Module A—The Action Officer's World

Overview

Introduction

Module A contains six interwoven lessons describing the organizational environment, some leadership and management principles, staff work, and professional ethics.

Lessons

Lesson 1: *Organizations and Managers*
Applying basic organizational and management principles to your work.

Lesson 2: *Staff Work*
Who action officers are and what staff work involves.

Lesson 3: *Problem Solving and Decision Making*
Traditional problem-solving process and adaptive techniques to make decisions.

Lesson 4: *Coordinating*
Coordinating actions through the system with emphasis on coordinating a decision paper.

Lesson 5: *Military Briefings*
Preparing and delivering military briefings.

Lesson 6: *Professional Ethics*
Army core values and ways to model ethical behavior.

Lesson 1—Organizations and Managers

Overview

Introduction This lesson explains how to apply basic organizational and management principles to your work.

Rationale

Action officers
– work in complex organizations
– play several roles
– interact with managers and leaders at all levels
– should know how organizations function, and
– what managers and leaders do.

Objectives

– Apply systems concepts to work.
– Explain five functions of the management process.
– Describe manager skills and roles.
– Integrate manager and leader roles.
– Use delegation of authority to manage effectively.

Continued on next page

Overview, Continued

In this lesson

This lesson contains three sections:

Section A: Management Concepts

Topic
Systems Approach to Management
System Integrity
General Systems Theory—Additional Principles
Subsystems
The Five Functions of Management
Integration
Types of Managers
Management Skills
Action Officer Roles

Section B: Management Practices

Topic
Overview
Managing and Leading
Managing and Leading at the Same Time
Confusion of Roles
Delegation of Authority
Balance
Delegating a Task

Section C: Back Matter

Topic
Overview
Summary
Endnotes and References

Section A—Management Concepts

Systems Approach to Management

Introduction

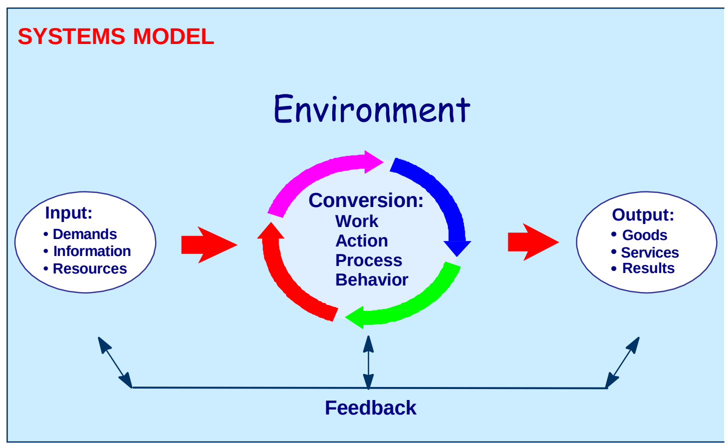
This map describes a system and its parts.

Definition

The systems approach is the application of General Systems Theory to explain how organizations operate. This approach views an organization as a group of interrelated parts brought together for a common purpose.[1]

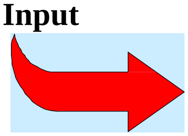
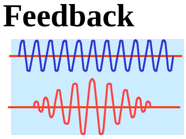
Parts

This model depicts a system's parts:
– Environment
– Input
– Conversion
– Output
– Feedback.



Description

This table describes a system's parts.

Part	Description
Environment 	The environment has two facets: External environment: Outside influences such as higher headquarters, society, or economic system. Task environment: A subset of the larger environment—the internal setting, such as working conditions.
Input 	Energy that flows from the environment to the system: Demands from customers or outsiders Information, including feedback Resources enabling the system to produce outputs.
Conversion	Processes that transform inputs into outputs.
Output	Products resulting from inputs and conversion.
Feedback 	Timely information needed to maintain equilibrium: – Respond to the environment's demands – Adjust conversion processes – Produce desired outputs.

System Integrity

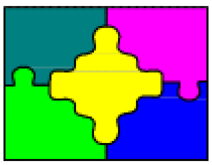
Introduction

This map explains how a system must operate to ensure its survival.

Linkages

Each part of the system must link, since activities in one part affect all the others. If we examine one part, it must be in the context of all the others. No one part can function in isolation, nor can we treat it separately.

Integrity



To maintain its integrity and thrive, a system must have
– a worthy purpose
– demand for its products
– access to resources
– efficient processes
– timely feedback, and
– acceptance of its products.

Disintegration

If a system produces outputs the environment wants and accepts, it should thrive. If it doesn't, it still may survive for a time. However, it will stagnate and eventually die, even if it has a worthy purpose, adequate resources, and efficient operations.

Example

For decades, American auto manufacturers didn't fully consider pressures from their environment. They ignored foreign competition and the impact of the energy crisis. They marketed cars without really knowing what customers wanted, nor did they attempt to find out. Customers then turned to the better quality and designs of foreign-made cars.

Finally, American manufacturers examined their environment, studied the competition, and listened to customers. They started to make quality cars that withstood competition and lured customers back to their showrooms.

Advantages

A systems approach helps you
– distinguish between symptoms and causes of problems
– know which parts of the system your task involves
– coordinate with the right people
– apply efforts where they count most
– realize the impact of your actions on the organization
– make best use of time and other resources, and
– keep focused on customers' demands and quality of outputs.

General Systems Theory—Additional Principles

Introduction

This map highlights additional principles from General Systems Theory and other schools of management thought that apply to system processes.

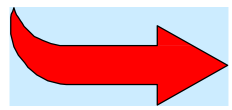
Synergy

The whole is greater than the sum of its parts. For example, people working as a team achieve more than they do working separately.

1+1=3

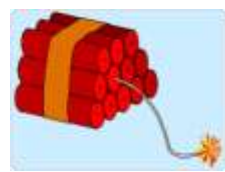
Flexibility

Since there's usually more than one way to do something well, it's not always necessary to seek *the one best way*. Remember, perfect is the enemy of good.



Contingency

The situation determines what works best. Something that works in one situation will fail in another, because of time, place, or circumstance.



Note: This principle has an exception. It doesn't apply to decisions with ethical implications. Were we to apply it to these situations, it could threaten ethical values in the name of practicality.

Efficiency

Doing things right:

– The first time
– With minimum errors and waste
– In timely fashion.

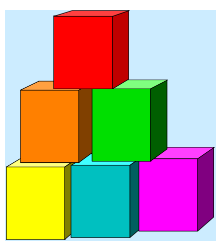
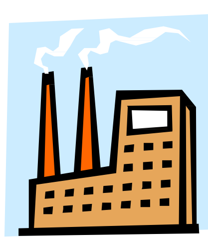
Effectiveness

Doing the right things: Focusing on key goals and priorities to accomplish the mission.[2]

Note: Efficiency and effectiveness are interdependent, but effectiveness is more important. While we should strive to do things right, we must ensure they're the right things to do.

Subsystems

Introduction This map describes the six subsystems existing within an organizational system.

Subsystem	Description
Mission 	A mission provides an organization a basis for defining – goals – objectives – tasks – structure, and – standards.
People 	People make things work by playing various roles as – leaders and followers – team members – stakeholders, and – customers.
Structure 	Organizations have both formal and informal structures. <u>Formal structure</u>: An organization's deliberate and official formation—what you see on an organizational chart. It formally defines division of labor and authority relationships. <u>Informal structure</u>: An organization's unofficial formation; you can't see it on an organizational chart. It's the sum of informal relationships existing within the formal structure.
Technology 	Physical assets enabling an organization to function, such as – equipment and tools – facilities – skills, and – information systems.
Leadership 	Leaders bind the subsystems together and sustain it with – clear vision – shared values – high standards, and – inspirational leadership.
Task environment 	The immediate setting affecting an organization, such as – working conditions – policies and rules – ethical climate, and – pressures from the community. The task environment also links to larger influences of the external environment, such as American society, private industry, and the global economy.

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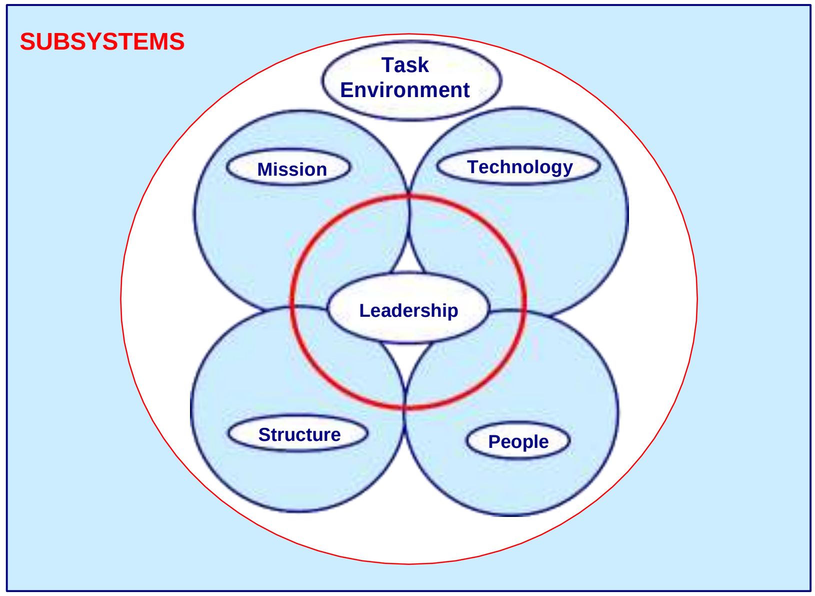
Subsystems, Continued

Illustration

This graphic illustrates the six subsystems just described.



The Five Functions of Management

Introduction

This map defines the five functions of management.

Definition

Management is the process of performing and integrating these five functions:

– Planning
– Organizing
– Coordinating
– Directing
– Controlling.

Henri Fayol, early pioneer in management theory, formed this concept in 1914. It still forms the basis of modern management thought and contemporary practices.[3]

Rationale

Whenever we bring people, resources, and events together for a common purpose, management plays a part. We use its functions to create organizations and achieve goals in an orderly way. A scout leader, church deacon, or the CEO of General Motors are all managers. Each performs management functions like organizing or coordinating.

Questions

We can define the five management functions by asking these questions:

Planning

Who, what, where, when, why, and how? Planning is the initiating function in management and embodies the other four functions. Note that to encourage initiative and flexibility, planners often leave the *how* to those carrying out the plan.

Organizing

Who is involved and how?
Who needs resources and when?
What are the relationships among people, places, and things?

Coordinating

Who informs whom about what, integrates details and events, and ensures coherent action?

Directing

Who takes charge and inspires?

Controlling

Who monitors events, fixes mistakes, and judges results?

Integration

Introduction

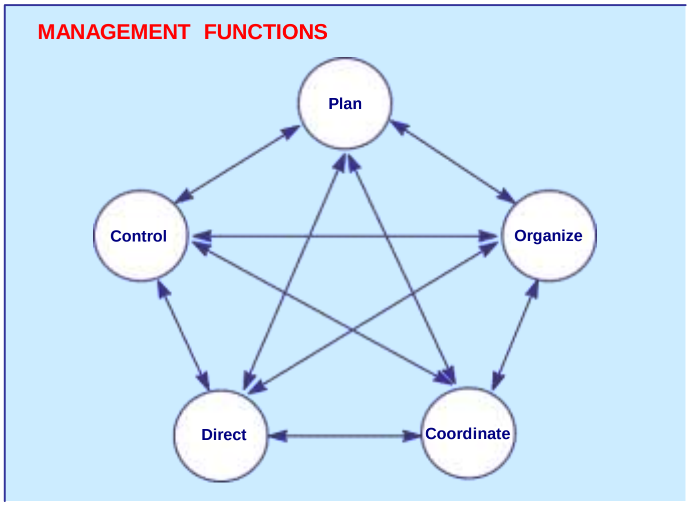
This map explains why the five functions of management must work together, if they're to work at all.

Characteristics

Management functions <u>are not</u>	Management functions <u>are</u>
– separate and distinct – always applied in sequence, or – meant to operate in isolation.	– interdependent and overlapping – applied in no fixed order, and – meant to operate in concert.

Integrated network

This graphic depicts the five management functions working in concert in an integrated network.



Necessity

If all five functions don't work in harmony, you won't achieve desired results.

<u>Examples</u>:
– Unless vigorously carried out, a well-written plan will fail.
– Without structure and relationships, coordination is impossible.
– If no one follows up, clear directions don't count.

Types of Managers

Introduction

This map defines various types of managers found in organizations.

Definition

For simplicity, we define a manager as one who manages work, resources, and achieves results through their efforts. Although they carry different titles, the positions described below are all *managerial* positions.

Supervisor

A supervisor is a leader of a group of followers.[4] A manager who directs subordinates and is responsible for their performance is also a supervisor.

First-level supervisor

A first-level supervisor is a manager who occupies the lowest rung in the management chain and leads a group of pure followers, who have no subordinates reporting to them.

Manager

Strictly speaking, a manager is one who holds a position above the first level of supervision—mid, upper, and executive levels of management. This manager mainly supervises other managers and first-level supervisors.

Senior executive

Incumbents of SES positions are held accountable for program accomplishment. In the Army, senior executives are the counterparts of general officers. Some occupy the Department's top civilian management jobs, serving in positions within the sustaining base that would otherwise be filled by general officers. Others are the scientific and technical experts on whom the Army depends to achieve and sustain technical supremacy. Senior executives, like general officers, are found mainly in policy-making positions, or in technical areas such as acquisition, research and development, logistics, civil works, and the like. Most SES members serve in the Secretariat (22%), Army Materiel Command (32%), and the Corps of Engineers (17%).

Individual contributor

An individual contributor is an informal term referring to a manager who has no subordinates (perhaps a secretary or assistant). While lacking extensive resources or many people at his call, this manager makes major contributions because of unique expertise.[5]

Team leader

A team leader is one who is delegated authority to lead a group effort. While not enjoying formal supervisory authority, a team leader may be empowered to
– organize work
– assign tasks
– judge results, and
– provide input for performance appraisals.

Action officers typically play roles of individual contributors or team leaders.

Management Skills

Introduction This map defines those qualities and skills required to manage effectively.

Personal qualities

Among other things, those who want to lead people and manage events must bring with them a set of qualities that can't always be taught but can be learned:

Will: Desire to make a difference, influence others, and gain satisfaction from doing so—in sum, the "will to manage."[6]

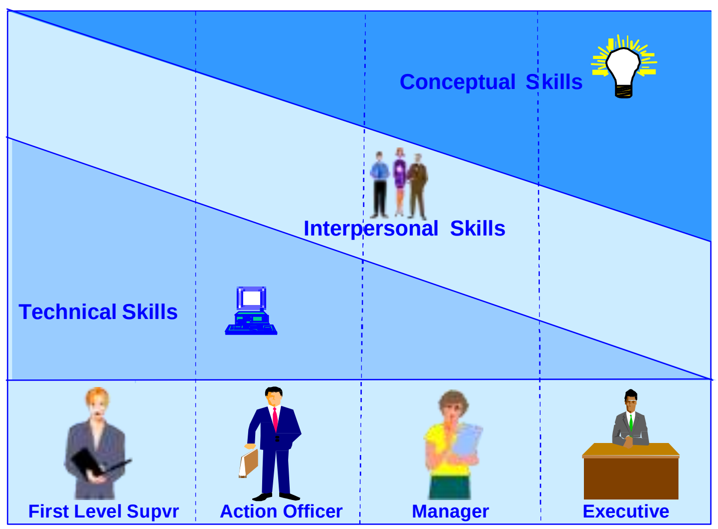
Power: Healthy desire for power. Enjoy it but don't abuse it.

Empathy: Able to understand feelings and roles of others.

Skills Managers at all levels need three types of skills: Technical: Use techniques, knowledge, or expertise. Interpersonal: Get people to cooperate singly or in groups. Conceptual: Grasp ambiguous problems and provide purpose.

Skill mix Managers at all levels apply these three skills but in varying degrees.

From this graphic we can infer that the need for technical and conceptual skills varies among management levels, but the need for interpersonal skills remains constant.[7]



Implications Most managers are technically competent—that's probably why they were hired. However, we suspect when managers fail, it's not for lack of technical or conceptual skills but for the inability to get along with people.[8]

Gaining skill Besides gaining these skills through study and experience, the best way to become an effective manager is to watch and work with good managers.[9]

Action Officer Roles

Introduction

This map describes six roles action officers play and shift in and out of daily.

Leader

While action officers aren't usually formal leaders, they still lead informally by upholding high standards and setting the example. Leadership experience for them is invaluable. It's from their ranks where our Army draws its leaders.

<u>Leadership skills</u>
Action officers use leadership skills when acting as team leaders, facilitating meetings, or coaching the inexperienced. They practice leadership every day, often in challenging circumstances. For example, an action officer may lead a team yet be its junior member.

Follower

Our Army stresses leadership, as well it should. But let's not forget the importance of following. Before being chosen to lead, one must be willing to follow. This means more than simply doing as told.

<u>Good followers</u>
– think independently
– control their own work
– assert their views
– take risks
– are self-starters
– work without close supervision, and
– step in when others drop the ball.[10]

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Action Officer Roles, Continued

Manager

As managers, action officers play roles as individual contributors and team leaders. Lacking resources of most managers, they still make major contributions.

Teammate

Working in a team setting
– creates synergy
– saves time
– consolidates expertise
– shortens communication lines
– exposes biases and oversights, and
– builds commitment.

Peer

Action officers belong to a fraternity whose members form strong bonds. This builds teamwork and trust. Peers are good judges of character. A bad action officer may fool bosses for a while, but peers readily spot one.

No matter how smart or hard-working, one who has lost trust eventually fails. Peers will overlook normal shortcomings and help an action officer who needs it, as long as trust abides. Trust is the fabric of the action officer's craft.

SME

Action officers form a corps of subject matter experts (SME) who
– have challenging visible jobs
– are impact players
– represent the power behind the throne
– help leaders make good decisions, and
– do great things for our Army!

<u>Bottom line</u>: Nothing gets done until an action officer starts *running with the action*. In fact, action officers run our Army.

Attributes

Since action officers change roles frequently, they need these attributes:

<u>Perception</u>: Knowing which role to play and when.

<u>Flexibility</u>: Capable of rapidly switching roles.

<u>Empathy</u>: Appreciating roles that others play.

Section B—Management Practices

Overview

In this section

This section treats various aspects of managing, leading, and delegating.

Managing and Leading

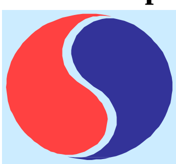
Introduction

This map explains relationships between managing and leading.

Definitions

For simplicity, we define *managing* and *leading* in these terms:
Managing is getting things done through people.
Leading is inspiring people to want to get things done.

Relationship



Action officers play roles as managers and leaders. Both roles are interdependent and mutually reinforcing.

Management, as defined earlier, is the process of performing five functions: planning, organizing, coordinating, directing, and controlling.

Leadership is the process of influencing people, by providing purpose, direction, and motivation; it's the human side of management.

Distinctions

Intentionally exaggerated, this table contrasts managing and leading endeavors:

Managers	Leaders
handle things	inspire people
maintain stability	force change
define procedures	create vision
solve today's problems	seek tomorrow's opportunities
use their heads	listen to their hearts
do things right	do the right things
get people to do things	get people *to want* to do things
count beans.	win wars.[11]

Art versus science

Another way to distinguish between leading and managing is to look at leadership as an art that transcends the limitations of science:

> . . . leadership is the art of accomplishing more than the science of management says is possible.
> *—General Colin Powell, My American Journey, 255.*

Application

While managing and leading are distinct, they're not mutually exclusive.

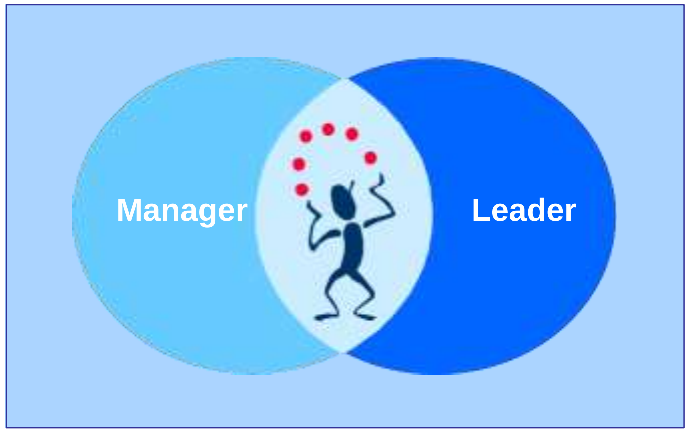
Managers use leadership to add a human dimension to managing and win enthusiastic support for decisions.

Leaders use management to discipline their enthusiasm and use resources prudently.

Managing and Leading at the Same Time

Introduction

This map explains why one must be able to manage and lead at the same time.

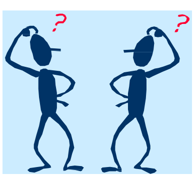


Examples

Examples of managing and leading at the same time:

Activity	Managing	Leading
Run a meeting	Follow the agenda	Build consensus
Sell a proposal	Persuade with logic	Create enthusiasm
Devise a plan	Issue instructions	Give people ownership

Failure to do both



Managers deficient in leadership skills will fail to infuse people with the enthusiasm and passion often required to overcome obstacles and achieve extraordinary accomplishments.

Leaders lacking management acumen will waste resources by inspiring people to do the wrong things or do the right things only through exhausting effort and excessive cost.

Need for both

People who rely on others for results must assume both roles.

Confusion of Roles

Introduction This map attempts to clarify the debate over management and leadership roles.

Debate

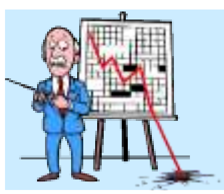
Debate continues over which role is more important in a military environment. Some leaders feel that bureaucrats won't let them lead. While some managers feel that unless controlled, reckless leaders will squander resources.

Although Army culture favors the leader, both roles are equally important. Good leaders realize they need management skills to meet goals.

Confusion

If confusion arises over these roles it's because people
– adopt the wrong role for the situation
– emphasize one role and ignore the other
– lack either leadership or management skills, or
– fail to integrate the processes of both roles.

Examples

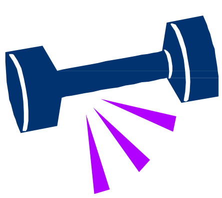


Examples of failure to integrate manager and leader roles:
– Focusing only on what's measurable
– Treating people as just another resource to manage
– Exhorting people to *do more with less*, when it's impossible
– Committing to a decision but ignoring resource constraints.

Competence in both roles

Few excel as both managers and leaders. Most lean toward one or the other. Achieving competence in both roles is possible and desirable. However, achieving excellence in both would require tremendous energy and probably produce poor results.

Strengths



Peter Drucker suggests another way to achieve excellence—play to your strengths! Shore up weaknesses just enough so they don't erode strengths. However, don't waste energy trying to build excellence out of weakness. Instead, invest your energy to build on existing talents.[13]

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Confusion of Roles, Continued

Example

If not a gifted speaker but a talented writer, focus on what you do best and work to improve your writing ability even further. If speaking doesn't come easily, at least work to make it acceptable. However, don't waste time fruitlessly trying to become a spellbinding orator—you'll erode your strength as a writer.

Things and people

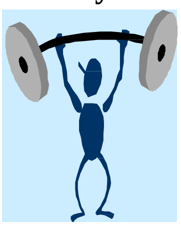
Perhaps a bit one-sided, this statement reminds us that we manage *things* but we *lead* people.

Delegation of Authority

Introduction

This map describes a very powerful management tool, *Delegation of Authority*.

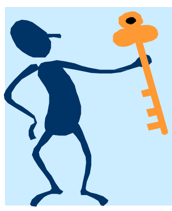
Necessity



Since they can't do everything themselves, bosses delegate their authority to subordinates, who accomplish tasks for them. This means more than simply assigning tasks.

Delegation empowers people to work without detailed instructions or close supervision. While it involves some risk, delegation unleashes motivation and creativity by allowing people to act as bosses of their own job.

Obligations



Delegation implies that while one is empowered to do the job, he is also held responsible and accountable for results:

Responsibility is the obligation to perform the duties of one's position and achieve objectives.

Accountability is the obligation to answer for results—how well one has performed.

Caution

A boss can delegate authority but not personal responsibility or accountability. Though he can hold people responsible and accountable within their areas, he's still ultimately responsible for their performance. Any boss who shifts personal responsibility or accountability onto subordinates is guilty of abdication.

Failure

If bosses don't delegate, they'll stay fully involved in their employees' work or will end up doing it themselves. If they simply assign work and provide no latitude, resources, meddle, or micro manage, they have not delegated.

Bosses who don't delegate usually work hard but achieve little. They measure success by effort exerted and hours spent—working hard but not smart.[14] The main reason they fail is that they won't delegate.[15]

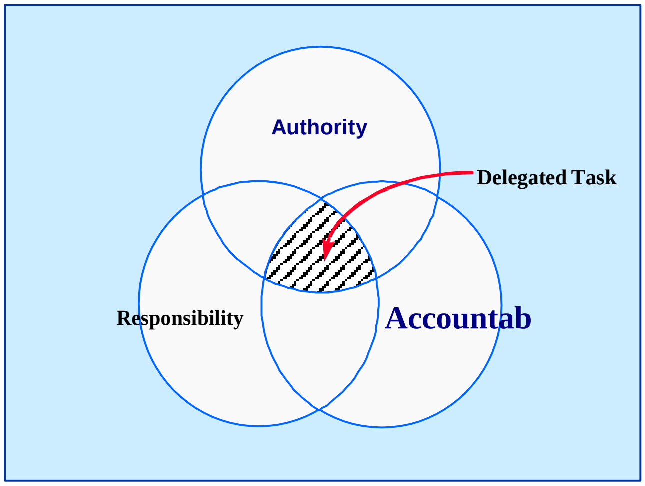
Success

Effective bosses realize delegation is their most powerful management tool. They measure their success by the results their employees produce. They empower people and treat them as adults, knowing they'll act responsibly without constant checking.[16] Delegation raises people's stature from mere hired hands or order takers to valued team members.

Balance

Introduction

This map explains why a delegated task must contain a balanced blend of
– authority
– responsibility, and
– accountability.



<u>Balance</u>

Examples of balance in a delegated task:

Authority

– Enough to fulfill responsibility and maintain accountability
– Neither too much nor too little
– Sufficient resources and autonomy to make decisions.

Responsibility

– Able to use one's talents and make the job challenging
– Manageable workload—don't have to work to exhaustion
– Not set up to fail.

Accountability

– Realistic, worthy, and attainable standards
– Poor performance not tolerated
– Excellent performance rewarded.

Imbalance

Examples of imbalance:

If the supervisor	then the employee
delegates too much authority	may get out of control.
doesn't delegate enough authority	may work to exhaustion and still fail.
assigns too much responsibility	will fail to accomplish everything.
assigns too little responsibility	won't perform to full capacity.
demands impossible results	will fail.
doesn't demand accountability	will get away with poor performance.

Delegating a Task

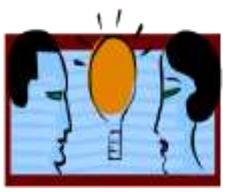
Introduction

This map explains how a boss should delegate a task.

Improper delegation

This is what can happen when a boss doesn't delegate or does it poorly:
– Over supervision—hovering or meddling
– Under supervision—no accountability; subordinate becomes a *loose cannon*
– Overloaded and exhausted—can't get everything done
– Little or nothing to do
– Unreasonable deadlines
– Poor performance condoned or rewarded
– Outstanding performance unnoticed or penalized.

How to delegate



To delegate a task properly, your boss should take these steps. If these steps aren't covered, you may fail to accomplish the task or accomplish it only with extraordinary effort.

Step	Action
1	Ensures you're the one for the job
2	Defines the requirement
3	Confirms you understand it
4	Asks for your ideas
5	Secures your commitment
6	Provides required resources
7	Establishes standards
8	Sets you free
9	Observes from a distance
10	Provides constructive feedback.

Gaining more authority

If held on a short leash, follow these tips to gain more freedom to act:

<u>Learn</u> your job, so it's not necessary to run to the boss for instructions.

<u>Solve</u> your own problems—refer very few upward.

<u>Recommend</u> a solution when referring a problem upward.

<u>Anticipate</u> future tasks and prepare for them.

<u>Show</u> your boss how you'll perform better if given more authority.

<u>Involve</u> your boss in good solutions you thought of.

<u>Take risks</u> and do things without being told.

<u>Take the initiative</u> in managing the relationship with your boss.

Section C—Back Matter

Overview

In this section This section contains commonly recurring topics found in each lesson.

Key points This table summarizes key points of the lesson.

Topic	Summary
Objectives	– Apply systems concepts to work. – Explain five functions of the management process. – Describe manager skills and roles. – Integrate manager and leader roles. – Use delegation of authority to manage effectively.
Systems approach to management	An organization is group of interrelated parts brought together for a common purpose: Environment: the setting in which a system exists Input: energy that flows from the environment Conversion: processes that transform inputs into outputs Output: products resulting from inputs and conversion Feedback: information flow that maintains a system's equilibrium.
System integrity	Actions in one part of a system affect all the others. A system will sustain itself if it has – a worthy purpose – demand for its products – access to resources – efficient processes – timely feedback, and – acceptance of its products.
General systems theory: additional principles	Synergy: whole is greater than sum of its parts Flexibility: more than one way to do something well Contingency: situation determines what works best Efficiency: doing things right Effectiveness: doing the right things.
Subsystems	An organization has six subsystems: A mission provides a basis for defining goals and objectives. People make things work by playing various roles. Structure an organization has formal and informal structures. Technology: physical assets enabling an organization to function. Leadership binds the subsystems together and sustains it. Task environment is the immediate setting, such as working conditions and policies.

Continued on next page

Summary, Continued

Key points (continued)

Topic	Summary
The five functions of management	The five functions of management answer these questions: Planning: who, what, where, when why, and how? Organizing: who is involved and how? Coordinating: who informs whom about what? Directing: who takes charge and inspires? Controlling: who monitors events and judges results?
Integration	The five functions of management must work together in an integrated network. Otherwise, desired results won't occur.
Types of managers	– Supervisor – First-level supervisor – Manager – Senior executive service – Individual contributor.
Management skills	Managers use three sets of skills: technical, interpersonal, and conceptual. They use them in varying proportions, according to their position and level of responsibility.
Action officer roles	– Leader – Manager – Follower – Team player – Peer – Subject-Matter Expert (SME).
Managing and leading	Managing is getting things done through people. Leading is inspiring people to want to get things done.
Managing and leading at the same time	People depending on others for results must be able to manage and lead at the same time.
Confusion of roles	People don't want to be managed—they want to be led! Always remember: we manage *things* but lead *people*.
Delegation of authority	A boss delegates authority by assigning a task and giving the individual sufficient power or latitude to complete it without detailed instructions or close supervision.
Balance	A properly delegated assignment contains a balanced blend of authority, responsibility, and accountability.
Delegating a task	To delegate a task properly, your boss should follow a ten-step procedure. To gain more authority, follow listed tips.

Endnotes and References

Endnotes

To write this lesson, we drew from these sources:

1 Peter F. Drucker, *Management: Tasks, Responsibilities, Practices* (New York: Harper & Row, 1974) 45-46.

2 Henri Fayol, *General and Industrial Management*, trans. Constance Storrs, (New York: Pitman, 1949) *passim*.

3 George S. Odiorne, *The Human Side of Management: Management by Integration and Self-Control* (Lexington MA: Heath, 1984) 14.

4 Peter F. Drucker, *The Effective Executive* (New York: Harper & Row, 1967) 7-9.

5 Sterling Livingston, "Myth of the Well Educated Manager," Harvard Business Review 48 (1971) 85.

6 Robert L. Katz, "Skills of an Effective Administrator," *Harvard Business Review* 52 (1974): 90-102.

7 Odiorne 21.

8 James A. F. Stoner and R. Edward Freeman, *Management*, 4th ed. (Englewood Cliffs, NJ: Prentiss-Hall, 1989) 25.

9 Robert C. Kelly, "In Praise of Followers," *Harvard Business Review* 66 (1988): 142-188.

10 James M. Kouzes and Barry Z. Posner, *The Leadership Challenge: How to Get Extraordinary Things Done in Organizations* (San Francisco: Jossey-Bass, 1987) 32-33.

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Endnotes and References, Continued

Endnotes (continued)

11 Drucker, *Executive* 71-99.

12 Dale D. McConkey, *No-Nonsense Delegation*, (New York: AMACOM, 1974) 31.

13 Harold Koontz and Cyril O'Donnell, *Essentials of Management*, 2nd ed. (New York: McGraw Hill, 1978) 241.

14 J.M. Juran, *Managerial Breakthrough*: *A New Concept of the Manager's Job*, (New York: McGraw-Hill, 1964) 189-192.

Additional references

These sources provide additional information on lesson topics:

ADP 6-22, *Army Leadership*

Associates, Department of Behavioral Sciences and Leadership, United States Military Academy. *Leadership in Organizations.* Garden City Park, NY: Avery, 1988.

Bennis, Warren, *Leaders*. New York: Harper and Row, 1985.

Boettinger, Henry M. "Is Management Really an Art?" *Harvard Business Review* 53 (1975): 54-64.

Lesson 2—Staff Work

Overview

Introduction

This lesson explains who action officers are and what staff work involves.[1]

Rationale

Staff work is as much a part of our Army as weapons and soldiers. Action officers are members of staffs and do staff work. They must display certain attributes, manage information efficiently, and prepare work that decision makers will accept with little or no revision.

Objectives

– Identify action officer attributes and ways to develop them.
– Seek and accept guidance.
– Provide information in usable form.
– Use information to build trust.
– Prepare completed staff work.

Continued on next page

Overview, Continued

In this lesson

This lesson contains three sections:

Section A: Action Officer Attributes

Topic
Terms
The Action Officer's World
Anticipation
Initiative
Taking Initiative
Guidance
Seeking Guidance
Perspective
Pride, Passion, and Obsession

Section B: Preparing Staff Work

Topic
Overview
Information Management Processes
Written Sources of Information
Information and Trust
Staff Doctrine
Completed Staff Work
Preparing Completed Staff Work

Section C: Back Matter

Topic
Overview
Summary
Endnotes and References

Section A—Action Officer Attributes

Terms

Introduction

This map defines terms related to action officers and their activities.

Definition: *Action Officer*

An action officer (AO) is a staff member with subject-matter expertise, who *works actions* on behalf of senior staff officers or commanders.

Definition: *Action*

An action is a task usually requiring coordination and the tasking authority's approval in its final form. It could be a simple task taking five minutes with a pen, paper, and telephone. Or it could be a major project taking several months, requiring extensive correspondence, and involving dozens of players.

Definition: *Working an Action*

Working (or running with) an action means doing everything required to complete it, including all its supporting tasks.

Examples:
– Obtaining guidance from a decision maker
– Developing a position on an issue
– Visiting offices to get concurrence (*chops*) on a proposal
– Negotiating with opposing players
– Making slides for a briefing
– Briefing a proposal to obtain a decision
– Preparing a letter for the commander’s signature
– Representing your command at a major conference.

What *action* really means

Nearly fifty years ago, General W.B. Palmer defined what it means to be an action officer:

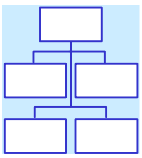
> An army exists for only one purpose: action. The staff exists only to produce action. We call you an action officer because we want action. All you are here for is to get something done. A paper, any word you write, is wasted effort unless it directly contributes to getting something done. You may have a long hard task, a lot of research, a lot of conferences, a lot of concurrences: but all the time your mission is to find that solution and get something done.[2]

The Action Officer's World

Introduction

This map briefly describes the staff environment in a large headquarters.

The staff



A staff exists to serve a commander and support subordinate commanders and staffs. It frees a commander from myriad details of running a complex organization, by managing functional areas such as personnel, logistics, or resource management. A staff also helps a commander make decisions by providing information and making recommendations.

Life on a staff

The staff environment in a major headquarters while exhilarating is also demanding. This atmosphere is characterized by
– a sense of urgency surrounding the work to be done
– unexpected questions
– proximity to flag officers and senior executives
– high volume of actions handled every day
– necessity for extensive coordination
– the challenge and frustration of gaining support for a proposal
– crash projects
– short deadlines and lack of resources to meet them, and
– in-boxes that remain full.[3]

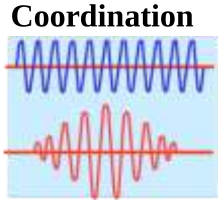
Players

An action officer works for many bosses and interacts with other *long-ball hitters*. This exposes you to supervisors, senior staff officers, and commanders at several levels, both inside and outside the organization. Interacting with these folks can be an exciting experience and means for professional growth.

<u>Examples</u>:

– Immediate supervisor	– Chief of staff
– Division chief	– Commanding general
– Secretary of the General Staff (SGS)	– Project manager
– Executive officer	– Staff officer from a sister service.

Coordination



If you're the primary action officer for a major project, you may interact with all these players, often simultaneously. Determine what they can do for you and the information they can provide. Learn what each player is doing that affects the action, and update the others. While they may work together, they don't always talk to one another. Fill that void by coordinating and providing situation reports (SITREPs) to all, especially your immediate boss.

Anticipation

Introduction

This map explains how to anticipate requirements.

Advantages

Ability to anticipate events helps one
– avoid surprises
– discover what's needed, and
– ask for it in time.

War-gaming

Don't get ambushed—war-game the action:
– Look at things from different angles.
– Identify *show stoppers* in advance.
– Think about possible questions and answer them beforehand.
– Seek advice from more experienced people.
– Send out the agenda early, so members can contact you on issues.
– Don't omit an office bearing on the problem or its solution.
– Be aware of how the action affects the whole organization.

Be prepared

Be prepared for taskings at any time (like when your boss's boss spots you in a hallway and slaps you with an action on-the-run). Ensure you understand the requirement immediately.

Otherwise, you risk the embarrassment of
– going back to get information you should have asked for originally
– doing the wrong work then having it rejected, or
– asking for more time because you must start over.

Survival tools

Always carry a pen, notebook or 3x5 cards, and a list of *smart* questions.[4]

Smart Questions
When is the action due?
Who am I writing this for?
Want to see a draft before I get chops?
Your guidance?
Key people to attend decision briefing?
Who opposes the action?
Hidden agendas?

Initiative

Introduction

This map explains how to apply initiative.

Self-starter

A sharp action officer is a self-starter who doesn't
– camp at the boss's door waiting to be told what to do
– ask what to do next or seek detailed instructions, or
– ask for solutions to problems he's capable of solving.

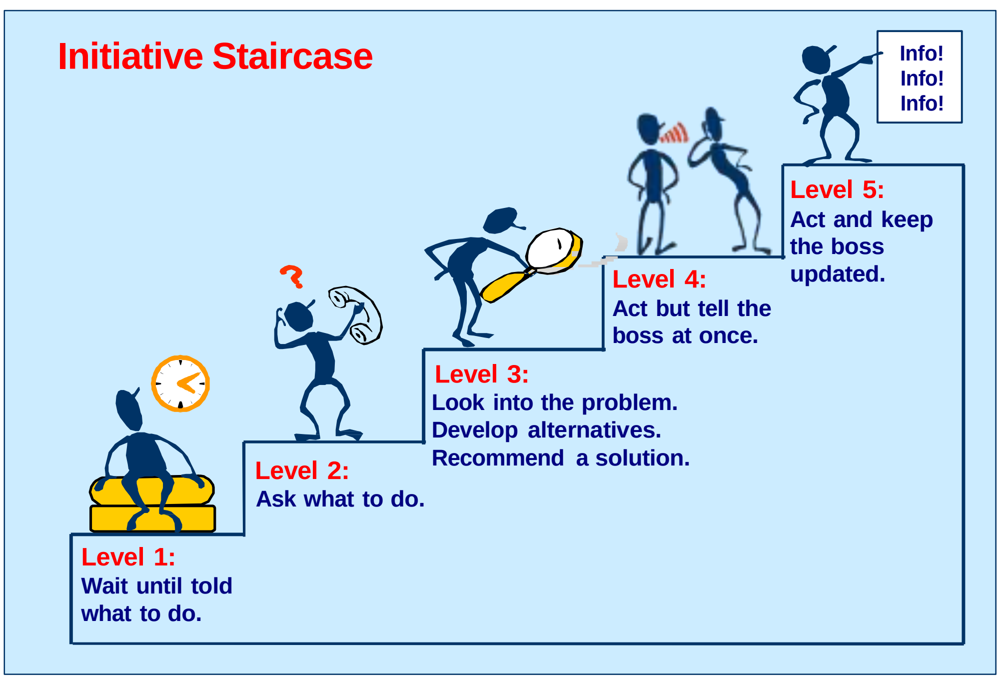
Taking initiative

Self-starters get things done without close quarterbacking from their bosses.

> Senior officials really appreciate action officers who take initiatives, work out happy compromises, solve problems, and come up with innovative solutions to tough problems. The action officer who keeps throwing the problem back to bosses, who offers to hold the bosses' coats while they fight a battle that the action officer could have prevented, and who are problem creators rather than problem solvers normally fail.[5]

Levels of initiative

As a minimum, operate at Level 3, where you can act without detailed instructions. As you gain experience, try operating at higher levels.[6]



Taking Initiative

Introduction This map suggests ways to take and maintain initiative in staff actions.

Taking a position The people you work for are too busy to take positions on all issues. They rely on you to keep them informed and updated. They also look to you for well-reasoned opinions you can readily promote or defend.

Preparation If bosses ask for advice on short notice, always be prepared. Keep current fact sheets, information papers, and briefing slides on hand to *fill their plates* on a moment's notice. Don't get into the barrel.[7]

Coordination

Aggressively (but tactfully) use initiative to coordinate: <u>Seek</u> out those affected and touch base with them. <u>Ask</u> questions but <u>don't</u> blindly accept answers. <u>Push</u> and pull information; it doesn't flow naturally. <u>Check</u> and recheck to ensure information is accurate. <u>Consult</u> multiple sources to confirm facts.

Continued on next page

Taking Initiative, Continued

Visibility

Take initiative to follow up on an action if it loses visibility or someone is sitting on it:

Know where the action is at all times.

Enlist people to support the action (missionary work).

Contact players to ensure they understand the requirement.

Report the action's status (milestones, charts, significant activities reports).

Pre-brief key players.

Remind people to chop on the action.

Nudge laggards and tactfully remind them of the suspense date.

Force the issue: Use meetings, memos, calls, and visits to bring the action to the forefront.

Passing an action

Don't assume every action landing on your desk is your action. Sometimes the tasking authority makes a mistake. If that happens, take the initiative to pass the action to its rightful owner.

Step	Action
1	Contact the responsible office.
2	If they agree to accept the action, coordinate with the tasking authority (usually the SGS) to have the action passed.
3	If they refuse, return the action to the tasking authority for resolution. Note: Organizations usually have a routing form for passing actions. Remember: An action passed is an action completed!

Exception

Sometimes the tasking authority will intentionally pass an action to your office when it technically belongs elsewhere. This usually occurs when one office is burdened with several major projects, the tasking authority wishes to spread the workload equitably, and your office is capable of working the task. If that happens, immediately contact staffers in the other office for information and assistance.

Guidance

Introduction

This map defines the term, *guidance.*

Definition

Guidance is information or advice a decision maker provides when assigning tasks. It's a broad form of direction encouraging self-reliance and initiative.

Rationale

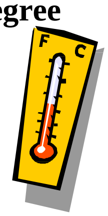
Most decision makers appreciate someone who can work without detailed instructions and close supervision. Rather than giving details on how they want something done, they issue guidelines for what they want done.

Proper guidance removes constraints of detailed instructions and close supervision. This sets people free to pursue innovative solutions. By delegating details and procedures to you, the decision maker avoids micro-managing and can focus on larger issues.

Advantages

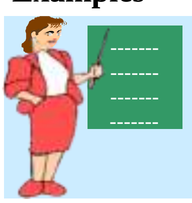
Working under broad guidance
– eliminates need for close supervision
– provides flexibility to choose means for accomplishing the task
– encourages initiative
– builds morale and self-confidence
– unleashes creativity
– leads to imaginative solutions, and
– promotes personal growth.

Degree



The degree of guidance one seeks or is provided depends on
– personal expertise and experience
– information and other resources available
– complexity of the task, or
– the decision maker's management style.

Examples



Areas where a decision maker might provide guidance:
– Desired results
– Conditions a solution must satisfy
– Things that can't go wrong
– What must remain unchanged
– Resource constraints
– Acceptable alternatives
– People to contact
– Political or protocol considerations
– Sources of contention.

Seeking Guidance

Introduction

This map explains when to seek guidance and sources to consult.

Seeking

Seek guidance

When *you* must	When the *decision maker* has
– clarify the requirement – resolve conflicting priorities – reconcile deviation from previous guidance, or – complete the task in little time.	– information you need – strong views about the issue – committed to a course of action, or – expertise on the subject.[8]

Tasking authority

Seek guidance from the tasking authority:
– Higher headquarters
– Outside agencies
– Commander
– Chief of Staff
– Secretary of the General Staff (SGS)
– Commander's Planning Group
– Immediate boss.

Note: Action officers usually obtain *commander's* guidance from the chief of staff, SGS, or executive officer.

No intimidation

If a fast-talking boss provides vague guidance, don't be intimidated. If you don't grasp what's said, rephrase his comments to confirm understanding or ask for clarification. If later you still need more information, get on the boss's calendar right away to discuss the issue further.

Information sources

Deduce guidance from information sources:
– Organization's mission and goals
– Information network
– Subject matter experts
– Regulations, policies, SOPs
– Decision maker's intent or management style.

Perspective

Introduction

This map explains why we need perspective and suggests ways to acquire it.

Perspective

Perspective is the ability to see things in their true relationship. This quality is vital to an action officer. It gives one a feel for the problem, makes it easier to shape information, and leads to the best solution. Conversely, one who lacks perspective lives in a world of parochial views and immature solutions—deficiencies a decision maker can't tolerate.

In addition to personal growth, action officers gain perspective through teamwork and cross training.

Teamwork

While accomplishing much on your own, you'll usually need help. Teamwork helps one gain perspective by getting information from people and allowing devils' advocates to expose weaknesses in your thinking.

Cross training

Learning the duties of fellow action officers
– enhances personal growth
– adds to personal influence
– spreads workload
– increases your boss's flexibility when assigning tasks
– strengthens the team
– keeps you from becoming indispensable, and
– builds morale (able to take leave—peers capable of filling in).[9]

Doing-it-yourself

One action officer may know more about a problem than anyone else. While this gains visibility, it will also cause problems if he won't work with others. A *do-it-yourself* approach is fine for home repairs but not in the workplace.

Doing it yourself makes one	which leads to
indispensable	overwork and exhaustion.
arrogant	antagonism.
narrow-minded	parochialism.
aloof	alienation.

Pride, Passion, and Obsession

Introduction

This map cautions against excessive pride, unbridled passion, and obsession.

Frustration

Have you ever prepared a good piece of staff work, only to see some low-level bureaucrat or insecure boss make it unrecognizable? Rarely, however, will an action sail through the system without someone changing it. As it moves through coordination channels, people reviewing it will also add perspective.

The tendency is to react emotionally to such frustration. While you should vigorously defend your position, also realize emotions can cloud judgement.

Definitions

Pride (pride of workmanship) is the act of showing proper respect for oneself. A reasonable measure of pride is virtuous. Excessive pride, however, leads to uncontrolled passion or obsession.

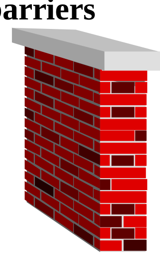
Passion is an intense drive or strong love for an object. It too can be virtuous. However, unbridled passion degenerates into obsession.

Obsession is unreasonable persistence or fixation that obscures reality. It's self-destructive.

Unethical behavior

Excessive pride, passion, or obsession leads to uncooperative or unethical behavior.
– Finger pointing
– Refusing to accept honest dissent
– Rejecting constructive criticism
– Making personal attacks on opposing players
– Lying
– Withholding information to protect your position
– Undermining the decision.

Overcoming barriers



To overcome excessive pride, passion, or obsession,
– prepare excellent work that withstands scrutiny
– be tactful when proving critics wrong
– build trust with peers and key players
– use persuasion before resorting to debate
– know when to hold and when to fold
– state your views frankly but support the final decision
– set the example by always behaving ethically.

Section B—Preparing Staff Work

Overview

In this section

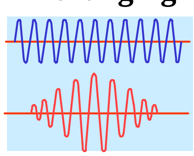
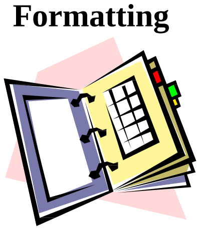
This section contains topics related to information management and the preparation of staff work.

Topic
Information Management Processes
Written Sources of Information
Information and Trust
Staff Doctrine
Completed Staff Work
Preparing Completed Staff Work

Information Management Processes

Introduction This map describes how action officers manage and provide information.

Rationale Leaders rely on action officers for timely and accurate information provided in usable form. Information management processes described below:

Process	Description
Gathering 	Gather information and maintain a database to support current and future needs. <u>Do</u> ensure requests for information are necessary. <u>Don't</u> burden other staffs or subordinate commanders with requests for unnecessary information.
Analyzing 	Sort, sift, and assess information for its – significance – completeness, and – reliability.
Condensing 	Keep only essential information and condense it so it – is usable for making decisions – can be quickly retrievable – can be easily formatted for rapid updates.
Exchanging 	Give people what they need and get what you need by trading information through – personal conversations – meetings, and – messages.
Formatting 	Use most practical means and consider the recipient's preferences: – Point paper – Fact sheet – Decision paper. <u>Note</u>: For more information on formats, see Appendix C, *Discussion Papers*.
Informing 	– Provide the right information to the right people. – Keep key players updated. – Inform higher, lower, and adjacent staffs promptly. – Provide just enough information; don't overload recipients, especially senior decision makers.

Written Sources of Information

Introduction

This map describes various documents staffs use to set administrative procedures, maintain control, and ensure continuity of information. Note that much of these sources are digitized and available on your local area network (LAN).

Policy File

Holds policies of command and higher headquarters, based on orders, experience, and past decisions. Also outlines operating principles for the staff section keeping the file. Policies may take form as notes, plans, studies, or directives. Chief of staff usually maintains the command's policy file, and each staff section keeps a section file. Policy file is a good source for orienting new members.

Records

Records hold and preserve historical information. Modern Army Records Keeping System (MARKS) governs records management. (See AR 25-1 and DA Pam 400-2.)

Access these publications at the U.S. Army Publishing Agency: http://www.usapa.army.mil

O & F manual and organization chart

Organization & Functions (O & F) Manual and Organization Chart specify organization, functions, and responsibilities for all staff sections within a headquarters. Also a source for assigning responsibility for staff actions and identifying coordination channels. Good way to find out who does what.

Staff Guide

No standard name. Contains instructions on document formats, coordinating channels, and procedures for staffing concurrences or nonconcurrences.

SOP

Outlines procedures for recurring and routine matters involving set details and specific arrangements, such as protocol, briefings, or VIP visits.

Workbooks

Contain informal collections of information:
– References for current operations and reports
– Indexed information from orders, conversations, messages, and conferences
– Ideas, opinions, and conclusions.

SIGACTS

Significant Activities (SIGACTS) Report. Weekly update of ongoing actions, issues, initiatives, projects, and items of interest to the command.

Information and Trust

Introduction

This map explains why the management of information requires trust.

Trust

An action officer holds a position of trust. Leaders rely on you for complete and accurate information. If they can't trust you, you'll lose credibility. Not only will this hurt you, but it will also hurt them. You may be the only source of reliable information, but people won't accept it if they don't trust you.

Mistrust

Misuse of information leads to mistrust and communications breakdown.[10]

Symptoms of Communications Breakdown

Decline in information:
Less volume
Reluctant conversation
Avoidance of discussion
Answers with double meanings
Glib replies
Bypassing
People hard to reach No reply to messages
Telephone calls not returned
Late reports
More follow up required

Lowered morale:
Lack of enthusiasm
Reduced cooperation
Aggressive behavior

Nonverbal Signs:
Body language
Closed doors

Building trust

Act ethically when managing information, for it builds trust. Use it for worthy purposes and share it generously. As word spreads you'll attract even more information and gain influence.

Rules

To build trust, follow these rules:

Don't use information to	Do use information
– spread gossip	– in confidence
– hoard as a weapon	– to get more information
– reward or punish	– as a resource to share
– spread harm, or	– to help people do their jobs, and
– seek personal gain.	– for the good of our nation.

Staff Doctrine

Introduction The doctrine of completed staff work has been around a long time, thanks to this document a visionary officer wrote in 1942.

COMPLETED STAFF WORK

1. The doctrine of completed staff work is a doctrine of this office.

2. Completed staff work is complete study of a problem, and presentation of a completed action in such form that it simply allows the decision maker to either approve or disapprove it. The emphasis is on *completed*, because the more difficult the problem, the more the tendency to present it in piece-meal fashion.

It's your duty as a staff officer to work out the details. You should not consult your chief in determining those details, no matter how perplexing they may be. Instead, uncover the details yourself and consult with other staff officers.

3. When faced with a difficult problem, the first impulse of an inexperienced and frustrated staff officer is to ask the chief *what to do*. It's so easy to ask, and it seems so easy for him to answer. Resist that impulse. You'll succumb to it only if you don't know your job. Your job is to advise the chief what he ought to do, not to ask him what you ought to do. He needs answers, not questions. Your job is to study, write, restudy, rewrite, and arrive at a single proposed action.

4. Don't worry your chief with long explanations and memoranda. Writing a memorandum to your chief doesn't constitute *completed staff work*. Writing one for the chief to send to someone else does.

Place your views before him in finished form, so he can make them his views simply by signing his name. If your solution is proper, the chief will recognize it at once. If he wants explanation, he'll ask for it.

5. The theory of *completed staff work* doesn't preclude a *rough draft*, but it must not be half-baked. Except for final touches, it must be complete. It need not be neat. But don't use a rough draft to shift the burden of completing the action onto the chief.

6. The *completed staff work* theory may cause work for the staff officer, but it results in more freedom for the chief. This is as it should be. Further, it
– protects the chief from half-baked ideas, voluminous memoranda, and immature oral presentations.
– enables the staff officer who has a real idea to sell to find a market.

7. When you've finished your *completed staff work*, the final test is this: If you were the chief, would you be willing to sign the paper you've prepared and stake your reputation on being right? If the answer is *no*, then take it back and do it over, because it is not yet *completed staff work*.[11]

Completed Staff Work

Introduction

This map expands on the concept of *completed staff work*.

In retrospect

Half a century later the doctrine of completed staff work still stands but with some modification. Often in the past one would bring an action to the chief for approval only to hear, "That's not what I wanted; take it back and do it over."

The chief still expects action officers to uncover details. However, today he's more likely to provide guidance, sometimes even details. The chief may be the only one who knows the details.

Moreover, in an age of word processors and laser printers, the chief now expects even draft documents to be neat.

Rationale

Action officers shape information into recommendations, that when approved become decisions. We refer to a recommendation that's been properly prepared and coordinated as *completed staff work*.

Definition

Completed staff work is a single proposed recommendation that
– has been thoroughly analyzed
– has been coordinated
– represents the best recommendation possible
– simply requires approval or disapproval, and
– is prepared in final form for signature.

Good examples

Completed staff work: a fully staffed decision paper that recommends a clear decision or a complete message dispatched on time to right addressees.

Bad examples

Incomplete staff work: a decision paper submitted but not coordinated with opposing players or an incomplete message that requires a follow-on message to clarify the original.

Advantages

Submitting completed staff work improves the quality of decisions and saves time, since it's done right the first time and needs little or no revision.

Preparing Completed Staff Work

Introduction This map outlines steps for preparing completed staff work.

Procedure This table highlights the procedure for preparing completed staff work, particularly an action that requires a signature or other means of approval. The procedure, which is really a series of problem-solving steps. An typical business example is provided here:

Action	Description
Define the problem	The way things are
List criteria	The way things ought to be
Form assumptions	Conditions we can't verify
Identify constraints	Conditions we can't change
Develop alternatives	Ways that might solve the problem
Select best alternative	The clinching argument: – Outline of pros and cons – Consideration of nonoccurrence's – A decision matrix if it will clarify the issue.
Submit for approval	Best alternative, recommended to the decision maker and an explanation of why you chose it over the others.

Standards Standards for preparing completed staff work are rigorous but flexible.

Acceptability <u>Doesn't</u> need to be perfect. It just has to be *acceptable*, in view of time or other resource constraints.

Agreement <u>Doesn't</u> require unanimous agreement—rarely will all agree.

Final form <u>Doesn't</u> always have to be in final form. A draft that just needs fine tuning may be OK at times.

Section C—Back Matter

Key Points This table summarizes key points of the lesson.

Topic	Summary
Objectives	– Identify action officer attributes and ways to develop them. – Seek and accept guidance. – Provide information in usable form. – Use information to build trust. – Prepare completed staff work.
Terms	An <u>action officer</u> is a staff member with subject-matter expertise who works actions on behalf of senior staff officers and commanders. An <u>action</u> is a task assigned to an action officer that usually requires coordination and the tasking authority's approval in its final form. <u>Working (or running with) an action</u> means doing everything required to complete it, including all its supporting tasks.
AO's world	A staff exists to serve a commander and support subordinate commanders and staffs. Action officer works for many bosses and players. When working with many players, fill the information void by coordinating and providing situation reports (SITREPs) to all, especially your immediate boss.
Anticipation	Avoid surprises, discover what's needed, and ask for it in time. Don't get ambushed—war-game the action. Ensure you understand requirement. Carry a pen or pencil, notebook, and prepared questions. If you need more information, get on the boss's calendar.
Initiative	As a minimum, operate at Level 3 of the initiative staircase: – Look into the problem. – Develop alternatives. – Recommend a solution.
Taking initiative	Bosses expect AOs to take positions on issues, keep updated, form well-reasoned opinions, and be prepared to promote or defend them.
Guidance	<u>Guidance</u> is information or advice the tasking authority gives when assigning a task. It's usually broad enough to encourage initiative.
Seeking guidance	Seek guidance when <u>you</u> must – clarify the requirement – resolve conflicting priorities – reconcile deviation, or – complete task in little time. Seek when the <u>decision maker</u> has – information you need – strong views about the issue – committed to a course of action – expertise on the subject.

Continued on next page

Summary, Continued

Key Points (continued)

Topic	Summary
Perspective	<u>Perspective</u>: Gives one a *feel for the problem*. Teamwork. Helps one gain perspective from interacting with people. <u>Barriers</u> to teamwork: *do-it-yourself* mentality and excessive pride. Learn to distinguish between pride, passion, and obsession.
Pride, Passion, and Obsession	Avoid excessive pride of workmanship and unbridled passion. Can lead to obsession and unethical behavior. State your views frankly, but support the final decision.
Information management processes	– Gathering – Exchanging – Analyzing – Informing – Condensing – Formatting.
Written sources of information	– Policy File – Staff Guide – Records – SOP – Organization and Functions Manual – Workbooks.
Information and trust	Act ethically when managing information—it builds trust. Misuse leads to mistrust and communications breakdown.
	<u>Don't use Information to</u> – spread gossip – hoard as a weapon – reward or punish – spread harm, or – seek personal gain. <u>Do use information</u> – in confidence – to get more information – as a resource to share – to help people do their jobs – for the good of our nation.
Staff doctrine	Your job is to advise the chief what he ought to do, not to ask him what you ought to do. Chief needs answers, not questions.
Completed staff work	A single proposed recommendation: – Analyzed – Coordinated – Best recommendation – Simply requires approval or disapproval – Prepared for signature.
Preparing completed staff work	– Define the problem. – List criteria. – Form assumptions. – Identify constraints. – Develop alternatives. – Select best alternative. – Submit for approval. Completed staff work <u>doesn't</u> – need to be perfect—just acceptable – require unanimous agreement—rarely will all agree – always have to be in final form—draft may be OK at times.

Endnotes

To write this lesson, we drew from these sources:

[1]Lesson content derives largely from U.S. Army staff doctrine advanced by the Command and General College at Fort Leavenworth, Kansas, and staff practices at major Army and joint commands.

[2]Lieutenant General W. B. Palmer, "Life Among the Indians," *Army* (February 1954): 36-38.

[3]Perry M. Smith (Major General, USAF, Ret.), *Assignment: Pentagon: The Insider's Guide to the Potomac Puzzle Palace,* 2nd ed. (Washington, DC: Brassey's [US], 1993) 10.

[4]Smith 77-78.

[5]Smith 84.

[6]William Oncken, Jr. and Donald L. Wass, "Management Time: Who's Got the Monkey?", *Harvard Business Review* 52 (1974): 79.

[7]Smith 23-24.

[8]Smith 94.

[9]Smith 96.

[10]Fernando Bartolomé, "Nobody Trusts the Boss Completely—Now What," *Harvard Business Review* 67 (1989): 139-142.

[11]Condensed and edited from the original, Colonel Archer L. Lerch, "Completed Staff Work," written for the Provost Marshal General. Reprinted in *Army and Navy Journal* 79 (January 1942): 582.

Additional reference

See ATTP 5-0.1 Commander and Staff Guide. Recommended reference for action officers who work on joint staffs:

AFSC Pub 1, *The Joint Staff Officer's Guide*, (National Defense University, Armed Forces Staff College: Norfolk, VA).

Lesson 3—Problem Solving and Decision Making

Overview

Introduction This lesson describes very basic techniques for solving problems and making decisions.

Rationale. We solve problems and make decisions every day, both at home and at work. These skills are especially important in the workplace because our bosses trust us to solve problems on our own and recommend solutions they can accept in confidence.

- **Objectives**– Recognize and define a problem.
  - ✓ Describe each step in the problem-solving process.
  - ✓ Apply adaptive techniques to make decisions.
  - ✓ Explain why managers should not be problem solvers.
  - ✓ Identify ways to increase range and impact of decisions.

Additional requirement To get the most from this lesson, also study ATTP 5-0.1 Command and Staff Officer Guide.

Continued on next page

Overview, Continued

In this lesson

This lesson contains three sections:

Section A: Problem Solving

Topic
Problem-Solving Steps

Section B: Decision Making

Topic
Overview
Adaptive Decision Making
Problems, Decisions, and Managers
Gaining Power to Make Decisions

Section A—Problem Solving

Problem-Solving Steps

Introduction This map outlines a seven-step procedure for solving problems.

Steps To solve a problem, follow these steps**: (REFER TO ATTP 5-0.1 Commander and Staff Guide or ADP 5-0, The Operations Process.**)

Step ONE	**Identify the Problem (the most critical aspect of problem solving)**
Step TWO	**Gather the Information**
Step THREE	**Develop Criteria (REFER to ATTP 5-0.1)**
Step FOUR	**Generate Possible Solutions**
Step FIVE	**Analyze Possible Solutions**
Step SIX	**Compare Possible Solutions**
Step SEVEN	**Make and Implement the Decision**

Flexibility

This procedure looks as if one moves neatly from step to step. This isn't the case; these seven steps simply provide a flexible structure for working the problem. They overlap, and you may have to return to earlier steps or continue to work them simultaneously until you solve the problem.

Examples of flexibility:
– Information gathering occurs in all steps—from recognition of the problem to implementation of its solution.
– New information may force a return to Step 1.
– Alternatives may be unworkable, and you'll have to find new ones.
– Some steps may be combined or abbreviated.

Caution In all cases, consider each step before proceeding to the next, if only in passing. Otherwise, you may fail to achieve the objective or achieve it only with greater effort and expenditure of resources.

Job aid Use the **ATTP 5-0.1 Commander and Staff Guide or ADP 5-0, The Operations Process** as a professional guide. It lists questions and statements to guide you through each phase of a problem-solving session.

Step 1—Define the Problem

Introduction

This map explains how to recognize and define a problem.

Definition

A problem is
– a question raised for inquiry, consideration, or solution
– an unsettled question, or
– a source of perplexity—what stands between us and some goal.

Recognizing a problem is often difficult because we may lack information to define it or can confuse symptoms with underlying causes.

Questions

To define the problem, ask questions:

	Problem Definition Checklist
	What is the problem?
	Is this the real problem or merely a symptom of a larger one?
	Is it my problem?
	Can I solve it?
	Is it worth solving?
	Does it need an immediate solution, or can it wait?
	Is it likely to go away by itself?
	Can I risk ignoring it?
	Does the problem have ethical dimensions?
	What conditions must the solution satisfy?
	Will the solution affect conditions that must remain unchanged?
	If this is an old problem, what's wrong with the previous solution?

Vagueness

A decision maker may state the problem in broad terms. The exact problem may not be obvious. For clarity, prepare a statement of the problem and send it forward for confirmation. State the problem in one of these forms:

Form	Example
An infinitive phrase	"To find ways to . . . "
A statement of need	"We need to . . ."
A question.	"How can we . . . ?"

Step 2—Gather Information

Introduction This map explains how to gather information and search for a solution.

Brainstorm Before beginning intensive research, *brainstorm* to form ideas and visualize potential solutions. For more information, review Appendix E, *Creating Ideas*.

Focus Early in your research possible solutions may emerge. Focus information-gathering efforts on them. If you collect information aimlessly, much of it will prove irrelevant, and you'll only have to discard it later.

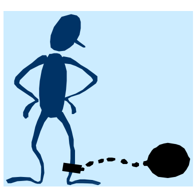
Information categories Place information in these categories:

Criteria Information that meets the standards or conditions a solution must satisfy. If it meets all or most criteria, a solution is likely to be a good one.

Facts Observed events, past or present, either personally observed or reported. Facts represent truths that uphold a solution.

Note: Criteria and facts are the most important data sources.

Constraints Limitations bearing on the problem and difficult to change.



Examples:
Lack of funds, manpower, time, or other resources.
Biases of the decision maker or other powerful interests.

Note: While criteria and facts are the most important data sources, constraints could overshadow them. If severe, they could be the most important consideration. If a solution is surrounded by too many constraints, it's likely to be a poor solution.

Assumptions Ideas or predictions accepted without proof.

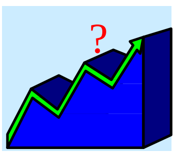
Continued on next page

Step 2—Gather Information, Continued

Assumptions further defined

Assumptions are
– suppositions on current and future events taken as true but unproved
– educated guesses stating what's likely to occur in view of experience and
– information at hand, or
– statements of conditions that must exist to reach a solution.

When to use



Since you'll never get all the facts, use assumptions to
– forecast contingencies
– define limiting factors
– provide a substitute for missing facts, and
– establish a basis for initial planning.

Examples

Examples of assumption statements:
– Existing resources will (won't) support the solution.
– Additional resources will (won't) be available.
– Mission will (won't) remain unchanged.
– Project will (won't) be given top priority.
– Risk is (isn't) affordable.

Don't use too many assumptions—you'll assume away the problem.

Do discard assumptions when facts overtake them or if proved invalid.

Sources

Use these sources to gather information:

Reading	Gathering knowledge and analyzing other people's experiences.
Observing	Perceiving the situation and its relation to the problem.
Questioning	Acquiring knowledge and different views of the problem.
Testing	Validating or rejecting possible solutions as new information becomes available.
Opinions	Personal judgments. To be acceptable, they must be informed and bias free. Off-the-cuff opinions are usually of little value.
Definitions	Explanations of terms or procedures for unfamiliar readers.

Step 3—Develop Criteria

Introduction This map explains how to develop criteria and initially evaluate them.

Evaluation criteria

By now, you should have gathered enough information to support one or more possible options, solutions, or alternatives. List as many as your data will support. Use these criteria to evaluate: suitable, feasible, and acceptable, distinguishable, and complete.

S<u>uitable</u> - solution solves the problem and meets necessary conditions.

F<u>easible</u> - solution is practical, ethical, and affordable.

A<u>cceptable</u> - solution is worth the cost or risk, and the people affected can live with it.

<u>Distinguishable</u> – does it differ significantly from the other solutions

<u>Complete</u> – does it have the critical aspects to solve the problem.

Applying criteria

Consider all criteria. While a suitable solution may solve the problem, it may not work if

- ✓ resources aren't available
- ✓ people won't accept it, or
- ✓ it will cause new problems.

	Criteria
	A fitting solution to the problem
	Meets necessary conditions
	Practical
	Ethical
	Affordable
	Worth the cost or risk
	People affected can live with it.

Screen

Use the evaluation criteria to screen alternatives:
– Eliminate the unsuitable.
– Retain the promising.
– Note those needing more information.
– Identify potential disagreement.

Note that all reasonable alternatives represent possible solutions, but an obviously best solution is rare. The best solution is the one that meets all or <u>most</u> criteria.

Further research

After screening alternatives, gather additional information to
– validate remaining alternatives
– replace assumptions, and
– negotiate disagreements.

<u>Caution</u>: Don't consider compromise until you have a full grasp of the problem. If you compromise too soon, you may give away the best solution.[2]

Step 4—Generate possible Solutions

Introduction This map explains how to weigh each solution, options, alternative and choose the best.

Steps

Leaders must use creativity to develop effective solutions. Often, groups can be far more creative than individuals However, those working on solutions should have some knowledge of or background in the problem area.

The basic technique for developing new ideas in a group setting is brainstorming. Brainstorming is characterized by unrestrained participation in discussion. While brainstorming, leaders—

- State the problem and make sure all participants understand it.
- Appoint someone to record all ideas.
- Withhold judgment of ideas.
- Encourage independent thoughts.
- Aim for quantity, not quality.
- Hitchhike ideas—combine one's thoughts with those of others.

After generating options, leaders accurately record each possible solution. The solution statement clearly portrays how the action or actions solve the problem. In some circumstances, the solution statement may be a single sentence (for example, "Provide tribal leader X with the means to dig a well"). In other circumstances, the solution statement may require more detail, including sketches or concept diagrams. For example, if the problem is to develop a multipurpose small-arms range, leaders may choose to portray each solution with a narrative and a separate sketch or blueprint of each proposed range.

Step 5 – Analyze possible solutions

Introduction This explains Steps 5 and 6 in the problem-solving process.

Select best alternative

After weighing possible solutions, options, or alternatives, one or two should stand above the rest. Pick the best one that meets the criteria used, coordinate the action, and send it forward for approval. Consider each solution, options, alternative carefully, but don't waste time trying to pick the *perfect* solution.

. . . a good plan . . . executed *now* is better than a perfect plan next week.
—*General George S. Patton, Jr*., *War as I Knew It*

Step 6—Compare possible Solutions

Compare During this step, leaders compare each solution against the others to determine the optimum one. Solution comparison identifies which solution best solves the problem based on the evaluation criteria. Leaders use any comparison technique that helps reach the best recommendation. The most common technique is a decision matrix (see ATTP 5-0.1).

Leaders use quantitative techniques (such as decision matrixes, select weights, and sensitivity analyses) to compare solutions. However, they are tools to support the analysis and comparison. They are not the analysis and comparison themselves. Leaders carefully summarize the quantitative techniques so the decisionmaker does not need to refer to an annex for the results.

Step 7—Make and implement the Decision

- ✓ After completing their **<u>analysis and comparison</u>**, leaders identify the preferred solution. For simple problems, leaders may proceed straight to executing the solution. For more complex problems, a leader may need to form a design team (see **ATTP 5-0.1**). If a superior assigned the problem, leaders prepare the necessary products (verbal, written, or both) needed to present the recommendation to the decisionmaker. Before presenting the findings and a recommendation, leaders coordinate their recommendation with those affected by the problem or the solutions. In formal situations, leaders present their findings and recommendations to the decisionmaker as staff studies, decision papers, or decision briefings.
- ✓ A **<u>good solution</u>** can be lost if the leader cannot persuade the audience that it is correct. Every problem requires both a solution and the ability to communicate the solution clearly. The writing and briefing skills a leader possesses may ultimately be as important as good problem-solving skills. Based on the decisionmaker's decision and final guidance, **<u>leaders refine the solution</u>** and prepare necessary implementing instructions. Formal ✓ implementing instructions can be issued as a memorandum of instruction, policy letter, or command directive. Once leaders have given instructions, they monitor their implementation and compare results to the measure of success and the desired end state established in the approved solution. When necessary, they issue additional instructions.

- ✓ A **<u>feedback system</u>** that provides timely and accurate information, periodic review, and the flexibility to adjust must also be built into the implementation plan. Leaders stay involved and carefully avoid creating new problems because of uncoordinated implementation of the solution. Army problem solving does not end with identifying the best solution or obtaining approval of a recommendation.

Section B—Decision Making

Overview

In this section This section describes various decision-making techniques.

Topic
Adaptive Decision Making
Problems, Decisions, and Managers
Gaining Power to Make Decisions

Adaptive Decision Making

Introduction

This map explains how to apply six adaptive techniques to decision making.

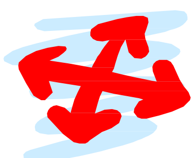
Definition

Adaptive techniques are a combination of logic and common sense. While not precise, they usually produce satisfactory if not ideal solutions. Use these techniques when you have little time, don't need exhaustive analysis, and can accept affordable risks.

Utility

Purely rational decisions often take time and exhaustive research. This isn't always possible or necessary. Adaptive techniques allow us to proceed with incomplete knowledge but with caution and agility. In many cases, they allow us to make reversible decisions.

Techniques



Six adaptive techniques used to make decisions:
– Intuition
– Delay
– Hedging
– Rules of thumb
– Staggering
– Exploration.

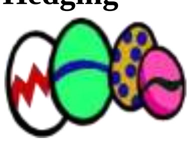
Intuition

Have you ever seen something that looked in order, but somehow you knew it just wasn't right? That was intuition working. It's a form of truth, based on emotions, values, and experience—your gut feelings and your heart! While often able to arrive at the truth through intuition, don't rely on it exclusively. It can trigger snap judgments and rash decisions. Use logic first, then your intuition to make the decision "feel" right.

Delay

If an immediate decision isn't necessary and there's time to develop options, go slow or let it wait. Sometimes doing nothing is the best decision; the problem either goes away, or events overcome it.

Hedging



Avoid decisions that lock you into a single choice. Hedging is a decision with built-in safeguards and flexibility. For example, astute investors don't "put all their eggs in one basket." They spread risks with a balanced portfolio of stocks, bonds, and cash.[3]

Continued on next page

Adaptive Decision Making, Continued

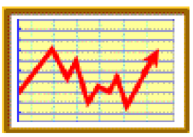
Rules of thumb

A rule of thumb is a rule based on practical experience and habit:
– When ahead in the count (0-2), a pitcher will *waste* the next pitch.
– Lenders limit mortgages to three times a borrower's annual income.
– Leasing firms replace rental cars at sixty-thousand miles.

Pros and cons:

Rules of thumb	But they
– usually work – make life simpler, and – save time.	– have exceptions – can be biased, and – can cloud judgment.[4]

Decision staggering



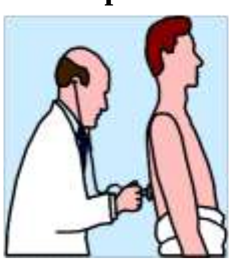
Make incremental decisions to achieve an objective and avoid up-front commitment to an irreversible decision.

Example: Before installing air-conditioning, try screens, shades, and fans. These alone may do the job. If not, these improvements will still have helped cool the building and increase air-conditioning efficiency if later installed.

Exploration

Use information available to probe for a solution. Exploring is a modified trial-and-error strategy to manage risk. Unlike a throw of dice, however, it requires a firm sense of purpose and direction. Use this technique to move cautiously in small steps toward a solution.

Example



Physicians avoid committing to a single, incomplete diagnosis. Through tentative but precise exploration, they determine the cause of an illness and its cure. To make a disciplined exploration, they follow these steps:

Step	Action
1	Assess patient's condition.
2	Isolate symptoms.
3	Cautiously begin treatment.
4	Reassess the patient's condition. If the patient improves, then stay with treatment. If the patient fails to improve, then switch treatment.[5]

Avoiding bad decisions

Exploration enables physicians to avoid making two bad decisions:
– Diagnosing a well person as sick.
– Diagnosing a sick person as well.[6]

Problems, Decisions, and Managers

Introduction

This map explains why leaders should look beyond today's problems and focus on tomorrow's opportunities.

Problems

Leaders solve problems, but that's not their main job. If they stay wedded to problems (usually everyday problems), they become mediocre managers. As they solve problems, people bring them more; the more they solve, the more people bring.

Immersion in problems denies these managers opportunities to make quality decisions to avert these problems in the first place. In solving today's problems, mediocre managers simply restore the status quo and await more problems.

Decisions

Effective leaders and managers, while not ignoring problems don't become immersed in them. Instead, they pass them to their rightful owners. This frees them for more worthy endeavors: making decisions to avert tomorrow's problems and focusing on the future.

Opportunities and options

Focusing on the future enables us to uncover hidden opportunities. The future also provides time to develop options. With options, we make better decisions. Without them, decisions become forced choices and likely poor choices. By finding tomorrow's opportunities and developing options, effective managers can make enduring, quality decisions.

Vision

Leaders should not be the chief problem solvers, but people who work for them should. However, as we've just seen, ability to solve problems is not the sole measure of effectiveness. When people become formal managers and leaders, they must summon their vision to look beyond today's problems. This is what astute managers and bold leaders do.

Gaining Power to Make Decisions

Introduction

This map describes ways to increase your power to make decisions.

Indecision

Some decisions invite risk, fear, and anxiety. To escape this unpleasantness and seek comfort, some people resort to negative coping behavior:

Stalling
Refusing to face the issue.
Obsessive gathering of endless facts.

Overreacting
Shooting from the hip with mindless decisions.
Wasting resources to make rash decisions work.

Vacillating
Unable to pick the best course of action.
Reversing decisions.

Half measures
Muddling through.
Making the *safest* decision to avoid controversy.[8]

Tools

You and your boss should use these tools to increase the range and impact of your decisions:

Time and Priorities
To overcome indecision, learn to manage time and priorities.

Delegation of authority
Increase leverage by empowering people to make decisions on your behalf.

Plans
Embed your decisions in a plan. This empowers you to act and makes decisions easier to defend.

Intent
Clearly state your intent; then people can decide without asking you for instructions or permission to act.

Management by exception
Identify those matters that others must refer to you, and let them make decisions on the rest, without unnecessarily involving you.

Lesson 4—Coordinating

Overview

Introduction

This lesson explains how to coordinate actions through the system. It focuses on coordinating a decision paper.

Rationale

Practically every aspect of the action officer's day involves some form of coordination. This is vital to any planned activity. If no one coordinates, no one communicates, and the outcome is chaos.

Objectives

– Use various means to coordinate an action.
– Prepare a decision paper.
– Coordinate an action through all its phases.
– Prepare a *Consideration of Nonconcurrence*.
– Apply techniques to control an action.

Continued on next page

Overview, Continued

In this lesson

This lesson contains three sections:

Section A: Coordinating Processes

Topic
The Coordinating Function
Information Sources
Means of Coordination
Decision Paper
Coordinating an Action
Types of Responses
Responding to Nonconcurrences

Section B: Control Techniques

Topic
Overview
Maintaining Control
Backup Copies
Suspense Dates

Section C: Back Matter

Topic
Overview
Endnotes
Summary

Section A—Coordinating Processes

The Coordinating Function

Introduction

This map describes the coordinating function and explains why it's necessary.

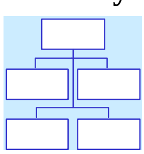
Definition

Coordination is
– a systematic way of communicating
– the integrating function in management
– the lubricant of a smooth running operation
– a path to consensus, and
– an organized way of asking, *Who informs whom about what?*

Purpose

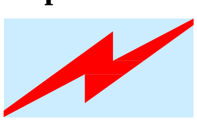
The purpose of coordination is to
– acquire and provide information
– ensure complete and coherent action
– avoid conflict and duplications
– uncover blind spots and omissions
– consider all aspects of an issue
– know when to consult others and what parts of an issue to discuss.

Necessity



Our Army is a hierarchy, whose leaders act within a chain of command. However, they rarely make decisions by decree. Before acting, leaders want assurance that stakeholders were able to comment on a proposal's merits. If secure in knowing this, they'll make better decisions. Before submitting a recommendation for approval, test its soundness with the players involved.

Importance



As you recall from Lesson 1, coordination is one of the five functions of management. For an action officer it's probably the most important. While senior leaders may plan, organize, direct, and control, the action officer facilitates those activities through coordination.

Benefits

One who acquires coordination skills also acquires
– communication skills
– confidence
– ability to learn lessons on the spot
– a sense of teamwork
– credibility and trust.

Information Sources

Introduction

This map describes how to use information sources to coordinate.

Documents

When reporting to a new job, waste no time in finding out what's happening, who's making it happen, and how it could affect you. To find out what's happening, study these documents. Many of them appear in digitized form and are readily accessible through e-mail and local area networks.

Document	Explanation
Mission statement	Identify mission, goals, and priorities to determine what's worth coordinating.
Organization and functions manual and organizational chart	Identify functions, positions, and responsibilities. Then find out where you fit in.
Office files	Review for background and precedents on actions for which you're responsible.
Issue papers	Learn positions taken on issues to anticipate areas requiring coordination.
Significant activities (SIGACTS) report	To keep informed on current actions, read this weekly report and other types of updates.

People

Seek out people who control information and have access to decision makers:
– Find who can give you information or needs it from you.
– Build your reputation through competence.
– Do favors and get them in return.
– Build relationships with subject-matter experts and old pros.
– Take on tough jobs nobody else wants.
– Deliver on promises.
– Treat others courteously, especially secretaries, clerks, and librarians.
– Always say *thank you*, even when people deny requests—you may need their help another day.

Habitual relationships

What is the best way to enhance your ability to coordinate? Become aware of *habitual relationships*—those people on higher, lower, and adjacent staffs who typically interact on a common set of functions and issues. These staff counterparts are valuable sources of information who will often know more about an issue than you do.

Means of Coordination

Introduction

This map describes various means used to coordinate an action.

Personal contact

Most coordination occurs informally through personal visits, meetings, telephone calls, and e-mail. An action officer uses these informal means to gather information, gain support, and prepare an action for approval.

Examples

Examples of informal coordination:
– Exchanging information in a hallway
– Visiting an office to explain your position and gain support
– Back briefing your boss after a meeting
– Alerting others that you'll be tasking them for information.

Preferences

First choice: If you have time, go in person and coordinate face to face. This expands your network and cements relationships.

Second choice: Hold a meeting.

Third choice: If face-to-face contact isn't feasible, use the telephone or e-mail.

Coordinating or staffing

We refer to the process of seeking concurrence and comments on an action as *coordinating* or *staffing*. We use the terms interchangeably here. The medium for staffing an action is usually a decision paper with supporting tabs.

Concurring or nonconcurring

An office concurs when they agree to support an action, or at least not object to it. When they concur, they *chop* on the action.

An office nonconcurs when they disagree and won't support the action. If they nonconcur, however, they must explain why.

Offices reviewing the action will formally respond by either concurring or nonconcurring. They so indicate by signing or initialing the routing form that circulates the action.

Continued on next page

Means of Coordination, Continued

Coordination effort required

The degree of coordination required depends on the complexity of an action and number of players involved. A local, routine action might only require a few calls and a quick meeting. But one affecting our whole Army could involve dozens of players and take months of coordinating effort.

Telephone

To coordinate by telephone, follow these guidelines:

Guideline	Description
Minor actions	Use the telephone to gain concurrence on minor actions involving a few players.
Major actions	Avoid using the telephone to gain concurrence on major actions. If you can't wait, ensure the office follows up with written confirmation.
Number of people	If dealing with dozens of people, call only the major players *inside* the action. Contact the rest by e-mail.
Concurrence and non-concurrence	When calling for a concurrence, tell the other party who's nonconcurred and why. When an office calls *you* for a concurrence, always ask who's nonconcurred and why. Maybe they're asking you to accept a flawed proposal. You're entitled to the whole story.

Decision Paper

Introduction This map describes the purpose and structure of a decision paper. (**NOTE:** Ensure you consult your local command, organization, directorate, or unit Standard Operating Procedures (SOP) for their specific requirements for staffing documents.)

Definition

A decision paper is a one-page transmittal document that requests a decision maker to approve a proposed action. It's also a vehicle for providing requested information. The paper summarizes the background of an action and the staffing results (concurrence and nonconcurrence).

Purpose

A decision paper serves a two-fold purpose:

Time saver. Since it's short and precise (one page), it enables a decision maker to review and approve an action quickly, without wading through a stack of paper.

A means of control: It is a control document for routing an action to offices for concurrence and comments. It's also an official record of approved or disapproved actions.

No standard format

A decision paper has no standard format or title. For example, it may be a local form titled, "Transmittal, Action, and Control," or "Summary Sheet."

Internal coordination

A decision paper is intended for internal coordination only. For external coordination (outside your headquarters), use an official memorandum or letter to transmit an action and obtain concurrence and comments.

Packaging

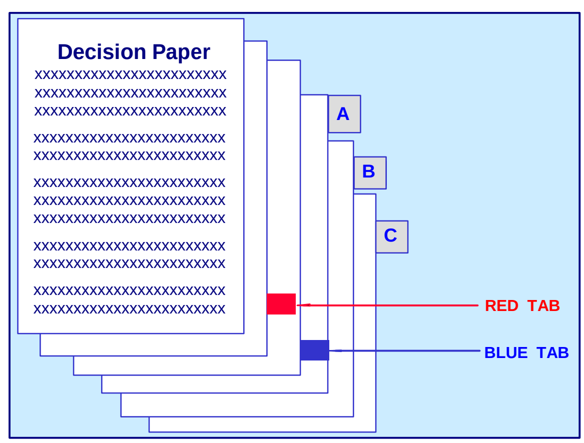
Typical decision paper with supporting tabs. For specific guidance, check local SOP.

Red TAB—document for signature.

Blue TAB—document originating the action (tasker).

Other TABS—supporting documents.

Last TAB—nonconcurring statements and their considerations.



For easy spotting, some organizations color the first two TABS.

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Decision Paper, Continued

Example This is a simplified example of a decision paper. Formats vary across organizations. Besides the information appearing below, a typical format includes blocks for routing instructions, control number, suspense date, action officer's name, and the like.[1]

DECISION PAPER

1. PURPOSE: In one precise sentence state what you want the decision maker to do or what requested information you're providing. Also cite the tasker originating the action. In the examples below, the tasker is at the BLUE TAB.

Examples:

Item for signature: "CG sign memorandum (RED TAB) to MG White approving proposed Ranger Training Program (BLUE TAB)."

Item for approval: "CofS approve publication of revised FM 108-44, *Arctic Peacekeeping Operations* (RED TAB)."

Item of information: "Update DCG on status of Transition 21 Initiative (Information Paper at RED TAB).

2. BACKGROUND:
– Briefly describe the situation requiring a decision, and explain why you chose the recommendation you did.
– If you need more space for details, put them in a TAB.
– Capitalize the word, TAB and explain each one in the order mentioned.

3. RESOURCE IMPACT: Always include, even if this entry is "None."

4. COORDINATION: Examples of coordination shown below. If coordination isn't required, then state, "Coordination not required."

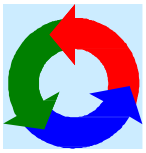
OFFICE	NAME	CONCUR	NONCONCUR	DATE
Dir, PMD	Ms. Betty Bottomline	*BB*		15 Dec XX
Dir, SMT	Col Nate Naysayer		*NN*	16 Dec XX
Dir, RM	Col Sid Adell	*SA*		17 Dec XX
Ch, PA&E	LTC Wes Righter	*WP*		18 Dec XX

5. CONSIDERATION OF NONCONCURRENCE: Attach consideration statement to the nonconcurrence(s) at the last TAB.

Approved:________ Disapproved:_________ See me:_________

Coordinating an Action

Introduction



This map explains how to gain concurrence on a decision paper and other actions through a three-phased process of coordination:
– Initial coordination
– Analysis of responses
– Final coordination.

Initial coordination

The initial coordination phase consists of these steps:

Step	Action	Description
1	Coordinate internally	Before sending the action outside, coordinate it within your office and headquarters first.
2	Name players	Determine who should chop on the action—any office with an interest. If you've touched base with players from the beginning, this step should be easy.
3	Set sequence	If you have time and the action involves only a few players, determine who should see the action first. Protocol and egos may determine sequence. When the influential sign up early, others tend to fall in line.
4	Send it out	If you have time and the action involves only a few players, hand-carry it from office to office. Otherwise, send the action to everyone simultaneously if – it involves many players – sequence isn't important, or – there's not enough time to route it in sequence.

Internal coordination

Try to coordinate the action with your office and headquarters staff before sending it elsewhere. This gives you a chance to settle internal disagreements before dealing with outsiders. Moreover, an action fully coordinated internally should have more credence if the headquarters staff has scrutinized it first.

Simultaneous coordination

Though it's preferable to coordinate internally first, time and other constraints may force you to staff an action with everyone simultaneously. This is the reality in today's staff environment. However, you can make it easier by posting the action on a website and obtaining concurrence and comments through e-mail.

Continued on next page

Coordinating an Action, Continued

When there's little time

If you don't have time to coordinate with everyone, take these steps:

Step	Action
1	Coordinate with those opposing the action.
2	Bypass those who would probably concur.
3	Quickly touch base with bypassed parties. Express regrets, explain the action, and give them a copy.[2]

Signatures

You may have routed several copies of the decision paper for coordination. The decision maker doesn't need to see original signatures or initials on each copy. Simply consolidate input on the copy of the decision paper sent forward and file the original signed copies.

Analysis

Review the responses and make corrections or adopt suggestions. If everyone concurs and comments don't require major revision, polish-up the draft and send it forward for approval. However, offices may respond with negative comments or nonconcurrences requiring major changes. You may have to revise the draft and send it out again.

Final coordination

Decision briefing. After analysis, revision, and resolution of nonconcurrences, package the decision paper and send it forward for approval. If the paper concerns a major action, assume you'll brief it, not simply send it forward. When the decision is announced, start following up immediately.

Add on's. A decision maker may issue new guidance or add new tasks to your recommendation. You may need to gather the players quickly to discuss the decision and then write a memorandum for record (MFR).

Hotwash

Conduct a hotwash. Immediately after a decision briefing or important meeting, action officers meet to discuss the outcome and follow-on tasks. Use this forum to confirm understanding of requirements, assign tasks, and coordinate details.

When to conduct. A major action is usually briefed to the decision maker, with the involved players present. An opportune time to conduct the hotwash is immediately after the briefing, while events are still fresh in everyone's mind.

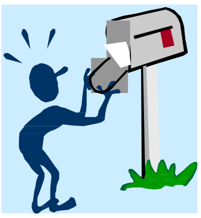
MFR. To capture what took place in the hotwash and note those responsible for follow-up actions, write an MFR, especially when working a complex action with short timelines.

Types of Responses

Introduction

This map describes types of responses to a proposed action.

Concur



When you coordinate a decision paper or any other action, respondents may
– concur without comment
– concur and add positive comments or suggestions for consideration
– concur but add negative comments, or
– nonconcur (but they must explain why).

Note: If an office concurs but adds negative comments, the concurrence still stands. However, give those comments serious thought.

No conditions

An office may try to set conditions for concurrence. Treat this as a nonconcurrence. Concurrence with comment is allowed only to provide additional information, not to set conditions.

To avoid this situation, work with the other party before they submit their formal comments. If you can work things out, they may be able to concur fully without comment. If not, they'll still have the option of nonconcurring.

Assuming concurrence

Even after prodding, some offices won't respond. You won't usually face this problem within your headquarters or subordinate commands but may when working with outsiders. When dealing with a large number of outsiders, consider putting this caveat in the cover memorandum:

> "If we receive no response, we will assume your office concurs."

Before using this caveat, check with your boss first. To avoid non responses, send the action only to those interested in or affected by the proposed action. Also nudge those laggards whose input you need.

Caution

Assuming concurrence doesn't relieve you of the responsibility to staff the action. If an important player doesn't respond, it's best to double-check before making assumptions. When forwarding the action for approval, be sure to explain the circumstances surrounding the non response.

Nonconcur

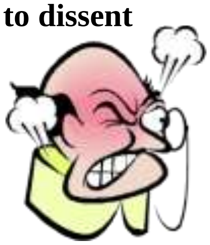
Don't expect everyone to concur. If they nonconcur, however, they must explain why in a statement of nonconcurrence.

Responding to Nonconcurrences

Introduction

This map explains how to resolve or respond to nonconcurrences.

Responding to dissent



Considering opposing views may avoid a hurdle when the action goes forward for decision. Submitting a flawed proposal, filled with nonconcurrences, will reflect more on you than on those who nonconcurred. Welcome honest dissent.

Tough questions from devils' advocates can
– raise ethical concerns
– contribute new information
– provide new insights to old information
– challenge a proposal's validity
– suggest creative solutions
– counteract special pleading, and
– disclose hidden agendas.

Negotiating

Before sending a nonconcurrence forward, try to negotiate through reasoning and persuasion. This may convince someone who objects but doesn't want to make an issue of it. Make concessions that won't change the action's substance but will satisfy the opposing party.

Consideration of nonconcurrence

If unable to resolve a nonconcurrence, prepare a *Consideration of Nonconcurrence* in an MFR format.

For the exact format, access AR 25-50 at U.S. Army Publishing Agency: http://www.usapa.army.mil

OFFICE SYMBOL (MARKS NUMBER)

MEMORANDUM FOR RECORD

SUBJECT: CONSIDERATION OF NONCONCURRENCE

1. If an office nonconcurs with a proposal and you can't resolve it, write a consideration of nonconcurrence. This statement helps the decision maker decide.

2. In the first sentence, recount your attempt to seek resolution:

"I have personally discussed this matter with Colonel Naysayer, and we cannot reach agreement."

3. Respond to each point and offer rebuttal.

4. Discuss all nonconcurrences on one MFR.

5. Send a copy furnished to each nonconcurring office.

6. Ensure the originating office chief signs the MFR.

7. Place the MFR as the last tab to the staff action.

Sid Adell
COL, GS
Director

CF:
Xxxxxxxxxxxx

Section B—Control Techniques

Overview

In this section This section offers techniques for controlling an action while coordinating it.

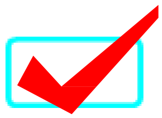
Topic
Maintaining Control
Backup Copies
Suspense Dates

Maintaining Control

Introduction

This map suggests ways to control an action when working it through the system.

SOP/Checklist



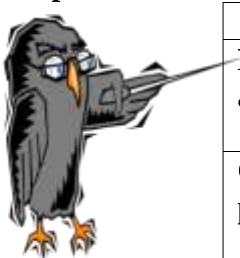
Use an SOP or checklist to keep track of details. Using these tools avoids having to relearn procedures for recurring tasks. However, don't rely totally on SOPs or checklists. They can limit flexibility and imagination, by locking you into a single course of action.

Timing

To avoid major revisions at the last minute, give people time to respond. Then they can review the action thoroughly and provide quality responses. A fair margin of time also allows you to review their responses thoroughly.

If not given enough time, they'll give lip service to the action and concur only to meet the requirement. A superficial review of an important issue may lead to a bad decision.

Tips



To maintain control of the action, follow these tips:

Tip	Description
Hand-carry actions	If you have time, personally deliver actions to the people who will review them. Explain the action and tactfully mention the suspense date.
Go to the right people	Ensure the person has authority to chop on the action. If you get an unauthorized signature, you'll only have to go back to get the right one.
Give a *heads up*	When sending out an action, alert the recipients. Always know where your action is.
Follow up	Follow up with a visit, e-mail, or telephone call.
Don't assume	Don't assume people will automatically respond to an action on or before the suspense date.
Keep the original copy clean	When staffing a final draft, don't circulate or allow people to write on the original copy.
Conduct a hotwash and write an MFR	To maintain momentum after a major action is approved and especially after a decision briefing, conduct a hotwash and write an MFR to confirm events and taskings.

Backup Copies

Introduction

Has this ever happened to you?

Necessity

Obviously we should keep complete records, but you probably know of times when someone
– destroyed or lost the record copy
– changed the record copy without telling you
– asked you to revise the original document, but you couldn't find it
– told you to write another paper similar to the original. But you forgot what you wrote and didn't have a backup copy or disk to remind you.

Pearl Harbor file

Keep backup copies of actions and notes to protect yourself when working contentious actions or *nonstarters*. When things go wrong because they didn't listen to you, your *Pearl Harbor file* will back you up.[3]

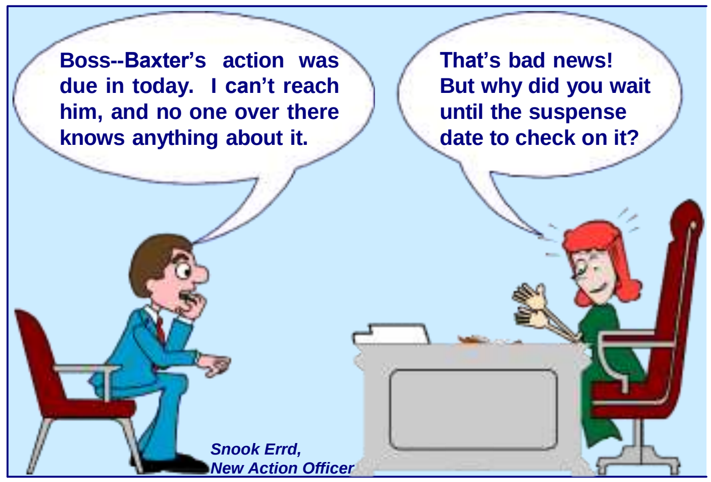
Suspense Dates

Introduction

This map explains how to manage suspense dates.

Importance

<u>Suspense dates</u> are deadlines one both assigns and responds to. Bosses judge you, fairly or not, on ability to manage deadlines. <u>Don't</u> let this happen to you!



Assigning

Assigning a suspense date is easy; getting people to react is more challenging. Always monitor actions due in and nudge the laggards. If they don't respond, your boss is likely to blame you, not them. If you suspect an office might not reply on time, call several days ahead to remind them of the requirement.

Caution

Since you don't have authority to impose a suspense date on a higher headquarters or outside agency, tactfully encourage them to respond:

> *We're trying to get responses in by the tenth; if you can get it back by then, I'd really appreciate it.*

Extensions

If you need more time, ask for it right away; you're more likely to get it. If the action has an external suspense, determine if the external office will extend the time. Do this before requesting an extension from your headquarters. Provide an interim response with an estimated time of when you'll complete the action.

Challenging

You have a right to challenge unreasonably short suspense dates, especially on low-priority actions. Someone may be trying to clear his desk before going on vacation or may have sat on the action and is trying to compensate for the delay. If this happens, you or your boss should ask for a restart of the suspense clock.

Section C—Back Matter

Overview

In this section This section contains commonly recurring topics found in each lesson.

Topic
Endnotes
Summary

Endnotes

Endnotes

To write this lesson, we drew from these sources:

[1] ATTP 5-0.1 Commander and Staff Guide.

[2] Perry M. Smith (Major General, USAF, Ret.), *Assignment: Pentagon: The Insider's Guide to the Potomac Puzzle Palace*, 2nd ed. (Washington, DC: Brassey's [US], 1993) 26-27.

[3] Smith 70.

Summary

Key points This table summarizes key points of the lesson.

Topic	Summary
Objectives	– Use various means to coordinate an action. – Prepare a decision paper. – Coordinate an action through all its phases. – Prepare a *Consideration of Nonconcurrence*. – Apply techniques to control an action.
Definition: Coordination	Coordination is a systematic way of communicating, the integrating function in management, the lubricant of a smooth running operation.
Purpose	Purpose of coordination is to acquire and provide information; ensure complete and coherent action; avoid conflict and duplications, uncover blind spots.
Information sources	Increase ability to coordinate by studying various documents and interacting with people. Become aware of habitual relationships.
Means of coordination	Use face-to-face visits, meetings, and interviews, telephone calls, and e-mail. *Coordinating* or *staffing* is the process of seeking concurrence and comments on an action. When they agree to support an action, an office concurs or chops on it.
Decision paper	A decision paper is a transmittal document that requests a decision maker to make a decision. Decision paper formats vary across organizations. Used for <u>internal</u> coordination only. Tabs contain supporting documents to decision paper: <u>First tab</u>: Action you want approved <u>Second tab</u>: The tasker <u>Other tabs</u>: Supporting documents <u>Last tab</u>: Statements of nonconcurrence and considerations. When citing TABs in a decision paper, write them in capital letters.
Coordinating an action	Try to coordinate actions with your office and headquarters first. However, constraints may force you to staff an action with everyone simultaneously. <u>Hotwash</u>. Immediately after a decision briefing or important meeting, action officers meet to discuss the outcome and follow-on tasks.

Continued on next page

Summary, Continued

Key points (continued)

Topic	Summary
Types of responses	When respondents review a proposal, they may – concur without comment – concur, add positive comments – concur, add negative comments, or – nonconcur. An office may concur but try to set conditions for concurrence. Treat this as a nonconcurrence.
Responding to non-concurrences	<u>Don't</u> expect everyone to concur—your plan could be unworkable. Others may suggest a better way. Submitting a flawed proposal will reflect more on you than on those who nonconcurred. Before sending an action forward, try to negotiate differences through reasoning and persuasion. Make concessions that won't change the action's substance. If unable to resolve a nonconcurrence, prepare a *Consideration of Nonconcurrence*. Rebut nonconcurrence in a concise, logical argument. Give a copy of statement to nonconcurring parties.
Maintaining control	Use to keep track of details. Avoids having to relearn procedures. <u>Don't</u> rely totally on SOPs or checklists—can limit imagination. <u>Timing</u>. To avoid major revisions at the last minute, give people time to respond. <u>Tips</u> – Hand-carry actions. – Go to the right people. – Give a *heads up.* – <u>Don't</u> assume they'll reply on or before the suspense date. – Keep the original copy clean. – After a decision briefing, conduct a hotwash and write an MFR.
Backup copies	Keep backup copies of actions and store in your Pearl Harbor file.
Suspense dates	– Bosses judge your competence on ability to manage deadlines. – If they don't respond, boss is likely to blame you, not them. – When awaiting a response, <u>don't</u> wait until it's due to check. – Call the office several days ahead to check. If you need more time to meet a suspense, don't wait; contact tasking authority right away.

Lesson 5—Military Briefings

Overview

Introduction

This lesson outlines procedures for preparing and delivering military briefings. (**NOTE:** Ensure you consult your local command, organization, directorate, or unit Standard Operating Procedures (SOP) for their specific requirements for briefing requirements.)

Rationale

We informally exchange information every day, but much of it is unstructured, opinionated, or imprecise. In a military setting, when the occasion calls for more rigorous means to impart information, we use formal briefings. They're an ideal way to inform busy decision makers, who need information and recommendations presented in rapid but complete form.

Objectives

– Describe characteristics of military briefings.
– Identify four types of military briefings.
– Describe four methods of presentation.
– Recognize characteristics of a properly constructed slide.
– Describe rehearsal and delivery techniques.
– Field and answer questions.
– Take follow-up actions.

Continued on next page

Overview, Continued

In this lesson

This lesson contains four sections:

Section A: Types of Military Briefings

Topic
Characteristics
Types
Information Briefing Formats
Decision Briefing Formats

Section B: Preparation

Topic
Overview
Briefing Checklist
Preparation Steps
Slides
Constructing Slides (Color and Graphics)
Constructing Slides (Text)

Section C: Presentation

Topic
Overview
Methods of Presentation
Rehearsals
First Impressions
Delivery
Showing Slides
Fielding Questions
Answering Questions
Closing

Section D: Back Matter

Topic
Overview
Summary

Section A—Types of Military Briefings

Characteristics

Introduction This map describes characteristics of military briefings. (**NOTE:** Ensure you consult your local command, organization, directorate, or unit Standard Operating Procedures (SOP) for their specific requirements for briefing requirements.)

Rationale Commanders and staffs at all levels use briefings to communicate in a precise way, exercise control, and save time. Briefings enable decision makers to get questions answered, make decisions, and ensure coordinated action.

Criteria Unlike speeches or debates, briefings are usually straightforward presentations.

Criteria	Description
Unembellished	Avoid – overly dramatic statements – emotional gestures – hyperbole – anecdotes, or – jokes.
Concise	Avoid – gimmicks or attention getters – lengthy introductions – convoluted explanations, or – comprehensive summaries.
Objective	Avoid – emotional appeals – unsolicited opinions – questions (but you may ask clarifying questions) – arguments – special pleading – pride of authorship.
Businesslike	Act businesslike but relaxed and enthusiastic. Present all pertinent facts and all sides of the issue. A biased presentation is unethical and inexcusable.

Clarification We don't suggest briefings are stodgy affairs. They can be spirited, colorful, and well-choreographed presentations. At times, a dramatic statement or humorous remark may be appropriate. While briefers don't tell jokes, they do engage in humorous exchanges and repartee, especially in closely knit organizations.

Types

Introduction

This map briefly describes four types of military briefings. They share common features but each is distinct.
– Information briefing
– Mission briefing
– Staff briefing
– Decision briefing.

Information briefing

Purpose is to inform the listener and gain his understanding. It deals primarily with facts. Except for a concluding statement, the information briefing doesn't feature conclusions or recommendations. Nor does it require a decision.

An information briefing may address
– high priority news requiring immediate attention
– complex data outlined in plans and charts, or
– controversial information requiring elaboration.

Foundation

The information briefing is the foundation of all briefings. The ability to present essential facts objectively without drawing conclusions develops mental discipline. Mastery of this skill will later help you draw sound conclusions and prepare solid recommendations. You'll need these skills when preparing a more difficult presentation, such as a decision briefing.

Mission briefing

A mission briefing is an information briefing presented under tactical or operational conditions. Usually, one officer (commander or S3) will use orders, maps, overlays, or a sand table to explain the operation.

Purpose is to
– issue or elaborate on an warning order or operation order
– instill a general appreciation of a mission
– review critical points of a imminent military operation, and
– ensure participants know
  -- the mission's objective
  -- problems they may confront, and
  -- ways to overcome them.

Continued on next page

Types, Continued

Mission briefing format

The mission briefing usually follows the sequence of the five-paragraph operation order:

1. Situation
2. Mission
3. Execution
4. Service Support
5. Command and Signal.

For more information on the contents of an operation order, see ADP 5-0 Staff Operations or ATTP 5-0.1 Commander and Staff Guide.

Staff briefing

A <u>staff briefing</u> is a forum for the staff and command group. The chief of staff or executive officer usually presides.

Purpose is to
– exchange information among the staff
– update the command group on status of projects
– answer questions raised from previous briefings
– discuss matters requiring coordination
– announce or clarify decisions
– assign taskings and provide guidance.

Exception

A <u>staff briefing</u> isn't normally a forum to settle issues or present decisions for approval. Staffers usually discuss these matters before or after they meet. The command group, however, may use information that flows in a staff briefing to make decisions on the spot.

Staff briefing format

Staff briefings have no standard formats. Complexity of information, background of the audience, and local preferences will influence format. Because staff members frequently interact on a common set of issues, these briefings tend to be informal and collegial.

Decision briefing

Purpose is to obtain a decision. A decision briefing represents an action officer's analysis of a problem and proposed solution. The degree of formality varies with the level of command and the decision maker's knowledge of the subject.

<u>Format</u>. The decision briefing usually follows the sequence outlined in a decision paper.

Information Briefing Formats

Introduction

This map suggests a three-phased format for an information briefing: (Background, Body, Close).

Background

Greeting:	If not introduced, state your name and organization.
Classification:	Announce briefing's classification, but only if it's classified.
Purpose:	Tell audience: "this is an information briefing." Give a short overview of what you're briefing and why.
Procedure:	Summarize major points and approach to the presentation. If the briefing includes a demonstration or tour, explain procedure.

Body

Major points:	Discuss in logical sequence.
Transitions:	Use transition statements as you move through topics.
Summaries:	Summarize periodically if providing extensive information.

Close

Statement:	Recap main points and end with a short concluding statement.
Questions:	Invite questions.
Example:	"Sir, this concludes my briefing; have you any questions?"
Next speaker:	Announce the name and organization of the next speaker.

Alternate formats

Consider using these informal, alternate formats in information briefings.

Descriptive Approach:
What is it?
What does it do?
How does it do it?

Events Approach:
What happened?
Why did it happen?

Progress Report:
What was planned?
So what?
What was accomplished?
What's next?

Decision Briefing Formats

Introduction

This map suggests a three-phased format for a decision briefing (Background, Body, Close).

Background

Greeting:	If not introduced, state your name and organization
Classification:	Announce briefing's classification, but only if it's classified.
Purpose:	Example: "General Lee, this is a decision briefing. Purpose is to secure approval of the proposed Transformation Plan."
Problem:	State the problem—the way things are.
Recommendation:	State recommendation. If the decision maker knows the problem and is ready to decide, the briefing could end here.

Body

Criteria:	List standards used in forming the recommendation.
Assumptions:	List assumptions made to bridge gaps in factual data.
Constraints:	Identify limiting conditions that can't be changed.
Alternatives:	Lay out alternatives—ways that might solve the problem.
Comparison:	– Quickly discuss pro and cons of alternatives. – Display a decision matrix if it will clarify the issue. – Recap nonconcurrences and considerations of them.
Recommendation:	Restate recommendation in words that simply require approval or disapproval.
Follow up:	Explain what must occur to implement the decision.

Close

Statement:	Make a concluding statement and ask for questions.
Decision:	If no decision is given, ask for one: "General Grant, may we have your decision?" Explain why it's needed now.
Next speaker:	Announce the name and organization of the next speaker.

Alternate format

If the decision maker knows the problem well, you could limit the briefing to
– a statement of the problem
– essential background, and
– a recommended solution.

Section B—Preparation

Overview

In this section

This section describes steps to take when preparing a briefing and provides instructions for constructing slides.

Topic
Briefing Checklist
Preparation Steps
Slides
Constructing Slides (Color and Graphics)
Constructing Slides (Text)

Briefing Checklist

Introduction This map provides a checklist for preparing a briefing. Preparation steps are discussed in detail on the next map.

Details Preparation involves many details, none of which you can let slide. If you don't do it right the first time, you won't likely get a chance to do it over. If your action is important or has high visibility, assume you'll have to brief it. Use local SOP and a checklist to keep track of details:

	Item	Notes
	Type of briefing	
	Date, time, place	
	Audience background	
	Protocol requirements	
	Contentious issues	
	Likely questions to arise	
	Method of presentation	
	Rehearsal dates	
	Read-aheads	
	Pre-briefs	
	Handouts	
	Slides	
	Coordination	
	Facilities and equipment	
	Refreshments	
	Follow-up actions	

Preparation Steps

Introduction

This map describes steps to take when preparing a briefing.

Audience

When assigned a briefing, ask
– who is my audience?
– what do they want?
– how much do they know about the subject?
– what is their background?
– what is their position on contentious issues to be raised?
– what are their hidden agendas?

Get this information from audience members, if possible. If not, get it from your information network or staffers who work with the people involved.

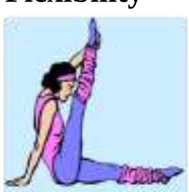
Briefing outsiders

If briefing outsiders unfamiliar with the subject, adjust the presentation to their level of understanding, limit scope and detail of the subject, and avoid jargon.

Time

To estimate the time required to present the briefing,
– rehearse
– request a block of time from the tasking authority (may have to negotiate)
– adjust presentation to the time allotted
– prepare a condensed version, should your time get cut at the last minute.

Flexibility



Because officials often run behind schedule, your decision briefing could get cut from thirty minutes to five. If that happens, just show three slides and give the official a hard copy of the full briefing:
– Statement of the problem
– Recommendation
– Alternatives considered.

Rules of thumb

When estimating how much time you'll need, follow these rules of thumb:
– Allow about two minutes for presentation of each slide.
– Remember, the higher the rank of the audience, the shorter the briefing.
– When briefing a general officer or SES, expect no more than thirty minutes.
– Allow about 20 percent of allotted time for interruptions and questions.

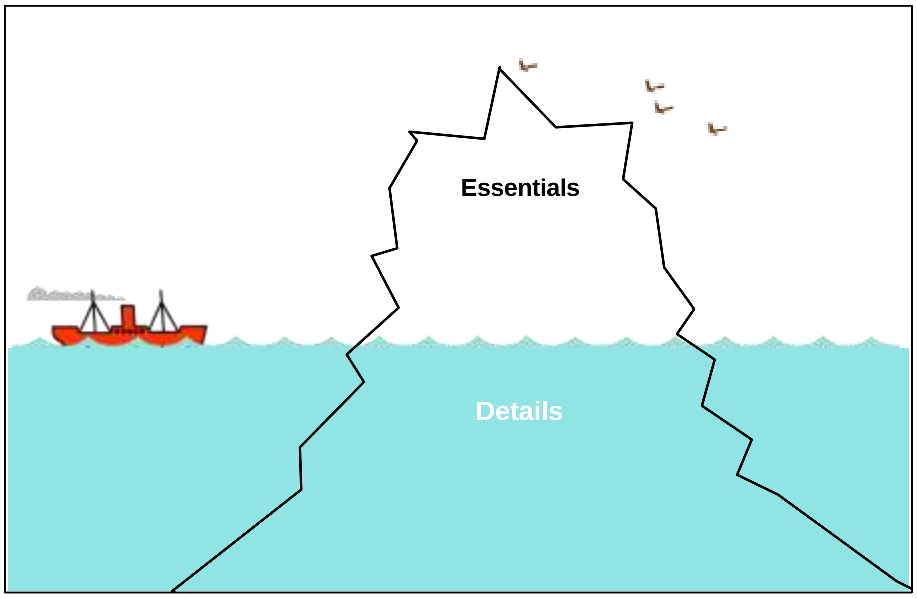
Continued on next page

Preparation Steps, Continued

Main points

Since you'll usually have more information than time, focus on the main points and ways to present them. You're only going to tell the audience what they need to know—not all that you know or how you feel about the topic. If they want more they'll ask for it. In a decision paper you put details in the tabs; in a briefing put details in backup slides or handouts.

Limit briefing content to the tip of the iceberg.



Pre-brief

As with any action affecting others (especially decision briefings), *prebrief* the major players—it's part of good staff work. Don't wait until the briefing to "surprise" everyone. Also provide *readahead* information to other players.

Advantages:
The announced decision merely ratifies what people had expected all along.
Keeping players informed helps make the briefing *brief* because there's less need to discuss the subject extensively in the briefing arena.

Coordination

If your briefing is one of several presentations, coordinate with other briefers whose information may relate to yours. Otherwise, you risk duplication or contradiction of information. This could cause confusion or lead to heated discussion.

Slides

Introduction

This map is the first of three that describe how to construct slides properly.

Advantages

Properly constructed slides
– increase retention
– simplify presentation of complex data
– help the speaker to remember the main points, and
– contribute to a professional image.

Bad example

What’s wrong with this slide?

USING SLIDES EFFECTIVELY

WORDS AND GRAPHICS SHOULD BE BIG ENOUGH FOR ALL TO SEE. THE SLIDE SHOULD BE UNCLUTTERED. THAT IS, THERE SHOULD BE PLENTY OF WHITE SPACE. THIS MAKES IT EASIER TO READ. A SLIDE SHOWING TEXT SHOULD HAVE ABOUT SIX LINES AVERAGING ABOUT SIX WORDS PER LINE. THE TEXT SHOULD APPEAR IN MOSTLY LOWERCASE LETTERS BECAUSE LOWERCASE LETTERING IS EASIER TO READ THAN ALL CAPITAL LETTERS. THE TEXT SHOULD BE LEFT JUSTIFIED BECAUSE IT’S EASIER TO READ. IN FACT THAT’S HOW WE LEARNED TO READ. THE TEXT WILL ALSO BE EASIER TO READ AND BE READ MORE QUICKLY IF EACH LINE IS STRUCTURED WITH PARALLEL WORDS AND PHRASES. THE FONT SHOULD BE SAN SERIF. THIS TYPE OF FONT HAS NO EMBELLISHMENT, AND THE SAME FONT SHOULD BE USED ON ALL SLIDES.

Minimum content

To be understood quickly, slides must have minimum content and ample *white space*. Slides will only confuse viewers if what they see is dense text in capital letters, ornate fonts, overwhelming colors, and irrelevant graphics.

Less is more

A slide should not be self-explanatory. If it is, it probably has too much information. It should not stand alone for your audience’s interpretation. You (not the slide) will be telling them what you want them to know. Text should appear in topic outline form. A slide’s value lies in its simplicity (less is more).

No busy slides

In a fast-paced briefing, decision makers don’t have time to fathom a busy slide. Whether designed for a briefing or written report, no slide should be so elaborate that it becomes an end in itself and obscures the message.

Constructing Slides (Color and Graphics)

Introduction This map explains how to format color and graphics on a slide.

Color

<u>Combinations</u>. Use harmoniously. Avoid red/green or blue/red combinations, which irritate the eyes or may be indistinguishable to some viewers.

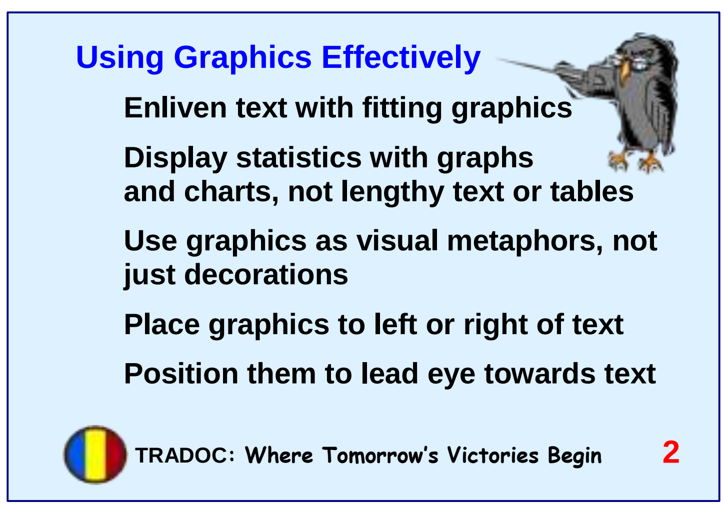
<u>Bright colors</u>. Use for small visual elements difficult to see, like lines.

<u>Contrast</u>. Dark colored text and graphics on light background. Light colored text and graphics on dark background.

Graphics

<u>Suitability</u>. Use artwork suitable to your subject.

<u>Placement</u>. Place graphics off center. Centering them makes the view less interesting and leaves less room for text.



Constructing Slides (Text)

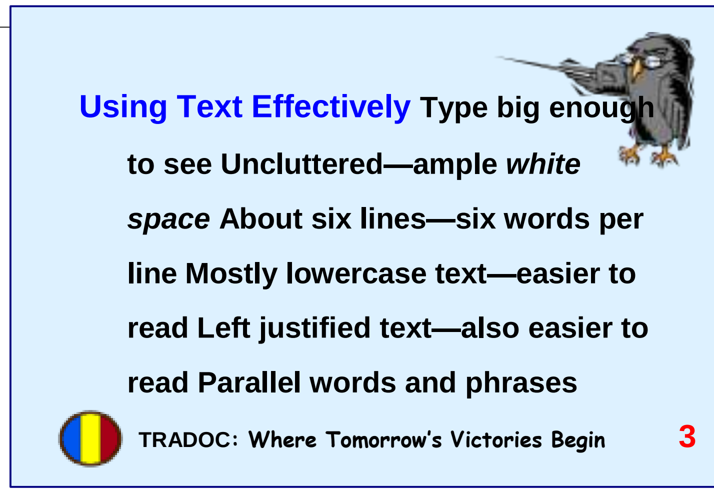
Introduction

This map explains how to format text on a slide.

Formatting text on a slide

Don't jam too much information onto a slide. The more text added, the smaller it must become and the less legible it gets. Limit text to just a few words in outline form. Your audience will be more receptive to what you have to *say* than what you require them to *read*.

These two slides summarize how text should appear.



<u>Bullets</u> should be sized in proportion to the text, neither too small nor too large. If too large, they overwhelm the text they support. If too small, they lose their emphasis.

<u>Fonts</u>. Apparently, text projected on a screen is easier to read in a *san serif* font such as Arial. The text on the slides shown here is in this font.

A *san serif* font has a plain, unembellished appearance.

A *serif* font, however, has flourishes. The text you're now reading is written in Times New Roman, a *serif* font.

<u>Numbering</u> slides makes it easier for the audience to refer to them when raising questions.

Section C—Presentation

Overview

In this section This section explains how to present a briefing.

Topic
Methods of Presentation
Rehearsals
First Impressions
Delivery
Showing Slides
Fielding Questions
Answering Questions
Closing

Methods of Presentation

Introduction

Depending on experience and speaking ability, you have four ways to make an oral presentation:
– Speak impromptu
– Read from a script
– Speak from memory
– Speak extemporaneously.

Speak impromptu

With no preparation or rehearsal, the speaker delivers a complete, well-organized presentation on the spot. Only gifted and experienced speakers can effectively present impromptu briefings.

Read from a script

The speaker reads aloud from a script, word for word:

<u>Advantages</u>:
– Ensures important information won't be omitted
– Imparts exact definitions and precise phrasing, if these are important
– Compensates for lack of preparation and rehearsal time
– Can make a presentation without being completely informed on the subject
– Can be incorporated into a *canned* briefing that anyone can present.

<u>Disadvantages</u>:
– Unless you're a talented speaker, reading words aloud sounds dull. Words may look good on paper but may not sound good when read aloud.

– If the audience thinks you're parroting words you know nothing about, you could stand to lose credibility. They'll feel insulted if you read something they could have just as well read themselves.

Speak from memory

The speaker recites a memorized presentation. This can sound stilted, and it is risky—could lose memory in the middle of a presentation. However, to build confidence and control nervousness it's a good idea to memorize the
– outline of the presentation
– opening statement, and
– closing statement.

Continued on next page

Methods of Presentation, Continued

Speak extemporaneously

One speaks from an outline and notes as cues (no script, no memorization). This results in a fresh and original presentation, which captures the vigor of the spoken word.

The preferred way

Speaking extemporaneously is the preferred way to brief and far better than reading a script or memorizing.

However, it requires
– well-developed speaking skills
– subject-matter expertise
– thorough preparation
– rehearsals, and
– frequent presentation.

Steps

To prepare an extemporaneous presentation, follow these steps:

Step	Action
1	Prepare a written outline of remarks.
2	Orally draft remarks into a tape recorder.
3	Write a script from the playback tape.
4	Polish the draft script.
5	Reduce the script to outline form.
6	Use both script and outline to write phrases on cards.
7	Rehearse to learn which words flow smoothest. Afterwards, a glance at notes will be all you need to jog your memory.

Simple language

Whichever method of presentation chosen, use simple language the audience will readily understand.

Rehearsals

Introduction

This map explains how to rehearse a briefing.

Necessity

Professional performers always rehearse before the show goes on.

Rehearsals
– refine your presentation in a less-threatening, informal environment
– build self-confidence, which helps to control nervousness
– provide feedback from a live audience. Without feedback, a speaker will stumble blindly into a presentation and wonder what went wrong.

Mental rehearsal

Mentally rehearse to
– visualize how you should look and sound to the audience
– define the main points
– organize remarks, and
– develop visual aids.

Live rehearsals

Best insights come from reviews of a live audience. Get some good listeners, but give them only enough background to clarify your intent. Your audience could be peers at work or a family member at home.

Rehearse at least twice: first time to find mistakes in content or delivery and the second time to fix mistakes and refine presentation. Try to do "dress rehearsals." Use the same visual aids, equipment, and location you'll use in the actual briefing.

Critics

Critics can challenge your presentation and reveal how you sound, look, and move—all part of showmanship. Critics should
– play the role of a real audience but hold comments until you finish
– use a checklist to note content and delivery
– time your presentation.

Tip: Taping rehearsals (audio or audio-visual) provides excellent feedback; you hear or see yourself as you are and can confirm critics' comments.

Rehearsal time

Since rehearsals tend to go faster than the actual briefing, they should run shorter than the allotted time.

Continued on next page

Rehearsals, Continued

Slides

When rehearsing, verify that you have the right number of slides to cover the scope of the briefing in the allotted time. If you have too many, you won't finish; if you have two few, you may not be able to convey your message.

After rehearsing the main presentation, run through your backup slides. In the actual briefing, the decision maker may ask you to show them, and you want to be prepared.

Source: Perry M. Smith (MG, USAF, Ret.), *Assignment: Pentagon: The Insider's Guide to the Potomac Puzzle Palace,* 2nd ed. (Washington, DC: Brassey's [US], 1993) 187-191.

Final check

A few days before the briefing, use a checklist to note things that must be available and in working order. Early on the day of the briefing, double check:

– Projector plus spare bulbs
– Extension cords
– Acoustics
– Lighting and ventilation
– Name placards
– Seating arrangements.

Failure to check

If you fail to make a final check, this is what can happen. If you don't do it right the first time, you may not be asked to do it again.

First Impressions

Introduction

This map explains the importance of making a good first impression.

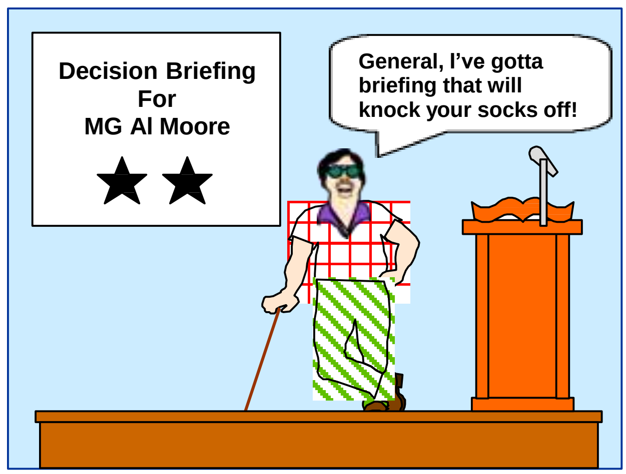
First twenty seconds

During the first twenty seconds everyone in the room will form an opinion about you. First impressions are lasting. Before you open your mouth, people will start to judge you. Some will look for chinks in your armor.

They'll appraise your entry, appearance, and even the quality of your first slide. They'll look for signs to confirm their first impressions, rather than reasons to change them. After looking you over, they'll listen to your first words and use them to judge your credibility.

Bad impression

Don't make this kind of first impression. Obviously, you must be properly dressed, well groomed, and use respectful language.



Believability

While decision makers are influenced by the merits of the briefing, they're also influenced by your delivery. A convincing stage presence makes you believable. If they believe in you, they'll tend believe in what you show and tell them.

No apologies

<u>Never</u> begin by apologizing because you didn't have time to prepare or don't know much about the subject. Apologizing
– makes you look irresponsible
– ruins credibility, and
– builds resentment.

Delivery

Introduction

This map identifies pitfalls and suggests ways to deliver a smooth briefing.

Body language

Body language can be more important than spoken words and visual aids. It can make or break a presentation. Good body language makes words ring with meaning; poor body language weakens them, no matter how eloquently spoken.

To use body language to advantage, follow these rules:

Don't	Do
stand rigidly.	stand erect but relaxed.
sway from side to side or rock from heel to toe.	stand erect but relaxed.
slouch or lean on the podium.	maintain upright posture.
exaggerate gestures.	use normal gestures to make a point.
click on a ballpoint pen or play with change in your pocket.	keep hands free to make normal gestures.
frown.	smile.

No crutches

Avoid using annoying filler words or noises during pauses in your speech. This betrays a lack of confidence or the inability to articulate. Thorough preparation, rehearsals, and feedback should rid you of these crutches.

Examples:
– *Uuh, um, er*
– *You know*
– *Right?*
– *OK?*

No rising intonation

If we wish to voice uncertainty or ask a question, we raise the pitch of our voice at the end of a sentence or phrase. Linguists refer to this as rising intonation. However, some people habitually speak with this interrogative lilt in their voice. They make everything they say sound either uncertain or like a series of questions, whether they intend that or not.

This annoying manner of speaking confuses the listener, who's left unsure of the speaker's intent. It also leaves the impression that the speaker lacks confidence. This uncertain tone has no place in a military briefing or in any kind of serious dialogue.

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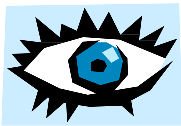
Delivery, Continued

Eye contact



Eye contact forms a momentary bond between two people. It conveys interest, trust, and feelings. Right or wrong, people consider it a sign of fear or dishonesty if you can't look them in the eye.

Make momentary eye contact with everyone in the audience but focus on the decision maker and other principals present. However, if briefing a large audience in a large auditorium, it's impossible to make eye contact with everyone. Instead, look at small groups of people spread throughout.

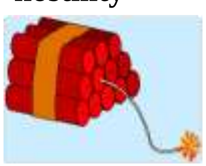
Audience reaction

Expect various audience reactions, from warm acceptance to outright rejection. Some officials will quietly tolerate slips, while others will unmercifully attack you. If attacked, keep cool; don't complain or *explain*.

<u>Complaining</u> betrays an inability to do anything about the situation.

<u>Explaining</u> won't impress detractors and isn't necessary with friends. If asked, then explain; but don't volunteer explanations to a hostile audience.

Defusing hostility



When encountering hostile remarks or questions, don’t answer in kind or engage in a heated exchange. Simply acknowledge the remark and move to your next point. If the remark merits a reply, couch it in milder words:

<u>Example of a hostile remark</u>: “That’s the dumbest thing I ever heard of.”

<u>Example of a reply</u>: "We know you're concerned about the plan's feasibility and will show you the safeguards built into it."

<u>Tip</u>: If you expect hostility, be sure to have subject matter experts present and someone in authority to assist in your defense if attacked.

Interruptions and questions

If briefing a contentious subject, you can expect plenty of interruptions and questions. In some situations, the audience is asked to hold questions and comments until the end of the presentation. Exceptions may be made for the senior members present.

Showing Slides

Tips

To show slides properly, follow these tips:

Don't	Do
disrupt the presentation by fumbling with slides.	practice handling slides and gauging time needed to read them. Also use an assistant to flip slides.
walk in front of the screen and block the audience's view.	stand aside and give the audience a clear view of the screen.
use slides to cover <u>minor</u> points.	use slides to cover <u>major</u> points only.
cover several topics on one slide	cover but one main topic on a slide.
present statistics <u>without</u> slides.	present statistics <u>with</u> slides.
clutter the slide with subtopics	keep subtopics to a minimum
cover a major point without a slide	use a slide to present a major point
change slides too quickly.	give the audience time to read slides.
read the slide to the audience.	read the slide silently or watch to see if the audience has finished reading. paraphrase main points for emphasis.
show a complicated slide and give a complicated explanation of it.	make the slide simple and fill it out with your words.
use slides as gimmicks or crutches.	show only necessary slides.
speak too long about the contents of one slide—you'll lose the audience.	use several slides to discuss a lengthy topic—keeps the audience alert.
leave projector on with blank screen.	turn off projector or use a cover slide.

Using the pointer

To use the pointer properly, follow these rules:

Don't	Do
– talk at the screen – use your fingers or head as a pointer – wave the pointer like a sword – jab it or point it at the audience – slap it on the screen or easel – lean on it, or – hold it throughout the presentation.	– anticipate your need for a pointer and have one available – stand aside and use a pointer to refer to an item on the screen – put the pointer down when finished.

Fielding Questions

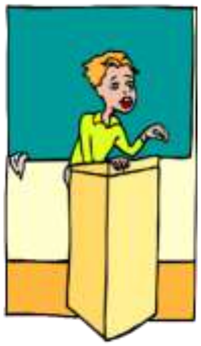
Introduction	This map explains how to field questions.
Rationale	Questions let you discuss points you didn't have room for in the briefing and indicate how well you're communicating.
Fielding	To field questions, follow these guidelines:

Anticipate	Use rehearsals to anticipate likely questions and prepare answers.
Be courteous	Be courteous—there are no dumb questions. When senior officials ask questions, don't patronize them with classroom-type rejoinders such as "I'm glad you asked that question" or "That's a good question."
Listen and look	Listen carefully and establish eye contact with the questioner and the audience. Don't appear overly anxious to answer by bobbing your head or making other restless gestures.
Minimize interruptions	If someone interrupts with a question, answer briefly and continue—keep the briefing on track.
Defer questions	If a question concerns a point you'll cover later, defer it. When reaching that point in your briefing, refer to the earlier question and answer it.
Clarify the question	If you don't understand the question, ask for clarification or rephrase it to confirm understanding.
No questions	Don't ask questions—only to clarify those from the audience.

Answering Questions

Introduction This map explains how to answer questions during a briefing.

Answering To answer questions, follow these guidelines:



Short	Keep answers short and simple.
Candor	If stumped by a question, admit it and offer to find the answer.
Pauses	Avoid quick *party line* answers; instead, pause to show you've given some thought to the question.
Restraint	Answer the question but don’t talk beyond it. People who talk too much fall into the trap of saying things they can't back up.
Repeating questions	Sometimes you may repeat a question so the audience can hear it. In this situation, always repeat a positive question, but <u>never</u> repeat a hostile question. Instead, rephrase it in milder terms. Likewise, never repeat an inaccurate question, but correct the error before responding. Otherwise, you may later be misquoted.
Expertise	If you're not an expert in the subject being briefed, bring one along to answer questions beyond your expertise.

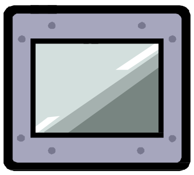
Effective answers To make your answers effective, use
– professional and personal experience
– quotations from experts
– facts and comparisons
– bridging responses that get you back to the subject.

Closing

Introduction

This map discusses how to close a decision briefing and take follow-up actions.

Last slide



Make your last slide a summary of the decision and its implementing tasks. To confirm understanding, point to it when discussing the decision and its implications. Otherwise, you may miss a critical point and the final decision may be flawed.

Source: Perry M. Smith (MG, USAF, Ret.), *Assignment: Pentagon: The Insider's Guide to the Potomac Puzzle Palace*, 2nd ed. (Washington, DC: Brassey's [US], 1993) 188.

Closing statement

Don't end with a lengthy summary or a strong dramatic statement, as these are inappropriate for military briefings. To close, use a short pointed statement. Don't be bashful—you're there to get a decision, so ask for it:
"General Grant, may we have your decision?"

If you don't understand the decision, ask for clarification immediately.

Early decisions

Before you've finished, the decision maker may announce the decision. If that happens, simply note the decision, end the briefing, and start following up. Don't talk past the decision.

Follow up

Follow up immediately or the decision may quickly lose impact. Until it's implemented, it simply remains as a good intention. To capture what occurred and note those responsible for follow-up actions, conduct a *hotwash* and prepare a memorandum for record (MFR). (Review Lesson 4, *Coordinating an Action*.)

MFR

To prepare an MFR, follow these guidelines:

Guideline	Description
Record events	Record what took place and those responsible for tasks.
Clarify discussion	If there's doubt about the decision maker's intent or a need for further discussion, meet with action officer attendees to clarify who said what. Prepare a draft MFR and submit it for approval or correction.
Distribute copies	Distribute copies of the final MFR to interested parties. They need not comment unless they disagree. If they do, work it out. If they don't, the MFR stands.

Section D—Back Matter

Overview

In this section This section contains commonly recurring topics found in each lesson.

Topic
Summary

Summary

Key points This table summarizes key points of the lesson.

<table>
<tr><th>Topic</th><th>Summary</th></tr>
<tr><td>Objectives</td><td>– Describe characteristics of military briefings.
– Identify four types of military briefings.
– Describe four methods of presentation.
– Recognize characteristics of a properly constructed slide.
– Describe rehearsal and delivery techniques.
– Field and answer questions.
– Take follow-up actions.</td></tr>
<tr><td>Characteristics</td><td>– Unembellished
– Concise
– Objective
– Businesslike.

Briefings are used to communicate in a precise way, exercise control, and save time. Decision makers can get answers, make decisions, and coordinate.</td></tr>
<tr><td>Types</td><td><table>
<tr><th>Types</th><th>Purpose</th></tr>
<tr><td>Information</td><td>Present information</td></tr>
<tr><td>Mission</td><td>Brief an operation order</td></tr>
<tr><td>Staff</td><td>Exchange information</td></tr>
<tr><td>Decision.</td><td>Arrive at a decision.</td></tr>
</table>
Information briefing is the foundation of all briefings.</td></tr>
<tr><td>Briefing checklist</td><td>Take care of details. If you don't do it right the first time, you won't likely get a chance to do it over. Use a checklist.</td></tr>
<tr><td>Preparation steps</td><td>– Analyze audience—who are they and what do they want?
– Estimate time required and adjust presentation to time allotted.
– Prepare condensed version in case time gets cut at the last minute.
– Focus on main points and put details in backup slides.
– Tell what they need to know, <u>not</u> what you know or feel.
– Prebrief and coordinate.</td></tr>
<tr><td>Slides</td><td>Should have minimal content and ample white space. Should not be self-explanatory. Text should appear in topic outline form.</td></tr>
<tr><td>Constructing slides (color and graphics)</td><td><u>Color</u>
– Use to emphasize key points
– Same color scheme throughout
– Limit choice to 3 or 4 colors
– Avoid red/green, blue/red
– Use bright colors sparingly
– Maintain contrast among text, graphics, and background.

<u>Graphics</u>
– Display statistics with graphics
– Use as visual metaphors
– Place to left or right of text
– Lead eye towards text.</td></tr>
</table>

Continued on next page

Summary, Continued

Key points (continued)

Topic	Summary
Constructing slides (text)	– Type big enough to see – Uncluttered—*white space* – Six lines—six words per line – Mostly lowercase text – Left justified text – Parallel words and phrases – San Serif font (ex: Arial) – Same fonts on all slides – Bullets, not numbers – Headings, key words colored.
Methods of presentation	<u>Impromptu</u>. speak on-the-spot with little or no preparation. <u>Script</u>. Read aloud from prepared script. <u>Memory</u>. Recite a memorized presentation. <u>Extemporaneous</u>. Speak from outline and notes—preferred way.
Rehearsals	– First time to find mistakes in content or delivery. – Second time to fix mistakes and refine presentation. – Check things that must be available and in working order.
First impressions	First twenty seconds everyone will form an opinion about you. Will look for signs to confirm their first impressions, rather than reasons to change them.
Delivery	– Proper body language more important than words or visual aids. – Don’t use speech crutches or misuse rising intonation. – Make eye contact with the audience but focus on decision maker. – If attacked, keep cool. Don't complain or explain. – Don’t reply to hostile remarks or questions in kind.
Showing slides	<u>Don’t</u> – fumble with slides – use slides to cover minor points – talk at the screen. <u>Do</u> – practice handling slides – use slides to cover major points – use a pointer.
Fielding questions	– Rehearse likely questions. – Maintain eye contact. – Clarify question if required. – Minimize interruptions. – Defer questions covered later. – Don't ask questions.
Answering questions	– Keep answers short and simple. – If stumped by a question, admit it and offer to find the answer. – Don't give quick replies. – Answer the question but don’t go beyond it. – If not an expert, bring one along to answer questions.
Closing	– Remember to ask for the decision. – Use a summary slide to show decision's implementing tasks. – If you get a decision before you've finished briefing, note the decision, end the briefing, and start follow-up actions. – After the briefing, conduct a *hotwash* and prepare an MFR.

Lesson 6—Professional Ethics

Overview

Introduction

This lesson treats various aspects of professional ethics, including Army core values and ways to model ethical behavior.

Rationale

To manage events and lead people, one must set and uphold high standards of moral conduct based on a code of ethics.

Objectives

– Explain why our Army emphasizes certain values.
– Define Army core values and professional qualities.
– Describe ethical responsibilities of Army members.
– Recognize unethical behavior and correct it.
– Apply criteria to ethical decisions.

Soldier

We use the term *soldier* to refer to all military members, regardless of rank.

In this lesson

This lesson contains two sections:

Section A: Ethics and Values

Topic
Ethics
Values
Army Values
Ethical Responsibilities
Code of Ethics for Government Service
Threats to Core Values
Protecting Core Values
Pressure to Produce Results
Ethical Decision Making
Standards of Conduct

Section B: Back Matter

Topic
Overview
Summary
References

Section A—Ethics and Values
Ethics

Introduction

This map explains why our Army embraces a code of ethics.

Code of ethics

Institutions and professions survive because their members are expected to uphold high standards based on a code of ethics. That's why we trust bankers with our money and doctors with our lives. The Army as an institution is likewise expected to uphold high standards and abide by an ethical code.

Definition

Ethics is a body of moral principles that set standards of behavior. These standards reflect shared values expressed in a code of ethics that members of a profession or organization agree to uphold.

Impact: Our Army embraces a code of ethics, whose impact is even greater than ethical codes of other institutions. The consequences of unethical behavior in a military setting can be much graver than elsewhere.

Example

A clerk in an auto parts firm pilfers stock and covers shortages with phony inventory counts. Though harm occurs, it isn't life threatening, and the firm can recover its losses from insurance. Were this to occur at an Army depot during war, it could endanger troops on the battlefield and threaten national security.

Necessity

Everyone should act ethically, especially members of our Army. The American people have entrusted us with its blood and treasure to uphold the Constitution and defend our way of life. This charge demands no less than the worthiest values and the highest standards.

Why is our Army a disciplined and robust force? Because its members, soldiers and DA civilians alike, share common values and uphold high standards. Though demanding, these standards are reasonable and attainable.

Trust

One who holds a position of authority or responsibility holds a position of trust. Senior leaders
– expect you to possess high moral character
– rely on your integrity
– often base decisions on your word, and
– don't have time to doubt or double check, nor should they have to.

Values

Introduction

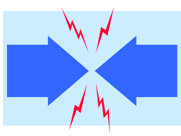
This map explains how values form the foundation of one's behavior.

Definition

Values are
– beliefs about the worth of people, ideas, or things
– the driving force behind behavior, and
– the source of one's priorities: what one puts first or avoids most.

Example:
People who work hard and sacrifice to save hold different values than those who shun work and squander what money they have.

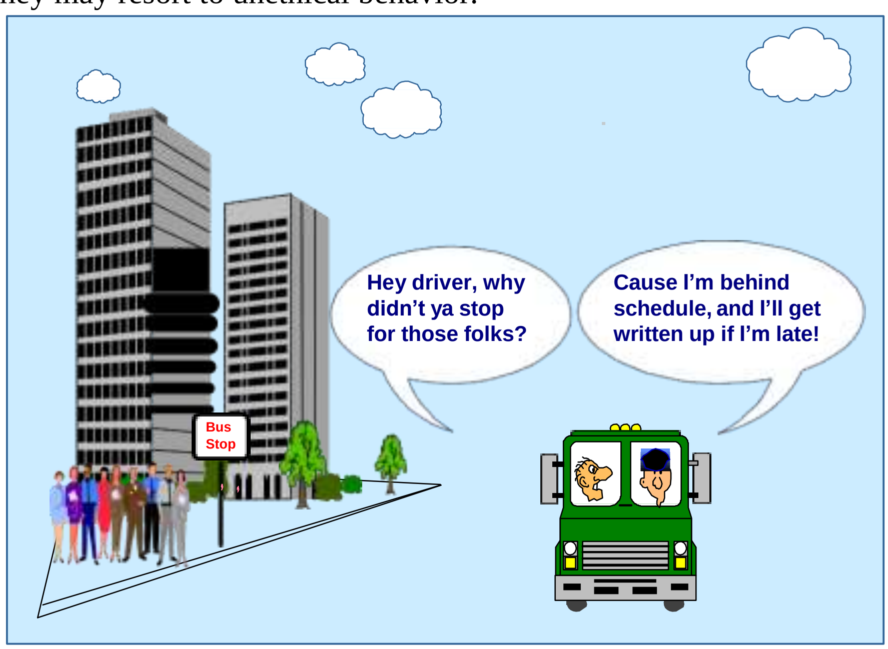
Conflict



People hold two sets of values: personal values and professional or organization values. Often both sets cohere, but not always. If personal and professional values work in harmony, the organization is likely to maintain high ethical standards. If they conflict, ethical dilemmas arise.

Example

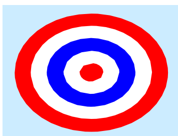
An organization advocates service to customers yet punishes employees who can't meet vague or unrealistic standards. To cope with this pressure and protect themselves, they may resort to unethical behavior.



Amy Values

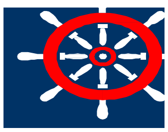
Introduction This map defines the seven core values that our Army embraces.

Core values



Core values are those an organization adopts to achieve its purpose and ensure its survival. They're so vital, that conduct which threatens or erodes them is considered unethical and a threat to the organization's ultimate survival. When Army core values are ingrained, they promote mutual confidence among Army members and merit the special trust and confidence of our nation.

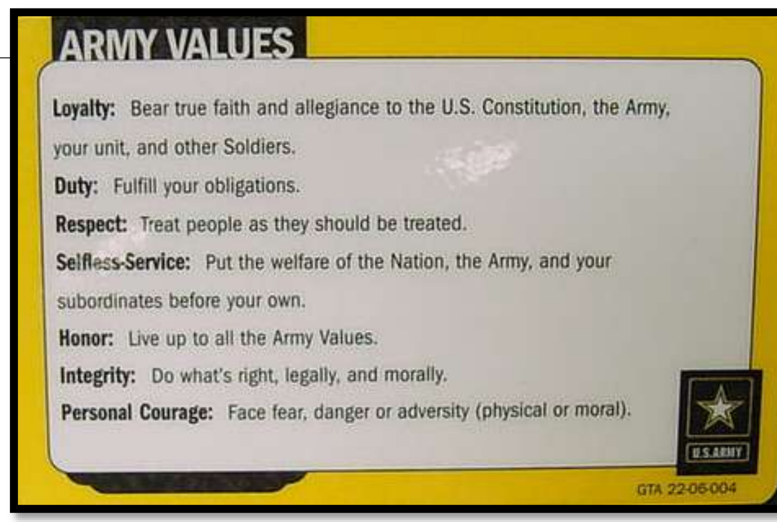
Army core values



Core values that guide us on a clear path and sustain our Army:

– Loyalty
– Duty
– Respect
– Selfless Service
– Honor
– Integrity
– Personal Courage.

LDRSHIP When displayed in specific order, these values form the acronym, "LDRSHIP" (pronounced as "Leadership"). Here's what these Army core values mean:



ARMY VALUES

Loyalty: Bear true faith and allegiance to the U.S. Constitution, the Army, your unit, and other Soldiers.

Duty: Fulfill your obligations.

Respect: Treat people as they should be treated.

Selfless-Service: Put the welfare of the Nation, the Army, and your subordinates before your own.

Honor: Live up to all the Army Values.

Integrity: Do what's right, legally, and morally.

Personal Courage: Face fear, danger or adversity (physical or moral).

U.S. ARMY

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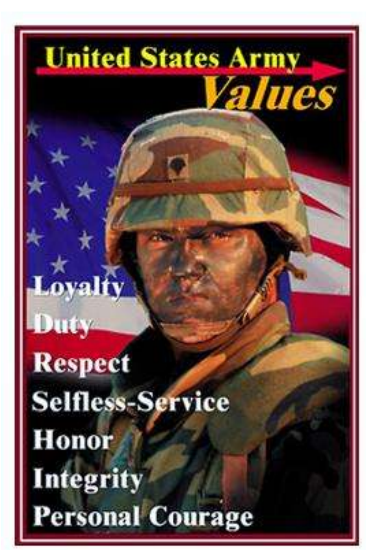


Necessity Soldiers imbued with these values fight with unyielding will. It takes nothing less to defend our way of life and win on the battlefield. These values apply to soldiers and DA civilians of all ranks and grades serving in our Army.

Ethical Responsibilities

Introduction

This map discusses the ethical responsibilities of leaders and followers and suggests ways to model ethical behavior in either role.

Leaders and followers

Whether leader or follower, we model ethical behavior in either role.

Leaders:
– define and affirm core values
– provide clarity, and
– act as standard bearers.

Followers:
– embrace core values
– ask for direction when uncertain, and
– meet standards.

Visibility

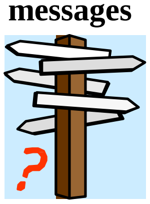
Ethical behavior goes with leadership. To lead effectively, one must visibly uphold high standards. You're always on display, and they're always watching. Aware of it or not, you set an example, especially for subordinates, younger peers, new arrivals, customers, and the public.

Behavior is believable

People quickly notice shortcomings. They observe and judge you by what you choose to confront, reward, or ignore. They judge you least by what you say. Your behavior is the most believable thing about you. Sir Adrian Cadbury notes:

> Our ethics are expressed in our actions, which is why they are usually clearer to others than to ourselves.[2]

No mixed messages



Be consistent in actions and always send clear messages. Otherwise you'll confuse people. They may react unethically to meet your expectations.

To send clear messages,
– avoid actions you can't justify
– admit mistakes and correct them
– use past successes to guide actions
– stand by your good decisions
– give people time to respond, and
– act responsibly.[3]

Influence

Influence others by advocating ethical standards:
– Build teamwork by promoting shared values.
– Help others make ethical decisions.
– Display the *Code of Ethics for Government Service* poster at your work site.

Code of Ethics for Government Service

Introduction This is the code of ethics for federal employees:

CODE OF ETHICS FOR GOVERNMENT SERVICE (DOD 5500.7-R)

A*ny* person in Government service should

Put loyalty to the highest moral principles and to country above loyalty to persons, party or Government department.

Uphold the Constitution, laws, and regulations of the United States and of all governments therein and never be a party to their evasion.

Give a full day's labor for a full day's pay; giving earnest effort and best thought to the performance of duties.

Seek to find and employ more efficient and economical ways of getting tasks accomplished.

Never discriminate unfairly by the dispensing of special favors or privileges to anyone, whether for remuneration or not, and never accept, for himself or herself or for family members, favors or benefits under circumstances which might be construed by reasonable persons as influencing the performance of governmental duties.

Make no private promises of any kind binding upon the duties of office, since a Government employee has no private word which can be binding on public duty.

Engage in no business with the Government, either directly or indirectly, which is inconsistent with the conscientious performance of governmental duties.

Never use any information gained confidentially in the performance of governmental duties as a means of making private profit.

Expose corruption wherever discovered.

Uphold these principles, ever conscious that public office is a public trust.

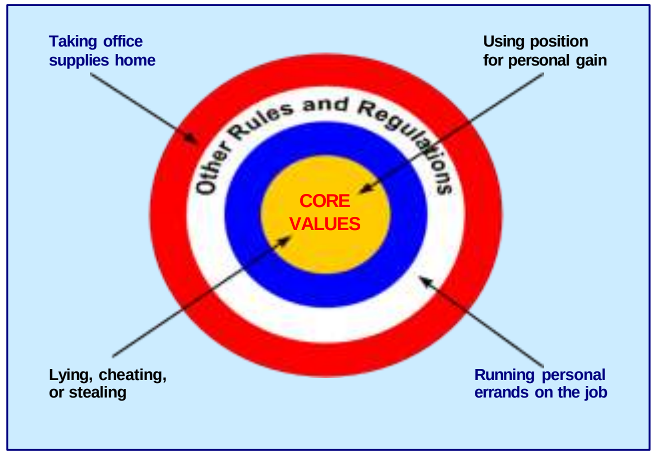
Threats to Core Values

Introduction

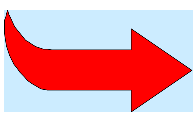
This map explains how minor ethical violations can threaten core values.

Threats

This graphic depicts four unethical acts that violate regulations. Two acts are serious and threaten the organization's core values. Though minor, the other two remain a potential threat.



Bending rules



Nobody's perfect—sometimes we bend rules or abuse privilege. We may also be guilty of petty acts of dishonesty or minor breaches of conduct. But just because they're petty doesn't make them right. Besides, these acts are dangerous because they can easily escalate or become the norm.

Escalation: Petty thieves move from stealing software to stealing computers. As small violations spread they erode core values, corrupt the organization, and ultimately destroy it.

Bad rules

Another threat to core values is casual disregard of obsolete or unenforceable rules. We shouldn't do something dumb because of them, but that's only part of the answer. Bad rules invite contempt for authority and casual treatment of all rules: the bad drives out the good. The remedy lies not in ignoring bad rules but in eliminating them.

Rationalizing

Normally ethical people may resort to rationalizations to justify bad judgment or slips from their personal standards. This can also threaten core values.

Examples of rationalizations:
– Thought it was OK and wouldn't harm anyone.
– Did what was best, and *they* would expect nothing less.
– They wouldn't know the difference and would never catch me anyway.
– Was helping the organization and felt they would gratefully back me up.[4]

Protecting Core Values

Introduction

This map describes ways to protect core values.

Perspective

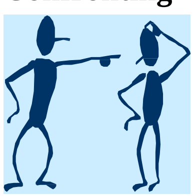
The best way to protect core values is to behave ethically in all situations. However, this requires judgment, perspective, and risk. For example, we could discourage people from stealing office supplies by subjecting them to search and interrogation.

A more sensible approach would be to set standards and visibly uphold them. Most people obey rules if leaders affirm them and set the example. If leaders don't act as standard bearers, unethical behavior will pervade the organization.

Moral authority

Besides formal authority, one can also exert moral authority to influence others and make a difference. Whether leader or follower, build your own pocket of excellence through ethical behavior. This sets an example, especially among peers and younger members. They may be uncertain and looking for guidance.

Confronting



Subordinates. Use your formal and moral authority to confront subordinates who violate ethical standards. Remember! Ignoring unethical behavior is tantamount to condoning it.

Peers. Use moral authority to influence peers. Maybe all they need is a tactful reminder of the standards. You may not succeed, but at least you will have
– brought the issue to the surface
– affirmed your standards, and
– avoided the unethical choice of doing nothing.

Superiors and outsiders. Don't directly confront these folks. Instead, seek guidance from the Ethics Counselor, Legal Officer, or Inspector General.
If you fear reprisal, request anonymity.

Pressure to Produce Results

Introduction

This map explains how pressure to produce results can cause unethical behavior.

Sources

People may feel pressured to produce certain results, which stems from
– false assumptions about what's expected
– vague or conflicting organizational goals
– mixed signals implying approval—noncommittal response to a serious question
– unstated preferences of superiors—slight nod of one's head, a closed door.

Slogans and exhortations

Some leaders exert pressure through slogans or exhortations to do the impossible.

– *Can do!*	– *Do more with less*
– *Zero defects*	– *Make it happen*
– *There's no excuse for failure*	– *I don't care how you do it; just get it done!*

Pressures and reactions

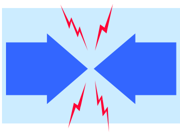
If goaded with slogans or exhortations to accomplish impossible goals, people may react by using unethical means to meet them or to protect themselves.[5]

Ethical Decision Making

Introduction This map describes the ethical decision-making process.

Skill Making ethical decisions is easy when issues are simple and right choices are clear. We make those decisions almost out-of-hand. However, solving tough ethical problems requires much more skill.

Dilemmas

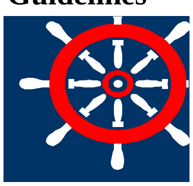


Despite pressure to act unethically, you usually know in your heart what's right. Still, you may face situations where the right choice is unclear. For instance, you may be torn between loyalty to a friend and loyalty to our nation. This is an ethical dilemma, and it occurs when two or more deeply held values clash.

Attributes When facing an ethical dilemma make the choice that seeks the highest moral good. This requires such attributes as intelligence and experience. However, these are grounded in the most critical attribute of all—character:

> The manager who lacks . . . character—no matter how likable, helpful, or amiable, no matter even how competent or brilliant—is a menace and should be adjudged 'unfit to be a manager'…
> —*Peter F. Drucker*[6]

Guidelines



When facing an ethical dilemma, follow these guidelines:

Guideline	Description
Laws, orders, and regulations	Formal standards defined in laws and regulations to guide behavior and decisions
Basic national values	Established in the Constitution, Declaration of Independence, and American tradition
Traditional Army values	Army core values established as standards for all soldiers and Army civilians
Organizational values	Often the same as Army core values but not always. When actual practices conflict with core values, unethical behavior usually results
Personal values	Sum of attitudes and beliefs forming your character and influencing your actions
Institutional pressures	Internal and external policies and official and unofficial pressures influencing behavior.

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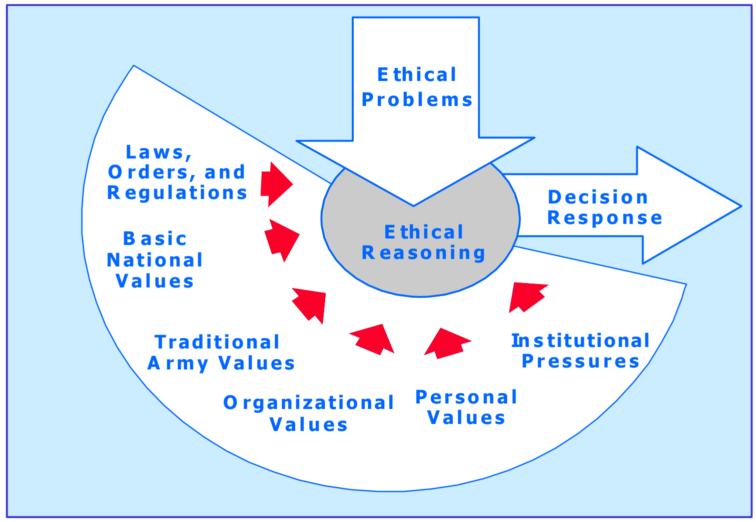
Ethical Decision Making, Continued

Decision model

Ethical guidelines displayed as a decision model.[7]



Questions

When weighing a decision with ethical implications, ask these type questions:

Impact:
Could this matter jeopardize national security or our troops' safety on the battlefield?

Public trust:
Were this matter made public, could I proudly defend it, or would it violate the nation's trust?

Example:
What would happen to our Army if everyone followed my example?

Personal gain:
Is this a matter of ill-gotten gain?

Prudence:
Can I justify my action as one a prudent person would take in similar circumstances?

Compromise

Although not desirable, compromise is acceptable in decisions without ethical impacts. Constraints force us to accept less than ideal solutions. However, don't compromise integrity on decisions with serious ethical dimensions; you'll make a bad decision.

Standards of Conduct

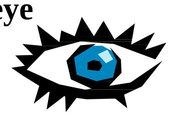
Introduction

This map discusses standards of conduct defined in DoD Directive 5500.7-R, *Joint Ethics Regulation (JER)* and procedures for reporting violations.

Caution

This lesson briefly treats some aspects of professional ethics; it doesn't discuss specific conduct prohibited by regulations. If you handle funds, travel, or deal with contractors, check the JER. Otherwise, you may unwittingly violate standards.

The public eye



In public service the mere appearance of wrongdoing invites suspicion. Though your actions may be both legal and ethical, outsiders may perceive them differently. Actions considered acceptable elsewhere invite censure if they occur in the government workplace.

Examples

Examples of violations of the JER:
– Accepting unauthorized gifts
– Entering into an unauthorized contract
– Writing specifications to favor one vendor over another
– Providing insider information to a contractor.

Reporting violations

The JER provides guidance for reporting suspected incidents of fraud, waste, and abuse. Also seek assistance from the Ethics Counselor, Legal Officer, or Inspector General at your installation. These offices will protect your identity and maintain confidentiality.

DoD Hotline

You also have the option of reporting fraud, waste, and abuse anonymously to the DoD Hotline. Federal law protects you from reprisal. If the matter involves either classified or Privacy Act information, seek legal counsel first.

To contact the Hotline, use these means:

Toll free number: 1-800-424-9098

Website: Department of Defense Inspector General: http://www.dodig.osd.mil

Mail:
Defense Hotline
The Pentagon
Washington, D.C. 20301-1900

Section B—Back Matter

Overview

In this section This section contains commonly recurring topics found in each lesson.

Topic
Summary
Endnotes and References

Summary

Key points This table summarizes key points of the lesson.

Topic	Summary
Objectives	– Explain why our Army emphasizes certain values. – Define Army core values and professional qualities. – Describe ethical responsibilities of Army members. – Recognize unethical behavior and correct it. – Apply criteria to ethical decisions.
Ethics	Ethics is a body of moral principles that set standards of behavior. Standards reflect shared values members of an organization agree to uphold. Our Army embraces a code of ethics whose impact is greater than other ethical codes. Consequences of unethical behavior in a military setting can be much graver than elsewhere.
Values	<u>Values</u>: beliefs about worth of people, ideas, or things. They're the driving force behind behavior and source of one's priorities.
Army values (LDRSHIP)	Army core values that guide us on a clear path: – Loyalty – Duty – Respect – Selfless Service – Honor – Integrity – Personal Courage.
Ethical responsibilities	<u>Leaders</u> – affirm core values – provide clarity, and – act as standard bearers. <u>Followers</u> – embrace core values – ask for direction, and – meet standards. Ethical behavior goes with leadership. You set an example and are always on display. Behavior is believable. Others judge you by what you confront, reward, or ignore.
No mixed messages	Be consistent and send clear messages. Avoid unjustifiable actions. Admit mistakes and correct them. Give people time to respond. Act responsibly.

Continued on next page

Summary, Continued

Key points (continued)

Topic	Summary
Threats to core values	Bending rules, abusing privilege, and condoning petty dishonesty are threats to core values. As small violations spread they erode core values, corrupt the organization, and ultimately destroy it.
Bad rules	Disregard of obsolete or unenforceable rules invites contempt for authority and leads to casual treatment of all rules. Remedy is not to ignore bad rules but to eliminate them.
Rationalizing	People justify unethical behavior by rationalizing. <u>Examples</u>: – Thought it was OK and wouldn't harm anyone. – Did what was best for the organization, and they expected it.
Protecting core values	Behave ethically in all situations. Set standards and uphold them. Leaders must be standard bearers, or unethical behavior will pervade the organization.
Confronting	Set the example by building your own pocket of excellence. Confront unethical behavior. Report violations. Avoid the unethical choice of doing nothing.
Pressure to produce results	People may be pressured to produce results. Stems from – false assumptions about what's expected – vague or conflicting organizational goals – mixed signals implying approval, or – unstated preferences of superiors. Some leaders pressure people to act unethically through slogans or exhortations such as *do more with less* or *make it happen!*
Ethical decision making	Ethical dilemma occurs when two deeply held values clash. Make the choice that seeks the highest moral good. When facing an ethical dilemma, follow these guidelines: – Laws, orders, regulations – Personal values – Basic national values – Institutional pressures. – Traditional Army values
Standards of conduct	Check the *Joint Ethics Regulation*, or you may unwittingly violate standards. Seek guidance from the installation Ethics Counselor, Legal Officer, or Inspector General.
The public eye	Mere appearance of wrongdoing invites suspicion. Actions may be ethical, but others may see them differently. Actions acceptable elsewhere invite censure in government.
Reporting violations	Consult the JER for guidance on reporting suspected incidents of fraud, waste, or mismanagement. If you prefer anonymity, contact the Defense Hotline.

References

References

To write this lesson, we drew from these sources:

U.S. Army ADP 6-22, *Army Leadership*

Sir Adrian Cadbury, "Ethical Managers Make Their Own Rules," *Harvard Business Review* 65 (1987) 70.

Saul W. Gellerman, "Why 'good' Managers Make Bad Ethical Choices," *Harvard Business Review* 64 (1986) 88.

Peter F. Drucker, Management: *Tasks, Responsibilities, Practices* (New York: Harper & Row, 1973) 402.

JER

DoD Directive 5500.7-R, *Joint Ethics Regulation (JER).* (Defines standards of conduct in areas of contracting, conflict of interest, and gifts.)

Websites

This website offer information, guidance, and training materials on government ethics:

– United States Office of Government Ethics: http://www.usoge.gov/