program.

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SECTION I

CHARACTER: WHAT A LEADER MUST BE

Everywhere you look—on the fields of athletic competition, in combat training, operations, and in civilian communities—soldiers are doing what is right.

Former Sergeant Major of the Army
Julius W. Gates

2-3. Character—who you are—contributes significantly to how you act. Character helps you know what's right and do what's right, all the time and at whatever the cost. Character is made up of two interacting parts: values and attributes. Stephen Ambrose, speaking about the Civil War, says that "at the pivotal point in the war it was always the character of individuals that made the difference." Army leaders must be those critical individuals of character themselves and in turn develop character in those they lead. (Appendix E discusses character development.)

ARMY VALUES

Figure 2-1. Army Values

2-4. Your attitudes about the worth of people, concepts, and other things describe your values. Everything begins there. Your subordinates enter the Army with their own values, developed in childhood and nurtured through experience. All people are all shaped by what they've seen, what they've learned, and whom they've met. But when soldiers and DA civilians take the oath, they enter an institution guided by Army values. These are more than a system of rules. They're not just a code tucked away in a drawer or a list in a dusty book. These values tell you what you need to be, every day, in every action you take. Army values form the very identity of the Army, the solid rock upon which everything else stands, especially in combat. They are the glue that binds together the members of a noble profession. As a result, the whole is much greater than the sum of its parts. Army values are nonnegotiable: they apply to everyone and in every situation throughout the Army.

2-5. Army values remind us and tell the rest of the world—the civilian government we serve, the nation we protect, even our enemies—who we are and what we stand for. The trust soldiers and DA civilians have for each other and the trust the American people have in us depends on how well we live up to Army values. They are the fundamental building blocks that enable us to discern right from wrong in any situation. Army values are consistent; they support one another. You can't follow one value and ignore another.

2-6. Here are the Army values that guide you, the leader, and the rest of the Army. They form the acronym LDRSHIP:

Loyalty
Duty
Respect
Selfless Service
Honor
Integrity
Personal Courage

2-7. The following discussions can help you understand Army values, but understanding is only the first step. As a leader, you must not only understand them; you must believe in them, model them in your own actions, and teach others to accept and live by them.

LOYALTY

Bear true faith and allegiance to the US Constitution, the Army, your unit, and other soldiers.

Loyalty is the big thing, the greatest battle asset of all. But no man ever wins the loyalty of troops by preaching loyalty. It is given to him as he proves his possession of the other virtues.

Brigadier General S. L. A. Marshall
Men Against Fire

2-8. Since before the founding of the republic, the Army has respected its subordination to its civilian political leaders. This subordination is fundamental to preserving the liberty of all Americans. You began your Army career by swearing allegiance to the Constitution, the basis of our government and laws. If you've never read it or if it has been a while, the Constitution is in Appendix F. Pay particular attention to Article I, Section 8, which outlines congressional responsibilities regarding the armed forces, and Article II, Section 2, which designates the president as commander in chief. Beyond your allegiance to the Constitution, you have an obligation to be faithful to the Army—the institution and its people—and to your unit or organization. Few examples illustrate loyalty to country and institution as well as the example of GEN George Washington in 1782.

2-9. GEN Washington's example shows how the obligation to subordinates and peers fits in the context of loyalty to the chain of command and the institution at large. As commander of the Continental Army, GEN Washington was obligated to see that his soldiers were taken care of. However, he also was obligated to ensure that the new nation remained secure and that the Continental Army remained able to fight if necessary. If the Continental Army had marched on the seat of government, it may well have destroyed the nation by undermining the law that held it together. It also would have destroyed the Army as an institution by destroying the basis for the authority under which it served. GEN Washington realized these things and acted based on his knowledge. Had he done nothing else, this single act would have been enough to establish GEN George Washington as the father of his country.

GEN Washington at Newburgh

Following its victory at Yorktown in 1781, the Continental Army set up camp at Newburgh, New York, to wait for peace with Great Britain. The central government formed under the Articles of Confederation proved weak and unwilling to supply the Army properly or even pay the soldiers who had won the war for independence. After months of waiting many officers, angry and impatient, suggested that the Army march on the seat of government in Philadelphia, Pennsylvania, and force Congress to meet the Army's demands. One colonel even suggested that GEN Washington become King George I.

Upon hearing this, GEN Washington assembled his officers and publicly and emphatically rejected the suggestion. He believed that seizing power by force would have destroyed everything for which the Revolutionary War had been fought. By this action, GEN Washington firmly established an enduring precedent: America's armed forces are subordinate to civilian authority and serve the democratic principles that are now enshrined in the Constitution. GEN Washington's action demonstrated the loyalty to country that the Army must maintain in order to protect the freedom enjoyed by all Americans.

2-10. Loyalty is a two-way street: you should not expect loyalty without being prepared to give it as well. Leaders can neither demand loyalty nor win it from their people by talking about it. The loyalty of your people is a gift they give you when, and only when, you deserve it—when you train them well, treat them fairly, and live by the concepts you talk about. Leaders who are loyal to their subordinates never let them be misused.

2-11. Soldiers fight for each other—loyalty is commitment. Some of you will encounter the most important way of earning this loyalty: leading your soldiers well in combat. There's no loyalty fiercer than that of soldiers who trust their leader to take them through the dangers of combat. However, loyalty extends to all members of an organization—to your superiors and subordinates, as well as your peers.

2-12. Loyalty extends to all members of all components of the Army. The reserve components—Army National Guard and Army Reserve—play an increasingly active role in the Army's mission. Most DA civilians will not be called upon to serve in combat theaters, but their contributions to mission accomplishment are nonetheless vital. As an Army leader, you'll serve throughout your career with soldiers of the active and reserve components as well as DA civilians. All are members of the same team, loyal to one another.

DUTY

Fulfill your obligations.

The essence of duty is acting in the absence of orders or direction from others, based on an inner sense of what is morally and professionally right....

General John A. Wickham Jr.
Former Army Chief of Staff

2-13. Duty begins with everything required of you by law, regulation, and orders; but it includes much more than that. Professionals do their work not just to the minimum standard, but to the very best of their ability. Soldiers and DA civilians commit to excellence in all aspects of their professional responsibility so that when the job is done they can look back and say, "I couldn't have given any more."

2-14. Army leaders take the initiative, figuring out what needs to be done before being told what to do. What's more, they take full responsibility for their actions and those of their subordinates. Army leaders never shade the truth to make the unit look good—or even to make their subordinates feel good. Instead, they follow their higher duty to the Army and the nation.

Duty in Korea

CPT Viola B. McConnell was the only Army nurse on duty in Korea in July of 1950. When hostilities broke out, she escorted nearly 700 American evacuees from Seoul to Japan aboard a freighter designed to accommodate only 12 passengers. CPT McConnell assessed priorities for care of the evacuees and worked exhaustively with a medical team to care for them. Once in Japan, she requested reassignment back to Korea. After all she had already done, CPT McConnell returned to Taejon to care for and evacuate wounded soldiers of the 24th Infantry Division.

2-15. CPT McConnell understood and fulfilled her duty to the Army and to the soldiers she supported in ways that went beyond her medical training. A leader's duty is to take charge, even in unfamiliar circumstances. But duty isn't reserved for special occasions. When a platoon sergeant tells a squad leader to inspect weapons, the squad leader has fulfilled his minimum obligation when he has checked the weapons. He's done what he was told to do. But if the squad leader finds weapons that are not clean or serviced, his sense of duty tells him to go beyond the platoon sergeant's instructions. The squad leader does his duty when he corrects the problem and ensures the weapons are up to standard.

2-16. In extremely rare cases, you may receive an illegal order. Duty requires that you refuse to obey it. You have no choice but to do what's ethically and legally correct. Paragraphs 2-97 through 2-99 discuss illegal orders.

RESPECT

Treat people as they should be treated.

The discipline which makes the soldiers of a free country reliable in battle is not to be gained by harsh or tyrannical treatment. On the contrary, such treatment is far more likely to destroy than to make an army. It is possible to impart instruction and to give commands in such manner and such a tone of voice to inspire in the soldier no feeling but an intense desire to obey, while the opposite manner and tone of voice cannot fail to excite strong resentment and a desire to disobey. The one mode or the other of dealing with subordinates springs from a corresponding spirit in the breast of the commander. He who feels the respect which is due to others cannot fail to inspire in them regard for himself, while he who feels, and hence manifests, disrespect toward others, especially his inferiors, cannot fail to inspire hatred against himself.

Major General John M. Schofield
Address to the United States Corps of Cadets
11 August 1879

2-17. Respect for the individual forms the basis for the rule of law, the very essence of what makes America. In the Army, respect means recognizing and appreciating the inherent dignity and worth of all people. This value reminds you that your people are your greatest resource. Army leaders honor everyone's individual worth by treating all people with dignity and respect.

2-18. As America becomes more culturally diverse, Army leaders must be aware that they will deal with people from a wider range of ethnic, racial, and religious backgrounds. Effective leaders are tolerant of beliefs different from their own as long as those beliefs don't conflict with Army values, are not illegal, and are not unethical. As an Army leader, you need to avoid misunderstandings arising from cultural differences. Actively seeking to learn about people and cultures different from your own can help you do this. Being sensitive to other cultures can also aid you in counseling your people more effectively. You show respect when you seek to understand your people's background, see things from their perspective, and appreciate what's important to them.

2-19. As an Army leader, you must also foster a climate in which everyone is treated with dignity and respect regardless of race, gender, creed, or religious belief. Fostering this climate begins with your example: how you live Army values shows your people how they should live them. However, values training is another major contributor. Effective training helps create a common understanding of Army values and the standards you expect. When you conduct it as part of your regular routine—such as during developmental counseling sessions—you reinforce the message that respect for others is part of the character of every soldier and DA civilian. Combined with your example, such training creates an organizational climate that promotes consideration for others, fairness in all dealings, and equal opportunity. In essence, Army leaders treat others as they wish to be treated.

2-20. As part of this consideration, leaders create an environment in which subordinates are challenged, where they can reach their full potential and be all they can be. Providing tough training doesn't demean subordinates; in fact, building their capabilities and showing faith in their potential is the essence of respect. Effective leaders take the time to learn what their subordinates want to accomplish. They advise their people on how they can grow, personally and professionally. Not all of your subordinates will succeed equally, but they all deserve respect.

2-21. Respect is also an essential component for the development of disciplined, cohesive, and effective warfighting teams. In the deadly confusion of combat, soldiers often overcome incredible odds to accomplish the mission and protect the lives of their comrades. This spirit of selfless service and duty is built on a soldier's personal trust and regard for fellow soldiers. A leader's willingness to tolerate discrimination

or harassment on any basis, or a failure to cultivate a climate of respect, eats away at this trust and erodes unit cohesion. But respect goes beyond issues of discrimination and harassment; it includes the broader issue of civility, the way people treat each other and those they come in contact with. It involves being sensitive to diversity and one's own behaviors that others may find insensitive, offensive, or abusive. Soldiers and DA civilians, like their leaders, treat everyone with dignity and respect.

SELFLESS SERVICE

Put the welfare of the nation, the Army, and subordinates before your own.

The nation today needs men who think in terms of service to their country and not in terms of their country's debt to them.

General of the Army Omar N. Bradley

2-22. You have often heard the military referred to as "the service." As a member of the Army, you serve the United States. Selfless service means doing what's right for the nation, the Army, your organization, and your people—and putting these responsibilities above your own interests. The needs of the Army and the nation come first. This doesn't mean that you neglect your family or yourself; in fact, such neglect weakens a leader and can cause the Army more harm than good. Selfless service doesn't mean that you can't have a strong ego, high self-esteem, or even healthy ambition. Rather, selfless service means that you don't make decisions or take actions that help your image or your career but hurt others or sabotage the mission. The selfish superior claims credit for work his subordinates do; the selfless leader gives credit to those who earned it. The Army can't function except as a team, and for a team to work, the individual has to give up self-interest for the good of the whole.

2-23. Soldiers are not the only members of the Army who display selfless service. DA civilians display this value as well. Then Army Chief of Staff, Gordon R. Sullivan assessed the DA civilian contribution to Operation Desert Storm this way:

Not surprisingly, most of the civilians deployed to Southwest Asia volunteered to serve there. But the civilian presence in the Gulf region meant more than moral support and filling in for soldiers. Gulf War veterans say that many of the combat soldiers could owe their lives to the DA civilians who helped maintain equipment by speeding up the process of getting parts and other support from 60 logistics agencies Army-wide.

2-24. As GEN Sullivan's comment indicates, selfless service is an essential component of teamwork. Team members give of themselves so that the team may succeed. In combat some soldiers give themselves completely so that their comrades can live and the mission can be accomplished. But the need for selflessness isn't limited to combat situations. Requirements for individuals to place their own needs below those of their organization can occur during peacetime as well. And the requirement for selflessness doesn't decrease with one's rank; it increases. Consider this example of a soldier of long service and high rank who demonstrated the value of selfless service.

GA Marshall Continues to Serve

GA George C. Marshall served as Army Chief of Staff from 1939 until 1945. He led the Army through the buildup, deployment, and worldwide operations of World War II. Chapter 7 outlines some of his contributions to the Allied victory. In November 1945 he retired to a well-deserved rest at his home in Leesburg, Virginia. Just six days later President Harry S Truman called on him to serve as Special Ambassador to China. From the White House President Truman telephoned GA Marshall at his home: "General, I want you to go to China for me," the president said. "Yes, Mr. President," GA Marshall replied. He then hung up the telephone, informed his wife of the president's request and his reply, and prepared to return to government service.

GA Marshall Continues to Serve (continued)

President Truman didn't appoint GA Marshall a special ambassador to reward his faithful service; he appointed GA Marshall because there was a tough job in China that needed to be done. The Chinese communists under Mao Tse-tung were battling the Nationalists under Chiang Kai-shek, who had been America's ally against the Japanese; GA Marshall's job was to mediate peace between them. In the end, he was unsuccessful in spite of a year of frustrating work; the scale of the problem was more than any one person could handle. However, in January 1947 President Truman appointed GA Marshall Secretary of State. The Cold War had begun and the president needed a leader Americans trusted. GA Marshall's reputation made him the one; his selflessness led him to continue to serve.

2-25. When faced with a request to solve a difficult problem in an overseas theater after six years of demanding work, GA Marshall didn't say, "I've been in uniform for over thirty years, we just won a world war, and I think I've done enough." Instead, he responded to his commander in chief the only way a professional could. He said yes, took care of his family, and prepared to accomplish the mission. After a year overseas, when faced with a similar question, he gave the same answer. GA Marshall always placed his country's interests first and his own second. Army leaders who follow his example do the same.

HONOR

Live up to all the Army values.

What is life without honor? Degradation is worse than death.

Lieutenant General Thomas J. "Stonewall" Jackson

2-26. Honor provides the "moral compass" for character and personal conduct in the Army. Though many people struggle to define the term, most recognize instinctively those with a keen sense of right and wrong, those who live such that their words and deeds are above reproach. The expression "honorable person," therefore, refers to both the character traits an individual actually possesses and the fact that the community recognizes and respects them.

2-27. Honor holds Army values together while at the same time being a value itself. Together, Army values describe the foundation essential to develop leaders of character. Honor means demonstrating an understanding of what's right and taking pride in the community's acknowledgment of that reputation. Military ceremonies recognizing individual and unit achievement demonstrate and reinforce the importance the Army places on honor.

2-28. For you as an Army leader, demonstrating an understanding of what's right and taking pride in that reputation means this: **Live up to all the Army values**. Implicitly, that's what you promised when you took your oath of office or enlistment. You made this promise publicly, and the standards—Army values—are also public. To be an honorable person, you must be true to your oath and live Army values in all you do. Living honorably strengthens Army values, not only for yourself but for others as well: all members of an organization contribute to the organization's climate (which you'll read about in Chapter 3). By what they do, people living out Army values contribute to a climate that encourages all members of the Army to do the same.

2-29. How you conduct yourself and meet your obligations defines who you are as a person; how the Army meets the nation's commitments defines the Army as an institution. For you as an Army leader, honor means putting Army values above self-interest, above career and comfort. For all soldiers, it means putting Army values above self-preservation as well. This honor is essential for creating a bond of trust among members of the Army and between the Army and the nation it serves. Army leaders have the strength of will to live according to Army values, even though the temptations to do otherwise are strong, especially in the face of personal danger. The military's highest award is the Medal of Honor. Its recipients didn't do

just what was required of them; they went beyond the expected, above and beyond the call of duty. Some gave their own lives so that others could live. It's fitting that the word we use to describe their achievements is "honor."

MSG Gordon and SFC Shughart in Somalia

During a raid in Mogadishu in October 1993, MSG Gary Gordon and SFC Randall Shughart, leader and member of a sniper team with Task Force Ranger in Somalia, were providing precision and suppressive fires from helicopters above two helicopter crash sites. Learning that no ground forces were available to rescue one of the downed aircrews and aware that a growing number of enemy were closing in on the site, MSG Gordon and SFC Shughart volunteered to be inserted to protect their critically wounded comrades. Their initial request was turned down because of the danger of the situation. They asked a second time; permission was denied. Only after their third request were they inserted.

MSG Gordon and SFC Shughart were inserted one hundred meters south of the downed chopper. Armed only with their personal weapons, the two NCOs fought their way to the downed fliers through intense small arms fire, a maze of shanties and shacks, and the enemy converging on the site. After MSG Gordon and SFC Shughart pulled the wounded from the wreckage, they established a perimeter, put themselves in the most dangerous position, and fought off a series of attacks. The two NCOs continued to protect their comrades until they had depleted their ammunition and were themselves fatally wounded. Their actions saved the life of an Army pilot.

2-30. No one will ever know what was running through the minds of MSG Gordon and SFC Shughart as they left the comparative safety of their helicopter to go to the aid of the downed aircrew. The two NCOs knew there was no ground rescue force available, and they certainly knew there was no going back to their helicopter. They may have suspected that things would turn out as they did; nonetheless, they did what they believed to be the right thing. They acted based on Army values, which they had clearly made their own: *loyalty* to their fellow soldiers; the *duty* to stand by them, regardless of the circumstances; the *personal courage* to act, even in the face of great danger; *selfless service*, the willingness to give their all. MSG Gary I. Gordon and SFC Randall D. Shughart lived Army values to the end; they were posthumously awarded Medals of Honor.

INTEGRITY

Do what's right—legally and morally.

The American people rightly look to their military leaders not only to be skilled in the technical aspects of the profession of arms, but also to be men of integrity.

General J. Lawton Collins
Former Army Chief of Staff

2-31. People of integrity consistently act according to principles—not just what might work at the moment. Leaders of integrity make their principles known and consistently act in accordance with them. The Army requires leaders of integrity who possess high moral standards and are honest in word and deed. Being honest means being truthful and upright all the time, despite pressures to do otherwise. Having integrity means being both morally complete and true to yourself. As an Army leader, you're honest to yourself by committing to and consistently living Army values; you're honest to others by not presenting yourself or your actions as anything other than what they are. Army leaders say what they mean and do what they say. If you can't accomplish a mission, inform your chain of command. If you inadvertently pass on bad information, correct it as soon as you find out it's wrong. People of integrity do the right thing not because it's convenient or because

they have no choice. They choose the right thing because their character permits no less. Conducting yourself with integrity has three parts:

- Separating what's right from what's wrong.
- Always acting according to what you know to be right, even at personal cost.
- Saying openly that you're acting on your understanding of right versus wrong.

2-32. Leaders can't hide what they do: that's why you must carefully decide how you act. As an Army leader, you're always on display. If you want to instill Army values in others, you must internalize and demonstrate them yourself. Your personal values may and probably do extend beyond the Army values, to include such things as political, cultural, or religious beliefs. However, if you're to be an Army leader *and* a person of integrity, these values must reinforce, not contradict, Army values.

2-33. Any conflict between your personal values and Army values must be resolved before you can become a morally complete Army leader. You may need to consult with someone whose values and judgment you respect. You would not be the first person to face this issue, and as a leader, you can expect others to come to you, too. Chapter 5 contains the story of how SGT Alvin York and his leaders confronted and resolved a conflict between SGT York's personal values and Army values. Read it and reflect on it. If one of your subordinates asks you to help resolve a similar conflict, you must be prepared by being sure your own values align with Army values. Resolving such conflicts is necessary to become a leader of integrity.

PERSONAL COURAGE

Face fear, danger, or adversity (physical or moral).

The concept of professional courage does not always mean being as tough as nails either. It also suggests a willingness to listen to the soldiers' problems, to go to bat for them in a tough situation, and it means knowing just how far they can go. It also means being willing to tell the boss when he's wrong.

Former Sergeant Major of the Army William Connelly

2-34. Personal courage isn't the absence of fear; rather, it's the ability to put fear aside and do what's necessary. It takes two forms, physical and moral. Good leaders demonstrate both.

2-35. Physical courage means overcoming fears of bodily harm and doing your duty. It's the bravery that allows a soldier to take risks in combat in spite of the fear of wounds or death. Physical courage is what gets the soldier at Airborne School out the aircraft door. It's what allows an infantryman to assault a bunker to save his buddies.

2-36. In contrast, moral courage is the willingness to stand firm on your values, principles, and convictions—even when threatened. It enables leaders to stand up for what they believe is right, regardless of the consequences. Leaders who take responsibility for their decisions and actions, even when things go wrong, display moral courage. Courageous leaders are willing to look critically inside themselves, consider new ideas, and change what needs changing.

2-37. Moral courage is sometimes overlooked, both in discussions of personal courage and in the everyday rush of business. A DA civilian at a meeting heard *courage* mentioned several times in the context of combat. The DA civilian pointed out that consistent moral courage is every bit as important as momentary physical courage. Situations requiring physical courage are rare; situations requiring moral courage can occur frequently. Moral courage is essential to living the Army values of integrity and honor every day.

2-38. Moral courage often expresses itself as candor. Candor means being frank, honest, and sincere with others while keeping your words free from bias, prejudice, or malice. Candor means calling things as you see them, even when it's uncomfortable or you think it might be better for you to just keep quiet. It means not allowing your feelings to affect what you say about a person or situation. A candid company commander calmly points out the first sergeant's mistake. Likewise, the candid first

sergeant respectfully points out when the company commander's pet project isn't working and they need to do something different. For trust to exist between leaders and subordinates, candor is essential. Without it, subordinates won't know if they've met the standard and leaders won't know what's going on.

2-39. In combat physical and moral courage may blend together. The right thing to do may not only be unpopular, but dangerous as well. Situations of that sort reveal who's a leader of character and who's not. Consider this example.

WO1 Thompson at My Lai

Personal courage—whether physical, moral, or a combination of the two—may be manifested in a variety of ways, both on and off the battlefield. On March 16, 1968 Warrant Officer (WO1) Hugh C. Thompson Jr. and his two-man crew were on a reconnaissance mission over the village of My Lai, Republic of Vietnam. WO1 Thompson watched in horror as he saw an American soldier shoot an injured Vietnamese child. Minutes later, when he observed American soldiers advancing on a number of civilians in a ditch, WO1 Thompson landed his helicopter and questioned a young officer about what was happening on the ground. Told that the ground action was none of his business, WO1 Thompson took off and continued to circle the area.

When it became apparent that the American soldiers were now firing on civilians, WO1 Thompson landed his helicopter between the soldiers and a group of 10 villagers who were headed for a homemade bomb shelter. He ordered his gunner to train his weapon on the approaching American soldiers and to fire if necessary. Then he personally coaxed the civilians out of the shelter and airlifted them to safety. WO1 Thompson's radio reports of what was happening were instrumental in bringing about the cease-fire order that saved the lives of more civilians. His willingness to place himself in physical danger in order to do the morally right thing is a sterling example of personal courage.

LEADER ATTRIBUTES

Leadership is not a natural trait, something inherited like the color of eyes or hair…Leadership is a skill that can be studied, learned, and perfected by practice.

The Noncom's Guide, 1962

Figure 2-2. Leader Attributes

2-40. Values tell us part of what the leader must BE; the other side of what a leader must BE are the attributes listed in Figure 2-2. Leader attributes influence leader actions; leader actions, in turn, always influence the unit or organization. As an example, if you're physically fit, you're more likely to inspire your subordinates to be physically fit.

2-41. Attributes are a person's fundamental qualities and characteristics. People are born with some attributes; for instance, a person's genetic code determines eye, hair, and skin color. However, other attributes—including leader attributes—are learned and can be changed. Leader attributes can be characterized as mental, physical, and emotional. Successful leaders work to improve those attributes.

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ETHICAL REASONING

4-24. Ethical leaders do the right things for the right reasons all the time, even when no one is watching. But figuring out what's the "right" thing is often, to put it mildly, a most difficult task. To fulfill your duty, maintain your integrity, and serve honorably, you must be able to reason ethically.

4-25. Occasionally, when there's little or no time, you'll have to make a snap decision based on your experience and intuition about what feels right. For Army leaders, such decisions are guided by Army values (discussed in Chapter 2), the institutional culture, and the organizational climate (discussed in Chapter 3). These shared values then serve as a basis for the whole team's buying into the leader's decision. But comfortable as this might be, you should not make all decisions on intuition.

4-26. When there's time to consider alternatives, ask for advice, and think things through, you can make a deliberate decision. First determine what's legally right by law and regulation. In gray areas requiring interpretation, apply Army values to the situation. Inside those boundaries, determine the best possible answer from among competing solutions, make your decision, and act on it.

4-27. The distinction between snap and deliberate decisions is important. In many decisions, you must think critically because your intuition—what feels right—may lead to the wrong answer. In combat especially, the intuitive response won't always work.

4-28. The moral application of force goes to the heart of military ethics. S. L. A. Marshall, a military historian as well as a brigadier general, has written that the typical soldier is often at a disadvantage in combat because he "comes from a civilization in which aggression, connected with the taking of a human life, is prohibited and unacceptable." Artist Jon Wolfe, an infantryman in Vietnam, once said that the first time he aimed his weapon at another human being, a "little voice" in the back of his mind asked, "Who gave you permission to do this?" That "little voice" comes, of course, from a lifetime of living within the law. You can determine the right thing to do in these very unusual circumstances only when you apply ethical as well as critical reasoning.

4-29. The right action in the situation you face may not be in regulations or field manuals. Even the most exhaustive regulations can't predict every situation. They're designed for the routine, not the exceptional. One of the most difficult tasks facing you as an Army leader is determining when a rule or regulation simply doesn't apply because the situation you're facing falls outside the set of conditions envisioned by those who wrote the regulation. Remember COL Chamberlain on Little Round Top. The drill manuals he had studied didn't contain the solution to the tactical problem he faced; neither this nor any other manual contain "cookbook" solutions to ethical questions you will confront. COL Chamberlain *applied* the doctrine he learned from the drill manuals. So you should apply Army values, your knowledge, and your experience to any decision you make and be prepared to accept the consequences of your actions. Study, reflection, and ethical reasoning can help you do this.

4-30. Ethical reasoning takes you through these steps:

- Define the problem.
- Know the relevant rules.
- Develop and evaluate courses of action.
- Choose the course of action that best represents Army values.

4-31. These steps correspond to some of the steps of the decision making leadership action in Chapter 5. Thus, ethical reasoning isn't a separate process you trot out only when you think you're facing an ethical question. It should be part of the thought process you use to make any decision. Your subordinates count on you to do more than make tactically sound decisions. They rely on you to make decisions that are ethically sound as well. You should always consider ethical factors and, when necessary, use Army values to gauge what's right.

4-32. That said, not every decision is an ethical problem. In fact, most decisions are ethically neutral. But that doesn't mean you don't have

to think about the ethical consequences of your actions. Only if you reflect on whether what you're asked to do or what you ask your people to do accords with Army values will you develop that sense of right and wrong that marks ethical people and great leaders. That sense of right and wrong alerts you to the presence of ethical aspects when you face a decision.

4-33. Ethical reasoning is an art, not a science, and sometimes the best answer is going to be hard to determine. Often, the hardest decisions are not between right and wrong, but between shades of right. Regulations may allow more than one choice. There may even be more than one good answer, or there may not be enough time to conduct a long review. In those cases, you must rely on your judgment.

Define the Problem

4-34. Defining the problem is the first step in making any decision. When you think a decision may have ethical aspects or effects, it's especially important to define it precisely. Know who said what—and what specifically was said, ordered, or demanded. Don't settle for secondhand information; get the details. Problems can be described in more than one way. This is the hardest step in solving any problem. It's especially difficult for decisions in the face of potential ethical conflicts. Too often some people come to rapid conclusions about the nature of a problem and end up applying solutions to what turn out to be only symptoms.

Know the Relevant Rules

4-35. This step is part of fact gathering, the second step in problem solving. Do your homework. Sometimes what looks like an ethical problem may stem from a misunderstanding of a regulation or policy, frustration, or overenthusiasm. Sometimes the person who gave an order or made a demand didn't check the regulation and a thorough reading may make the problem go away. Other times, a difficult situation results from trying to do something right in the wrong way. Also, some regulations leave room for interpretation; the problem then becomes a policy matter rather than an ethical one. If you do perceive an ethical problem, explain it to the person you think is causing it and try to come up with a better way to do the job.

Develop and Evaluate Courses of Action

4-36. Once you know the rules, lay out possible courses of action. As with the previous steps, you do this whenever you must make a decision. Next, consider these courses of action in view of Army values. Consider the consequences of your courses of action by asking yourself a few practical questions: Which course of action best upholds Army values? Do any of the courses of action compromise Army values? Does any course of action violate a principle, rule, or regulation identified in Step 2? Which course of action is in the best interest of the Army and of the nation? This part will feel like a juggling act; but with careful ethical reflection, you can reduce the chaos, determine the essentials, and choose the best course—even when that choice is the least bad of a set of undesirable options.

Choose the Course of Action That Best Represents Army Values

4-37. The last step in solving any problem is making a decision and acting on it. Leaders are paid to make decisions. As an Army leader, you're expected—by your bosses and your people—to make decisions that solve problems without violating Army values.

4-38. As a values-based organization, the Army uses expressed values—Army values—to provide its fundamental ethical framework. Army values lay out the ethical standards expected of soldiers and DA civilians. Taken together, Army values and ethical decision making provide a moral touchstone and a workable process that enable you to make sound ethical decisions and take right actions confidently.

4-39. The ethical aspects of some decisions are more obvious that those of others. This example contains an obvious ethical problem. The issues will seldom be so clear-cut; however, as you read the example, focus on the steps SGT Kirk follows as he moves toward an ethical decision. Follow the same steps when you seek to do the right thing.

PRACTICAL EXERCISE 1

Title

Case Studies

Lesson Number / Title

L338 version 1 / Apply the Ethical Decision-Making Method at Small Unit Level

Introduction

Sometimes simple situations can create an ethical dilemma that can evolve into a more serious problem if not dealt with properly.

Motivator

This practical exercise assists you in gaining a better understanding of the Ethical Reasoning Process and its value to you as leader.

Terminal Learning Objective

NOTE: The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise.

At the completion of this lesson, you [the student] will:

Action:	Employ the ethical decision-making process to resolve an ethical problem.
Conditions:	As a small unit leader in a company or battalion level unit given a case study, references, and class notes.
Standards:	Employed the ethical decision-making process to resolve an ethical problem using sound reasoning and judgment in the application of the Ethical Reasoning Process as evidenced by selecting the correct course of action during the instructor-led practical exercise.

Safety Requirements

None

Risk Assessment

Low

Environmental Considerations

None

Evaluation

In resolving the ethical problem depicted in the case study, you apply the Ethical Reasoning Process to develop possible courses of action and the solution that best represents Army values. This solution demonstrates how the Ethical Reasoning Process works.

Instructional Lead-In

None

Resource Requirements	**Instructor Materials:** • FM 22-100, Army Leadership, 1999. • Pencil and paper. **Student Materials:** • Student Handouts. • PE-1 Case Studies. • Pencil or pen and paper.
Special Instructions	None
Procedures	None
Feedback Requirements	None

CASE STUDIES
for
L338
Apply the Ethical Decision-Making Method at Small Unit Level

United States Army
Basic Noncommissioned Officer Course

CASE STUDY #1

The Case of Good Causes

SGT Malone voluntarily works with homeless children in the Pittsburgh area, devoting extensive off-duty time to alleviate a developing social problem. City authorities have determined that homeless adolescents commit a significant percentage of city crimes. A program that SGT Malone developed has made a difference. His company commander is fully aware of and supports his efforts.

Now he has come to you with a request that you approve a function at the Armory—a meeting SGT Malone is calling the United Nations (UN) of Pittsburgh. He has at long last persuaded the leaders of three rival teenage gangs to sit down together at a social function. However, in organizing the meeting, he must get you to sign a form declaring the activity an official military function. Without the signed form, the civilian building supervisor will not allow the activity to proceed.

Your superior is in Europe on vacation and unavailable for advice or approval. You reflect that he has been cracking down on the misuse of government facilities, especially misuses carrying a price tag for the Army. SGT Malone's efforts are strictly private and off-duty.

SGT Malone emphasized that the UN meeting will probably make or break his efforts to straighten out kids in his program. The Armory, he explains, is the only neutral location he can use. He asks you with great intensity, "Will you please sign off on the request for me and the kids?"

Questions:

1. How would you answer?

2. What ethical problem do you face?

3. What Army values apply to this situation?

CASE STUDY # 2

The Case of Commitment to Service

SGT Alioto grew up on a remote Pacific island before moving with his family to the United States (U.S.), where they prospered through hard work. He is apparently the only NCO in the Army who speaks a language variant called Tagalog D.

SGT Alioto faces a difficult personal situation. His widowed mother has never learned English and now lives with him. She depends on him to assist in family financial affairs. Sergeant Alioto's only daughter, three years old, was born with a severe physical abnormality that requires four hours of administered exercise each day. He shares this task with his wife who otherwise would have difficulty coping.

Now the Army needs SGT Alioto as well—for an unaccompanied assignment in the Pacific where the US is building a major new forward support base for naval forces as well as for an Army unit. SGT Alioto's language skill, he is told, will be critical in working with some local ethnic groups who are resisting the long-term agreement into which the island government has entered with the U.S. SGT Alioto is considering whether to request that the Army revoke his assignment instructions for compassionate reasons as well as considering what he will do if the Army denies his request.

Questions:

1. What would you advise him to do?

2. What moral and ethical dilemmas does SGT Alioto face?

3. What Army values are applicable to this situation?

CASE STUDY #3

Abu Ghraib Prison

(***NOTE:*** The lesson developer compiled this case study from *New Yorker Magazine* and *Newhouse News articles*).

In the era of Saddam Hussein, Abu Ghraib, twenty miles west of Baghdad, was one of the world's most notorious prisons, with torture, weekly executions, and vile living conditions. As many as fifty thousand men and women—no accurate count is possible—were jammed into Abu Ghraib at one time, in twelve-by-twelve-foot cells that were little more than human holding pits.

In the looting that followed the regime's collapse in April 2003, the huge prison complex, by then deserted, was stripped of everything that could be removed, including doors, windows, and bricks. Coalition authorities had the cells cleaned and repaired; floors tiled; toilets, showers, and a new medical center added. Abu Ghraib was now a U.S. military prison. Most prisoners, numbering several thousand, were civilians including women and teenagers picked up during random military sweeps and at highway checkpoints. They fell into three loosely defined categories: common criminals; security detainees suspected of "crimes against the coalition;" and a small number were suspected "high-value" leaders of the insurgency against the coalition forces.

In June 2003, the U.S. Army selected Janis Karpinski, an Army reserve brigadier general, as the commander of the 800th Military Police Brigade and put her in charge of military prisons in Iraq. While General Karpinski, the only female commander in the war zone, was an experienced operations and intelligence officer having served with the Special Forces and in the 1991 Gulf War; she had never run a prison system. She was in charge of 3 large jails, 8 battalions, and 3,400 Army reservists, most of whom, like her, had no training in handling prisoners.

A month later, Brigadier General Karpinski was formally admonished and quietly suspended, and a major investigation into the Army's prison system, authorized by Lieutenant General Ricardo S. Sanchez, the senior commander in Iraq, was under way. A fifty-three-page report, obtained by *The New Yorker*, written by Major General Antonio M. Taguba and not meant for public release, was completed in late February 2004. Its conclusions about the institutional failures of the Army prison system were devastating. Specifically, MG Taguba found that between October and December of 2003 there were numerous instances of "sadistic, blatant, and wanton criminal abuses" at Abu Ghraib. This systematic and illegal abuse of detainees, Taguba reported, was perpetrated by soldiers of the 372nd Military Police (MP) Company and by members of the American intelligence community. The 372nd was attached to the 320th MP Battalion, that reported to Karpinski's brigade headquarters. Taguba's report quoted below listed some of the wrongdoing:

> *Breaking chemical lights and pouring the phosphoric liquid on detainees; pouring cold water on naked detainees; beating detainees with a broom handle and a chair; threatening male detainees with rape; allowing a military police guard to stitch the wound of a detainee who was injured*

> *after being slammed against the wall in his cell; sodomizing a detainee with a chemical light and perhaps a broom stick, and using military working dogs to frighten and intimidate detainees with threats of attack, and in one instance actually biting a detainee.*

There was stunning evidence to support the allegations, Taguba added, “detailed witness statements and the discovery of extremely graphic photographic evidence.” Photographs and videos taken by the soldiers as the abuses were happening were not included in his report, Taguba said, because of their “extremely sensitive nature.”

The photographs—several of which were broadcast on CBS’s “60 Minutes II” last week—show leering soldiers taunting naked Iraqi prisoners who are forced to assume humiliating poses. Six suspects—one staff sergeant who was the senior enlisted man; one sergeant, three specialists, and one private—are now facing prosecution in Iraq, on charges that include conspiracy, dereliction of duty, cruelty toward prisoners, maltreatment, assault, and indecent acts. A seventh suspect, another private, returned to Fort Bragg, North Carolina, after becoming pregnant.

The 372nd’s abuse of prisoners seemed almost routine – a fact of Army life that the soldiers felt no need to hide. On 9 April 2004, at an Article 32 hearing (the military equivalent of a grand jury) in the case against the sergeant, at Camp Victory, near Baghdad, a specialist witnesses, an M.P., told the courtroom what happened when he and other soldiers delivered seven prisoners, hooded and bound, to the so-called “hard site” at Abu Ghraib—seven tiers of cells where the inmates who were considered the most dangerous were housed. The men had been accused of starting a riot in another section of the prison. The MP specialist stated*:*

> *[An NCO] grabbed my prisoner and threw him into a pile. . . . I do not think it was right to put them in a pile. I saw [three of the NCOs working in the prision] walking around the pile hitting the prisoners. I remember the staff sergeant hitting one prisoner in the side of its [sic] ribcage. The prisoner was no danger to the staff sergeant. I left after that.*

Orders allegedly came from both military intelligence officers and civilian consultants -- members of that class of Iraq warrior ever-so-euphemistically referred to as "private contractors," which is Pentagon-speak for paid mercenaries and "security" experts.

Questions:

1. What ethical and moral situations did all the soldiers in this situation face?

2. What Army values apply to this situation?

3. What would you have done? Explain the ethical and moral implications of the actions you chose.

4. Is it OK to torture enemy prisoners to get information that might save American lives? Why or why not?

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