

DSN 7610-66-065-9676

Notified in Trg Comd ROs for February, 1974

RESTRICTED

The information given in this document is not to be communicated, either directly or indirectly, to the Press or to any person not authorised to receive it



AUSTRALIAN ARMY

**LEADERSHIP
THEORY AND PRACTICE**

1973

RESTRICTED

RESTRICTED

I

LEADERSHIP THEORY AND PRACTICE

1973

HQ Training Command
SYDNEY NSW
21 December 1973

Prepared by Headquarters Training Command and authorized for use within the Australian Army by command of the Military Board.



(W.G. HENDERSON)
Major General
General Officer Commanding
Training Command
Delegate of the Military Board

DSN 7610-66-065-9676

Notified in Trg Comd ROs for February, 1974

RESTRICTED

CONDITIONS OF RELEASE

1. This document contains Australian Defence information. All Defence information, whether classified or not, is protected from unauthorised disclosure under the *Crimes Act 1914 (Commonwealth)*. Defence information may only be released in accordance with *SEC-MAN 4* and/or *DI(G) OPS 13-4* as appropriate.

2. When this information is supplied to Commonwealth or foreign governments, the recipient is to ensure that it will:

- a. be safeguarded under rules designed to give it the equivalent standard of security to that maintained for it by Australia;
- b. not be released to a third country without Australian consent;
- c. not be used for other than military purposes;
- d. not be divulged to a non-Defence organisation unless that organisation is sponsored and cleared by an accepted Defence organisation ('sponsoring' means giving an assurance that the organisation has a need to know for Defence purposes; 'clearing' means guaranteeing for security); and
- e. not be downgraded or declassified without Australian Government approval.

Released to:

Released by:
(Signature)

.....
(Appointment)

Date Released:

© This work is copyright. Apart from any use as permitted under the Copyright Act 1968, no part may be reproduced by any process without written permission from Doctrine Production, Force Development Group, Combined Arms Training and Development Centre, Tobruk Barracks, PUCKAPUNYAL VIC 3662.

LEADERSHIP - THEORY AND PRACTICE, 1974

Doctrine Production, Force Development Group, Combined Arms Training and Development Centre is responsible for the management and sponsorship of this pamphlet. The doctrine contained herein was approved on 21 December 1973.

AMENDMENT CERTIFICATE

1. Proposals for amendments or additions to the text of this pamphlet should be made through normal channels to the sponsor. To facilitate this, there are amendment proposal forms at the back of this publication.
2. It is certified that the amendments promulgated in the under-mentioned amendment lists have been made in this pamphlet.

<i>Amendment List</i>		<i>Amended By (Printed Name and Initials)</i>	<i>Date of Amending</i>
<i>Number</i>	<i>Date</i>		
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			

RESTRICTED
IV

DISTRIBUTION

Australian Army

Scale C

RESTRICTED

PREFACE

1. It is undeniable that an effective leader exhibits a number of qualities. What precisely these qualities are has been the source of continuing argument ever since a theory of leadership first began to be rationalized. The arguments encountered here and in other areas of leadership theory have led to the exploration of new approaches to the theory of leadership; particularly in the realm of what the leader actually does to lead. Behavioural science research has developed a 'functional' approach to leadership which highlights the importance of the interaction of the leader, the group, the situation and their environment, and not just the leader in isolation.
2. The functional leadership approach does not introduce a new method of leadership, but it provides a rational and thorough explanation of what has always happened in effective leadership. Its advantage is that it provides an analytical method by which a leader can develop his leadership skill, identify potential leadership skills in others and teach this important subject to selected subordinates.
3. Functional leadership is highlighted in this pamphlet, which is the second in a series; the first is a *Handbook on Leadership* which is for junior leaders. This second pamphlet is for use by officers, potential officers and warrant officers. It should also be helpful to instructors of leadership in that it provides background and a standard doctrine on which leadership training is to be based.
4. As officers, potential officers, warrant officers and instructors, it is your responsibility to ensure that you are familiar with the doctrine expressed in this pamphlet and that you make yourself proficient in the art of leadership.
5. The most important thing to remember is that while this pamphlet explains the theory of leadership and how to develop it, the will or desire to lead must come from within the individual.

ACKNOWLEDGEMENTS

1. The permission of J.E. Adair, M.A., B.Litt., PL.D. to use materials under his copyright is gratefully acknowledged.
2. The permission of the publishers, Sir Issac Pitman and Sons Ltd, to reprint the diagram from *The Effective Leader* by A. Adamson, is gratefully acknowledged.

RESTRICTED
VI

RESTRICTED

CONTENTS

	<i>Page</i>	
Title Page	i	
Conditions of Release	ii	
Amendment Certificate	iii	
Preface	v	
Contents	vii	
Definitions	ix	
<i>Chapter</i>	<i>Page No.</i>	<i>Para</i>
1. Introduction	1-1	
2. Environment and the Australian Soldier	2-1	
3. Human Behaviour	3-1	
The Individual		304
The Group		329
Human Relationships		347
4. Approaches to Leadership	4-1	
5. Leadership Qualities	5-1	
Desirable Leadership Qualities		503
6. Functional Leadership	6-1	
The Leader		608
The Group		610
The Functions of a Leader		630
Leadership Styles		652
7. Communication	7-1	
The Communication Process		704
Barriers to Communication		714
Communication in an Organization		731
8. Discipline	8-1	
Factors Upon Which Discipline is Based		804
Guide to Effective Discipline		823
9. Morale and Esprit de Corps	9-1	
Morale		904
Esprit de Corps		908

RESTRICTED
VIII

<i>Chapter</i>	<i>Page No.</i>	<i>Para</i>
10. Teaching Leadership Block Syllabi	10-1	1004
11. Selection and Assessment Assessment Formal Assessment Selection	11-1	1103 1123 1139
12. Guidance and Counselling Interviewing Counselling	12-1	1205 1214
13. Conclusion	13-1	

Figures

1. Relationship between Leadership and Management	1-2
2. Hierarchy of Needs	3-2
3. Factors in Personality	3-5
4. Factors in Social Interaction	3-6
5. The Process of Motivation	3-9
6. Theory of Group Needs	4-3
7. Priority of Needs	6-2
8. Functions of a Leader	6-8
9. The Communication Process	7-5

Bibliography	(I)
--------------	-----

DEFINITIONS

Command. Command is the lawful authority which an individual in the Services exerts over subordinates by virtue of his rank and posting. The exercise of command is supported by the existence of a code of military law.

Leadership. Leadership is the art of consistently influencing and directing men in tasks in such ways as to obtain their willing obedience, confidence, respect and loyal cooperation in the manner desired by the leader.

Management. A process of establishing and attaining objectives to carry out responsibilities. Management consists of those continuing actions of planning, organizing, directing, coordinating, controlling and evaluating the use of men, money, materials and facilities to accomplish missions and tasks.

RESTRICTED

X

RESTRICTED

CHAPTER 1

INTRODUCTION

General

101. The understanding of the term 'leadership' has undergone many changes throughout history. In modern times much has been spoken and written about the subject but no real agreement has been reached as to why, in a given group or situation, one man will be accepted as the leader over all others.

102. Although leadership is a complex subject the exercise of leadership is a common and natural occurrence. Throughout our society, where one man influences the behaviour of others for a purpose we see the art of leadership being exercised. It is performed in all walks of life, in all occupations and recreations. Whether he be a managing director of a large corporation, a small retail store owner, captain of a football team, a platoon commander leading his men on active service or the inconspicuous organizer behind a student demonstration; all of them are people who apply the art of leadership to achieve some objective or task.

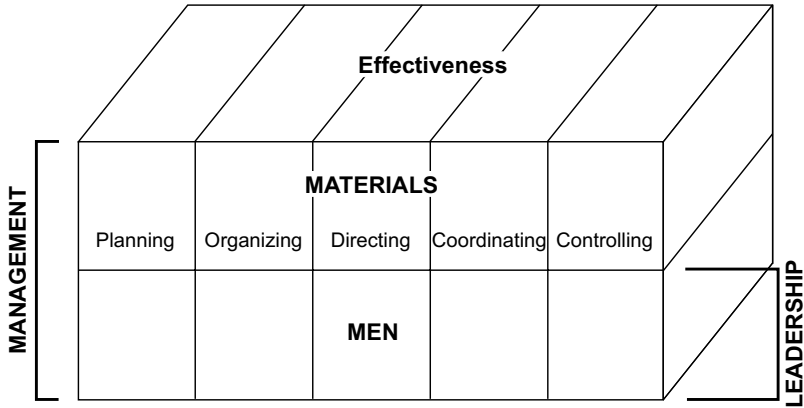
103. As organizations become more complex and as the impact of science and technology becomes more pronounced, man has turned more to the behavioural sciences to try and determine his role and place in his changing environment. The desire for enlightened leadership has made leadership an object of research.

104. Whereas, in the past, leadership was defined in terms of personal qualities or general principles, the modern approach to the training of leaders is to select the man with potential leadership qualities and put him into an environment in which he can learn and develop the skills of a leader. This method of training has been called the 'functional' approach.

Relationship Between Leadership and Management

105. The same forces for change in our environment have also caused a rapid increase in interest in all aspects of management. It is important to clearly understand the relationship between management and leadership.

106. If we accept the definition of management as 'the effective and efficient planning, organizing, directing, coordinating and control of the human and material resources available', then leadership becomes that portion of management concerned with the human resources available. This relationship is clearly shown in the diagram below.



107. While we must pay attention to the scientific development of the planning, organizing, directing and coordinating aspects of management, we must recognize that the controlling (or leadership) aspect is one which is crucial to the effective functioning of the Army and towards which we ought to bring an equally scientific approach.

Need for Professionalism

108. The officer is a professional in an occupation demanding the highest standards of conduct and performance both in peace and war. In time of peace the military leader has to strive for, achieve and maintain a high degree of excellence both in himself and his men so that during war his unit or sub-unit will perform in the manner expected of them. At all times the officer must remember that his ultimate experience, the most difficult task he can be asked to perform, is to lead his men in battle.

109. Technological developments and the associated emphasis on replacing manpower with machines makes it easy to lose sight of the fact that man is and will remain a thinking, feeling and responsive being. The effective and efficient leader will be the one who understands the relationship between man and machine and who understands the human behaviour and the motivating needs of his fellow men.

110. Unlike most other professionals, the officer is responsible for the care of his men 24 hours a day. The leader must establish such a feeling of mutual confidence between his men and himself that they will openly approach him when- ever a personal crisis occurs. By unobtrusive and informal contact between himself and his men the leader can further establish both good formal and informal communication with his men.

111. Compared to the military very few professions demand such a wide range of knowledge and such a high standard of competence in the performance of their duties. The officer must continually keep himself up to date both with new developments within the Army and with new trends outside his service. As a true professional he must be able to take his place in the community and be able to discuss issues of topical interest, such as defence and foreign policy and other contemporary issues.

112. An officer above all else must possess moral courage and a sense of responsibility and must display a high degree of loyalty and devotion to duty. He must set a high standard of personal behaviour to provide an example for his men to look to and follow.

113. No other profession demands so much from its members, is so involved with the management of men and the welfare of their families or provides such a sense of achievement at seeing a task completed to the best of the leader's and his men's ability. The officer is professional leader of men.

Need for a Leadership Pamphlet

114. For some years training establishments and schools involved in leadership training, and commanders involved in furthering a soldier's or junior officer's leadership experience have required an up-to-date publication which could assist them in the training of men and which would contain a philosophy or doctrine to standardize the method of leadership training throughout the Army.

115. As has already been mentioned, recent behavioural science research, together with the development of a practical, functional approach to teaching leadership has outdated the existing leadership training pamphlet which was based on the **qualities approach** to leadership.

Scope and Content

116. It has been realized that because of the nature of leadership training, one leadership training pamphlet, suitable for all levels of the Army, is neither practicable nor desirable. It is intended to produce a series of pamphlets to cover all levels of instruction. The first pamphlet is the *Handbook on Leadership*. This is a practical handbook, issued with the aim of giving the NCO an understanding of the nature of leadership and something to 'hang his hat on' when confronted by real life leadership situations.

117. The second pamphlet is aimed to assist the officer cadet through to major level and is entitled *Leadership - Theory and Practice*. This pamphlet has more detail on the theory, practice, teaching and assessment of leadership ability. Officers wishing to study principles of leadership, rank relationships and leadership on operations should read Chapters 7, 8 and 9 of the *Handbook on Leadership*.

118. Although these pamphlets are complete within themselves, officers are advised to broaden their knowledge of this subject and keep abreast of further developments in the behavioural sciences. To assist officers in the selection of applicable writings, a short current bibliography is included at the end of this pamphlet. Although the qualities approach to training for leadership has been replaced by the functional approach, qualities are still important particularly for the selection of leaders and thus a chapter on leadership qualities has been included in this pamphlet. Some personal accounts of successful leaders have also been included in the *Handbook on Leadership*. These accounts give valuable background to the personal side of leadership experience.

Army Structure of Command and Leadership

119. The Army organization or structure is designed for combat, or the support of forces involved in combat, or crisis situations. However, the Army structure of command, and the application of leadership by commanders and leaders, must be flexible enough to cater for both the crisis situation, where an authoritative style of leadership is called for, and also the routine peacetime situation where a more participative style of leadership may be more effective. The Army structure of command and leadership style must not be considered as inflexible but adaptable to changing situations.

CHAPTER 2

ENVIRONMENT AND THE AUSTRALIAN SOLDIER

Introduction

201. In the years since the end of the Second World War, great advances have been made in technology, the sciences and education. Previous barriers of time and distance, and lack of communication, have been reduced through the increased ability of people to travel, and rapid developments in mass media particularly radio and television.

202. Australians have traditionally been little interested in either world or local events, being content to live a quiet existence, only breaking their 'live and let live' outlook when called upon to assist their Allies in times of emergency. Today this attitude is being challenged as Australians are forced by the influence of the mass media (press, radio and television) to become more and more involved in the environment in which they live. Ignorance is diminishing and thus it is becoming more difficult to manipulate people. They are more sensitive to how they should be treated and are less willing to accept direct, unexplained orders or previously accepted traditions.

203. In this age of increasing involvement and environmental change all forms of traditional authority are being challenged, be they government, business management, university administration, police or the armed services. Authorities, particularly those with hierarchical structures, must closely examine the environment in which they operate in order to keep pace with change. Organizations must ensure that their structure, traditions, leadership styles, objectives and general mode of operation remain dynamic and tuned into changing society attitudes, values and needs.

Role of the Armed Forces

204. The role of the armed forces in western societies is to support the government they serve and assist that government to achieve its national objectives. As an instrument of government they must not become involved in politics, and they must loyally serve the government irrespective of the party in power. In particular they must not become involved in public or official criticism of the government or of policy decisions.

Involvement in Community Affairs

205. Any official policy of non-involvement in political affairs must not prevent soldiers as individuals from having personal political views. The soldier is and must be seen to be a member of the community as well as a serviceman. The leader should encourage individual participation in

community affairs. He must also remember that, whilst individuals must have freedom to express personal opinions, on no account must personal opinion be allowed to become identified as official Army attitude or policy. The leader should not stifle free expression of views.

Attitude to Defence

206. Australians, until recently, have been little interested in defence matters. Today, however, the Australian community is becoming more aware of Australia's defence role and capacity, and public discussion on defence issues is increasing. Much of the discussion on defence remains subjective and based on poor understanding of the factors involved; here the Army officer can do much in assisting to create better informed discussion of the issues involved.

207. Major wars such as World War I and World War II are unlikely to occur again. In the past Australia has relied heavily upon volunteer civilian soldiers to serve overseas. In the future, however, a major war threat may develop covertly and sufficient time to train additional volunteers may not be available. To help discourage this form of warfare in Australia's sphere of influence the Australian Army must be an efficient, well-trained force enjoying high esprit de corps. The effectiveness of the Army will depend greatly upon the standard of military leadership.

Social Status

208. The social status of the Army in Australia has never been high. In a survey of occupational status in Australia in 1963 a captain in the Regular Army was rated 18th out of 22. This low social standing is no doubt due to the public's historical suspicion of the armed forces in Australia, dating from convict settlement days, the small size of our Army and the general belief that defence is not necessary, because when a crisis arises Australians will rally to the cause. The leader has to ensure that the Army's image is projected to the community as an efficient, well-trained force tuned in to the community it serves.

Technology

209. In recent years science and technology have produced accelerating developments in the variety and number of machines available to assist man. The use of computers has increased, and given ready access to the amount of information available, and this means that better informed opinion can now be achieved. A pronounced increase in the level of education, the wide range and complexity of technological developments, and the associated increase in the use of machines to replace man in the work situation has caused man to question his role in society.

210. Man can only remain the master of technology if he remains aware of the effect of change on the environment. Although technology is rapidly changing the relationship between man and machine, a leader must keep

Note: 1. A.A. Congalton: Occupational Status in Australia, School of Sociology, University of New South Wales, 1963

in mind that man is, and will remain, the thinking, responsive and feeling being.

Education

211. The standard of education in Australia has improved greatly over the past two decades as indicated by the following table:

	<i>Sample Size</i>	<i>School Certificate</i>	<i>4th Year</i>	<i>5th Year</i>
1945	100	40	13	9
1972	100	80+	70+	35+

212. The recruit of today may have an education standard ranging from upper level primary school to matriculation, with the majority in the high school bracket. This diversity in standards means that the leader must attempt to train and motivate his less educated soldiers and at the same time satisfy the needs of the better educated.

Summary

213. The rate of accelerating technological and social change will affect all members of society. All leaders, including Army leaders, must be aware of both change and the effects of change on the individual and on the environment in which the individual operates.

214. The Army leader must encourage his men to identify with the community they serve. The image of the Army must be projected to the community as an efficient, well-trained force enjoying high esprit de corps and tuned in to community attitudes and needs.

RESTRICTED

2-4

RESTRICTED

CHAPTER 3

HUMAN BEHAVIOUR

Introduction

301. The art of influencing people is the very essence of leadership. Before we can hope to influence a person effectively we must have some idea of what influences his behaviour. Groups consist of a number of individuals who communicate with each other, have some influence on each other and hopefully, can work together. Leaders therefore must not only have some knowledge of the behaviour patterns of individuals, but also knowledge of group interaction.

302. Evidence from psychological studies has increased our understanding of individual and group behaviour in relation to leadership. This understanding allows the leader to predict and control the behaviour of his men more fully.

303. This chapter presents some of that information which, if used wisely, can be of great value to the leader.

THE INDIVIDUAL

304. All men are different, but despite these individual differences there are a number of basic factors common to all. Some of these are present at birth and are called hereditary factors. These include a person's basic physical structure, his capacity to learn and some basic features of his emotional make-up. Because he is born with these features they set certain limits beyond which experience and training will produce no further change.

305. Within those limits, however, individual characteristics do develop and they develop differently depending on the situation or environment at the time. When a man joins the Army he enters a new environment and the way he adapts to this, and the way he is able to satisfy the needs which arise from his life in that environment will determine how able he is as an individual and as a soldier.

Needs

306. Behaviour may be described as a person's continuing attempt to satisfy needs – whether these are needs existing within himself or arising from the environment in which he lives. Although all individuals have similar needs, the urgency with which each particular need has to be satisfied differs greatly from person to person and from situation to situation.

307. Needs can be broadly classified into two kinds, basic or inherited needs such as the needs for food, drink, sleep and protection from danger,

and a second or higher level of needs termed social needs. Though a person is born with basic needs, in the process of satisfying these in society he develops social or higher level needs which include the desire for approval, self-respect and recognition.

308. It is generally accepted that basic needs are more urgently felt, and that it is not until these needs are more or less satisfied that the higher level needs become important. This is shown in the diagram below which illustrates the priority of needs. The leader should understand these priorities and should recognize the needs his men are likely to have, and if he is trying to make sure his men are satisfied in their need for recognition, for example, he should as a matter of course check that the more obvious, basic needs are satisfied first.

Hierarchy of Needs

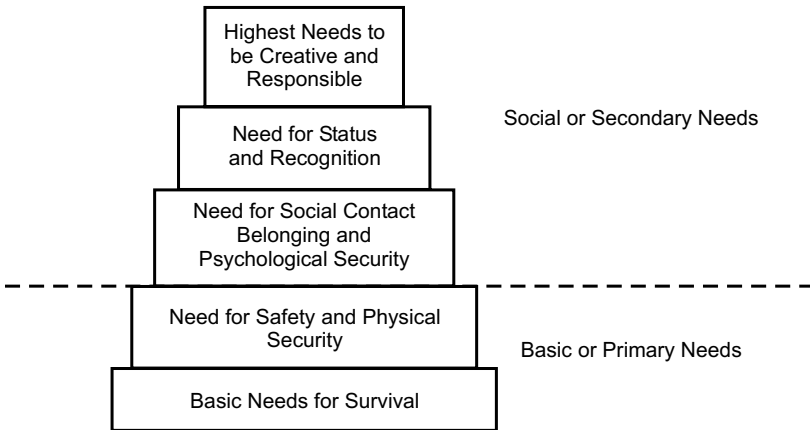


Figure 2

309. While behaviour can be explained in terms of man's attempts to satisfy needs, it can perhaps be more easily understood and even predicted, if the broad, psychological factors of capacity, personality, his relationship to other people (termed social interaction) and motivation are taken into account.

Capacity

310. As explained above, a man is born with certain basic capacities; as well as physical capacity, which sets an obvious limit on his behaviour, his mental capacity will determine to just what level he can perform. In

general terms mental capacity or capacity to learn can be said to consist of intelligence, aptitudes and reaction time (called quickness of apprehension).

311. Intelligence is a man's basic general ability. It sets the limit on his performance where reasoning or 'brain power' is required. Intelligence, however, does not work on its own, and a man with limited intelligence can perform very well in many circumstances where special aptitudes and skills he may have are used in conjunction with his intelligence.

312. Intelligence is measured by means of special tests, and in the Army each soldier has a Selection Grading (SG) rating, which gives an indication of his general intelligence. SG ratings are expressed in a range from 1 to 5. SG 3, which is the middle rating, indicates average general intelligence. Because of this there are more soldiers in the SG 3 category than any other, so it has been divided into SG 3+, indicating the soldier is capable of skilled training, and SG 3- which indicates he is capable of moderately skilled training. SG 4 describes soldiers of below average general intelligence, indicating they can be trained to a semi-skilled level, while SG 5 indicates poor general intelligence, and in peacetime men with this rating are normally not enlisted. At the other end of the scale, SG 2 describes good general intelligence, or the capacity for highly skilled training, and SG 1, or very good general intelligence, is an indication that the soldier has the intellectual potential for officer training and is suitable for highly skilled training.

313. A soldier's SG rating is not, however, the only guide to his efficiency. As mentioned above a soldier can perform better than his general intelligence might indicate because he also possesses a particular set of aptitudes or practical skills which make him good at particular tasks. On the other hand a soldier rated SG 1 may perform very poorly because of a lack of motivation, a poor attitude, or the existence of some personal or emotional problem. In other words, although SG ratings are a guide to performance, don't jump to conclusions about a soldier purely on the basis of his SG rating.

Aptitudes

314. The second component of mental capacity is aptitude, or potential skill in a particular field. The particular ability of a soldier to understand the workings of an engine is probably an indication of his mechanical aptitude. Examples of other aptitudes are clerical aptitude and verbal aptitude.

Speed of Reaction

315. Speed of reaction, commonly called quickness of apprehension, is another component of mental capacity. This is the speed with which a person grasps a particular point and is able to act on it. Even with good intelligence and aptitudes, a soldier may be inefficient at a particular job because he is a slow thinker and unable to quickly understand what he is required to do. In the opposite case, a person with limited intelligence may

be more valuable in a particular job because of the speed with which he is able to react, provided the job is within the range of his intellectual capacity.

316. So a soldier's capacity depends on a number of things, and his intelligence, aptitudes and speed of reaction should be considered together when trying to determine his overall capacity. Even if his capacity is known however, more knowledge of the individual is necessary before his behaviour can be predicted.

Personality

317. The study of personality is a complex subject which cannot be covered in any depth in this chapter. We will deal with only two areas of personality that are relatively easy to observe, and assist the leader in his understanding of individual soldiers.

318. Firstly, the terms Introvert and Extrovert are two words which cover a scale of personality types, and are worth understanding. An introverted person is quiet and reserved, and is normally content to be alone. An extroverted person is outgoing, happy-go-lucky and is usually the 'life of the party'. While even these extreme cases are considered normal in personality, most people can best be described as being somewhere between the introvert and extrovert.

319. The second personality factor is that of Stability. The stable person is most able to cope with frustration, and still perform efficiently. The unstable person is one who, when frustrated in attempting to satisfy his needs or goals, is unable to perform efficiently and usually shows signs of a changed emotional state. Some of the more common signs are:

- a. weeping,
- b. repeated loss of temper,
- c. drop in appetite or ability to sleep,
- d. depression,
- e. AWOL (in the military situation), and
- f. other unusual or unexplained behaviour.

320. Introversion – Extroversion and Stability – Instability combine to form different personality types. For example, a stable and reasonably extroverted soldier is usually an asset in any group, whereas an unstable type, whether he be introverted or extroverted is likely to be regarded as unreliable and a poor soldier in most cases. By combining the two personality factors in different ways, most soldiers in any group can be put into different categories.

Factors in Personality

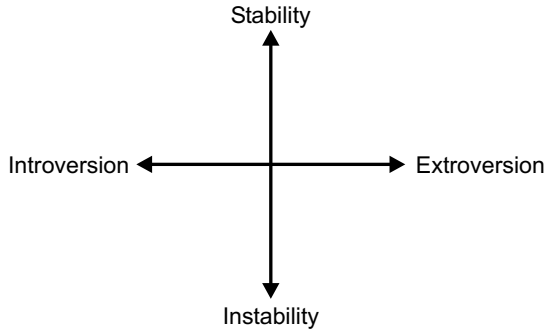


Figure 3

Social Interaction

321. For a person to be part of a group, he must react with other members of that group, and they in turn must react with him. The way each member reacts with others depends on a factor called social interaction.

322. Each person develops a characteristic way of reacting to others in the group. He falls into a pattern of behaviour in a group, and to understand this pattern for each individual we must examine two components of social interaction called Dominance – Submissiveness and Friendliness – Hostility.

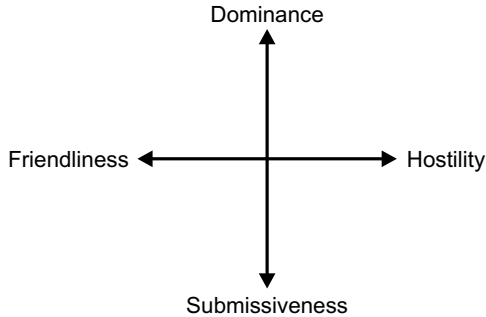
Dominance Versus Submissiveness

323. This factor is simply a measure of how much the member tries to openly influence others in the group. A dominant group member will boss his way around and soon have more submissive members doing what he wants.

Friendliness Versus Hostility

324. Similarly a group member will adopt an approach to other members which shows if he is friendly or hostile. A hostile group member is likely to show this behaviour not only to other members but also the leader.

325. If the two social interaction factors are combined, the leader is able to categorize members of his group and is better able to predict their behaviour as individuals and as a group reacting together. A dominant – friendly type is likely to be accepted as an informal leader of a group, and is worth paying special attention to. More will be said about this later in our discussion of group behaviour.

Factors in Social Interaction**Figure 4****Motivation**

326. The fourth broad psychological factor to be examined in any attempt to explain behaviour is motivation. While this will be covered more fully in the section on Human Relationships it is worth noting the following points here.

327. Motivation refers to those factors which increase the willingness of the individual to give his full capacity to a task or to the group to which he belongs.

328. It can be seen, therefore, that whilst motivation is related to the satisfaction of individual needs; it can also apply to group needs. If the needs of the group as a whole can be identified, it is easier for the leader to motivate that group to achieve its goal.

THE GROUP

329. Leadership implies group activity, and for a group goal to be achieved, not only must the leader react effectively with the group, but members of the group must interact effectively among themselves. To understand the influence and importance of groups we can use the example of one individual, looking at the group he belongs to and his various roles within those groups.

330. From the moment of birth a person is a member of his family group. As he grows, he moves in and out of groups in his neighbourhood. He is a member of a group at school, and simultaneously will belong to a class, sporting teams, recreation groups, 'gangs', and boy-girl groups, while still belonging to the family and neighbourhood groups. He leaves school, finds a job, and the number of different groups he belongs to at the one time multiplies.

331. Within each group the person has a role. He is the son in the family group; the leader, perhaps, of the neighbourhood group; the clown in the classroom; the halfback in the football team; the most junior member of the group at work; and so on.

332. By occupying different roles in a variety of groups, the individual becomes more able to adjust to new situations and be accepted by others, but at the same time this increases the likelihood of role conflict, eg, he may be leader of a neighbourhood gang which decides to throw stones on the roof of the church where he is a Sunday-school pupil. His membership of different groups can provide such conflicts.

333. Then he joins the Army. He is immediately required to adjust to a whole new set of groups – and possibly for the first time he is separated from the family group and other groups which have been satisfying his needs for security, love and belonging. The quicker he can identify with his new group – the Army – and the quicker this group can satisfy most of his needs, the quicker he will become an effective soldier.

334. The effective leader realizes the importance of understanding the group and recognises it as not only a means to keep individuals satisfied but also, if used wisely, as a means of achieving goals more efficiently.

Formal and Informal Groups

335. Formal groups are created from outside, and are recognized by all as groups. The Army, the platoon and the section are all examples of formal groups of different sizes. Formal groups normally have a leader who is given his authority from outside the group.

336. Informal groups are usually smaller than formal groups. They form because all members share a common interest or goal. Their leaders emerge naturally and are not always easily recognized. To become a member of an informal group a person must be accepted by other members, and if a person is rejected by the rest of the group, he ceases to become a member.

337. We all belong to many informal groups, most of which we are not aware exist. For example, the group that assembles regularly every 'smoko'; the group who all dislike a particular NCO – these are informal groups.

338. If the leader can identify the different informal groups and their leaders within his men, it follows that by influencing the informal group leaders, and being careful that as far as possible the aims of the formal and informal groups do not conflict, he will be much more effective as a leader.

Characterization of a Group

339. A group is composed of individuals who each brings to the group his own distinct abilities, attitudes, needs and personality. However, a group can become more than just the sum of the individual components of its members.

340. As a group develops and becomes more efficient in the performance of its tasks, group standards become yardsticks by which the individual in the group can measure his own performance. Standards accepted by the group to achieve a common group aim provide a basis for common understanding. This does not mean that the members lose their individuality, but that they have a set of standards by which they can understand one another

341. As each man learns the abilities and personalities of the other members, personal relations and loyalties develop in the group. Trust and mutual dependence grow, and the group increasingly becomes a cohesive unit.

342. Members of a group tend to identify themselves closely with their group's achievements, and group solidarity and morale tend to improve steadily as their success as a group increases. This process is a major element in development of the abstract quality known as esprit de corps.

343. The enduring nature of this quality is expressed in the historical traditions and performance of famous service units. Although individual members are continually changing, the performance and esprit de corps of these units can remain remarkably unchanged over long periods. Such a unit or group has become more than just a well-trained collection of individuals.

The Individual Member

344. Each member of a group retains his individuality, and this is an important fact to remember. If he enjoys good relationships, plays a useful role, and has a sense of identity with the group, he will probably fulfil his needs for status, security and personal satisfaction.

345. In return for the satisfaction of these needs, he must act in accordance with the standards of the group and do his part in achieving the group's goals. Thus the individual must in some ways subordinate his own interests to those of the group as a whole. Again, this does not mean that he loses his individuality. What it does imply is a willingness to place a worthwhile group goal before personal interests when the occasion demands.

346. A group does not have a mind of its own. It needs the individual attributes and talents of each member to be fully effective.

HUMAN RELATIONSHIPS

347. The effective leader knows how to start his group working and how to maintain it. This involves skill in handling the human relationships within the group, and comes from an understanding of motivation and reaction to frustration.

Motivation

348. Motivation was described in [paragraph 327](#) as the willingness of an individual to give his full support to a task. In other words if he accepts group goals as his own, or identifies with the group, he is well motivated. Lack of motivation is likely to be due to lack of group identification.

349. By recognizing individual and group needs, a leader can best decide how to motivate his men, as individuals or as a group. If an individual has a need for recognition and advancement in the group, he could be given a responsible task which, once successfully completed, will give him this recognition and chance of advancement. Similarly if a group, through lack of achievement, has a need for recognition and self esteem, by introducing an element of inter-group competition into the task, the group should become motivated.

350. Motivation is a two-way process. It is not only a matter of a leader manipulating his followers to perform tasks and reach objectives, but, ideally, the two should reach agreement so that the energies of the person being motivated are released to achieve the task as shown in the following diagram.

The Process of Motivation

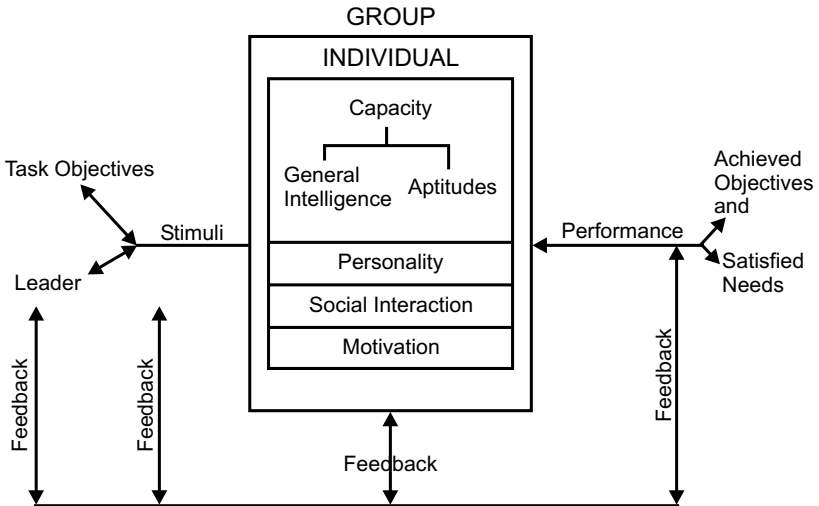


Figure 5

351. Throughout the whole process, feedback occurs so that objectives and stimuli can be changed as necessary. Feedback ensures that the process is a dynamic one and that objectives and priority of needs are met.

Positive and Negative Motivation

352. Although the existence of one factor may not have much effect in improving motivation, if it is taken away it becomes a strongly demotivating, ie, negative, factor. For example, good working conditions, ie, positive motivation, may not in themselves motivate people to work harder, but poor working conditions may become strongly demotivating.

Reward and Punishment

353. A similar case occurs when considering reward and punishment as means of motivating. Where reward or incentive can be a strongly motivating factor, punishment, although it may correct a fault, does not motivate the person to perform more effectively. He will be more inclined to perform at a level good enough to avoid punishment instead of aiming for a level good enough to attract reward. This is an important factor in motivation.

Frustration

354. When individuals or groups are motivated to achieve a task and they fail, frustration tends to develop. Frustration in an individual was mentioned earlier in [paragraph 319](#). Frustration within the group can lead to a breakdown in group relations which a leader may have been cultivating so carefully. Members become irritable and argue amongst themselves, group identification suffers and motivation is lost.

355. If the group reacts ineffectively to frustration, as described in [paragraph 354](#), future tasks will be difficult to achieve. The leader must recognize that when frustration occurs new individual and group needs are created. With some thought, it is possible to re-motivate before the group relations deteriorate too much.

356. If frustration persists, an outlet should be considered by the leader so that his group can 'let off steam' in a harmless way. Sport, or other competitive physical activity, is an ideal way of reducing frustration amongst soldiers.

357. Frustration can arise through criticism which is careless and destructive. In handling soldiers or any group of men, a leader must respect their individuality and their needs for recognition and self-respect. As well as criticism then, which should be fair and constructive, both individuals and the group should be praised when this is deserved, and treated with sincerity and courtesy. This will result in individuals being satisfied and the group being more desirous of staying together.

CHAPTER 4

APPROACHES TO LEADERSHIP

Introduction

401. Students of leadership (and institutions or organizations interested in developing the leadership capacity of their executives) have traditionally analysed proven leaders such as Hannibal, Alexander, Wellington, Churchill and Slim in an attempt to achieve an understanding of the nature of leadership. From these studies have evolved different approaches to leadership, and these approaches provide a basis for leadership training in the military environment.

Qualities Approach

402. Perhaps the oldest and most widely followed approach to leadership training is that which may be described as the 'qualities approach'. In an attempt to develop their leadership capacity, potential leaders are encouraged to emulate great leaders of the past. To enable the embryonic leader more readily to understand what is required for successful leadership, the proven leader is analysed and described in terms of the character traits or 'qualities' possessed.

403. The qualities approach undoubtedly contributes to an understanding of the nature of leadership, and it has some useful application in that:

- a. it helps to identify leadership potential,
- b. it upholds the importance of character in leadership, and
- c. it provides a model for emulation.

404. These advantages have long been recognized and employed. However, as a basis for leadership training, the qualities approach has some serious shortcomings which include:

- a. *Lack of Agreement.* Most armed forces of the western nations have prescribed a list of qualities considered to be necessary in a leader. Although there are areas of agreement, the lists tend to differ widely, even between the various forces of the same nation. The writers of one article on this subject have listed 17,000 words which may be used to describe qualities of personality. Which are the significant qualities?
- b. *Description Rather Than Training.* A list of qualities provides a description of what a leader should be like, but how can these qualities be used in leadership training? Potential leaders may be selected on the basis of their possession, to some degree, of the desired traits, but the qualities approach pro-

vides only a limited basis for leadership training. To counsel a potential leader by informing him that he must develop a sense of humour, display more initiative or be more confident is apt to leave him more confused and less confident than he was before receiving such well-meant guidance.

405. Because the qualities approach is of assistance particularly in selecting and assessing leaders it has been developed further in the next chapter.

Situational Approach

406. The effect of the situation in determining who will emerge as the leader of a group also has been recognized for some time, but it has been only in recent years that social scientists have begun to emphasize the significance of the situation. One researcher concluded that, although certain qualities were found to bear some relation to leadership,

‘.....the evidence suggests that leadership is a relationship that exists between persons in a social situation, and that persons who are leaders in one situation may not necessarily be leaders in other situations’.

407. This theory is well-illustrated in the leadership structure of some early North American Indian tribes which appointed hunting chiefs, war chiefs and so on. This approach to the study of leadership is known as the ‘situational approach’. Although a valid theory, the implications of changing leadership to conform with fluctuations in the situation negate its application to the military environment.

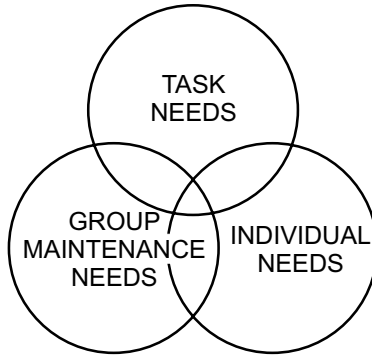
Functional Approach

408. The qualities approach to leadership training evolved from studies which were aimed at determining what kind of man makes a good leader. The ‘functional’ approach to leadership training concentrates on what a leader must do in order to be effective in that role. To understand this approach to leadership it is necessary to look, first of all, at the theory of group needs.

409. Extensive study of group behaviour indicates that, within any group that has come together to achieve some common goal, certain needs will arise. The type and extent of these needs vary extensively from situation to situation (and even from group to group within the same situation), but they may be grouped into three broad areas of need:

- a. needs relating to the task itself (definition of the task, the need for a clearly understood plan etc);
- b. the need to maintain the group as a cohesive working unit; and
- c. the basic human needs of the individual members of the group.

410. These three areas of need are very closely interrelated; they cannot be segregated into water-tight compartments because each exerts an influence, or will have some effect, upon the other. Thus **the theory of group needs** may be represented diagrammatically by three over-lapping circles.



(From John Adair, *Training for Leadership*, Macdonald, 1968)

411. If a coin is placed over the 'Task' circle it will also cover segments of the other two circles as well. In other words, the lack of a clearly defined task, or failure to achieve it, may affect group maintenance by increasing disruptive tendencies, and also the area of individual needs by lowering member satisfaction within the group. Conversely, where a group achieves its task the job satisfaction derived by the individuals and the degree of group cohesiveness is likely to be enhanced.

412. Move the coin to cover the 'Group Maintenance' circle and the effect of a fragmented group upon the task and individual needs can be readily envisaged. Groups may be threatened from without by forces aimed at their destruction or from within by disruptive people or ideas. If the members of a group happen to get on extremely well together and find that they can work closely as a team, this will increase their work performance and also meet some important needs which individuals bring with them into the common life.

413. The human needs of each individual within the group may be many and varied, and these needs influence the individual's approach to both the task and team maintenance. This is covered in detail in [Chapter 3](#).

414. Thus the three interlocking circles illustrate the general point that each area of need exerts an influence upon the other two. Clearly, in order that the group should fulfil its task and be held together as a working team, certain functions must be performed to provide for the needs of the group. The individual who begins to perform these functions emerges as the group leader. Conversely, if the appointed leader of a group is to be accepted and

RESTRICTED

4-4

effective in that role, he must be able to identify, and then provide for, the needs of the group. This theory forms the basis of the functional approach to leadership training.

415. Function in this context is defined as any behaviour, word or physical act which meets or provides for one or more of the group's needs or 'areas of leadership responsibility' as they may also be called.

RESTRICTED

CHAPTER 5

LEADERSHIP QUALITIES

Introduction

501. Those personal characteristics which are desirable in a leader can be described as leadership qualities. If demonstrated in daily activities these distinguishing personality traits help the leader to earn the respect, confidence, willing obedience and loyal cooperation of his men. Demonstrated traits also help the commander to select and assess his subordinate leaders.

502. The leadership qualities demonstrated by a leader directly affect the behaviour of his men and their willingness to accomplish a task, thus leadership traits have some relevance to functional leadership. Further, it is essential that a leader know himself. To know himself fully, it is important that he make an honest self-evaluation which will allow him to exploit his strong qualities and minimize his weak ones.

DESIRABLE LEADERSHIP QUALITIES

503. Most of the qualities which are commonly listed as 'leadership qualities' are desirable in any individual and particularly in soldiers. If an NCO is to lead individuals who possess these qualities, sometimes to a marked degree, it is clear that he must have the same qualities developed to a high degree himself. It is highly doubtful that the mere possession of these qualities is sufficient to make a leader successful. Yet, at the same time there appears little doubt that the absence of these qualities will hinder a person from becoming a successful military leader. These qualities are those which would be desired of any good soldier, regardless of rank; they are an essential part of the soldier's role.

504. The qualities listed below, although not all-inclusive, represent those that are most desirable, and provide a good guide for the personality development of the military leader.

LEADERSHIP QUALITIES

MOTIVATION		INTEGRITY
COURAGE) PHYSICAL	JUDGEMENT
) MORAL	KNOWLEDGE
DECISIVENESS		LOYALTY
RESPONSIBILITY		SELFLESSNESS
INITIATIVE		ABILITY TO COMMUNICATE

Motivation

505. Motivation is that quality which gives a member, or a group, the desire and determination to be successful in all of the tasks which are attempted.

506. Motivation is a very personal and individual matter, thus, it is very difficult to identify any guidelines; however, it is important for the leader to demonstrate keenness and interest in the task at hand. This is expressed by his cheerfulness, optimism and enthusiasm. (Motivation has been discussed in [paragraphs 348 to 357.](#))

Courage

507. Courage is a mental quality that recognizes the fear of danger or criticism, but enables a man to proceed in the face of it with calmness and firmness. In simple terms, courage is the control of fear. It is a quality of mind that gives a man control over himself, enabling him to accept responsibility and act properly in a threatening situation.

508. The leader must have moral as well as physical courage. Moral courage means knowing and standing for what is right in the face of popular disfavour. A leader who has moral courage is also prepared to admit his mistakes, but will enforce his decisions when he is sure they are correct.

Decisiveness

509. The leader should have the ability to make decisions promptly and to announce them in a clear forceful manner.

510. Many situations have more than one solution. The wise leader gathers all the facts, weighs one against the other, then calmly and quickly arrives at a sound decision. Decisiveness is largely a matter of practice and experience

Responsibility

511. A clear understanding of where responsibility lies and a constant endeavour to discharge these responsibilities are basic requirements for successful command.

512. The responsible leader can be relied upon to carry out actively, intelligently and with willing effort the intent of his commander.

513. The leader who has a sense of responsibility will continually attempt to achieve the highest standards of performance and put the good of the Army ahead of his personal interests.

Initiative

514. Initiative is seeing what has to be done and doing it, even in the absence of orders. Soldiers unite quickly behind the commander who meets new and unexpected situations with prompt action

515. Closely allied with initiative is resourcefulness, the ability to deal with a situation in the absence of normal means or methods. Inactivity or passive acceptance of an unsatisfactory situation, because of the lack of normal means of coping with it, is never justified, particularly in battle.

Integrity

516. Integrity, the uprightness of character and soundness of moral principles, the quality of absolute truthfulness and honesty, is an indispensable trait in a leader.

517. The stakes in the Army are too high to place the lives of its members in the hands of men with questionable integrity. Unless a man is honest he cannot be relied upon. There is no compromise and the Army cannot permit deviation from the highest standards of personal integrity from its leaders.

Judgement

518. Judgement is the quality of logically weighing facts and possible solutions and basing sound decisions upon these considerations.

Knowledge

519. Nothing inspires confidence and respect more quickly than demonstrating professional knowledge and ability. The individual who knows his job develops self-confidence, at the same time gaining the confidence of others.

520. Knowledge should not be limited to military subjects only, such subjects as national and international events amongst others should be studied.

Loyalty

521. Loyalty is the quality of faithfulness to country, the Army, your superiors, subordinates and associates. This quality alone can do much to earn for you the confidence and respect of others. Your every action must reflect loyalty to your command.

Selflessness

522. The unselfish leader is one who avoids providing for his own comfort and personal advantage at the expense of others. A leader must place the comfort, pleasure and recreation of his subordinates before his own and share the same dangers and hardships. Nevertheless, you should be aware that this quality can be overdone if it is carried to the point where

RESTRICTED

5-4

the leader neglects his own well-being to the point where his condition prevents him from exercising effective command. It is essential to consciously monitor your own well-being.

Ability to Communicate

523. It is vitally important to a leader that the message he wishes to get across to his subordinates is received and interpreted as he intends. This subject is amplified in [Chapter 7](#).

RESTRICTED

CHAPTER 6

FUNCTIONAL LEADERSHIP

Introduction

601. The functional approach to leadership training does not introduce a new style or method of leadership. What it does provide is a rational explanation of what has always happened in effective leadership. By promoting a deeper understanding of the nature of leadership and by providing a basis for the logical analysis of leadership functions, the young leader is able to develop his skill and capacity for leadership much more quickly.

The Priority of Needs

602. From our consideration of **the theory of group needs** we saw that the functions required of a leader are determined by the needs arising within a group. Frequently these needs may be in conflict – a function performed by the leader to satisfy one need may have adverse effects on some other need. Consequently the successful leader must be able not only to identify accurately the needs existing within his group, but he must also be able to recognize which needs warrant priority of attention at any given time.

603. Groups are formed to achieve tasks and there will be times in every organization when the task needs must predominate. This is especially so in organizations that exist to deal with emergencies where in moments of crisis, in life and death situations, or in operational matters, the leader will have to concentrate every effort upon the task. Indeed the members of the group in these circumstances will look to the leader to be single-minded, vigorous and decisive in dealing with the situation. In such circumstances:

- a. The leader must give priority to task needs at the expense of the other two areas of need.
- b. The skilled leader will have used slack periods to build up reserves, or credit, within the group and individual areas in preparation for the crisis periods when the group must concentrate on the task. In this sense the group and individual areas could be looked upon as batteries to be charged up in quiet periods.
- c. Similarly, after long periods of high task priority, the skilled leader is aware that he must find and seize opportunities to look to his group maintenance and individual needs – to re-charge his batteries.

604. While it is important that the leader gets the job done, he still has to be careful that he does not sacrifice the longer-term interests of the group maintenance and individual needs – and hence long-term task effectiveness – for a spectacular but short-term advantage in task needs. It is an essential part of a leader's job to have a correct sense of proportion about the needs of his group and the functions he should perform to meet those needs. This requires a fine sense of judgement on the part of the leader. An effective leader develops skill in getting his timing and his priorities right in relation to the situation. The following illustrations show the relationship of the areas of need in different times of priority.

Priority of Needs

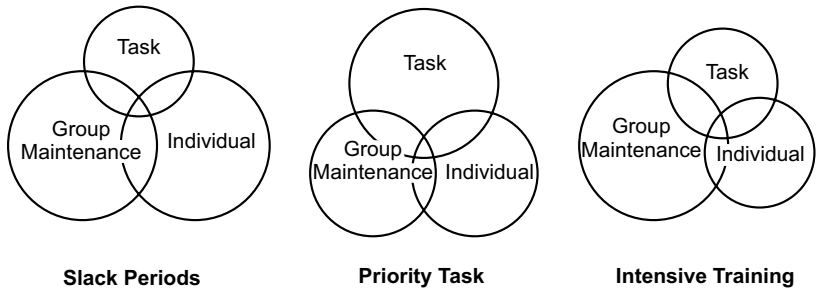


Figure 7

From A. Adamson,
The Effective Leader, Pitman 1970.

Analysing the Working Situation

605. To determine what function is required of him and how he should go about performing it, the leader must analyse his working situation. In the case of a simple, uncomplicated situation the needs existing in the group may be few and readily identifiable. In more complex working situations the real needs may not be so obvious and a logical, systematic analysis may be necessary to identify them.

606. To illustrate the basic elements that exist in any leadership situation, let us examine in some detail just one of a leader's functions – that of decision making by asking the question:

‘What factors will determine the extent of group participation in the decision making process?’

The answer to the question may be summarized as follows:

RESTRICTED

6-3

- a. the leader's knowledge and experience;)
- b. the leader's sense of security;)
- c. the leader's personality;)
-)The Leader
- d. the size of the group;)
- e. the skills, knowledge and experience of)
- the group;)
- f. the attitude of the group to the task;)
-)The Group
- g. the attitude of the members of the group)
- to each other;)
- h. the complexity of the task;)The Situation
- i. the level of risk or consequence;) (ie, the task
- j. the amount of time available; and)and the
- environment)in
- k. the physical ability to communicate which it
- within the group.)must be
-)achieved)
-)

607. Thus the leader, in carrying out his leadership 'appreciation', must consider the three basic factors or elements of his working situation:

- a. the leader,
- b. the group, and
- c. the situation.

THE LEADER

608. The skills, ability and personality of the leader will in themselves have an effect on what the leader has to do and how he goes about it. For this reason it is potentially dangerous for the inexperienced leader, after having observed some other leader successfully perform some function, to attempt to do precisely the same thing when faced with a similar situation. It may not have the same effect. For example, the use of humour is a good way of relieving tension in a group. Some people are able to amuse others quite easily; others because of their personality can do or say precisely the same thing but achieve nothing more than to look slightly ridiculous. The latter type, as a leader, may have to take some other step to relieve tension in his group, such as diverting their attention to some other useful activity.

609. The characteristics of the leader which may either give rise to needs within the group or, more particularly, influence the way he may go about performing his functions, are:

- a. Knowledge and general experience.

- b. Technical skill or experience in the specific task at that time.
- c. Status or security in his position as leader. Is he well established, accepted by the group and secure or is he newly arrived and having difficulty in establishing credibility?
- d. *Personality and Temperament.* Each individual human being has his own personality, his own way of doing things. The overall situation should eventually determine just how the leader will go about achieving the desired effect, but by nature he may tend to be dogmatic, and insistent upon doing things his way. On the other hand he may be more democratic in his approach, more willing to consult with others. A sound leader must be prepared to vary his 'style' to suit the situation, but this factor will still remain a significant one in determining how any given leader will go about his task.

THE GROUP

What is a Group

610. A group may be defined as a number of people who either have come or have been put together. There may be a variety of reasons why this has occurred, for example, to earn money or play sport; the crucial point to bear in mind is that the group has been formed for a purpose and that the individual members of the group either expect to, or are receiving, some reward as a result of their membership. Work groups come together for economic and security reasons; leisure groups form so that social activities may be pursued: street gangs emerge as a result of parental indifference or neglect, provide excitement and comradeship and give the individual the status which is denied him in other groups such as family, church and school. Incentive, reward and protection are three fundamental reasons for groups forming.

Types of Groups

611. In our society there are many groups in existence, such as the family group, the school group, the church group, the sporting club, the workers union and the political party to name a few.

612. The family group is an important group and the individual always remains part of that group. Other groups may be described as of lesser importance, eg, the school and church groups. Some groups are voluntary, there being no compulsion for individuals to join or indeed remain, against their will; the sports club normally falls into this category. Still others are compulsory groupings, individuals being required to join for various reasons, and such groupings as workers unions and schools fall into this category.

613. Within organizations individuals are members of numerous 'compartments of people' or groups, each group having a particular purpose

justifying its existence and each satisfying various needs which individuals have.

614. Generally groups can be classified as follows:

- a. formal, and
- b. informal.

Formal Groups

615. Formal groups are those which are authorized by an organisation and which are formed as part of policy requirements. These groups in totality within an organization comprise what is known as the organizational structure. Groups are normally structured in a hierarchical fashion, with individuals being appointed to head the various sub-groups within the organization. Appointment to these positions of leadership is normally done after a selection process and, in some organizations such as the Army, after a process of training has been completed. The basis for appointment as head of a group is the competence of the individual to fulfil the functions required to complete the job.

616. Although it is desirable that the individual appointed to head the group be accepted by the group as its leader, this acceptance is the prerogative of the group and has to be earned by the appointed head. Initially therefore, the leadership of formal groups may be described as imposed leadership.

Informal Groups

617. Informal groups form within and outside formal groups. Informal groups which emerge within formal groups do so to meet various needs of the individuals who comprise the formal group. These needs are normally socially oriented although they may be task orientated if the appointed leader is unable to perform the functions necessary for the accomplishment of the mission.

618. The five soldiers who form a 'car club' to get to their place of work, and the group which goes to the canteen for lunch every day, are two examples of informal groups. Although informal groups may be technically leaderless, there is normally one member of the group who is more influential than the others and it is he who finally determines what the group should do. Informal groups also form 'on the job' within the formal group and can normally be identified by observing the voluntary associations which arise among individuals.

619. Within the informal groups leaders emerge and they are those who are best able to meet the needs of the group. It should be noted that the position of leadership has been conferred on these emergent leaders by the members of the group, and the position they hold can have considerable ramifications on the workings of the formal group. The fact that emergent leaders are able to perform the functions necessary to fulfil the needs of the

group may indicate they have greater intellectual capacity than other members of the group.

620. If the emergent leaders are working harmoniously with the imposed leader the group should function smoothly. If there is a clash between imposed and emergent leaders the effect of this clash is likely to reverberate through the group, to the detriment of the group's effectiveness.

621. The ultimate object of the imposed leader must be to gain acceptance as a leader in his own right by the group, including the emergent leaders within the group, so that the group is able to work harmoniously in successfully completing all its tasks.

622. The informal group can be used to fortify the formal group by judicious placement of individuals within the groups, and by retaining individuals within the group. The stability gained provides the foundation from which mutual confidence, firm friendship, teamwork and team spirit emanate.

Group Pressures

623. Regardless of the degree of harmony which exists in a group, pressures, both internal and external, will continually be exerted on the group. If left unchecked these pressures can have serious effects on the group's effectiveness. In the Army, many pressures may be applied 'in the interests of the Service' and will produce a conflict of interests within the group. Unrelenting pressures can be reduced to a certain extent if all members of the group understand the reason for the pressure. Cliches such as 'exigencies of the Service' or 'in the interests of the Service' are not good enough and do not reduce the insecurity caused by these pressures. The leader must establish reliable communication links within his group so that pressures which arise are brought to his attention.

624. The leader's judgement is critical in determining what can be corrected and what cannot; the action taken in relation to both will determine the future effectiveness of the group.

625. It should also be emphasized that it is most unlikely that a particular disruption to a group will be the result of one pressure alone; it is more likely that the cause will be several pressures acting on the group.

626. Finally, although most pressures on a group tend to be disruptive, there are pressures which result in increasing the cohesion of the group, for example, an outside body which threatens group integrity is likely to be repelled.

Internal Pressures

627. These are the pressures which are generated within the group and their source is usually traceable to an interaction factor among members of the group. Some likely sources are:

- a. personality clashes,

- b. mistrust,
- c. conflicting ideas,
- d. ambition,
- e. frustration resulting from individual and group needs not being met,
- f. lack of independence, and
- g. insecurity of individuals.

External Pressures

628. These are pressures which are generated outside the group. The group reaction to these pressures will vary depending on morale, esprit de corps and on the confidence which the group has in its leader's ability to manage the situations during the time the pressure is acting on the group. Some examples of external pressures are:

- a. the environment,
- b. challenges to group integrity,
- c. hostility from other elements in the organization,
- d. unnatural stress and danger,
- e. threats to the security of the group,
- f. competition, and
- g. failure of other (superior) groups to acknowledge the achievements of the group.

The important thing to remember about the group is that it is not an inanimate body – the basis of the group is the individuals within it.

The Situation

629. By 'situation' in this context, we mean the task and the general environment in which it must be carried out. Thus some of the sub-factors which may have to be considered are:

- a. the complexity of the task;
- b. the degree of stress, risk or danger of death or injury;
- c. time available; and
- d. general working and living conditions – food, shelter, recreation facilities and so on.

THE FUNCTIONS OF A LEADER¹

630. Let us look in greater detail at the kinds of functions that a leader may have to perform. Obviously they could be multitudinous in their variety, but the major functions that may be required of a leader in the military environment are shown in Figure 8 together with the area of need for which they would provide. In the diagram, the functions of a leader are related to group needs. The *Handbook on Leadership* examines the functions of a leader under simple function headings so that they may be easily remembered. Instructors should also read Chapter 3 of the Handbook for a complete coverage of leadership functions.

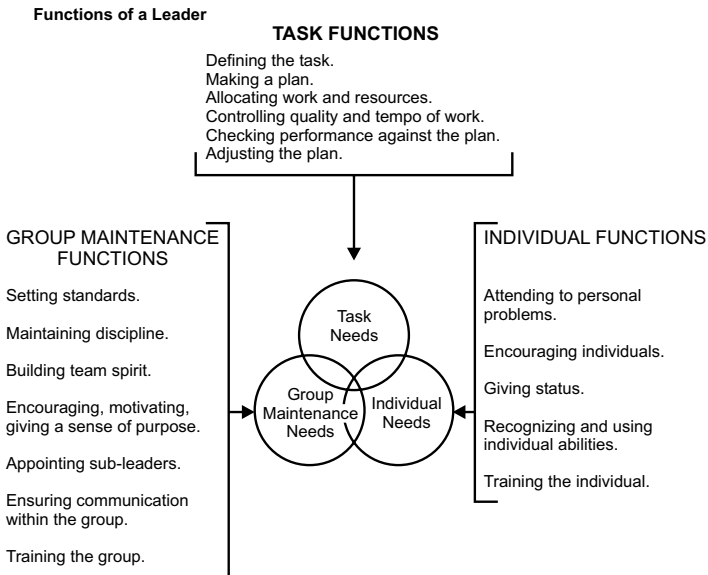


Figure 8

Task Functions

631. Defining the Task. In defining the group's tasks the leader must understand:

- a. how his particular task fits into his superior's overall aim and long-term objectives, and
- b. what limitations are placed on his method of accomplishing the task.

(1) Adapted from A. Adamson, *The Effective Leader*; Pitman, 1970.

632. Making a Plan. In deciding upon a plan for the achievement of his task, the leader should call on all the experience and specialist advice available to him, consider all the possible courses of action and their probable outcomes, decide on the best course of action and make provision for possible changes of plan. The effectiveness of this function will depend upon the leader's own ability and training and the degree to which he has trained group members for participation in the decision-making process.

633. Allocating Work and Resources. This is achieved by the issuing of orders – what is to be done, why, when and by whom. In allocating work and resources the leader should normally:

- a. give background information on the reason for the task,
- b. give the aim of the task and explain how it fits into the larger organization plans,
- c. allocate work and resources to individuals and/or sub-groups,
- d. delegate the necessary responsibility and authority to sub-leaders,
- e. arrange communications, and
- f. check that his orders are understood.

634. Controlling the Quality and Tempo of Work and Checking Performance Against the Plan. Having decided how the task is to be achieved and then passed his plan on to the group for execution, the leader must:

- a. personally check standards of work performance,
- b. instill a sense of urgency where necessary,
- c. coordinate the work of various sub-groups, and
- d. measure the achievement of the group against the effort, time and resources used.

635. Adjusting the Plan. Frequently it may be necessary, in other than simple tasks completed over a short period of time, to amend the original plan. The leader does this by continually reviewing his priorities, examining external factors and checking the progress of his original plan. The actions necessary to adjust the plan are a repetition, to a greater or lesser degree, of those actions taken for the original plan.

Group Maintenance Functions

636. Setting Standards. The leader performs this function in two ways – by personal example and by quickly and constantly correcting faults in individuals. Whether he intends to or not, a leader inevitably sets group standards by displaying his own attitudes, conduct and performance of duties. A group is highly perceptive of its leader's behaviour and will react

quickly to it. To some extent, ability to set high standards will depend upon the personal qualities and knowledge he brings to his work.

637. Maintaining Discipline. The maintenance of group discipline and the development of self-discipline are very important functions of the military leader. These subjects are considered in detail in [Chapter 8](#).

638. Building Team Spirit. Team spirit is a state of mind in a group that indicates that group cohesiveness has been achieved and that internal frictions have been reduced to a minimum. This may be achieved by:

- a. Fostering pride in achievement by reminding the group of its past successes and traditions.
- b. Developing a feeling of belonging to an honourable and unique organization. In doing this, the leader should be careful not to develop a group approach which could lead to harmful or disruptive competition with other groups within the organization. He should focus attention on the achievements of the whole organization as well as those of the group itself, and emphasize the need for cooperation and team spirit at all levels.
- c. Reducing competition within the group by showing each individual how the work of other members of the group coordinates with his work towards group effectiveness.
- d. Encouraging group participation in decision making.
- e. Avoiding unequal treatment of members of the group.
- f. Representing the group's interests.

639. Encouraging, Motivating and Giving a Sense of Purpose. Good team spirit alone is not enough. The group exists to perform tasks and its motivation must be channelled towards this. The leader can encourage team members by stressing how they are contributing towards the aims of the organization and by the use of praise and rewards. However, the latter should not be overdone or they quickly lose their effect.

640. The group's sense of purpose can be reinforced by keeping them fully informed of changes in the situation, of the plans and long term objectives of the organization and how these may affect the group. This information helps to give meaning to the group's work and makes the members better able to contribute ideas and suggestions and more receptive to changes.

641. Appointing Sub-leaders. Army units are structured in such a way as to facilitate the achievement of most tasks that are likely to be allotted to them. However, the allocation of a special task may require the formation of a new temporary group and, unless the group is a very small one, the appointment of sub-leaders to assist in the control of the group. By appointing sub-leaders, the leader establishes realistic spans of control and he should create a structure in keeping with sub-group specializations. He should seek out and develop potential leaders within the group.

642. Ensuring Communication Within the Group. In ensuring communication within the group the leader must make sure that his communications downwards to the group are clear and accurate; that he trains and encourages his group members to discuss problems with each other; and that he conditions his subordinate leaders and specialists to pass up understandable and relevant information and opinions.

643. Training the Group. In performing this function the leader must arrange group practice in situations that simulate tasks, aiming at the development of group knowledge, skill and attitudes.

644. Summary. The leader is aiming at two aspects of group needs when performing these functions. On the one hand he is concerned with team work and he controls, organizes and trains the group to create a dynamic, flexible and durable organization. On the other hand he is concerned with team spirit and he provides for the material and psychological needs of the group sufficiently to remove frictions and to harness their motivational energies for the mutual benefit of the organization, the group and the group members. He achieves these two aims of team work and team spirit by setting standards, maintaining discipline, appointing sub-leaders, ensuring communication within the group and training the group.

Individual Functions

645. Attending to Personal Problems. An individual's ability to work to his normal potential may be affected adversely by personal problems. These could include bad working or living conditions, insecurity of employment, friction with other members of the group, pay, administrative, health or family problems. The removal of such problems may not necessarily make the individual cooperate or work significantly harder because it appears that more positive motivations have had to be found to bring this about, but their continued existence will make the application of positive motivation difficult to achieve. The leader's first individual function is to remove these problems either by direct action if it is within his authority or by representing the problem to the appropriate authority.

646. Encouraging Individuals. Praise as a means of recognizing successful performance can be a positive motivating factor if handled correctly. Excessive praise, if it seems to be insincere or without foundation in achievement, is useless; it can even be dangerous if it brings about complacency in the recipient.

647. Correction of faults can also have an encouraging effect. Individuals do not always do things wrongly from malice; quite often they are unaware and if corrected they are grateful for the opportunity of improving their performance.

648. Giving Status. People need status because it is a measure of their achievement in comparison with other people and because it bolsters their self-esteem. It can take tangible form in material rewards such as pay or

rank, or it can be intangible in the form of public praise and recognition. To avoid danger to group maintenance needs, such rewards must be justifiable in the minds of the other members of the group.

649. Recognizing and Using Individual Abilities. An important function of a leader is to assess individual expectations and abilities and to give individuals appropriate opportunities and responsibilities. This presupposes a detailed knowledge of each member of the group which can only be achieved by studying personal documents, talking to them informally on the job and, if necessary, by formal interview.

650. Training the Individual. Before collective or group training can be undertaken it is necessary to ensure that group members are adequately trained in their individual tasks and responsibilities. In training the individual the leader should encourage both the reluctant and the ambitious to undertake additional training and he should attempt to create an atmosphere that encourages individuals to use new skills and to test themselves in realistic situations.

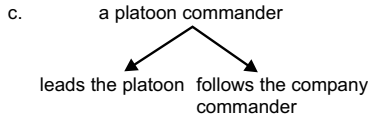
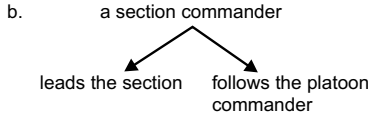
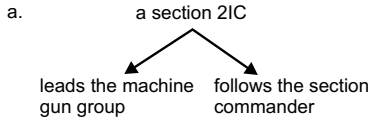
651. Summary. The leader's performance of his individual functions depends on his attitude to people. Although this meeting of individual needs is for the purpose of achieving the task aim, most leaders are morally involved with their subordinates' welfare and the subordinates' perception of how much their leaders really care about them has far reaching effects on the organization's morale.

LEADERSHIP STYLES

652. All men, to a greater or lesser degree, have the ability to influence the behaviour of others. In other words while a man in one group may be one of the followers, given a changed set of circumstances he could be appointed leader if he was perceived to:

- a. possess the necessary knowledge and competence, or
- b. be capable of satisfying group needs.

653. In the military environment many people are both leaders and followers. In a rifle company, for example:



It is evident therefore that there is a distinct relationship between leaders and followers.

654. Two needs which all individuals in any organization have are security and self-confidence.

655. Security. There are two aspects to security:

- a. regular pay, insurance, medical protection, provision for pensions and retirement, etc; and
- b. the creation of a working environment where task needs are being met and in which:
 - (1) mutual trust exists between superiors and subordinates,
 - (2) a firm but friendly attitude prevails,
 - (3) individuals are kept informed of future activities, and
 - (4) there is constant supervision to correct actions which are wrong.

656. Self-Confidence. A sense of self-confidence is a natural flow on from security. If a person feels safe in his environment and believes he has some measure of control over his working conditions, he will feel confident

to a greater degree than if this situation does not exist. From an Army viewpoint this creates an environment favourable to the better development of self-discipline.

657. Follower Participation (Sharing Decision Making). By recognizing that there is a distinct relationship between leaders and followers and by acknowledging the need of all individuals in a group for security and self-confidence, it follows that the members of the group will work better if their views and opinions are recognized as being important to the successful accomplishment of the mission.

658. Leaders must realize that a great deal of benefit can occur if the decision making process is shared among their followers whenever the situation allows. The degree to which the leader retains control of the decision making or shares/delegates control to his followers can be described as the leadership style.

659. There are three main styles:

- a. authoritative,
- b. participative, and
- c. free rein.

Authoritative

660. This style implies that the leader retains complete control himself by such means as:

- a. determining all policies,
- b. directing all activities step by step so that his followers may not know what future activities will be, and
- c. assigning tasks to individuals and allotting work companions.

661. The authoritative style is suitable in the Army when:

- a. in combat;
- b. there is stress and/or danger;
- c. time is short;
- d. engaged in tactical exercises;
- e. there is a requirement for conditioning men to quick response, eg. drill; and
- f. there are large numbers of men involved.

662. If the authoritative style is adopted by a leader when he more properly should have adopted another approach, the following results may be noticed:

- a. performance goals will be achieved,
- b. recreational goals will not be achieved,

- c. performance will drop off significantly in the absence of the leader,
- d. the followers may demonstrate aggression or apathy, and
- e. the followers will undervalue their work performance.

Participative

- 663.** This style implies that the leader will or may:
- a. encourage suggestions from his followers so that they will identify themselves with the plan;
 - b. plan future activities by discussing them with the group;
 - c. permit the followers to choose their own work companions and divide work as they see fit, provided that proper use is made of available skills;
 - d. when advice is needed, suggest a number of alternatives from which the followers can select the one which seems best; and
 - e. include himself in the task in a cooperative and helpful fashion but still retain his position as leader.
- 664.** The participative style is suitable when:
- a. teaching complex skills and knowledge,
 - b. problem solving in other than a stress situation,
 - c. instructing,
 - d. under personal hardship, and
 - e. interviewing and counselling.
- 665.** The following results may be observed when the participative approach is correctly adopted:
- a. work goals will be achieved,
 - b. recreational goals will be achieved,
 - c. performance will continue up to standard in the leader's absence,
 - d. hostility and aggression will be minimal,
 - e. friendliness will predominate among the group with a willingness to cooperate, and
 - f. the followers will place a high value on performance and will take pride.

Free Rein

666. The free rein style is unsuited to the Army. It implies that the leader leaves the decision making to his followers, even to the extent that he may not set performance goals for the group. In general, performance goals are not met whilst recreational goals are.

RESTRICTED

6-16

RESTRICTED

CHAPTER 7

COMMUNICATION

Introduction

701. Communication is essential in influencing human behaviour. Unless a leader can effectively convey information, intention and emotion to those he leads, he will not be an effective leader. Furthermore, the leader must be able to establish, maintain and respond to communication from others ('feedback').

702. Communication is a continuing process and takes many forms: whether we read a newspaper, listen to the radio, watch a film or TV, wink at a pretty girl, kick a dog or simply talk to someone else, we are communicating with others. We must realize that every act, whether intentional or not, will have a message for someone else. This is particularly significant to the military leader when he is transmitting his plans and requirements to his men in the form of orders.

Communication of Meaning

703. The effectiveness of leadership depends upon the effectiveness of communication. The leader wishes to influence, or bring about a change, in the follower. If his communication is to be effective and thereby influence the behaviour of the recipient, the leader must ensure that accurate transmission, receipt and interpretation of his message occurs. He must ensure that the meaning of his message is understood. Many factors are involved in communication, each influencing the final interpretation placed on the communication. To understand these influences it is necessary to understand the communication process.

THE COMMUNICATION PROCESS

704. Communication is a very complicated process involving at least two people – a sender or communicator and a receiver or recipient. The sender and receiver communicate through a medium or channel.

The Sender

705. The process commences in the mind of the sender, who then selects the means of communication or transmission and then transmits the message. The mind is the store house of the sender's knowledge, attitudes and past experience. From this source the sender selects or formulates an idea. The idea can be inaccurate even at this stage. The process of communicating with others must first be preceded by logical thought processes.

706. After selecting the information the sender estimates the receiver's knowledge of the subject. If the sender fails to estimate this knowledge correctly then further breakdown in the process will occur.

707. Selection of the most appropriate means of transmission is very important in the communication process. Involved in this selection is the use of appropriate symbols such as words and gestures, which can trigger different interpretations of the message's meaning. The words used are particularly important in communication. The meaning of words varies from individual to individual, thus semantics plays an important part in the process and can act as a block.

708. A commonly forgotten fact is that words convey emotions, thus words such as black, peace and pig have different emotional effects on different people depending upon their environment and/or past experience.

709. The sender next organizes his message. For example, he can organize a message in chronological order, into categories or he can give important information first. It is important to remember that the first and last portions of a long communication are remembered better than information in the middle of a message.

710. The message is now transmitted to the receiver using the most appropriate means or channel available. The sender must be aware that many factors such as voice quality, language and gestures enhance or detract from his presentation.

The Receiver

711. The message is detected through the senses, mainly the senses of hearing and vision. The incoming signals are decoded and the separate signals organized into thoughts.

712. Understanding the message depends upon the receiver's past experience, knowledge and attitudes. The message may be received and decoded, but the receiver will not necessarily understand the idea(s) it was meant to convey. The originator of a message must take into account, whenever possible, the receiver's background and experience.

Feedback

713. Feedback is the process whereby the 'originator' receives an indication of the effect of his message on the recipient. The most effective feedback is obtained from face to face relationships where the communicator can observe the receiver's facial expressions and gestures, etc. The more complete and immediate the feedback, the better the communication.

BARRIERS TO COMMUNICATION

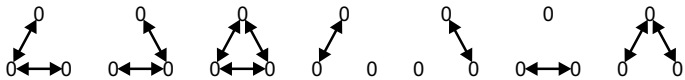
714. There are two groups of barriers in the process of communication:
- a. physical, and
 - b. psychological.

Physical Barriers

715. Physical barriers are those barriers that exist in the channel between the sender and receiver and block or distort the transmission of the message. Such barriers in this category are:

- a. Distance - preventing clarity, frequency of communication and feedback.
- b. Time delays.
- c. Size of group. In a group of two men there is one possible interaction, ie, 0 ↔ 0.

In a group of three men there are seven:



In a four man group there are 25 possible interactions and in a five man group there are 90. The number and complexity of possible interactions increases far greater than the actual size of the group. This illustrates the great difficulty that exists in getting coordinated group activity from a large group and the increasing degree of cross talk that can distort and even totally block out a message.

716. Leaders must be constantly aware of the physical barriers and strive to overcome them.

Psychological Barriers

717. Psychological barriers are present in both the sender and the receiver. They can be classified as:

- a. conceptual,
- b. perceptual, and
- c. cultural barriers.

718. Conceptual barriers are those which are raised by the failure of the communicator to get his ideas over to the receiver largely because of the use of unfamiliar language. In this situation the sender and receiver are working at different levels of understanding.

719. Perceptual barriers affect the interpretation of messages by the receiver. Because of different experiences or status, or in the Army because of disparity in rank, messages are interpreted in the wrong way which may result in wrong action being taken.

720. Cultural barriers are both perceptual and conceptual in nature and are due to social group differences between sender and receiver.

721. Psychological barriers can be reduced by:

- a. Interpersonal trust and confidence.
- b. Empathy or framing communication in accordance with the receiver's language, knowledge and experience. This will ensure that emotional, semantic and value differences are kept to a minimum.
- c. Removing or reducing prejudices.
- d. Learning to listen properly.

722. The total communication process is shown in [Figure 9](#).

The Art of Listening

723. Inattentiveness and poor listening habits are major factors in poor communication. Our listening habits need constant correction as nearly half our working time is spent in listening to others communicating with us.

724. Bad listening habits and their remedy are:

- a. *Habit.* Questioning speaker's credentials.
Remedy. Concentrate on what is being said and not on the speaker himself.
- b. *Habit.* Criticizing speaker's delivery.
Remedy. Concentrate on message and not delivery.
- c. *Habit.* Opposition to subject.
Remedy. Concentrate on understanding whole argument before making judgement.
- d. *Habit.* Concentrating on minor details and missing main point.
Remedy. Relate detail to speaker's main argument.

The Communication Process

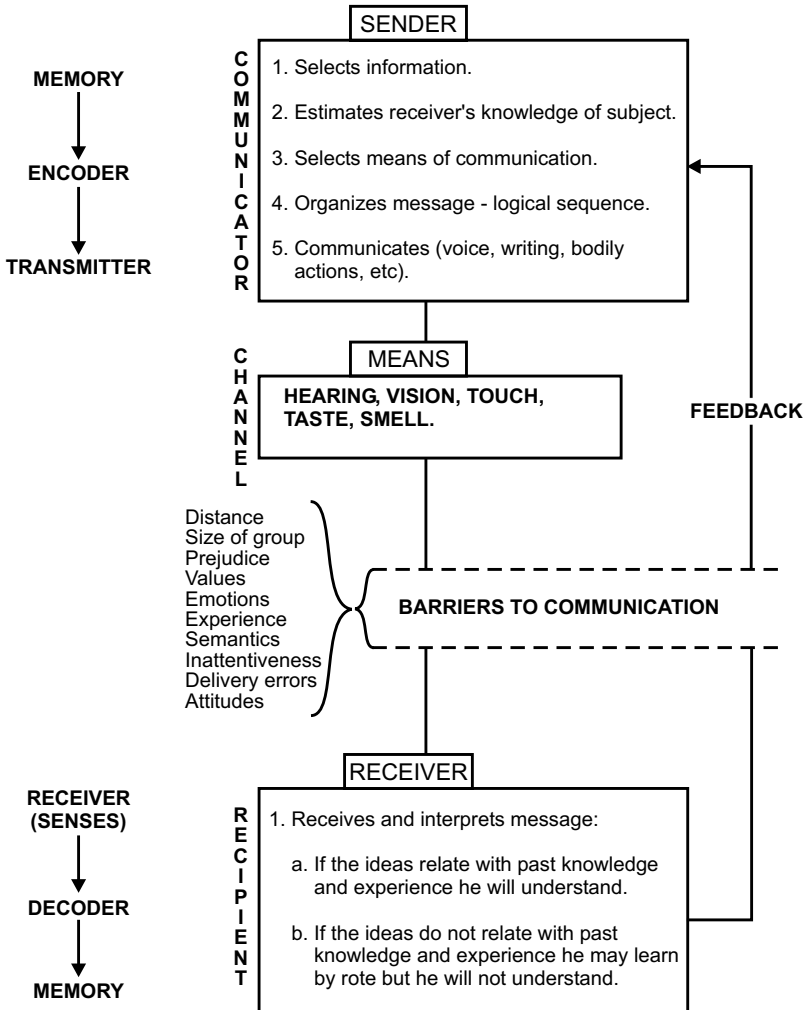


Figure 9

The Art of Listening Continued

- e. *Habit.* Detailed note taking.
Remedy. Concentrate on grasping main points and how speaker organizes supporting facts.
- f. *Habit.* Mind wandering.
Remedy. Concentrate on central idea of supporting facts.
- g. *Habit.* Unquestioning acceptance of unclear or unsupported facts or words.
Remedy. Participate and become involved in the feedback process.

The Order Giving Process

725. Proper order giving is important to the leader as it ensures that his men are always clear as to what they should or should not do. There are four types of orders that a leader may use:

- a. *Direct.* This order is specific, concise and definite. It is not open to question or interpretation, eg 'Pte Brown, clean your shoes now!'
- b. *Request.* This is a direct order softened by expressions such as 'will you', 'would you', 'I want you', eg, 'Pte Brown, will you clean your shoes soon?'
- c. *Implied.* This order leaves a lot of the initiative for an action up to the recipient. This type of order is not often used, eg, 'Pte Brown your shoes need cleaning.'
- d. *Call for volunteers.* This type of order is most ineffective, eg, 'Who will clean these shoes?'

726. Orders may be either written or verbal or a combination of both. Written orders should conform to the requirements of good Service writing and should be clear, concise, correct and coherent. Written orders are issued:

- a. for permanence;
- b. when communicating to other locations;
- c. where complex, detailed orders are involved; and
- d. where strict adherence is necessary.

727. Verbal orders have the advantage of allowing the leader to impress his personality on the recipient. Orders wherever possible, should be given by the leader personally.

728. A combination of written and verbal orders allows the leader to impress his personality and at the same time achieve the advantages of written orders.

- 729.** The following order-giving procedure should be followed:
- Planning* – ask ‘what’, ‘when’, ‘where’, ‘why’, ‘how’ and ‘who’.
 - Preparation* – orders should be complete and not ambiguous.
 - Delivery* – clear, concise, correct and coherent.
 - Confirmation* – to ensure recipient fully understands the order.
 - Follow up* – whilst order is being carried out, to ensure actions are correct.
 - Evaluation* – through observation and feedback to determine efficiency of orders.
- 730.** Good orders are clear and precise. The art of giving orders is one that all leaders should constantly practise to develop their own skill.

COMMUNICATION IN AN ORGANIZATION

731. Communication in the Army consists of a highly complex system of vertical and lateral, official and unofficial, formal and informal channels.

732. Official communications are the life stream of any organization and generally follow the chain of command, particularly in hierarchical organizations such as the Army. However, informal channels are also important because formal organizations are composed of individual people who establish their own informal system of communication, thus we get the establishment of ‘grapevines’ and subsequently the spread of rumours. Informal communication is important as it gives the leader feedback as to the attitudes and interests of his men as well as the identity of the leaders of informal groups. These emergent leaders can be used to further influence the opinion and attitudes of the group. Rumours allow the leader to assess those areas where information may be deficient. Rumours can be a problem to the leader as, unlike the grapevine, they are usually not based on fact and the leader should use the formal organization to prevent, quash or answer any rumours.

733. In the formal organization upward communication is very important. It gives the subordinate opportunity to contribute ideas and participate in the group’s activities and produces a feeling of mutual trust and confidence. Effective leaders have an ‘open door’ policy to stimulate upward communication. This policy is productive provided the leader realizes the psychological and social barriers that may exist between his subordinates and himself. The leader can overcome this forbidding atmosphere if he supplements his formal open door policy with frequent informal visits and talks to his subordinates in surroundings familiar to the latter. A leader must act promptly upon, or answer, any ideas or complaints he receives. If he does not respond then his subordinates will cease their upward communication.

RESTRICTED

7-8

RESTRICTED

CHAPTER 8

DISCIPLINE

Introduction

801. In combat a man must obey orders immediately although the result may lead to his injury or death.

802. This unquestioning obedience has its roots in Service discipline which is not synonymous with enforced control and corrective punishment, but rather is based upon good training, self-discipline, high morale and the recognition of just treatment.

803. The existence of discipline ensures a readiness to obey willingly and to take appropriate and intelligent action. Since all military training is aimed, in the final analysis, at success in battle, the need for discipline is obvious.

FACTORS UPON WHICH DISCIPLINE IS BASED

Discipline Training (Imposed Discipline)

804. Discipline has been defined as both 'mental or moral training' and 'a system of rules for conduct'. Either definition satisfies the Army's requirement, since its discipline training is, in fact, mental and moral training towards voluntary and swift compliance with a code of behaviour.

805. This is the crux of the issue. Discipline is a matter of persuasion rather than force; an attitude which can be encouraged by example. It involves the conscience of the person who conforms to it – in other words he submits because he wants to.

806. Such compliance may be against his personal and selfish desires, but his training enables him to put what he knows to be his duty before his inclinations.

807. The basis of discipline training is the imposed discipline that the recruit receives in basic training. In this training he learns the discipline of obedience and the basic standards of behaviour which form part of Army life.

808. The recruit is taught how to dress himself uniformly and smartly. Mental alertness and instinctive obedience to the spoken word of command can be developed through parade ground training. He learns to persevere in adversity during training which is physically challenging.

809. As training progresses, the recruit meets both physical and mental challenges. In mastering them he gains satisfaction and a sense of achievement. Ultimately, he will begin to perform effectively on his own because he wants to; because his own self-discipline is asserting itself.

Self-Discipline

810. The basis of all order is self-discipline. All men have inbuilt sets of standards governing their behaviour. These vary from individual to individual and depend on a number of factors such as early home life, influence of parents, teachers and other authorities. Thus most individuals learn to accept authority in its various guises from their earliest years. As the individual develops he learns to discipline himself rather than be disciplined.

811. In any group there may be a resistive minority. In the attempt to positively motivate them towards acceptable attitudes and behaviour it may be necessary to resort to a system of punishment. This means that although individuals have the power to disobey, they must accept the consequences of their actions. The penalties along with a person's natural conscience, will generally prove sufficient to achieve obedience.

812. It is well known that the restraints of conscience vary with the individual, but even the most resistant individual who decides upon illegal action must feel the gnawing of his own conscience at the moment of decision.

Obedience and Habit

813. Trained obedience requires both mental and physical effort. The necessary mental alertness must be cultivated so that the meaning of an order can be grasped and the requisite mental and physical reaction obtained to ensure that the order is carried out quickly.

814. By making these conditions habitual, the basis of obedience is established. In difficult or dangerous situations men always tend to act in accordance with a pre-established drill and therefore, if attention to duty and the smart execution of orders are habitual in normal circumstances, men will act in the same way in times of stress. Hence the aim must be to ingrain these habits thoroughly.

Collective Discipline

815. Pride in shared accomplishment helps stimulate and gives members of a group a feeling of belonging which directly affects group solidarity.

816. A man joining a group will be subjected to the rules and behaviour patterns of the group and to be accepted and to become an effective member he must comply.

817. In a group where self-discipline is high the objectives of the group will be more readily attained, as the individual group members will sacrifice their self-interests in favour of group interests and become willing participants of the group's objectives.

The Progression from Imposed to Self-Discipline

818. When a recruit finishes his basic training he has acquired the necessary mental attitude to imposed discipline. However, on first arriving at his unit he may have difficulty in adjusting himself as he has moved from an environment of imposed discipline to one where self-discipline becomes much more important.

819. The leader, by interpreting the regulations consistently and fairly will assist the soldier in this transitional period.

820. The real test, both of the soundness of basic training and the leader's capacity to maintain and extend the principles taught, comes when the soldier leaves the somewhat artificial atmosphere of the recruit training establishment and joins his unit. The leader's responsibility at this stage is a heavy one and to a large extent his success will be reflected in the self-discipline exercised by his men.

821. When resistance to self-discipline is reflected in repeated offences by a soldier, the leader must be aware of the possible causes of this behaviour and must endeavour to remove them. The leader should concentrate on preventative, rather than remedial, measures and thus initially should counsel; however, when resistance continues, he must resort to the imposition of disciplinary measures.

822. Constant attention to the teaching, motivating and training of the man, along with the influences of environment, customs and traditions, will mould all except the most intractable into a person of resilient physical vitality confident of his own ability. This self-reliant, self-disciplined, well-trained man is the product of creative training.

GUIDE TO EFFECTIVE DISCIPLINE

Understanding

823. The leader must understand his disciplinary responsibilities. He earns the respect of his men largely through his judgement, fairness and example. Once men have learnt from experience that their leader knows his business, they will trust his decisions.

824. The good leader realizes that success is not earned by being liked, but rather through skilled performance which earns respect, and this in turn ensures the discipline of his men.

Standards

825. High standards must always be insisted upon. The man who is allowed to get away with a below average performance has little incentive to improve, and in fact his performance is likely to deteriorate.

Maintenance of Communications

826. The leader must maintain effective communications with his men. They must know what is expected of them and be told when their performance does not come up to standard.

827. Men must know the rules and the reasons for them. They must be encouraged to suggest ways and means to improve not only their own performance but also the efficiency and effectiveness of the unit.

Enforcement

828. Discipline must be enforced fairly. The leader cannot afford to close his eyes to any lack of discipline, and all orders must apply equally to all men.

829. When a disciplinary offence occurs, the leader must quickly gather the facts before making a decision. This includes listening to the offender's story.

830. The leader should always point out a man's faults when they occur and base his action on the seriousness of the offence, the circumstances and the record of the offender. He should always try to find out the facts behind the act, because if he can discover the reason for the man's attitude or what causes him to disobey an order, he will be better able to give constructive advice which, in turn, will help to improve standards of discipline.

Personal Example

831. Discipline begins with the leader. He must set the example. Without self-discipline, he cannot hope to discipline his men.

832. The disciplined leader plans and organizes his tasks; he knows what he wants and how he wants it done. There is no wasted effort, no indecision. Such a leader realizes that effective leadership is based on personal consistency. Pressure for top performance is steady, and orders are always enforced with appropriate firmness.

833. This kind of leader asks much of his men and gets it; the reason – he asks more of himself; his method – discipline.

Summary

834. Discipline and morale, which is discussed in [Chapter 9](#), have substantial influence upon each other. When morale is high, men accept the demands of discipline and necessary burdens and deprivation, and take pleasure in doing a good job. When morale is low, duty becomes irksome and the sense of compulsion which exists results in lack of effort, selfishness, cautions, complaints and discord.

835. In the final analysis a lack of discipline can result in panic in conditions of stress; panic, in turn, results in confusion initially and chaos eventually; the value of discipline is thus paramount.

CHAPTER 9

MORALE AND ESPRIT DE CORPS

Introduction

901. Morale and esprit de corps are two factors which directly affect the efficiency of a unit. Consequently, the leader must consider the complex of attitudes which constitute morale and esprit de corps and understand how they affect the approach of a man towards his duties and his way of life. By considering how these attitudes may be developed and influenced, it is possible to make a systematic and fruitful effort to build and maintain morale.

902. Esprit de corps obviously is strongly affected by individual morale. It would be unusual to find high esprit de corps in a group made up of persons having low morale.

903. In the same way, because most of the men in a unit display good morale, it does not mean that the morale of every member is good. If those of low morale are overlooked, their attitudes may influence and impair the morale of the other men and the esprit de corps of the whole unit.

MORALE

904. Morale is an attitude of confidence in the mind of an individual and is closely related to the satisfying of a man's basic needs. If the training, administration and fighting of a unit is conducted so as to assist in satisfying these needs, a favourable attitude will be developed.

905. Any consideration of morale must take into account the needs of the group and differing individual needs, both of which are influenced by external factors which are constantly changing from situation to situation.

906. High morale is a positive state of mind which gives a man a feeling of confidence and well-being that enables him to face hardship with courage, endurance and determination. Its requirements in a military organization are detailed below:

- a. *Leadership.* It is essential that a soldier should have confidence in his leaders; hence leadership becomes the most important single factor in the attainment and maintenance of high morale. By failing to set a good example and not practising what is taught, a leader can destroy morale. Successful leaders effectively contribute to good morale, whereas the inept commander destroys the consciousness of well-being and gives rise to the feeling that 'nothing is going right'.
- b. *Unity of Purpose.* Men must feel that they are members of a team working towards team objectives. Leaders at all levels must endeavour to instil this unity of purpose in their men.

- c. *Discipline.* Good discipline and high morale are inseparable – without one you cannot have the other. This factor is discussed at length in [Chapter 7](#).
- d. *A Sense of Belonging (Self-Respect).* Individual self-respect is necessary before high morale can be generated. There is a normal human need to belong and contribute to a group, and the leader should encourage and use this need. By ensuring that tasks assigned are commensurate with a man's training and ability, that the man is encouraged, that praise is given when deserved and that criticism is constructive, the leader can lay the foundations upon which a man can build this self-respect.
- e. *Comradeship.* This is intangible but nevertheless very real. The leader can do much to encourage a sense of loyalty, belonging and humour in the group. This gives a reserve of strength to the group in difficult times.
- f. *Mutual Confidence.* In any team, it is important that the individual members have confidence in each other's ability. In the Army, where a man's life often depends on the actions of his comrades, such confidence is essential. It must exist at all levels and between all ranks.
- g. *Dependants' Well-Being.* Personal and domestic problems, particularly when men are separated from their families, can grow to disproportionate size and ruin morale and efficiency. The leader must be aware of the ways his men can be assisted, and he must act promptly and with sincerity.
- h. *Spiritual Beliefs.* The leader is under an obligation to his subordinates to see that their spiritual needs are met. He must ensure that his men are able to practise their particular beliefs and are not subject to prejudice or derision. The leader's personal feelings are not particularly important; it is his duty as a leader to encourage and support anything within reason, that enables his men to perform their task with maximum efficiency.
- i. *Comfort and Welfare.* Material comforts are important and desirable when the situation permits, but they themselves mean very little and must not take the place of other factors. Men will work long hours under bad conditions without their morale being adversely affected, provided that they know why the hardship is necessary and they are satisfied that their leaders have a sincere interest in their welfare.

907. The state of a man's morale at any time depends upon, and is measurable by, his attitude to:

- a. the Army,
- b. himself,
- c. his companions, and
- d. his leader.

ESPRIT DE CORPS

908. Esprit de corps is best described as a sense of pride in belonging to a unit. It is built on the foundation of morale and discipline and is more than just group solidarity. It also includes a strong identification with the formal organization – the pride, loyalty and enthusiasm that members show for their unit.

909. As explained in [Chapter 3](#), a man will identify himself with a group when it satisfies his needs. The informal group provides many satisfactions of social needs, and it is easy for a soldier to identify with the informal group when it accepts him.

910. Similarly, the formal organization can provide many satisfactions both to the individual and the group. When this occurs, both the individual and the group will identify strongly with the formal organization. The result is esprit de corps. If, on the other hand, the formal organization fails to provide the required satisfactions, the individual will retreat to the security of his informal group and esprit de corps will be non-existent.

911. To build identification with the formal organization, the leader can contribute in the following ways:

- a. The formal organization must become an important group in a soldier's life. If this is to occur it is important that the soldier receives his orders and performs his duties within the framework of that organization. By ensuring that, wherever possible, unit integrity is maintained in all possible activities and within all possible tasks, the leader will assist in building this identification.
- b. The men must be provided with concrete and worthwhile goals. This is mainly a matter of communication. The leader's role is to ensure that the mission and goal are understood and that the individual feels these are important, not only to the organization, but also to his group. The individual must also know where his role fits into the overall effort.
- c. Symbols are an important means of getting individuals to identify with the formal organization. Symbols, such as unit insignia and mottoes, help the members feel they are accepted in the organization. The most important symbol of the formal organization is the leader himself. If he is a man who is respected by his men, who is solicitous of their welfare and who brings them success, then they will identify with him and thus with the formal organization. The result is esprit de corps.

912. Other factors which assist in the development of esprit de corps include:

- a. traditions,
- b. a unique experience common to the group, and

c. competition.

913. Whilst esprit de corps will compensate for many adverse factors in the short term, it will be difficult to maintain it over a long period unless the following problems which may arise are overcome:

- a. lack of confidence in the leadership;
- b. presence in the unit of groups of men in conflict;
- c. presence of unwilling members who hamper unit performance;
- d. rapid turnover of personnel, especially of the leaders; and
- e. lack of proper recognition for unit achievement.

Summary

914. Individual morale is the complex of a man's attitudes towards his Service life. Esprit de corps consists of group solidarity and strong identification with the formal organization. There is a dynamism about esprit de corps; it fosters faith, loyalty, pride, confidence, unity and even a feeling of invincibility – a feeling of 'oneness'.

915. It is the leader's task to build the climate in which individual morale, group solidarity and esprit de corps can develop. He must constantly relate the needs, feelings and attitudes of his men (the factors that make up the foundation of morale) to the accomplishment of the mission if he is to employ them to maximum effect.

CHAPTER 10

TEACHING LEADERSHIP

Introduction

1001. Leadership training should be a blend of lectures, films, small group discussions, observation exercises and practical exercises.

1002. The instructor must aim at a minimum of lectures and a maximum of small group discussions. After the passage of the basic theory the emphasis should be based on observing, doing and discussing.

1003. Instruction can be supplemented by the following films:

- a. *Twelve O'Clock High.* This is a realistic film about leadership in war, with the stress of life and death situations. It deals with the problems faced by American bomber pilots in the early stages of World War II and the dilemma faced by their commanders over the question of whether to lead or to drive their men.
- b. *The Devil's Brigade.* This film is about leadership in war and is set against the background of the formation of a Special Air Service Brigade for a specific operation in Norway. Although a number of situations are slightly unreal or have been exaggerated, the film is nevertheless a valuable aid to teaching the three areas of need and the key functions of leadership.
- c. *The Way Ahead.* This film depicts the history of a British infantry platoon from the moment of its birth in a training depot to its baptism of fire. *The Way Ahead* is suitable for showing to recruits. It illustrates the transition from civilian to army life, the development from imposed to self-discipline and the importance of motivation.
- d. *Cockleshell Heroes.* This film is an account of a British Royal Marine Commando raid against German shipping in France in World War II. In the main it deals with the selection and training of the volunteers who are to carry out the operation, and ends with the raid itself. The film highlights individual courage, morale, esprit de corps, discipline and leadership. Besides being good entertainment, this film shows the importance of discipline.
- e. *Not This Time.* This film is about leadership in peace. It deals with the problem of re-engagement by soldiers at the end of their six year term. This is very much a matter of leadership by all commanders and the film brings out several important lessons.
- f. *Patton.* This film is an account of the military career of General Patton, US Army, during World War II. It follows his command in the Battle of Cesarine through to the conquest of Sicily and

movement into Italy and Germany. The film highlights individual courage and discipline as well as bringing out several points on leadership qualities.

- g. *A Gathering of Eagles*. This film has an armed forces background in a peacetime setting. It depicts the new commander of a B52 bomber wing in the Strategic Air Command of the USAF and the way he forged them into an efficient unit. The film illustrates many aspects of leadership, however, its value is limited due to the amount of time devoted to household and social situations outside the scope of leadership.
- h. *The Bedford Incident*. This film relates the story of an United States Navy Missile Carrying Destroyer, *The Bedford*, and its role in the cold war. It dwells upon the captain of the ship and shows how he handles the delicate task of tracking a Soviet submarine. All aspects of leadership theory are covered in the film, and it would be a valuable adjunct to any period of leadership instruction.
- i. *Zulu*. Set in Natal in 1869, this film depicts the true story of the Defence of Rourke's Drift by a company of British infantry against 4,000 Zulu warriors. The film clearly shows all aspects of leadership theory in a graphic and entertaining manner. It has the advantage of being able to show, junior ranking soldiers and officers in leadership situations, thus making the film particularly suitable for instruction at OR and junior NCO level.

BLOCK SYLLABI

Aim

1004. The aim of leadership training is to make the student aware of the nature and practice of Military Leadership so that he can apply his talents to the command of his men with confidence and understanding.

1005. COs' hours and character guidance training is supplementary to leadership training.

Junior NCO Training

1006. A suggested block syllabus is listed on [page 10-3](#).

RESTRICTED

10-3

<i>Subject</i>	<i>Method</i>	<i>Periods Allocated</i>
Introduction	L/D	1
Human Behaviour	S/L/D	4
Functional Leadership	S/L/D/O	7
Styles of Leadership	S/D	1
Communication	S/L/Ex	3
Motivation, Discipline and Morale	S/D/C	4
Principles of Leadership	D	1
Leadership on Operations	L	1
Exercise (practical exercise related to functional leadership in war and peace)	Ex	5
Case Studies	CS	4
	Total	31

Legend

- L – Lecture
- D – Small group discussion
- S – Study
- O – Observation exercise
- Ex – Exercise
- CS – Case Study

Senior NCO Training

1007. Training for senior NCOs should be based on the junior NCO syllabus. Theory should be recapitulated and covered in more depth, followed by further case studies and exercises in practical leadership situations.

Junior Officer Training

1008. The basic officer course should ensure that the student has a thorough understanding of the psychology of leadership and the functional approach to leadership.

1009. In addition, the young officer should be capable of selecting NCOs and developing and assessing the leadership potential of the men under his command. He should also be conversant with guidance and counselling.

RESTRICTED

RESTRICTED

10-4

RESTRICTED

CHAPTER 11

SELECTION AND ASSESSMENT

Introduction

1101. Previous chapters explain leadership training. If this was perfect, and all people were perfectly modifiable, then there would be no requirement to select potential leaders. But this is not so and, to use the old adage, one cannot make a silk purse from a sow's ear. So the attempt must be made to select those soldiers who are most likely to be successful leaders, in other words those who show the most leadership potential. Before we can select these potential leaders we must be able to assess our men with some accuracy and consistency and once they have earned their rank, NCOs and junior officers must be continually assessed by their superiors in order that units function effectively and these men can earn further promotion.

1102. Assessment and selection is therefore interrelated, and this chapter sets out the principles and methods of both assessment and selection.

ASSESSMENT

Purpose of Assessment

1103. A commander needs to know how good the individuals under his command are at their jobs. If this knowledge is provided continuously by assessment, any variations in the effectiveness of his unit can be readily explained.

1104. For a unit to function with maximum effectiveness, the soldiers in it must be employed to the best of their ability. If the commander knows his men, and is aware of their ability, as he should be, then by means of continuous assessment and reorganization within his unit, he can maximize its efficiency. In the same way soldiers performing below their capabilities can be identified with the aim of improving their standard of work.

1105. Assessment coupled with Performance Interviews as described in [Chapter 12](#), enables the commander to cull out those soldiers who, because of lack of ability or poor attitude, are consistently poor performers.

1106. Finally, a major purpose of assessment, and the one with which this chapter is most concerned, is to identify personnel most suited for promotion.

Characteristics of a Good Assessment System

1107. A commander should develop a system of assessment which is consistent and reliable. This not only makes for better leadership but also is economical, saving the time and improving the efficiency of the commander

himself. The characteristics mentioned in the following paragraphs are necessary for a sound assessment system.

1108. The assessment should be task-oriented. This is the functional approach, as described in previous chapters, and it places emphasis on what the soldier does rather than on particular qualities he might possess. Qualities should be noted, but should not become the basis of assessment. For example, Cpl Smith may have little sense of humour, and appear to be slow-witted, but might run an efficient, happy section. Cpl Jones on the other hand might be honest, well dressed and authoritative, but his section could botch every task it is given. If only the qualities approach were used to assess these two men Jones would appear superior, whilst in fact Smith should be assessed more highly because of his functional value.

1109. Reliability is an important characteristic of any system of assessment. If two officers capable of assessing use the same assessment system and arrive at different conclusions about a soldier then the system of assessment is unreliable. A reliable system stands the test of time and a soldier assessed under such a system can be validly compared with a second soldier assessed six months later under the same system.

1110. To be reliable and accurate, an assessment system should be capable of being numerically expressed. Different interpretations can so easily result from words used to describe a soldier's performance, but if that performance is expressed in the form of a numerical rating, it is less likely to be misinterpreted.

1111. Assessments must be meaningful and must be done for a purpose. There is little point in taking time to assess a soldier's ability as a marksman if he is being assessed solely for employment as a radio operator.

1112. An assessment system should be as objective as possible. Taking the functional approach and assessing in terms of behaviour, rather than impressions, increases objectivity, as does the use of a numerical rating system. If possible, a second opinion should be sought to counteract any personal feelings the assessor may have about the soldier he is evaluating.

1113. An attempt should be made to obtain a spread of ratings when assessing. Unless performances have been identical there is no point in giving everyone a rating of 9 out of 10, as this does not achieve one of the principal aims of an assessment system, ie, to discriminate between good and bad.

1114. The system should be simple enough for all assessors not only to understand but also to operate effectively.

1115. Following on from this, an attempt should be made to assess the raters themselves and the environment in which they operate, and thus account for any bias they may introduce.

1116. To justify his ratings, it is valuable for an assessor to note critical incidents, or actual occurrences involving those assessed, illustrating both strong and weak elements of their performance.

1117. Finally an assessment system, by utilizing guidance and counselling will improve the performance of soldiers being assessed, and maximise their potential.

Assessment of Subordinates

1118. Using a system of assessment based on the above characteristics, a commander must be continually assessing not only his soldiers, but also his NCOs and subordinate officers.

1119. Two broad components of effective leadership in the military context are knowledge of the task and group effectiveness. Knowledge of his task is vital to a leader's effectiveness and can be judged by direct observation and assessment of the results of his work, as an individual and as a leader. Group effectiveness is the ability to perform efficiently within a group, whilst influencing that group to successfully complete the allotted task. It can be broken up into three observable components, namely level of functioning, group cohesiveness and stability.

1120. Level of functioning is the ability to contribute to the functional aspects of the task by planning and organization. The level of functioning of the leader determines the efficiency and economy of effort with which the group approaches the task

1121. Group cohesiveness is the leader's ability to motivate and move the group in the direction of ultimate achievement of the task. If the group does exactly what the leader wants and does it efficiently and cheerfully, then this is an indication of his group cohesiveness.

1122. A leader who has stability or mental stamina can withstand frustration. If unforeseen difficulties arise in the task, or if the group shows reluctance or inability to cope with the task, then the leader's stability or his ability to adjust to this frustration will ensure the task is completed without a breakdown in his level of functioning or group cohesiveness.

FORMAL ASSESSMENT

1123. The Australian Army currently uses two report forms for the formal assessment of subordinates, the Report – Other Ranks (AAF A26A) and the Annual Confidential Report – Officers (AAF A26). Commanders are periodically required to assess their subordinates using these forms, and some guidelines for their completion are set out below.

AAF A26A Report – Other Ranks

1124. This form is used whenever an official recommendation for promotion of a soldier or NCO is to be considered, and is also used as an annual report form for NCOs. Other special occasions on which the A26A is to be used are outlined in *MBI 171-1, paragraph 403*. The A26A is completed by the soldier's commanding officer and sighted and signed by the soldier. It is forwarded to other reporting authorities, such as the formation commander if this is required, then to the Central Army Records

Office for verification of his eligibility for promotion. The form is then forwarded to the soldier's Head of Corps for approval.

1125. It is generally accepted that a commander should know a man for three months before he can accurately assess him. If the soldier has been known for less than this time, it is advisable to have the report completed and signed by the next most senior officer who has been able to assess him for three months or more.

1126. Section 17 of the A26A requires the reporting officer to rate the soldier in relation to others in his present rank and corps, on a number of variables which should be interpreted functionally, using a five-point scale from 'outstanding' to 'unsatisfactory'. This method of rating is known as the Graphic Rating Scale Method, and has the advantages of being clear, easily understood and relatively objective. A disadvantage of using this system of rating by itself is that it restricts what the rater can say about the person. When used with a narrative form of assessment, as in the A26A, it can be quite effective. More is said about narrative assessment later in this chapter.

1127. When completing Section 17, the assessor must be aware of the following points:

- a. Don't over-assess. Make the assessment realistic, but if it is flattering and puts the soldier on too high a pedestal, this can ultimately be damaging to his career, as his first report from someone else is likely to be less favourable, and it will be assumed that the soldier's performance is deteriorating.
- b. If, however, the soldier is being recommended for promotion, it is likely that he will be performing better than others of the same rank and Corps with whom he is being compared.
- c. Beware of the 'halo effect' in which a commander generalizes from one particular virtue or achievement to others, and consequently rates the soldier highly in all variables where he does not deserve it. The 'horns effect' is the reverse, introducing opposite bias, in which the commander becomes prejudiced against a soldier because of one particular weakness.
- d. If a particular aspect of performance appears in Section 17 of the A26A, but has not been observed by the commander, and he has had no reliable way of evaluating it, then this aspect should not be assessed, but left blank or marked accordingly.

1128. Section 18 gives the assessor an opportunity to describe the soldier in his own words. While this method of assessment is generally subjective, depending too much on the writing style of the assessor, when it is used in conjunction with a more objective technique such as Section 17, it does tend to balance the overall description of the soldier. As well as considering the qualities suggested at the top of Section 18, the assessor should consider any amplifying remarks that might explain or back up his ratings in the previous section. As space is limited, comments in Section 18 must be brief

and to the point. If the relating of one critical incident summarizes the whole performance of the soldier, this alone could be sufficient to include in Section 18.

1129. Section 19 asks for an opinion of the soldier's overall suitability for promotion, compared with others of the same rank and Corps. The assessor must make a distinction between the soldier's suitability for substantive or temporary promotion. If an element of risk or doubt is involved in the soldier's promotion then he should be recommended for temporary rank, and a comment included alongside Section 19. If the soldier, because of his job ability, is considered suitable for substantive rank straight away, this may be shown in the ratings in Section 19, and justified alongside.

1130. By means of continual performance assessment, together with regular performance interviews, the commander should have adequate information with which to answer Section 21, which refers to recommended future employment for the soldier. If there is reason to doubt the soldier's aptitude, ability or physical capacity for a particular employment, advice should be sought from local medical or psychology units.

1131. Sections 17 to 21 are summarized by the recommendation in Sections 22, 24 and 25. Section 23 contains a place for the soldier's signature, and before signing the report he must be allowed to read the completed report and comment on the assessment if he wishes. If the soldier shows signs of surprise or disagreement, the commander should follow the guidelines for the Performance Interview which are set out in [Chapter 12](#).

Annual Confidential Report – Officers (AAF A26)

1132. These reports are submitted annually, at different times depending on the rank of the officer being assessed. Details of reporting officers and dates for completion are contained in *MBI 166-9*.

1133. The A26 is regarded as an important document, as it is used by Heads of Corps and the Military Secretary's branch in determining types of employment, postings and promotion for officers. The assessment should therefore be as accurate and impartial as possible

1134. Before starting on each form, the commander is advised to re-read the instructions, taking particular note of the following points.

Knowledge of the Officer

1135. The commander's knowledge of the officer should be up to date and accurate. Isolated incidents, either favourable or unfavourable, should be seen in perspective. The officer is being assessed for the whole of the previous year or for as long as the commander has known him, so the assessor should check that his knowledge is complete, and if he has kept assessment notes during the year these should be consulted. If the commander is unable to complete Part III, Section 13 himself (duties of the officer in his current posting), then it is likely that the commander's

knowledge of the man and his job is insufficient to make a valid assessment.

Methods of Rating

1136. Two methods of rating are used in the A26, these being a forced choice, objective method in Section 14 and a non-structured narrative method in Sections 15 to 18.

- a. *Section 14.* The instructions should be read carefully beforehand. Eleven factors – a mixture of qualities and functional variables – are considered, and for each a number of statements ranging from favourable to unfavourable are presented. For each factor, the assessor puts a tick opposite one or more statements which he feels describes the man or his functional ability. The most favourable statement, and in some cases the least favourable, for each characteristic has two lines, one of which is marked ‘S’. For each of these statements that describes the officer, the one marked ‘S’ is to be used rarely – in about one-tenth of the cases. Consequently, this line should be ticked only in extreme cases. The points noted in paragraph 1127 in the discussion of the A26A are all relevant to this section of the A26, and should be re-read with this context in mind.
- b. *Section 15.* After Section 14, this section is the most important, as the commander has, in his own words, to present a word picture of the officer, noting strong and weak points. Hints on writing narratives, which is the term given to this style of assessment, are given in paragraph 1138.

The question ‘Have his weaker points been previously pointed out to him?’ is asked in section 15. The leader who has been continually assessing his subordinate leaders, and feeding back the results of his assessment by means of the Performance Interview will have, as a matter of course, pointed out weaknesses in a constructive way. If the commander has observed weaknesses and not passed this on to the officer, the officer is less to blame than his commander for any lack of improvement.

- c. *Section 16.* This section is self-explanatory, dealing with reasons why the officer may not have performed at his best. It is worth noting however, that it is the responsibility of the leader to attempt to keep his men working with maximum effectiveness by assisting them as far as possible to overcome any personal worries or problems that are affecting their performances. Counselling, and seeking the help of specialist agencies which can assist the officer, are two of the possibilities the leader should consider.
- d. *Section 17.* As mentioned in [paragraph 1135](#), the assessing officer should have a personal knowledge of the officer’s duties

and any extra activities he undertakes such as those mentioned at the top of Section 17. This section simply requires a list of such activities with comments on the officer's effectiveness in these activities.

- e. *Section 18.* If the assessment has been functionally oriented, ie, if it emphasizes what he does, rather than what sort of person the officer seems to be, then the assessor should have an accurate impression of the officer's suitability for different types of employment, including promotion and attendance at courses. Personal qualities should not be neglected entirely, and in some cases, eg, consideration for a recruiting posting, qualities are very important. Using his knowledge and judgement, the assessor should be able to decide on his recommendations for Section 18 without trouble.

1137. The officer being reported on must see the report and initial it before it is forwarded to the next superior authority. If the officer is surprised at the content of the report, it could well be a sign of inadequate feedback from his commander in the past. If the officer wishes to make representations to a higher authority about the content of the report, he must be allowed to do so in writing and thereafter this representation is attached to the report as it passes through the hands of the higher authorities.

Notes on the Writing of Narratives

1138. A Narrative Method or Free Form Method of evaluation is required in Section 15. The following notes may be used as a guide when writing a narrative:

- a. A narrative should ideally amplify what has been said in a more objective way (eg, Section 14 of the A26). If the objective form of rating is considered incomplete in some aspect, the narrative can fill this gap. If the functional approach is being taken, the narrative should emphasize deeds rather than just qualities.
- b. Don't infer or hint in the narrative. If a point is to be expressed, say directly, as ambiguity can be dangerous. A relevant example is of the school teacher who wrote a report on a child who had been caught copying in an exam saying he was 'forging his way steadily ahead'.
- c. Be concise. Don't write things as they come to mind but plan the narrative so it is concise and to the point.
- d. Don't give backhanded compliments, which indirectly condemn, eg, phrases like 'Has cut down on his drinking lately' should be avoided.
- e. Avoid words which have unfavourable connotations, eg, quiet (can mean a poor mixer); young (can mean immature); adequate (infers 'barely adequate').

SELECTION

1139. Having evaluated the performance of his soldiers, the commander is able to select those with leadership potential for promotion to positions of responsibility. The commander can and should identify potential officers amongst his soldiers and, taking into account their functional ability and psychologically assessed aptitudes, encourage them to apply for a commission. The actual selection of officer candidates is the responsibility of a Department of Defence (Army Office) Selection Board. The selection of NCOs, however, is the responsibility of the Commander.

1140. In considering men for promotion, the commander must take into account not only the potential leader himself, but also the task he will be expected to perform. The task will vary with the type of men he is expected to lead, and the situation, or situations, in which the group will have to perform. The leader's group effectiveness, described in [paragraphs 1119 to 1122](#) determines the extent to which he is the master of himself, his subordinates and the situation. There are six variables which, if possessed consistently by a soldier, help determine his group effectiveness, and therefore assist in the selection of NCOs. These are the individual's capacity, achievement, participation, status, responsibility and the situation.

Leadership Variables

1141. Capacity. The capacity which has been shown to correlate most closely with leadership is mental capacity. A leader must have sufficient intelligence and aptitude to function effectively. The soldier's Selection Grading (SG) rating, is the best indicator of his mental capacity and psychology units will advise the commander on this and on what particular aptitudes the soldier possesses. There are other indicators of mental capacity, such as alertness, verbal facility, originality and sound judgement, but these qualities, because they tend to be judged subjectively, should be verified against his SG rating and, if possible, judged independently by another assessor as well.

1142. Achievement. The second leadership variable, achievement, is easier to measure. The soldier's on-the-job performance can be assessed, and other indicators such as education level, past employment, special skills and athletic prowess can be ascertained without difficulty.

1143. Participation. Participation means the extent to which the soldier can mix and communicate with others. His sociability, adaptability, cooperation, sense of humour and acceptance by the group are all 'qualities' which must be subjectively assessed, but can be verified by observing the extent and nature of his participation within the group.

1144. Status. In the military context especially, a leader's effectiveness will depend on the status which he holds in the group. If a private soldier is given NCO rank, his status in the formal organization changes and his effective leadership should improve. If a soldier appears to have all the qualities of leadership but is exerting little effective influence on his peers,

it can be reasonably assumed that once his status improves so will his leadership. In selecting potential leaders therefore, a commander must judge the effect the extra status of rank will have.

1145. Responsibility. Responsibility is self-explanatory as a variable which affects leadership. If a soldier shows some irresponsibility in his present situation, a judgement must be made as to how the added responsibility and different situation after promotion will affect his behaviour. Factors from which responsibility can be assessed are dependability, initiative, persistence, self-confidence and motivation.

1146. Situation. A good leader in one situation will not necessarily be as effective in another. The situation therefore is an important variable of leadership. For example, the commander must be aware in his selection whether his potential NCO will be employed as a regimental duties NCO or as a transport corporal. What sort of soldiers will he have to lead? What are their capacities, status, skills, needs and interests likely to be?

Weighing the Leadership Variables

1147. If a commander is able to assess the first five variables outlined above, and if he knows the situation the NCO will have to face, he should give consideration to the more important variables first, or in other words he must weigh the different variables, depending on the situation.

The Selection Process

1148. A commander will rarely be able to assess properly all the variables outlined in the on-the-job situation. However, in many cases he will have no alternative, and he must select his NCOs as best he can using as much information as he can gather. The selection process is made much more accurate if it can be systematized, by putting each of the potential leaders into controlled situations where their group effectiveness can be observed.

1149. It is recommended that, if the resources are available, short leader identification courses, lasting from one day to a week, be conducted within units. Suggested syllabi for leadership courses are set out in [Chapter 10](#) of this pamphlet, and though these deal with the more formal training aspects of leadership, they contain ideas which can be adapted for leadership identification courses.

1150. Examples of the structured situation that can be used for identification and selection are:

- a. *Group Problem Solving.* No leaders are appointed but small groups have to solve theoretical or practical problems in a limited time. Those exhibiting the best group effectiveness will emerge as leaders.
- b. *Artificial Leadership Problems.* Leaders are appointed to small groups which are set a task to perform. One or more 'stooges' in the group are instructed to disrupt proceedings, and the leader's ability to deal with frustration is observed.

RESTRICTED

11-10

- c. *Individual Problems.* Either physical tasks or tasks requiring intellectual ability are set on an individual basis to test for special skills or knowledge.

1151. With imagination and perhaps a little help from outside organizations, a leader identification course can be rewarding for the leader and his subordinates. Care must be taken that, if leaders are being selected for specific situations, the problems which are set are relevant to those situations. If a formal course cannot be run within the unit, yet time does exist to experiment, a commander can introduce structured leader identification tasks into periods allotted for unit training. By doing this he will be able to select his potential NCOs efficiently by combining the observation of leadership variables with some formal selection procedure, without becoming involved in the organization and time that are required to run a more formal leader identification course.

RESTRICTED

CHAPTER 12

GUIDANCE AND COUNSELLING

‘No one can solve another person’s problems. Every individual has some capacity to organize himself towards becoming the person he wants to be, and an indication of a leader’s effectiveness is how far he can assist his men to do this.’

Introduction

1201. Personal guidance of his men is a vital part of the leader’s task. By means of interviewing and counselling where necessary, the leader not only increases the effectiveness of individual soldiers, but achieves the benefits of improved communication and consistently high morale.

1202. Interviewing may be defined as a form of communication directed towards guiding, aiding or understanding another person by means of a face-to-face talk.

1203. Counselling is defined as the discussion with a subordinate of his problem, with the intention of arriving at a solution.

1204. This chapter will deal with the use of the interview and the counselling situation in a military context.

INTERVIEWING

1205. The purpose of the interview, as expressed in the definition above, is to give or gather information with the intention of guiding the person involved. The interview differs from counselling in that a specific personal problem is not usually involved.

When to Interview

1206. On joining the unit a soldier should be interviewed, with the purpose of welcoming him, and gathering information about his qualifications, military background and domestic situation. His duties and the commander’s policies should be explained to him at this time. The soldier should then be handed over personally to the member in charge of unit indoctrination procedures.

1207. From time to time it will be necessary to interview soldiers who will be responsible for special or unusual tasks. This includes interviews of soldiers being promoted, where relevant praise should be given together with an explanation of the soldier’s new responsibilities and the commander’s policy. Under this category of interview also come individual

briefings which cannot be carried out adequately by normal order groups or group briefings.

1208. On leaving the unit, the initial indoctrination procedure is reversed. During the final interview, the soldier should be praised if special credit is due, so that the man leaves the unit with the satisfaction which should come from a job well done.

The Performance Interview

1209. The most important type of interview is less obvious than those mentioned above, though it cannot be neglected if the leader is to be effective. This is the Performance Interview. If a soldier is to develop he must be constantly learning, but effective learning cannot take place without feedback, or knowledge of the results of performance. It can be illustrated like this:

Assimilation of New Skills	Trials of These Skills	Feedback	Adaptation and Repetition
(LEARNING)	(TRIAL) (PERFORMANCE)		(REVISED) (PERFORMANCE)

1210. Without feedback, or knowledge of results, a soldier cannot learn. Whether he is making mistakes or performing correctly, he won't know unless he is told. Feedback leads not only to improved performance, but also to job satisfaction and improved morale. One very effective way of providing feedback, especially where performance is either unsatisfactory or outstanding, is through the Performance Interview.

The 'Sandwich' Technique

1211. Much has been said about the 'sandwich' technique as a method to be used in performance interviews. While it should not be over-emphasized it is worth describing here. For periodic feedback, which should be given to every soldier, the interview can take the following form:

- a. A review of the stronger points of a soldier's performance.
- b. Specific mention of any weakness (or strength) that has been consistent or needs attention, and a discussion of necessary remedies, if referring to a weakness. The soldier should be allowed to state his case to establish the validity of your criticism.
- c. His overall performance, including strong points, should be re-emphasized, motivating him to want to do as well as he can in future. The interview should conclude on a positive note.

1212. For more serious weaknesses, due to poor attitude or breaches of discipline, the 'sandwich' technique can take the following form:

RESTRICTED

12-3

- a. A 'verbal blast' in which the soldier is confronted with his deficiencies in no uncertain terms.
- b. The soldier is allowed to give his reasons for his shortcomings and these are considered.
- c. His deficiencies are again emphasized, so that he departs with the full knowledge of why he has been reprimanded, and what he must do to correct his deficiencies.

Approach to Performance Interviews

1213. The following simple check list can be used as a guide for performance interviews:

- a. emphasize strong points and don't just criticize unless this is warranted;
- b. don't use the 'sandwich' method too much, as individuals may miss the point, or become suspicious of praise, expecting criticism always to follow;
- c. note improvements if they occur;
- d. watch habit patterns, and correct these early by means of an interview, whether this be formal or on the spot;
- e. be specific – if criticism is justified, use it;
- f. criticism and praise should be job-related rather than personal;
- g. give the soldier the opportunity to tell his story, and listen; and
- h. criticize realistically – be aware of the soldier's limitations.

COUNSELLING

1214. The guidelines mentioned above apply to the performance interview. If a specific personal problem becomes evident during the interview however, then the normal rules of interviewing will cease to apply, and the leader should re-orient the interview in accordance with the principles of counselling. Counselling, as defined in [paragraph 1203](#), is a process whereby a problem is discussed with a subordinate with the intention of arriving at a solution.

Identification of Problems

1215. Problems do not always become evident during an interview. A commander may become aware of a subordinate's problem if the man approaches him with it directly. But the wise leader can become aware of problems through other indicators. These are indicators of individual morale and include the following:

RESTRICTED

- a. decrease in work level;
- b. increase in the consumption of alcohol;
- c. change of mood, especially depression and/or shortness of temper;
- d. loss of decisiveness and decrease in overall effectiveness; and
- e. odd behaviour, eg, lack of punctuality, requests for special leave, etc.

Methods of Counselling

1216. The various counselling methods fall into three categories, directive counselling, non-directive counselling and eclectic, or variable counselling, which is a combination of the other two.

1217. Purely directive counselling occurs when the counsellor makes decisions for the individual concerned. The tone of the counselling situation is such that the counsellor interprets what the problem is, suggests various solutions and recommends one to the subject. In a military situation this form of counselling should be used rarely, if at all, and then only when the soldier's emotional state or complete lack of maturity forces his commander to make a decision for him. Unfortunately this form of counselling is sometimes abused, and used when a less directive form would achieve more.

1218. In pure non-directive counselling the counsellor makes no direct suggestions, but by asking neutral questions guides the individual, enabling him to see the problem in a clear light, suggests his own decisions, and solve his own problem. This approach requires the counsellor to totally accept the soldier, his attitudes, values and behaviour, the counsellor acting only as a catalyst who has no direct influence on the individual. This approach is often impossible or undesirable in the military context because of the conflict of roles of the commander who is also acting as counsellor.

1219. The third method of counselling, and the method most often used and most suited to the military context is a combination of directive and non-directive counselling. Here the counsellor, by actively assisting the individual, helps him to identify his problem, discusses it with him and then helps him as far as possible to suggest the best solution himself.

1220. The three methods are mentioned here because each soldier and each problem is different, and it depends largely on the skill and experience of the counsellors as to which method or combination of methods will have the best results.

The Results of Counselling

1221. Wise counselling will achieve the following results:

- a. *Advice.* If the leader is experienced and qualified to give it, and the method of counselling allows it, advice can be given to the soldier. Commanders should be wary, however, of giving

too much advice. No matter who gives advice the soldier is much more likely to attack his problem effectively if he has worked out the solution himself.

- b. *Communication.* As well as giving the commander insight into the problems and feelings of his men, counselling also serves as an opportunity for improving downward communication, when the problems are related to the job his men are doing. It can therefore serve to improve both the upward and downward communication within the unit.
- c. *Emotional Release.* By merely talking to someone who is prepared to listen, the soldier will probably find that he feels better and is more able to face his problem. Tension subsides and emotional blocks decrease by talking to someone about the problem which hitherto has probably been magnified in his own mind.
- d. *Clarified Thinking.* Following on from paragraph 1221.c. the soldier will probably find he is able to think more clearly about his problem after talking for a time. The counsellor can also help to put the problem into a perspective which the soldier has not seen before because of his emotional state.
- e. *Reassurance.* The counsellor, by helping put the problem into proper perspective, can reassure the soldier and help give him courage to tackle the problem. The counsellor should be careful, however, not to reassure blandly when there are no grounds for this, as this could result in loss of confidence in him by the soldier.
- f. *Re-orientation.* With the counsellor's help, the soldier should come to realize his own limitations, and be encouraged to make a consequent change in his basic goals and values if necessary. Realizing the limitations of a soldier's ability is important for a counsellor, who at this point should obtain advice from specialist agencies, in particular the Army Psychology Corps.

Principles of Variable (Eclectic) Counselling

1222. The following principles refer to variable and non-directive counselling and not to directive counselling. The extent to which they should be followed depends on how direct the counselling approach is.

1223. Firstly, there must be an attitude of acceptance of the individual. The commander counselling a soldier must make the soldier feel at ease, and whilst normal military conventions must still, within reason, be observed, the counsellor must not project a hostile or indifferent image.

1224. Secondly, the commander must try to see the situation as the soldier would, from his level, and with his limitations.

1225. Thirdly, as far as possible decisions should be left to the individual to make.

Procedure in Counselling

1226. Counselling procedure can be broken up into three phases of before, during and after the interview. Before the counselling session begins, if the situation allows, adequate preparation should be carried out. Knowledge of the soldier should be acquired, and uninterrupted privacy should be arranged.

1227. In the interview itself, start by putting the soldier at ease. An easy, relaxed but sincere manner on the part of the counsellor will do much to produce the same manner in the soldier. Don't necessarily rush into the problem until the soldier appears to have accepted you. Emphasize confidentiality if this is not already understood. Then let him talk as much as possible. Avoid the temptation to 'run the show', and try by thoughtful questions and interested listening to induce him to get to the basis of the problem himself. If you have to take notes to record specific detail, explain to the soldier why note-taking is necessary. Avoid the temptation to put up your own solutions to his problem, but try to induce him to see those solutions himself. Finish the session on a positive note, for if optimism and confidence are shown by the counsellor the soldier is likely to leave with a similar attitude. After the interview, immediately record the important points, together with impressions and interpretations. This is important, in case future sessions are necessary, rather than trusting to memory. The leader should then endeavour to follow up the results of the counselling in an unobtrusive way.

Questioning Techniques

1228. Open and Closed Questions. Open questions have the advantage of stimulating the soldier to talk, while closed questions, which can be answered by a simple 'Yes' or 'No' are unproductive and tend to make conversation stilted. A closed question such as 'Do you play football at weekends?' would be more productive if asked in an open form such 'How do you occupy your spare time at weekends?'

1229. 'W' Questions. Questions beginning with 'W', ie, what, why, when, and where, with the addition of how, are helpful in obtaining concise, factual information. Unless used carefully, however, they tend to be used as closed questions. Another danger with 'W' questions is that they can, if not used carefully, force the soldier onto the defensive, and this is undesirable in counselling.

1230. Leading Questions. These should be used rarely, if at all. An example of a leading question is one which starts with 'Do you think....?' This anticipates a particular answer and is undesirable.

1231. Neutral Questions. When a previous answer could be amplified, a neutral question such as 'What do you mean?' or simply 'Go on', will tend to produce the desired result.

1232. The Silent Question. This is often more valuable than a stated question, and a short period of silence can stimulate the soldier to express what is on his mind, particularly once he has 'warmed up'.

Rules to Follow in Counselling

1233. As a general summary of the techniques of counselling the following sets out a list of DO'S and DON'TS for the counsellor. They are not exhaustive but serve as a guide only.

- a. Pre-establish the purpose of the session.
- b. Prepare and plan beforehand.
- c. Arrange privacy.
- d. Respect the interests and individuality of the soldier.
- e. Inspire trust by a sincere manner and by emphasizing confidentiality. If what he starts to tell you cannot, by its nature, be kept confidential, inform the soldier before he commits himself.
- f. Don't dominate the conversation.
- g. Use questions that encourage the soldier to talk freely.
- h. Try to keep views and opinions to yourself.
- i. Don't give unqualified advice.
- j. Don't make assurances you can't keep.
- k. Be objective, don't pre-judge the soldier or his problem.
- l. Try to avoid being sidetracked for lengthy periods.
- m. Don't necessarily take everything at face value. Cross questioning sometimes pays dividends.
- n. Try to guide the soldier into arriving at his own decisions.
- o. Close the session positively.
- p. Record information and interpretations.
- q. Keep confidences.
- r. Follow up unobtrusively.

Agencies to Assist the Leader/Counsellor

1234. A point will be reached in every counselling situation when the soldier's problem is clearly identified. At this point the counsellor must decide whether to carry on himself and try to guide the soldier to a decision, or whether to refer him to agencies better qualified and experienced than he to assist the soldier. The Army has a number of agencies staffed with professionals trained in specific counselling procedures to help the leader and his subordinates with their counselling problems.

1235. The Royal Australian Army Chaplains' Department. Chaplains are available to all Army units, and minister to the religious and

moral needs of Army personnel and their dependants in the same way as civilian ministers, priests and rabbis minister to their congregations. Chaplains are most competent to deal with problems of a spiritual or moral nature, and the soldier has the privilege of direct access to his chaplain. Most chaplains are also experienced in such areas as Marriage Guidance Counselling. A good working relationship between the chaplain and the commander will aid both in the accomplishment of their responsibilities.

1236. Royal Australian Army Medical Corps. Medical units are available to all personnel and will assist in the treatment of soldiers suffering from both physical and emotional disabilities. If a soldier is performing poorly and his physical or mental well-being is in doubt, the commander is advised to refer him to a medical officer rather than dismiss the problem without investigation. Soldiers suffering from anxiety or emotional upset can often develop the symptoms of real physical illnesses which should not be interpreted as being the result of laziness or malingering. If necessary medical officers refer these patients for specialist medical or psychiatric treatment.

1237. The Australian Army Psychology Corps. Psychology units are located in all major military areas and officers of the Corps are qualified psychologists, trained in counselling and guidance. The Psychology Corps conducts aptitude and ability tests for all soldiers on entry, and psychologists will advise commanders on the employment of their soldiers. If a commander suspects any limitation in the ability of one of his men who is not performing as expected, an Army psychologist will advise him in this. Officers of the Psychology Corps are also trained in assessing and counselling soldiers whose performance is being affected by emotional problems. If specific action is indicated, the psychologist will recommend this to the commander.

1238. Australian Army Legal Corps. Officers of the Legal Corps will provide advice on legal problems. They will also assist in the preparation of wills, and commanders may refer to them a soldier with civil legal problems on which he needs advice.

Legal Service Bureau

1239. Officers of the Army Legal Corps are not empowered to represent soldiers in civil courts, but the Legal Service Bureau in the State concerned can be contacted directly by a commander. The Legal Service Bureau is a Commonwealth organization and will act for soldiers in civil matters or arrange a civil solicitor to perform the work at reduced charges.

Family Liaison Organization

1240. This organization is sponsored by Personnel Branch and consists of members who are experienced and trained in giving welfare assistance to members' families. Its primary function is to advise and assist families of members absent on duty, but Welfare Officers will also advise and assist in most matters relating to the families of servicemen. Further information for the commander is set out in *MBI 278-8*.

AMF Relief Trust Fund

1241. Full time serving members and their dependents who are in financial difficulties may apply for loans from the AMF Relief Trust Fund. Financial assistance may be approved by the Fund's Regional Committees, who are situated in military districts and the main military areas. It is generally not granted unless members are unable to achieve a 'basic living level' without it. Loans are interest free and repayable in a maximum of from three to five years. Details of eligibility and commanders' responsibilities in this regard are contained in *MBI 278-5*.

RESTRICTED

12-10

RESTRICTED

CHAPTER 13

CONCLUSION

1301. A senior warrant officer was once heard to remark 'Leadership! I have no problem with that. I tell a man to do something and he does it.' It could be argued that in an essentially authoritarian organization such as the Army, leadership is desirable but in the long run apparently not essential. This leader did not realize that he had learned by experience much of the theory which these pamphlets set forth. What then is the purpose of these pamphlets?

1302. Their purpose is to set forth some of the more important concepts relevant to military leadership. Hopefully, a deeper understanding of leadership will develop and if this is the case, junior leaders, be they officers or non-commissioned officers, will become more effective leaders sooner than they would without this knowledge.

1303. Leaders, actual and potential, must remember that leadership is essentially a social science, dealing with the inter-action of people in a group. The leader's task is to influence the group so that given goals, or missions, can be achieved and once they have been achieved those who did the work receive some measure of individual and group satisfaction, ie, there is some incentive and reward for good performance.

1304. Leadership is a very personal concept and the leader who forgets that his prime concern is his followers will surely fail. Although he may be successful as a manager or a commander and indeed may complete assigned tasks to the satisfaction of his superiors, leadership can only be conferred by followers, and this acceptance is the acid test of leadership effectiveness.

1305. The pamphlets are set out to show that leadership is learnable behaviour. All people, to a greater or lesser degree, are able to influence others, ie, to lead. A deeper understanding of leadership and of individual and group behaviour, provided those studying have the capacity to apply the knowledge gained, must result in more effective leadership.

1306. In the Army, an appointee to command, at any level, is initially an imposed leader, and it must be his personal goal to gradually become the accepted leader. All considerations of personality and functions aside, the appointed leader must positively identify with his followers. Identification with the group is a prerequisite to acceptance by the group.

1307. History provides many examples of leaders: persons who, in their time, were able to influence nations and change the course of history. The most outstanding recent examples are such people as Churchill, Hitler and Mussolini. Clearly, whilst there may be criticism of some of his decisions, such as the fire bombing of German cities, Churchill was a 'leader for good' in that his ultimate objective was the defeat of tyranny and the restoration

of peace and freedom – goals to which most people aspire. Hitler and Mussolini, on the other hand, were 'leaders for bad'. Although they achieved much and satisfied many goals in the eyes of their nations, on balance they led their nations into evil. Aside from the many atrocities committed in the name of the German and Italian people, the utter defeat and destruction of those nations clearly were not national goals.

1308. What is the point of this recollection? Simply this: once a group places its trust and welfare in the hands of its accepted leader, a great moral responsibility lies with the leader; he must never violate that trust, for if he does, he alone must bear full responsibility for the consequences which ensue. For this reason, the personal integrity of the leader is of paramount importance. A leader whose personal integrity is questionable will rapidly lose the esteem of his followers; his future as an accepted leader will be in jeopardy.

1309. 'A unit will only be good when it can show that it is different', is an argument used by those who believe that some measure of nonconformity is essential to foster esprit de corps. Whether that is true or not, it would be true to say that over-insistence on conformity, although making management simple, has a bad side effect in that it stifles imagination and originality.

1310. Taking this argument to the level of the individual, research shows that all individuals are different and further they demand that their individual differences be respected. When acting as a member of a group, however, the individual voluntarily submerges certain of his differences in the interests of group cohesion so that that the attainment of group goals can be achieved more easily.

1311. Individuals and groups will accept idiosyncrasies of the leader (and other individuals within the group), but this acceptance is subject to some pre-conditions being met. Some of these pre-conditions are: the degree to which the leader has proven his capacity and competence; the idiosyncrasies are not offensive to either the individuals or the group as a whole; the leader's capacity for empathy with the group; and the leader's effectiveness in his role as leader of the group.

1312. It may be said, therefore, that each leader is granted by his followers 'idiosyncrasy credits', and his idiosyncrasies will be accepted provided he does not overdraw his credit. Some well known examples of idiosyncrasies being accepted are Field Marshal Montgomery's two-badged beret and General Patton's pearl-handled revolvers. Most people can draw on examples they have seen of leaders who overdrew their idiosyncrasy credits, resulting in a loss of esteem and, in some cases, the scorn and ridicule of their followers.

1313. Since leadership is a social interaction, between the leader and his followers, the effects of his actions on other people, in addition to how he functions, must be considered when examining a leader. Every leader is different, and some of the areas of difference are:

- a. *Personality.* Although the personalities of leaders in the Army generally fall within the range described as normal, they all display characteristics which make them different as individuals. They usually vary along the extroversion-introversion scale, and along the scale which distinguishes dominance from submissiveness. A leader high on the extroversion and dominance scales is probably a forthright, outgoing and perhaps even aggressive leader. This type of leader often influences people through the simple force of his personality and provided he can control his dominance and extroversion he can make the most effective type of leader. On the other hand a more introverted, less dominant personality type is still able to lead effectively, though this type of leader is more likely to rely on techniques such as cool headedness, logical thought and expert knowledge of the task in order to lead. In other words, a leader must be aware of the strengths and limitations of his own personality, as well as each situation as it arises, and choose his methods accordingly.
- b. *Personal Characteristics.* In [Chapter 5](#) of this pamphlet a number of leadership qualities or personal characteristics are mentioned. The degree to which a leader is perceived by his superiors, peers and subordinates to possess these characteristics will affect the status and esteem he is accorded. The list given is by no means all-embracing; research currently being conducted is veering towards a more conceptual approach to characteristic requirements, and qualities such as the will to lead, the need for power, and the capacity for empathy are considered to be extremely important. All leaders possess these characteristics to a greater or lesser degree. It is suggested that the leader must examine himself closely, critically evaluating his strong and weak points. When operating as leader, he should lean more heavily on his strong points, and at the same time strive to build up the characteristics in which he is weak. It is folly for a leader to expose his weak points, because unscrupulous people can then take advantage of him and may reduce his leadership effectiveness.
- c. *Knowledge.* A leader who intends to be effective must continually strive for knowledge. The areas of concern in this study are professional knowledge, which is necessary for competence, and knowledge of leadership, command and management. In modern western societies there is increasing importance being placed on technology; management is becoming more complex; and the value of the individual is continually rising. It is essential that those who lead be properly equipped to effectively manage this increasingly highly-trained and valuable human resource. More and more re-

RESTRICTED

13-4

search is being done on the behavioural and managerial sciences; those who aspire to positions of influence in large organizations, particularly those which deal with people, will need to further their knowledge in these areas of study.

- d. *Function.* The functions detailed in these pamphlets are not all inclusive; there are many other functions, subsidiary to those listed, which the leader must perform. The functions are essentially 'what the leader does' and in the final analysis, it is the most critical area of examination of any leader. You will be judged by 'what you do', to a greater degree than by 'what you are'.

1314. 'Know yourself!' The leader and potential leader must be prepared to critically evaluate himself and be prepared to be his own severest critic. Superiors will report on what they observe and will point out undesirable characteristics and areas of weakness. Subordinates, however, retain their own counsel. How your subordinates perceive you and the degree to which they accept you and confer on you the title of leader will finally determine your ultimate worth to the Army.

RESTRICTED

RESTRICTED

(1)

BIBLIOGRAPHY

- | | | |
|---------------------------------------|---|--|
| Adair, John | <i>Training for Leadership</i> | Macdonald 1968 |
| Adamson, A | <i>The Effective Leader</i> | Pitman 1970 |
| Australian Army | <i>Military Training Pamphlet
Leadership (Provisional) 1957</i> | |
| Aust. Staff College | <i>A Handbook on Leadership</i> | Study project 1971 |
| Burby, Raymond J. | <i>Fundamentals of Leadership
A Guide for the Supervisor</i> | Addison-Wesley 1972 |
| Byrt, W.J. | <i>People and Organization</i> | McGraw Hill 1971 |
| Canadian Forces | <i>Leadership Vol 1 (CFP 131 (1))
Junior Leaders' Manual 1966
Leadership Vol 2 (CFP 131 (2))
The Professional Officer 1966
Leadership Vol 3(CFP 131 (3))
Basic Officer Training
Assessment Procedures</i> | |
| Cartwright, D. and
Zander, A. (Ed) | <i>Group Dynamics, Research and
Theory (2nd Ed)</i> | Harper and Row 1960 |
| Clarke, Bruce C. | <i>Guidelines for the Leader and the
Commander</i> | Stackpole 1964 |
| Gibb, C. A. (Ed) | <i>Leadership</i> | Penguin Modern
Psychology reading
1969 |
| Hayes, J.H. and
Thomas, W.N. | <i>Taking Command</i> | Stackpole 1967 |
| Hoefling, John A. | <i>Leadership There is No Right Way</i> | Army (US) Jul 1970 |
| Langtry, J.O. | <i>Man the Weapon Neglected
Aspects of Officer and Junior
Leader Training</i> | AAJ No 202 Mar 1966 |

RESTRICTED

RESTRICTED
(II)

Marshall, S.L.A.	<i>Men against Fire</i>	William Morrow and Coy 1947
R.M.A. Sandhurst	<i>Serve to Lead</i> (an Anthology)	HMSO 1969
Sanford, F.H.	<i>Research on Military Leadership</i> (in J. C Flanagan (Ed)) <i>Psychology</i> <i>in the World Emergency</i>	University of Pittsburgh Press, 1952
U.S.Army	<i>Leadership FM22 - 100</i>	

RESTRICTED