

**PRIMARY LEADERSHIP DEVELOPMENT
COURSE (400-00-PLDC), June 2001**

**BOOK 2
Preresident Package**

Preresident



Instruction

**The Army Training System (TATS)
Courseware**

Prepared by
The United States Army Sergeants Major Academy
Fort Bliss, Texas 79918-8002

**FOR THE ARMY SCHOOL SYSTEM (TASS)
INSTITUTIONS**

This Preresident Package includes all changes up to June 2001.

FIELDING DATE: Oct 01

Non-Recoverable Instructional material

This instructional material is Non-Recoverable

STUDENTS MUST COMPLETE this booklet prior to attending the resident portion of training. Also, you **MUST** bring this book with to the resident phase of PLDC. You will need the information in it to successfully complete the resident phase. You may use this booklet during your examinations as a reference in the resident portion of training.

By agreement the United States Army Training Support Center (ATSC), will print and distribute bulk quantities of the PLDC preresident instruction package to the orders publishing authority for USAR soldiers and the state command sergeant major for national guard soldiers. The student load annotated during the Structure Management Decision Review (SMDR) process determines the quantities of packets required. Distribution responsibilities are as follows:

National Guard. The respective State Command Sergeant Major will forward the preresident instruction package to all National Guard soldiers selected for PLDC-RC a minimum of **45 working days** before the reporting date.

United States Army Reserve. The respective orders publishing authority will ensure USAR soldiers selected for PLDC-RC receive a copy of the preresident instruction package a minimum of **45 working days** before the reporting date. Normally, the publishing authority will forward the preresident instruction package with the orders.

Commanders may download this Preresident Instruction booklet for issue to soldiers from the Internet at www.adtdl.army.mil/atdls.htm or the USASMA homepage at <http://usasma.bliss.army.mil/>, Directorate of Training and Doctrine (DOTD).

- Downloading from the www.adtdl.army.mil/atdls.htm (Dennis Reimer Digital Library)
 - Click on "Enter the Library."
 - In the "Search Form" block, left side under "Type", scroll down and click on "Total Army School System."
 - On the right side of the "Search Form" block under "School" scroll down and click on "Sergeants Major Academy."
 - Click on "Submit."

Printed and distributed by: U.S. Army Training Support Center, Training Media Support Directorate, Training Media Management Team, Ft. Eustis, VA 23604-5168

NONRECOVERABLE PUBLICATION

PRIMARY LEADERSHIP DEVELOPMENT COURSE (400-00-PLDC), June 2001



Preresident

Instruction

Student's Name: _____
Unit of Assignment: _____
SGL: _____
Class #: _____
Student # _____

The Army Training System (TATS) Courseware

This Preresident Instruction booklet replaces the preresident instruction booklet dated July 2000 and incorporates change 1 dated October 2000.

Prepared by
The United States Army Sergeants Major Academy
Fort Bliss, Texas 79918-8002

**FOR THE ARMY SCHOOL SYSTEM (TASS)
INSTITUTIONS**

FIELDING DATE: Oct 01

This page intentionally left blank

This instructional material is NON-RECOVERABLE

STUDENTS: Do not take the contents of this preresident course read-ahead lightly. You **MUST** bring this book with you to the resident phase of PLDC. **You will need the information in it to successfully complete the resident phase. You may use this booklet during your examinations as a reference in the resident portion of training.**

Students MUST COMPLETE this booklet prior to attending the resident portion of training.

IAW The Total Army Training System Course Managers Guide (PLDC), JUN 2001

By agreement the United States Army Training Support Center (ATSC), will print and distribute bulk quantities of the PLDC preresident instruction package to the orders publishing authority for USAR soldiers and the state command sergeant major for national guard soldiers. The student load annotated during the Structure Management Decision Review (SMDR) process determines the quantities of packets required. Distribution responsibilities are as follows:

National Guard. The respective State Command Sergeant Major will forward the preresident instruction package to all National Guard soldiers selected for PLDC-RC a minimum of **45 working days** before the reporting date.

United States Army Reserve. The respective orders publishing authority will ensure USAR soldiers selected for PLDC-RC receive a copy of the preresident instruction package a minimum of **45 working days** before the reporting date. Normally, the publishing authority will forward the preresident instruction package with the orders.

Commanders may download this Preresident Instruction booklet for issue to soldiers from the Internet at www.adtdl.army.mil/atdls.htm or the USASMA homepage at <http://usasma.bliss.army.mil/>, Directorate of Training and Doctrine (DOTD).

- Downloading from the www.adtdl.army.mil/atdls.htm (Dennis Reimer Digital Library)
 - Click on "Enter the Library."
 - In the "Search Form" block, left side under "Type", scroll down and click on "Total Army School System."
 - On the right side of the "Search Form" block under "School" scroll down and click on "Sergeants Major Academy."
 - Click on "Submit."
-

- Downloading from the USASMA homepage www.usasma.bliss.army.mil:
 - Under "Training and Doctrine" click on "PLDC Course."
 - Click on "Student Links."
 - Click on "PLDC Preresident Instruction."

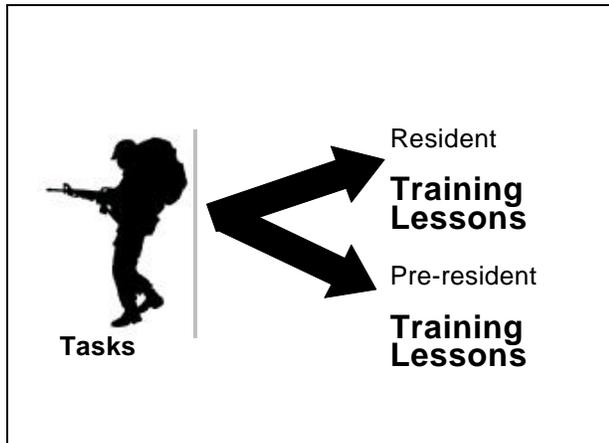
Regional NCOAs may place this packet onto their web page to allow students who did not receive their packets, to download this preresident package.

Purpose of This Instruction These three preresident instruction modules “set the stage” for your two weeks of resident instruction. The material contained in these modules will help you to prepare for group discussions and continued learning while in the resident phase.

You will not receive additional instruction in the resident phase on some of the lessons provided in these modules. The next two pages provide you a quick reference of where you will cover each lesson contained in this preresident package.

Course Subject Areas The total (preresident and resident) course consists of these subject areas:

- Military Studies
- Leadership
- Communication Skills
- Supply/Maintenance
- Professional Skills
- Training



Preresident Materials There are three preresident modules.

1. The NCO.
2. Leading Soldiers.
3. Maintaining Your Team

**Module 1,
The NCO**

The module titled “The NCO” contains three lessons. You will receive instruction on these lessons in the preresident phase or resident phase, or a combination of both, as shown below.

| Lesson Title | Preresident | Resident |
|--|--------------------|-----------------|
| Identify the Historical Progression and Significant Contributions of the Noncommissioned Officer Corps. (P205) | ✓ | |
| Duties, Responsibilities, and Authority of the NCO (L202) | ✓ | ✓ |
| Maintain Discipline (P206) | ✓ | |

**Module 2,
Leading
Soldiers**

The module title “Leading Soldiers” contains five lessons. You will receive instruction on these lessons in the preresident phase or resident phase, or a combination of both, as shown below.

| Lesson Title | Preresident | Resident |
|---|--------------------|-----------------|
| Introduction to Army Leadership (L201) | ✓ | ✓ |
| What a Leader Must BE-KNOW-DO (L203) | ✓ | ✓ |
| Effective Communications (C202) | ✓ | |
| Conduct Developmental Counseling (L204) | ✓ | ✓ |
| Soldier Team Development (L207) | ✓ | |

**Module 3,
Maintaining
Your Team**

The module titled “Maintain Your Team” contains two lessons. You will receive instruction on these lessons in the preresident phase or resident phase, or a combination of both, as shown below.

| Lesson Title | Preresident | Resident |
|--------------------------|--------------------|-----------------|
| Supervise PMCS (R202) | ✓ | ✓ |
| Supply Procedures (R201) | ✓ | |

This Material is Testable

During the resident phase of your training, you will receive two written examinations on material contained in these modules. To succeed in this course, you must devote time to studying this material and completing the “Check Your Learning” tests provided at the end of each lesson and module.

The examinations are open book, and **you may use this book as a reference.**

Do not take the contents of this preresident course read-ahead lightly. You **MUST** bring this book with you to the resident phase of PLDC. You will need the information in it to successfully complete the resident phase.

How to Complete this Training

Follow these guidelines as you begin work on this material.

| Step | Action | | | | | | |
|-----------------------|---|-----|-------|-----------------------|---------------------|-------------------|--|
| 1 | Inventory your materials. You should have three modules. You should check the contents of each module against the table of contents to ensure that all pages are present in the package. <table border="1" data-bbox="558 997 1414 1249"> <thead> <tr> <th data-bbox="558 997 954 1066">IF:</th> <th data-bbox="954 997 1414 1066">THEN:</th> </tr> </thead> <tbody> <tr> <td data-bbox="558 1066 954 1121">all pages are present</td> <td data-bbox="954 1066 1414 1121">continue to step 2.</td> </tr> <tr> <td data-bbox="558 1121 954 1249">pages are missing</td> <td data-bbox="954 1121 1414 1249">Contact the NCOA you will attend (see page v for contact numbers).</td> </tr> </tbody> </table> | IF: | THEN: | all pages are present | continue to step 2. | pages are missing | Contact the NCOA you will attend (see page v for contact numbers). |
| IF: | THEN: | | | | | | |
| all pages are present | continue to step 2. | | | | | | |
| pages are missing | Contact the NCOA you will attend (see page v for contact numbers). | | | | | | |
| 2 | Read each lesson in detail. | | | | | | |
| 3 | Complete the check your learning test at the end of each lesson. | | | | | | |
| 4 | Review your answers using the answer key and feedback sheet provided. If you do not understand why you chose an incorrect response, call the Noncommissioned Officer Academy (NCOA) that you will attend for assistance (see page v for contact numbers). | | | | | | |
| 5 | Review each module after completing the last lesson in the module. | | | | | | |
| 6 | Complete the check your learning test at the end of each module. | | | | | | |

How to Complete This Training, continued

| Step | Action |
|------|--|
| 7 | Review your answers using the answer key and feedback sheet provided. If you do not understand why you chose an incorrect response, see step 4. |
| 8 | Complete each module using steps 2 through 7. |
| 9 | Review all material the week prior to attending the resident phase. |
| 10 | Take this material with you to the resident phase. |
| 11 | Review this material prior to taking the two open book written tests during the resident phase. You may use this book as a reference during the examinations. |

References

There are no additional study references for this preresident course.

Content Inquires

If you have questions about the lesson content, administrative issues, or missing material, contact the NCOA you will attend.

Region A: NCOA BN, Ft. Dix, NJ. CML: (609) 562-3002 or DSN: 944-3002.

Region B: NCOA BN, Anneville, PA. CML: (717) 861-8863 or DSN: 491-8863/8876.

Region B: 3747th USARF School, Grafenwoehr, Germany, Overseas: 011-49-9641-83-6032/8027, Worldwide DSN: (314) 475-6032/8027.

Region C: NCOA BN, Eastover, SC. CML: (803) 806-2351 or DSN: 583-2351

Region C: 201st MFB, Puerto Rico, CML: (787) 837-4118/7193 (No DSN).

Region D: NCOA BN, Camp Shelby, MS. CML: (601) 558-2753/2234 or DSN: 921-2753/2234.

Region E: NCOA BN, Ft. McCoy, WI. CML: (608) 388-3744 or DSN: 280-3744.

Region F: NCOA BN, Camp Cook, LA. CML: (318) 640-2850, (No DSN).

Region F: NCOA BN, Camp Ashland, NE. CML: (402) 944-2479/7209 or DSN: 946-7209/2479.

Region G: NCOA BN, Ft. Lewis, WA. CML: (253) 967-5571 or DSN: 357-5571.

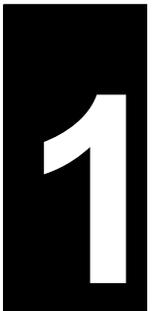
Region G: NCOA BN, Camp Williams, UT, CML: (801) 253-5747/5748, DSN: 766-5747.

Region G: 207th MFB, Ft. Richardson, AK, CML: (907) 428-6862.

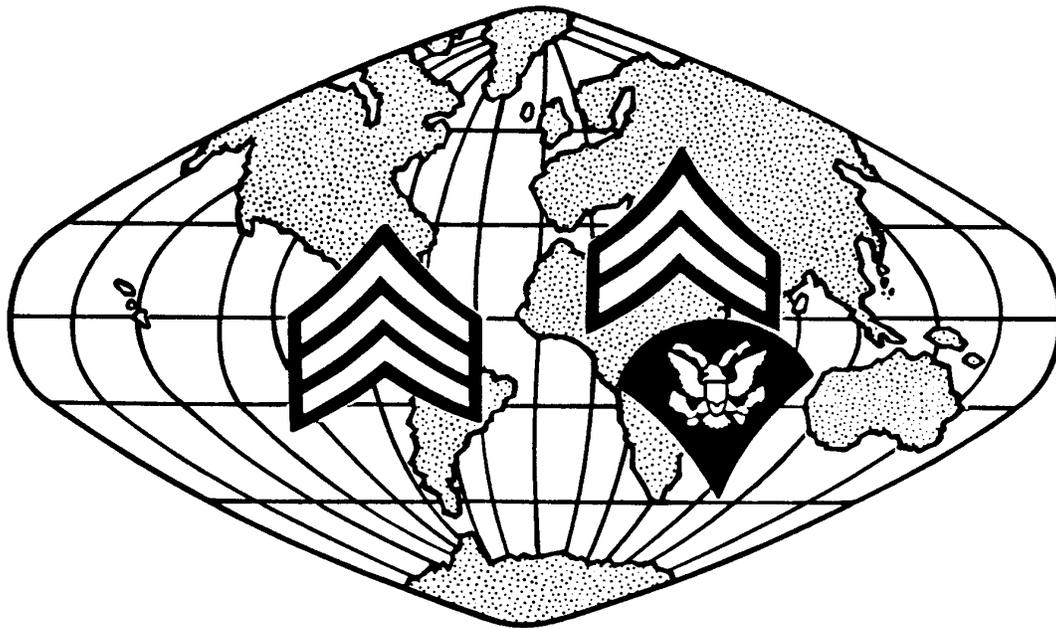
Region G: 298th MFB, Waimanalo, HI, CML: (808) 259-0473/0475.

This page intentionally left blank

MODULE-1
PRIMARY LEADERSHIP DEVELOPMENT COURSE



THE NCO



June 1, 2001
Preresident Training Support Package

U.S. ARMY SERGEANTS MAJOR ACADEMY
FORT BLISS, TEXAS 79918-8002

This page intentionally left blank

Table of Contents

Module 1, The NCO

| <u>Section</u> | | <u>Page</u> |
|----------------|--|-------------|
| Module 1 | Identify the Historical Progression and Significant Contributions of | 1-1-1 |
| Lesson 1 | the Noncommissioned Officer Corps. (P205) | |
| 1-1 | Lesson Overview | 1-1-1 |
| 1-1-1 | Introduction | 1-1-3 |
| 1-1-2 | Identify the Role of the NCO Existing in the Pre-Revolutionary War period. | 1-1-3 |
| 1-1-3 | Identify the Role of the NCO During the Revolutionary War. | 1-1-4 |
| 1-1-4 | Identify the Role of the NCO During the War of 1812. | 1-1-5 |
| 1-1-5 | Identify the Role of the NCO During the Civil War. | 1-1-6 |
| 1-1-6 | Identify the Role of the NCO During World War I. | 1-1-7 |
| 1-1-7 | Identify the Role of the NCO During World War II. | 1-1-8 |
| 1-1-8 | Identify the Role of the NCO During the Korean Conflict. | 1-1-8 |
| 1-1-9 | Identify the Role of the NCO During the Vietnam Conflict. | 1-1-9 |
| 1-1-10 | Identify the Role of the NCO as it Exists Today. | 1-1-11 |
| 1-1-11 | Lesson Review | 1-1-14 |
| 1-1-12 | Check Your Learning | 1-1-17 |
| 1-1-13 | Answer Key and Feedback | 1-1-19 |
| | | |
| Lesson 2 | Duties, Responsibilities, and Authority of NCOs (L202) | 1-2-1 |
| 1-2 | Lesson Overview | 1-2-1 |
| 1-2-1 | Introduction | 1-2-2 |
| 1-2-2 | Identify the Difference Between Command Authority and General Military Authority | 1-2-2 |
| 1-2-3 | Identify Specified and Implied Missions. | 1-2-5 |
| 1-2-4 | Identify the Difference Between Individual and Command Responsibility | 1-2-6 |
| 1-2-5 | Identify Policy, Goal, and Objectives of the Noncommissioned Officer Development Program (NCODP). | 1-2-7 |
| 1-2-6 | Lesson Review | 1-2-12 |
| 1-2-7 | Check Your Learning | 1-2-13 |
| 1-2-8 | Answer Key and Feedback | 1-2-15 |

Table of Contents, cont

| <u>Section</u> | <u>Page</u> | |
|----------------------------------|--|--------|
| Lesson 3 | Maintain Discipline (P206) | 1-3-1 |
| 1-3 | Lesson Overview | 1-3-1 |
| 1-3-1 | Introduction | 1-3-2 |
| 1-3-2 | Identify the Differences Between Discipline and Self-Discipline | 1-3-2 |
| 1-3-3 | Identify the Difference Between Non-Judicial Punishment and Non-Punitive Measures | 1-3-3 |
| 1-3-4 | Determine Which Corrective Measures are Available that Best Support Your Role in Maintaining Unit Discipline | 1-3-4 |
| 1-3-5 | Identify Legal Implications of the DoD Homosexual Policy | 1-3-7 |
| 1-3-6 | Lesson Review. | 1-3-12 |
| 1-3-7 | Check Your Learning | 1-3-15 |
| 1-3-8 | Answer Key and Feedback | 1-3-17 |
| Module 1—Check Your Learning | | 1-4-1 |
| Module 1—Answer Key and Feedback | | 1-5-1 |

Module 1 Lesson 1

Identify the Historical Progression and Significant Contributions of the Noncommissioned Officer Corps. (P205)

1-1. Lesson Overview:

Lesson Presentation This lesson presents the historical progression and significant contributions of the NCO Corps from the Pre-Revolutionary days to the present.

Lesson Content, Terminal Learning Objective, (TLO) and, Enabling Learning Objectives (ELOs)

| Topic | Page |
|--|--------|
| TLO: Identify the historical progression and significant contributions of the noncommissioned officer corps. | NA |
| Introduction | 1-1-3 |
| ELO 1: Identify the role of the NCO existing in the Pre-Revolutionary War period. | 1-1-3 |
| ELO 2: Identify the role of the NCO during the Revolutionary War. | 1-1-4 |
| ELO 3: Identify the role of the NCO during the War of 1812. | 1-1-5 |
| ELO 4: Identify the role of the NCO during the Civil War. | 1-1-6 |
| ELO 5: Identify the role of the NCO during World War I. | 1-1-7 |
| ELO 6: Identify the role of the NCO during World War II. | 1-1-8 |
| ELO 7: Identify the role of the NCO during the Korean Conflict. | 1-1-8 |
| ELO 8: Identify the role of the NCO during the Vietnam Conflict. | 1-1-9 |
| ELO 9: Identify the role of the NCO, as it exists today. | 1-1-11 |
| Lesson Review | 1-1-14 |
| Check Your Learning | 1-1-17 |
| Answer Key and Feedback | 1-1-19 |

References

The following table lists the references for this lesson.

| Number | Title | Date |
|-------------------|---|-------------|
| FM 22-100 | Army Leadership | Aug 99 |
| Photos and Images | Center for Military History, The story of the noncommissioned officer corps. http://www.army.mil/cmh | 2000 |

1-1-1. Introduction

Purpose

The historical evolution of the NCO is full of pride and tradition. It is your responsibility to know this history and to pass it on to future generations of enlisted soldiers.

This lesson provides you with an understanding of the role and historical development of the NCO.

NOTE: This prereзидент package provides material that you will not cover in the resident phase of training.

Introduction

Although NCOs today receive better training and are more professional than ever, the achievements of your predecessors contributed much to your career. Get to know them. You will see that the NCOs of the past are as much your comrades in arms as the men and women you train with in the Primary Leadership Development Course (PLDC). You will become the NCO the Army looks upon to train, test, judge, reward, and discipline soldiers of today, as well as in the future.

The historical evolution of the NCO is one full of pride and tradition. The opening line of the NCO Creed, "No one is more professional than I," is not only a promise and a pledge to yourself and the people of the United States of America, it is also a pledge to all those NCOs who came before you that their service and sacrifice was not in vain. Their commitment to the high ideals of this country—our constitution and the defense of freedom and America—is the history of the U. S. Army. You are following in the footsteps of those great NCOs who prepared the way for you. You can honor them by getting to know their history.

1-1-2. Identify the Role of the NCO Existing in the Pre-Revolutionary War Period

Lineage of the NCO

We can trace the lineage of the NCO back to the Roman Legions. In the Roman Legions, exceptional legionnaires commanded ten soldiers and assisted commanders of one hundred men. These legionnaires supervised training and performed administrative and logistical support tasks. In the French army, senior NCO's were "corporals" or "lance corporals."

1-1-2. Identify the Role of the NCO Existing in the Pre-Revolutionary War Period, cont

Lineage of the NCO, continued

European noncommissioned officers were the enforcers of camp discipline and the only authority figures in constant contact with the troops. These noncommissioned officers merely brow beat the soldiers to stand fast in the line of battle, despite horrific casualties.

Colonial America blended the traditions of the French and Prussian armies along with the British traditions into a unique American institution. This process of selective modeling became apparent when the colonists created militia forces to protect themselves, and it applied to their use of noncommissioned officers as well. The first fighting between the colonists and British troops in the American Revolution involved militia units.

1-1-3. Identify the Role of the NCO During the Revolutionary War

Revolutionary Regiments

By 1776 a typical infantry regiment had a regimental staff and eight companies. The staff consisted of:

- Three field officers.
- Six staff officers.
- Four staff NCOs.
 - A sergeant major
 - A quartermaster sergeant
 - Two lead musicians

The sergeant major served as the regiment's ranking NCO and provided administrative assistance to the regimental adjutant. The quartermaster sergeant provided logistical support to quartermasters in the field. The two senior musicians trained the company fifers and drummers and were responsible for signal functions on the battlefield. When at full strength a typical infantry company consisted of ninety members. Each company had:

- Four officers.
 - Four sergeants.
 - Two musicians (a fifer and a drummer).
 - Eighty "rank and file" soldiers.
 - Four corporals
 - Seventy-six privates.
-

1-1-3. Identify the Role of the NCO During the Revolutionary War, cont

Revolutionary Regiments, continued

Rank and file refers to those men who stood in the line of battle, (ranks parallel to the line, files perpendicular) carrying muskets. The fifer and drummer, (classified as NCOs) were in charge of battlefield communications.

Each infantry company, for administrative purposes, contained four squads. These men formed into two ranks of ten files each, with the corporal serving as the file closer in the rear of the formation and the sergeant performing the same function on the flank.

In 1778 a Prussian volunteer, Baron Frederick William Von Steuben, arrived at General George Washington's camp at Valley Forge. Steuben possessed considerable military skills. Published at Washington's direction, Steuben's *Regulations for the Order and Discipline of the Troops of the United States* (1779), established the principle that the company commander select the NCOs and they be responsible to the company commander, subject to the approval of the battalion or regimental commander. Due to this process, it was not until World War II that an NCO could transfer from the regiment that had accepted his enlistment to another and retain his grade.

Popularly known as the Blue Book, because of the color of the first edition, this manual covered all aspects of infantry service. It stressed NCO responsibilities for the care, discipline, and training of the men, both in garrison and in the field. These were areas that Steuben had found weak in the Continental Army. The book also directed the company's senior, or first sergeant to keep a Company Descriptive Book. This book listed the name, age, height, place of birth, and prior occupation of every enlisted man in the unit. The Blue Book introduced a new emphasis on the NCO's battlefield role that enhanced his status and further distinguished him from his British counterpart.

1-1-4. Identify the Role of the NCO During the War of 1812

War of 1812

During the War of 1812, the need for the Army's discipline to equal its European rivals became apparent. The NCOs played a key role in the vigorous training required to turn civilians into soldiers capable of maintaining the linear formations and volley fire tactics typical of warfare in that period. In 1815, Brigadier General Winfield Scott published his *Rules and Regulations for the Field Exercise and Maneuvers of Infantry*--later

1-1-4. Identify the Role of the NCO During the War of 1812, cont

War of 1812, continued

revised at the direction of Secretary of War John C. Calhoun)--which replaced Steuben's earlier regulations. Scott's book put particular stress on the importance of swift movement from the column of march to linear formation on the battlefield. In executing this maneuver, the color guard, led by the color sergeant, played the key role in maintaining the proper alignment and cadence that enabled the men to hold their ranks.

The color sergeant, with his guard of from five to eight corporals, became the focal point on which the men dressed, wheeled, and advanced into battle. The emergence of the color sergeant, who replaced the commissioned ensign in carrying the flag, clearly and significantly enhanced the NCO's role in combat.

1-1-5. Identify the Role of the NCO During the Civil War

Civil War

The Civil War marked a radical change in American warfare. It brought in the total war concept. During this war, NCOs led the skirmishers that preceded and followed each major unit. NCOs carried the flags and regimental colors of their units. To serve as the color bearers--the major target of every enemy marksman--was a badge of special bravery in the nineteenth century Army.

During the Civil War both regular and volunteer full-strength regiments consisted of ten companies, although volunteer units varied considerably in other respects from state to state. The regular regimental NCO staff consisted of:

- A sergeant major.
- A quartermaster sergeant.
- A commissary sergeant.
- A hospital steward.
- Two musicians

Major General Silas Casey foresaw the heavy battlefield losses and published a third manual, *U.S. Army Infantry Tactics for the Instructions, Exercises, and Maneuvers of the Soldier, a Company, a Line of Skirmishers, Battalion, Brigade, or Corps D' Armee*. His book soon superseded the earlier books although they prescribed a similar role for the NCO. Casey's manual envisioned situations in which senior sergeants would have to take command

1-1-5. Identify the Role of the NCO During the Civil War, cont

Civil War,
continued

of units on the spot when all officers became casualties. He insisted that all NCOs receive training in giving commands, based on the fact, that the linear formations in use were designed for men carrying smoothbore muskets.

With soldiers now armed with rifled muskets, which had much greater accuracy, casualties were certain to be horrendous unless tactics changed. The gradual elimination of linear tactics after the Civil War redefined the NCO's combat leadership role.

1-1-6. Identify the Role of the NCO During World War I

World War I

World War I provided many opportunities for NCOs to prove their skills both as technicians and as leaders on the modern battlefield. As the war dragged on, the Army discovered that allowing able-bodied NCOs to step in and replace the fallen junior officers solved the problem of heavy losses among officers. At the same time, technical units proliferated, as more NCOs demonstrated their skills. When the first American divisions arrived in France, some French and British officers noted with distaste that American NCOs seemed to exercise little authority over their men. The French concluded the reason for this was because of the American practice of throwing all the ranks together in garrison.

From such comments, many Americans came to realize the relatively low status of the U.S. NCOs compared to those in other armies. General John J. ("Black Jack") Pershing, commander of the American Expeditionary Forces, recommended upgrading NCO leadership training at once, and provided NCOs with separate mess facilities. The Army implemented his recommendations within a month. During the last months of the war, strong performances by hundreds of NCOs demonstrated the success of the program. General Pershing summed up his view on the importance of NCOs as small unit leaders in a message to Major General Duncan, Commanding General of the 82d Division; the message read:

NCOs must love initiative and hold what ground they gained to the utmost. It often happens that a sergeant or even a corporal may decide a battle by the boldness with which he seizes a bit of ground and holds it.

1-1-6. Identify the Role of the NCO During World War I, cont

World War I, continued

The most important tactical lessons to emerge from the battles on the Western Front were the significance of small unit actions and avoiding mass formations. Small fire teams of infantrymen, usually led by NCOs, learned to take advantage of mist along riverbanks and every fold of ground, while providing covering fire for other groups nearby. As weapons and tactics continued to evolve in twentieth century warfare, the role of the NCO would continue to grow.

1-1-7, Identify the Role of the NCO During World War II

World War II

World War II made more demands on NCOs and had a greater impact upon the NCO's role and status than any previous conflict in American history.

The great mobilization not only increased the numbers of NCOs, it also led to inflation in the grade structure. As the eight-man infantry squad increased to twelve, the squad leader became a sergeant. The corporal, once the squad leader, became a second in command and a fire-team leader. By the end of the war, 23,328 infantry squads in 288 active infantry regiments had two NCOs instead of one. Along with the need for more small unit leaders, the Army required thousands of new technical specialists to handle the sophisticated weaponry of the war. The main problem with proliferation of technicians/specialist was that it became so great, it overwhelmed most units. Because these specialists received NCO status, a typical rifle company soon had only one private first class and seventeen privates. Everyone else was an NCO. This placed the burden of work details and guard duty on a shrinking number of soldiers.

In late 1943, the Army decided that technicians/specialists appointed after 1 December 1943 would share the duties of privates, while wearing the letter T under their NCO chevrons and drawing the pay of enlisted grades 3, 4, 5. Thus the "techs" came into existence, the target of some joking at the time, but an absolute essential element in the winning of the war.

1-1-8. Identify the Role of the NCO During the Korean Conflict

Korean Conflict

During the late 1940s practical training suffered neglect, although the onset of the Cold War in 1947-1948 should have warned all soldiers--in fact, all

1-1-8. Identify the Role of the NCO During the Korean Conflict, cont

Korean Conflict, continued

Americans--that the price of freedom was as high as ever. The neglect became fully apparent in 1950, when war broke out in Korea.

In the first few months after the desperate fighting broke out, instances of poor combat leadership and discipline often led to panic in battle. Veterans of earlier wars, who had not forgotten what they learned, stood out during the shock of battle and the confusion of retreat. As survivors toughened and the Army brought in rigorous training once again, NCOs began to demonstrate a renewed spirit and their leadership skills, never more important, began to reemerge.

Much of the fighting took the form of small unit combat actions, and as in earlier wars, capable NCOs took command when officers became casualties.

Combat studies of the Korean Conflict show that NCOs participated significantly in every outstanding performance by an infantry company. Korean Conflict NCOs became recognized as leaders in battle even more so than in previous wars.

No doubt some of you have heard the phrase "No More Task Force Smiths" which refers to a task force sent into combat in Korea that was ill equipped, lacked experience, and whose soldiers and cadre were poorly trained. They paid the ultimate price. Of the 406 Task Force Smith soldiers who started the battle, only 185 were mustered a week later after reaching friendly lines. You must be a part of never allowing this to happen again.

1-1-9, Identify the Role of the NCO During the Vietnam Conflict

Vietnam Conflict

When America went to war again, it was in another poor and divided nation of the Third World. The nature of the Vietnam Conflict would differ considerably from the fighting in Korea. Once again the NCO would fill the traditional roles of skilled trainer and small unit leader.

The first American forces arrived in the Republic of Vietnam as military advisers to a non-Communist government under siege by both domestic insurgents and infiltrators from North Vietnam across the so-called Demilitarized Zone (DMZ). Beginning in 1965, the American commitment in Southeast Asia began to change as American soldiers took on a major

1-1-9, Identify the Role of the NCO During the Vietnam Conflict, cont

Vietnam Conflict, continued

combat role. The character of the war became apparent, more so than in any military involvement in American history. Battlefield success in Vietnam depended on effective small unit leadership. Vietnam would be the war of the platoon sergeant, squad, patrol, and fire-team leader. The NCO role in Vietnam would be much more pervasive, reflecting the enemy's own increasing emphasis on small unit tactics and the diversity of the terrain. NCOs demonstrated their competence, judgment, and fighting skills in isolated actions ranging from rice paddies to deep jungles. Their success in often forgotten day-to-day engagements proved critical to the total American military effort.

U.S. Army commanders in Vietnam knew that a favorite communist tactic was to infiltrate troops into a particular area until they outnumbered the RVN defenders. They would then strike, overwhelming the government forces before reinforcements could arrive, and fade back into the peasant population. The Americans hoped to counter this tactic by making the maximum use of airmobility--moving troops quickly by helicopter. If there was one item of military equipment that symbolized American warfighting in Vietnam, it was the helicopter.

For thousands of NCOs the war brought on an identity crisis. Because of a chronic shortage of experienced NCOs, company grade officers got used to dealing directly with the men. This resulted in bypassing those NCOs who were available, and their proper role as small unit leaders eroded. The morale of the NCO declined at the very time the nature of the tactics employed by the Vietnamese required the NCO small unit tactics more than ever before.

Combat operations were often intense and resulted in large numbers of killed and wounded. Combat casualties, taken together with noncombat losses, and the one-year rotation system, soon stretched the Army in Vietnam thin at the mid-level NCO grades. This allowed promotions to come much sooner than previously. The Army came to depend heavily on the "shake and bake" NCOs produced as a hasty wartime expedient to fill the voids in the NCO ranks.

As the American forces withdrew from Vietnam, the Army Chief of Staff recognized that raising the esteem of the NCO Corps was the first critical step toward rebuilding the Army. The President and Congress ended the

1-1-9, Identify the Role of the NCO During the Vietnam Conflict, cont

Vietnam Conflict, continued

selective service draft and began to build a truly professional Modern Volunteer Army (MVA). This Army would build upon the most modern principles of personnel management, leadership, motivation, and training.

After two hundred years of NCO evolution and development as trainers, technical specialists, and small unit leaders, the Army prepared to fully recognize, encourage, and reward NCO professionalism.

1-1-10, Identify the Role of the NCO as it Exists Today

NCO Education System

In 1947, an NCO Academy opened in occupied Germany. This one-month course emphasized leadership skills, such as map reading and methods of small unit training. This would be the prelude to the Noncommissioned Officer Education System (NCOES).

Although NCOES improved the competence of the NCO Corps, it did not provide clear patterns of career development and promotion potential. In 1975, the Army introduced the Enlisted Personnel Management System (EPMS) to regulate career development. It expanded professional opportunities and eliminated dead-end career fields. It grouped related specialties that opened career paths for all enlisted soldiers while requiring them to remain eligible for promotion. They did this by demonstrating their abilities at required levels through the Skill Qualification Test (SQT) and the Self-Development Test (SDT). The Army does not use these tests any more.

Another professional development system, the Noncommissioned Officer Development Program (NCODP), relating to career management, evolved in 1980. This system consisted of formal NCO leadership training and concentrated on "doing" rather than "testing" experience. NCODP enabled NCOs to apply the training and skills learned in NCOES in their units. Since these inceptions, the status of NCOs as professionals has become abundantly clear to officers and soldiers.

In 1986 the Primary Leadership Development Course became the first course in the NCOES system to actually become a mandatory prerequisite for promotion to the next higher grade.

The goal of the NCOES and NCO training is to prepare NCOs to lead and train soldiers who work and fight under their supervision and assist their

1-1-10, Identify the Role of the NCO as it Exists Today, cont

NCO Education System, continued

leaders to execute unit missions. The NCOES provides NCOs with progressive and sequential leader, technical, and tactical training relevant to the duties, responsibilities, and mission they will perform in operational units after graduation. Training builds on existing skills, knowledge, attitudes, and experiences. The NCOES includes the following mandatory training for soldiers selected for promotion:

- **Primary Leadership Development Course (PLDC):** Provides basic, branch immaterial leadership training for soldiers selected for promotion to Sergeant.
- **Basic Noncommissioned Officer Course (BNCOC):** Provides skill level three training and basic branch specific squad level training for soldiers selected for promotion to Staff Sergeant.
- **Advanced Noncommissioned Officer Course (ANCOC):** Provides skill level four training and basic branch specific platoon level training for soldiers selected for promotion to Sergeant First Class.
- **Sergeants Major Course (SMC):** Provides branch immaterial, task-based, performance oriented, scenario-driven instruction, that includes instruction in leadership, combat operations, and sustainment operations for soldiers selected for promotion to Sergeant Major.

NCOES also has three functional courses providing instruction in three vital areas where NCOs play key roles. The courses are:

- **Battle Staff Noncommissioned Officer Course (BSNCOC):** Provides advanced, branch immaterial, staff training for Staff Sergeants through Sergeants Majors selected for staff assignments.
 - **First Sergeant Course (FSC):** Provides branch immaterial training to prepare selected soldiers for their initial assignment as First Sergeants.
 - **Command Sergeants Major Course (CSMC):** Provides branch immaterial training for CSM designees.
-

1-1-10, Identify the Role of the NCO as it Exists Today, cont

Current Rank Structure

Now let's take a look (fig 1-1-1) at the current six levels of the NCO rank structure within the Army, from the Sergeant Major of the Army (E-9) to Corporal E-4.



Figure 1-1-1, Current NCO Rank Structure.

- **Sergeant Major, E-9:**
 - **Sergeant Major of the Army (SMA):** This is the senior sergeant major rank, and senior NCO position in the Army. The SMA serves as the senior enlisted advisor and consultant to the Chief of Staff of the Army.
 - **Command Sergeant Major (CSM):** CSMs are the Senior NCOs at the battalion and higher-level headquarters. They carry out policies and enforce standards related to enlisted personnel performance, training, appearance, and conduct. They also advise and make recommendations to the commander and staff on matters pertaining to enlisted personnel. CSMs direct the activities of the NCO support channel and administer the NCODP.
 - **Sergeant Major (SGM):** SGMs are generally the key enlisted member of staff elements at levels higher than battalion. The sergeant major's experience and ability equal that of the command sergeant major, but leadership responsibility remains generally limited to those directly under his supervision.

1-1-10, Identify the Role of the NCO as it Exists Today, cont

Current Rank Structure, continued

- **First Sergeant (1SG, E-8)/Master Sergeant (MSG, E-8):**

1SG: This position is similar to that of the CSM in importance, responsibility, and prestige. The senior NCO in companies, batteries, and troops who maintains daily contact with soldiers. The 1SG is responsible for the training, health and welfare of all the soldiers and their families.

MSG: Usually serves as the principal NCO in staff elements at battalion and higher. The Army expects the MSG to dispatch leadership and other duties with the same professionalism and to achieve the same results as the first sergeant.
 - **Sergeant First Class (SFC, E-7):** Serves at the platoon level or equivalent and is also a key position in the command structure of the Army. When the platoon leader is present, the SFC is the primary assistant and advisor. In the absence of the platoon leader, the SFC takes charge of the platoon. SFCs teach collective and individual tasks to soldiers in their organic squads, crews, or equivalent small units. This is the first level at which the term senior NCO applies.
 - **Staff Sergeant (SSG, E-6), Sergeant (SGT, E-5), and Corporal (CPL, E-4):** They are normally section, squad, and team leaders and are a critical link in the NCO Support Channel. These NCOs are responsible for their soldiers' health, welfare, and safety on a daily basis. They ensure their soldiers meet standards in personal appearance, and teach them to maintain and account for their individual and unit equipment and property. They enforce standards, develop leadership skills, and train soldiers daily in their Military Occupational Specialties, skills, and unit missions.
-

1-1-11, Lesson Review

Review

As you can see from what you've read, the role of the NCO has continued to evolve from the pre-Revolutionary period to their role, as it exists today. NCOs continue to carry out their historical functions as:

- Small unit leaders.
 - Trainers.
 - Guardians of standards.
-

1-1-11. Lesson Review, cont

What you have learned in your readings concerning the evolution of the NCO Corps is but the tip of the iceberg. There are volumes upon volumes of heroic actions and exemplary leadership demonstrated by NCOs available for you to review.

Take it upon yourself to attain and maintain the highest of military standards and be that part of the "Backbone" of the Army. In so doing, you will become a part of the legacy that those before you have built.

You are part of an historical Corps.

Lets review and see what some of those small unit leader operations have been in the past and will continue to be in the future. Small unit leader operations include:

- Combat defensive
- Combat offensive
- Foreign internal defense
- Missile defense
- Rescue
- Civil affairs
- Logistical
- Peacekeeping
- Humanitarian
- Security
- Observation
- Drug interdiction
- Disaster relief
- Evacuation
- Environmental

As the NCOES continues to grow, as an NCO of today, you must combine history and tradition with your skills and abilities to prepare for combat. You retain the duties and responsibilities given to you by your predecessors, and these you must build upon to train the soldiers of tomorrow.

The Army can never be caught unprepared for an armed conflict at any time-anywhere in the world. Timely, effective, realistic, and relevant training is the key element that ensures this will never happen! There must never be another Task Force Smith!

Let no soldier's soul cry out

“Had I the Training”

This page intentionally left blank

1-1-12. Check Your Learning

Directions

This is a self-graded exercise. Circle the letter of the correct response or fill in the blank with the correct response. Upon completion, compare your responses to the correct responses in the answer key and feedback sheet.

Question 1

Colonial America blended the tradition of the _____, _____, and _____ Armies into a unique American institution.

Question 2

Who wrote the "Blue Book" concerning the "Regulations for the Order and Discipline of the Troops of the United States (1779)?"

Question 3

Who wrote the "Rules and Regulations for the Field Exercise and maneuvers of Infantry?"

Question 4

What did MG Silas Casey's manual, "U.S. Army Infantry Tactics for the Instructions, Exercises, and Maneuvers of the Soldier, a Company, a Line of Skirmishers, Battalion, Brigade, or Corps D' Armee" envision for the senior NCO?

Question 5

How did the Army, during World War I, solve the problem of filling the combat losses of junior officers?

Question 6

What was the main cause for the inflation in grade structure during WWII?

Question 7

What did combat studies of the Korean Conflict show about NCO participation?

Question 8

What was the primary role of the first American forces in Vietnam?

Question 9

What kind of leadership did success on the battlefield in Vietnam depend on?

1-1-12. Check Your Learning, cont

Question 10 What were the three causes that stretched the Army in Vietnam thin at the mid-level NCO grades, that led to the "Shake and Bake" NCO?

Question 11 What program did the Army introduce in 1980 that concentrated on "doing" rather than "testing" and enabled NCOs to apply the training and skills learned in NCOES in their units?

Question 12 What is the goal of NCOES and NCO training?

1-1-13. Answer Key and Feedback

-
- Question 1** Correct response is: French, Prussian, and British, Ref: page 1-1-4, para 1-1-2.
-
- Question 2** Correct response is: Baron Frederick William Von Steuben, Ref: page 1-1-5, para 1-1-3.
-
- Question 3** Correct response is: Brigadier General Winfield Scott, Ref: page 1-1-5, para 1-1-4.
-
- Question 4** Correct response is: Situations in which senior sergeants would have to take command of units on the spot when all officer became casualties, Ref: pages 1-1-6 thru 1-1-7, para 1-1-5.
-
- Question 5** Correct response is: Allowing able-bodied NCOs to step in and replace the fallen officers, Ref: page 1-1-7, para 1-1-6.
-
- Question 6** Correct response is: The introduction of the "technical specialist," Ref: page 1-1-8, para 1-1-7.
-
- Question 7** Correct response is: NCOs participated significantly in every outstanding performance by an infantry company, Ref: page 1-1-9, para 1-1-8.
-
- Question 8** Correct response is: Military advisers, Ref: page 1-1-9, para 1-1-9.
-
- Question 9** Correct response is: Effective small unit leadership, page 1-1-10, para 1-1-9.
-
- Question 10** Correct response is: 1. Combat Killed and Wounded, 2, Noncombat Losses, and 3. the one year rotation system, Ref: page 1-1-10, para 1-1-9.
-

1-1-13 . Answer Key and Feedback, cont

Question 11 Correct response is: NCO Development Program (NCODP). Ref: pages 1-1-11, para 1-1-10.

Question 12 Correct response is: To prepare NCOs to lead and train soldiers who work and fight under their supervision and assist their leaders to execute the unit's mission, Ref: pages 1-1-11 thru 1-1-12, para 1-1-10.

Module 1 Lesson 2

Duties, Responsibilities, and Authority of NCOs (L202)

1-2. Lesson Overview

**Lesson
Presentation**

This lesson describes the duties, responsibilities, and authority of NCO.

**Lesson Content,
Terminal
Learning
Objective
(TLO) and
Enabling
Learning
Objective,
(ELOs)**

| Topic | Page |
|--|--------|
| TLO: Determine your duties, responsibilities, and authority as an NCO. | NA |
| Introduction | 1-2-2 |
| ELO 1: Identify the three channels of communication and their functions (RESIDENT INSTRUCTION). | NA |
| ELO 2: Identify the difference between command authority and general military authority. | 1-2-2 |
| ELO 3: Identify specified and implied missions. | 1-2-5 |
| ELO 4: Identify the difference between individual and command responsibility. | 1-2-6 |
| ELO 5: Identify noncommissioned officer responsibilities and associated duties (RESIDENT INSTRUCTION). | NA |
| ELO 6: Identify command relationships desired between officers, NCOs, and their subordinates (RESIDENT INSTRUCTION). | NA |
| ELO 7: Identify policy, goal, and the objectives of the Noncommissioned Officer Development Program (NCODP). | 1-2-7 |
| Lesson Review | 1-2-12 |
| Check Your Learning | 1-2-13 |
| Answer Key and Feedback | 1-2-15 |

References

The following table lists the references for this lesson:

| Number | Title | Date | Para No. |
|---------------|---|-------------|---------------------------------|
| AR 350-17 | Noncommissioned Officer Development Program (NCODP) | May 91 | Para 4 thru 6 |
| AR 600-20 | Army Command Policy | Jul 99 | Chap 4, Para 4-8 |
| FM 22-100 | Army Leadership | Aug 99 | Para 1-56, Para 5-42, and App A |

1-2-1. Introduction**Purpose**

This lesson provides information that will help you successfully lead your soldiers on a day-to-day basis and prepare you to be a successful leader on the next battlefield. It discusses the difference between command authority and general military authority, specified and implied missions of a noncommissioned officer, and the difference between individual and command responsibility. This lesson also explains the policy, goal, and objectives of the Noncommissioned Officer Development Program (NCODP).

You will receive additional instruction on this material during the resident phase of lesson L202. This material supports the resident lesson and is necessary for you to participate in the resident discussion of this topic.

1-2-2. Identify The Difference Between Command Authority And General Military Authority**Introduction**

You are beginning a very important step in your professional development. PLDC is the first step in the Noncommissioned Officer Education System (NCOES). As a noncommissioned officer, you must know what duties, responsibilities, and authority you have and where it comes from.

1-2-2. Identify The Difference Between Command Authority And General Military Authority, cont

Definition of Authority

Authority is the legitimate power of leaders to direct subordinates or to take action within the scope of their positions. Military authority begins with the Constitution, which divides it between Congress and the president. Congress has the authority to make laws that govern the Army. The president, as commander in chief, commands the armed forces, including the Army. There are two types of military authority--"command" and "general military."

Command Authority

Command authority is the authority leaders have when they are in a command-designated position that requires direction and control of other soldiers.

Command is the authority that a commander in the armed forces lawfully exercises over subordinates by virtue of rank or assignment. Command includes the authority and responsibility for effectively using available resources to organize, direct, coordinate, employ, and control military forces so that they accomplish assigned missions. It also includes responsibility for the health, welfare, morale, and discipline of assigned personnel.

Command authority originates with the president and may be supplemented by law or regulation. It is the authority that a commander lawfully exercises over subordinates by virtue of rank or assignment. Only commissioned and warrant officers may command Army units and installations. DA civilians may exercise general supervision over an Army installation or activity; however, they act under the authority of a military supervisor. DA civilians do not command.

Army leaders are granted command authority when they fill command-designated positions. These normally involve the direction and control of other soldiers and DA civilians. Leaders in command-designated positions have the inherent authority to issue orders, carry out the unit mission, and care for both military members and DA civilians within the leader's scope of responsibility.

General Military Authority

General military authority originates in oaths of office, law, rank structure, traditions, and regulations. This broad-based authority also allows leaders to take appropriate corrective actions whenever a member of any armed service,

1-2-2. Identify The Difference Between Command Authority And General Military Authority, cont

General Military Authority

anywhere, commits an act involving a breach of good order or discipline. AR 600-20, paragraph 4-5, states this specifically, giving commissioned, warrant, and noncommissioned officers authority to "quell all quarrels, frays, and disorders among persons subject to military law"--in other words, to maintain good order and discipline. An example of this is when an NCO makes an on the spot correction of a soldier from another unit

All enlisted leaders have general military authority. For example, dining facility managers, platoon sergeants, squad leaders, and tank commanders all use general military authority when they issue orders to direct and control their subordinates. Army leaders may exercise general military authority over soldiers from different units.

For NCOs, another source of general military authority stems from the combination of the chain of command and the NCO support channel. The chain of command passes orders and policies through the NCO support channel to provide authority for NCOs to do their job.

As a noncommissioned officer, you have both general military authority and the duty to enforce policies and regulations. Failure to exercise your general military authority is neglecting your duty for which you can be held accountable.

Another source of authority for NCOs stems from the combination of the chain of command and the NCO support channel. The chain of command passes orders and policies through the NCO support channel to provide authority for NCOs to do their job.

Delegation of Authority

Just as Congress and the president cannot participate in every aspect of armed forces operations, most leaders cannot handle every action directly. To meet the organization's goals, officers delegate authority to NCOs and, when appropriate, to DA civilians. These leaders, in turn, may further delegate that authority; leaders may delegate authority in whole or in part, unless limited by law.

1-2-3. Identify Specified and Implied Missions

Description of Duty

As a noncommissioned officer, you have duties and responsibilities. As you review this material, keep in mind that your ultimate objective is to understand how duties and responsibilities interrelate.

Duty begins with everything required of you by law, regulation, and orders; but it includes much more than that. You must commit yourself to excellence in all aspects of your professional responsibility. That way, when you have accomplished the mission, you can look back and say, "I couldn't have given any more." You as a leader must take the initiative, figuring out what needs to be done before being told what to do.

As a leader you should never shade the truth, but follow your higher duty to the Army and the nation. It is your duty as a leader to take charge, even in unfamiliar circumstances.

In extremely rare cases, you may receive an illegal order. Duty requires you to refuse to obey it. As a good leader you execute the boss's decisions and orders with energy and enthusiasm, the exception to this principle is your duty to disobey illegal orders. This is not 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. First, you should seek clarification from the person issuing the order. If time permits seek legal counsel, if not, make the best judgment possible.

Definition of Duty

Duties fall into two separate mission categories

- Specified missions
 - Implied missions
-

Specified Missions

Specified missions come from your boss or higher headquarters and or specifically charged to an individual in official publications or orders.

Implied Missions

Implied missions are those duties covering all aspects of an individual's job that are not spelled out, yet are vital to mission accomplishment. They

1-2-3. Identify Specified and Implied Missions, cont

Implied Missions,
continued

include the multitude of implied tasks involved in leadership and motivation which not only get the job done, but done better causing the unit to function at an optimum level.

In most cases, the accomplishment of implied missions depend upon individual initiative. For example, while in the motor pool, fuel becomes available to top off your unit's vehicles. You ensure all the drivers in your unit top off all the vehicles. Your initiative assists in mission accomplishment.

This is another example. During the duty day, you recognize free time is available from regular duties. You decide to provide additional training during this free time. This training assists in unit and Army mission accomplishment.

A soldier may or may not have someone tell him to accomplish implied missions. He normally just does them or fails to do them. Implied missions are usually people oriented and concern every aspect of safe mission accomplishment. Often you will complete implied missions to identify mission hazards.

1-2-4. Identify The Difference Between Individual And Command Responsibility

Introduction

No definitive lines separate officer, NCO, and DA civilian responsibilities. Officers, NCOs, and DA civilians lead other officers, NCOs, and DA civilians and help them carry out their responsibilities. Commanders set overall policies and standards, but all leaders must provide the guidance, resources, assistance, and supervision necessary for subordinates to perform their duties. Similarly, subordinates must assist and advise their leaders. Mission accomplishment demands that officers, NCOs, and DA civilians' work together to advise, assist, and learn from each other. Responsibilities fall into two categories--"command" and "individual."

1-2-4. Identify The Difference Between Individual And Command Responsibility, cont

Individual Responsibility

All soldiers and DA civilians must account for their personal conduct. Commissioned officers, warrant officers, and DA civilians assume personal responsibility when they take their oath. DA civilians take the same oath as commissioned officers. Soldiers take their initial oath of enlistment. Members of the Army account for their actions to their fellow soldiers or coworkers, the appointed leader, their unit or organization, the Army, and the American people.

Here is an example. An Army member must have sufficient funds in his account when he writes a check. If the bank returns a member's check for lack of funds, he is responsible, not the superior. In other words, the individual is responsible for what he does, not his leader.

Command Responsibility

Command responsibility refers to collective or organizational accountability and includes how well units perform their missions. For example, a company commander is responsible for all the tasks and missions assigned to his company; his leaders hold him accountable for completing them. Military and DA civilian leaders have responsibility for what their sections, units, or organizations do or fail to do.

Role of the NCO

NCOs, the backbone of the Army, train, lead, and take care of enlisted soldiers. They receive their authority from their oaths of office, law, rank structure, traditions, and regulations. This authority allows them to direct soldiers, take actions required to accomplish the mission, and enforce good order and discipline. NCOs represent officer, and sometimes DA civilian, leaders. They ensure their subordinates, along with their personal equipment, are prepared to function as effective unit and team members. While commissioned officers command, establish policy, and manage resources, NCOs conduct the Army's daily business

1-2-5. Identify the Policy, Goal and Objectives of the Noncommissioned Officer Development Program (NCODP)

NCODP Policy

As a noncommissioned officer, you should understand the Noncommissioned Officer Development Program (NCODP).

1-2-5. Identify the Policy, Goal and Objectives of the Noncommissioned Officer Development Program (NCODP), cont

NCODP Policy, continued

The NCODP is a hands-on program, tailored to the unique requirements of the unit. As with all leader training, the NCODP is a command responsibility. The program reflects command priorities and expectations for leader development, jointly determined by commanders and their senior NCOs. It is a battalion, separate company, or equivalent level program and is equally applicable to both table of organization and equipment units (TO&E) and table of distribution and allowances (TDA) units.

The NCODP consists of training programs, formal and informal, one-on-one or groups, involving coaching as well as instruction, and will be fully integrated into the daily routine of the unit.

The NCODP builds upon the contributions of the Army's Enlisted Personnel Management System and the sequential and progressive design of the Noncommissioned Officer Education System. These two systems provide a valuable foundation for the development of NCOs; however, it is through the application of values, attributes, skills, and actions (VASA) in the unit that soldiers become quality NCOs.

Goal of NCODP

The goal of the NCODP is to increase and sustain NCO combat readiness at the highest possible level.

Objectives of NCODP

The objectives of the NCODP are to:

- Develop and strengthen leadership skills and professional attributes within the NCO Corps.
- Provide guidance in the continuing development of NCOs by taking advantage of opportunities to send leaders to appropriate and affordable technical, developmental, skill qualification, and confidence building courses.
- Increase confidence of the NCO through identification for and assignments to positions of greater responsibility as the NCO develops and demonstrates increased leadership ability.
- Realize the full potential of the NCO support channel.
- Increase unit effectiveness and combat readiness through improving NCO quality, morale, performance, and potential.
- Foster a unit environment that enhances continued NCO leader development.

1-2-5. Identify the Policy, Goal and Objectives of the Noncommissioned Officer Development Program (NCODP), cont

Responsibilities Commanders of battalions, separate companies, and equivalent organizations will:

- Be responsible to develop and implement an effective NCODP.
- Ensure the program supports the unit mission and enhances development of noncommissioned officers (NCOs).
- Ensure that the program has stated objectives with measurable and reachable standards.
- Ensure time and other resources are provided for the conduct of the NCODP.
- Tailor directives for the unit's NCODP on doctrine, tactics, techniques, and procedures relating to battle focused training and mission essential task list (METL).
- Be responsive to the professional needs of the unit's NCOs in conjunction with the values, attributes, skills, and actions (VASA) required at each NCO skill level.

Command sergeants major (CSM), first sergeants, or senior NCOs of battalions, separate companies, or equivalent organizations will:

- Advise the commander on all aspects of the NCODP.
 - Implement the commander's directives and guidance on the unit's NCODP.
 - Be responsible for content, pertinence, and implementation of the unit's NCODP.
 - Assess the NCODP utilizing the program goal and objectives stated in this regulation.
 - Provide feedback to the unit commander concerning the NCODP effectiveness as part of the training evaluation process.
-

NCO Support Channel

The NCO support channel parallels and reinforces the chain of command. NCO leaders work with and support the commissioned and warrant officers of their chain of command. For the chain of command to work efficiently, the NCO support channel must operate effectively. At battalion level and higher, the NCO support channel begins with the command sergeant major, extends through first sergeants and platoon sergeants, and ends with section chiefs, squad leaders, or team leaders

1-2-5. Identify the Policy, Goal and Objectives of the Noncommissioned Officer Development Program (NCODP), cont

NCO Support Channel, cont

The connection between the chain of command and NCO support channel is the senior NCO. Commanders issue orders through the chain of command, but senior NCOs must know and understand the orders to issue effective implementing instructions through the NCO support channel. Although the first sergeant and command sergeant major are not part of the formal chain of command, leaders should consult them on all individual soldier matters. Successful leaders have a good relationship with their senior NCOs.

Successful commanders have a good leader-NCO relationship with their first sergeants and command sergeants major. The need for such a relationship applies to platoon leaders and platoon sergeants as well as to staff officers and NCOs. Senior NCOs have extensive experience in successfully completing missions and dealing with enlisted soldier issues. Also, senior NCOs can monitor organizational activities at all levels, take corrective action to keep the organization within the boundaries of the commander's intent, or report situations that require the attention of the officer leadership. A positive relationship between officers and NCOs creates conditions for success.

| THE COMMISSIONED OFFICER |
|---|
| <ul style="list-style-type: none"> • Commands, establishes policy, and manages Army resources. • Integrates collective, leader, and soldier training to accomplish missions. • Deals primarily with units and unit operations. • Concentrates on unit effectiveness and readiness. |
| THE WARRANT OFFICER |
| <ul style="list-style-type: none"> • Provides quality advice, counsel, and solutions to support the command. • Executes policy and manages the Army's systems. • Commands special purpose units and task-organized operational elements. • Focuses on collective, leader, and individual training. • Operates, maintains, administers, and manages the Army's equipment, support activities, and technical systems. • Concentrates on unit effectiveness and readiness. |
| THE NONCOMMISSIONED OFFICER |
| <ul style="list-style-type: none"> • Trains soldiers and conducts the daily business of the Army within established policy. • Focuses on individual soldier training. • Deals primarily with individual soldier training and team leading. • Ensures that subordinate teams, NCOs, and soldiers are prepared to function as effective unit and team members. |
| THE DEPARTMENT OF THE ARMY CIVILIAN |
| <ul style="list-style-type: none"> • Establishes and executes policy, leads people, and manages programs, projects, and Army systems. • Focuses on integrating collective, leader, and individual training. • Operates, maintains, administers, and manages Army equipment and support, research, and technical activities. • Concentrates on DA civilian individual and organizational effectiveness and readiness. |

Figure 1-1-2. Roles and Responsibilities of Commissioned, Warrant, Noncommissioned, and DA Civilian Leaders

1-2-6. Lesson Review

During this part of the lesson you identified:

- The difference between command authority and general military authority.
- Specified and implied missions.
- The difference between individual and command responsibilities.
- The policy, goal, and objectives of the Noncommissioned Officer Development Program (NCODP).

In the resident part of this lesson, you will receive additional instruction on the duties, responsibilities, and authority of NCOs.

As a leader, you must execute your duties and responsibilities within the guidelines presented in this lesson and the references listed in the overview. Remember, your failure to properly execute your duties and responsibilities will have a negative effect on both your soldiers and your unit, and could lead to adverse actions against you.

1-2-7. Check Your Learning

Directions

This is a self-graded exercise. Circle the letter of the correct response or fill in the blank with the correct response. Upon completion, compare your responses to the correct responses in the answer key and feedback sheet.

Question 1

What type of military authority includes the responsibility to organize, direct, coordinate, employ, and control military forces?

- a. Command.
 - b. Designated.
 - c. Legal.
 - d. Specified.
-

Question 2

What type of authority is an NCO exercising when he stops a soldier from another unit to make an on the spot correction?

- a. Directed.
 - b. Command.
 - c. Specified.
 - d. General military.
-

Question 3

What type of authority do all enlisted leaders have?

- a. Directed.
 - b. Command.
 - c. Specified.
 - d. General military.
-

Question 4

SGT James gave his squad member a task verbally and in writing regarding charge of quarters. Which of the following describes this type of mission?

- a. Identified.
 - b. Specified.
 - c. Applied.
 - d. Implied.
-

1-2-7 Check Your Learning, cont

Question 5 When SGT James takes his APFT, what type of duty is he performing?

- a. Identified.
 - b. Specified.
 - c. Directive.
 - d. Implied.
-

Question 6 Doing something without being told to, to correct a discrepancy, is an example of what type of duty?

- a. Individual.
 - b. Specified.
 - c. Command.
 - d. Implied.
-

Question 7 “All soldiers and civilians must account for their personal conduct”, describes which type of responsibility?

- a. Individual.
 - b. Command.
 - c. Charismatic.
 - d. Collective.
-

Question 8 Which responsibility makes soldiers responsible for what they do, not the leader?

- a. Individual.
 - b. Command.
 - c. Charismatic.
 - d. Collective.
-

Question 9 What is “command responsibility”?

- a. Being responsible for all tasks and missions assigned to a unit.
 - b. Having charismatic power
 - c. Being responsible for your individual actions and conduct.
 - d. Reserved for noncommissioned officers in charge.
-

1-2-8 Answer Key and Feedback Sheet

Question 1 Correct response is: a. Command, Ref: Command Authority, Second Paragraph, p 1-2-3

Question 2 Correct response is: d. General military, Ref: General Military Authority, First Paragraph, p 1-2-4

Question 3 Correct response is: b. General military, Ref: General Military Authority, Second Paragraph, p 1-2-4

Question 4 Correct response is: b. Specified, Ref: Specified Missions, p 1-2-5.

Question 5 Correct response is: b. Specified, Ref: Specified Missions, p 1-2-5..

Question 6 Correct response is: d. Implied, Ref: Implied Missions, p 1-2-5.

Question 7 Correct response is: a. Individual, Ref: Individual Responsibility, First Paragraph, p 1-2-7.

Question 8 Correct response is: a. Individual, Ref: Individual Responsibility, p 1-2-7.

Question 9 Correct response is: a. Being responsible for all tasks and missions assigned to a unit, Ref: Command Responsibility, p 1-2-7.

This page intentionally left blank

Module 1 Lesson 3

Maintain Discipline (P206)

1-3. Lesson Overview

Lesson Presentation This lesson presents your role in maintaining discipline in your unit.

Lesson Content, TLO, ELOs

| Topic | Page |
|--|--------|
| TLO: Determine the leader's role in maintaining unit discipline. | NA |
| Introduction | 1-3-2 |
| ELO 1: Identify the differences between discipline and self-discipline. | 1-3-2 |
| ELO 2: Identify the difference between non-judicial punishment and non-punitive measures. | 1-3-3 |
| ELO 3: Determine which corrective measures are available that best support your role in maintaining unit discipline. | 1-3-4 |
| ELO 4: Identify the legal implications of the DoD homosexual conduct policy. | 1-3-7 |
| Lesson Review | 1-3-12 |
| Check Your Learning | 1-3-15 |
| Answer Key and Feedback | 1-3-17 |

References

The following table lists the references for this lesson.

| Number | Title | Date |
|----------------|--|--------|
| AR 27-10 | Military Justice | Aug 99 |
| FM 22-100 | Army Leadership | Aug 99 |
| AR 600-20 | Army Command policy | Jul 99 |
| TSP 181-A-0001 | Identify the Legal Implications of the DoD Homosexual Conduct Policy | Sep 00 |

1-3-1. Introduction

Purpose

One of the greatest pillars of the Army is how well it trains discipline. From the beginning of military times the first thing taught was discipline. Can a leader manage a group of soldiers without discipline? If so, will the leadership be effective, with adequate support to accomplish the mission, or will everyone do his or her own thing? As you know, the Army requires leaders and soldiers that can act responsibly in any given situation. This means having the ability to do what needs to be done with or without the leader. Therefore discipline is critical. In this lesson you will learn about the aspects of discipline to include self-discipline, building discipline, and your role as a leader, and the legal implications of the homosexual conduct policy. The lesson will center on maintaining discipline in the unit.

Everything taught revolves around teamwork in the military. As a leader you must instill discipline in your subordinates because of the mission and severity of our jobs in the military. Many times we only think of punishment as discipline, overlooking the reality that self-will, determination, responsibility, and desire impact heavily on unit discipline. As a leader you must identify your role and assist in maintaining discipline.

NOTE: This preresident package provides material that you will not cover in the resident phase of training.

1-3-2. Identify the Differences Between Discipline and Self-Discipline

Discipline

Before determining your role, let's discuss what makes up discipline. Discipline is a combination of Army values, attributes, skills, and actions that relate directly to the physical and mental well being development of each soldier. An Army without discipline is ineffective and unmanageable. On the other hand, a disciplined army has esprit, purpose, courage, high morale, and with adequate support, can accomplish any mission. Discipline is very important to the character of the military force, therefore noncommissioned officers must do everything within their power to identify and preserve those military standards and traditions that encourage discipline. FM 22-100, Army Leadership, describes 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 soldiers 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 is not around. Discipline doesn't just mean punishment for disobeying orders and demanding an instant response; discipline is more complex than that.

1-3-2. Identify the Differences Between Discipline and Self-Discipline, cont

Self-Discipline

Now let's talk about self-discipline, because it will assist you in identifying your role in your unit. Self-discipline means that you do what you need to do regardless of your feelings. Self-discipline allows Army leaders to do the right thing regardless of the consequences of personal safety for themselves or their subordinates. Under 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, as a leader, you must think clearly and act reasonably. Self-discipline is the key to positive behavior. In peacetime, self-discipline gets your team out for the hard training that goes on until the standard is met, even if it requires going beyond the point when everyone wants to quit. Remember, self-discipline doesn't mean that you never get tired or discouraged, after all you're only human. Self-discipline does mean that you do what you need to do regardless of your feelings.

General Military Authority

Where do we get the power to enforce discipline. General military authority originates in oaths, office, law, rank structure, traditions, and regulations. This broad based authority allows leaders to take appropriate corrective actions whenever a member of any armed service, anywhere, commits an act involving a breach of good order or discipline. AR 600-20, paragraph 4-5, states this specifically; commissioned officers, warrant officers, and noncommissioned officers have the authority to "quell all quarrels, frays, and disorders among persons subject to military law" in other words, to maintain good order and discipline. You learned about discipline and how it consists of a combination of army values, attributes, skills, and actions that relate directly to the physical and mental sides of each soldier. Also from your study about self-discipline you learned that it allows Army leaders to do the right thing regardless of the consequences for them or their subordinates.

1-3-3. Identify the Difference Between Non-Judicial Punishment and Non-Punitive Measures

Non-Judicial Punishment

The Army imposes non-judicial punishment to correct misconduct in violation of the Uniform Code of Military Justice (UCMJ). Such conduct may result from intentional disregard of or failure to comply with prescribed standards of military conduct. The use of non-judicial punishment is proper

1-3-3. Identify the Difference Between Non-Judicial Punishment and Non-Punitive Measures, cont

Non-Judicial Punishment, continued

in all cases involving minor offenses if non-punitive measures are inadequate or inappropriate. If it is clear that non-judicial punishment is not sufficient to meet the end of justice, you must take more stringent measures. The commander who imposes non-judicial punishment, does so to correct, educate, and reform offenders that the commander determines cannot benefit from less stringent measures. Only commanders at all levels can impose non-judicial punishment. The term commander means: a commissioned or warrant officer who, by virtue of that officer's grade and assignment, exercises primary command authority over a military organization or prescribed territorial area. The term "minor" includes misconduct not involving any greater degree of criminality than in the average offense tried by summary court-martial.

Non-Punitive Measures

Non-punitive measures usually deal with misconduct resulting from simple neglect, forgetfulness, laziness, inattention to instructions, sloppy habits, immaturity, difficulty in adjusting to disciplined military life, and similar deficiencies. Non-punitive actions are those measures available to the NCO that enable him to maintain discipline through corrective actions. Some of these non-punitive disciplinary measures require the support of the commander exercising "command" over the disciplined soldier.

1-3-4. Determine Which Corrective Measures are Available that Best Support Your Role in Maintaining Unit Discipline

Corrective Measures

Non-punitive actions are those measures available to you, the NCO, which allow you to maintain discipline through corrective actions. Corrective actions allow you to emphasize correction, not punishment. The use of corrective actions implies that the soldier can, with proper guidance, become efficient and competent. Some corrective actions that are available are reprimands and admonitions, counseling, and extra training or instruction. Figure 1-3-1 on the following page (1-3-5) list more options for enforcing discipline.

1-3-4. Determine Which Corrective Measures are Available that Best Support Your Role in Maintaining Unit Discipline, cont

Corrective Measures,
continued

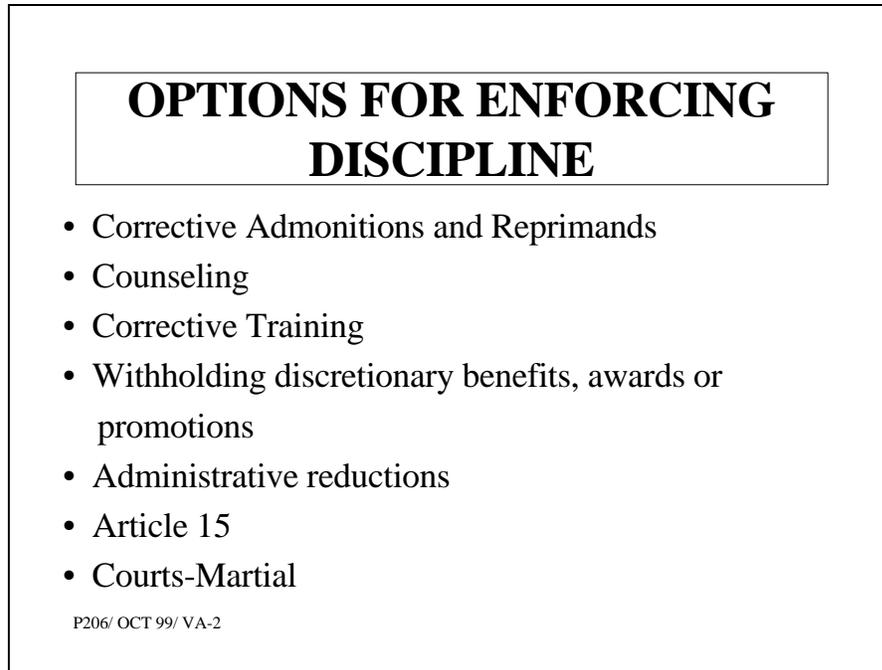


Figure 1-3-1

Reprimands & Admonitions

Reprimands and admonitions are similar. The reprimand is a severe, usually formal act of scolding, a strong criticism, or a severe chewing out. It may be oral or written and any NCO or Officer may impose it.

Admonitions are the acts of counseling, advising, or cautioning, and are a gentler expression of your disapproval of actions or lack of action. In other words, an admonition is a warning or chewing out. It too may be either written or oral and any NCO or Officer may impose it.

When a commander imposes a written admonition or reprimand as non-punitive punishment, he must ensure the admonition or reprimand contains a statement to indicate that he imposed it as an administrative measure and not as punishment under Article 15 of the UCMJ. This admonition or reprimand is in a memorandum format to the soldier for acknowledgment and rebuttal.

1-3-4. Determine Which Corrective Measures are Available that Best Support Your Role in Maintaining Unit Discipline, cont

Counseling

Counseling is a dimension of discipline that adds to the leadership climate of the unit. Soldiers need to know what the unit's standards are, and counseling is how leaders inform soldiers of those standards. Leaders should developmentally counsel soldiers on the soldiers' successes and failures to meet standards. During this course, you will receive training on counseling.

Corrective Training

Many leaders refer to corrective training as extra training, extra instruction, or extra duty. Be careful when you call extra training, extra duty. Extra duty implies punishment rather than corrective actions. Extra training is one of the most effective non-punitive disciplinary measures available to the NCO. You may use extra training to correct problems that do not require UCMJ actions. Use corrective training when a soldier's duty performance is substandard or deficient. For example, you may require a soldier who fails to maintain proper attire to attend classes on the wearing of the uniform and stand inspection until the deficiency no longer exists. The training or instruction must relate directly to the deficiency observed. Orient the training to correct a particular deficiency. You may conduct extra training or instruction before or after duty hours. This type of training will not always work. When all else fails, you should resort to recommending punitive actions to correct substandard behavior.

Withholding Discretionary Benefits, Awards, or Promotions

Another option for maintaining discipline is withholding awards, promotions, and certain benefits. The commander can defer (delay) or withhold awards, promotions, and certain benefits, either unilaterally (by the commander alone) or through the controlling commander or board, as non-punitive measures. The benefits the commander may withhold are only those that he has the power to grant. Before initiating or recommending any action concerning benefits, consult with your platoon sergeant or first sergeant to ensure your commander has the authority to withhold the benefits. Some of the benefits a commander may withhold are: denial of pass or other privileges, denial or delay of awards, denial or limitation of alcoholic beverages in the barracks area, and denial of check cashing privileges. You

1-3-4. Determine Which Corrective Measures are Available that Best Support Your Role in Maintaining Unit Discipline, cont

Withholding Discretionary Benefits, Awards, or Promotions, continued

need to keep in mind that you must have the assistance and cooperation of the commander to impose some of these corrective non-punitive measures.

Having a good working knowledge of these non-punitive measures that you learned about today, allows you to provide the commander with knowledgeable and sound recommendations. Leaders and subordinates must believe that by using proper administrative actions, the soldier will adjust and improve his conduct and not become a candidate for punitive actions later.

1-3-5. Identify Legal Implications of the DoD Homosexual Policy

General Policy

For soldiers who have been in the Army since 1994, it is important to realize that the DoD policy on homosexual conduct has not changed since then. Under this policy, soldiers still have certain rights, and commanders still have certain responsibilities when investigating allegations of homosexual conduct. Based on recent Army guidance, this lesson plan also focuses on the right of soldiers, and the responsibilities of the command, when faced with a soldier harassed or threatened because of a perceived sexual orientation.

The key to understanding the DoD policy on homosexual conduct is to remember that it focuses on homosexual conduct (what a soldier does or says) not on sexual orientation alone. (How a soldier feels about himself or herself as a heterosexual ["straight"] or homosexual ["gay" or "lesbian"] or bisexual [sexually attracted to both genders]).

SAM

The easiest way to remember the key features of the DoD policy on homosexual conduct is to remember the acronym "SAM." SAM stands for:

- Statements (e.g., "I am gay")
- Acts
- Marriages (actual or attempted)

Statements: The command will take action to separate a soldier who says he or she is gay, or a lesbian, or has a homosexual orientation, because the law says it is reasonable to presume that someone who says he or she has

1-3-5. Identify Legal Implications of the DoD Homosexual Policy, cont

SAM,
continued

such an orientation will act on that orientation. There is, however, a special rule about statements.

- **Special Rule about Statements:** The command will process for separation a soldier who says that he or she is homosexual (e.g., "I'm gay," or "I'm a lesbian," or "I have a homosexual orientation," or similar such language). Why? Because it is reasonable to presume that someone who says that he or she has such an orientation will act on the orientation and engage in a homosexual act. However, such a soldier may attempt to convince an administrative separation board, that despite having made a statement that he or she is homosexual, the soldier will not engage in homosexual acts. If the soldier can convince the separation board that he or she will not engage in homosexual acts, the board can choose to recommend the command retains the soldier in the Army.

Acts: The command will take action to separate a soldier who performs a homosexual act.

- A homosexual act is any bodily contact, actively taken or passively permitted, between members of the same sex, for the purpose of satisfying sexual desire. It does not require any particular form of intercourse or penetration.
- A homosexual act also includes any bodily contact that a reasonable person would understand to demonstrate a likelihood that the person will engage in homosexual acts. Depending on the circumstances, this could include handholding, kissing, or "slow" dancing with a member of the same sex.

Marriages: The command will take action to separate a soldier who marries or attempts to marry a person of the same biological gender (a male soldier who marries or tries to marry another man, or a female soldier who marries or tries to marry another woman).

Duty

It is your duty, as well as your legal obligation, to follow the Army's rules and policies. You demonstrate your loyalty to the Army and your fellow soldiers by behaving in accordance with Army policies. You also serve honorably when you adhere to the Army's regulations, policies, and laws.

1-3-5. Identify Legal Implications of the DoD Homosexual Policy, cont

Consequences

As a soldier, you have violated the homosexual conduct policy and the Army may discharge you should you take any of the following actions:

- Make a homosexual statement (for example, "I am gay," "I am a lesbian," "I am homosexual," or "I have a homosexual orientation")
 - Engage in a homosexual act.
 - Enter, or attempt to enter, into a same sex marriage.
-

Special Point

Saying that you are a homosexual or committing other homosexual conduct so you can avoid a military obligation, not only violates Army policy, it betrays your military duty. If you make such a statement or commit such conduct to avoid a military obligation, (such as a deployment), you may also be subject to disciplinary action under the UCMJ.

Investigating Homosexual Conduct

Before discussing the topic of investigating homosexual conduct, you first need to have a clear understanding of the DoD policy on homosexual conduct. Remember that the policy is conduct-based, focusing on what a soldier does or says, not on the soldier's orientation.

Only commanders can initiate fact-finding inquiries into homosexual conduct. You may not, on your own, do any investigation or inquiry into whether a soldier is homosexual or has committed homosexual conduct. Subordinate leaders should direct questions and report grounds for separation to their commander. A soldier's duty to do the right thing extends to reporting observed incidents. Subordinate leaders should remain sensitive to instances of harassment based on perceived sexual orientation. As a subordinate leader you must report such incidents to the chain of command.

Commanders investigate homosexual conduct only if there is credible evidence of a homosexual statement, act, or marriage (remember "SAM"). What is credible evidence? Credible evidence is any information considering its source and the surrounding circumstances that supports a reasonable belief that there is a basis for discharge.

Commanders are not supposed to investigate (or take other action) when there is **NO** credible evidence of a basis for discharge. Examples of NO credible evidence include:

- Mere suspicion of homosexual conduct.
-

1-3-5. Identify Legal Implications of the DoD Homosexual Policy, cont

Investigating Homosexual Conduct, continued

- Other peoples' opinions or rumors about a soldier's homosexual orientation, when the opinion or rumor has no factual basis for discharge.
- The fact that the soldier reads homosexual publications or goes to a homosexual bar.
- Statements made by a soldier claiming homosexuality when the evidence available at the time of the statement supports an attempt to avoid duty, or to void an enlistment. Commanders should exercise care before determining that such statements do not meet the requirements of "SAM" as outlined in the DoD Homosexual Conduct Policy guidelines.

The Army prefers informal inquiries. The Criminal Investigation Division (CID) or the Military Police Investigation (MPI) usually should not become involved in an investigation to determine if homosexual conduct took place.

When interviewing a soldier believed to have committed homosexual conduct, the interviewer should explain the homosexual conduct policy before questioning. The interviewer will begin the interview by informing the soldier of his or her rights against self-incrimination under Article 31 of the UCMJ. If the soldier does not want to make a statement, the interviewer will not ask further questions.

An interviewer shall not ask, and the Army does not require a soldier to reveal whether he or she is heterosexual, homosexual, or bisexual. For example, you cannot ask either, "Are you homosexual?" or "Are you gay?"

If the inquiry is only about a statement (e.g., "I am gay") the soldier has made, in most cases, the admission by the soldier is sufficient and requires no further investigation. If a commander wishes to investigate further to determine whether the statement is credible, the commander may further investigate in the following manner:

- Before the interview, read the soldier his or her rights against self-incrimination under Article 31 of the UCMJ.
 - Ask the soldier if he or she has committed, or attempted to commit, homosexual acts. Ask the soldier if he or she intends to commit homosexual acts in the future. Ask the soldier why he or she made the statement and what the statement meant.
 - The interviewer may even question members of the soldier's supervisory chain-of-command or other persons suggested by the soldier in the interview.
-

1-3-5. Identify Legal Implications of the DoD Homosexual Policy, cont

Investigating Homosexual Conduct, continued

- Any inquiry beyond that stated in the three previous bullet statements above, the Army considers it to be a "Substantial Investigation" requiring approval from DA level.

Interviewers will consider statements made by a soldier to certain individuals (e.g., chaplains, attorneys, and spouses) as confidential. However, they may look at each such statement separately on a "case by case" basis to determine whether or not the statements are confidential.

It is your duty, as well as your legal obligation, to follow the Army's rules and polices. You demonstrate your loyalty to the Army and your fellow soldiers by behaving in accordance with Army policies. You also serve honorably when you adhere to the Army's regulations, policies, and laws.

If you take any of the following actions, you will violate the homosexual conduct policy:

- Investigate a soldier for homosexual conduct without your commander's permission.
 - Accuse a soldier of violating the homosexual conduct policy based on:
 - Suspicion without credible evidence.
 - Rumors
 - Observing a soldier with homosexual materials or in certain locations, (e.g., gay bars).
-

Anti-Harassment Policy

The Army's Anti-Harassment Policy is:

- **Harassed soldiers shouldn't undergo investigation:** A soldier harassed or threatened because of a perception that the soldier is homosexual, is not enough by itself to justify investigating the harassed/threatened soldier for homosexual conduct. This bar to investigation concerning the harassed soldier's sexual orientation does not prevent investigation of the soldier(s) committing the harassment for possible violation of the UCMJ.
 - **There must be credible information apart from harassment:** A commander still needs credible information apart from any threat or harassment to justify an investigation into homosexual conduct.
-

1-3-5. Identify Legal Implications of the DoD Homosexual Policy, cont

Anti-Harassment Policy, continued

- **When investigating a threat or harassment, a soldier's orientation/conduct should not be investigated.** When investigating a threat or harassment, the threatened/harassed soldier's sexual orientation should not be investigated, nor whether he or she committed homosexual conduct. The focus should be on the harassment or threat itself.
 - **If credible information comes up during the investigation, the commander must carefully review it.** The information must be credible, apart from the harassment or threat. Receiving this information does not stop the requirement to investigate and take appropriate action against any harasser.
 - **Harassed/threatened soldiers should seek out their chain-of-command:** A soldier who is receiving threats or harassment because of a perception that he or she is homosexual should always seek out the chain-of-command for help. Alternatively, the soldier should go to the inspector general, staff judge advocate legal assistance attorney, or the chaplain. The command cannot make harassment stop if no one reports it. Commanders must adequately address reported instances of harassment, to include initiating a commander's inquiry under the Rules of Courts Martial 303, or referring the case to MPI or CID for investigation of the individuals committing the harassment. Soldiers need to understand that reporting harassment or threats does not support an investigation into whether they committed homosexual conduct.
-

1-3-6. Lesson Review

Summary

During your study, you learned the definition of discipline. You know that discipline is prompt obedience to orders, a readiness for willing and intelligent obedience and conduct, and it ensures stability under stress. You also studied the options of non-punitive and punitive actions. Remember that non-punitive actions are to help the soldier make corrections, not to punish him. You learned about punitive actions, actions that come from the statutory provisions of the Uniform Code of Military Justice. Only commissioned officers or warrant officers in command of a company, troop, battery, or larger units may impose punishment.

During your study, you also learned that dealing with the lesser range of misconduct, the noncommissioned officer's primary concern is to teach

1-3-6. Lesson Review

discipline and train to the proper standards of conduct. The NCO cannot impose penalties; however, wise use of corrective actions results in a soldier adjusting and improving his conduct to avoid punitive actions. Therefore, the NCO's use of corrective non-punitive actions is the normal and most desired method of maintaining discipline in units. Remember! your role as an NCO is to train your team, and discipline is a part of that training.

You also learned that the DoD Army policy on homosexual conduct focused on homosexual conduct and not on sexual orientation. You learned that the policy covering homosexual conduct, which includes statements, acts, and marriages, allows the Army to separate the soldier for such conduct. However, you should remember there is a special rule about homosexual statements. A soldier may state he or she is gay, however the soldier may stay in the Army if the soldier can convince the separation board that he or she will not actually engage in homosexual acts.

You learned that only commanders can initiate fact-finding inquiries into homosexual conduct. CID or MPI investigators usually should not become involved in an investigation to determine whether homosexual conduct took place. Commanders may inquire into possible homosexual conduct only if there is credible evidence, meaning more than mere suspicion or rumor, of a homosexual statement, act, or marriage. A commander must explain the homosexual conduct policy to any soldier alleged to have been involved in homosexual conduct before inquiring further. The interviewer, before asking any questions, must first inform the soldier of his or her rights against self-incrimination under Article 31 of the UCMJ. A "substantial investigation" requires approval from Department of the Army level.

Finally, you learned that soldiers who feel threatened or harassed because of perceived homosexual orientation are advised to seek assistance from their chain-of-command, chaplain, IG, or JAG legal assistance attorney. When investigating a threat or harassment, the focus should be on the threat or harassment and not on the perceived sexual orientation or alleged homosexual conduct of the threatened/harassed soldier. If the commander has credible information regarding any homosexual conduct apart from the threat or harassment, the commander could then initiate an inquiry into these allegations.

This page intentionally left blank

1-3-7. Check Your Learning

Directions

This is a self-graded exercise. Circle the letter of the correct response or fill in the blank with the correct response. Upon completion, compare your responses to the correct responses in the answer key and feedback sheet.

Question 1

Discipline is a _____, _____, and _____ state in which all ranks respond to regardless of whether or not the leader is present.

Question 2

_____ means that you do what you need to do regardless of your feelings. It allows Army leaders to do the right thing regardless of the consequences for them or their subordinates.

Question 3

You impose _____ _____ to correct misconduct in violation of the UCMJ.

Question 4

_____ _____ usually deal with misconduct resulting from simple neglect, forgetfulness, or laziness.

Question 5

What is a severe, usually formal act of scolding?

Question 6

For the purposes of the Army's Policy, homosexual conduct can be categorized into what three key features?

Question 7

What action may a commander use if a soldier lies about engaging in homosexual conduct in order to avoid a military obligation, such as a deployment?

1-3-7. Check Your Learning, cont

Question 8 Who is the only person that can initiate fact-finding inquiries into homosexual conduct?

Question 9 From where does a commander receive permission to conduct a "Substantial Investigation?"

Question 10 What three agencies, outside the unit, can a soldier turn to in order to address either harassment or threats because of his/her perceived sexual orientation?

1-3-8 Answer Key and Feedback

Question 1 Correct response is: moral, mental, and physical state: Ref: page 1-3-2, para 1-3-2, Discipline.

Question 2 Correct response is: Self-discipline, Ref: page 1-3-3, Self-discipline.

Question 3 Correct response is: nonjudicial punishment: Ref: page 1-3-4, para 1-3-3, Non-judicial Punishment.

Question 4 Correct response is: Nonpunitive measures :Ref: page 1-3-4, para 1-3-4, Corrective measures.

Question 5 Correct response is: Reprimand. Ref: page 1-3-5, para 1-3-5, Reprimands & Admonitions.

Question 6 Correct response is: Statements, Acts, Marriage, Ref: page 1-3-7, para, 1-3-5, SAM

Question 7 Correct response is: Punish the soldier under the UCMJ, Ref: page 1-3-9, para 1-3-5, Special Point.

Question 8 Correct response is: Commander, Ref: page 1-3-9, para 1-3-5, Investigating Homosexual Conduct

1-3-8 Answer Key and Feedback, cont

Question 9 Correct response is: Department of the Army, Ref: page 1-3-11, para 1-3-5, Investigating Homosexual Conduct.

Question 10 Correct response is: Inspector General, Staff Judge Advocate Legal Assistance Attorney, and the Chaplain, Ref: page 1-3-12, para 1-3-5, Anti-Harassment Policy.

Module 1

Check Your Learning

Directions

This is a self-graded exercise designed to test your understanding of the material presented in this module. Circle the letter of the correct response or fill in the blank with the correct response. Upon completion, compare your responses to the correct responses in the answer key and feedback sheet.

Question 1

To form a unique American institution, the American Army blended the traditions of the _____, _____, and _____ armies.

Question 2

A professional development system that concentrates on “doing” rather than “testing” is the _____.

Question 3

What type of authority does a leader exercise over subordinates by virtue of rank or assignment?

- a. Indirect.
 - b. Command.
 - c. Specified.
 - d. General military.
-

Question 4

General military authority is the broad-based authority that applies to whom?

- a. All members of the Army.
 - b. Only members of your unit.
 - c. Only officers and warrant officers.
 - d. Only senior noncommissioned officers.
-

Question 5

Missions that are not necessarily in manuals or regulations but are necessary to meet mission requirements are what type of duties?

- a. Identified.
 - b. Specified.
 - c. Indirect.
 - d. Implied.
-

Module 1, Check Your Learning, cont

Question 6 If you perform duties as the charge of quarters (CQ) or staff duty NCO, what category of missions are you performing?

- a. Identified.
 - b. Specified.
 - c. Indirect.
 - d. Implied.
-

Question 7 Collective or organizational accountability of all leaders, to include how well their units perform their missions, falls under which category of responsibility?

- a. Individual.
 - b. Specified.
 - c. Command.
 - d. Implied.
-

Question 8 Being accountable for one's own actions, conduct, and job performance applies to what category of responsibility?

- a. Individual.
 - b. Command.
 - c. Ultimate.
 - d. Implies.
-

Question 9 Which of the following is a command sergeant major's responsibility in relation to the Noncommissioned Officer Development Program?

- a. Ensure time and resources are available.
 - b. Ensure measurable and reachable standards exist.
 - c. Tailor directives for doctrine, tactics, and procedures.
 - d. Assess the programs goals and objectives.
-

Module 1, Check Your Learning, cont

- Question 10** What is the “goal” of the NCO DP?
- One standard for all units.
 - To set command priorities and expectations for leader development.
 - To increase and sustain NCO combat readiness at the highest possible level.
 - Build upon the contributions of the Army’s Enlisted Personnel Management System.
-
- Question 11** FM 22-100, Army Leadership, describes discipline as a _____, _____, and _____ in which all ranks respond to the will of the leader, whether he is there or not.
-
- Question 12** What type of appropriate measure may you take to deal with misconduct resulting from simple neglect, forgetfulness, laziness, inattention, or difficulty in adjusting to a disciplined military life and similar deficiencies?
- Punitive measures.
 - Non-punitive measures.
 - Article 15.
 - Courts Martial.
-
- Question 13** Corrective actions allow you to emphasize correction and not punishment. The use of corrective actions implies that:
- You don’t have time to take the soldier to the commander for an Article 15.
 - You believe the soldier, with proper guidance, can become efficient and competent.
-
- Question 14** The acronym SAM, when concerning the Army’s Policy on Homosexual Conduct stands for _____ .
-

Module 1, Check Your Learning, cont

Question 15 _____ evidence is any evidence that provides information, considering its source and the surrounding circumstances, that supports a reasonable belief that there is a basis for a discharge.

Question 16 When a commander decides to question a soldier concerning his/her sexual orientation, what is the first thing the commander must do before beginning the interview?

- Explain the homosexual conduct policy before questioning.
- Begin questioning the soldier without explaining the homosexual conduct policy.
- Inform the soldier of his or her rights against self-incrimination under Article 31 of the UMCJ.

Question 17 If the squad is harassing a soldier because they perceive the soldier to be a homosexual, is the harassment enough cause for a commander to initiate an investigation into the homosexual conduct by the harassed soldier?

- Yes
- No

Module 1

Answer Key and Feedback

Lesson 1, Identify the Historical Progression and Significant Contributions of the Noncommissioned Officer Corps.

Question 1 The correct response is: French, Prussian, and British, REF: page 1-1-4, para 1-1-2, The Continental Army.

Question 2 Correct response is: NCO Development Program, REF: page 1-1-11, para 1-1-10, NCO Education System.

Lesson 2, Duties, Responsibilities, and Authority of NCOs

Question 3 Correct response is: b. Command. REF: page 1-2-3, Command Authority.

Question 4 Correct response is: a. All members of the Army. REF: page 1-2-4, General Military Authority.

Question 5 Correct response is: d. Implied. REF: page 1-2-6, Implied Missions.

Question 6 Correct response is: a. Specified. REF: page 1-2-6, Specified Missions.

Question 7 Correct response is: c. Command. REF: page 1-2-7, Command Responsibility.

Question 8 Correct response is: a. Individual. REF: page 1-2-7, Individual Responsibility.

Question 9 Correct response is: d. Assess the programs goals and objectives. REF: page 1-2-9, Responsibilities.

Module 1, Answer Key and Feedback, cont

Question 10 Correct response is: c. To increase and sustain NCO combat readiness at the highest possible level. REF: page 1-2-9, Goal of NCODP

Lesson 3, Maintain Discipline

Question 11 The correct response is: moral, mental, and physical state, REF: page 1-3-2, Discipline.

Question 12 Correct response is: b. Non-punitive, REF: page 1-3-4, Non-Punitive Measures.

Question 13 Correct response is: b. You believe the soldier, with proper guidance, can become efficient and competent, REF: page 1-3-4, Corrective Measures.

Question 14 Correct response is: Statements Acts Marriages REF: page 1-3-7, SAM

Question 15 Correct response is: Credible, REF: page 1-3-9, Investigating Homosexual Conduct.

Question 16 Correct response is: c. Advise the soldier of his/her right against self-incrimination under Article 31, UCMJ, REF: page 1-3-10, Investigating Homosexual Conduct.

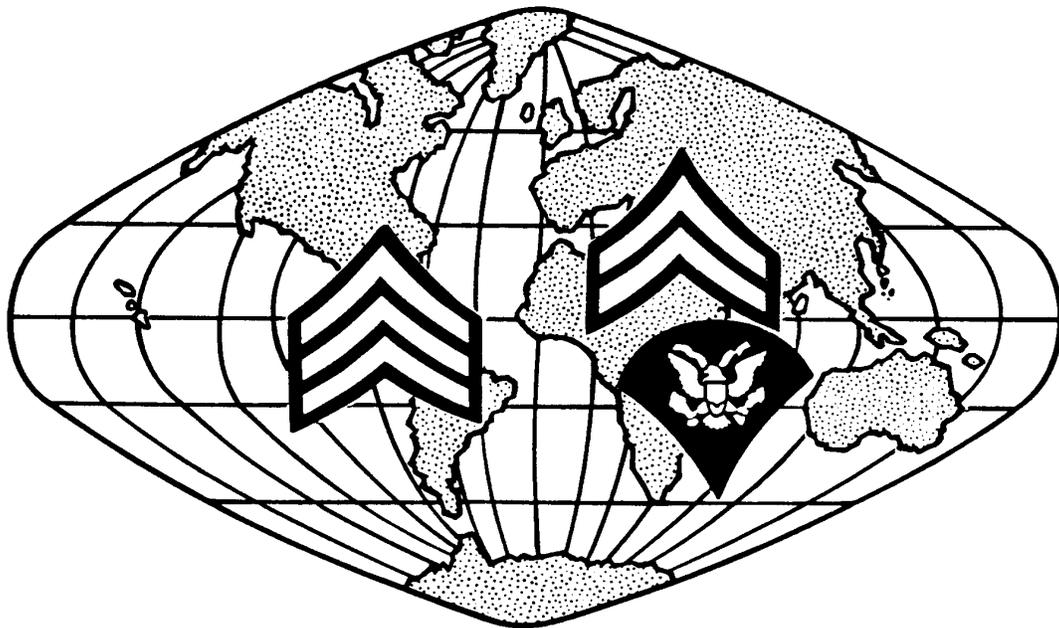
Question 17 Correct response is: b. No, REF: page 1-3-11, Anti-Harassment Policy

MODULE 2

PRIMARY LEADERSHIP DEVELOPMENT COURSE

Leading Soldiers

2



**June 1, 2001
Preresident Training Support Package
Reserve Component Soldiers**

**U.S. ARMY SERGEANTS MAJOR ACADEMY
FORT BLISS, TEXAS 79918-8002**

This page intentionally left blank

Table of Contents

Module 2 Leading Soldiers

| <u>Section</u> | <u>Page</u> |
|-----------------------|---|
| Module 2 | Introduction to Army Leadership (L201) 2-1-1 |
| Lesson 1 | |
| 2-1 | Lesson Overview 2-1-1 |
| 2-1-1 | Introduction 2-1-2 |
| 2-1-2 | Identify the Army Leadership Framework 2-1-2 |
| 2-1-3 | Describe Army Leadership 2-1-3 |
| 2-1-4 | Identify the Three Levels of Leadership 2-1-6 |
| 2-1-5 | Lesson Review 2-1-8 |
| 2-1-6 | Check Your Learning 2-1-9 |
| 2-1-7 | Answer Key and Feedback 2-1-11 |
| Lesson 2 | What a Leader Must BE-KNOW-DO (L203) 2-2-1 |
| 2-2 | Lesson Overview 2-2-1 |
| 2-2-1 | Introduction 2-2-2 |
| 2-2-2 | Identify What an NCO Must “Know” 2-2-2 |
| 2-2-3 | Identify What a Professional NCO Must “Do” 2-2-3 |
| 2-2-4 | Lesson Review 2-2-5 |
| 2-2-5 | Check Your Learning 2-2-7 |
| 2-2-6 | Answer Key and Feedback 2-2-9 |
| Lesson 3: | Effective Communications (C202) 2-3-1 |
| 2-3 | Lesson Overview 2-3-1 |
| 2-3-1 | Introduction 2-3-2 |
| 2-3-2 | Identify the Elements of the Communication Process. 2-3-3 |
| 2-3-3 | Identify Elements of Verbal and Non-verbal Communications. 2-3-7 |
| 2-3-4 | Identify Levels of Listening. 2-3-9 |
| 2-3-5 | Identify Barriers to Effective Communication. 2-3-11 |
| 2-3-6 | Identify Communication Systems to Exchange Information. 2-3-14 |
| 2-3-7 | Identify Essential Elements of Information in Oral and Written Communications. 2-3-22 |
| 2-3-8 | Identify Methods to Reduce Barriers to Communication 2-3-23 |
| 2-3-9 | Lesson Review 2-3-28 |
| 2-3-10 | Check Your Learning 2-3-31 |
| 2-3-11 | Answer Key and Feedback 2-3-35 |

Table of Contents, cont

| <u>Section</u> | | <u>Page</u> |
|----------------------------------|---|--------------------|
| Lesson 4 | Conduct Developmental Counseling (L204) | 2-4-1 |
| 2-4 | Lesson Overview | 2-4-1 |
| 2-4-1 | Introduction | 2-4-2 |
| 2-4-2 | Identify the Developmental Counseling Process. | 2-4-2 |
| 2-4-3 | Identify the Types of Developmental Counseling. | 2-4-7 |
| 2-4-4 | Comply with the Noncommissioned Officer Evaluation Reporting System (NCOERS) Counseling Requirements. | 2-4-23 |
| 2-4-5 | Lesson Review | 2-4-33 |
| 2-4-6 | Check Your Learning | 2-4-35 |
| 2-4-7 | Answer Key and Feedback | 2-4-37 |
| Lesson 5 | Soldier Team Development (L207) | 2-5-1 |
| 2-5 | Lesson Overview | 2-5-1 |
| 2-5-1 | Introduction | 2-5-2 |
| 2-5-2 | Identify the Role of a Direct Leader in the Team Building Process. | 2-5-2 |
| 2-5-3 | Identify the Formation Stage of Team Building. | 2-5-5 |
| 2-5-4 | Identify the Enrichment Stage of Team Building. | 2-5-7 |
| 2-5-5 | Identify the Sustainment Stage of Team Building. | 2-5-8 |
| 2-5-6 | Lesson Review | 2-5-9 |
| 2-5-7 | Check Your Learning | 2-5-11 |
| 2-5-8 | Answer Key and Feedback | 2-5-13 |
| Module 2—Check Your Learning | | 2-6-1 |
| Module 2—Answer Key and Feedback | | 2-7-1 |

Module 2 Lesson 1

Introduction to Army Leadership (L201)

2-1. Lesson Overview

Lesson Presentation

This lesson provides you with an introduction to Army leadership.

Lesson Content, TLO, ELOs

| Topic | Page |
|--|--------|
| TLO: Identify the leadership attributes, skills, and actions of a direct leader in order to lead a section or squad. | NA |
| Introduction | 2-1-2 |
| ELO 1: Identify the Army leadership framework. | 2-1-2 |
| ELO 2: Describe Army leadership. | 2-1-3 |
| ELO 3: Identify the three levels of leadership. | 2-1-6 |
| ELO 4: Describe the terms “Leaders of Leaders” and “Subordinates.” (RESIDENT INSTRUCTION) | NA |
| ELO 5: Identify the human dimension role in leader development. (RESIDENT INSTRUCTION) | NA |
| ELO 6: Identify direct leadership skills using the four skill groups. (RESIDENT INSTRUCTION) | NA |
| ELO 7: Identify direct leadership actions using the three action groups. (RESIDENT INSTRUCTION) | NA |
| Lesson Review | 2-1-8 |
| Check Your Learning | 2-1-9 |
| Answer Key and Feedback | 2-1-11 |

References

The following table lists the references for this lesson.

| Number | Title | Date |
|-----------|-----------------|--------|
| FM 22-100 | Army Leadership | Aug 99 |

2-1-1. Introduction

Purpose

You are probably wondering, “Why do I need an introduction to Army leadership?” As a squad or section leader, you are a leader already. The Army is a Total Force consisting of the active Army, National Guard, and Army Reserve. The foundation of the Army is confident and competent leaders of character. This lesson plan addresses you and those you will train and develop.

There are two reasons why leadership is important to you and the Army. The first is to win wars; the second is your soldiers deserve nothing less than the best. When you took your oath and you agreed to be a leader, you entered into a pact with your subordinates and your nation.

2-1-2. Identify the Army Leadership Framework

Responsibility

The Army’s ultimate responsibility is to win the Nation’s wars. For you as an Army leader, leadership in combat is your primary mission and most important challenge. To meet the challenge, you must develop character and competence while achieving excellence. This lesson and the leadership lessons later in this course focus on character, competence, and excellence. Leadership is about accomplishing the mission and taking care of soldiers. It’s about living up to your ultimate responsibility, leading your soldiers in combat, and winning our Nation’s wars.

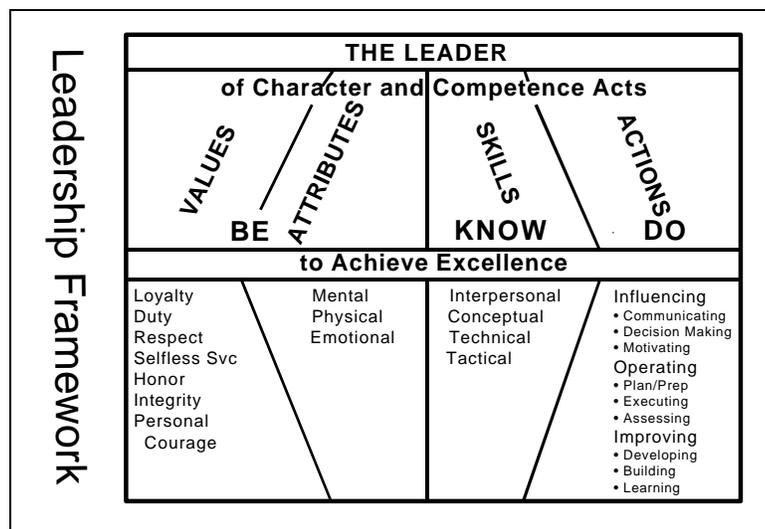


Figure 2-1-1

2-1-2. Identify the Army Leadership Framework, cont

Responsibility, continued

Figure 2-1-1 on page 2-1-2, shows the Army leadership framework. The top of the figure shows the four categories of things leaders must BE, KNOW, and DO. They are Values, Attributes, Skills, and Actions. The bottom of the figure lists dimensions of Army leadership grouped under these four categories. The dimensions consist of Army values and sub-categories under attributes, skills, and actions.

Army leadership begins with what a leader must BE, the values and attributes that shape a leader's character.

Under the category of KNOW, are your skills. Skills are those things you KNOW how to do; your competence in everything, from the technical side of your job to the people skills you need as a leader.

Under the last category of DO are actions. Actions are critical in being a leader. Character and knowledge are absolutely necessary; however, they are not enough. You cannot be effective as a leader unless you can apply what you know; until you act and DO what you must.

2-1-3. Describe Army Leadership

Leadership Defined

The preceding FM 22-100 described Military Leadership as the process of influencing others to accomplish the mission by providing purpose, direction, and motivation. The Army added to that definition, and the new Army definition of leadership is:

“Leadership is influencing people by providing purpose, direction, and motivation while operating to accomplish the mission and improving the organization.”

There are three key words in the definition, “Influencing, Operating, and Improving.” We will talk about the importance of these words.

2-1-3. Describe Army Leadership, cont

Influencing

You have influence on soldiers when you get them to do what you want them to do. It is the means or methods to achieve two ends: **Operating** and **Improving**. Notice that the words operating and improving are the other two words in the new definition of leadership.

You influence soldiers by setting the example, and the example you set is just as important as the words you speak. You set the example, good or bad, with every action you take, and whatever you say. There are three things that you must communicate through your words and example: Purpose, Direction, and Motivation. Note the chart below:

| | |
|--------------------|--|
| Purpose: | <ul style="list-style-type: none"> ● Gives soldiers reason to act. <ul style="list-style-type: none"> - Because you earned their trust. - They know you care for their welfare. |
| Direction: | <ul style="list-style-type: none"> ● Communicates your way to accomplish task. ● Prioritizes tasks. ● Assigns responsibility. ● Ensures soldiers understand you. ● Does task with available people, time, and other resources. |
| Motivation: | <ul style="list-style-type: none"> ● Gives soldiers will to accomplish mission. ● To Motivate soldiers -- <ul style="list-style-type: none"> - Challenge them. - Assign them responsibility. - Allow them to work on their own. - Praise them. - Give them developmental counseling. - Set the Example. |

Figure 2-1-2

Purpose

Purpose provides soldiers with a reason to do things. It does not mean that you must explain every decision to their satisfaction, but you must earn their trust. They must know from experience you care about them. They must also know you wouldn't put them in harms way unless there was a good reason, and the task was essential to mission accomplishment.

Think back on your own experiences that you have had with your leaders. Did they earn your trust? Did they look out for your welfare? Did they keep you informed?

2-1-3. Describe Army Leadership, cont

Direction You provide direction when you communicate how you want the mission accomplished. You prioritize tasks, assign responsibility for task completion, ensure resources are available, and ensure that your soldiers understand the standard. Soldiers want direction, challenging tasks, training, and resources. Once they have them, they want you to leave them alone to do the job.

Motivation You motivate soldiers so they will do what they can to accomplish a mission. Proper motivation will result in their acting on their own initiative when they see something needs accomplishing. You motivate soldiers by:

- Challenging them
- Assigning responsibility
- Allowing them to work on their own
- Praising them
- Developmentally counseling them

Soldiers trained this way will accomplish the mission, when no one is watching. They will work harder, and when given praise, they will be ready to take on more responsibility.

You will motivate your soldiers more by the example you set than by words. The example you set is at least as important as what you say and how well you manage the work.

Operating The second key word in the new leadership definition is “Operating.” To successfully accomplish the mission, you take actions that will influence soldiers to accomplish their assigned tasks. The actions you can take to ensure success are:

- Planning
- Preparing
- Executing
- Assessing

Planning and preparing means laying out the work and making necessary arrangements. Executing simply means to do the job, and assessing means that you look at how your soldiers accomplish the job and what you can do the next time to work smarter.

Improving The third key word in the definition is Improving. The Army expects you to strive to improve everything entrusted to you--your soldiers, facilities, equipment, training, and resources. You will get a new mission, but part of finishing the old one is improving the organization.

2-1-3. Describe Army Leadership, cont

Improving, continued

Once you complete a task you can conduct an informal after action review (AAR) to discover what happened, why it happened, and how to sustain strengths and improve on weaknesses. (You will learn about AARs later in this course).

Based on the results of the AAR, you can take what you learned and improve on the actions you need to take to accomplish a task. You may need to change SOPs. Be sure you give praise to soldiers who deserve it, and conduct developmental counseling to develop your soldiers as needed.

Putting it Together

Study the leadership framework (Fig 2-1-1) on page 2-1-2, because it's the Army's common basis for thinking about leadership. The leadership framework is a tool that allows you to step back and think about leadership as a whole. It gives you the big picture and can help you put your job, soldiers, and organization in perspective.

Remember, the dimensions of the Army leadership framework: Values, Attributes, Skills, and Actions that support BE, KNOW, and DO. Each contains components. All the components are interrelated, none stand-alone. You should think about the framework and the definition of leadership and how all the pieces work in combination to produce something bigger and better than the sum of the parts. BE the leader of character, embracing Army values and demonstrating leader attributes. Study and practice to have the skills to KNOW your job, and then act. DO what is right to achieve excellence.

2-1-4. Identify the Three Levels of Leadership

Three Levels of Leadership

There are three levels of leadership: direct, organizational, and strategic. A base of values and attributes supports them all. As you learned earlier, Army leadership begins with what the leader must BE, and values and attributes shape a leader's character. Therefore, as you also learned earlier, all levels of leaders need a strong foundation of values and attributes.

Figure 2-1-3, page 2-1-7, provides you a view of the three levels of Army leadership. Factors that determine a leader's level of leadership can include his span of control, headquarters level, and the extent of the influence the position exerts. Other factors include unit size or organization, type of operations, number of soldiers assigned, and planning horizon. Your level of

2-1-4. Identify the Three Levels of Leadership, cont

Three Levels of Leadership, continued

concern is direct leadership. This is your level--face-to face, first-line leadership.

Direct Leadership

Face-to-face, first-line leadership takes place in organizations where subordinates see their leaders all the time--teams, squads, sections, platoons, companies, batteries, and troops, even at squadrons and battalions.

As you can see in figure 2-1-3, there are a lot of levels where you can find direct leadership, and you are at two of the places mentioned, the section and squad level. Therefore your span of influence will range within the squad. At your level there is more certainty and less complexity. You are close enough to see quickly how things work, how things don't work, and how to address problems. Later in this lesson you will cover actions and skills required at the direct leadership level.

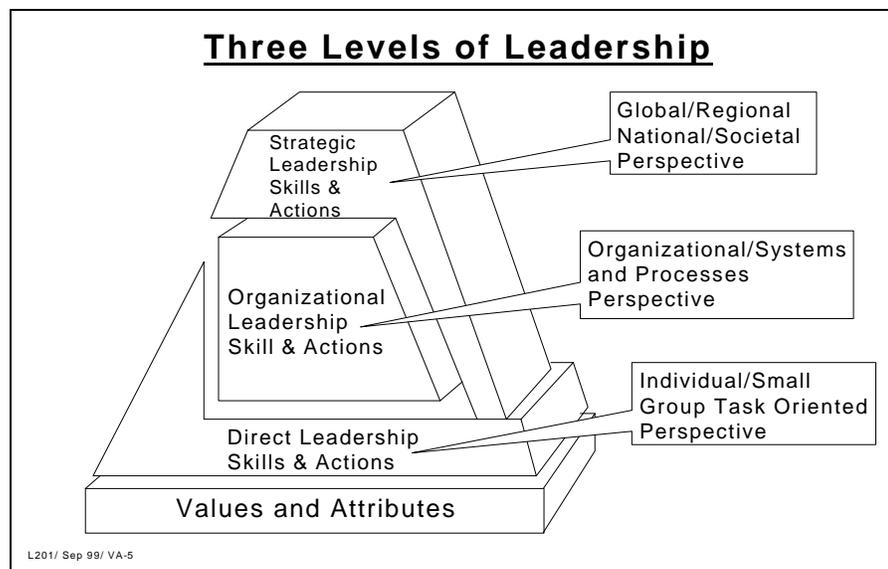


Figure 2-1-3

Organizational Leadership

Leaders at the brigade through corps levels, to include department of the Army (DA) civilians at the assistant through undersecretary of the Army levels, focus on planning and mission accomplishment over the next two to ten years. Organizational leaders influence several hundred to several thousand soldiers.

2-1-4. Identify the Three Levels of Leadership, cont

Strategic Leadership

Strategic leaders include military and DA civilian leaders at the major command through department of defense (DoD) levels. Strategic leaders are responsible for large organizations and influence several thousands to hundreds of thousands of people. They establish force structure, allocate resources, communicate strategic vision, and prepare their commands and the Army as a whole for their future roles.

As you can tell from Fig 2-1-3, and the definitions of the three levels, the more rank you hold, the more responsibilities you will have as a leader. It is imperative that you begin with a good base of values and attributes to be successful at all leadership levels.

2-1-5. Lesson Review

Summary

During this part of the lesson you covered:

- The Army leadership framework.
- The definition of Army leadership.
- The three levels of leadership.

In the resident part of this lesson, you will learn additional information:

- Descriptions of “leaders of leaders” and “subordinates.”
- The human dimension role in leader development.
- The direct leadership skills using the three action groups.
- The direct leadership actions using the three action groups.

As a leader, you must execute your duties and responsibilities within the guidelines presented in this lesson and the reference listed in the overview. Remember your failure to properly execute your duties and responsibilities will have a negative effect on your soldiers and unit.

2-1-6. Check Your Learning

Directions

This is a self-graded exercise. Circle the letter of the correct response or fill in the blank with the correct response. Upon completion, compare your responses to the correct responses in the answer key and feedback sheet.

Question 1

What are the four categories of things leaders must BE, KNOW, and DO?

- a. Values, Attributes, Skills, and Actions
 - b. Values, Attributes, Knowledge, and Actions
 - c. Values, Attributes, Honesty, and Actions
 - d. Values, Trust, Honesty, and Actions
-

Question 2

What are the three key words in the leadership definition?

- a. Influencing, Operating, Adjusting
 - b. Influencing, Adjusting, Improving
 - c. Influencing, Operating, Improving
 - d. Influencing, Improving, Improvising
-

Question 3

When soldiers do what they can to accomplish a mission, then you have properly _____ them.

Question 4

Why is it important to conduct an informal after-action review after the completion of an exercise/task?

- a. To take what you learn to improve on action to need to take to accomplish the task.
 - b. Make changes to SOPs
 - c. Praise soldiers who did well, and conduct developmental counseling to develop your soldiers as needed.
 - d. All of the above
-

Question 5

What makes up the base of the three levels of leadership?

- a. Morals and Courage
 - b. Skills and Actions
 - c. Values and Attributes
 - d. Values and Morals
-

This page intentionally left blank

2-1-7. Answer Key and Feedback

- Question 1** Correct response is: a. Ref: page 2-1-3, para 2-1-2, Responsibility.
-
- Question 2** Correct response is: c. Ref: page 2-1-3, para 2-1-3, Leadership Defined.
-
- Question 3** Correct response is: Motivated, Ref: page 2-1-5, para 2-1-3, Motivation.
-
- Question 4** Correct response is: d. Based on the results of the AAR, you can take what you learned and improve on the actions you need to take to accomplish a task. You may need to change SOPs. Be sure you give praise to soldiers who deserve it and conduct developmental counseling to develop your soldiers as needed.
- Ref: page 2-1-6, para 2-1-3, Improving.
-
- Question 5** Correct response is: c. Ref: page 2-1-6, para 2-1-4 Three levels of leadership, and see Fig 2-1-3, page 2-1-7.
-

This page intentionally left blank

Module 2 Lesson 2

What a Leader Must BE-KNOW-DO (L203)

2-2. Lesson Overview

Lesson Presentation This lesson presents you with information critical to your development as a leader. You will learn the Be, Know, and Do of being a leader.

Lesson Content, TLO, ELOs

| Topic | Page |
|--|-------|
| TLO: Identify the Be, Know, Do characteristics necessary to provide effective military leadership. | NA |
| Introduction | 2-2-2 |
| ELO 1: Identify what an NCO must “Be” (RESIDENT INSTRUCTION). | NA |
| ELO 2: Identify what an NCO must “Know.” | 2-2-2 |
| ELO 3: Identify what an NCO must “Do.” | 2-2-3 |
| Lesson Review | 2-2-5 |
| Check Your Learning | 2-2-7 |
| Answer Key and Feedback | 2-2-9 |

References

The following table lists the references for this lesson.

| Number | Title | Date |
|-----------|-----------------|--------|
| FM 22-100 | Army Leadership | Aug 99 |

2-2-1. Introduction

Purpose

So you are a leader! Well who says? What makes you this leader of soldiers? What ability separates you from the soldiers who, by virtue of your rank, must follow you? Are you a leader simply because you wear the stripes of a sergeant? Have you ever participated in an event, maybe a ceremony or formation, where the leader was obviously incompetent? How would you fare if someone asked your soldiers to rate you as a leader? In the previous leadership lesson, you learned what leadership is and how the Army supports the development of its leaders. During this lesson you will learn what you must “Be-Know-Do” to be effective as a military leader. You will learn the importance of doing a self-assessment. You will examine what it truly means to set the example. You will identify what a leader must Be-Know-Do about the job and soldiers. Finally, you’ll learn why a leader must provide purpose, direction, and motivation for his soldiers.

2-2-2 Identify What an NCO Must “Know”

**Competence:
What a Leader
Must Know**

Army values and leader attributes form the foundation of the character of leaders. Character in turn, serves as the basis of knowing (competence) and doing (leadership). Competence means much more than being well trained; it links character and leadership together. Leaders are responsible for the competence of both self and subordinates. You will now cover the four categories containing skills a leader must know.

**Interpersonal
Skills**

Affect how you deal with people. This includes coaching, teaching, counseling, motivating, and empowering.

**Conceptual
Skills**

Enable you to handle ideas that require sound judgment as well as the ability to think creatively and reason analytically, critically, and ethically.

2-2-2. Identify What an NCO Must “Know,” cont

Technical Skills Job-related abilities that include basic soldier skills. As a leader you must possess the expertise necessary to accomplish all tasks and functions assigned to your section.

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. As a leader you must be able to combine all these skills to be competent. In other words, employ tactical skills by 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 a leader to seize control of the situation and lead his section to mission accomplishment.

Summary of Skills Interpersonal skills affect how you deal with people, and your “conceptual skills.” They enable you to handle ideas that require sound judgment. Technical skills are job related and reflect expertise necessary to accomplish the mission, while your “tactical skills” apply to solving tactical problems.

2-2-3. Identify What a Professional NCO Must “Do”

Leadership: What a Leader Must “Do” In this course you'll learn of Army values, attributes, and skills, but these are not the only things needed to prepare you for leadership. Leadership doesn't begin until you act. Leaders will succeed who live up to Army values, display leader attributes, are competent, and act at all times as they would have their people act. On the other hand, if you talk a good game but can't produce when its time to act, you will fail. In leadership you have three main functions.

- Influencing
- Operating
- Improving

As a leader your job is influencing, operating, and improving. You must bring together everything that you are, everything that you believe, and everything that you know how to do to provide purpose, direction, and motivation. Let's look at each of these areas closer.

2-2-3. Identify What a Professional NCO Must “Do,” cont

Influencing

Army leaders use interpersonal skills to guide others toward a goal. As a squad or section leader you often influence your subordinates face to face when you give instructions, recognize achievements, or encourage hard work. Influencing actions fall into these categories:

- **Communicating** involves displaying good oral, written, and listening skills for soldiers and groups.
 - **Decision-making** involves selecting the line of action that you intend to follow as the one most favorable to success by accomplishing the mission. This involves using sound judgment, reasoning logically, and managing resources wisely.
 - **Motivating** involves inspiring and guiding others toward mission accomplishment.
-

Operating

Operating is what you do to accomplish the immediate mission to get the job done on time and to standard. Operating actions fall into three categories.

- **Planning and preparing** involves developing detailed, executable plans that are feasible, acceptable, and suitable. Arranging unit support for the operation, and conducting rehearsals. During tactical operations, decision making and planning enhances two methodologies: the military-decision making process and troop leading procedures.
 - **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. The after action review (AAR) allows you to review the things done right, wrong, and how to improve them, which leads us into the next area.
-

Improving

A good leader always tries to leave the section or squad in better condition than he found it. He does this by setting short-and long-term goals. While continuing to develop, build, and learn, you must train your soldiers to perform their duties technically and tactically while being able to withstand the heat of battle during combat.

2-2-3. Identify What a Professional NCO Must “Do,” cont

Improving, continued

Improving actions fall into these three categories:

- **Developing** involves investing adequate time and effort in developing individual subordinates as leaders--this 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, to include envisioning, adapting, and leading.
-

2-2-4. Lesson Review

Summary

During this class you learned what you must KNOW, and DO. When you arrive at your residence training, you will finish this portion of the lesson by learning what a leader must BE. 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 taking the proper actions to accomplish the mission based on what your character tells you is ethically right and appropriate for the situation.

This page intentionally left blank

2-2-5. Check Your Learning

Directions

This is a self-graded exercise. Circle the letter of the correct response or fill in the blank with the correct response. Upon completion, compare your responses to the correct responses in the answer key and feedback sheet.

Question 1

What are the four categories containing skills a leader must KNOW?

- a. Interpersonal, Conceptual, Technical, Reasonable.
 - b. Interpersonal, Conceptual, Technical, Tactical.
 - c. Reasonable, Knowledgeable, Technical, Tactical.
 - d. Conceptual, Knowledgeable, Tactical, Interpersonal.
-

Question 2

Interpersonal skills affect how you deal with people, and your _____ enable you to handle ideas that require sound judgment.

Question 3

What are the three things a professional NCO must DO?

- a. Influencing, Operating, Maintaining.
 - b. Influencing, Maintaining, Improving.
 - c. Influencing, Operating, Improving.
 - d. Operating, Maintaining, Improving.
-

Question 4

What are the three categories that fall under Operating?

- a. Planning and preparing, Executing, Delivering.
 - b. Executing, Assessing, Delivering.
 - c. Assessing, Delivering, Planning and preparing.
 - d. Planning and preparing, Executing, Assessing.
-

Question 5

The three categories that make up Improving are _____, _____, and _____.

This page intentionally left blank

2-2-6. Answer Key and Feedback

Question 1 Correct response is: b. Interpersonal, Conceptual, Technical, Tactical. Ref: page 2-2-2 and 2-2-3, para 2-2-2, Competence: What a leader must know.

Question 2 Correct response is: conceptual skills, Ref: page 2-2-2, para 2-2-2, Summary of skills.

Question 3 Correct response is: c. Influencing, Operating, Improving, Ref: page 2-2-4, para 2-2-3, Influencing.

Question 4 Correct response is: d. Planning and preparing, Executing, Assessing, Ref page 2-2-4, para 2-2-3, Operating.

Question 5 Correct response is: developing, building, and learning, Ref: page 2-2-5, para 2-2-3, Improving.

This page intentionally left blank

Module 2
Lesson 3

Effective Communications (C202)

2-3. Lesson Overview

**Lesson
Presentation**

This lesson will teach you how to communicate effectively.

**Lesson Content,
TLO, ELOs**

| Topic | Page |
|---|-------------|
| TLO: Employ effective communication skills. | NA |
| Introduction | 2-3-2 |
| ELO 1: Identify the elements of the communication process. | 2-3-3 |
| ELO 2: Identify elements of verbal and nonverbal communications. | 2-3-7 |
| ELO 3: Identify levels of listening. | 2-3-9 |
| ELO 4: Identify barriers to effective communication. | 2-3-11 |
| ELO 5: Identify communication systems to exchange information. | 2-3-14 |
| ELO 6: Identify essential elements of information in oral and written communications. | 2-3-22 |
| ELO 7: Identify methods to reduce barriers to communication. | 2-3-23 |
| Lesson Review | 2-3-28 |
| Check Your Learning | 2-3-31 |
| Answer Key and Feedback | 2-3-35 |

2-3. Lesson Overview

References

The following table lists the references for this lesson.

| Number | Title | Date |
|-----------|---|-----------|
| AR 600-20 | Army Command | July 1999 |
| FM 22-100 | Army Leadership | Aug 99 |
| | <u>The Dynamics of Human Communication: A Laboratory Approach</u> , Sixth Ed. | Nov 1990. |

Note: The material in this lesson explains how to meet the standards of effective communication required in doctrinal publications. It contains paraphrased information from a number of documents to include the publications listed above.

2-3-1. Introduction

Purpose

Control of units depends upon effective communication. Faulty communication causes most unit problems and leads to confusion that can cause a good plan to fail. A squad leader's report may become distorted by the time it reaches the company commander. Leaders may have no idea of the size, strength, location, and intentions of friendly units on their flanks. Supply personnel may not deliver supplies to the right place at the right time because they remain uninformed.

Incidents like these have been happening throughout history. Failure to communicate effectively while solving problems and executing plans is one of the greatest obstacles to success in training and in battle. A leader's communication skills either help or hinder him in the use of all his other skills. Communication is the implementing tool of leadership. Normally,

2-3-1. Introduction, cont

Purpose, continued

the more effective you are as a communicator, the more effective you will be as a leader.

This lesson explains the elements of effective communication to include the communication process, verbal and nonverbal communication, different types of listening, barriers to communication, formal and informal communication, essential elements of information, and means to reduce barriers to communication

Note: This preresident lesson provides material that is **not** covered in the resident phase of training. **This material is testable.**

2-3-2. Identify the Elements of the Communication Process

Introduction

Since leadership is about getting other people to do what you want them to do, it follows that communicating is an important skill that you must master. Communication falls into four broad categories. They are--

- Speaking
- Reading
- Writing
- Listening

You began practicing speech as early as the age of one by using words to express yourself. The emphasis on reading and writing began formally in school. The fourth category--listening--is the one in which most people receive the least amount of formal training. Yet, for an Army leader, it is very important since listening often comes first. You must listen and understand before you can decide what to say. Then, when you do communicate your ideas to others, you want your communication to be effective.

Definition of Communication Terms

Communicating is transmitting information so that it is clearly understood. Communication occurs when others understand exactly what you are trying to tell them, and when you understand precisely what they are trying to tell

2-3-2. Identify the Elements of the Communication Process, cont

Definition of Communication Terms

you. It follows that the key to effective communication lies in the ability of the sender to make the receiver understand his message in its intended exact form.

The Communication Model

Communication is a process and there is a model that represents that process. The communication model shows how the continuous loop of the communication process ensures a sender and a receiver communicates effectively.

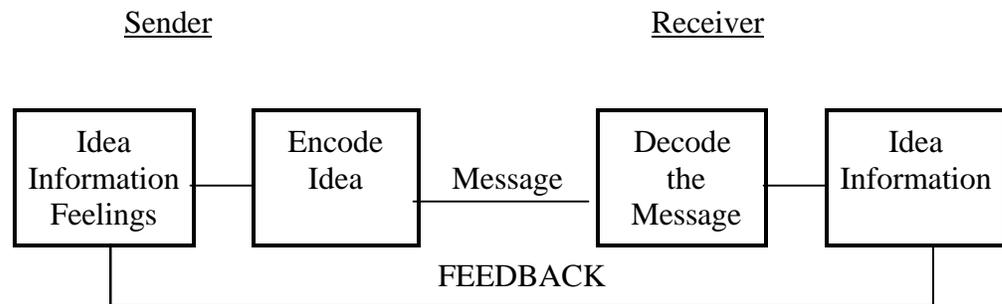


Figure 2-3-1. The Communication Model

Communication Process

The process of communication involves four elements: sender, message, receiver, and feedback. A sender transmits a message to a receiver who provides feedback. When the receiver understands the exact information or idea that the sender intends to transmit, we have effective communication.

The Sender

The sender - -

- starts the process by deciding what information to transmit. He first ensures that the information transmitted is correct and objective.
 - composes the message in his mind, based on past experience, and organizes it in a logical sequence so the receiver can easily understand it.
-

2-3-2. Identify the Elements of the Communication Process, cont

The Sender, continued

- makes an estimate of the knowledge the receiver has of the same information and selects the method to encode the message for transmission.
-

The Message and the Means of Transmission

A sender may transmit the message by any of the following means:

- Verbally--through spoken or written words.
- Non-verbally--by "body language," such as gestures, signals, or expressions.
- By a combination of verbal and nonverbal communication.

The means of transmission depend upon the situation. A company commander with a widely dispersed unit will probably communicate in writing. A squad or section leader, who has daily contact with each of his soldiers, will usually communicate orally.

The message, or information exchanged, has three important parts:

- Message--the concept, idea, information, or feelings the sender has in mind.
- Content--the actual words or symbols used to transmit the message.
- Context--the way the sender delivers the message: the sender's tone of voice, the look in the sender's eye, or the sender's state of emotion (anger, fear, uncertainty, or coolness and confidence).

The message and the means of transmission are critical to the communication process since the receiver must decode and understand the information.

The Receiver

The receiver has the responsibility to pay attention to the sender and the message or else he will get the information distorted. The receiver can guard against distorting the message by being objective in his interpretation of it. If the receiver decodes the message and arrives at the same idea, concept, or information that originated in the mind of the sender, effective communication has taken place.

2-3-2. Identify the Elements of the Communication Process, cont

Feedback

If the receiver provides feedback to the sender on his or her understanding of the message, that feedback is the beginning of another communication.

Feedback is basically the sender's knowledge of the results or effect of the message on the recipient--in short, feedback is reaction. For example:

- If one soldier tells another about his recent leave, he expects to see some kind of reaction to what he is saying.
- When supervisors direct that you do certain things, they also expect to see the results of their orders.

Many leaders think they have communicated once they tell a subordinate to do something. How many times have you heard, "Well, I told Jones to do that?" If you check with Jones, you find that he totally misunderstood the message. A person cannot be confident that he has communicated with another person until he has feedback that tells him the receiver understands the meaning of the message, its level of importance, and knows what he or she should do with it. Remember, communication is an exchange, like buying and selling. Both parties must participate to complete the information exchange.

Communication Results

Communication coordinates and controls all parts of a unit so that they act in harmony to accomplish a mission. When you coordinate and supervise, you help each part of your team to reinforce the efforts of the other parts. You can only do this through a flow of accurate, timely information. Such information flows from person to person--through the bonds of trust, respect, confidence, and understanding--that connect people in a cohesive, coordinated unit.

If the unit is to function effectively, the information must flow quickly, must be accurate, and must get to all parts of the unit. If the information flow up, down, and laterally is not continuous, accurate, and timely, the unit cannot coordinate its activities.

As a leader, you will communicate a great deal to seniors, subordinates, and peers. Without skillful communication, it is likely that the receiver will misunderstand the message. You must develop your skill to communicate the meaning, content, and tone of your messages clearly and persuasively.

2-3-3. Identify Elements of Verbal and Nonverbal Communications

Means of Transmission

The sender starts the communication process by deciding what information to transmit. He encodes the message and chooses the means to communicate the message. The means can be by verbal communication, nonverbal communication, or a combination of both.

Verbal Communication

Verbal communication involves the use of spoken or written words. The words and phrases of our language derive their meaning from agreement on that meaning between people--not the words and phrases themselves.

- When the receiver does not get a clear, precise meaning or image, he tends to interpret the words in terms of his own thoughts and experiences.
- A word may have different meanings to different people. For example, the word "secure" has a common meaning of "to make safe." But to many people, to "secure" something means to lock it up. To others, it means to take possession of something. In other words, it could be vitally important for a leader to make his meaning perfectly understood. Note the following example--

A wounded platoon sergeant tells one of his squad leaders to "take care of those prisoners." The squad leader, under the stress of combat, interprets this to mean, "get rid of them." The platoon sergeant quickly realizes that what he said could have two meanings, so he changed his words to a direct command to "protect those prisoners."

The point of this example is that communications are subject to misunderstanding. This is serious because precise and clear communications are essential for effective leadership.

The problem for the communicator, or sender, is to make sure that he chooses words and phrases that match his own meaning and which evoke the desired meaning in the receiver. In choosing his words, the sender must be careful to avoid the problem of double meanings.

Nonverbal Communication

Nonverbal communication is communication through other than written or spoken words. It involves not only all of the signals you send with your facial expressions, tone of voice, and body language but also symbolic

2-3-3. Identify Elements of Verbal and Nonverbal Communications, cont.

Nonverbal Communication, continued

communication such as the information conveyed by a soldier's insignia of rank, brass, unit crests, and ribbons.

A person spends approximately 75 percent of his waking hours communicating in some way or another. Much of that communication is nonverbal, as opposed to oral or written forms. Nonverbal communications include gestures, facial expressions, signals, the way a person wears his clothes, and even silence. For example:

- If we say "Good Morning" to someone and he does not respond, he is communicating something. If someone fails to answer a question, he communicates.
- In counseling a soldier about a problem, the supervisor's words may be wise and soothing, but his facial expressions and actions may be "telling" the soldier that he doesn't really care. Effective leaders must be aware that communication includes both verbal and nonverbal cues.

To improve his method of communicating, the supervisor may have to examine his methods to ensure that his nonverbal actions are not contradicting his words. To put it another way, the communicator has to look and act the part of the message he wants to send and the meaning he wants received.

Situation Determines Message Transmission

The means of transmitting the message will often depend upon the situation.

- A company commander with a widely dispersed unit would probably communicate in writing (verbal communication).
 - A squad or section leader in daily contact with his soldiers would communicate by speaking directly to them (verbal communication).
 - A squad or section leader giving a class to a slightly unruly group of soldiers may use silence and glare at this soldiers until they quiet down (nonverbal communication).
-

2-3-3. Identify Elements of Verbal and Nonverbal Communications, cont

Distortion of Messages

You must keep in mind that when a leader passes information to his soldiers, frequently it becomes distorted or changed in transmission. Leaders at each level may add details or refine the information. Additionally, when the receiver does not get a clear precise meaning, he tends to interpret the communication in terms of his own experiences.

2-3-4. Identify Levels of Listening

Effective Listening

Probably the most important way to improve our communication skills is to work at becoming an active listener. This means more than concentrating on what the other person is saying. It includes letting the other person know we have heard him. As leaders, we have an obligation to be good listeners. Since soldiers listen to leaders who listen to them, you must work hard at understanding exactly what your soldiers are saying to you.

Deterrents to Effective Listening

Most of us do not listen with true effectiveness. We lose 50 percent of what we hear immediately after we hear it. We can never recall half of what we hear. We then lose an additional 25 percent within 48 hours. So, after two days, we can recall only 25 percent of what we heard.

There are many deterrents to effective listening, both in person-to-person communication and in public speeches. Some of those deterrents are:

- We value talking as having more potential power than listening.
 - Technology has increased noise levels.
 - We try to listen to too much at one time. (In a technological world, multitudes of messages compete for our mental attention).
 - We fantasize through the day, and though the ability to fantasize is necessary to our creative efforts, it can at times block true listening.
 - We often form responses while the other person is still talking.
-

2-3-4. Identify Levels of Listening, cont

Deterrents to Effective Listening, continued

- We allow ourselves to become distracted because we are angry, we have a problem with the speaker, or we have other things we need to be thinking about.
-

Levels of Listening

There are three levels of listening:

- **Not hearing at all**, characterized by blank stares, silence, and no physical reactions. At this listening level the message does not get through.
 - **Passive listening**, where one listens only to the words without much response and without processing the whole message (i.e., the emotional tone, the nonverbal aspect of the message). Examples are when the Sergeant of the Guard gives you your guard relief briefing and you have been on guard more days than he has in the unit. Or, during the last formation of the day on a Friday, the platoon sergeant tells you the upcoming events for next week.
 - **Active listening**, where one takes in the total picture of the message and responds with head nodding, facial expressions, body movement, and verbal feedback. The listener not only truly hears the message accurately, but demonstrates to the speaker that he really understand the message. He sends signals to the speaker that say: "I'm paying attention," (nodding head every once in a while) and "I agree with what you say," (using an occasional "uh-huh"). The active listener gives the speaker his full attention, looks directly at the speaker, and also avoids interrupting the speaker. Interrupting the speaker is the cardinal sin of active listening.
-

Listening Technique

There is a useful technique that you can practice in discussions with a group or with a subordinate. It is to listen to the speaker and, before you respond, summarize to the speaker the correct meaning of his message by clarifying and confirming what the speaker has said. We call this technique "paraphrasing" or "reflective listening." It helps you check your understanding by using a verbal response that consists of a question or a statement that summarizes, interprets, or clarifies the message. This is a conscious use of feedback to ensure understanding.

2-3-4. Identify Levels of Listening, cont

Listening Techniques, continued

Note the following dialogue:

(PVT): "Sergeant, can I talk to you a minute?"

(SGT): "Sure, PVT Jones. Sit down."

(PVT): "Thanks, I'm really worried about that job you gave me yesterday."

(SGT): "It's got you concerned, huh?"

(PVT): "Yes it has. To finish it, I need input from SGT Wilson and he is on leave until next Monday. I'm afraid I won't be able to get the job in on time."

(SGT): "So you're going to miss your suspense unless you get what you need from SGT Wilson."

In the preceding dialogue, the sergeant's second and third responses are examples of reflective listening or paraphrasing.

Effective and productive listening is an essential quality of any supervisor or leader. If you cannot listen to what your subordinates are saying, you cannot react to their needs. If you do not meet their needs, motivation decreases and affects unit efficiency and readiness. Through discipline, concentration, patience, comprehension, and participation in listening, the good listener can develop much more efficiency in mission accomplishment.

2-3-5. Identify Barriers to Effective Communication

Barriers to Communication

There are many barriers to effective communication. Some barriers are present in both the sender and the receiver. Other barriers are factors outside the sender and the receiver. Anything that prevents understanding of the exact concept of information intended by the sender is a "barrier" to communication.

Many physical and psychological barriers to communication exist. You must understand them to overcome them.

2-3-5. Identify Barriers to Effective Communication, cont

Physical Barriers

Physical factors in a situation may surround and block communication. The noises of battle, distance, and any other physical factors that distract the attention of the sender or receiver are physical barriers to communication. Other physical barriers are hard-to-read messages, incorrect use of words or abbreviations, failure to pronounce words correctly, and oral or written messages that are unclear or too long.

Psychological Barriers

A person's beliefs, values, character, needs, experience, education and goals combine to form a frame of reference. This frame of reference acts as a filter through which he sees and hears. Since we all have unique combinations of these factors, our filters cause us to see and hear the same situation differently. With this awareness of each person's unique frame of reference, let us discuss several factors that may cause a breakdown or distortion in communication.

- **Differences in rank or echelon** can block effective communication between people. Because of conflicting interests or values, even a husband or wife, or two brothers, can see the same situation differently. They can hear the same words and interpret their meaning differently.

If the frames of reference of husbands and wives or two brothers can differ so greatly, think of the potential for difference in the way captains and privates hear an announcement or see a situation. For example:

A nervous private on an outpost may hear a few rounds of rifle fire and report that he is under "heavy fire." The company commander hearing the report would think that an enemy platoon or company was firing on the outpost. If the captain knew that the enemy fired only a few rounds, he could more accurately assess the situation.

Even people at the same level in a unit do not see and hear things the same way. These differences in the way people see and hear things tends to increase as the rank between them increases. Also, a sergeant or officer on the front line of battle may see a situation far differently than a sergeant or officer of the same rank at a higher headquarters. The further apart they are, the greater the chance for two people to see and hear things differently.

2-3-5. Identify Barriers to Effective Communication, cont

Psychological Barriers, continued

To ensure that differences in rank and echelon are not barriers to communication, leaders have an obligation to communicate clearly their frames of reference to subordinates. A person's frame of reference governs the way he thinks, plans, and acts.

Subordinates need to know the values, goals, intent, and way of thinking of the leader so that they can plan accordingly and use their initiative when out of contact with the leader. By informing subordinates of a decision--and, as much as possible, the reason for it--leaders show subordinates they are important members of the team. This knowledge also helps subordinates determine what information the leader wants and needs. Likewise, leaders must also learn the frames of reference of their subordinates.

- **Selective Perception** is one of the biggest barriers to effective communication. This simply means that a person sees only what he wants to see, hears only what he wants to hear, and ignores or distorts those things which do not conform to his preconceived ideas or experience.
- **Selective exposure** is an additional obstacle to effective communication. It describes the fact that people tend to expose themselves only to information, situations, and associates that support their own ideas, attitudes, and concepts.

Example: The person who has just bought a certain make of car will not notice a magazine's ad for another model even though it may be a two-page multi-color spread. He does this unconsciously, first, to reinforce the rightness of his own choice, and, secondly, to prevent disagreeable ideas from affecting him.

- **Failure to Listen** is another communication problem arises when people do not listen to one another. Their concerns about their own ideas and emotions and what they want to say may prevent them from "listening" to what the other person is saying.
-

2-3-5. Identify Barriers to Effective Communication, cont

Psychological Barriers, continued

- **Tendency to Smother Information.** Most trainers take for granted that the normally intelligent combat soldier will disseminate useful information. Nothing could be further from the fact! S. L. A. Marshall wrote: "The tendency is ever to smother information in combat, to keep what one knows to one's self, to dismiss the idea that it will have any value to a comrade or to higher authority, to argue that what might be gained would not justify the effort, to conclude that the special facts must already be known to all concerned, or if none of these things, then simply to fail to recognize information at its face value."

It is a common tendency to smother information in war and peace. Recognize it. Train to overcome it. Teach your soldiers the importance of communication and how to communicate when under stress.

- **Lack of trust, respect, and confidence.** When two people do not understand each other, they lose mutual respect, trust, and confidence. Trust and respect are fundamental to candid, open communication. An individual will tend to guard himself against another individual he mistrusts. You gain the trust of your subordinates by demonstrating leadership. If you are competent, and if you show your subordinates that you sincerely care about them, they will trust you. You lose trust when your subordinates perceive that you are selfish and not truly concerned with the mission, with the unit, and with their well-being as individuals.
-

Summary

When you are trying to be a good leader and an effective communicator, you must break down any barriers or filters that hinder you as a sender or a receiver. Trust and respect are fundamental to open communication. Overcoming barriers, in part, means being aware that they exist and then checking them out. Use feedback to see if any barriers caused a misunderstanding of the message you were trying to convey.

2-3-6. Identify Communication Systems to Exchange Information

Communicating with Others

Through communication with others, the leader employs his command and issues decisions for action. Without the ability to convey instructions to

2-3-6. Identify Communication Systems to Exchange Information, cont

Communicating with Others, continued subordinates clearly, the leader may as well operate in a vacuum, completely detached from his unit. A good plan is worthless unless every soldier in the unit understands all parts of the plan.

Communication Systems There are two primary types of communication systems in the military:

- formal communication systems.
- informal communication systems.

An understanding of the purposes of these communication systems and what may happen to information processing through them is the first step toward achieving effective communication between seniors and subordinates.

Chain of Command

The chain of command is the Army's formal communication system. The chain of command passes information and messages up and down within the organization. The chain of command extends from the commander-in-chief down through the various command levels until it reaches the individual soldier. Through the chain of command, the leader issues orders and instructions for the performance of unit tasks and conveys his policies and standards to members of the unit. Leaders at all levels use the chain of command--their subordinate leaders--to keep their people informed and render assistance.

The chain of command is a two-way communication system that carries information from the leader to all or any part of the unit and carries information from within the unit back up to the leader. This information or feedback includes: how things are going, what the problems are, requests for clarification, and requests for assistance. Additionally, soldiers use the chain of command when communicating issues and problems to their leaders and commanders.

NCO Support Channel

Although there is only one chain of command in the U.S. Army, there is another formal communication system within its structure. It is the NCO support channel. Prior to 1977, the NCO support channel was an informal communication channel. However, a 20 December 1976 change to AR 600-20 formalized the NCO support channel and expanded its functions.

2-3-6. Identify Communication Systems to Exchange Information, cont

NCO Support Channel, continued

The NCO support channel parallels and reinforces the chain of command. For the chain of command to work efficiently, the NCO support channel must operate effectively. NCOs use this support channel to pass information to their soldiers.

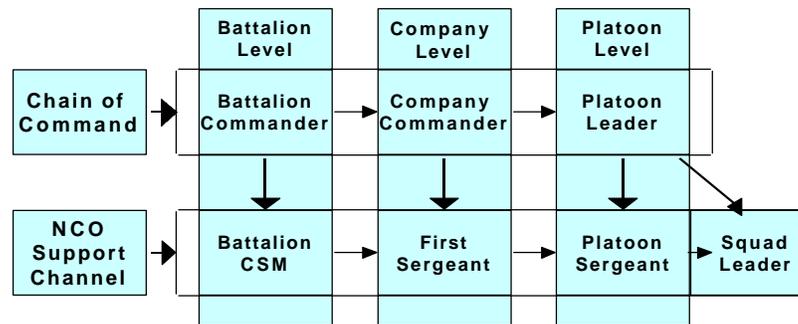


Figure 2-3-2. Chain of Command and NCO Support Channel

The NCO support channel begins with the command sergeant major and ends with the section chief, squad leader, or the team leader. Between these points are intermediate levels such as the first sergeant and the platoon sergeants. Although the first sergeant and command sergeant major are not part of the formal chain of command, leaders consult them on all individual soldier matters.

NCOs use the support channel to pass information, to issue orders and effectively implementing instructions, and to accomplish routine missions. Most often, they use it to put policies and procedures into effect and to enforce standards of performance, training, appearance, and conduct.

The authority of the NCO support channel rests with the chain of command. It does not circumvent or replace the chain of command. It frees the chain of command from transmitting routine, detailed, policy-based instructions and information. Therefore, it is the duty of the NCO to ensure that he keeps the

2-3-6. Identify Communication Systems to Exchange Information, cont

NCO Support Channel, continued

chain of command informed of actions implemented through the NCO support channel. This will eliminate the possibility of the NCO support channel operating outside of command policy and directives.

Downward Communication

A common assumption about the downward flow of information is that when the leader wants to pass information to the soldiers in the unit, the leader merely inserts the information into the chain of command, and it transmits throughout the unit. It does not usually work that well. Frequently, information becomes distorted, diluted, changed, or stopped before it reaches the receiver.

Usually as information travels down the chain of command, it becomes more specific because leaders at each level refine it and add details. A simple statement made by a commander could become a major project by the time it reaches lower levels. For example, the division commander may tell his G3, "I plan to visit the river-crossing exercise that A Company, 1st Battalion, 69th Infantry, will conduct on Monday. Tell the CO I will be there around 1000 hours." By the time this information reaches the company commander, it may be an order to conduct a river-crossing demonstration at 1000 hours, Monday, for the division commander, and it may require rehearsals for the battalion and brigade commanders.

To further illustrate this point, note the following extreme example:

- Colonel to executive officer: "Tomorrow evening at approximately 2000 hours, Haley's Comet will be visible in this area, an event which occurs only once every 75 years. Have the enlisted personnel (EP) fall out in the battalion area in battle dress uniform, and I will explain this rare phenomenon to them. In case of rain, we will not be able to see anything, so assemble the men in the theater and I will show films of it."
 - Executive officer to company commander: "By order of the colonel, tomorrow at 2000 hours, Haley's Comet will appear above the battalion area. If it rains, fall the EP out in battle dress uniform; then march to the theater where the rare phenomenon will take place, something which occurs every 75 years."
 - Company commander to lieutenant: "By order of the colonel in battle dress uniform, at 2000 hours tomorrow evening, the phenomenal Haley's Comet will appear in the theater. In case of rain in the battalion area, the colonel will give another order, something which occurs once every 75 years."
-

2-3-6. Identify Communication Systems to Exchange Information, cont

Downward Communication, continued

- Lieutenant to sergeant: "Tomorrow at 2000 hours, the colonel will appear in the theater with Haley's Comet, something which happens every 75 years. If it rains, the colonel, in battle dress uniform, will order the Comet into the battalion area."
- Sergeant to squad: "When it rains tomorrow at 2000 hours, the phenomenal 75-year-old General Haley, accompanied by the colonel, will drive his Comet through the battalion theater in his battle dress uniform."

Processing information at various levels slows its flow and adds distortion. The information goes through personal filters at various levels where each person makes additions and deletions based on interpretation. Some common filters applied to downward communication are:

- What the leader believes he "heard."
- What the leader believes the soldiers should know.
- What the leader believes the soldiers want to know.
- What the leader believes the boss wants passed along.
- What the leader believes he should "tone down" or "build up."
- What the leader's beliefs and values are to the information.
- What stress, if any, the leader is operating under.
- What importance the leader attaches to the information.
- What the leader, who is passing the information, feels at the moment.

When we consider the filters that information must pass through at each level, it is understandable that distortion, dilution, or total loss of information occurs. Do not misunderstand these remarks. After all, it is the leader's job to filter messages in order to clarify them or add to them when required. The leader, however, should not allow personal values, attitudes, beliefs, and feelings to filter communications inappropriately.

Upward Communication

Upward communication or feedback is also vitally important. Leaders need upward communication to help them make and evaluate decisions, policies, and to foresee problems that they can plan to avoid. A downward communication has your supervisor's seal of approval behind it. A kind of

2-3-6. Identify Communication Systems to Exchange Information, cont

Upward Communication, continued

gravity flow exists. On the other hand, feedback must go upstream all the way; the "people filters" are more severe and cutting than those applied to downward communication. So it is more difficult to develop feedback. Some common filters that people apply to upward communication are:

- The notion that any opinion in opposition to a superior's idea is "negative thinking" and therefore bad.
- The notion that soldiers always gripe and you should only worry when they don't.
- The belief that the information is unimportant and that the originator does not have the "big picture" in mind.
- The belief that superiors are not interested in the information.
- The belief that you will get into trouble for passing along this type of information.
- The belief that the information will reflect adversely on you, your ability, or your unit.
- The belief that your superiors only want to be told the good things and not the bad things.

Do not think that all filters are bad. Some serve a useful purpose. You should try to solve problems, take the required action, and pass on upward only significant information. You must determine what is significant and what is not. The acid test is to ask yourself whether you would need or like to have this information if you were the next leader up in the organization. If the answer is yes, pass it up the chain of command.

Lateral System

The lateral system is another communication system. Mission accomplishment not only depends on information passing accurately to and from subordinates and leaders, up and down the chain of command and NCO support channel, but also laterally among adjacent organizations or activities.

This is the exchange of information between leaders or staff members of equal levels in the organization. For instance, the platoon leaders inform each other of what they are doing and pass on to each other information they get from the company commander and other sources. For example, while leaders go to their own unit maintenance officers to get technical help

2-3-6. Identify Communication Systems to Exchange Information, cont

Lateral System,
continued in maintaining their equipment, they may also go directly to adjacent units or to direct support units to get help.

Informal Communication System In addition to the Army's formal communication system, there are a couple of informal ones. These informal systems of exchanging information can exert either a helpful or a disruptive force within a unit.

Social Communication System The social communication system is one of the informal communication systems. Membership in this system depends on one's social position within the unit. People group together to drink coffee, eat lunch, bowl, go out on the town, and have other social contacts outside working hours. This grouping depends on such things as skill or ability, job assignments, ethnic background, or taste and values. These groups, and there may be any number of them in a unit, have significant influence on the unit since they discuss what goes on in the unit.

By standing together, members of a group can influence the commander's actions in regard to policy, regulation, or procedure. When the command releases a new policy, the group discusses it and inevitably makes judgments concerning it. Each member of the group knows what the others' feelings are on the new policy. They usually all react to it in the same way. The reactions of these groups can give the leader valuable information on how the unit views his policies.

Social communication systems usually control the actions of their member. For example, the clerks in a finance section know what they consider a fair day's work. If a new clerk violates the standards of the group, the group can bring the new clerk in line by refusing to associate with him. Both on and off duty, the group excludes him from their trips to the movie and snack bar and from their nights out on the town. When his supervisor overloads him with work, no one offers to help. The group can quickly force him to meet their standards or make his life so dissatisfying that he will seek a transfer to a new unit.

The leader's job in dealing with social groups is to see that they have ample and correct information, to understand their viewpoints, to transmit pertinent reactions upward through formal channels, and to be available to the groups

2-3-6. Identify Communication Systems to Exchange Information, cont

Social Communication System, continued

as needed. The leader does this by knowing who the groups' leaders are and by informally talking to them. In this way, the leader can get a feel for the social groups' reactions to the unit's activities. The leader can listen for useful ideas and ensure that the social group is correctly informed. In short, the leader becomes the communications center for their messages.

Grapevine Communication System

The grapevine is another informal communication system within the organization. It differs from other systems in that it uses the others in combination to pass on information.

Everyone likes the information they hear to make good sense. If it does not make good sense, people sometimes invent additional information or interpret the fragmentary information received so that it does make sense, at least to them. This is the effect that the grapevine has on partial information, and on complete information which does not make sense. You may understand a situation while your soldiers may not. Therefore, to avoid distortion of information in the grapevine system, make sure that enough information is available that provides a reasonable explanation for the situation at hand. If you receive information that you do not understand, you should ask for clarification before passing the information on to your soldiers. There may be occasions, however, when this is not possible. In such cases, pass on the information you have and explain that you are trying to get it clarified.

Do not view the grapevine system as harmful. By evaluating the information carried by the grapevine, you can learn more about what is going on within the unit. You may also use the grapevine to help identify problems within your unit or to determine how your soldiers accept new policies.

If the information passed in the grapevine is wrong or is a rumor that can injure the unit, you should act at once to bring out the facts concerning the subject of the rumor. As soon as you hear a rumor, determine the facts, gather the personnel concerned, and state: "So and so is a rumor, the facts are_____."

For example, a common rumor in a combat zone is that the troops will be home for Christmas. Often this type of rumor starts due to newspaper or

2-3-6. Identify Communication Systems to Exchange Information, cont

Grapevine Communication System, continued

magazine articles stating, "X number of troops will be home for Christmas." The soldiers may interpret the article as referring to their particular unit.

In this case, it is up to the leader to explain that although some troops will go home early, he does not know which units. He should further state that as soon as factual information is available, he will forward it. Once the soldiers accept a rumor, it is difficult to get them to accept the facts. In some instances they may distort later news to make it coincide with the initial rumor.

2-3-7. Identify Essential Elements of Information in Oral and Written Communication

Cataloging Information

Accuracy is the essence of effective communication. Over the years, the military evolved a systematic way of cataloging information for transmission which ensures a great degree of accuracy in both oral and written communications. This system involves breaking information down into six essential elements. To ensure proper organization of all pertinent data concerning a situation, test it for six essential elements of information. These are:

- Who
- What
- Where
- When
- How
- Why

The order of these elements of information is not important. What is important is that you are aware of them and use them to analyze information for completeness and accuracy. Look at the following order and pick out its essential elements of information.

“Tomorrow evening at approximately 2000 hours, Haley’s Comet will be visible in this area, an event which occurs only once every 75 years. Have

2-3-7. Identify Essential Elements of Information in Oral and Written Communication, cont

Cataloging Information, continued

the enlisted personnel fall out in the battalion area in battle dress uniform, and I will explain this rare phenomenon to them. In case of rain, we will not be able to see anything, so assemble the men in the theatre and I will show films of it.”

The essential elements of information are:

- Who: Enlisted personnel.
- What: Are to fallout or assemble.
- Where: In the battalion area, or the theater if it rains.
- When: Tomorrow evening at approximately 2000 hours.
- How: In battle dress uniform.
- Why: The battalion commander wants to explain an event which occurs once every 75 years. Haley's Comet will be visible in the area. In case of rain, the colonel will show films of the comet in the theater.

The essential elements of information allow you to determine Who will do What, When, Where, How and Why. Not every situation, however, will include all six elements. In many directives, the "why" is often missing, and in the case of routine tasks, the "how" is often left up to you.

As stated earlier "Every soldier must have a notebook and a pen to write down messages and information and pass them on accurately to appropriate people." Do not totally trust your ability to remember. When you receive instructions from your superiors, take notes as you receive them. If this is not possible at the time, write down the instructions you received as soon as you get the chance. Check what you have written for the essential elements of information.

2-3-8. Identify Methods to Reduce Barriers to Communication

Methods to Avoid Barriers to Communication

By being aware of the barriers of communication, you can decide which communication system to use and the way to reduce the effects of the communication barriers. There are several methods you can use to avoid barriers to communication. They are:

2-3-8. Identify Methods to Reduce Barriers to Communication, cont

Methods to Avoid Barriers to Communication

- Sense what seniors, subordinates, and peers need to know.
 - Know how stress affects communication.
 - Teach and demand accurate reporting.
 - Aim your message at your target.
 - Use several channels of communication.
 - Ensure soldiers have complete information.
-

Sense What Seniors, Subordinates, and Peers Need to Know

Leaders at all levels must put themselves in the shoes and situation of other soldiers. They need to see the battle or the training from the eyes of their seniors, their subordinates, peers on their flanks, and support personnel. A lieutenant or NCO who has this ability will immediately sense the information that the company commander must have to direct all parts of the company. He will also be sensitive to the information squad leaders and fellow platoon leaders must have to achieve platoon and company missions. And, he will sense the information that the supply, intelligence, and personnel people need.

Battalion headquarters must have accurate information on each company's situation to assist and coordinate the actions of all the companies. They should not divert a leader's attention from mission accomplishment, however, by nagging them for information.

On the other hand, subordinate unit leaders must provide timely, accurate information so that their higher headquarters can coordinate the overall unit activities.

Headquarters in turn must communicate necessary information to subordinates. By sharing information and keeping individuals, teams, and organizations informed, leaders establish a climate of trust, encourage team building, and allow units and subordinate leaders to determine what they need to do to accomplish the mission when circumstances arise. Communication ensures that an individual makes decisions from knowledge of the situation rather than from a void. Accurate information also relieves unnecessary stress and keeps rumors under control.

2-3-8. Identify Methods to Reduce Barriers to Communication, cont

Know How Stress Affects Communication

You need to understand clearly the human tendencies under stress that create communication problems. Be aware that different people do not see the same reality when they look at a situation or read a message. Our psychological frames of reference--our beliefs, values, character, knowledge, past experience, goals, and fears--influence what each of us sees at a given moment.

People do not always "see" reality. They see what they "perceive" to be reality. Unfortunately, people's perceptions, especially under stress, are often far from reality. Stress is pressure or tension. It is any real or perceived demand on the mind, emotions, spirit, or body. Under stress, people tend to see the situation as worse than it is. In battle, soldiers tend to use words like "heavy shelling," "intense fire," or "strong resistance." But these terms mean different things to different people.

Soldiers at all levels need to be clear and concise in their communication. Prepare your soldiers to deal with stress and its effect on communication through tough, realistic training. Familiarize them with the sights and sounds of battle through training. Teach them how to perform effectively both as individuals and as a team under the hardships they will face in war. They will learn to react in true proportion to the situation.

Teach and Demand Accurate Reporting

You have to be aware of the human tendencies that distort reality. You must cut through them and get correct information which corresponds with reality. If you do not know something is 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. If they do not follow this principle closely, disaster can occur.

During the Ardennes fighting in WWII, the lead forces of the German 2d Panzer Division reported meeting "intense fire" and "strong resistance" at a bridgehead, when in fact they met 12 nervous infantry soldiers. Luckily for the 12 soldiers and the American Army, this miscommunication caused a German division commander to make a serious error.

2-3-8. Identify Methods to Reduce Barriers to Communication, cont

Teach and Demand Accurate Reporting, continued

No matter how great the pressure 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--just to get the "higher" off your back. The leader of the level above you "must" be aware of what is "fact" and what is "assumption" if he is to make good decisions. By the same token, those below you and at your level in the unit need to know what is fact and what is assumption. Stress the difference between them.

Aim at Your Target Before You Shoot Your Message

The success or failure of any communication is the responsibility of the leader. You want the target of your communication to receive and understand your message. Therefore, take a moment to "aim" at your target. Put yourself in his shoes, frame of reference, and situation. Then you can better form the content and tone of the message so that it hits the target.

People tend to make the mistake of communicating from their own situations and not considering the framework of the target person. Before communicating, take a moment to think. How would you interpret the message and how would it make you feel? This is an important, often neglected step to good communication. Ask someone else to put himself in the situation of the target person. See how he understands and feels about the message.

When circumstances permit, write out a message to prevent a change in its content or meaning. Writing forces you to complete your thoughts and to express them accurately. And you know that all receivers on the way up, down, or laterally are getting the same content.

It helps to write out plans, orders, and messages, even if you are going to communicate them orally. Writing allows you to "see" your communication. It gives you a chance to analyze your message to ensure that you are communicating exactly what you want the other person to receive and understand.

Use Several Channels of Communication

Since information easily becomes filtered or blocked, you must use several channels to relay it. Repeat important communications to ensure the information gets to all parts of the unit. The following are channels of communication:

2-3-8. Identify Methods to Reduce Barriers to Communication, cont

Use Several Channels of Communication, continued

- **Announcements** are easy, quick, and reach a large group at once. However, they are not always reliable and should not be the sole channel for communications. Some troops will not be present, some might not listen, and some may not understand. Also, you have limited feedback on whether or not they understand the message when they are in formation. Announcements are best for short, easy-to-understand messages.
 - **Chain of Command.** The leaders in the chain of command must be a cohesive, harmonized team if the chain is to communicate clear messages. Strong bonds of trust, confidence, respect, and understanding among all leaders in the unit lead to an effective command channel. The officers and NCOs in the unit make up the leadership team which is the nerve center of a unit. The leadership team must prevent change in the meaning, content, and importance of messages on the way up or down the chain or laterally. The leadership team of a unit consists of people. No matter how good each person on the team is, each has his own unique framework for seeing and hearing. Therefore, the potential for blocking and distorting communications is always present. You must know this and continually check to ensure that accurate information is flowing through the leadership team to the troops.
 - **Informal groups** shape morale and influence values. People in informal groups link themselves together by the bonds of friendship. Their communication net operates quickly and directly. If informal groups support the chain of command, they can promote effective communication and control the ill effects of rumors.
 - **Meetings.** As a leader, you must get things done through your subordinates. Thus, meetings with your subordinates for coordination, problem solving, and giving out information are an important means of keeping your subordinates informed. Too many meetings, however, can disrupt the operation of a unit. The first thing to consider in planning a meeting is to decide if in fact you need to have a meeting at all.
 - **Written communications.** Use written communications when the information you have to pass out is very complex, very important, or needs recording.
-

2-3-8. Identify Methods to Reduce Barriers to Communication, cont

Ensure that All Soldiers Have Complete Information About the Mission

The likely nature of modern war will cause mass casualties, small groups of soldiers isolated from friendly units, great stress from continuous day and night operations, and confused engagements with enemy forces. These conditions make it essential for leaders to communicate the overall purpose of the mission and the commander's intent to subordinates so they have the basic information they need to carry on.

More than ever, success on the battlefield will depend on the creative thinking, problem-solving ability, and character strength of all soldiers. We must teach our soldiers how to think and solve problems while under stress. If they are to think creatively on the battlefield, they must have a clear concept of the mission.

They must have all the accurate information that headquarters--platoon, company, battalion, and above--can supply about the enemy and other factors that affect the mission. This way, when communication with the headquarters becomes temporarily cut off, lower-level units and soldiers can use their initiative to accomplish the mission without instruction from higher headquarters. Keeping your soldiers informed helps them make decisions and execute plans within your intent, encourages initiative, improves teamwork, and enhances moral.

2-3-9. Lesson Review

Summary

Good leadership improves with effective communication. If you remember the communication process that shows the sender sending the message to the receiver who provides feedback to the sender, you will be off to a good start. However, you must keep in mind the differences between verbal and nonverbal communication so you can totally communicate messages to your soldiers.

By understanding the three levels of listening, you can monitor your own level and be aware of the level your soldiers are on. To be a smart leader, you should not let physical and psychological barriers interfere with your communication.

2-3-9. Lesson Review, cont

Summary, continued

As a noncommissioned officer in a squad/section leader position, you will be a part of the formal communications system. Because you are a squad/section leader, you will be in the chain of command. Additionally, because you are an NCO, you will be in the NCO support channel. As a soldier and a person, you will also be in the informal communication system.

The six elements of information are important for complete and accurate communication. They allow you to determine Who will do What, When, Where, How, and Why. Not every situation, however, will include all of the six elements.

By understanding the barriers to communication, you can determine means to reduce these effects on communication. By listening, understanding, and effectively communicating, you can have an extremely favorable influence on the overall attitude of the soldiers you lead. Remember, communication is a necessary skill of leadership.

This page intentionally left blank

2-3-10. Check Your Learning

Directions This is a self-graded exercise. Circle the letter of the correct response or fill in the blank with the correct response. Upon completion, compare your responses to the correct responses in the answer key and feedback sheet.

Question 1 The four elements of the communication process are: _____, _____, _____, and _____.

Question 2 You can transmit messages many different ways. The three means of communication which cover all or the different ways to transmit messages are: _____, _____, and _____.

Question 3 CPL James talks to his team about the recent field exercise. What means of communication is CPL James using to communicate with his soldiers?

- a. Verbal
 - b. Nonverbal
 - c. Formal
 - d. Informal
-

Question 4 While counseling one of his soldiers, CPL Nelson notices the soldier's facial expression changes each time he mentions PLDC attendance. What means of communication is the soldier using to communicate this to CPL Nelson?

- a. Verbal
 - b. Nonverbal
 - c. Formal
 - d. Informal
-

2-3-10. Check Your Learning, cont

Question 5 SGT White, while talking to her squad, notices one of her soldiers looking at her with a blank stare. At what level is the soldier listening to SGT White?

- a. Not hearing at all
 - b. Active
 - c. Passive
 - d. Reflective
-

Question 6 SGT Keller, while briefing his squad, notices that the squad members are responding with head nodding and verbal feedback. At what level are the squad members listening?

- a. Not hearing at all
 - b. Active
 - c. Passive
 - d. Reflective
-

Question 7 PVT Foote tells his squad leader that he does not understand sections of the commander's message. He wants to know the meaning of some of the abbreviations since he feels that some may not be correct. What type of communication barrier is this?

- a. Psychological
 - b. Physical
 - c. Emotional
 - d. Reflective
-

Question 8 What type of communication barrier is the unique combination of factors that can cause a group of people to see and hear the same situation differently?

- a. Psychological
 - b. Physical
 - c. Emotional
 - d. Reflective
-

2-3-10. Check Your Learning, cont

Question 9 The unit commander issues instructions for the performance of unit tasks and conveys his policies and standards to unit members. What type of communication system does the commander use?

- a. Lateral
 - b. NCO support
 - c. Social communication
 - d. Chain of command
-

Question 10 Platoon leaders must inform each other of what they are doing and pass on to each other information they get from the company commander. What communication system must they use?

- a. Lateral
 - b. NCO support
 - c. Social communication
 - d. Chain of command
-

Question 11 “Tomorrow at 1800 hours,” is an example of which of the six essential elements of information:

- a. Who
 - b. What
 - c. When
 - d. Where
-

Question 12 SGT Young has very complex and important information to pass out. To reduce the possibility of the information becoming filtered or blocked, what is the primary channel of communication that he should use?

- a. Written
 - b. Chain of command
 - c. Informal group
 - d. Meetings
-

This page intentionally left blank

2-3-11. Lesson 3-Answer Key and Feedback

-
- Question 1** Correct responses are: sender, message, receiver, and feedback, Ref: page 2-3-4, para Communication process.
-
- Question 2** Correct responses are: verbal, nonverbal, and combination, Ref: page 2-3-5, para The message and the means of transmission.
-
- Question 3** Correct response is: a. Verbal, Ref: page 2-3-7, para Verbal communication.
-
- Question 4** Correct response is: b. Nonverbal, Ref: pages 2-3-7 and 2-3-8, para Nonverbal communication.
-
- Question 5** Correct response is: a. Not hearing at all, Ref: page 2-3-10, para Levels of listening.
-
- Question 6** Correct response is: b. Active, Ref: page 2-3-10, para Levels of listening.
-
- Question 7** Correct response is: b. Physical, Ref: page 2-3-12, para Physical barriers.
-
- Question 8** Correct response is: a. Psychological, Ref: page 2-3-12, para Psychological barriers.
-
- Question 9** Correct response is: d. Chain of command, Ref: page 2-3-15, para Chain of command.
-
- Question 10** Correct response is: a. Lateral system, Ref: page 2-3-19, para Lateral system.
-

2-3-11. Lesson 3-Answer Key and Feedback, cont

Question 11 Correct response is: c. When, Ref: page 2-3-23, para Cataloging information.

Question 12 Correct response is: a. Written, Ref: page 2-3-27, para Use several channels of communication..

Module 2 Lesson 4

Conduct Developmental Counseling (L204)

2-4. Lesson Overview

Lesson Presentation This lesson provides you information on how to conduct developmental counseling.

Lesson Content, TLO, ELOs

| Topic | Page |
|---|--------|
| TLO: Conduct developmental counseling. | NA |
| Introduction | 2-4-2 |
| ELO 1: Identify the developmental counseling process. | 2-4-2 |
| ELO 2: Identify the types of developmental counseling. | 2-4-7 |
| ELO 3: Identify correct and incorrect counseling procedures (RESIDENT INSTRUCTION). | NA |
| ELO 4: Comply with the noncommissioned officer evaluation reporting system (NCOERS) counseling requirements. The practical exercise of this subject area will be in RESIDENT INSTRUCTION. | 2-4-23 |
| Lesson Review | 2-4-33 |
| Check Your Learning | 2-4-35 |
| Answer Key and Feedback | 2-4-37 |

References

The following table lists the references for this lesson.

| Number | Title | Date |
|-----------|-----------------|--------|
| FM 22-100 | Army Leadership | Aug 99 |

2-4-1. Introduction

Purpose

You are under observation! Yes, you are under observation at all times whether you are aware of it or not. Your subordinates are watching you to see what kind of leader they want to be. You set the example in everything you do or fail to do. The example you set in counseling is especially important. Your subordinates will copy your behavior and your behavior is a powerful teaching tool whose power one cannot underestimate.

Developmental counseling isn't a time for war stories or for tales of how people did things way back when. You must focus on today's performance and problems and tomorrow's plans and solutions. You center effective developmental counseling on the subordinate who is actively listening, asking for more feedback, and seeking elaboration on what the counselor has to say. As a leader, you're responsible for developing your subordinates. A leader cannot be all things to all people. You must be sensitive to your subordinates' professional development and remember counseling is an important responsibility of all leaders.

From this preresident and your resident training, you will learn how to counsel your subordinates with techniques that focus on subordinate-centered communication and development.

2-4-2. Identify the Developmental Counseling Process

Developmental Counseling

Counseling is not just an occasional event or quarterly event to accomplish and shelve until someone begins screaming about a late Noncommissioned Officer Evaluation Report (NCOER). It's about taking care of your subordinates on a regular basis, and that's what developmental counseling is all about? Just what do we mean? Let's begin our discussion with a description of developmental counseling.

Developmental counseling is subordinate-centered communication that produces a plan outlining actions necessary for subordinates to achieve individual or organizational goals. As a leader you must insure that you use developmental counseling as a shared effort with your subordinates. You assist your subordinates in identifying strengths, weaknesses, and creating plans of action, and then you support them throughout the implementation of the plan and assessment. Developmental counseling is not always an adverse action; it is a skill you use to help your subordinates become better team members while improving performance and preparing them for the future.

2-4-2. Identify the Developmental Counseling Process, cont

Developmental Counseling, continued

In a previous lesson you became familiar with the definition of leadership. As you recall, leadership is **influencing** people by providing purpose, direction, and motivation while **operating** to accomplish the mission and **improving** the organization. Developmental counseling will require you to put them all to use to be an effective coach, mentor, and leader. You must learn to assess mistakes and identify honest mistakes that did not result from negligence. You will also draw on the Army value of **Personal Courage** to be an effective counselor.

Personal Courage

Personal courage is to face fear, danger, or adversity--Physical or Moral.

- Physical courage is overcoming fears of bodily harm and doing your duty.
- Moral courage is an integral part of personal courage that counseling will demand of you, especially when it comes to specific counseling instances for substandard performance.

For you, consistent moral courage is every bit as important as momentary physical courage. Situations requiring physical courage are rare, but as you have probably already experienced, situations requiring moral courage occur quite frequently. Sometimes however, you may have to demonstrate Physical and Moral Courage simultaneously. Moral courage is essential to living the Army values of integrity and honor every day. As a successful leader, you must be willing to demonstrate physical and moral courage.

Candor

Often, we express Moral Courage as candor. Candor is being frank, honest, and sincere with others while keeping your words free from bias, prejudice, or malice.

2-4-2. Identify the Developmental Counseling Process, cont

Characteristics of Counseling

Being candid is not the only answer for effective counseling in all leadership or counseling situations. If you haven't already discovered it, there is no solution to counseling. However, there is one thing you can do to aid you in conducting effective counseling, and that is to develop a counseling style with certain characteristics. These characteristics are:

- **Purpose.** You must clearly define the purpose of the counseling to the subordinate. Doing so will avoid confusion between you and the subordinate on the specific matters you are preparing to discuss.
- **Flexibility.** You must be flexible and fit the counseling style to the character of each subordinate in order to establish the relationship desired.
- **Respect:** Because no two subordinates are alike, they all have their own distinct set of values, beliefs, and attitudes making them unique, complex individuals. You show respect by allowing subordinates to take responsibility for their own ideas and actions. This creates mutual respect in your leader-subordinate relationship and will improve the chances of maintaining behavior and achieving goals. Using the same approach to counseling for every individual will not work.
- **Communication.** As you learned in the lesson, "Effective Communication," there are several ways to communicate. We begin by establishing open, two-way communication using a combination of verbal and nonverbal language actions and gestures. Your subordinate may draw more from your nonverbal actions than from the actual conversation itself. You must remain aware at all times of how you may be coming across to your subordinates, based on any combination of these actions. In most instances it is better to listen than to speak. However, you would base this on the type of counseling you conduct and the circumstances involved. Your nonverbal actions alone may be enough to convince your subordinate of your support in a particular matter.
- **Support.** You support subordinates by encouraging them through actions and by providing guidance while they work through their problems. In order to accomplish this you must be aware of your role, not only as a leader, but as a counselor as well. So, let's check out the counselor part.

The Leader as a Counselor

As a leader and counselor, you must be fully aware of your own values, needs, and biases prior to taking on any counseling of subordinates. Being a self-aware leader makes you less likely to project any biases onto your

2-4-2. Identify the Developmental Counseling Process, cont

The Leader as a Counselor, continued

subordinates and more likely to act consistently within your own values. You also 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. Cultural awareness will enhance your ability to display empathy. You experience empathy when you can place yourself in your subordinates' shoes and see the situation from the subordinates' perspective. In so doing, you can better help them develop a plan of action that fits their needs and personality, and most importantly, works for them. This will also aid you in gaining credibility with your subordinates. To be credible, you must be straightforward in dealing with them. Behave in a manner that allows you to gain their trust and respect. You can accomplish this by demonstrating your willingness to assist a subordinate and being consistent in what you say and do.

Leader Counseling Skills

This leads us to explore some skills required for effective counseling. As a counselor you must select the proper approach to specific situations in order to be effective. Whatever technique you chose must fit the situation, your capabilities, and the subordinate's expectations. Regardless of the situations you may have already encountered, you should continue to seek ways to further develop and improve on your counseling abilities. You can do this by:

- Studying human behavior
- Identifying problems that affect your subordinates
- Developing interpersonal skills

The techniques needed to provide effective counseling varies from person to person and session to session. However, general skills that you will need in almost every situation include some skills you have already become familiar with in a previous lesson, "Effective Communications." These skills are:

- Active listening
 - Responding
 - Questioning
-

Active Listening

Active listening is communicating verbally and nonverbally that you received the message. Your subordinates need to know that you are actively listening. Give full attention to them, listening to their words and the way

2-4-2. Identify the Developmental Counseling Process, cont

Active Listening, continued

they are spoken. Active listening involves listening to what your subordinates have to say and the way in which they say it, and listening to the words not spoken, and the silence. Notice voice tone, eye contact, facial expressions and appearance, then transmit an understanding of the message through responding. You will now read the six elements of active listening:

- **Eye Contact.** Maintaining eye contact without staring will help demonstrate that you have a sincere concern in the subordinate's best interest. However, remember occasional breaks of contact are normal and acceptable. Some subordinates may perceive constant eye contact as improper or an effort to stare them down. There are really no established guidelines. Basically, as a leader you have to take into consideration each subordinate's cultural background.
 - **Body posture.** Keep in mind that being comfortable and relaxed helps to put your subordinate at ease, but a nonchalant or slouched position may do just the opposite.
 - **Head nods.** Occasional head nodding shows you are paying attention and encourages your subordinate to continue participating in the session.
 - **Facial expressions.** Displaying a blank or fixed expression, smiling excessively, or frowning may discourage participation. Try to remain natural and relaxed.
 - **Verbal expressions.** Let the subordinate do the talking while you ensure the discussion remains on the counseling subject. You should speak only as necessary to reinforce the importance of what the subordinate is saying. This also encourages the subordinate to continue. Be careful with silence, too much can be distracting and lead to discomfort.
 - **Nonverbal indicators.** 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 you should take them into consideration. Note differences between what the subordinate says and does. Below are only a few of the nonverbal indicators of a subordinate's attitude:
 - **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.
-

2-4-2. Identify the Developmental Counseling Process, cont

Active Listening, continued

- **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.** Attempts to get closer to the leader while sitting.
 - **Openness or anxiety.** Sitting on the edge of the chair with arms uncrossed and hands open.
-

Responding

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

You must use questioning with caution. Too many questions may put the subordinate in either a defensive or passive mode. If used correctly, questioning serves you with a way to obtain valuable information, establish rapport, clarify, and most importantly, facilitate and focus the subordinate's thinking. The questions you ask and the manner in which you ask them can either facilitate or hinder the process of communication. Observe the subordinate's nonverbal reactions to the question. The intent of questioning is to allow the subordinate to reach his own conclusions about his developmental success and or needs. Ask open-ended questions. These require more than a yes or no answer. Using well-posed questions helps you to verify understanding, encourages explanation, and helps the subordinate.

2-4-3. Identify the Types of Developmental Counseling

Types of Developmental Counseling

You can often categorize developmental counseling based on the topic of the session. The two major categories of counseling are:

- Event-oriented
 - Performance/professional growth
-

2-4-3. Identify the Types of Developmental Counseling, cont

Event-Oriented Counseling

Event-oriented counseling involves a specific event or situation. It may precede events, such as going to a promotion board, or it may follow events, such as a noteworthy duty performance. Examples of event-oriented counseling include, but are not limited to:

- Specific instance of superior or substandard performance
 - Reception and integration counseling
 - Crisis counseling
 - Referral counseling
 - Promotion counseling
 - Separation counseling
-

Specific Instance of Superior or Substandard Performance

Too many leaders focus this counseling on poor performance and fail to acknowledge excellent performance or put it off until they inadvertently forget about it. To be successful, you must conduct this counseling as close to the event as possible.

To conduct a check on yourself, you may want to occasionally keep track of superior and substandard performance counseling incidents. When preparing to conduct substandard performance counseling, you must ensure the subordinate knew the standards expected of him, if not, then you, with the subordinate, should develop a plan to improve his performance or skills. This may be where you have to administer corrective training until the subordinate knows and achieves the standard. Once he meets the standard, the training should end. When counseling a subordinate for a specific performance, you should take the following actions:

- Tell the subordinate the purpose of the counseling, what you expected, and how the subordinate failed to meet the standard.
 - Address the specific unacceptable behavioral 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.
-

2-4-3. Identify the Types of Developmental Counseling, cont

Specific Instance of Superior or Substandard Performance, continued

- Prepare to do some personal counseling, since a failure to meet the standard may relate to result in an unresolved personal problem.
 - Explain to the subordinate what he must do 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

As a leader, you must counsel new team members when they arrive in your organization. This reception and integration counseling serves two purposes. It:

- Identifies and gives you a chance to help fix any problems or concerns that new members may have, especially any issues resulting from the new duty assignment.
- Lets them know the organizational standards and how they fit into the team. It clarifies job titles and sends the message that the NCO support channel and chain of command cares.

Reception and integration counseling should begin immediately upon arrival so new team members can quickly become integrated into the organization. The following are some possible areas of discussion for this type of counseling:

- 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/SGT Morales clubs
 - 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 leader
-

2-4-3. Identify the Types of Developmental Counseling, cont

Crisis Counseling

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. Normally, your chain of command will be heavily involved with you in this type of counseling.

Referral Counseling

Referral counseling provides you the opportunity to help 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 them to the appropriate activity. Generally it is a good idea to keep your NCO support channel informed in situations such as these. Keep in mind that more than one activity may apply depending on the situation. The following are examples of agencies to which you may send a soldier, depending on the soldier's problem:

- Adjutant General
- American Red Cross
- Army Community Service
- Army Substance Abuse Program
- Better Opportunities for Single Soldiers (BOSS)
- Army Education Center
- Equal Opportunity Staff Office and Equal Employment Opportunity Office
- Inspector General
- Social Work Office
- Career Counselor
- Chaplain
- Claims Section SJA
- Legal Assistance Office
- Community Counseling Center
- Community Health Nurse
- Community Mental Health Service
- Family Advocacy Officer
- Finance and Accounting Office
- Transition Office.

As you can see in the list of activities above, you have an array of resources available to you to help in taking care of your subordinates. A listing such as this is a good reference, but with a little research on your behalf, you will probably find others. Never hesitate to use them when required.

2-4-3. Identify the Types of Developmental Counseling, cont

**Promotion
Counseling**

You 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. Keeping your subordinates informed on their promotion eligibility is a valuable morale-enhancing tool.

**Adverse
Separation
Counseling**

What do you do about the subordinate who, regardless of how much effort you expend, fails to conform to standards or commits serious acts of misconduct? Adverse separation counseling may require you to inform the soldier of the administrative actions available to the commander in the event substandard performance continues and of the consequences involved. Developmental counseling may not apply when a subordinate has engaged in serious acts of misconduct. Normally, in those situations, the chain of command and the servicing staff judge advocate take this out of your hands and provide the notification requirements. This does not mean you abandon or shun the subordinate. You are still responsible to take proper care of the subordinate up until discharge. When the leader's rehabilitative efforts fail, counseling with a view towards separation fulfills an administrative prerequisite to many administrative discharges. It serves as a final warning to the soldier to improve performance or face discharge.

**Performance/
Professional
Growth
Counseling.**

Now that we have covered event-oriented counseling, we will discuss the second type of counseling. Performance/professional growth counseling, as the title indicates, breaks down into two categories:

- Performance
 - Professional Growth
-

**Performance
Counseling**

During performance counseling, you conduct a review of a subordinate's duty performance during a certain time period. You and the subordinate jointly establish performance objectives and standards for the next time period. Rather than dwelling on the past, you should focus the session on the subordinate's strengths, areas needing improvement, and potential. Regulatory evaluation reporting system guidance requires you to conduct face-to-face performance counseling, but this should not be the only driving

2-4-3. Identify the Types of Developmental Counseling, cont

Performance Counseling, continued

factor. Counseling at the beginning of and during the evaluation period facilitates a subordinate's involvement in the evaluation process. Performance counseling communicates standards and provides an opportunity for you to establish and clarify the expected values, attributes, skills, and actions desired. 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 teach them how to achieve the standards in the development process.

A good example is when you conduct face-to-face counseling using DA Forms 2166-7-1 (NCOER Support Form) and 2166-7 (NCOER Form). You set goals and evaluate your subordinates using the DA Form 2166-7-1 on a quarterly basis and evaluate your subordinates annually on the DA Form 2166-7.

Professional Growth Counseling

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. You and the subordinate then create a plan of action to build upon strengths and overcome weaknesses. This counseling isn't normally event-driven. 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. You may want to include opportunities for civilian or military schooling, future duty assignments, special programs, and reenlistment options. Each subordinate's needs are different, and you must apply specific courses of action tailored to each individual.

Performance Counseling Summary

While the two categories you just read about can help you organize and focus counseling sessions, you should not view them 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, you should follow the same basic format to prepare for and conduct it and select the best approach to use. In choosing the approach, you must keep in mind that different people and different situations require different approaches.

2-4-3. Identify the Types of Developmental Counseling, cont

Approaches to Counseling

An effective leader approaches each subordinate as an individual. Soldiers differ, as do situations, and can require different counseling approaches. You will learn of the three approaches the Army uses:

- Nondirective
- Directive
- 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 the counseling session.

Figure 2-4-1 on page 2-4-14 provides the advantages and disadvantages of the three approaches to counseling.

Nondirective Counseling

This approach to counseling centers on the subordinate, and in most situations is the preferred approach. Use your experience, insight, and judgment to assist the subordinate in developing solutions. Inform the subordinate about the counseling process and explain what you expect. Listen, rather than make decisions or give advice, and as appropriate, summarize the discussion. Motivate the subordinate to bring out important points. This allows you to better understand the situation. Avoid providing solutions or giving your opinion. It is preferable to focus on the individual and organizational goals and objectives.

Directive Counseling

Directive counseling is more counselor-centered versus subordinate-centered. You normally use this approach to correct simple problems, make on-the-spot corrections, and correct certain aspects of duty performance. Here you will do most, if not all of the talking, telling the subordinate what to do and when to do it. You should consider using directive counseling when a subordinate needs firm guidance, may be immature, or is insecure.

2-4-3. Identify the Types of Developmental Counseling, cont

Combined Counseling

When you use combined counseling, you combine part of the directive and part of the nondirective approaches. The combined approach emphasizes that the subordinate must be responsible for the planning and decision-making responsibilities. You listen and suggest possible courses of action, and help analyze each possible solution to determine its good and bad points. You then ensure the subordinate fully understands all aspects of the situation and encourage him to decide which solution is best.

| | Advantages | Disadvantages |
|---------------------|--|--|
| Nondirective | <ul style="list-style-type: none"> • Encourages Maturity. • Encourages open communication. • Develops personal responsibility. | <ul style="list-style-type: none"> • More time-consuming. • Requires greatest counselor skill. |
| Directive | <ul style="list-style-type: none"> • Quickest method. • Good for people who need clear, concise direction. • Allows counselors to actively use their experience. | <ul style="list-style-type: none"> • 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 | <ul style="list-style-type: none"> • Moderately quick. • Encourages maturity. • Encourages open communication. • Allows counselors to actively use their experience. | <ul style="list-style-type: none"> • May take too much time for some situations |

Figure 2-4-1, Counseling Approach Summary Chart

Counseling Techniques

You may choose from a variety of counseling techniques, depending on the type of counseling you plan to conduct. You will learn a few of these you can use in the nondirective and combined approaches, keeping in mind they are not all inclusive.

- **Suggesting alternatives.** You simply discuss alternative solutions for the subordinate to consider, but you and the subordinate decide the appropriate course of action.
- **Recommending.** Providing one course of action and leaving the decision whether or not to accept it, up to the subordinate.

2-4-3. Identify the Types of Developmental Counseling, cont

Counseling Techniques, continued

- **Persuading.** Attempting to persuade the subordinate that a particular course of action is in his best interest, but leaving the decision up to him. Success here depends on how much credibility, willingness to listen, and mutual trust your subordinate has in you.
- **Advising.** Informing the subordinate that a particular course of action is in his best interest. This is the strongest form of influence you can exert without giving an order.

If you use these techniques appropriately, you can cause subordinates to do things to improve their performance. However, there are some other techniques you may have to resort to when using the directive approach to counseling. The following are some counseling techniques available for use when using the directive approach.

- **Corrective training.** Here, you teach and assist the subordinate in attaining and maintaining the standards. You can consider the training successful and complete when the subordinate meets or exceeds the standards.
 - **Commanding.** When you have exhausted all other possible techniques, you may have to resort to ordering the subordinate to take a specific course of action. When doing so, state the course of action in clear, concise words. Make sure the subordinate understands that his failure to follow an order has consequences. He will be held fully accountable for his failure to obey the order.
-

The Counseling Process

To be an effective leader in the counseling process, there are four stages in the process that you need to become familiar with. These stages are:

- Identify the need for counseling
 - Prepare for counseling
 - Conduct counseling
 - Follow up
-

Identify the Need for Counseling

You may conduct developmental counseling whenever the need arises for focused two-way communication with a subordinate. Quite often organizational policies, such as counseling associated with an evaluation

2-4-3. Identify the Types of Developmental Counseling, cont

Identify the Need for Counseling, continued

or counseling required by the command, generates a counseling session. Developing a subordinate consists of observing the subordinate's performance, comparing it to the standard, and then providing feedback to the subordinate in the form of counseling. For example, you observe a soldier not performing a task to standard. Your observation identifies a need for counseling.

Prepare for Counseling

Successful counseling requires preparation. To prepare for counseling, you should do the following:

- **Select a suitable place** in an environment that minimizes the chance of interruptions and is generally free from distracting sights and sounds.
 - **Schedule the time during duty hours** when possible and free from other competitive activities so as to prevent rushing during the session. Important events can distract a subordinate from concentrating on the counseling. The length of time required for counseling depends on the complexity of the issue. Generally a counseling session should last no more than an hour. If you need more time, schedule a second session.
 - **Notify the subordinate well in advance.** For a counseling session to be a subordinate-centered, two-person effort, the subordinate must have time to prepare for it. The subordinate must 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 and 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** and use the information obtained to determine what to discuss during the 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.
-

2-4-3. Identify the Types of Developmental Counseling, cont

Prepare for Counseling, continued

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.

- **Plan your counseling strategy** keeping in mind the nondirective, directive, and combined approaches to counseling you read about earlier. Use a strategy that suits your subordinates and the situation.
 - **Establish the right atmosphere** in order to promote two-way communication between yourself and the subordinate. To establish a relaxed atmosphere, you may want to 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. Some situations make an informal atmosphere inappropriate. For example, during counseling to correct substandard performance, you might 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

Be flexible when conducting a counseling session. Often counseling for a specific incident occurs spontaneously as you encounter subordinates in their daily activities. You may counsel in the field, motor park, or billets—wherever subordinates perform their duties. You should take advantage of naturally occurring events to provide subordinates with feedback. Even when you haven't prepared for formal counseling, you should address the four basic components of a counseling session. Their purpose is to serve as a guide to effective counseling rather than mandate a series of rigid steps. These four basic components are:

- **Opening the session.** You should 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. If applicable, start the counseling session by reviewing the status of the previous plan of action. 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 depending on the type of counseling. Use active listening; respond, and question without dominating the conversation. Your aim should be to help the subordinate better understand the subject of the counseling.
-

2-4-3. Identify the Types of Developmental Counseling, cont

Conduct the Counseling, continued

- **Developing the plan of action.** Your plan of action should identify a method for achieving a desired result. It should specify what the subordinate must do to reach the goals set during the counseling session. It should show the subordinate how to modify or maintain his behavior. A specific and achievable plan of action sets the stage for successful development.
 - **Record and close the session.** Although requirements to record counseling sessions vary, a leader will always benefit 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 enables you to better make recommendations for professional development, schools, promotions, and evaluation reports. Additionally, Army regulations require written records of counseling for certain personnel actions, such as barring a soldier from reenlisting, processing a soldier for administrative separation, factual evidence for punitive as well as non-punitive actions, or placing a soldier in the over-weight 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. In closing the session, summarize its key points and ask your subordinate if he understands the plan of action. Have the subordinate review the plan and what's expected of you, the leader. Establish any follow-up measures necessary for successful implementation. You should at least tentatively schedule any future meetings before releasing the subordinate.
 - **Follow up:**
 - **Leader's responsibilities** begin with the ending of the counseling session. You support your subordinates as they implement and then evaluate the results. Support may include teaching, coaching, providing time and resources, follow-up counseling, making referrals, informing the NCO support channel/chain of command, taking additional corrective measures and assessment.
 - **Assessing the plan** allows you to develop subordinates who are better able to achieve personal, professional, and organizational goals. During the assessment, review the plan of action with the
-

2-4-3. Identify the Types of Developmental Counseling, cont

Conduct the Counseling,
continued

subordinate to determine if the subordinate achieved the desired results. The assessment of the plan of action provides useful information for future follow-up counseling sessions.

Developmental Counseling Form DA Form 4856-E.

You will now become familiar with the Developmental Counseling Form, DA Form 4856-E, that replaces the General Counseling Form, DA Form 4856, dated June 1985. Figure 2-4-2 is a copy of the form. You will use this form when you attend the resident phase of training.

- **Part I, Administrative Data.** As you can see, Part I is pretty well self-explanatory. Here you will enter the name, rank, social security number, date of counseling, organization of the individual being counseled, and the name and title of the counselor.
 - **Part II, Background Information.** We discussed the material you use to make these entries in “Open the Session.” Here you enter the purpose of the counseling and state the reason for it, such as, performance, professional growth, or event-oriented. This should include your facts and observations prior to the counseling. You would annotate pertinent, specific, and objective facts and observations. If applicable, you or the subordinate start the counseling session by reviewing the status of the previous plan of action.
 - **Part III, Summary of Counseling.** This section breaks down into three sub-sections: Key Points of Discussion, Plan of Action, and Session Closing.
 - **Key Points.** This is where you put down the key points of the discussion. You and your subordinate attempt to develop a mutual understanding of the issues. You and the subordinate should provide examples or cite specific observations to reduce the perception that either is unnecessarily biased or judgmental.
 - **Plan of Action.** The 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 of the form).
 - **Closing Session.** During the closing session, you summarize the key points of the session and check to see if the subordinate understands the plan of action. The subordinate circles either, “agree” or “disagree,” provides remarks as appropriate, and signs/dates the form. You obtain the counseled individuals signature and date.
-

2-4-3. Identify the Types of Developmental Counseling, cont

**Developmental
Counseling
Form DA Form
4856-E,
continued**

- **Leader's Responsibilities.** In the leader's responsibilities block, you annotate your responsibilities in supporting and assisting the subordinate to implement the plan of action. You list the resources necessary to accomplish the plan of action and commit to providing them to the subordinate. Here is when you sign and date the form.

 - **Part IV.** During the assessment portion of the plan of action, you and the subordinate review the plan of action to determine if the subordinate achieves the desired results. Both you and the subordinate will complete this section. It will provide useful information for any follow-up counseling. You should complete this block prior to the start of any follow-up counseling sessions. An event-oriented counseling session **is not** complete until completion of this block. During performance/professional growth counseling, this block serves as the starting point for future counseling endeavors. You must remember to conduct this assessment based on resolution of the situation or the established time line discussed in the plan of action. You and the subordinate should determine a date for the next session, and both of you should keep a record of the counseling form.
-

2-4-3. Identify the Types of Developmental Counseling, cont

| | | | |
|--|--------------|-----------------------------|--------------------|
| <p>Developmental Counseling Form For use of this form see FM 22-100.</p> | | | |
| <p>DATA REQUIRED BY THE PRIVACY ACT OF 1974</p> | | | |
| <p>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.</p> | | | |
| <p>PART I - ADMINISTRATIVE DATA</p> | | | |
| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
| Organization | | Name and Title of Counselor | |
| <p>PART II - BACKGROUND INFORMATION</p> | | | |
| <p>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.)</p> <p><i>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.</i></p> | | | |
| <p>PART III - SUMMARY OF COUNSELING Complete this section during or immediately subsequent to counseling.</p> | | | |
| <p>Key Points of Discussion:</p> <p><i>The leader and the 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.</i></p> | | | |
| <p>OTHER INSTRUCTIONS</p> | | | |
| <p>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.</p> | | | |

DA FORM 4856-R-E

EDITION OF JUN 85 IS OBSOLETE

Figure 2-4-2, DA Form 4856-E, Developmental Counseling Form

2-4-3. Identify the Types of Developmental Counseling, cont

| |
|--|
| <p>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).)</p> <p><i>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.</i></p> <p><i>Remember, event-oriented counseling with corrective training as part of the plan of action can't be tied to a specific time frame. Corrective training is complete once the subordinate attains the standard.</i></p> |
| <p>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):</p> <p>Individual counseled: I agree/disagree with the information above</p> <p>Individual counseled remarks:</p> <p>Signature of Individual Counseled: _____ Date: _____</p> |
| <p>Leader Responsibilities: (Leader’s responsibilities in implementing the plan of action):</p> <p>I will assist you as required to properly prepare for the training.</p> <p><i>To accomplish the plan of action, the leader must list the resources necessary and commit to providing them to the soldier.</i></p> <p>Signature of Counselor: _____ Date: _____ [sic]</p> |
| <p>PART IV - ASSESSMENT OF THE PLAN OF ACTION</p> |
| <p>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):</p> <p><i>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.</i></p> <p><i>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.</i></p> <p>Counselor: _____ Individual Counseled: _____ Date of Assessment: _____</p> <p style="text-align: center;">Note: Both the counselor and the individual counseled should retain a record of the counseling.</p> |

DA FORM 4856-R-E (Reverse)

Figure 2-4-3, DA Form 4856-E, Developmental Counseling Form

2-4-4. Comply with the Noncommissioned Officer Evaluation Reporting System (NCOERS) Counseling Requirements

NCOERS

During the "types of developmental counseling" portion of this lesson, you learned about performance and professional growth counseling and the fact that regulatory guidance requires some counseling. We will now discuss this area more in depth to help you get a better understanding of your requirement to conduct Noncommissioned Officer Evaluation Report (NCO-ER) performance counseling for Corporals and above.

We will also discuss the procedures to complete the NCO-ER, DA Form 2166-7, and the NCO-ER checklist/record, DA Form 2166-7-1.

During the resident portion of this training, you will have the opportunity to participate in a practical exercise pertaining to the information provided.

To fully understand the need for the NCO-ER checklist/record, you need to understand the purpose of the NCOERS. It is the tool that the Army system uses to determine NCOs' duty performance, to assess their career development, and advancement potential.

The Army designed the NCOERS system to:

- Strengthen the ability of the NCO Corp to meet the professional challenges of the future by stressing Army values and basic NCO responsibilities.
- Ensure the selection of the best qualified noncommissioned officers to serve in positions of increasing responsibility by providing the rating chain a view of performance/potential for use in centralized selection, assignment, and other Enlisted Personnel Management System (EPMS) decisions. The Army needs the information in your evaluation reports. Your qualifications provide EPMS with the rating chain's view of your performance and potential to aid in making decisions for such personnel actions as school selection, promotion, assignment, military occupational specialty (MOS) classification, CSM designation, and the Qualitative Management Program (QMP).
- Contributes to army-wide improvement of performance and professional development by increased emphasis on performance counseling.

NOTE: Figures 2-4-4 thru 2-4-8 are copies of DA Form 2166-7 and 2166-7-1 respectively, use them as you read through the following text that discusses the responsibilities, forms, and required entries.

2-4-4. Comply with NCOERS Counseling Requirements, cont

| | | |
|--|--|---------------|
| RATED NCO'S NAME (Last, First, Middle Initial) | SSN | THRU DATE |
| 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 and 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 SUCCESS NEEDS IMPROVEMENT (Exceeds std) (Meets std) (Some) (Much) <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | | |
| 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 SUCCESS NEEDS IMPROVEMENT (Exceeds std) (Meets std) (Some) (Much) <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | APFT | HEIGHT/WEIGHT |
| 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 SUCCESS NEEDS IMPROVEMENT (Exceeds std) (Meets std) (Some) (Much) <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | | |
| 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 SUCCESS NEEDS IMPROVEMENT (Exceeds std) (Meets std) (Some) (Much) <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | | |
| f. RESPONSIBILITY & ACCOUNTABILITY o Care and maintenance of equip./facilities o Soldier and equipment safety o Conservation of supplies and funds o Encouraging soldiers to learn and grow o Responsible for good, bad, and right & wrong. EXCELLENCE SUCCESS NEEDS IMPROVEMENT (Exceeds std) (Meets std) (Some) (Much) <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | | |
| PART V - OVERALL PERFORMANCE AND POTENTIAL | | |
| a. RATER. Overall potential for promotion and/or service in positions of greater responsibility. AMONG THE BEST FULLY CAPABLE MARGINAL <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | e. SENIOR RATER BULLET COMMENTS | |
| b. Rater. List 3 positions in which the rated NCO could best serve the Army at his/her current or next higher grade. _____ _____ _____ | | |
| c. SENIOR RATER. Overall Performance <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 1 2 3 4 5 Successful Fair Poor | d. SENIOR RATER. Overall potential for promotion and/or service in positions of greater responsibility. <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 1 2 3 4 5 Superior Fair Poor | |

Figure 2-4-5, DA Form 2166-7, NCOER

2-4-4. Comply with NCOERS Counseling Requirements, cont

| | | |
|---|-----------------------------------|---|
| <p>Counseling</p> <p>1. Go over each part of the duty description with the rated NCO. Discuss any changes, especially to the area of special emphasis.</p> <p>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 NCO's to be successful and meet standards.</p> <p>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.</p> <p>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).</p> | | |
| <p>After Counseling</p> <p>1. Record counseling date on this form.</p> <p>2. Write key points made in counseling on this form.</p> <p>3. Show key points to rated NCO and get his initials.</p> <p>4. Save NCO-ER with this checklist for next counseling session. (Notes should make record NCO-ER preparation easy at end of rating period).</p> | | |
| <p>COUNSELING RECORD</p> | | |
| <p>DATE OF COUNSELING</p> | <p>RATED NCO'S INITIALS</p> | <p>KEY POINT MADE</p> |
| <p>INITIAL 20 JAN 00 (Self explanatory)</p> | <p>TJO (Self explanatory)</p> | <p><i>Concentrate on the individual training of your team members to prepare them for their annual APFT and CTT. Monitor and assist them to ensure there are no failures on weight control or APFT. Prepare your team for this year ARTEP. Improve yourself as well as set a good example.</i></p> |
| <p>LATER 25 Mar 00 (Self explanatory)</p> | <p>TJO (Self explanatory)</p> | <p><i>Congratulations on enrolling in a higher education program. Your soldiers performed well this quarter by all passing their APFT, command inspection, and practice CTT. You should now concentrate on improving their individual scores. Be aware of the fact, that if you continue to commit traffic violations, this could produce adverse effects in your career.</i></p> |
| <p>LATER</p> | | |
| <p>LATER</p> | | |
| <p>DUTY DESCRIPTION (PART III of NCO-ER)</p> | | |
| <p>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</p> <p>The five elements of the duty description:</p> <p>1&2. Principal Duty Title and Duty MOS Code. Enter principal duty title and DMOS that most accurately reflects actual duties performed.</p> <p>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.</p> <p>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 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 given time during the rating period (examples are preparation for Reforger 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).</p> <p>5. Appointed Duties. This portion should include those duties that are appointed and are not normally associated with the duty description</p> | | |

2-4-4. Comply with NCOERS Counseling Requirements, cont

NCO-ER

When preparing a Noncommissioned Officer Evaluation Report (NCO-ER) remember, it is your responsibility to provide EPMS with accurate and complete NCO-ERs so that they can make sound management decisions. The NCO counseling checklist/record, DA form 2166-7-1, and the NCO-ER, DA Form 2166-7, are two documents of utmost importance to all NCOs. These two forms support and complement each other. You complete the NCO-ER based on the comments that you made throughout the rating period on the NCO checklist/record. The NCO-ER should be a thoughtful, fair appraisal of the NCO's ability and potential. NCO-ERs that are incomplete or fail to provide a realistic and objective evaluation, make personnel decisions difficult and could hurt the NCO's career.

NCO-ER Performance Counseling

The purpose of the NCO checklist/record is to improve performance counseling by providing structure and discipline to the counseling process. This performance counseling requires mandatory face-to-face counseling in order to improve performance and professionally develop the rated NCO. This is when you develop and communicate performance standards to your subordinate at the beginning of the rating period and discuss progress towards meeting those standards periodically throughout the rating period.

The goal of this counseling is to get your subordinates to meet standards and be successful. During the performance counseling, do not dwell on the past, but focus on the future and what can be done better. You use the working copy of the NCO-ER, with the NCO Counseling Checklist/Record for the counseling. This is mandatory for all NCOs.

Regulatory guidance requires you to conduct the initial counseling within the first thirty days of the rating period and at least quarterly (every three months) thereafter.

Army National Guard (ARNG) and United States Army Reserve (USAR) NCOs in Inactive Duty for Training (IDT) status require counseling at least twice yearly.

You must counsel Corporals and Sergeants within 30 days of lateral appointment to corporal, or promotion to sergeant, and quarterly thereafter.

2-4-4. Comply with NCOERS Counseling Requirements, cont

The Rater Qualifications & Responsibilities

There are specific requirements for you to be able to conduct performance counseling and prepare the NCO Counseling Checklist/Record and NCO-ER.

You must be aware of the fact that there are certain qualifications and responsibilities that are inherent to your rank and grade. You will learn some of these at this time.

- Rater Qualification:
 - Be the immediate supervisor.
 - Designated as the rater for a minimum period of 90 days for the rated NCO.
 - Be in the grade of Sergeant or higher, if military.
 - Be senior to the rated NCO by either pay grade, or date of rank.

 - Rater Responsibilities:
 - Counseling rated NCOs on their duty performance and professional development throughout the rating period.
 - Defining and discussing the duty description for Part III of the NCO-ER with subordinates.
 - Preparing a separate NCO Counseling Checklist/Record and NCO-ER on each NCO.
 - Assessing the performance of the rated NCO using all reasonable means.
 - Preparing a fair, correct report evaluating the NCO's duty performance, values, NCO responsibilities, and potential.
 - Verifying Parts I and II and entering Army Physical Fitness Test (APFT) score and height and weight results on Part IVc of the NCO-ER.
 - Dating and entering your signature in Part IIa.
 - Ensuring all required hand written entries are in black ink and that there are no facsimile signatures. You should know that the NCO-ER is an official document and contains evaluation information in the form of marked boxes and bullet comments that you must store, handle, and transmit as sensitive personal information.
-

2-4-4. Comply with NCOERS Counseling Requirements, cont

NCO-ER Performance Counseling Session

At this time, you will begin with the first performance counseling session at the beginning of the rating period. As you go through this portion of the text, use the NCO-ER and NCO Counseling Checklist/Record forms provided above.

- **Preparation of Counseling.** There is a procedure to follow that begins with preparation, here you:
 - Schedule the counseling session and notify the soldier you will counsel.
 - Get a copy of the last duty description used for the rated NCOs duty position, a blank copy of the NCO-ER and the names of the people in the rating chain.
 - Update the duty description in Part III of NCO-ER.
 - Fill out rating chain and duty description on working copy of NCO-ER, Parts II and III.
 - Read each of the values/NCO responsibilities in Part IV of the NCO-ER and review the expanded definitions and examples on pages 3 and 4 of the NCO Counseling Checklist/Record--Figure 2-4-5 and Figures 2-4-7 and 2-4-8.
 - Think of how each value and responsibility in Part IV of the NCO-ER applies to the rated NCO's duty position.
 - Decide what you consider necessary for success (a meets standard rating) for each value/responsibility, using the examples on pages 3 and 4 of the NCO Counseling Checklist/Record (See Figures 2-4-7 and 2-4-8). You may have to change or develop new ones that apply to your situation. Be specific, so the rated NCO knows what you expect of him.
 - Make notes in the blank spaces in Part IV of the NCO-ER to assist you in the counseling.

 - **Conduct the Counseling.** Once you have completed preparation, then conduct the counseling session, in so doing you:
 - Make sure you inform the rated NCO of the current rating chain.
 - Show the rated NCO the draft duty description on your working copy of the NCO-ER and explain all parts. Ask for any ideas to better identify the duty description (if needed).
-

2-4-4. Comply with NCOERS Counseling Requirements, cont

NCO-ER Performance Counseling Session, continued

- Discuss the meaning of each value/responsibility in Part IV of the NCO-ER using the expanded definitions on pages, 3 and 4 of the NCO Counseling Checklist/Record to assist you--figures 2-4-7 and 2-4-8).
 - Explain how each value/responsibility applies to the specific duty position by showing or telling your standards for success using the examples on pages 3 and 4 of the NCO Counseling Checklist/Record to assist you--figures 2-4-7 and 2-4-8).
 - When possible, give specific examples of excellence that could apply. This gives the NCO something special to strive for.
 - Give the rated NCO the opportunity to ask questions and make suggestions.
- **After Counseling.** After you have conducted the counseling, you:
 - Record the rated NCO's name and counseling date on the NCO Counseling Checklist/Record.
 - Write the key points made in the counseling session on the NCO Counseling Checklist/Record.
 - Show the key points to the rated NCO and have him initial. Having him initial the counseling record is similar to a contract in that he knows what performance is necessary for success.
 - Save the NCO-ER with the NCO Counseling Checklist/Record for your later counseling sessions.

You conduct later counseling similar to follow-up counseling. You have already established your standards for success and are now evaluating how well, or how poorly he performed. If he did well, you give him that deserved "pat on the back." If he did not do well, you can point out to him those areas to improve on prior to the rating period ending.

As you can see the DA Form 2166-7-1 provides examples, definitions, and step-by-step assistance for you to use when preparing and communicating performance standards for the NCO-ER.

2-4-4. Comply with NCOERS Counseling Requirements, cont

| VALUES/NCO RESPONSIBILITIES (PART IV of NCO-ER) | |
|--|--|
| <p>VALUES: Values are what soldiers, as a profession, judge to be right. They are the moral, ethical, and professional attributes of character. They are the heart and soul of a great Army. Part IVa of the NCO-ER includes some of the most important values. These are: Putting the welfare of the nation, the assigned mission and teamwork before individual interest; Exhibiting absolute honesty and courage.</p> | <p>to stand up for what is right; Developing a sense of obligation and support between those who are led, those who lead, and those who serve alongside; Maintaining high standards of personal conduct on and off duty; And finally, demonstrating obedience, total adherence to the spirit and letter of a lawful order, discipline, and ability to overcome fear despite difficulty or danger.</p> |
| <p>Examples of standards of "YES" ratings:</p> <ul style="list-style-type: none"> • 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. • Exhibit pride in unit, be a team player. • Demonstrate respect for all soldiers regardless of race, creed, color, sex, or national origin. | |
| <p>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 decisions.</p> | <p>Closely allied with competence is the constant desire to be 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 best. Committed to excellence.</p> |
| <p>Examples of standards for "Success/Meets Standards: rating:</p> <ul style="list-style-type: none"> • Master the knowledge, skills and abilities required for performance in your duty position. • Meet PMOS SQT standards for your grade. • Accomplish completely and promptly those tasks assigned or required by duty position. • Constantly seeks ways to learn, grow and improve. | <p>Examples of "Excellence":</p> <ul style="list-style-type: none"> • Picked as SSG top be a platoon sergeant over twelve other SSGs. • Maintained SIGPERS rating of 98% for six months. • Scored 94% on last SQT. • 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). |
| <p>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</p> | |
| <p>Examples of standards for "Success/Meets Standards: rating:</p> <ul style="list-style-type: none"> • 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. | <p>Examples of "Excellence":</p> <ul style="list-style-type: none"> • Receive 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. |

Figure 2-4-7, DA Form 2166-7-1, AUG 87, Page 3

2-4-4. Comply with NCOERS Counseling Requirements, cont

| | |
|---|--|
| <p>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</p> | <p>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.</p> |
| <p>Examples of standards for "Success/Meets Standards" rating:</p> <ul style="list-style-type: none"> 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. | <p>Examples of "Excellence":</p> <ul style="list-style-type: none"> Motivated entire squad to qualify expert with M-16. 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. |
| <p>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</p> | <p>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 AirLand Battle 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."</p> |
| <p>Examples of standards for "Success/Meets Standards" rating:</p> <ul style="list-style-type: none"> Make sure soldiers- <ol style="list-style-type: none"> Can do identified common tasks. Are prepared for SQT and Commander's Evaluation. Develop and practice skills for duty position. 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. | <p>Examples of "Excellence":</p> <ul style="list-style-type: none"> 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. |
| <p>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</p> | <p>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 is going on sick call, where he lives, and his 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.</p> |
| <p>Examples of standards for "Success/Meets Standards" rating:</p> <ul style="list-style-type: none"> Make sure 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, SQT, CTT, PQR, special duty, medical conditions, etc. Be responsible for your actions and those of your subordinates. | <p>Examples of "Excellence":</p> <ul style="list-style-type: none"> His 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 constant instruction on maintenance resulted in six of eight mechanics earning master mechanic badges. Commended for no APCs on deadline report for 6 months. His learn and grow climate resulted in best platoon ARTEP results in the battalion. |

Figure 2-4-8, DA Form 2166-7-1, AUG 87, Page 4

2-4-5. Lesson Review

You learned about developmental counseling, the purpose of the NCO-ER, and how to perform NCO-ER counseling. During the resident portion of this course you will put into practice, through a series of practical exercises, what you learned during your preresident training. Make sure you bring this preresident instruction booklet with you to class to use during the practical exercise. Also remember, you may use this preresident booklet as a reference during the examination.

When you complete the entire developmental counseling lesson, you will not become an instant expert at counseling. However, with time and practice, you'll become proficient enough at counseling to help your soldiers. Remember! counseling is a soldier-to-soldier relationship that recognizes and encourages good performance. It is not solely a means of confronting poor performance. It is your responsibility to share with your soldiers your experience, knowledge, and ability to solve problems. Learn to use counseling as a means of developing and preparing soldiers to assume higher positions of authority and responsibility.

This page intentionally left blank

2-4-6. Check Your Learning

Directions This is a self-graded exercise. Answer the following questions. Upon completion, compare your responses to the correct responses in the answer key and feedback sheet.

Question 1 What are the five characteristics of counseling?

Question 2 The two major categories /types of counseling are _____ and _____ / _____.

Question 3 Which type of counseling is "Reception and Integration Counseling?"

Question 4 A soldier just received word that his mother died, which type of event-oriented counseling would you use to help the soldier get through his initial shock?

Question 5 The three approaches to counseling are _____, _____ and _____.

Question 6 Which counseling technique are you using when you provide one course of action and leave the decision whether or not to accept it, up to the subordinate?

Question 7 What is the first stage in the counseling process?

Question 8 Regulatory guidance requires you to conduct the initial NCO-ER counseling within the first _____ days of the rating period and at least _____ thereafter.

This page intentionally left blank

2-4-7. Answer Key and Feedback

- Question 1** Correct response is: Purpose, Flexibility, Respect, Communication, and Support, Ref: page 2-4-4, , para 2-4-2, Characteristics of Counseling.
-
- Question 2** Correct response is: Event-oriented and Performance/professional growth, Ref: page 2-4-7, para 2-4-3, Types of Developmental Counseling.
-
- Question 3** Correct response is: Event-oriented, Ref: page 2-4-8, para 2-4-3, Event-Oriented Counseling.
-
- Question 4** Correct response is: Crisis Counseling, Ref: page 2-4-10, para 2-4-3, Crisis Counseling.
-
- Question 5** Correct response is: Nondirective, Directive, and Combined, Ref: page 2-4-13, para 2-4-3, Approaches to Counseling.
-
- Question 6** Correct response is: Recommending, Ref: page 2-4-14, para 2-4-3, Counseling Techniques.
-
- Question 7** Correct response is: Identify the need for counseling, Ref: page 2-4-15, para 2-4-3, The Counseling Process.
-
- Question 8** Correct response is: Thirty, Quarterly, Ref: page 2-4-27, para 2-4-4, NCO-ER Performance Counseling.
-

This page intentionally left blank

Module 2 Lesson 5

Soldier Team Development (L207)

2-5 Lesson Overview

Lesson Presentation This lesson presents how to develop a combat ready team by identifying your role as a direct leader in team building.

Lesson Content, TLO, ELOs

| Topic | Page |
|---|--------|
| TLO: Develop a combat ready team. | NA |
| Introduction | 2-5-2 |
| ELO 1: Identify the role of a direct leader in the team building process. | 2-5-2 |
| ELO 2: Identify the formation stage of team building. | 2-5-5 |
| ELO 3: Identify the enrichment state of team building. | 2-5-7 |
| ELO 4: Identify the sustainment stage of team building. | 2-5-8 |
| Lesson Review | 2-5-9 |
| Check Your Learning | 2-5-11 |
| Answer Key and Feedback | 2-5-13 |

References

The following table lists the references for this lesson.

| Number | Title | Date |
|-----------|-----------------|--------|
| FM 22-100 | Army Leadership | Aug 99 |

2-5-1. Introduction

Purpose

You've heard, no doubt, countless times that America's Army is a team. Just how important is it that members have a sense of the team? Very important. The National cause, the purpose of the mission, and all the larger concerns may not be visible from the battlefield. Regardless of other issues, soldiers perform for the other people in the squad or section, for others in the team or crew, or for the person on their right or left. It is a fundamental truth, that soldiers perform because they don't want to let their buddies down. As a leader, it is your duty to build a team that is able to respond to any given situation. You must react to the issue that is at hand, keep your subordinates motivated, and ensure that self-discipline is visible. Good teams work together to accomplish the mission, execute tasks thoroughly and quickly, and to meet or exceed the standard. Teams thrive on demanding challenges, learn from their experiences, and are proud of their accomplishments. During your study you will learn the key areas that assist you as a leader to accomplish this task.

A team is a tight knit group, like family, where each team member knows the likes, dislikes, and capabilities of the other team members. This closeness allows the team members to think, feel, and act as one. This only comes from the training of the direct leader (you). As this leader, you develop the team by setting a foundation of mentoring, teaching, developmental counseling, and coaching.

2-5-2. Identify the Role of a Direct Leader in the Team Building Process.

The Role of a Direct Leader in the Team Building Process

Leadership is an art and science. It requires constant study, hard work, and frequent practice. Since you are dealing with people and their emotions, dreams, and fears, it also calls for imagination and a positive, upbeat approach. Effective leaders act competently and confidently. Your attitude sets the tone for the entire team. This attitude will change from day to day, task to task, even minute to minute. Remember that optimism, a positive outlook, and a sense of humor is infectious. This is especially true when you must make unpopular decisions and face the challenge of bringing the team on board. Developing teams takes hard work, patience, and quite a bit of interpersonal skills on the part of the leader. Remember a good team gets the job done. People who are part of a good team complete the mission on time with the resources given them and with minimum wasted effort. In combat,

2-5-2. Identify the Role of a Direct Leader in the Team Building Process, cont

The Role of a Direct Leader in the Team Building Process, continued

good teams are the most effective and take the fewest casualties. Believe it or not, people will do extraordinary things for their buddies. It's your job as a leader to pull each member into the team. Team building involves applying interpersonal leader skills that transform individuals into a productive team. One very important thing to remember when bringing new members on board; inclusion in all team activities expedites a feeling of ownership and speeds up the process of feeling accepted. Allow the new member to show what level of competence he possesses. Letting members work and practice together starts the team building process; remember a team doesn't come together by accident. Leaders must build and guide the team through a series of developmental stages.

Influencing Actions

As a direct leader one of your leader actions is Influence. You have the ability to influence your team. Your soldiers look to you for guidance and understanding. The ability to influence your team depends upon how well you demonstrate the following actions with which team building starts:

- Communicating
- Decision Making
- Motivating

These are three very important things that can make or break your team. Let's briefly discuss why these three areas are so important to you. As a leader, you are responsible for making sure your subordinates understand you.

Communicating

Keeping your subordinates informed shows trust. Sharing information can relieve stress. It also allows subordinates to determine what they need to do to accomplish the mission. Your subordinates feel they're important members of the team when you inform them of the reasons why you made decisions. This also keeps rumors under control. Finally, if something should happen to you, the next leader would be better prepared to take over and accomplish the mission. Remember you have a variety of means to keep your soldiers informed; from face to face talks, to publishing memos and newsletters.

2-5-2. Identify the Role of a Direct Leader in the Team Building Process, cont

Decision Making

The area of decision making focuses on solving problems. The Army identified seven steps to assist in this area:

- Identify the problem
- Identify facts and assumptions
- Generate alternatives
- Analyze the alternatives
- Compare the alternatives
- Make and execute your decision
- Assess the results

Every once in a while you may come across a decision that's easy to make; yes or no, right or left, on or off. As you gain experience as a leader, some of the decisions you find difficult now will become easier. But there will always be difficult decisions that require imagination, rigorous thinking and analysis, or that require you to factor in your gut reaction.

Motivating

As you know, motivation involves using words and examples that give your soldiers the will to accomplish the mission. According to FM 22-100, there are three different ways to accomplish motivation. You accomplish it by:

- Empowering people
 - Positive reinforcement
 - Negative reinforcement
-

Empowering People

People want recognition for the work that they do. You empower subordinates when you train them to do a job, give them the necessary resources and authority, and get out of their way and let them do the job. This shows trust in your subordinates and also, it is one of the best ways to develop them as leaders.

Positive Reinforcement

Recognizing subordinates and giving credit for work done is positive reinforcement. From a pat on the back to a formal award or decoration. Don't underestimate the power of a few words of praise when a person does a good job. Don't hesitate to give out awards, commendations, letters, and certificates when appropriate. Praise only good work or honest effort. Promote people who get the job done and influence others to do better. Remember to recognize those who meet the standard and improve their performance. Not everyone can be soldier of the quarter.

2-5-2. Identify the Role of a Direct Leader in the Team Building Process, cont.

Negative Reinforcement

Of course, not everyone will perform to standard. In fact, some will require punishment. Using punishment to motivate a person away from an undesirable behavior may be effective; however you must use sound judgment when administering punishment. Before punishing the soldier, make sure he understands the reason. Consult your leader or supervisor before you punish a soldier. Avoid mass punishment. Identify the problem and deal with the individual responsible for it-- not everyone. Punish those who are able but unwilling to perform. Respond immediately to undesirable behavior. Never humiliate a soldier; avoid public reprimand. Make sure the punishment isn't excessive or unreasonable. Control your temper and never hold any grudges.

2-5-3. Identify the Formation Stage of Team Building

Team Building Stages

Developing teams takes hard work, patience, and quite a bit of interpersonal skill on the part of the leader, but it's a worthwhile investment. Good teams get the job done. People who are part of a good team complete the mission on time with the resources given and minimum wasted effort. In combat, good teams are the most effective and take the fewest casualties. Teams don't come together by accident; leaders must build and guide them through a series of developmental stages. These stages are:

- Formation Stage
- Enrichment Stage
- Sustainment Stage

This lesson may make the process seem more orderly than it actually is, as with so many things leaders do, the reality is more complicated than the explanation.

Each team develops differently. The boundaries between stages are not hard and fast. As a leader, you must be sensitive to the characteristics of the team you're building and to its individual members. Compare the characteristics of your team with the team building stage descriptions. The information that results can help you determine what to expect of your team and what you need to do to improve its capabilities.

Use figure 2-5-1 (Team Building Stages) on the next page as you read the following three stages of soldier team development.

2-5-3. Identify the Formation Stage of Team Building, cont

Team Building Stages,
continued

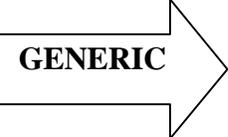
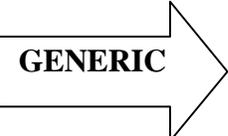
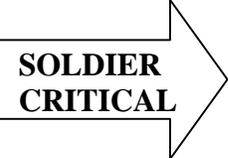
| TEAM BUILDING STAGES | | |
|---|---|---|
| | SUBORDINATE CHALLENGES | LEADER & UNIT/ORGANIZATION ACTIONS |
| FORMATION STAGE  | <ul style="list-style-type: none"> • Achieve belonging and acceptance • Set personal & family concerns • Learn about leaders and other members | <ul style="list-style-type: none"> • Listen to and care for subordinates • Design effective reception and orientation • Communicate • Reward positive contributions • Set Example |
| |  | <ul style="list-style-type: none"> • Face the uncertainty of war • Cope with fear of unknown injury and death • Adjust to sights & sounds of war • Adjust to separation from home and family |
| ENRICHMENT STAGE  | <ul style="list-style-type: none"> • Trust leaders & other members • Find close friends • Learn who is in charge • Accept the way things are done • Adjust to feelings about how things ought to be done • Overcome family-verses-unit conflict | <ul style="list-style-type: none"> • Trust and encourage trust • Allow growth while keeping control • Identify and channel emerging leaders • Establish clear lines of authority • Establish individual and unit goals • Train as a unit for mission • Build pride through accomplishment • Acquire self-evaluation/self-assessment habits • Be fair and give responsibility |
| |  | <ul style="list-style-type: none"> • Survive • Demonstrate competence • Become a team member quickly • Learn about the enemy • learn about the battlefield • Avoid life-threatening mistakes • |
| SUSTAINMENT STATE  | <ul style="list-style-type: none"> • Trust others • Share ideas and feelings freely • Assist other team members • Sustain trust and confidence • Share mission and values | <ul style="list-style-type: none"> • Demonstrate trust • Focus on teamwork, training and maintaining • Respond to subordinate problems • Devise more challenging training • Build pride and spirit through unit sports, social, & spiritual activities |
| |  | <ul style="list-style-type: none"> • Adjust to continuous operations • Cope with casualties • Adjust to enemy actions • Overcome boredom • Avoid rumors • Control fear |

Figure 2-5-1, Team Building Stages

2-5-3. Identify the Formation Stage of Team Building, cont.

Team Building Stages, continued

As you can see, each stage has two-sections, *Generic* and *Soldier Critical*. *Generic* deals with peacetime and *Soldier Critical* deals with wartime. You will find these two sections located on the left side of the chart. The top of the chart has two sections, *Subordinate Challenges*, and *Leader and Unit/Organization Actions*.

Formation Stage

A team works best when you bring new members quickly on board. It is imperative that the new members feel a part of the team. There are two steps in the Formation Stage:

- Reception
- Orientation counseling.

As a leader you should make the best of the reception and integration counseling session, which we'll cover in-depth in a later lesson. Remember team building begins with receiving new members. You can recall how important that first impression was when you went to a new unit. The same thing is true with the soldiers of today, the new member reception and orientation creates that crucial first impression that colors the person's opinion of the team for a long time. A good experience joining the organization will make it easier for the new member to fit in and to contribute to the team effort. Even in peacetime the way you receive a person into an organization can have long lasting effects, good or bad, on the individual and team. Training of individuals 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.

2-5-4. Identify the Enrichment Stage of Team Building

Enrichment Stage

The enrichment stage is where the new members gradually move from questioning everything to trusting themselves, their leaders, and other members of the team. 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 mission. Training occurs during all three team-building stages, but it's at this point that the team is building collective proficiency. However, there is no set stage in which you must implement an ethical climate. However, as a leader you are also responsible for building an ethical climate within the team. This climate must demand

2-5-4. Identify the Enrichment Stage of Team Building, cont.

Enrichment Stage, continued

and reward behavior consistent with Army values. Setting a good ethical example doesn't necessarily mean subordinates will follow it. Some of them may feel that circumstances justify unethical behavior. Therefore, you must constantly seek to maintain a feel for your organization's current ethical climate and take prompt action to correct any discrepancies.

2-5-5. Identify the Sustainment Stage of Team Building

Sustainment Stage

The Sustainment stage is when a team reaches the ownership phase. The members think of the team as "their team" to include pride in it and a desire for the team to succeed. At this stage, team members do what's needed to accomplish the mission without supervision. Every new mission gives the leader a chance to make the bonds even stronger within the team; he gives the team a challenge to reach for new heights that exceed the standard.

I remind you that training is a key factor that provides the team with its present gained success. Sometimes by setting your goals to exceed the standard you may create a zero-defect mentality in the minds of your subordinates without realizing the environment that you've set. However, there is a place for zero-defects, e.g., a parachute rigger and helicopter repairman. If they make mistakes, people will die. Therefore, as a leader you must be able to identify when or when not to implement zero-defects. Remember, people make mistakes, and mistakes are part of training, therefore make your intent clear and ensure your soldiers understand the sort of mistakes that are acceptable and those that are not.

As a leader you must ask how other people do things, and listen to your subordinates. You can always learn something new. Keep in mind that soldiers will go beyond the call of duty to keep from letting their buddies down. A leader must create conditions that will help people learn. This is a two step process:

- Step One. Motivate your subordinates: You must motivate your soldiers to learn. Whatever you teach, you need to show how it will improve not only the team, but also each soldier. This allows personal investment in the learning process. You know--what's in it for me?
 - Step Two. Involve subordinates in the learning process: Make the learning process active. Remember, the more hands-on, the more your soldiers will retain. Keep in mind, one leader doesn't know everything, so use the people around you to assist you by sharing the experiences they have encountered.
-

2-5-5. Identify the Sustainment Stage of Team Building, cont.

Sustainment Stage, continued

After-Action Reviews (AAR) are beneficial to the soldier, the team, and the unit overall. When properly conducted, the AAR is a professional discussion of an event. It focuses on performance standards that enable soldiers to discover what happened, why it happened, and how to make corrections during the next rehearsal. The AAR is a technique that all leaders can use in garrison as well as the field environment to assist in the learning process. One thing to remember, when you involve all team members in the process, it builds a stronger team. When you try new things or try different ways, you're bound to make mistakes. Learn from your mistakes and the mistakes of others and go on. Remember, if the mistakes made resulted from a team decision, the team can accept failure better than having to do something without their input.

2-5-6. Lesson Review

Summary

As a direct leader, you must operate by focusing on your subordinates' activities toward the organization's objective and achieving it. You must plan, prepare, execute, and assess as they operate. These functions sometime occur simultaneously.

Direct leaders improve by living Army values and providing the proper role model for subordinates. Leaders must develop all subordinates as they build strong, cohesive teams and establish an effective learning environment.

This page intentionally left blank

2-5-7. Check Your Learning

Directions

This is a self-graded exercise. Answer the following questions. Upon completion, compare your responses to the correct responses in the answer key and feedback sheet.

Question 1

The PSG informed the new squad leaders that team building begins with communicating, decision making, and motivating. Which leader action did he describe?

Question 2

When you want to motivate your squad, what are the three ways you can motivate them?

Question 3

What are you doing when you train a soldier to do a job and give him the necessary resources and authority then get out of the way to let him do the job?

Question 4

The three stages of team building are _____, _____, and _____.

Question 5

What are the two steps in the formation stage of team building?

Question 6

In which team building stage is the leader earning his subordinates trust by listening, following up on what he hears, establishing clear lines of authority, and setting standards?

Question 7

When a new team member finds close friends, what team building stage is present?

Question 8

What area of the team building state is present when the team members trust others and share ideas and feelings freely?

This page intentionally left blank

2-5-8 . Answer Key and Feedback

-
- Question 1** Correct response is: Influencing actions, Ref: page 2-5-3, para 2-5-2, Influencing Actions.
-
- Question 2** Correct response is: Empowering People, Positive Reinforcement, and Negative Reinforcement., Ref: page 2-5-4, para 2-5-2, Motivating..
-
- Question 3** Correct response is: Empowering, Ref: page 2-5-4, para 2-5-2, Empowering People.
-
- Question 4** Correct response is: Formation, enrichment, and sustainment. Ref: page 2-5-5, para 2-5-3, Team Building Stages.
-
- Question 5** Correct response is: Reception and Orientation counseling, Ref: page 2-5-7, para 2-5-3, Formation Stage.
-
- Question 6** Correct response is: Enrichment Stage, Ref: page 2-5-7, para 2-5-4, Enrichment Stage, and Figure 1, page 2-5-6.
-
- Question 7** Correct response is: Enrichment Stage, Ref: page 2-5-6, Figure 1, Enrichment Stage.
-
- Question 8** Correct response is: Sustainment Stage, Ref: page 2-5-6, Figure 1, Sustainment Stage.
-

This page intentionally left blank

Module 2

Check Your Learning

Directions This is a self-graded exercise designed to test your understanding of the material presented in this module. Answer the following questions. Upon completion, compare your responses to the correct responses in the answer key and feedback sheet.

Question 1 a. The Army's ultimate responsibility is to win the Nation's wars. As an Army leader, _____ in _____ is your primary mission and most important challenge.

Question 2 What are the three things that you must communicate through your words and example?

- a. Purpose, Direction, Knowledge
 - b. Purpose, Knowledge, Responsibility
 - c. Direction, Motivation, Responsibility
 - d. Purpose, Direction, Motivation
-

Question 3 When you communicate to your soldiers how you want a mission accomplished, you are providing:

- a. Purpose
 - b. Direction
 - c. Motivation
 - d. Influence
-

Question 4 Once your squad completes a task, you conduct an _____ _____ _____ to discover what happened, why it happened, and how to sustain strengths and improve on weaknesses?

Module 2 Check Your Learning, cont

- Question 5** What level of leadership is the section leader and squad leader?
- a. Company
 - b. Direct
 - c. Organizational
 - d. Strategic
-
- Question 6** Character serves as the basis of knowing (competence) and doing (leadership). What forms the foundation of a leader's character?
-
- Question 7** Interpersonal, Conceptual, Technical, and Tactical Skills are the four categories that make up what a leader must KNOW. Which skill does coaching, teaching, counseling, motivating, and empowering fall under?
-
- Question 8** When a leader wants to assess the efficiency and effectiveness of training that was just completed, what can he conduct to find out the things that were done right, wrong, and how to improve them?
- a. Review board assessment.
 - b. Conclusion of exercise report.
 - c. After action review.
 - d. End of exercise review.
-
- Question 9** The element in the communication process that provides information to the sender that the receiver understood the meaning of the message is _____.
-
- Question 10** SGT Williams gives a "thumbs up" to his squad whenever he approves of their performance. What means is SGT Williams using to communicate with his soldiers?
- a. Verbal communication
 - b. Nonverbal communication
 - c. Active communication
 - d. Passive communication
-

Module 2 Check Your Learning, cont

Question 11 SGT Benson, while briefing his squad on safety procedures for the upcoming weekend, notices the squad members listening but without much response. At what level are the squad members listening to SGT Benson?

- a. Not hearing at all
- b. Passive listening
- c. Active listening
- d. Selective listening

Question 12 CPL Jones receives a hard-to-read message from his platoon sergeant. What type of communication barrier is CPL Jones facing?

- a. Identified
- b. Psychological
- c. Physical
- d. Implied

Question 13 CPL Jackson issues orders and passes information to his soldiers. What formal communication system does he use?

- a. NCO support channel
- b. Chain of command
- c. Lateral system
- d. Vertical system

Question 14 At grid 784296” is an example of which element of the six essential elements of information?

- a. When
- b. What
- c. How
- d. Where

Module 2 Check Your Learning, cont

- Question 15** SGT Miller always writes out plans, orders, and messages even if he is going to communicate them orally. Which method is he using to reduce communication barriers?
- a. Informal communication
 - b. Formal communication
 - c. Sense what seniors, subordinates, and peers need to know
 - d. Aim at your target before you shoot your message
-
- Question 16** You are counseling one of your subordinates. You inform him that you expect him to take responsibility for his own ideas and actions. What leader characteristic are you demonstrating?
-
- Question 17** You have counseled a soldier several times concerning his behavior. All your rehabilitative efforts have failed and you wish to serve one final warning that he must either improve or face discharge? Which type of event-oriented counseling would you conduct?
-
- Question 18** One of your soldiers is a good performer. He has good potential and leadership skills; however, he needs to improve in obtaining his objectives in his daily duties. Which type of event-oriented counseling will you use?
-
- Question 19** You and your soldier determine during a counseling session possible courses of action for the soldier to take and you encourage him to decide which solution to the problem is best for him. Which approach to counseling are you using?
-
- Question 20** Once you have completed your initial NCO-ER performance counseling, how often after the initial counseling must you counsel your subordinate?
-
- Question 21** True or False? the DA Form 2166-7-1 is used to improve performance by providing structure and discipline to the counseling process.
-

Module 2 Check Your Learning, cont

Question 22 You recognize a new soldier's concern about fitting in and belonging. He wants to achieve a belonging and acceptance into the squad. You notice him learning about the other team members and even about you. This is normal behavior for a soldier in what stage of the team building process?

Question 23 During which stage of team development would a soldier experience difficulties in adjusting to the sights and sounds of war and separation from his family?

Question 24 In which stage does the new team member move from the questioning of things to trusting?

Question 25 At which stage do the soldiers think of the team as "Their Team" to include pride in the team and a desire for the team to succeed.

This page intentionally left blank

Module 2

Answer Key and Feedback

Lesson 1, Introduction to Army Leadership

Question 1 The correct response is: Leadership in Combat, Ref: page 2-1-2, para 2-1-2, Responsibility

Question 2 Correct response is: d. Purpose, Direction, Motivation, Ref: page 2-1-4, para 2-1-3, Influencing

Question 3 Correct response is: b. Direction, Ref: page 2-1-4, para 2-1-3, Direction

Question 4 Correct response is: After Action Review Ref: page 2-1-6, para 2-1-3, Improving

Question 5 Correct response is: b. Direct, Ref: page 2-1-6, para 2-1-4, Three levels of leadership

Lesson 2, What a Leader Must BE-KNOW-DO.

Question 6 The correct response is: Army values and leader attributes, Ref: page 2-2-2, para 2-2-2, Competence: What a leader must know.

Question 7 Correct response is: Interpersonal skills, Ref: page 2-2-2, para 2-2-2, Interpersonal skills.

Question 8 Correct response is: c. After action review, Ref: page 2-2-4, para 2-2-3, Operating-Assessing.

Module 2 Answer Key and Feedback, cont

Lesson 3, Effective Communication

- Question 9** Correct response is: Feedback. Ref: page 2-3-6, para Feedback.
-
- Question 10** Correct response is: b. Nonverbal communication. Ref: page 2-3-7, para Nonverbal communication.
-
- Question 11** Correct response is: b. Passive listening. Ref: page 2-3-10, para Levels of listening..
-
- Question 12** Correct response is: c. Physical. Ref: page 2-3-12, para Physical barriers.
-
- Question 13** Correct response is: a. NCO support channel. Ref: page 2-3-16, para NCO support channel.
-
- Question 14** Correct response is: d. Where. Ref: page 2-3-23, para Cataloging information
-
- Question 15** Correct response is: d. Aim at your target before you shoot your message. Ref: page 2-3-26, para Aim at your target before you shoot your message.
-

Lesson 4, Counseling

- Question 16** The correct response is: Respect for Subordinate, Ref: page 2-4-4, para 2-4-2, Characteristics of Counseling.
-
- Question 17** The correct response is: Adverse separation counseling, Ref: page 2-4-11, para 2-4-3, Adverse Separation Counseling.
-

Module 2 Answer Key and Feedback, cont

Question 18 The correct response is: Performance, Ref: page 2-4-11, para 2-4-3, Performance Counseling.

Question 19 The correct response is: Combined counseling, Ref: page 2-4-14, para 2-4-3, Combined Counseling.

Question 20 The correct response is: At least quarterly, (Every three months), Ref: page 2-4-27, para 2-4-4, NCO-ER Performance Counseling.

Question 21 The correct response is: True, Ref: page 2-4-27, para 2-4-4, NCO-ER Performance Counseling.

Lesson 5, Soldier Team Building

Question 22 The correct response is: Formation Stage. Ref: page 2-5-6, Figure 2-5-1, Formation Stage (Generic).

Question 23 The correct response is: Formation Stage. Ref: page 2-5-6, Figure 2-5-1, Formation Stage, and page 2-5-7, para 2-5-3, Formation Stage (Soldier Critical).

Question 24 The correct response is: Enrichment Stage. Ref: page 2-5-6, Figure 2-5-1, Enrichment Stage, and page 2-5-7, para 2-5-4, Enrichment Stage.

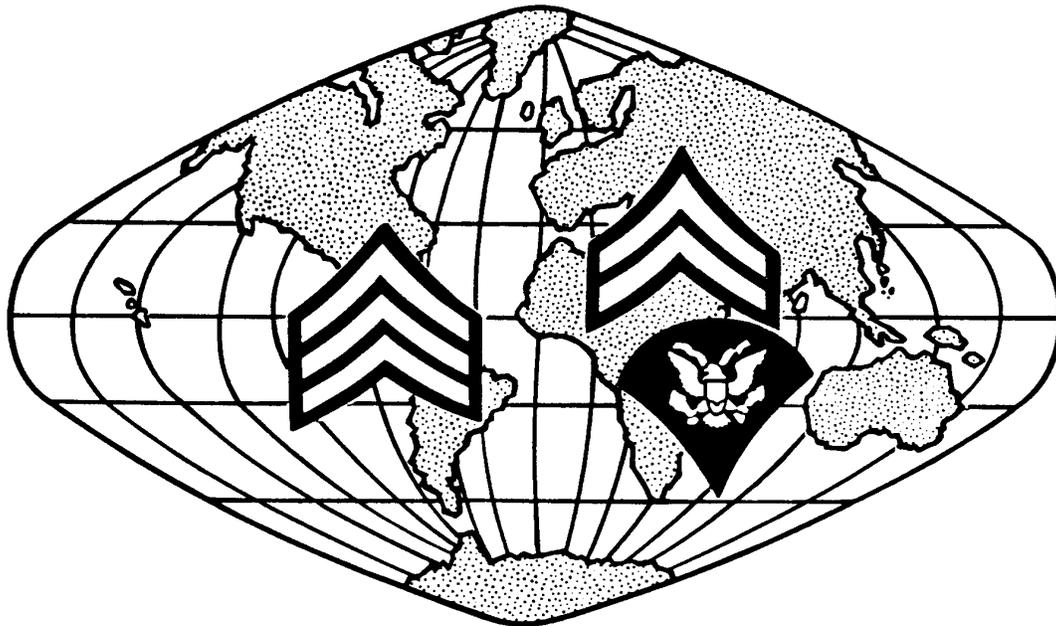
Question 25 The correct response is: Sustainment Stage. Ref: page 2-5-8, para 2-5-5, Sustainment Stage.

This page intentionally left blank

MODULE 3

PRIMARY LEADERSHIP DEVELOPMENT COURSE

Maintaining Your Team



3

June 1, 2001

Preresident Training Support Phase
Reserve Component Soldiers

U.S. ARMY SERGEANTS MAJOR ACADEMY
FORT BLISS, TEXAS 79918-8002

This page intentionally left blank

Table of Contents

Module 3, Maintaining Your Team

| <u>Section</u> | <u>Page</u> |
|----------------------------------|--|
| Module 3 | Supervise Preventive Maintenance Checks and Services (PMCS) 3-1-1 |
| Lesson 1 | (R202) |
| 3-1 | Lesson Overview 3-1-1 |
| 3-1-1 | Introduction 3-1-2 |
| 3-1-2 | Complete DA Form 2404 or DA Form 5988E 3-1-2 |
| 3-1-3 | Discuss Additional Maintenance Forms Requirements 3-1-7 |
| 3-1-4 | Lesson Review 3-1-11 |
| 3-1-5 | Check Your Learning 3-1-13 |
| 3-1-6 | Answer key and Feedback 3-1-15 |
| Lesson 2 | Supply Procedures (R201) 3-2-1 |
| 3-2 | Lesson Overview 3-2-1 |
| 3-2-1 | Introduction 3-2-2 |
| 3-2-2 | Comply with Army property Accounting Requirements. 3-2-2 |
| 3-2-3 | Identify the Difference Between Accountability and Responsibility. 3-2-3 |
| 3-2-4 | Identify the Purpose of Inventories and Hand Receipts. 3-2-6 |
| 3-2-5 | Enforce the Command Supply Discipline Program 3-2-10 |
| 3-2-6 | Lesson Review 3-2-11 |
| 3-2-7 | Check Your Learning 3-2-13 |
| 3-2-8 | Answer key and Feedback 3-2-15 |
| Module 3—Check Your Learning | 3-3-1 |
| Module 3—Answer Key and Feedback | 3-4-1 |

This page intentionally left blank

Module 3 Lesson 1

Supervise Preventive Maintenance Checks and Services (PMCS) (R202)

3-1. Lesson Overview

Lesson Presentation This lesson presents the importance of conducting and supervising effective PMCS.

Lesson Content, TLO, ELOs

| Topic | Page |
|---|--------|
| TLO: Supervise preventive maintenance checks and services (PMCS). | NA |
| Introduction | 3-1-2 |
| ELO 1: Complete DA Form 2404 or DA Form 5988-E. | 3-1-2 |
| ELO 2: Discuss additional maintenance form requirements. | 3-1-7 |
| ELO 3: Perform before operations PMCS (RESIDENT INSTRUCTION) | NA |
| Lesson Review | 3-1-11 |
| Check Your Learning | 3-1-13 |
| Answer Key and Feedback | 3-1-15 |

References

The following table lists the references for this lesson.

| Number | Title | Date |
|----------------|--|--------|
| DA Pam 738-750 | The Army Maintenance Management System | Aug 94 |

3-1-1. Introduction

Purpose

The modern battlefield is a highly technological, volatile battlefield. The lethality of the current weapon systems exceeds any ever seen before. The key to maintaining their mobility and lethality is proper maintenance. This lesson provides you with the knowledge to maintain that essential warfighting edge through effective Preventive Maintenance Checks and Services (PMCS).

PMCS is the acronym for Preventive Maintenance Checks and Services, which forms the basis for the entire Army Maintenance Management System. We use PMCS to inspect and maintain virtually every item of equipment and clothing we use or wear. A soldier must be proficient in PMCS, but an NCO must be a master of PMCS. This lesson will set you on the road to mastering that skill.

3-1-2. Complete DA Form 2404 or DA Form 5988-E

**Select
Appropriate
References**

Preventive maintenance is the application of systematic procedures for inspection, detection, and correction of apparent failures before they develop into major defects. Soldiers too often think of preventive maintenance checks and services (PMCS) only as it applies to tanks and trucks. This is because of the impact this type of equipment has on operational readiness when it fails to operate. As first line supervisors, we must realize the range of items to which preventive maintenance applies. You conduct PMCS on vehicles, tents, weapons, NBC equipment, dining facility equipment, TA-50 items and virtually everything else the Army issues. As leaders, you are responsible for the health and welfare of your soldiers. An important part of taking care of your soldiers is making sure that the equipment they use is in good working order. A crucial part of maintaining equipment readiness is PMCS. This lesson provides you with hands-on training for conducting PMCS. This training will help you supervise your subordinates while they perform PMCS. Now let's discuss the items you need to perform PMCS.

You will need:

- Appropriate –10 Technical Manual
 - DA Form 2404 or DA Form 5988-E (Equipment Inspection and Maintenance Worksheet)
 - DA Form 2408-14 (Uncorrected Fault Record)
-

3-1-2. Complete DA Form 2404 or DA Form 5988-E, cont

-10 TM

The -10 TM is a technical manual that operators and crews use to obtain the necessary information they need to maintain their equipment. It prescribes special requirements, operating characteristics, trouble-shooting procedures, and special operating instructions, as well as PMCS procedures.

DA Form 2404

The DA Form 2404 has three major purposes; however, in this lesson we will focus only on PMCS. PMCS includes maintenance activity inspections, diagnostic checks, and spot checks.

NOTE: Figure 3-1-1 (see next page) is a partial example of a DA Form 2404. Use Figure 3-1-1 as we go through the steps on how to fill it out correctly. You will learn how to fill out the 2404 one step at a time. For now, you will skip some blocks and go back to them a little later. If your unit is using the Unit Level Logistic System (ULLS), you use DA Form 5988-E instead of the DA Form 2404. You will learn the differences in the forms later.

BLOCK 1. Enter the name of the unit to which the equipment belongs.

BLOCK 2. Enter the noun nomenclature and model of the equipment. If this were a watercraft, you would enter the hull design number instead of the model number.

BLOCK 3. Enter the serial or registration number. When no serial or registration number exists, enter the national stock number (NSN).

BLOCK 6. Enter "PMCS."

BLOCK 7. Enter the TM number and date. When two TMs cover an item, put the second TM number and date in the second number and date block. When the TM has changes, print "W/C" (with change) and the latest change number after the TM number. Put the date of the latest change in the TM date block. These are all the blocks you can complete until you actually begin conducting the PMCS.

3-1-2. Complete DA Form 2404 or DA Form 5988-E, cont

| EQUIPMENT INSPECTION AND MAINTENANCE WORKSHEET | | | | | | |
|---|--------------|-------------------------------|--|-------------------|-----------|------------------------|
| For use of this form, see DA PAM 738-750 and 738-751; the proponent agency is DCSLOG B58 | | | | | | |
| 1. ORGANIZATION B Co 214th Avn | | | 2. NOMENCLATURE AND MODEL Trk wkr w/w 10T M 984 | | | |
| 3. REGISTRATION/SERIAL/NSN | 4a. MILES | b. HOURS | c. ROUNDS FIRED | d. HOT STATUS | 5. DATE | 6. TYPE IN SPECTION |
| NPO BEU | 8910 | 210 | | | 16 sep 92 | PMCS |
| 7. APPLICABLE REFERENCE | | | | | | |
| TM NUMBER | | TM DATE | | TM NUMBER | | TM DATE |
| TM 9-2320-279-10-1 | | Nov 86 | | | | |
| COLUMN a -- Enter TM item number. | | | COLUMN d -- Show corrective action for deficiency or shortcomings listed on Column c. | | | |
| COLUMN b -- Enter the applicable condition status symbol | | | COLUMN e -- Individual ascertaining complete corrective action in this column | | | |
| COLUMN c -- Enter deficiencies and shortcomings. | | | | | | |
| STATUS SYMBOLS | | | | | | |
| "X" -- Indicates a deficiency in the equipment that places it in an inoperable status. | | | DIAGONAL "/" -- Indicates a material defect other than a deficiency which must be corrected to increase efficiency or to make the item completely serviceable. | | | |
| CIRCLED "X" -- Indicates a deficiency, however, the equipment may be operated under specific limitations as directed by higher authority or as prescribed locally, until corrective action can be accomplished. | | | LAST NAME INITIAL IN BLACK, BLUE-BLACK INK, OR PENCIL -- Indicates that a completely satisfactory condition exists. | | | |
| HORIZONTAL DASH "-" -- Indicates that a required inspection, component replacement, maintenance operation check, or test flight is due but has not been accomplished, or a overdue MWO has not been accomplished. | | | FOR AIRCRAFT -- Status symbols will be recorded in red. | | | |
| ALL INSPECTIONS AND EQUIPMENT CONDITIONS RECORDED ON THIS FORM HAVE BEEN DETERMINED IN ACCORDANCE WITH DIAGNOSTIC PROCEDURES AND STANDARDS IN THE ETM CITED HEREON. | | | | | | |
| 8a. SIGNATURE (Person(s) performing inspection) | | 8b. TIME | 9a. SIGNATURE (Maintenance Supervisor) | | 9b. TIME | 10. MANHOURS REQUIRED |
| SPC John Doe | | | | | | |
| TM ITEM NO. | STATUS | DEFICIENCIES AND SHORTCOMINGS | | CORRECTIVE ACTION | | INITIAL WHEN CORRECTED |
| a | b | c | | d | | e |
| | | 14 Sep 92 | | | | JD |
| | | 15 Sep 92 | | W | | JD |
| 10 | X | Engine idles at 800 RPM | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

Figure 3-1-1, DA Form 2404

Now let's discuss the remaining entries you make on the DA Form 2404. You are responsible for inspecting your equipment at five possible times:

- Before operation.
- During operation.
- After operation.
- Weekly.
- Monthly.

3-1-2. Complete DA Form 2404 or DA Form 5988-E, cont

DA 2404, continued

Before operating a piece of equipment, you must inspect the items listed under the “Before” column in the PMCS tables of your TM. If you do not find an uncorrectable fault during the inspection, you put the current date in Column c. After using the equipment or at the end of the day, you must perform the after operation check. If you find no faults during the after operation check, put your initials in Column e. As long as you find no faults, you can continue to use the same DA Form 2404. Each day you simply place the first letter of the type of PMCS performed, (“B” for before, “D” for During, and so on) in Column d. Then you put the date in Column c.

If you find a correctable fault during the PMCS, stop the PMCS, correct the fault, and continue the PMCS to make sure there are no other uncorrectable faults.

When you find a fault that you cannot repair, the process becomes more complicated. After finding the fault, you must check the DA Form 2408-14 (Uncorrected Fault Record) to see if someone has already identified the fault and acted on it. If someone has already listed the fault on the DA 2408-14, do not list it on the DA Form 2404--just continue the PMCS. We will discuss the DA Form 2408-14 later in the lesson.

Now let’s go back and work on completing the blocks on DA Form 2404 that we skipped earlier.

BLOCK 4a. If an item of equipment has no odometer, leave it blank. If the item you are inspecting does have an odometer, round off to the nearest mile or kilometer. Place a “K” in front of the number for kilometers.

BLOCK 4b. If hours do not apply, or if no fault exists, leave blank.

BLOCK 4c. Leave blank.

BLOCK 4d. Leave Blank.

BLOCK 5. If you find a deficiency or shortcoming during your inspection, enter the calendar date in block 5.

3-1-2. Complete DA Form 2404 or DA Form 5988-E, cont

DA 2404,
continued

BLOCK 8a. After finding a deficiency or shortcoming, you as the operator, vehicle commander, or crew chief must sign your name and enter your rank. Your signature prevents anyone else from using the form past the current dispatch (if dispatched).

BLOCK 8b. Leave blank or use as needed locally.

We will briefly cover blocks 9 and 10 for information purposes, but you will not use them during any of your PMCS.

BLOCK 9a. The commander or maintenance/motor officer signs this block with his payroll signature and rank when making a status symbol change or downgrading an "X" to a circled "X." Otherwise, leave blank.

NOTE: You will cover status symbols, such as the circled "X," later on in the lesson.

BLOCK 9b. Leave blank or use as needed locally

BLOCK 10. Leave blank or use as needed locally.

COLUMN A. Put the PMCS item number from the TM that applies to a fault you noted in Column c. If the PMCS table in the TM has no item number, list the page, paragraph, or sequence number of the fault. Circle the number on the DA Form 2404 when the fault appears in the "Equipment is Not Ready/Available" column of the PMCS table. If no "Ready/Available" column exists in the TM, circle the TM item number and page or paragraph number for any fault that makes the item non-mission capable (NMC).

AR 385-55 lists safety faults, such as headlights, that the TM for the item may or may not list. You, as supervisors, need to be aware of this, because these safety faults can administratively deadline your equipment. However, this does not affect the combat readiness of your equipment. We will not cover AR 385-55 in this lesson. When you return to your unit, you should familiarize yourself with this regulation prior to operating vehicles. If a safety fault appears in the "Equipment is Not Ready/Available" column of the PMCS, it makes your equipment non-mission capable (NMC). For faults not covered by the PMCS, leave the column blank.

3-1-2. Complete DA Form 2404 or DA Form 5988-E, cont

DA 2404,
continued

COLUMN B. Enter the status symbol that applies to the fault or deficiency. You find these symbols explained right above block 9 on the DA Form 2404. Take a moment to look over these status symbols.

You must repair all Status Symbol X faults immediately; however, the commander or his designated representative can circle the X. This circled X status applies for one time-limited use only (such as driving a vehicle with defective brakes to the maintenance shop). You need to know that no one, not even the commander, can circle X an item that would endanger the operator or crew. Once you have completed the PMCS and listed all uncorrectable faults, turn the form in to the maintenance supervisor who will assign a mechanic to fix the fault.

COLUMN C. Briefly describe the fault. Skip two or three lines in between items to allow maintenance personnel space to note actions they took to troubleshoot and correct the faults. The mechanic then writes what action he took in Column d, including any repair parts installed or ordered and initials in Column e after repairing a fault.

COLUMN D. For "circled" Status Symbol X faults, print: "Cleared for limited operations," and the specific limits under which the equipment can be operated. For example, limits may involve speed, type of mission, distance, weather, or time. Soldiers are responsible to follow the specified limits.

3-1-3. Discuss Additional Maintenance Form Requirements

DA Form 2408-14

The DA Form 2408-14 serves as a record of uncorrected faults and deferred maintenance actions on equipment. Deferred maintenance actions are authorized delays for repair or maintenance. Equipment with deferred maintenance does not meet the Army maintenance standard. Deferred or delayed maintenance can affect operation of the equipment, mission performance, and safety. The commander or the commander's designated representative determines when to transcribe a fault to the DA Form 2408-14.

Figure 3-1-2, is an example of a DA Form 2408-14.

Maintenance personnel must correct without delay faults not requiring parts or faults for which parts are on hand. Maintenance personnel use this form to record all uncorrected faults that are not deadline deficiencies. As already

3-1-3. Discuss Additional Maintenance Form Requirements, cont

DA Form 2408-14,
continued

mentioned, you do not record items on the DA Form 2404 that someone has already recorded on the DA Form 2408-14. The unit maintenance clerk updates the 2408-14 based on changes to the DA Form 2404 when you report new faults or maintenance personnel correct old problems. Your role as supervisor is to periodically inspect (not less than every two weeks for Active Army and one month for NG/Reserve Components) DA Form 2408-14's for your squad. You would check to see that ordered parts are not overdue, that corrected faults are no longer open, and that faults are not taking too long to repair.

| 1. NOMENCLATURE Truck Cargo, 2 1/2 Ton | | 2. MODEL M35A2 W/W | 3. SERIAL NUMBER 13215 | | |
|---|----------------------------|--|---|------------------------------------|---|
| STATUS SYMBOL a | FAULT b | REASON FOR DELAY c | DATE (From DA Form 2404 or 2408-13) d | ENTRY APPROVED (Signature) e | DATE (To DA Form 2407 or 2408-13) f |
|  | Clutch Pedal Pad Missing | 8214-0300 2540-00-752-0971 | 8 Jun 92 | John Doe | 10 July 92 |
|  | Right front fender cracked | Repair Weld at next S service 15 Jun 92 | 10 Jun 92 | John Doe | |
|  | Front Shackle missing | 8245-0300 4030-01-222-6037 | 10 Jul 92 | John Doe | |
|  | | | 21 Jul 92 | John Doe | |
| | | | | | |
| | | | | | |

Figure 3-1-2, DA Form 2408-14.

DA Form 5988-E In addition to knowing how to complete a DA Form 2404 and what the purpose of DA Form 2408-14 is, you also need to become familiar with the form that is replacing them, the DA Form 5988-E.

NOTE: See page 3-1-9 for an example of DA Form 5988-E, figure 3-1-3.

The Unit Level Logistics System (ULLS) has automated most maintenance and Class IX supply procedures at the unit level. ULLS helps you, the supervisor, manage maintenance by providing you daily updated maintenance and supply data. This updated data makes it easier for you to find the status of required parts and direct support maintenance requests. The DA Form 5988-E (Equipment Inspection and Maintenance Worksheet) generated by the automated ULLS replaces the DA Form 2404 and DA Form 2408-14 in the manual system. DA Form 5988-E and the -10 TM are all you need to perform PMCS. You will receive the form with the heading already filled in by the ULLS computer. It will list previous faults

3-1-3. Discuss Additional Maintenance Form Requirements, cont

DA Form 5988-E, continued

and their status, and any parts ordered and the status of them. The maintenance clerk updates the miles and hours each time the equipment returns from dispatch. You tell the clerk the type of PMCS you plan to conduct (B/D/A/W/M), and he will enter that information prior to printing the form. When the operator receives the form from the clerk, he checks the heading information for accuracy. The operator then performs the PMCS according to the TM. If he does not find a fault during the before operation checks, he writes the calendar date under the fault description column. If he finds no fault when performing during or after operation checks, he places his initials in the initial column. When the operator finds a deficiency or shortcoming he cannot repair, he, or his supervisor, enters his signature and rank on the signature line. This prevents anyone from using the form past the current dispatch. The operator's supervisor enters his signature and rank on the signature line on the right verifying the fault. The procedures remain the same for changing an X status, to a circled X, as with the DA Form 2404.

| | | | | | | | | | | |
|------------------------------|-----------------------|--|-------------------------|-------------------|--------|----------------|----------|------|-----|-----|
| DATE 20-APR-93 | | EQUIPMENT MAINTENANCE AND INSPECTION WORKSHEET | | | | DA FORM 5988-E | | | | |
| WK4WRC | | D TRP 6th CBAC | | | | | | | | |
| -----EQUIPMENT DATA----- | | | | | | | | | | |
| ADMIN NUM: | 812 | EQUIP SERIAL NUM: | 050493 | | | | | | | |
| EQUIP MODEL: | M998 | REGISTRATION NUM: | NG381A | | | | | | | |
| EQUIP NOUN: | TRK UTL CGO 1.25T 4X4 | TYPE INSPECTION: | W | | | | | | | |
| EQUIP NSN: | 2920811077153 | CURRENT READING: | M 010587 | | | | | | | |
| PUBLICATION | NUMBER | DATE | CHANGE NUMBER | | | | | | | |
| | TM 9-2320-280-10 | 0691 | 02 | | | | | | | |
| PUBLICATION | TM 9-2328-280-10-HR | 0588 | 0 | | | | | | | |
| SIGNATURE: | John Doe | TIME: | SIGNATURE: Ima Clerk | | | TIME: | | | | |
| | | | | | | | | | | |
| -----PARTS REQUESTED----- | | | | | | | | | | |
| FAULT | DOC | NUM | NIIN | QTY | STATUS | DATE | DATE | COMP | PRI | DLC |
| | | | | DUE/REC | | | | | | |
| 0001 | 3116 | 0001 | 000785961 | 00002 | | | | 0 | 13 | Y |
| 0002 | 3116 | 0002 | 008008881 | 00001 | | | | 0 | 13 | Y |
| -----MAINTENANCE FAULTS----- | | | | | | | | | | |
| ITEM NUM | FAULT DATE | FAULT STATUS | FAULT DESCRIPTION | CORRECTIVE ACTION | | | INITIALS | | | |
| 0001 | 25-APR-93 | X | Won't Start | Electrical | | | _____ | | | |
| 0002 | 26-APR-93 | X | Clutch slipping | Adjust | | | _____ | | | |
| | | | 27 Apr 93 | W | | | J D W | | | |
| | | | 28 Apr 93 | | | | J D W | | | |
| 10 | 30 Apr 93 | X | Engine Idles at 800 RPM | | | | | | | |

Figure 3-1-3, DA Form 5988-E

3-1-3. Discuss Additional Maintenance Form Requirements, cont

DD Form 314

On occasion you may want to check the status of scheduled services for your assigned equipment. To do that, you should look at DD Form 314. The DD Form 314 is a record of scheduled and performed unit maintenance including lubrication services. It also provides a means of recording not mission capable (NMCM/NMCS) time.

NOTE: Figure 3-1-4 is an example of a DD Form 314.

Lets go over the entries you may have to make on DD Form 314. You should enter the last two digits of the calendar year in the shaded box at the upper left or lower left of the card.

| | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---------------------|---|---|---|---|--------------------|---|---|---|---|--------------|----|----|----|----|-------------|----|-------|----|----|----|-------------|----|----|----|----|--------------|--|
| 00 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 | 26 out to 31 | |
| REGISTRATION NUMBER | | | | | ADMINISTRATION NO. | | | | | NOMENCLATURE | | | | | | | MODEL | | | | ASSIGNED TO | | | | | | |
| JAN | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| FEB | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| MAR | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| APR | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| MAY | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| JUN | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| JUL | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| AUG | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| SEP | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| OCT | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| NOV | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| DEC | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| REMARKS | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| DATE RECEIVED | | | | | RECEIVED FROM | | | | | | | | | | DISPOSITION | | | | | | | | | | | | |
| REGISTRATION NUMBER | | | | | ADMINISTRATION NO. | | | | | NOMENCLATURE | | | | | | | MODEL | | | | ASSIGNED TO | | | | | | |
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 | 26 out to 31 | |

Figure 3-1-4, DD Form 314

REGISTRATION NUMBER: Enter “See Remarks.”

ADMINISTRATION NO: Enter the number of items you are going to record in the “Remarks” block, for example Pistol #1-#20.

NOMENCLATURE: Enter the name or noun nomenclature.

3-1-3. Discuss Additional Maintenance Form Requirements, cont

DD Form 314,
continued

MODEL: Enter the model number.

ASSIGNED TO: Enter the name of the unit or organization owning the equipment.

As you can see, blocks for the above entries are also at the bottom of the form; you may use either to record entries based on type of display ledger maintained. In the blocks to the right of the months, you will find the symbol indicating the type of service scheduled by day and month for the entire year.

The following are the symbols to show the type of service scheduled:

| | | | |
|----------|------------------------------|----------|-------------------------------|
| T | Any Test | S | Semiannual Service (6 Months) |
| I | Any Inspection | A | Annual Service (1 Year) |
| L | Lubrication | E | 18 Months Service |
| R | Recoil Exercise | B | Biennial Service (2 Years) |
| W | Weekly Service | F | Quadrennial Svc (4 Years) |
| M | Monthly Service (1 Month) | H | Tire Rotation/Inspection |
| Q | Quarterly Service (3 Months) | Z | Oil Sampling |

REMARKS: Enter the serial numbers or administration numbers in ink when using the form for more than one non-reportable item.

DATE RECEIVED: Leave blank or use as needed locally.

RECEIVED FROM: Leave blank or use as needed locally.

DISPOSITION: Leave blank or use as needed locally

3-1-4. Lesson Review

Summary

You learned how to use four forms: DA Form 2404, DA Form 2408-14, DA Form 5988-E, and the DD Form 314. You learned the purpose of each and when to use each. A core responsibility you bear as a squad leader is the

3-1-4. Lesson Review, cont

Summary,
continued

maintenance, accountability, and readiness of your squad's weapons, vehicles, clothing, and equipment. The way you become proficient in supporting this responsibility is through practical application. You will use these PMCS procedures throughout the resident course. This lesson's ELO 3, is a practical exercise in which you must conduct PMCS. You will also use these PMCS procedures during the recovery phase of the FTX.

3-1-5. Check Your Learning

Directions

This is a self-graded exercise. Circle the letter of the correct response or fill in the blank with the correct response. Upon completion, compare your responses to the correct responses in the answer key and feedback sheet.

Question 1

PMCS is the acronym for _____ & _____.

Question 2

What items do you need to conduct perform a PMCS?

- Appropriate –20 Manual, DA Forms 2404 or 5988-E, and 2408-14.
 - Appropriate –30 Manual, DA Forms 2404 or 5988-F, and 2408-14.
 - Appropriate –10 Manual, DA Forms 2404 or 5988-E, and 2408-14.
 - Appropriate –10 Manual, DA Forms 2404 or 5988-F, and 2408-14.
-

Question 3

When conducting a PMCS, and you find a correctable fault, what actions do you take?

Question 4

What information do you place in column c of the DA Form 2404?

- Status symbol of the fault.
 - Description of the fault.
 - The PMCS item number from the TM.
-

Question 5

The DA Form 2408-14 serves as a record of _____ and deferred _____ actions on equipment.

Question 6

Which forms does the DA Form 5988-E take the place of if your unit has the Unit Level Logistic System (ULLS)?

- DA Forms 314, and 2404
 - DA Forms 314, and 2408-14.
 - DA Form 2404 and 2408-14.
-

Question 7

The form that allows you to check the status of scheduled services for your assigned equipment is the _____.

This page intentionally left blank

3-1-6. Answer Key and Feedback

Question 1 Correct response is: Preventive Maintenance Checks and Services, Ref: page 3-1-2, para 3-1-1, Introduction.

Question 2 Correct response is: c, Appropriate –10 Manual, DA Forms 2404 or 5988-E, and 2408-14, Ref: page 3-1-2, para 3-1-2, Select Appropriate References.

Question 3 Correct response is: Stop the PMCS, correct the fault, and continue the PMCS, Ref: page 3-1-5, para 3-1-2, DA 2404, continued.

Question 4 Correct response is: b. Description of the fault, Ref: page 3-1-7, para 3-1-2, DA 2404, continued.

Question 5 Correct response is: Uncorrected faults and deferred maintenance, Ref: page 3-1-7, para 3-1-3, DA Form 2408-14.

Question 6 Correct response is: c. DA Forms 2404 and 2408-14, Ref: page 3-1-8, para 3-1-3, DA Form 5988-E.

Question 7 Correct response is: DD Form 314, Ref: page 3-1-10, para 3-1-3, para DD Form 314.

This page intentionally left blank

Module 3 Lesson 2

Supply Procedures (R201)

3-2. Lesson Overview

Lesson Presentation

Lesson Content, TLO, ELOs

| Topic | Page |
|---|--------|
| TLO: | NA |
| Introduction | 3-2-2 |
| ELO 1: Comply with Army property accounting requirements. | 3-2-2 |
| ELO 2: Identify the difference between accountability and responsibility. | 3-2-3 |
| ELO 3: Identify the purpose of inventories and hand receipts. | 3-2-6 |
| ELO 4: Enforce the Command Supply Discipline Program (CSDP). | 3-2-10 |
| Lesson Review | 3-2-11 |
| Check Your Learning | 3-2-13 |
| Answer Key and Feedback | 3-2-15 |

References

The following table lists the references for this lesson.

| Number | Title | Date |
|----------------|--|--------|
| DA Pam 710-2-1 | Policies and Procedures of Property Accountability | Dec 97 |
| AR 735-5 | Using Unit Supply System (Manual Procedures) | Jan 98 |

3-2-1. Introduction

Purpose

This lesson will make you aware of the supply procedures that apply to you and your subordinates. It will also provide guidelines you need to accomplish your duties effectively. It may also help you avoid embarrassment and possible payment to the government for losses of property or equipment by you or your subordinates. You must be aware of what your supply responsibilities are and how you can do your part in the care and accountability of equipment and supplies entrusted to you and your subordinates. Have you ever heard someone say, “Trust me, its all there, just sign here.”

Supply procedures are an integral part of your business. Your duties require you to participate in controlling, securing, economizing, and accounting for Army property.

3-2-2. Comply with Army Property Accounting Requirements

Accounting for Army Property

AR 735-5 states that “all property acquired by the Army must be accounted for as prescribed by this regulation and other appropriate ARs.” This means that your accountability must be continuous, by accounting through formal records from the time of acquisition until ultimate consumption or disposal of the property. Also, you must maintain supporting documents prescribed by appropriate regulations. The Army places property into two distinct categories:

1. Real Property.
2. Personal Property.

For financial accounting and reporting purposes, the Army categorizes property as real property or personal property. Real property consists of lands and structures. Personal property consists of capital equipment and other non-expendable supplies, collectively called non-consumable supplies, and all consumable supplies

All property, except real property and contractor acquired property, acquired in any manner, requires processing through and accounting for on a formal stock record account before issue.

3-2-2. Comply with Army Property Accounting Requirements, cont

Accounting for Army Property, continued

The Army classifies all property, except real property, for accounting purposes. These classifications are:

- Non-expendable.
- Expendable property.
- Durable property.

Non-expendable Property

We define non-expendable property as personal property that you do not consume in use and it retains its original identity during the period of use. Non-expendable property requires property book accounting. This is a formal set of property accounting records and files maintained at the user level. Examples: M16, Kevlar Helmet, Protective Mask.

Expendable Property

Expendable property is property that you consume in use, or it loses its identity in use, and all items not consumed in use with a unit price of less than \$300, and not otherwise classified as non-expendable or durable. Expendable property requires no formal accounting after issue at the user level. Examples: Flash light batteries, pencils, pens, office paper.

Durable Property

The final class is durable property, this is personal property that is not consumed in use, does not require property book accountability, but because of its unique characteristics requires hand receipt control when issued to the user. Examples: Hand tools, power tools.

3-2-3. Identify the Difference Between Accountability and Responsibility

Accountability/ Responsibility for Army Property

You must understand there are important differences between accountability and responsibility.

Accountability is the obligation of a person to keep records of property, documents, or funds. These records must show identification data, gains, losses, dues-in and dues-out, and balances on hand or in use.

Responsibility, on the other hand, is the obligation of an individual to ensure that government property and funds entrusted to his or her possession, command, or supervision receive proper use or care.

3-2-3. Identify the Difference Between Accountability and Responsibility, cont

**Accountability/
Responsibility
for Army
Property,
continued**

"Records" and "use or care" of property are key elements in the difference between "accountability" and "responsibility." Usually, records determine who is accountable. How someone "uses or cares" for property determines responsibility.

There are five types of responsibility, and this lesson will describe of all five:

1. Command.
 2. Supervisory
 3. Direct.
 4. Custodial.
 5. Personal
-

**Command
Responsibility**

Command responsibility is the obligation of a commander to ensure that all government property within his command receives proper care, use, custody, and safekeeping. A commander cannot delegate responsibility. However, a soldier assumes this responsibility when assuming a command or supervisory position at any level.

Command responsibility includes making sure that property of the command, whether in use or in storage, is secure. Command responsibility includes observing subordinates to ensure that their activities contribute to the proper custody, care, use, and safekeeping of all property in the command.

Command responsibility means enforcing all security, safety, and accounting requirements and taking administrative or disciplinary measures when necessary.

**Supervisory
Responsibility**

Supervisory responsibility is the obligation of a supervisor to ensure that all government property issued to or used by his subordinates receives proper care, use, custody, and safekeeping. Supervisory responsibility is inherent in all supervisory positions, is not contingent upon signed receipts or

3-2-3. Identify the Difference Between Accountability and Responsibility, cont

Supervisory Responsibility, continued

responsibility statements, that you cannot delegate. You get supervisory responsibility because of an assignment to a specific position and the supervisory responsibility includes:

- Providing proper guidance and direction.
 - Enforcing all security, safety, and accounting requirements.
 - Maintaining a supervisory climate that facilitates and encourages the proper care and use of government property.
-

Direct Responsibility

The hand receipt is the primary method of assigning direct responsibility. Direct responsibility is the obligation of a soldier to ensure that all government property for which he has receipted for receives proper care, use, custody, and safekeeping.

Custodial Responsibility

Custodial responsibility can get you into trouble easily. Most assume that since the property is secure in storage, they don't need to check on it as often and find out too late that something is missing. Custodial responsibility is the obligation of an individual to exercise reasonable and prudent actions to properly care for and provide proper custody and safekeeping for property in storage awaiting issue or turn-in.

Personal Responsibility

Personal responsibility is the obligation of a person to exercise reasonable and prudent actions to properly use, care for, and safeguard all government property in his physical possession. It applies to all government property issued for, acquired for, or converted to a person's exclusive use, with or without hand receipt.

Responsibility Relationships

You will now study the three types of responsibility relationships. These relationships are:

1. Command and supervisory.
2. Direct.
3. Personal.

Command and supervisory responsibility have a relationship because they depend on the location of the property within the chain of command. Command and supervisory responsibility are a part of a job or position that

3-2-3. Identify the Difference Between Accountability and Responsibility, cont

Responsibility Relationships, continued

one incurs by assuming a command or supervisory position. The commander or supervisor cannot delegate command and supervisory responsibilities.

Direct responsibility relates to a formal assignment of property responsibility to persons within the supply chain who have the property within their custody, but not necessarily in their possession or for their use.

Accountable officers always have direct responsibility unless the commander has specifically assigned it to another person. Accountable officers may delegate such responsibility by written designation or by issue of the property on a hand receipt.

Keep in mind that personal responsibility always relates to and accompanies the physical possession of property.

3-2-4. Identify the Purpose of Inventories and Hand Receipts

Purpose of an Inventory and Hand Receipts

In order for you to account for and demonstrate responsibility for equipment, you must conduct inventories and issue appropriate hand receipts for the property. The purpose of inventories and hand receipts are:

- Obtain a physical count of equipment.
- Prevent monetary loss.
- Thoroughly account for all equipment.

When you thoroughly account for all equipment, you account for even the small things e.g., the separate pieces of sets in kits, before accepting responsibility. Don't fall prey to someone who says, "Trust ME, its all there, just sign."

Make sure you see the items and verify their serial numbers if they have one. Also, you must remember that AR 735-5 prohibits you from issuing or accepting an issue document, hand receipt, or other form of receipt to cover articles that are missing, or appear to be missing.

3-2-4. Identify the Purpose of Inventories and Hand Receipts, cont

Purpose of an Inventory and Hand Receipts, continued

One very sound supply practice that you should observe in accounting for property is to inventory organizational clothing and individual equipment (OCIE), more commonly known as TA-50. Inspect for accountability before and after each training exercise. Regulations or the commander may require you to conduct inventories more frequently. However, generally speaking at your level, all on-hand property on property book records and/or hand receipt records require annual inventory, or upon change of the primary hand receipt holder, whichever comes first.

Depending on how well you maintain accountability and how responsible you are, an inventory can be either your best friend or your worst nightmare.

Assigning Property Responsibility

Now that you know about inventories and hand receipts, you need to learn how we actually assign property responsibility. In order to hold an individual responsible for property or equipment, we must assign responsibility. Remember that responsibility entails the proper use, care, security, and maintenance of an item. There are various records used by the Army to assign responsibility, they are:

- Property book.
 - Hand receipts. (DA Form 2062)
 - Temporary hand receipts. (DA Form 3161)
 - Equipment receipts. (DA Form 3749)
-

Property Book

The property book is a formal set of records of all non-expendable property assigned to a unit. Very few of you, except those with a logistical MOS will ever maintain a property book. Therefore, we aren't going to go into any great detail on the property book. However, as a first line supervisor you will surely be signing and issuing hand receipts, temporary hand receipts, and equipment receipts.

Hand Receipts

You will use Hand Receipts (DA Form 2062) to list property book or durable items issued to the user and to establish direct responsibility to the person whose signature appears on the hand receipt. You will also use this form to sub-hand receipt property or equipment to your subordinates. You prepare the form in two copies (you may reproduce them) and keep all copies current. Figure 3-2-1, is an example of a DA Form 2062.

3-2-4. Identify the Purpose of Inventories and Hand Receipts, cont

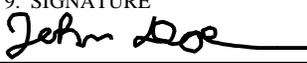
| | | | | | | | | | | | | |
|---|-----------------------|--|--------------------|--------------------------|---------|------------------|------------|-------|---|---|---|---|
| HAND RECEIPT/ANNEX NUMBER <i>For use of this form, see DA PAM 710-2-1. The proponent agency is ODSLOG</i> | | FROM: PBO 1-651 Arty Bn | TO: Cdr, C Btry | HAND RECEIPT NUMBER 3 | | | | | | | | |
| For Annexes Only | END ITEM STOCK NUMBER | END ITEM DESCRIPTION | PUBLICATION NUMBER | | | PUB DATE | QUANTITY | | | | | |
| STOCK NUMBER | | ITEM DESCRIPTION | c | SE C d | UI e | QTY AUTH f | g QUANTITY | | | | | |
| | | | | | | | A | B | C | D | E | F |
| 1005-00-726-5655 | | Pstl. 45 M1911A1 W/oE: Ser No. 9677182 | | | | | | | | | | |
| 1220-00-588-7282 | | Pltg Board W/E M17 | | | | | | | | | | |
| | | Radiac Set AN/PDR-27 | | | | | | | | | | |
| 665-00-017-8903 | | Radiac Set AN/PDR-27Q | | | | | | | | | | |
| 6665-00-961-0846 | | Radiac Set AN/PDR-27R | | | | | | | | | | |
| WHEN USED AS A: HAND RECEIPT, enter hand Receipt Annex Number HAND RECEIPT FOR QUARTERS FURNITURE, enter Condition Codes HAND RECEIPT ANNEX/COMPONENTS RECEIPT, enter Accounting Requirements Code (ARC) | | | | | | | | | | | | |
| | | | | | | PAGE | OF | PAGES | | | | |

DA FORM 2062, JAN 82

| | | | | | | | | | | | | |
|----------------------|--|--|--|--|--|------|----|-------|--|--|--|--|
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| Reverse DA Form 2062 | | | | | | PAGE | OF | PAGES | | | | |

Figure 3-2-1. DA Form 2062

3-2-4. Identify the Purpose of Inventories and Hand Receipts, cont

| EQUIPMENT RECEIPT (DA PAM 710-2-1) | |
|---|--------------------------------------|
| 1. UNIT C Btry 10651 Arty Bn | 2. RECEIPT NO 12 |
| 3. STOCK NO. 1005-00-073-9421 | 4. SERIAL NO 1234567890 |
| 5. ITEM DESCRIPTION Rifle, M16A2 | |
| 6. I hereby acknowledge receipt of this equipment from Arms Room of this unit | |
| 7. NAME Doe, John D | 8. SOCIAL SECURITY NO 123-45-6789 |
| 9. SIGNATURE  | 10. GRADE SFC |

DA FORM 3749, JAN 82 Edition of Aug 71 is obsolete

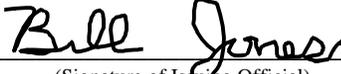
| INSTRUCTIONS |
|---|
| 1. THIS CARD WILL BE SURRENDERED EACH TIME THIS EQUIPMENT IS ISSUED. |
| 2. LOSS OF THIS CARD WILL BE REPORTED TO THE UNIT COMMANDER IMMEDIATELY. |
|  _____ (Signature of Issuing Official) |

Figure 3-2-3, DA Form 3749

3-2-5. Enforce the Command Supply Discipline Program (CSDP)

Purpose of CSDP

The purpose of the command supply discipline program is to:

- Establish regulatory guidance.
- Standardize supply discipline requirements.
- Provide a single listing of all existing supply discipline requirements.
- Make the Army more efficient.

Supply economy is the conservation of material by every individual dealing with Army supplies. To ensure conservation, use only the proper items in the necessary amounts to accomplish a task.

3-2-5. Enforce the Command Supply Discipline Program (CSDP), cont

Purpose of CSDP,
continued

There are several terms used in the command supply discipline program that you need to understand. These terms are:

- Supervisory personnel.
 - Supply economy.
 - Supply discipline.
-

Supervisory Personnel

The term supervisory personnel refers to personnel in a position of responsibility and whose job involves supply operations within or for the U.S. Army force structure.

Supply Economy

The term supply economy refers to the conservation of material by all individuals dealing with Army supplies to ensure that all personnel use only the proper item in the necessary amount to accomplish a task.

One way you can make a difference and enhance supply economy is to ensure you and your soldiers utilize equipment properly. If an NCO knowingly allows or orders a soldier to operate equipment without the proper training and license, that NCO may be held responsible and liable for any accidents or damage that may occur to the equipment.

Supply Discipline

Supply discipline means complying with established DA regulations to effectively administer supply economy. Supply discipline applies to the use of supply funds and to all functions and levels of supply operations, from contractor through the wholesale and retail level to the user.

3-2-6. Lesson Review

Summary

During this period of instruction you learned your role in following, enforcing, and supervising property accounting requirements. Also, you learned the difference between accountability and responsibility. Keep in mind that accountability pertains to maintaining formally prescribed property records for property or sales account, and responsibility applies to the physical aspect of care, custody and safekeeping of government property. We also identified the purpose of inventories and hand receipts, with emphasis on “see it before you sign for it.” Remember that a person’s signature on a hand receipt document establishes direct responsibility and

3-2-6. Lesson Review, cont

Summary,
continued

that the purpose of CSDP is meant to simplify command, supervisory, and managerial responsibilities in dealing with supply economy and discipline.

The information you studied in this lesson, can save you and your subordinates from ever having the U.S. Government take any administrative or other adverse actions to seek monetary reimbursement for the loss, damage, or destruction of government property issued to or used by you or your subordinates.

3-2-7. Check Your Learning

Directions

This is a self-graded exercise. Circle the letter of the correct response or fill in the blank with the correct response. Upon completion, compare your responses to the correct responses in the answer key and feedback sheet.

Question 1

The Army places property into two distinct categories, _____ and _____.

Question 2

The Army classifies all property, except real property, for accounting purposes. What are the three classifications?

- a. Lasting Property, Non-expendable, Expendable.
 - b. Non-expendable, Expendable, Durable.
 - c. Non-expendable, Durable, Accountable.
 - d. Accountable, Expendable, Durable.
-

Question 3

“Records” and “Use or Care” of property are key elements in the difference between “accountability” and “responsibility.” Usually, records determine who is _____, and how someone “uses or cares” for property determines _____.

Question 4

What are the three types of responsibility relationships?

- a. Command and supervisory, Direct, Personal.
 - b. Direct, Managerial, Personal.
 - c. Managerial, Command supervisory, Direct.
-

Question 5

What must you do in order to account for and demonstrate responsibility for equipment?

Question 6

In instances where you issue equipment to the same soldier or soldiers for brief recurring periods of time, such as weapons, etc., which DA Form do you use?

Question 7

The term supply economy refers to the _____ of material.

This page intentionally left blank

3-2-8. Answer Key and Feedback

- Question 1** Correct response is: Real and personal, Ref: page 3-2-2, para 3-2-2, Accounting for Army Property.
-
- Question 2** Correct response is: b. Non-expendable, Expendable, Durable. , Ref: page 3-2-3, para 3-2-2, Accounting for Army Property, continued.
-
- Question 3** Correct response is: Accountable, Responsibility, Ref: page 3-2-4, para 3-2-3, Accountability/Responsibility for Army Property, continued.
-
- Question 4** Correct response is: a. Command and supervisory, Direct, Personal, Ref: page 3-2-5, para Responsibility Relationships
-
- Question 5** Correct Response is: Conduct inventories and issue appropriate hand receipts, Ref: page 3-2-6, para 3-2-4 Purpose of an Inventory and Hand Receipts.
-
- Question 6** Correct Response is: DA Form 3749, Ref: page 3-2-9, para 3-2-4, DA Form 3749.
-
- Question 7** Correct Response is: Conservation, Ref: page 3-2-11, para 3-2-5, Supply Economy.
-

This page intentionally left blank

Module 3

Check Your Learning

Directions This is a self-graded exercise designed to test your understanding of the material presented in this module. Circle the letter of the correct response or fill in the blank with the correct response. Upon completion, compare your responses to the correct responses in the answer key and feedback sheet.

Question 1 Preventive maintenance is the application of systematic procedures for _____, _____, _____ of apparent failures before they develop into major defects.

Question 2 During your PMCS, you find a fault that you cannot repair, what is the first thing you must do?

- a. Check the DD 314.
 - b. Check the previous DA Form 2404
 - c. Check the DA Form 2408-14 to see if someone has already identified the fault and acted on it.
-

Question 3 When you have a “Status Symbol X Fault” on your DA Form 2404, what does it mean if the commander circles the X?

Question 4 Maintenance soldiers use the _____ form to record all uncorrected faults that are not deadline deficiencies.

Question 5 The DA Form 5988-E and the _____, are all you need to perform a PMCS.

Question 6 You are checking the DD314 on your vehicle. You observe the letter “Z” in the column under the present date. What does “Z” mean?

- a. Vehicle is on deadline and you cannot drive it.
 - b. Vehicle is due an oil sampling.
 - c. Vehicle needs a tire rotation/Inspection
 - d. Vehicle needs an 18-month service.
-

Module 3, Check Your Learning, cont

Question 7 What property requires no formal accounting after issue at the user level?

- a. Expendable
 - b. Durable
 - c. Non-expendable
-

Question 8 What are the two key elements in the difference between accountability and responsibility of Army property?

Question 9 The _____ is the primary method of assigning direct responsibility of Army Property.

Question 10 Which of the five responsibilities is the obligation of a person to exercise reasonable and prudent actions to properly use, care for, and safeguard all government property in his physical possession?

- a. Direct
 - b. Custodial
 - c. Personal
 - d. Supervisory
-

Question 11 Which of the four records used by the Army to assign responsibility for Army property is used to list property book or durable items issued to the user to establish direct responsibility.

- a. DA Form 2162
 - b. DA Form 2062
 - c. DA Form 3162
 - d. DA Form 3749
-

Question 12 What is the purpose of the Equipment Receipt, DA Form 3748?

Module 3

Answer Key and Feedback

Lesson 1, Supervise Preventive Maintenance Checks and Services

Question 1 The correct response is: Inspection, detection, and correction, Ref: page 3-1-2, para 3-1-2, Select Appropriate References.

Question 2 Correct response is: c. Check the DA Form 2408-14 to see if the fault is already identified. Ref: page 3-1-5, para 3-1-2, DA 2404, continued.

Question 3 The correct response is: He is authorizing a one time-limited use of the equipment, Ref: page 3-1-7, para 3-1-2, DA 2404, continued.

Question 4 The correct response is: DA Form 2408-14, Ref: page 3-1-7, para 3-1-3, DA Form 2408-14.

Question 5 The correct response is: - 10 TM, Ref: page 3-1-8, para 3-1-3, DA Form 5988-E

Question 6 The correct response is: b. Vehicle is due an oil sampling, Ref: page 3-1-11, para 3-1-3, DD Form 314, continued.

Lesson 2, Supply Procedures

Question 7 The correct response is: a. Expendable, Ref: page 3-2-3, para 3-22, Expendable Property.

Question 8 Correct response is: Records and Use or Care, Ref: page 3-2-4, para 3-2-3, Accountability/Responsibility for Army Property, continued.

Module 3, Answer Key and Feedback, (Supply Procedures),cont.

Question 9 The correct response is: Hand Receipt, Ref: page 3-2-5, para 3-2-3, Direct Responsibility.

Question 10 The correct response is: c. Personal, Ref: page 3-2-5, para 3-2-3, Personal Responsibility.

Question 11 The correct response is: b. DA Form 2062, Ref: page 3-2-7, para 3-2-4, Hand Receipts.

Question 12 The correct response is: In instance when you have to issue equipment to the same person for brief recurring periods of time for issue of weapons NBC masks, radiac equipment for training, etc .

**Lesson
Approval**

The following individuals reviewed and approved this lesson for publication and incorporation into the PLDC-RC Course.

| Name/Signature | Rank | Title | Date Signed |
|-----------------------|-------------|------------------------------------|--------------------|
| Frank W. Berta | CIV | Training Specialist | |
| Lonnie L. Rawls | SGM | Course Chief, PLDC | |
| Felix McNair | SGM | Chief, NCOES Division | |
| William E. Treon Jr. | SGM | Chief, Course Development Division | |