“Leadership is all about people. It is not about organizations. It is not about plans. It is not about strategies. It is all about people – motivating people to get the job done. You have to be people-centered.”

--Colin Powell

September 2008
ON-LINE RESOURCES


Navy E-Learning available through NKO: https://wwwa.nko.navy.mil/portal/splash/index.jsp
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SECURITY AWARENESS NOTICE

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This course does not contain any classified material.

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SAFETY/HAZARD AWARENESS NOTICE

This notice promulgates safety precautions to the staff and trainees of the Naval Leadership Training Program in accordance with responsibilities assigned by the Chief of Naval Education and Training.

Trainees may voluntarily request termination of training. Any time the trainee makes a statement such as “I QUIT,” or “DOR,” (Drop on Request), he or she shall be immediately removed from the training environment and referred to the appropriate division or training officer for administrative action. The trainee must then make a written statement, clearly indicating the desire to DOR.

Any time a trainee or instructor has apprehension concerning his or her personal safety or that of another, he or she shall signal for a “Training Time Out” to clarify the situation or procedure and receive or provide additional instruction as appropriate. “Training Time Out” signals, other than verbal, shall be appropriate to the training environment.

Instructors are responsible for maintaining situational awareness and shall remain alert to signs of trainee panic, fear, extreme fatigue or exhaustion, or lack of confidence that may impair safe completion of the training exercise, and shall immediately stop the training, identify the problem, and make a determination to continue or discontinue training. Instructors shall be constantly alert to any unusual behavior which may indicate a trainee is experiencing difficulty, and shall immediately take appropriate action to ensure the trainee's safety.

The safety precautions contained in this course are applicable to all personnel. They are basic and general in nature. Personnel who operate or maintain equipment in support of Naval Leadership Training Program must be thoroughly familiar with all aspects of personnel safety, and strictly adhere to every general as well as specific safety precautions contained in operating and emergency procedures and applicable governing directives.
HOW TO USE YOUR GUIDE

This publication has been prepared for your use while under instruction. It is arranged sequentially, in accordance with the modules taught, and then the topics that fall under each module. By using the table of contents, you should be able to easily locate the module topics. The enclosed course schedule will allow you to follow the course of instruction in a logical manner.

Under each module, there may be the following instruction sheets:

**TOPIC SHEETS:** Provide a listing of major teaching points. The outline is consistent with the discussion points contained in the instructor guide. It allows you to follow the progress of module topics, to take notes as desired, and to retain topic information for future reference.

**EXERCISE SHEETS and CASE STUDIES:** Used in conjunction with other instructional materials presented during the topic. These may also be used to present scenarios for discussion during the topic of instruction.
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## Module 1 Principles of Leadership

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TERMINAL OBJECTIVES

1. **DEFINE** the characteristics of Leadership necessary to meet the expectations of a Petty Officer First Class.

2. **DEFINE** the characteristics of Professionalism necessary to meet the expectations of a Petty Officer First Class.

3. **DEFINE** the principles of Management required to meet the expectations of a Petty Officer First Class.

4. **DEFINE** the methods of Sailor Development necessary for a Petty Officer First Class to improve Sailors personally and professionally under their supervision.
"We are the world's finest Navy. Take pride in the fact that we provide for the safety, security and prosperity of our Nation. We are headed in the right direction and I count on your leadership, intellect, commitment and drive to keep us moving forward."

--ADM Gary Roughead, CNO

**First Line Leadership** – First Class Petty Officers are fully engaged Deckplate Leaders who drive mission accomplishment daily. They lead adherence to the Navy Standard through personal example and commitment to teaching their Sailors. They must challenge, mentor and measure their division’s and command’s success through team performance and deckplate results.

**Rating Expertise** - First Class Petty Officers are developing experts who learn from their Chief and train their Division. They demand consistent procedural compliance and accuracy from themselves and those they lead.

**Professionalism** – First Class Petty Officers are the Navy’s first line professionals who execute the right things at the right time for the right reasons.
- Integrity governs all their actions from leadership through watchstanding and is the foundation upon which consistent mission accomplishment is built.
- Their commitment to our profession is seen through dedicated self improvement and a passion for excellence in themselves and all Sailors.

**Communication** – First Class Petty Officers clearly communicate standards to the Sailors they lead, while consistently keeping the chain of command informed. The deckplate triad of Division Officer, CPO and First Class Petty Officer is only effective with their input and deckplate perspective.

**Loyalty** – First Class Petty Officers are visibly loyal to the command, Sailors, peers and themselves. They utilize opportunities to provide feedback and actively support guidance. They create circumstances which give their Sailors the opportunity to succeed.

**Heritage** – First Class Petty Officers are proud of our shared history. They take opportunities to weave it into daily events, so our Sailors understand that a commitment to excellence is a time-honored tradition that connects our past while forging the foundation of our future.
ENABLING OBJECTIVES

- **STATE** the Navy’s definition of a Petty Officer First Class (PO1).
- **DEFINE** the Master Chief Petty Officer of the Navy’s (MCPON) expectations of a Petty Officer First Class.

STUDENT PREPARATION PRIOR TO THIS TOPIC

- Readings: None
- Supplemental Readings: None

STUDENT REFERENCES


OPNAVINST 3120.32 (series). (1986). *Standard Organization and Regulations of the U.S. Navy (SORN).*

SUPPLEMENTAL REFERENCES


*Uniform Code of Military Justice.*

STUDENT GUIDE MATERIALS

- Topic Planner 1-0: Introduction
- Outline Sheet 1-0-1: Module 1 Introduction
- Outline Sheet 1-0-2: Expectations of the PO1
- Note Taking Sheet 1-0-1: Topic Debrief
OUTLINE SHEET 1-0-1
MODULE 1 INTRODUCTION

The purpose of this module is to describe your new role as a PO1. The promotion to PO1 is not simply an increase in pay; it is an increase in your Responsibility, Accountability, and Authority (RAA).

This module covers three main topics:

1. The first topic covers the expectations of a PO1 and the concepts of RAA as they apply to the PO1. The interrelationship between the three concepts and the difference in RAA compared to the role of a Petty Officer Second Class (PO2) is also discussed.

2. The second topic discusses the elements of professionalism that work in accordance with the Navy Core Values. Methods to assist in aligning personal and Navy values conclude the topic. Here you will also assess professional and unprofessional situations and determine your scope of RAA.

3. The third topic covers command climate, the various elements that affect command climate, and the actions a PO1 must take to foster a positive atmosphere.

Throughout this module, you will notice the Navy principles, rules, and regulations discussed aren’t new; however, these lessons emphasize your unique responsibility as a PO1 and how you approach and handle the situations.
1. Expectations of the PO1

Master Chief Petty Officer of the Navy (MCPON) is the lead agent in the growth and development of Sailors and provides guidance to commands throughout the Navy. MPCON Joe R. Campa, Jr. (2008) defined the role of the Navy's PO1 as “Leaders dedicated to the personal and professional development of Sailors through effective mentoring, rating expertise, and integrity, while fully embracing the Navy Core Values of Honor, Courage, and Commitment.”

2. Navy Core Values

The Navy's Core Values are instilled in the oath that every Sailor takes. Take a look below at how each of the Navy’s three Core Values, treated as guiding principles by the Navy, has elements that influence your role as a PO1:

a. Honor—“I will bear true faith and allegiance…”

“Accordingly, we will: abide by an uncompromising code of integrity, taking responsibility for our actions and keeping our word and fulfill or exceed our legal and ethical responsibilities in our public and personal lives twenty-four hours a day.”

b. Courage—“I will support and defend…”

“Courage is the value that gives us the moral and mental strength to do what is right even in the face of personal or professional adversity.”

c. Commitment—“I will obey the orders…”

“Accordingly, we will be committed to positive change and constant improvement. The day-to-day duty of every Sailor is to work together as a team to improve the quality of our work, our people, and ourselves.” This commitment to positive change and constant improvement provides an important building block in the foundation of leadership-by-example, and is independent of rank, rate, and job assignment.

As you progress through advanced levels of leadership, you will find the Navy's Core Values form the foundation for a strong Navy culture.
TOPIC PLANNER 1-1
RESPONSIBILITY, ACCOUNTABILITY, AND AUTHORITY

ENABLING OBJECTIVES

- **DIFFERENTIATE** between the concepts of responsibility, accountability, and authority (RAA) at the PO1 level.
- **EXPLAIN** the difference between the role of a PO1 and PO2.
- **IDENTIFY** the RAA of the PO1 within the command.
- **IDENTIFY** resources granting RAA to the PO1.

STUDENT PREPARATION PRIOR TO THIS TOPIC

- Readings: None
- Supplemental Readings: None

STUDENT REFERENCES


OPNAVINST 3120.32 (series). (1986). *Standard Organization and Regulations of the U.S. Navy (SORN).*

SUPPLEMENTAL REFERENCES


*Uniform Code of Military Justice.*

STUDENT GUIDE MATERIALS

- Topic Planner 1-1: Responsibility, Accountability, and Authority
- Outline Sheet 1-1-1: Responsibility, Accountability, and Authority
- Exercise Sheet 1-1-1: Job Assignment Situations
- Note Taking Sheet 1-1-1: Topic Debrief
OUTLINE SHEET 1-1-1
RESPONSIBILITY, ACCOUNTABILITY, AND AUTHORITY

1. Introduction

Leadership is ineffective without a successful balance of responsibility, accountability, and authority (RAA). As a leader, you will face many challenges and must respond within your scope of authority and maintain accountability within your work environment. Without this knowledge, it will be difficult for you to accept challenges and successfully lead your work environment toward mission accomplishment.

2. Understanding Responsibility

The basic concept of responsibility is standard in most situations; however, in the military, it has a deeper meaning. Petty Officer First Classes have roles that come with unique responsibilities. These responsibilities are based on rules, regulations, and the very proud tradition of Navy Petty Officers.

According to the Standard Organization and Regulations of the U.S. Navy (SORN, 1986), responsibility is “The obligation to carry forward an assigned task to a successful completion.”

Although there are many ways to categorize responsibilities, here we subdivide the leader’s responsibilities into leadership responsibilities and internal responsibilities.

a. Types of Responsibility

(1) Leadership Responsibility

The responsibility of leadership may be viewed as "That for which one is answerable; a duty or trust" (Merriam-Webster’s Collegiate Dictionary, 2008), and includes the ability to meet obligations or act without senior authority or guidance. It may be responsibility delegated to the petty officer or inherent in a billet, primary or collateral duty, watch station, or may be directly related to being a Navy petty officer.

(2) Internal Responsibility

All Sailors have the immediate responsibility to perform their assigned tasks and duties to the best of their abilities and to conform to the standards of the Navy. This includes the moral obligation to do what is right.
b. Exercising Responsibility

   (1) Responsibilities for Subordinates

   Normally, we think of petty officers as being responsible for all assigned tasks and all matters dealing with their subordinates. These are responsibilities the chain of command delegates and holds petty officers responsible.

   (2) Responsibilities to Subordinates

   There are also responsibilities the Navy as an organization and Navy leaders, in particular, have to their subordinates. These are things subordinates deserve and should expect from their leaders, both their immediate superiors and the entire Navy chain of command. Leaders also have these responsibilities to their subordinates; therefore, they deserve, and should expect, the same from their chain of command.

   (3) Responsibilities to the Chain of Command

   PO1s have many responsibilities to the chain of command, including:

   (a) Good followership

   (b) Performance of assigned duties and tasks to the best of their ability

   (c) Effective leadership and management of subordinates

   (d) Well-being of subordinates

   (e) Correct behavior by subordinates

3. Accountability

   Sailors are held strictly accountable for their actions, both on and off duty. According to the SORN (1986), “Accountability refers to the obligation of an individual to render an account of the proper discharge of his/her responsibilities.”

   a. Principles of Accountability

   In connection with general and organizational authority, the SORN (Article 141.6) includes the following as principles of accountability:

   (1) Each individual, regardless of rank or position, is fully accountable for his/her own actions or failure to act when required.
Leaders and supervisors have a duty to assign clear lines of authority and responsibility, reaching to the individual level, for all activity within their organization.

Leaders and supervisors have a duty to provide their subordinates the resources and supervision necessary to enable them to meet their prescribed responsibilities.

Leaders and supervisors have a duty to hold their subordinates accountable and initiate appropriate corrective, administrative, disciplinary, or judicial action when individuals fail to meet their responsibilities.

b. Maintaining Accountability

Every Sailor is held accountable for maintaining a certain standard of conduct or behavior. These standards are established by rules, regulations, customs, and traditions and are based on the Navy's Core Values and accepted standards of ethical behavior.

Maintaining accountability should be viewed as a process, including assigning responsibility (for task accomplishment or behavioral standards), delegating authority as necessary, monitoring (supervising) to ensure completion or compliance, and providing appropriate feedback. Feedback may be positive and include positive discipline, rewards, or recognition for success. Feedback may also be negative, which may include several informal methods of discipline. If this process fails, formal punishment may be necessary. The biggest key to maintaining accountability is good leadership.

(1) Application of Formal Methods

(a) Counseling

Counseling is an excellent method to maintain accountability through effective feedback. This can and should be used for both positive and negative situations. In all cases, counseling should be documented.

(b) Nonpunitive Corrective Measures

i. Extra Military Instruction (EMI)

Extra military instruction is defined as instruction in a phase of military duty in which an individual is deficient. Extra military instruction is intended to correct that deficiency. It is an administrative measure and must not be used as a substitute for punitive action appropriate under the UCMJ.
**Note:** The command may delegate the authority to assign EMI to a PO1.

ii. Withholding of Privileges

Temporary withholding of privileges is authorized as another administrative corrective measure to correct infractions of military regulation or performance deficiencies when punitive action does not appear appropriate.

**Note:** A PO1 can only recommend this course of action. Final authority to withhold a privilege, however temporary, must rest with the level of authority empowered to grant that privilege (SORN, 142.2.b. (1)).

(c) Extension of Working Hours

Depriving subordinates of normal liberty as a punishment is illegal unless the punishment is imposed at nonjudicial punishment (NJP) or court-martial; however, it is the responsibility of the leader to ensure certain tasks are performed and certain work is accomplished in a timely manner. It is not a punishment when persons are required to work outside normal working hours to accomplish the essential task. If working extended hours becomes routine, the chain of command should investigate the cause.

(d) Recognize Good Performance

You can recognize good performance with rewards such as special liberty, late sleepers, extra time off at lunch, etc. Other types of recognition:

i. Sailor of the Quarter/Year
ii. Letter of Appreciation
iii. Letter of Commendation
iv. Navy Achievement Medal
v. Meritorious advancement

**Note:** Keep in mind these awards are recommendations. They need to be written strong and convincing to be approved by the chain of command.

(2) Formal Methods of Maintaining Accountability

Formal proceedings are usually initiated using the Report and Disposition of Offense(s) (Report Chit). At this point, the UCMJ and the Manual for Courts-Martial (MCM) direct the processes and rights of the accused for court-martial. If you have any questions concerning procedures and policy, contact the Command Legal Officer or the Navy Legal Service Office.
(a) Disciplinary Review Board (DRB)

The DRB is used by some commands as a part of the administrative process for handling report chits. The DRB usually consists of a panel of senior enlisted Sailors of the command who review cases after the First Line Leader’s chain of command has investigated the report. The DRB then makes recommendations to the Executive Officer (XO), prior to the Executive Officer's Inquiry (XOI) as to the disposition of the case.

**Note**: A PO1 can only recommend this course of action.

(b) NJP

Nonjudicial punishment, or Captain's Mast, is the lowest form of punishment in the Navy. It is presided over by the Commanding Officer (CO) following an extensive investigation by the chain of command. It is then referred to the CO by the XO (normally after a formal XOI). The Division Chief and Division Officer must thoroughly investigate the circumstances of the offense and be prepared at XOI and Captain's Mast to shed all possible light on the incident. The First Line Leader may be required to attend the proceedings and be asked for an estimate of the person's performance or a recommendation regarding punishment. In recommending or awarding punishment, the objective should always be improved performance.

**Note**: The PO1 can only recommend this course of action. The First Line Leader will most likely be tasked with ensuring the individual is squared away and ready for XOI, Captain's Mast, or court-martial. This will include proper grooming and the appropriate uniform.

(c) Judicial Proceedings (Courts-Martial)

In the event a subordinate has committed an offense that is serious enough to warrant punishment beyond NJP, charges will be referred to some type of judicial proceeding (courts-martial). The work environment supervisor may be called as a witness (possibly as a character witness) for any of these proceedings.

**Note**: The PO1 has no bearing on this type of offense.

(d) Punishment

Punishment is often incorrectly used as a synonym for discipline. Punishment follows a failure of discipline. A perfectly disciplined Navy organization would not have any trials by court-martial or NJP. Only the CO has the responsibility and authority to inflict punishment on
subordinates. Since it can only be legally awarded by the CO or by a legally convened court-martial, it cannot be delegated.

4. Authority

With responsibility comes the authority to direct and take the necessary action to ensure success. As with responsibility, authority has a deeper meaning in the military environment. According to the SORN (1986), “Authority is the power to command, enforce laws, exact obedience, determine, or judge.” Furthermore, the SORN (1986) states, “The specific authority to direct the actions of assigned personnel is vested in officers and petty officers within the chain of command as a function of general authority of rank or rating or as a result of organizational authority which emanates from assignment to specific billets within the organization. Authority is granted to individuals within the Navy only in the fulfillment of assigned duties and commensurate with their responsibilities and accountability.”

In the civilian context, leaders can give orders and subordinates determine if they will comply or quit their jobs. Military subordinates do not have that choice. Lawful orders must be followed.

a. Exercise of Authority

The exercise of authority is by the issuance of orders. Orders must be lawful, as Sailors are only charged to obey lawful orders.

b. Limitation on Authority

The Uniform Code of Military Justice (UCMJ) also sets certain limits on certain types of authority and limits on delegation, such as who can impose NJP, who can authorize search and seizure, etc. Article 1023 of U.S. Navy Regulations addresses abuse of authority and forbids persons in authority from injuring their subordinates by tyrannical or capricious conduct or by abusive language.

The UCMJ defines the limits of authority. Remember, subordinates cannot be held to a standard that is different from the norm at the command.

5. Understanding Interrelationships between RAA

The SORN (1986) states, “Authority is granted to individuals within the Navy only in the fulfillment of assigned duties with their responsibilities and accountability.” An individual assigned both responsibility and authority also accepts a commensurate accountability, which is the requirement to answer to superiors for success or failure in the execution of duties.

Responsibility without authority and accountability, authority without responsibility and accountability, and accountability without responsibility and authority would each
create an unworkable situation for the leader. PO1s are granted the authority necessary to perform their duties and are held accountable for their performance.
EXERCISE SHEET 1-1-1
JOB ASSIGNMENT SITUATION

Directions: Based on the situation below, answer the following questions from the Petty Officer First Class’s (PO1) point-of-view:

- What issues need to be addressed?
- What is your responsibility, accountability, and authority (RAA) to Seaman Jasper?
- What actions should you take and are there consequences?

Situation:
In accordance with the command’s policy, you are asked to provide a non-rated person for temporary mess duty. Seaman Jasper was assigned to six weeks of mess duty. The supply officer assigns SN Jasper to the Chief Petty Officer (CPO) Mess. Seaman Jasper has just informed you the culinary specialists (a PO1 and PO2) continually harass non-rated personnel because they feel this is a privileged assignment.
NOTE TAKING SHEET 1-1-1

TOPIC DEBRIEF

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ENABLING OBJECTIVES

- **DEFINE** professionalism.
- **LIST** characteristics of professionalism.
- **EXPLAIN** responsibility, accountability, and authority as it relates to professionalism for self and the actions of others.
- **DETERMINE** appropriate course of action to address professional and unprofessional behaviors.

STUDENT PREPARATION PRIOR TO THIS TOPIC

- Readings: None
- Supplemental Readings: None

STUDENT REFERENCES


OPNAVINST 3120.32 (series). (1986). *Standard Organization and Regulations of the U.S. Navy (SORN).*

SUPPLEMENTAL REFERENCES


*Uniform Code of Military Justice.*

STUDENT GUIDE MATERIALS

- Topic Planner 1-2: Professionalism
- Outline Sheet 1-2-1: Professionalism
- Note Taking Sheet 1-2-1: Topic Debrief
1. Introduction

In this lesson, the elements of professionalism are covered with emphasis on the need to promote an ethical work environment within the organization based on the Navy Core Values.

2. Understanding Professionalism

Professionalism is expected of all Sailors and is often revealed in an attitude or an approach to a situation.

a. Definition

Merriam-Webster’s Collegiate Dictionary (2008) defines professionalism as “The skill, competence, or character expected of a member of a highly trained profession.”

Professionalism is a behavior. You must conduct yourself in a manner that is respectful to both seniors and subordinates, and be knowledgeable in your areas of responsibility.

Regardless of where you get the definition of professionalism, our heritage has embedded the true definition of professionalism in the Navy Core Values.

b. Characteristics of Professionalism

Individuals who practice professionalism accept tasks with pride and like what they are doing; they have loyalty to the country demonstrated through model of conduct on and off duty.

Individuals who exert professionalism may have some of the following characteristics:

(1) Self-Discipline

Sailors fulfill their responsibilities under any and all circumstances in the absence of direct and immediate supervision. They practice ethical standards and conduct and exercise accountability for themselves and subordinates.

(2) Competence

Sailors are tactically proficient, leaders of people, and maintain high standards. They are accountable, responsible, and expected to carry out duties with integrity.
(3) Commitment

Sailors display a continued commitment to service for their work and team.

(4) Pride

Sailors display pride and pleasure in their work and have a sense of loyalty to the Navy. They pay attention to their appearance/dress, have a positive attitude, and are respectful toward others. They are also dedicated to self-improvement.

While embracing the elements of professionalism, PO1s will acquire a reputation for skill and respect in the eyes of their subordinates and superiors.

3. Accountability for Unethical Behavior

Leaders and subordinates must understand that Sailors are called to a higher standard.

Professional behavior and competence are both important components of Sailors’ performance and determine how PO1s will be evaluated.

Unprofessional or disruptive behavior may occur with inappropriate words, actions, or inactions of Sailors. These behaviors interfere with their ability to function well with others or accomplish the mission.

Because individuals come to the Navy with a variety of personal morals, values, beliefs, and principles, it is necessary to have some standard to hold everyone accountable. Within the parameters of Navy standards, there is room for widely differing individual values. The Navy’s expectation is that every Sailor is held to the same behavioral standard, and this must be maintained in order for there to be order, fairness, and justice.

Every subordinate’s apparent system of values must be compared to the Navy’s Core Values. An individual whose system is not in alignment with the Navy’s value system will face a continuing series of ethical dilemmas. This becomes a disruptive factor for all individuals of the organization.

Ethics, values, and morals influence the effectiveness of our leadership, and ultimately our mission effectiveness.

a. Ethics are standards of conduct that indicate how one (or a group) should behave, based on a set of moral principles or a system of values.

b. Values are principles, standards, or qualities considered worthwhile by an individual or a group. Examples include money, family, and job/work.
c. Morals reflect a more personal conviction than values and relate to principles of right and wrong behavior (Merriam-Webster’s Collegiate Dictionary, 2008). An example of this is stealing.

d. Dilemmas are situations that require a choice between equally unfavorable or mutually exclusive options (Merriam-Webster’s Collegiate Dictionary, 2008).

4. Methods of Aligning Values

Several methods exist to enable leaders to align value systems. The following five methods provide some guidance:

a. Know the Navy's policy. Support, train, and practice the values.

b. Recognize your position as a leader and a role model. “Walk the talk,” knowing your actions influence others.

c. Practice consistent and continuous principle-based system of values. Make not only the right decision, but lead your people to do the right thing as well.

d. Be concerned with, and responsible for, the well-being of those in your charge. Be universally fair to all, regardless of the situation.

e. Understand that as Navy Petty Officers, you are called to a higher standard. Accept the challenge and live a values-based lifestyle that will be both professionally enriching and personally gratifying.
NOTE TAKING SHEET 1-2-1
TOPIC DEBRIEF

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TOPIC PLANNER 1-3
COMMAND CLIMATE

ENABLING OBJECTIVES

- **DEFINE** the concept of command climate.
- **ASSESS** a situation and determine how to develop command cohesion.

STUDENT PREPARATION PRIOR TO THIS TOPIC

- Readings: None
- Supplemental Readings: None

STUDENT REFERENCES


OPNAVINST 3120.32 (series). (1986). *Standard Organization and Regulations of the U.S. Navy (SORN).*

SUPPLEMENTAL REFERENCES


*Uniform Code of Military Justice.*

STUDENT GUIDE MATERIALS

- Topic Planner 1-3: Command Climate
- Outline Sheet 1-3-1: Command Climate
- Note Taking Sheet 1-3-1: Topic Debrief
OUTLINE SHEET 1-3-1
COMMAND CLIMATE

1. Introduction

While this course is designed to improve your leadership and management skills as leaders, it is important that we explore the concepts and behaviors that form a command's climate and the direct influence the climate has on your ability to accomplish the mission.

As a Petty Officer First Class (PO1), you are in the best position to influence Sailors, who depend on their leaders. Among the Navy's PO1s, an abundance of talent and experience supports Sailors and the command's mission.

2. Understanding Command Climate

a. Command Climate Definition

Command climate is the collective opinions of people within a command about how the command and work force operate. Command climate drives day-to-day activities, actions, and behaviors. It reflects everyone's willingness to accept (or not accept) shared values. Climate is the manifestation of a culture and its operating environment.

b. Why is Command Climate Important?

Attitudes and values of people within the command are required elements for department effectiveness and combat readiness. People in a command with a positive command climate have a sense of vision. They are motivated and committed to the command mission; pride and teamwork are evident throughout the command.

Command climate is the sum of various programs, processes, and conditions. Some areas that affect command climate are coworker relationships, awards/recognition, meaningful work, working conditions, training and education opportunities, the grievance system, office equipment and furnishings, command environment, overall communication, and the central cohesive element of leadership (Naval Inspector General, 2008).

c. Elements of Command Climate

Leaders need to be attentive to the dynamics they can positively influence. The key elements of command culture that affect command climate are people, relationships, and activities. Some areas that affect command climate:
(1) **Work Factors:** PO1s can make very positive contributions in several areas relating to work factors. As a PO1, establish high, attainable, clearly understood standards within your command structure. You may want to encourage competition against standards rather than each other. Allow subordinates to take initiative. Additional areas where PO1s can make a direct impact include:

(a) Work schedule

(b) Availability of required tools and resources

(c) Process improvement

(2) **Financial Management:** PO1s do not have any control over the amount of monetary compensation personnel can receive; however, PO1s can help with their Sailors’ personal lives by finding resources for pay issues and major purchases (e.g., reviewing the interest rates for a new car and referring Sailors to Command Financial Specialists or Fleet and Family Support Center). Training subordinates on programs such as the Thrift Savings Plan, Servicemembers’ Group Life Insurance (SGLI), and Dental Plans, as well as showing them how to read a Leave and Earnings Statement (LES) can assist Sailors in making financial decisions.

(3) **Support Service:** PO1s should demonstrate concern about the welfare of subordinates. A PO1 should use and recommend support services available to the military and family members (e.g., family support services, command collateral duties, personal financial management).

(4) **Policies and Standards:** PO1s must enforce policies and standards governed by Navy regulations (e.g., Standard Operating Procedures (SOPs), Standard Organization & Regulations of the Navy (SORN), and Uniform Code of Military Justice (UCMJ)), and ensure practices are consistently applied.

(5) **Personal Excellence:** PO1s should establish and model high ethical standards. A PO1 should provide Sailors with a sense of belonging and self-worth through ongoing feedback. A PO1 can achieve high performance through positive motivation and rewards.

d. **Command Cohesion**

   It is important you understand that the term command climate is not determined by our systems, process, or regulations, but by individuals who strive to create a positive command climate.

3. **What Can You Do To Support Command Climate?**
While in the Navy, the most profound influence on values is the leadership in the command to which you are assigned.

The PO1 must understand and be sensitive to how the interaction of groups, subcultures, and individuals is a delicate balance of formal and informal leadership structures.

The PO1 is directly responsible for the climate of his or her work environment and understanding the quality of life of individuals within that environment. You must provide input to the chain of command or your personal network to provide support and care for your people.

The PO1’s position within the chain of command infers a responsibility for implementing the command’s policies and practices, regardless of personal opinion.

The actions a PO1 can take to support a positive command climate are:

a. Provide vision and build morale

b. Develop trust in subordinates

c. Delegate and empower others

d. Allow mistakes, set limits on possible loss, know when to step in

e. Make sound/consistent decisions with good judgment

f. Promote good communication

g. Develop a proactive team

h. Enforce personnel policies and practices

Applying these elements means creating and sustaining an organizational culture that permits others to provide the quality of service essential to high performance.

Personnel policies and practices must be enforced. Making exceptions for certain individuals or ignoring unpopular directives from higher authority does not enhance the quality of life, but instead leads to increased dissatisfaction or to a general feeling that rules need not always be followed.

Key aspects to becoming successful as a leader are establishing a strong awareness of your responsibility, accountability, and authority (RAA) and promoting appropriate relationships that build command cohesion and morale within your work environment.
Ask yourself daily, “What could be done better within my work environment? How can I develop improved ways of doing things?” Remember, people make the command climate, and our ultimate success comes from them.
NOTE TAKING SHEET 1-3-1
TOPIC DEBRIEF

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ENABLING OBJECTIVES

- DEFINE how a Petty Officer First Class (PO1) can use management principles and tools to improve Chain of Command effectiveness.

STUDENT PREPARATION PRIOR TO THIS TOPIC

- Readings: None
- Supplemental Readings: None

STUDENT REFERENCES


SUPPLEMENTAL REFERENCES

None

STUDENT GUIDE MATERIALS

- Topic Planner 2-0: Introduction
- Outline Sheet 2-0-1: Module 2 Introduction
- Outline Sheet 2-0-2: Leadership in the Military Environment
- Note Taking Sheet 2-0-1: Topic Debrief
As a First Class Petty Officer, you will be required to manage resources while you lead and supervise people. The very best leaders know when to use management and leadership skills. This module will look at the management skills required of a PO1.

The discussion topics will prepare you to lead effectively by developing a broader perspective of the roles of a leader, manager, and supervisor.

It has been established that the PO1 roles and responsibilities are significantly different from those of the Petty Officer Second Class (PO2).

The first topic, Communications, will improve your use of both written and oral communication and provide guidelines for appropriate communication up and down the chain of command.

The second topic, Conflict Management, will help you effectively recognize, discuss, and approach conflict.

The third topic, Teamwork, will focus on teamwork as an integral part of overall command effectiveness.

The fourth topic, Delegation, will introduce ways to effectively delegate and develop your subordinates.

The fifth topic, Planning, will introduce risk management, critical risk management, and managing resources to ensure the work environment functions effectively.
OUTLINE SHEET 2-0-2
LEADERSHIP IN THE MILITARY ENVIRONMENT

1. Introduction

Good leadership is of primary importance in that it provides the motivating force that leads to coordinated action and unity of effort. Personnel leadership must be fused with authority since a leader must encourage, inspire, teach, stimulate, and motivate all individuals of the organization to perform their respective assignments well, enthusiastically, and as a team. Leadership must ensure equity for each member of the organization. Concerning actions in their areas of responsibility, leaders should never allow a subordinate to be criticized or penalized except by them or such other authority as the law prescribed (OPNAVINST 3120.32 (series)).

The Navy sees leadership as all encompassing. The Navy leader first and foremost motivates subordinates. The Navy then applies the management functions of planning, organizing, controlling, and staffing as needed to meet organizational goals (NAVEDTRA 14145, 1991, pp. 3-15).

a. Emphasis on Getting Things Done through People

Implicit in the concept of a leader is the concept of followers. It is unimportant whether we refer to them as subordinates, juniors, followers, or team members. It is important, however, that we recognize that the ability to lead depends on the perceptions of leader abilities in the minds of subordinates. Historically, great leaders have won the hearts and the minds of their followers and the followers have provided the wherewithal to accomplish great things.

b. Concern for Achievement (Task)

Leaders are responsible for getting the job done right. The actions that leaders take to ensure that the job gets done right include setting standards, assigning tasks and schedules, following up to ensure that tasks have been accomplished, and giving feedback regarding goal attainment.

c. Concern for Subordinates (Person)

“Leaders need to actively support subordinates. They are responsible for both subordinate growth and development, and for providing rewards, recognition, and helping subordinates to overcome problems” (NAVEDTRA 14145, 1991, pp. 3-20).
2. Manager Behaviors

“Management is the process of working with and through individuals, groups, and other resources to accomplish organizational goals” (NAVEDTRA 14145, 1991, pp. 3-20).

Managers are people in organizations who are responsible for the performance of one or more subordinates and the accomplishment of organizational goals and objectives (mission and tasking). The basic duties of managers are to:

a. Plan

Managers plan by identifying organizational goals and determining the steps necessary to reach those targets. Implicit in the planning function is determining how to measure progress toward the stated mission.

b. Organize

Managers establish an organizational structure for accomplishing the plan requirements, staffing the organization with qualified individuals, communicating the plan to those people, and providing a framework for monitoring the success of those plans.

c. Manage Processes

Managers ensure that the process used to complete the tasks is efficient and effective. They are responsible for process quality and continuous process improvement.

d. Lead People

Managers are people in organizations who are responsible for the performance of one or more others. Managers get things done through people.

e. Control and Problem Solving

Managers are responsible for monitoring the results of their activities and processes. The feedback that they receive will alert them to the possibility of problems, which is the first step in the problem-solving matrix.

3. Relationship Between Leaders and Managers

Leadership and management are both essential to successful organizations. In some ways, leadership and management overlap, but in several critical ways they are distinctly different. At this point, we will focus on the differences between the two functions.
a. Different Purposes

The purpose of leadership is to establish the direction of the organization, its vision, and a strategy for reaching the vision.

The purpose of management is to implement the vision, to achieve the goals and strategy set out by leadership, and to integrate the individual command operations into the larger whole.

Effective leaders must play a role in implementing their own visions. Effective managers must not only buy into the leaders’ visions, but must also act as leaders to their subordinates.

b. Different Processes

Leadership processes include establishing direction, aligning, motivating and inspiring people; and institutionalizing a leadership centered culture.

Management processes include planning and budgeting, organizing and staffing, controlling and problem solving, process management and process improvement.

Too often, Navy leader-managers only do part of their job. Many organizations are over-managed and under-led, or over-led and under-managed. For an organization to be successful, there needs to be a balance of both effective leadership and management.

c. Strong Management; Weak Leadership

Strong management with weak leadership may result in short-term focus, rigidity, and lack of motivation.

d. Strong Leadership; Weak Management

Strong leadership with weak management may result in inefficiency, even loss of ability to accomplish tasking.

4. Supervision and Supervisory Skills

Supervision is defined as the ability to get the job done, oversee the work process, and coordinate organizational efforts toward task accomplishment. Supervisory skills include elements of both leadership and management.
a. Planning and Organizing

A supervisor plans or organizes activities, people, or materials in priority, sequential, chain of command, administrative, or other order that proceeds from a problem to a goal.

b. Optimizing Resources

A supervisor realistically assesses and weighs the assets and limitations of people and the requirements of tasks before organizing a work group for the purpose of maximizing task accomplishment. Resources that should be optimized include time, materials, personnel, and funding.

c. Delegating

A supervisor delegates to develop and empower subordinates.

d. Monitoring Results

A supervisor keeps track of work progress, checks results of own and other’s actions and evaluates the outcome of a task. Monitoring the work and the results is often thought of as supervising, instead of looking at supervision as a process.

e. Providing Feedback

A supervisor holds subordinates accountable and gives both positive and negative feedback for performance. Discipline is often confused with punishment or purely negative feedback. This is not the case. Good discipline results in good conduct, high morale, smart appearance, and high combat readiness.

5. PO1’s Responsibility for Leadership and Management

The PO1’s responsibility for leadership and management includes ensuring attainment of needed knowledge, skills, and attitudes to fulfill their assigned tasks and functions that support their practice of both leadership and management. Knowledge, skills, and attitudes required for both leadership and management can be learned. This course provides a good foundation for gaining the necessary tools to both lead and manage in the Navy.
NOTE TAKING SHEET 2-0-1
TOPIC DEBRIEF

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TOPIC PLANNER 2-1
COMMUNICATIONS

ENABLING OBJECTIVES

- IDENTIFY methods of communication.
- IDENTIFY Naval resources used as a reference when writing Naval correspondence.

STUDENT PREPARATION PRIOR TO THIS TOPIC

- Readings: None
- Supplemental Readings: None

STUDENT REFERENCES

SECNAVINST 5216.5 (series). *Department of the Navy Correspondence Manual*.


SUPPLEMENTAL REFERENCES


JAGINST 5800.7 (series). *Manual of the Judge Advocate General (JAGMAN)*.


OPNAV 098-P-1-84. *Better Naval Writing*.

OPNAVNOTE 5215 (series). *Department of the Navy Directives Issuance System Consolidated Subject Index*. 
SECNAVINST 5210.8 (series). *Department of the Navy Records Management Program*.

SECNAVINST 5210.11 (series). *Department of the Navy Standard Subject Identification Codes (SSIC)*.

SECNAVINST 5211.5 (series). *Department of the Navy Privacy Act Program*.

SECNAVINST 5212.5 (series). *Navy and Marine Corps Records Disposition Manual*.

SECNAVINST 5215.1 (series). *Department of the Navy Directives Issuance System*.

SECNAVINST 5730.5 (series). *Procedures for the Handling of Naval Legislative Affairs and Congressional Relations*.


**STUDENT GUIDE MATERIALS**

- Topic Planner 2-1: Communications
- Outline Sheet 2-1-1: Communications
- Note Taking Sheet 2-1-1: Topic Debrief
1. Introduction

An important reason why leaders need to communicate clearly is to convey the command’s vision on a day-to-day basis. Effective communication is a management tool, which is critical to the success of a Petty Officer First Class (PO1).

To communicate effectively, a PO1 will need to be able to use different methods of communication. Both verbal and written communications are critical in performing well on the job.

a. Communication Process

The quality of PO1s’ communication has a direct impact on the quality of their leadership. Effective communication, for a sender, will always take into account the known and assumed characteristics of the audience. Effective communication, for a receiver, will require “active” listening and careful interpretation of the message’s overt, verbal content, as well as all the covert, nonverbal “cues” surrounding it.

Proper communication, whether oral or written, is composed of five key elements:

(1) **Sender**: the person who is initiating the message

(2) **Message**: the content and purpose of the communication

(3) **Receiver**: the intended recipient(s) of the sender’s message

(4) Transmission **medium**: may be voice, telephone, radio, Internet, e-mail, etc.

   Media choice must consider external barriers such as noise (e.g., voice, telephone, etc.), computer access (e.g., e-mail, Internet), and receiver’s attention, education level, culture, etc.

(5) **Feedback**: confirmation that the sender’s message was received and understood by the receiver

b. Basic Communication Considerations

Now, find how certain considerations relate directly to the five key elements just presented:
(1) **Sender:** Who is the receiver, and how can the message be adapted to that receiver’s role, knowledge, experience, cultural background, and personality?

(2) **Message:** In order for effective communication to take place on the first attempt, both the sender and receiver must share the operational definition of “message.” As with logical argument, the conclusion cannot be valid if the premises are invalid.

(3) **Receiver:** Who is the sender? Is there a difference between what the receiver thinks he/she is hearing and what the sender intends the receiver to hear? How can the sender and receiver close this gap?

(4) Transmission **Medium:** Every medium has the potential for “noise” that can act as a barrier to effective communications. This noise can be the wind on deck, static over a radio, or many other physical distractions. Try to identify the source of the noise and minimize it. In addition, oral communication other than the face-to-face type does not have the supporting advantages of body language and intonation “cues.”

(5) **Feedback:** Continuous feedback prevents the speaker from proceeding to Point B when Point A is not yet understood; check for understanding often by interpreting the listener’s nonverbal cues. Remember, however, that the listener also derives up to 90% of meaning (result of UCLA study) through these same “cues.” Feedback will take several forms for non face-to-face oral exchanges, e.g., the “aye-aye” receiver’s recognition that is standard in radio communications.

2. **Nonverbal Communication**

Nonverbal communication includes a wide range of behaviors. Some of these behaviors are universal and performed unconsciously, and some are consciously intended and unique to a specific culture or organization. However, just as a single word can have several meanings, and the correct meaning derived only from its context, nonverbal communication can have more than one interpretation. This interpretation is similarly derived from other “cues” that surround the gesture in question. These contextual “cues” may be other nonverbal, supporting messages, explicit verbal expressions, or a combination thereof. Thus, it is important to recognize the limitations inherent to correctly interpreting nonverbal messages; be **very** careful about interpreting nonverbal communication elements without sufficient corroborating evidence.

Listed below are several specific “body language” gestures along with **possible** interpretations. Be careful not to interpret nonverbal signs in isolation from other personality and communication factors.
### Specific Nonverbal Gesture | Possible Interpretation
--- | ---
Arms crossed | Resistant to other party’s message
Arms akimbo (on hips) | Impatient
Rolling eyes | Not taking other party’s message seriously
Looking at feet or floor | Humble, subservient, lacking confidence
Looking at wristwatch | Impatient; has more important things to do
Eyes glazing over | Has abandoned the conversation
Nodding head up & down | In agreement with what is said
Stroking chin | Engaged in thought; listening attentively
Saluting | Recognizing existence; showing respect
Cupping hand behind ear | Trouble receiving the message—say again
Wringing hands | Nervousness or anxiety
Stabbing air with finger | Making an important point

Nonverbal communication often focuses on gestures, but it also includes the components of intonation that combine to influence hearing, understanding, and emotional content—resonance, rhythm, volume, and inflection. A discussion of these four factors requires the separation of what is said from how it is said.

A fifth factor, filtering, is a function of the listener’s psychological background, current knowledge, skill level, and nature of the need to communicate in the first place. A listener will filter out, often subconsciously, whatever he or she perceives as irrelevant. Unfortunately, the speaker may consider this same filtered-out component as quite relevant. This potential disparity is the reason why a continual interpretation of the listener’s nonverbal, physical cues is necessary for all effective, face-to-face, oral communications.

### 3. Elements of Effective Listening

#### a. Attending

Imagine that your life (and the lives of all your shipmates) depends on hearing and understanding a message the first time. Do we have your attention now? In the Navy environment, especially during crisis or combat, this could very well be the case on a regular basis: the sender has no time to repeat.

If you are receiving a face-to-face message, attend to important cues such as body language and intonation. If communicating over a radio or telephone, focus on the words and the emphasis given to each, and tune out all distractions.
b. Reflecting

When you \textit{reflect} you interpret the message and respond to it by letting the speaker know that you understand it. Consider reflecting as a mini-teachback: you think you heard the message, and now you have a “public” opportunity to confirm your interpretation of its content, and the feeling behind it.

Imagine that in the same life-threatening situation as suggested above, you have five seconds to respond, or all is lost. In this short time, you analyze the known details of the situation, your formal role in it, the characteristics of the sender, and the message itself. You do not have body language or other nonverbal cues to assist you, since this conversation is over the radio. You have not practiced for this situation because its variables are unique, and constantly changing. However, you have received messages from this sender before, and you do have practice with this person in balancing what you think you heard against what actually was intended to be heard.

c. Responding

Then, you \textit{respond} further by issuing a directive to a subordinate, since you are but one link in a complex communications chain. Time is running out. Now you are the sender, trying to balance what you think you heard against the known and assumed characteristics of the new receiver. What will you say, and how will you say it? Will an emotionally charged message help to establish its significance, or will it frighten the subordinate into making a mistake, or freeze that person into inaction? We practice our communications so that the most information gets through by using the fewest words, but can we afford jargon and acronyms now? Would the receiver even be familiar with them?

d. Pseudo-Listening

You suspect that your subordinate is only half listening! What makes you think that? You have precious few seconds to gain your receiver’s attention! What will you say, and how will you say it? Consider the possibility that your subordinate is only half listening to you now because in the past you only seemed to half listen to that subordinate.

In face-to-face communications, pseudo-listening is often demonstrated by an affirmative, seemingly automatic nod of the head, when in fact the message is heard, but not understood. Other evidence of pseudo-listening is a loss of eye contact, or the eyes “glazing over” and losing focus.

Now, imagine whatever approach you just applied to save yourself and the ship was to be applied to your daily, routine communications. How would you balance the issue of sender-receiver comprehension, for instance, against time and the
need for economy of language? The answer will highlight the relevance of effective communication, as opposed to its more casual forms.

4. Effective Speaking Skills

Communications are often classified as either formal or informal. In the Navy, an oral brief is considered formal and, as such, has specific objectives usually to inform or to persuade someone higher up in the chain of command. Usually, you are asked to deliver a brief because you are a subject matter expert.

5. Operational Definitions

An operational definition presents a concept in observable, measurable terms. An operational definition is the result of considering the field of possible definitions and selecting the one that best fits the needs of your work environment. Definitions must be somehow shared in order for even the most basic communications to take place.

6. Written Communication Concepts (Shenk, 1990, p. 5)

All PO1s need to be able to write well, even if writing is not a significant part of their job. Progression to higher pay grades and increased responsibilities require greater and more versatile skills in the use of the written word. Designed to spread both the official and unofficial word within a command, written communications cover nearly every aspect of Naval operations, from the operational messages that assist in fighting a war, down to the Plan of the Day.

As in navigation, good writers look for fixed points of reference from which to plot their positions and ideal headings. The classic writer’s triangle is:

![Writer Triangle Diagram]

By knowing your audience, your subject, and yourself, you can gauge your position with respect to any written communication.

a. **Audience:** The originator’s attention to the audience or recipient(s) can affect the routing or attention of correspondence. What is the rank, position, or billet you
are addressing? Is the person senior, junior, or at the same level in the organization? How important is the boss of the person to whom you are writing? How about the person's personality? Try to be aware of background and preferences of your audience. For example, unless the reader is an aviator, avoid aviation phrases and terminology. Writing style and use of acronyms and jargon should be tailored to the audience, and closely monitored when writing to non-military audiences.

b. **Subject**: Readers tend to read an entire document if the subject directly affects their lives, e.g. pay statement. Other subjects may not hold the reader’s interest beyond the first two paragraphs, so the point must be made quickly. Knowing the subject and the way readers usually treat a document is valuable. In long documents, headings help alert readers to key information. Writing technical material requires great patience and detail. Space considerations in briefings or messages require word economy and discipline. Use of examples, statistics, and graphics may be appropriate to support a position.

c. **Writer**: As a writer, always remember who you are and what the self-image is that you want to project in your correspondence to others. Deference and respect are always good qualities in writing to seniors, but this is sometimes forgotten when juniors write to selection boards, criticizing their seniors or the service to explain problems or low marks. Act to be believed and respected whenever you speak or write. Know what your writing sounds like, and make use of that knowledge to get your message across.

One other perspective of writing, not included in the writer’s triangle, is writing for “the boss.” Frequently, originators draft written correspondence or documents for someone else’s signature. Writing for seniors can require considerable adjustment. Advice includes the following ideas: keep the facts in, and leave the adverbs out; give seniors more than needed; solicit feedback from seniors; learn the seniors’ key phrases; and obtain samples of previous Commanding Officer (CO)/Executive Officer (XO) correspondence to use as examples.

7. **Purpose of Naval Correspondence**

The major purpose of written communications is to establish a formal chain of command, authority, procedures, tactics, and historical record. While most PO1s should be familiar with memorandums and Naval letters, Naval correspondence includes documents that serve virtually all the administrative functions of the Navy.

To fulfill different needs, various types of correspondence are required. These fall into several major categories. The Navy Correspondence Manual provides the best source of guidance on formats for letters, endorsements, memorandums, and point papers. A PO1 should be familiar with its guidance.
8. Naval Writing Rules

Knowledge of the basic communication triangle, shown earlier, gives you a good perspective for any particular writing situation. The guidelines for organized, natural, compact, and active writing can help writers and editors improve their Naval writing.

a. Organized (SECNAVINST 5216.5 (series), Chapter 3, Section B)

   (1) Avoid mystery stories.

   (2) Put the most important sentence in by the end of the first paragraph.

   (3) Always place:

       (a) Requests before justifications.

       (b) Answers before explanations.

       (c) Conclusions before discussions.

       (d) Summaries before details.

       (e) General before specific.

   (4) Downplay references.

   (5) Use short paragraphs.

   (6) Take advantage of topic sentences.

   (7) Write disciplined sentences.

b. Natural (SECNAVINST 5216.5 (series), Chapter 3, Section C)

   (1) Make writing as formal or informal as the situation requires.

   (2) Use personal pronouns.

   (3) Talk to one reader when writing to many readers.

   (4) Rely on everyday words.

   (5) Use some contractions.

   (6) Keep sentences short.
(7) Ask questions.

(8) Be concrete.

(9) Listen to the tone.

c. Compact (SECNAVINST 5216.5 (series), Chapter 3, Section D)

(1) Eliminate wordiness.

(2) Avoid using "It is" and "There is."

(3) Eliminate wordy expressions.

(4) Let the verbs do more work.

(5) Do not repeat general ideas to increase clarity.

(6) Use verbs whenever possible and avoid their noun forms by eliminating "-ion" and "-ment."

(7) Avoid excessive abbreviation.

d. Active (SECNAVINST 5216.5 (series), Chapter 3, Section E)

(1) Avoid passive verbs.

(2) Learn the symptoms of passive voice.

(3) Learn how to correct passive voice.

(4) Write using passive voice only for a good reason.

9. Netiquette

Netiquette is the etiquette governing communication on the Internet. E-mail, like any other type of communication, should be courteous, concise, and professional. Your composition skills reflect your knowledge and abilities. Control the perception readers will have of you by choosing your words carefully.

Never assume your e-mails are private or secure. Your e-mails can be accessed by others (e.g., system administrators) or read by others (e.g., people who received your e-mails that were forwarded without your knowledge). All e-mails are filed and stored somewhere; never assume when you delete an e-mail that it no longer exists. By using this information and following these basic guidelines, e-mail can be an effective communication tool.
10. Communicating with Superiors and Subordinates

Communication with all levels of leadership (civilian or military) is extremely important and reflects directly on your professionalism. Convey messages, thoughts, and ideas in a very clear respectful manner.

a. Communication with Seniors

Much of your communication will be with the Leading Petty Officer (LPO), Leading Chief Petty Officer (LCPO), and Division Officer (DIVO). Adaptability to your seniors’ style is essential to your success. This will require developing strategies that enable you to communicate with them successfully.

(1) Clarify your proactive working relationship with the LPO, LCPO and DIVO

Your goal should be to enter into a relationship with the Division CPO and DIVO who are designed to assist you in your development, fulfill the command’s desires, and ultimately enhance the command’s effectiveness. Discuss and fully understand the expectations your leaders have of you as well as your expectations of them.

(2) Understand your seniors’ perceptions and expectations to include:

(a) Goals and objectives

(b) Pressures

(c) Strengths and weaknesses

(d) Preferred work styles

(3) Develop and maintain an effective working relationship that:

(a) Fits the command’s needs

(b) Is characterized by mutual expectations

(c) Keeps your seniors informed

(d) Is based on dependability and honesty

(e) Uses your seniors’ time and resources, selectively

How do your seniors like to receive information: in meetings, by telephone, with memos, formally, or by some other means?
b. Communication with Peers

Peer relationships that evolve from the new leadership position provide opportunities for technical and personal growth. Aside, from routine communications, these professional relationships will also—at times—involves managing a disagreement and accepting criticism in a constructive manner. Follow these principles of good communication to ensure understanding among peers. Confusion or mixed messages from peers will guarantee reduced effectiveness.
NOTE TAKING SHEET 2-1-1
TOPIC DEBRIEF

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ENABLING OBJECTIVES

- IDENTIFY the major sources of conflict.
- IDENTIFY the five basic conflict management styles.
- DETERMINE Petty Officer First Class (PO1) accountability in managing conflict within the work environment.

STUDENT PREPARATION PRIOR TO THIS TOPIC

- Readings: None
- Supplemental Readings: None

STUDENT REFERENCES


SUPPLEMENTAL REFERENCES


STUDENT GUIDE MATERIALS

- Topic Planner 2-2: Conflict Management
- Outline Sheet 2-2-1: Conflict Management
- Exercise Sheet 2-2-1: Sources of Conflict
- Note Taking Sheet 2-2-1: Topic Debrief
OUTLINE SHEET 2-2-1
CONFLICT MANAGEMENT

1. Introduction to Conflict

Merriam-Webster’s Collegiate Dictionary (2008) provides synonyms for conflict that include “fight,” “struggle,” and “contention” and defines it as a “sharp disagreement or opposition of interests, ideas, etc.” The very nature of the Leading Petty Officer (LPO) position guarantees that conflict will be a part of the work experience. In general, all organizations, including the Navy are becoming much more interested in understanding the causes and impacts of work environment conflict.

Conflict exists whenever two or more parties disagree. The question is not whether conflict is good or bad, but rather, how it should be managed to benefit all parties involved. Consider the following statements:

a. Coping with conflict successfully is one of the most important skills you can acquire.

b. Inability to handle conflict effectively may be the greatest barrier to satisfaction and success as a supervisor.

c. Managers may spend 20 percent of their time resolving conflicts.

d. Understanding how to confront and manage conflict can lead to better organizational productivity and improved interpersonal relationships.

Conflict is largely a perceived phenomenon. It is our perception of the situation that determines if a conflict exists.

The objective of conflict management is to develop an awareness of strategies used in each conflict management style and determine when each is appropriate.

2. Sources of Conflict

Work environment conflict is inevitable. Conflict exists in our work lives for several reasons: there is competition for limited resources; we experience role conflict from competing demands or expectations; there are personality clashes; or we have to cope with aggressive personalities. One way of categorizing the many sources of conflict we experience is in terms of external factors, internal factors, and the behavior of others (Schermerhorn, Hunt, & Osborn, 1994, chap. 19).

a. External factors are those factors that surround the work group and affect all members equally. Some examples are poorly functioning equipment, time constraints, and badly designed policies or procedures. Any or all of these can contribute to work environment conflict.
b. Internal factors exist with co-workers and include dissimilar values, biases, fear of the unfamiliar, unrealistic expectations, and inflexibility. These factors are major sources of conflict between individuals who work together toward a common goal (a work environment team).

c. The behavior of others that we perceive as annoying or irritating can be a source of interpersonal conflict. Failure to listen, disrespectfulness, judgmental comments, repeated excuses, clash of styles, offensive language, and personal hygiene are all potential sources of conflict to individuals who work or live together.

3. Effects of Conflict

a. Constructive

Constructive or productive conflict is defined as conflict that promotes change by raising problems, and encouraging better solutions.

(1) Constructive conflict results from:

(a) Clarification of important issues

(b) Increased involvement of team members

(c) Broadened individual or group perspectives

(2) Constructive conflict results in:

(a) More direct communication

(b) Increased personal and group knowledge

(c) Improved creativity and problem solving

(d) Positive release of emotion, anxiety, and stress

At its best, conflict pushes us to strive for solutions that bring about a better situation than previously existed. Environments that foster positive cooperation and minimize negative, unproductive conflict encourage constructive conflict.

b. Destructive

Destructive conflict reduces cooperation and teamwork, brings about hostility, and undermines the system as well as the people within it.
(1) Destructive conflict results from:

   (a) Functional loyalties that impede cooperation

   (b) Value, goal, or methodology differences

   (c) Power or status seeking;

   (d) Failure to take individual responsibility

(2) Destructive conflict results in:

   (a) Interpersonal or intra-group hostility

   (b) Diversion from important issues

   (c) Delayed or sub-optimal decision making

   (d) Dysfunctional behavior

   (e) Low morale

Examples of the behavior typical of destructive conflict are: refusal to cooperate, verbal attacks, sabotage of projects, talking behind an other’s back to uninvolved people to gain support for one’s position, purposely missing deadlines, and making deliberate errors in one’s work. For example, common results of conflict between sailors and their command could be incomplete or sloppy repair work, resulting in inefficient equipment operations. Destructive conflict must be identified and managed to reduce its negative effects. Unfortunately, the negative or destructive elements of conflict are present simultaneously with its positive or constructive elements.

4. Conflict Management Modes

Conflict management modes or conflict management styles refer to the different approaches people use when they find themselves in a conflict situation. Conflict management modes include:

a. **Win-Lose/Competing**: These people only worry about having their own needs met and do not care much about others’ needs, concerns or impact on the other party to the conflict.

b. **Lose-Win/Accommodating**: These people always give others what they want without speaking their minds, they place the opponent’s interests above his or her own.
c. **Lose-Lose/Avoiding**: These people are avoiders, as they neither stand up for their own needs, nor make sure others are happy; they just retreat and avoid the issue by withdrawing or suppressing the conflict.

d. **Win-Win/Collaborating**: These people see the benefits to conflict and work toward a solution that will fully satisfy the needs, concerns and desires of all parties.

e. **Compromise**: Sometimes mistakenly seen as collaboration, compromise means all parties involved give up a part of what they want.

Ideally, you should adjust your conflict handling style to the situation. For instance, *avoiding* works well when the conflict is trivial, when emotions are running high and time is needed to cool down, or when the potential disruption from a more assertive action outweighs the benefits of a resolution. In contrast, *competing* works well when a quick resolution on important issues is needed, when unpopular actions must be taken, or when commitment by others to the solution is not critical. The evidence indicates, you have a preferred style for handling conflicts. When “push comes to shove,” this is the style you tend to rely on.

5. **Conflict Management Tools**

a. **Influencing**

   Influencing is not manipulation, but rather a building of good working relationships. The ability to persuade others to your perspective requires building good working relationships through strong impersonal and communication skills.

b. **Negotiating**

   When there is a conflict of interest, one person wants one thing while another person wants something different; it is necessary for both sides to discuss possible solutions. This is called negotiating. The following are negotiation techniques everyone can use.

   (1) Set the agenda
   (2) Establish your goals
   (3) Know your wants and needs
   (4) Do not confuse your goals with the issue
   (5) Mutual protection is better than mutual destruction
   (6) Relationships are important
   (7) Avoid trying to exercise power or controlling the process of negotiations
(8) Do not stereotype

(9) Do not bargain against yourself

(10) Identify interference

(11) Seek a settlement

(12) Be proactive, not reactive

(13) Be flexible

A PO1 will need to be aware of the impact organizational barriers and gender/cultural differences have on effective communications. Conflict in an organization is inevitable. Understanding and employing interpersonal conflict management tools is necessary for success as a manager.

6. Team Leaders Responsibility in Managing Conflict

a. Team leaders can be proactive when it comes to conflict. Anticipate red flag issues before team members have a chance to react. Also:

   (1) Use team-building methods that help avoid group problems. Most conflicts can be anticipated and prevented if the group learns basic team skills, communicates honestly, and takes a little time to develop itself into a team.

   (2) Treat team problem issues as group challenges for resolution. A natural tendency is to blame people or to take sides on an issue of interpersonal disagreement. However, a constructive resolution approach usually identifies problem causes that are attributable to the system, or even the group’s methods, rather than to an individual.

b. Team Conflict Management Options

   Team leaders and members must neither over react nor under-react to conflict. Use conflict intervention options that are appropriate to the situation.

   (1) **Do nothing** (*non-intervention*): Ignore the conflict.

   (2) **Off-line conversation** (*minimal intervention*): Talk to the individuals concerned outside the group meeting. Provide constructive feedback on their behavior in a supportive manner (e.g., ask for their ideas on what would improve the group process).

   (3) **Impersonal group time** (*low intervention*): Talk about issues in a generic sense before the meeting (tied into "ground rules") or at the end of the meeting as part of the meeting evaluation.
(4) **Off-line confrontation** (*medium intervention*): Provide feedback to the individuals involved with a more directive style. Seek an agreement for change in behavior.

(5) **In-group confrontation** (*high intervention*): As a last resort, the leader might have to deal with conflict during the meeting itself. This is disruptive to the group's business and exposes one or more individuals to public criticism.
EXERCISE SHEET 2-2-1
SOURCES OF CONFLICT

The purpose of this activity is to help the PO1 identify sources of conflict within the work environment, the factors that contribute to the conflict, and how best to manage the conflict.

Using the following chart, list as many sources of conflict as you can think of. Then describe the factors that contribute to that conflict. Determine whether this particular conflict is preventable. In each case, determine what conflict management style is most beneficial for maximizing the benefits of conflict and reducing the negative results.

Be prepared to present your findings in a large group discussion of the activity.

<table>
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<th>WORK ENVIRONMENT SOURCE OF CONFLICT</th>
<th>FACTORS THAT CONTRIBUTE</th>
<th>PREVENTABLE YES OR NO</th>
<th>CONFLICT MANAGEMENT STYLES</th>
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<td>Example: Radio Station</td>
<td>Diverse backgrounds, different tastes</td>
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NOTE TAKING SHEET 2-2-1
TOPIC DEBRIEF

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TOPIC PLANNER 2-3
TEAMWORK

ENABLING OBJECTIVES

- IDENTIFY the characteristics of a team.
- DETERMINE how to manage a team of diverse individuals
- IDENTIFY methods to facilitate cooperation and progress amongst the team.

STUDENT PREPARATION PRIOR TO THIS TOPIC

- Readings: None
- Supplemental Readings: None

STUDENT REFERENCES
None

SUPPLEMENTAL REFERENCES


STUDENT GUIDE MATERIALS

- Topic Planner 2-3: Teamwork
- Outline Sheet 2-3-1: Teamwork
- Information Sheet 2-3-1: Characteristics of Teams
- Case Study 2-3-1: Managing Team Dynamics
- Note Taking Sheet 2-3-1: Topic Debrief
### OUTLINE SHEET 2-3-1

#### TEAMWORK

1. **Introduction to Teamwork**
   
   One key to success in any organization is the effective use of resources. Productive teams and teamwork, in appropriate applications or situations, can be the best example of using personnel effectively.

   Effective teams develop over time. An effective team consists of diverse, creative, self-managed, productive, and committed individuals. As a PO1, you are expected to act as a team leader, not just a team member.

2. **What is a team?**
   
   In order to be an effective team leader, a PO1 must first understand team dynamics. The difference between a team and a group is that a team consists of the following:

   - A small number of people, between 2-25
   - Complimentary skills
   - Technical or functional expertise
   - Problem-solving and decision-making skills
   - Interpersonal skills
   - Common purpose
   - Team rules
   - Mutual accountability

3. **Why do PO1s need teams?**
   
   Teamwork is vital to mission accomplishment. A team, with multiple skills, talents and abilities, provides mutual support and solves difficult problems, which produces better results. A PO1 needs a team for the following reasons:

   - The mixed skill sets exceeds any individual’s skills.
   - When there are clear goals and open communication, teams are more flexible and resilient to change.
c. The social aspect of the team makes obstacles seem less challenging and more fun. Individuals who enjoy their work tend to produce quality outputs.

4. Team Leaders

There is a delicate balance between empowering the team and maintaining leadership of the team. Team leaders do not know all the answers, but will be expected on occasion to make final decisions.

Team effectiveness should be measured by team performance, not individual contributions.

Team leaders must be willing to be “hands-on” leaders when necessary and should not assign a task that they would not be willing to do themselves.

Cooperation and teamwork are promoted by the knowledge that all will succeed or fail together. Some may do more than others may, but all must share in the success or adversity of the team.

5. Characteristics of Teams

In the Naval operational environment, some of the frequently encountered teams serve one of three functions: teams that do things, teams that recommend things, and teams that run things.

Regardless of the type of team or the team's purpose, effective teams are crucial to command effectiveness. If one were asked, "What does an effective team look like?" The answer is simple. An effective team is diverse, creative, self-managed, productive, and committed. The physical and mental attributes that provide input into making an effective team are easily described; additionally, the process of making that team effective is also easy to describe.

There are many ways to categorize teams, yet they are all similar in their needs for leadership and team management.

6. Stages of Team Development

Teams go through growth stages similar to human beings. There are periods of growth such as infancy, adolescence, and adulthood. During these growth periods, we are capable of accomplishing great things, but for some reason or another, we are not yet able. At each stage in our development, we exhibit behaviors that are recognizable by others, who then immediately understand what stage we are currently in. Each stage of development that a team progresses through also demonstrates recognizable behaviors.

The stages of team development are: forming, storming, norming, and performing.
a. Forming

In the *forming* stage, the group members explore the parameters of what is acceptable, both to their coworkers and to the group’s leader. During this stage excitement, optimism, and anticipation often mix with feelings of anxiety about the uncertainties ahead.

**Signs**
- Non-genuine, “Plastic” smiles
- Only a few talking or nervous chatter

**Issues**
- Who’s who in the room?
- Why are we here?
- How do I fit in?

b. Storming

The *storming* stage includes a period of adjustment in which group members resist collaborating with each other due to differences in attitude, preferences, experience levels, and perceptions of what the problems and their solutions are.

**Signs**
- Members engage in selling rather than listening
- Ideology outweighs facts
- Tendency to premature voting
- Environment feels hostile

**Issues**
- How can I protect my own area?
- How can I get what I want/need?
- How can I influence this group?

c. Norming

The *norming* stage marks the end of the period of personal adjustment and conflict, and the beginning of a period of equilibrium in which group members begin to think in terms of team-centered task definition and accomplishment. They begin to reconcile competing loyalties and responsibilities, and to understand that no individual can accomplish the necessary goals alone. Overall, a growing sense of membership in a unique group overcomes petty personal differences.

**Signs**
- More active participation
- Hidden agendas being revealed
- Sub-groups forming
- Leaders emerging

**Issues**
- What are we to accomplish?
- How will we accomplish our work?
- Who will be responsible for what?

d. Performing

In the *performing* stage, the team members roll up their sleeves and get to work. They now define and solve problems as a cohesive group, and take proactive approaches, which involve the abilities and experience of each member. There is
a sense of progress, and a mutually shared belief that all efforts are contributing to the larger organization’s mission.

**Signs**
- All group members share a common sense of purpose
- Information is shared openly and efficiently
- Members both challenge and support one another
- An accepted problem solving method produces innovative decisions
- Decisions are implemented fully

**Issues**
- How can we prevent rather than fix problems?
- How can we do our jobs better, quicker, and more efficiently?
- How can we put smiles on the faces of those depending on us?
CHARACTERISTICS OF TEAMS

Teams can be organized by several methods. Three methods frequently used in the Navy are by the makeup of a team, or composition, the length of time the team will be together, or duration; and the responsibilities the team fulfills, or leadership.

1. Composition (Functional/Cross-Functional)
   - **Functional** - Generally confined to the boundaries within a functional (operational) area, under one supervisor's control.
   - **Cross-Functional** - Organized by process (across functions) with a systems view. Cross-functional teams foster open communication, promote cooperation, provide for more creative ideas, and discourage we/they thinking.

2. Duration (Standing/Ad Hoc)
   - **Ad hoc** - This type of team attacks a problem and then disbands. There are times when the prompt efforts of an ad hoc team of dedicated Sailors are required. Tiger Teams, as an example, should be seen as a temporary measure for solving a short-term problem or work effort. However, when the crisis passes, wise leadership will look at the processes that created the short-term problem in the first place, and, if possible, undertake improvement to try to keep the problem from recurring.
   - **Standing** - The life of this type of team is indefinite. An example is a Planning Board for Training. The membership of this team is determined by organizational positions. The people filling those positions may change, and the team has changing faces, but the positions, or roles, remain constant.

3. Leadership (Managed/Self-Managed)

   Leadership teams at any level are responsible for providing and aligning the organizational direction. Typically, the teams are composed of managers and key leaders in an organization who provide guidance, direction, and resources.
   - **Self-Managed** - A self-managed team is concerned with how to get the job done under the constraints of policies, resources, or systems.
   - **Managed** - A managed team has someone telling it how to get the job done under the constraints of policies, resources, or systems.
CASE STUDY 2-3-1  
MANAGING TEAM DYNAMICS

Inconsistent maintenance of cleanliness standards in the berthing compartment has plagued your tour as division LPO. The substandard cleanliness in the berthing compartment has been intensified by numerous quick fix attempts to correct the problems. You realize that a quick fix solution will not take care of the problem and decides to put together a team that will work to solve the cleanliness problem in berthing. You sit down and handpick a team of four sharp individuals from:

**Petty Officer Second Class Al-Aziz** is the senior PO2 in the work environment. Technically competent, he’s been a steady performer since scared at Captain's Mast four years ago. With 10 years time in service, Al-Aziz is struggling with the decision of whether to stay in or get out, and is frustrated about not enough opportunity. Al-Aziz made PO2 the first time eligible.

**Petty Officer Second Class Malmsteen** is an antagonist, strong in technical skills but weak in cooperative, team-oriented behavior. Malmsteen thrives on conflict. Petty Officer Malmsteen qualified at the highest watch station for a PO2, and has completed the advancement requirements for PO1 less than six months after being frocked to Petty Officer Second Class.

**Petty Officer Third Class Daniels** is also very strong in technical skill and is ingenious. However, Daniels wants to do things her way, aspires for a commission, and is taking classes towards a management degree.

**Petty Officer Third Class Brannigan** is the work environment's yeoman. He reports primarily to Chief Perez. Brannigan is a follower, not a leader, and does the routine tasks at the minimum level acceptable.

**Petty Officer Third Class Wilder** has had problems with his weight and passing PRT.

**Seaman Jasper** is a marginal performer who has potential but she gets lost in the crowd. Jasper recently had a DUI.

**Seaman Recruit Phillipi** started out highly motivated but it seems Phillipi does not know what is expected and is taking too much time to come up to speed. He just got out of boot camp and has been on board less than 3 months.

You call the team together to give them a brief on what is expected of them.
The first stage of team development, forming, is nearly complete and you know that things will not always be smooth, especially as the team enters the storming stage.

1. What considerations did you take when assigning personnel to the teams?
2. Who will you pick from the work environment personnel listed below?
3. How can you ensure the team successfully completes this task?
4. What information did you provide to the team during the brief?
5. How can you leverage the benefits of teamwork?
6. What are the implications of your responsibility, accountability and authority (RAA) when managing this team?
NOTE TAKING SHEET 2-3-1
TOPIC DEBRIEF

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TOPIC PLANNER 2-4
DELEGATION AND EMPOWERMENT

ENABLING OBJECTIVES

- EXPLAIN how delegation is used to develop subordinates.
- EXPLAIN how to create an empowered work environment.
- IDENTIFY the importance of appropriate delegation in maximizing the work environment’s effectiveness.
- IDENTIFY barriers to effective delegation.

STUDENT PREPARATION PRIOR TO THIS TOPIC

- Readings: None
- Supplemental Readings: None

STUDENT REFERENCES

None

SUPPLEMENTAL REFERENCES


STUDENT GUIDE MATERIALS

- Topic Planner 2-4: Delegation and Empowerment
- Outline Sheet 2-4-1: Delegation and Empowerment
- Information Sheet 2-4-1: Empowerment
- Note Taking Sheet 2-4-1: Topic Debrief
1. Introduction to Delegation
   a. Delegation Defined

   Delegation is assigning to others specific tasks and the authority (power) to complete those tasks, with mutually agreed-upon methods for evaluating the completed work.

   b. Delegation Discussed

   “One of the signs of a truly strong leader is that he (or she) is comfortable delegating authority” (Admiral Thomas B. Hayward).

   “The higher an individual goes in the service, the more important his ability to delegate becomes” (Admiral David L. McDonald).

   One of the strongest distinctions between average and superior commands is how much work and decision making is delegated to lower levels. These commands realize the benefits of delegating. Not only is it efficient because time and energy are limited and one cannot do everything; it is smart because it allows the person with the expertise and the one closest to the situation to decide what to do. It also builds morale because people feel trusted and valued: they are more than robots that merely take orders. In addition, it fosters high standards because people take ownership for their areas; they learn that they will receive the credit when things turn out well and the blame when they don’t. And through delegation, people develop. They learn how to lead and make decisions, and how to learn from their mistakes. The chain of command is not a democracy; yet it is through delegation that the same kind of commitment to decisions is won (Naval Military Personnel Command, 1985, p. 71).

2. Understanding Delegation
   a. Delegation Concept

   Delegation is giving people things to do. Management is accomplishing Navy goals by working through individuals and groups. It is easy to see that the two are closely entwined. A PO1 who is not delegating is not managing well, or leading.

   “Any time you perform a task someone else can do, you keep yourself from a task that only you can do” (Maddux, 1990, p. 63).
b. Why Delegate?

If a subordinate is perfectly capable of performing a task, then you should not spend your time working on that task. If you do, you waste your time, deny the subordinate a growth opportunity, and weaken the entire organization. Your role is to strengthen your people and build their confidence, not frustrate them. You must learn to delegate.

Leaders are responsible for getting the job done right. The actions that leaders take to ensure that the job is done right include:

1. Setting standards
2. Assigning task and schedules
3. Following up to ensure task have been accomplished
4. Giving feedback regarding goal attainment.


c. What and What Not to Delegate

Tasks for delegation come from your job responsibilities. In deciding what tasks to delegate, the PO1 must look at the task, the situation, and the people at hand. First, let us examine what can and should be delegated.

1. Tasks that can be delegated:
   a. Matters requiring minimal coordination
   b. Routine, ongoing matters
   c. Tasks involving technical knowledge
   d. Matters covered by detailed procedures or policies
   e. Projects with clearly defined results

2. Tasks that should not be delegated:
   a. Personal and confidential matters
   b. Policy-making
   c. Crisis
   d. Development of subordinates
3. Subordinate Development through Delegation

Effective delegation provides opportunities for communication, goal setting, training, and feedback—all critical to subordinate development.

a. Assess Individual Capability

In order to choose the right person for a job and the right jobs for all your people, you need to analyze and assess their capabilities. You must determine the different strengths, skills, and aspirations of your subordinates before delegating tasks. Two common methods of assessment are:

Direct observation takes place both in the work environment and in off-duty situations. It involves, among other things, monitoring individuals during the performance of their duties, observing their interactions with seniors and peers, and discussing the individual's goals and objectives in both formal (counseling) and informal (conversational) settings. The downside of direct observation is that it is limited to the present situation, and reflects only the opinion of the observer.

Indirect observation can include a review of service records, evaluations, inspection results, third party opinions and any other data that has been compiled about a subordinate. While indirect observation has greater scope than direct observation, its limitations are that the data may be out of date or flawed in some other way, and that it does not involve active discussion with the subordinate.

It is sensible to use a combination of the two methods to accurately identify individual capabilities.

As a leader, your natural tendency is probably to try to complete a task rapidly and accurately. You want results, and to get results you may choose your star performer. However, the star performer is not always the right choice for the delegate (Huppe, 1994, p. 106). Remember that subordinate development is future oriented; it takes time and thoughtful consideration to build subordinates. Before selecting an individual for delegation, consider three possible goals or outcomes from the delegation process:

(1) to get the job done
(2) to enhance professional development in a subordinate
(3) to provide an opportunity to evaluate a subordinate's development or commitment
Frequently you will want to achieve two of the goals, or even all three. If you focus only on *direct results*, however, you will not meet your long-term goals for delegation.

b. Continuous Improvement

Continuous improvement includes monitoring processes and procedures to evaluate their ongoing effectiveness in meeting operational goals, while constantly looking for opportunities to improve the process. When you provide additional authority and responsibility to subordinates through effective delegation, continuous improvement is enhanced in two ways. First, with the increase in knowledge and skills on the work environment team, processes are completed with greater speed, accuracy, or both; secondly, the creative problem solving of team members enhances new or better ways to accomplish tasks.

4. Effective Delegation

a. Analyze and plan tasks to be delegated by prioritizing what must be done, and then identify the tasks that can and should be delegated.

b. Select the right delegatee by looking at both current competence and commitment and at the growth potential for individuals.

c. Assign responsibility, grant authority.

d. Communicate the delegation and gain delegatee acceptance by clearly defining the parameters of the task and clearly communicating goals, objectives, and timelines.

e. Monitor task execution by following up on schedule.

f. Provide feedback that balances the work environment’s goals and the subordinates’ need for personal and professional growth.

5. Barriers to Delegation

*Internal barriers* are psychological barriers that individuals use to excuse the fact that they do not delegate well. Common barriers that leaders experience include:

a. “I can do it better.”

One of the most common psychological barriers is the feeling that “I can do it better (faster, more efficiently).” Several conditions contribute to this barrier. Initially, most subordinates are not fast or efficient, and training, with the associated follow up, is more time consuming than doing a task yourself. However, the primary role of delegation is to create a redundant work force. In
addition, managers often look at the process for getting things done, not the results. If a subordinate finds an equally efficient or better method for completing a task that may not “feel right” to the boss, the boss should not take back the task to “do it right,” but affirm the improved procedure.

b. “I don’t have enough time.”

Closely related to the “I can do it better” barrier, the “not enough time” barrier prevents delegation because the delegation process becomes delayed and, suddenly, there is not enough time to teach, train, or monitor. The work environment supervisor just continues to do what needs to be done because it must be done NOW. As with many other organizational procedures (e.g., decision making and performance evaluation), delegation must be built into the work plan or it will be sacrificed because “There isn’t enough time.” Since effective delegation is an important part of work environment effectiveness, the entire delegation process should be considered as part of a PO1’s job description, and effective delegation as part of his or her evaluation criteria.

c. “I secretly fear that my subordinates will outshine me.”

Protecting your position as the expert or the individual with all the knowledge is a common phenomenon. Being the boss includes control, authority, and power, and delegating can make you feel like you are giving up those things. These feelings are more likely to occur in supervisors who have low self-esteem or lack confidence in their abilities (Huppe, 1994, p. 34).

d. “I lack confidence in my people.”

When you do not delegate because you lack confidence in your subordinates, you begin a never-ending cycle. You deny them the opportunity to build the skills and gain the experience that would give you confidence in them. You must demonstrate leadership by taking some risk and breaking the cycle. Remember, your lack of confidence in subordinates may say more about your ability to train them than about their abilities to learn.

In addition to psychological barriers in supervisors, similar barriers exist in subordinates, as well. It is the responsibility of the PO1 to identify and attempt to reduce these common barriers:

(1) Lack of experience or competence

Subordinates can be concerned that they lack the skills necessary to work outside of their current scope. Make certain there is adequate training time, and that you provide positive, corrective feedback frequently.
(2) **Fear of punishment**

The thought that, “If I don’t do this right I will be punished for making mistakes” can keep subordinates from accepting delegation. Clearly stated expectations and supportive feedback can reduce this fear.

(3) **Concern with work overload**

Delegation can be confused with “dumping,” and subordinates can be overwhelmed with too many tasks. Again, clear communication of expectations, goals, and objectives can frame the delegation in a positive way.

b. External or organizational barriers exist when various situational contingencies make delegation difficult, if not impossible. Some common organizational barriers exist when:

(1) Delegation is not respected and encouraged; the organizational culture will not support attempts to effectively use delegation.

(2) Organizations are downsizing; remaining personnel often are overwhelmed with work and resist additional responsibility.

(3) Organizations are using a matrix structure; clear lines of authority for assigning and monitoring delegation may not be easily established.

c. Overcoming barriers to delegation is necessary, because delegation is necessary. The first step for a leader is to recognize the situations or circumstances that create the greatest barriers for them, and then focus on using delegation effectively to minimize the impact of the barriers.

When delegation is practiced effectively, the negative factors that create or sustain barriers are minimized. Positive outcomes from delegation are the best way to reduce barriers.

6. **Understand Empowerment versus Delegation**

Delegation and empowerment are separate, but related issues. We have previously defined delegation as assigning to others specific tasks and the authority (power) to complete those tasks, with mutually agreed upon methods for evaluating the completed work. Empowerment describes a fundamentally different way of working together that includes effective delegation as a core component. In an empowered organization, “…employees feel responsible not just for doing a job, but also for making the whole organization work better. The new employee is an active problem solver who plans how to get things done and then does them” (Scott & Jaffe, 1991, p.4).
Empowerment is the result of leadership actions to create an environment of trust and mutual respect. A leader/manager maximizes individual power and opportunity for success when enabling subordinates to achieve a sense of power and success. Trust and teamwork set the tone.

Empowerment is the establishment of an attitude among members of a work environment that their contribution is valuable to the organization, and that they can make a difference in outcomes, plans, and programs. Creating an empowering environment is a matter of creating an environment of trust and mutual respect. Methods to create an empowering environment include: enhancing the content of the work; expanding the skills and tasks that make up a job; liberating creativity and innovation; greater subordinate control over decisions about work; completing a whole task rather than just portions of it; looking at your work as part of a larger system, and focusing on quality outcomes (Scott & Jaffe, 1991, pp. 41-50).

Empowering a work environment requires that a PO1 approach the responsibilities of his or her work environment with a specific mindset. The following is a list of attitudes and behaviors that, taken as a whole, create empowerment. An empowering leader (Scott & Jaffe, 1991, p. 37):

- Helps employees get the job done
- Challenges assumptions
- Encourages risk and experimentation
- Delegates authority and responsibility
- Inspires a shared vision by aligning core values
- Fosters a learning environment
- Promotes shared information and collaborative problem solving
- Models behavior – “walks the talk”
- Appreciates diversity of style and behavior
- Focuses on developing people
- Encourages self-expression and open discussion of conflict
TOPIC PLANNER 2-5
PLANNING AND RISK MANAGEMENT

ENABLING OBJECTIVES

- **STATE** the importance of planning for work environment productivity.
- **DEFINE** risk management.
- **DEFINE** the time critical risk management process.
- **DIFFERENTIATE** between risk management and time critical risk management.
- **DESCRIBE** the impact of not using a risk management strategy.

STUDENT PREPARATION PRIOR TO THIS TOPIC

- Readings: None
- Supplemental Readings: None

STUDENT REFERENCES

None

SUPPLEMENTAL REFERENCES


OPNAVINST 3500.39 (Series). *Operational Risk Management*.


STUDENT GUIDE MATERIALS

- Topic Planner 2-5: Planning and Risk Management
- Outline Sheet 2-5-1: Planning and Risk Management
- Note Taking Sheet 2-5-1: Topic Debrief
1. The Role of Effective Planning

Planning is one of the major functions of management. Effective planning is essential to the successful accomplishment of assigned tasks and, ultimately, the command mission. The management function produces and integrates objectives, strategies, and policies.

a. Purpose of Planning

Those who do not plan respond in a reactive mode. Effective planning provides the workforce a sense of purpose and direction. It also assists decision-making and the ability to have control over the initiatives of the work environment.

More specifically, planning:

(1) Develops a shared understanding of the common direction

(2) Coordinates efforts of people working together

(3) Facilitates decision making

(4) Establishes control and measurement


In the 1985 Command Excellence study, superior commands were distinguished from others in part by several of the following planning characteristics:

(1) Planning is a regularly scheduled activity.

Besides planning for special events, planning may be scheduled weekly for tracking progress towards goals.

(2) Planning occurs at all levels.

Commands, departments, divisions, and work environments plan.

(3) Planning is long range.

A work environment may have a monthly long-range planning meeting in addition to weekly short-range operational planning sessions.
(4) Plans are specific.

Plans are documented with milestone charts and a matrix showing who is responsible and when tasks are due.

(5) Plans are publicized.

Plans are not the private information of leaders, but are published in the Plan of the Day (POD), posted on bulkheads, and explained at quarters.

(6) Systems are put in place to implement plans.

Routine tasks and operations are standardized with someone in charge of the process.

(7) The command makes every effort to stick to the plan.

Plans are taken seriously. Although circumstances may require it to change, considerable effort is put into abiding by the plan.

2. Types of Plans

Planning can be categorized in many different ways. One common way to categorize is by range or time frame.

a. Short-Range Plans

Short-range planning sets out the short-range goals or objectives to support a command mission or objective. Also called action plans, these plans take established end states, make them more specific, and outline the implementation steps. It is planning designed to maximize the efficiencies involved in day-to-day operations. They support mid-range and long-range plans. Short-range planning usually involves objectives handed down by a higher level in the organization and determines ways to attain them.

b. Mid-Range Plans

Mid-range planning involves the near-term goals and objectives that support an organization's long-range plans. This type of planning includes monthly and quarterly training plans, quarterly budget plans, and Plan of Action & Milestones (POA&M).

c. Long-Range Plans

Long-range plans focus on how an organization decides where it is going. These types of plans are developed by the top management of an organization and are
broadest in scope. They include top-down planning, a long-range timeframe, and an external focus. Long-range plans are not constrained by time and are cyclical and continuous.

3. Elements of a Plan

From strike projection planning to compartment cleaning, planning generally involves the same process that contains the following interacting elements.

a. Mission (Purpose)

Every plan has the ideal state or specific end that provides the target for human effort. It may be provided to us (as an assigned mission), or it may be open to our development (as in strategic planning). Regardless, the first step of proactive planning, either personally or professionally, is a conscious documentation of where you are going.

b. Goals and Objectives

Establishment of goals and objectives provide a means to achieve the plan’s purpose. Goals and objectives are the targets, toward which an organization strives. For example, a work environment may have a goal of reducing consumable purchases by 10 percent per quarter. The goals and objectives are selected to support the purpose. Keeping in mind the desired end to be attained, goal(s) are selected. Then strategies are identified and prioritized. Finally, strategies are implemented to achieve the objective.

c. Implementation

Planning involves selecting the methods of achieving the desired end. It is in this phase of planning that we creatively explore the various options available, decide on one or more paths to achieve the desired future, and determine the sub-goals or objectives that are the major milestones to the target.

d. Monitoring

Monitoring allows the manager to determine which plans are working and which ones are not. Monitoring includes observation and collection of data to ascertain the progress of the plan. As implementation progresses, monitoring provides feedback that allows for adjustments, if necessary.

e. Evaluation

Evaluation provides the validation of whether the plan is working or needs to be revised. The observations and data collected are considered to determine the
degree of success of the plan. If the progress of the plan is not satisfactory, corrections to the plan should be made.

f. Correction

Correction involves reassessing the actions needed to meet stated goals. Plan correction should not be viewed as a one-time event. Continuous Improvement is based on the premise that only through continual improvement efforts can we succeed in providing the end-user with what they need. In the case of planning, the end-user may be a work environment or command.

4. Three Important Concepts to Apply When Planning

a. Problem Solving

(1) Define the problem

(2) Look for potential causes for the problem

(3) Devise a plan to solve the problem

(4) Identify alternative solutions to the problem

(5) Select the best solution to the problem

b. Decision Making

(1) Define the problem

(2) Collect and analyze data

(3) Weigh alternatives and risk

(4) Test possible solutions

(5) Arrive at a course of action

Responsibility for actions and decision-making should be delegated to the lowest level of competence and capability that is appropriate for the type of decision being made.

c. Risk Management (OPNAVINST 3500.39 (series))

The concept of risk management is not new in the Navy, and leaders have always practiced risk management in their operational decision making to some
degree. Only recently has there been a comprehensive, standardized approach to apply risk management to everything we do.

Risk management is the process of dealing with risk associated with military operations, which includes risk assessment, risk decision-making, and implementation of risk controls. By reducing the potential for loss, the probability of a successful mission is increased.

Risk management minimizes risks to acceptable levels, commensurate with mission accomplishment. The amount of risk we will accept in war is much greater than what we should accept in peace, but the process is the same. Correct application of the risk management process will reduce mishaps and associated costs resulting in a more efficient use of resources.

The risk management process is designed to manage risk by determining the risk involved, making decisions to reduce risk to acceptable levels, and taking actions to minimize risk associated with the operation. Figure 1, Risk Management Flow Diagram, provides a rendering of the process.
LIST MAJOR STEPS OF THE OPERATION (1)

IDENTIFY HAZARDS AND CAUSES ASSOCIATED WITH EACH STEP (1)

ASSIGN HAZARD SEVERITY (2)

ASSIGN MISHAP PROBABILITY (2)

DETERMINE LEVEL OF RISK (2)

DETERMINE RISK CONTROL OPTIONS (3)

CAN CONTROLS BE CHANGED AT THIS LEVEL? (3)

WITH CONTROLS IN PLACE, IS BENEFIT > RISK? (3)

YES

NO

COMMUNICATE WITH HIGHER AUTHORITY

CAN CONTROLS BE IMPLEMENTED AT THIS LEVEL? (3)

YES

SUPERVISE (5)

IMPLEMENT CONTROLS (4)

CONTINUE SUPERVISION UNTIL OPERATION ENDS

ARE THERE CHANGES? (5)

YES

NO

ARE CONTROLS EFFECTIVE? (5)
(1) Step 1: Identify Hazards

Begin with an outline or chart of the major steps in the operation (operational analysis). Next, conduct a Preliminary Hazard Analysis by listing all of the hazards associated with each step in the operational analysis along with possible causes for those hazards. If the situation dictates and time allows, conduct an in-depth analysis of each hazard.

(2) Step 2: Assess Hazards

For each hazard identified, determine the associated degree of risk in terms of probability and severity. This can be accomplished using a risk assessment matrix (Table 2).

<table>
<thead>
<tr>
<th>Hazard Severity</th>
<th>Mishap Probability</th>
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<tr>
<td></td>
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**RAC Definition**
- 1 – Critical
- 2 – Serious
- 3 – Moderate
- 4 – Minor
- 5 – Negligible

**Table 2: Risk Assessment Matrix**

(a) Hazard Severity

Hazard severity is an assessment of the worst credible consequence, which can occur as a result of a hazard. Severity is defined by potential degree of injury, illness, property damage, loss of assets (time, money, personnel), or effect on the mission. The combination of two or more hazards may increase the overall level of risk. Hazard severity categories, as shown in Table 2, are assigned as Roman numerals according to the following criteria:

- **Category I**: The hazard may cause death, loss of facility/assets, or result in grave damage to national interests.
- **Category II**: The hazard may cause severe injury, illness, property damage, damage to national or service interests, or degradation to efficient use of assets.

- **Category III**: The hazard may cause minor injury, illness, property damage, damage to national, service or command interests, or degradation to efficient use of assets.

- **Category IV**: The hazard presents a minimal threat to personnel safety or health, property, national, service or command interests, or efficient use of assets.

(b) Mishap Probability

This is the probability that a hazard will result in a mishap or loss, based on an assessment of such factors as location, exposure (cycles or hours of operation), affected populations, experience, or previously established statistical information. Mishap probability, as shown in Table 2, will be assigned an English letter according to the following criteria:

- **Subcategory A**: Likely to occur immediately or within a short period. Expected to occur frequently to an individual item or person, or continuously to a fleet, inventory, or group.

- **Subcategory B**: Probably will occur in time. Expected to occur several times to an individual item or person, or frequently to a fleet, inventory, or group.

- **Subcategory C**: May occur in time. Can reasonably be expected to occur some time to an individual item or person, or several times to a fleet, inventory, or group.

- **Subcategory D**: Unlikely to occur.

Note that in some cases, the worst credible consequence of a hazard may not correspond to the highest RAC for that hazard. For example, one hazard may have two potential consequences. The severity of the worst consequence (I) may be unlikely (D), resulting in a RAC of 3. The severity of the lesser consequence (II) may be probable (B), resulting in a RAC of 2. Therefore, it is also important to consider less severe consequences of a hazard if they are more likely than the worst credible consequence, since this combination may actually present a greater overall risk.
(3) Step 3: Make Risk Decisions

To make risk decisions, first develop risk-control options. Start with the most serious risk first and select controls that will reduce the risk to a minimum consistent with mission accomplishment. With selected controls in place, decide if the benefit of the operations outweighs the risk. If risk outweighs benefit or if assistance is required to implement controls, communicate with higher authority in the chain of command.

(4) Step 4: Implement Controls

Control is defined as a mechanism that reduces the incident of severity of something. Risk controls, by definition, are mechanisms designed to reduce the incidence or severity of risk. The following control methods can be used to eliminate hazards or reduce the degree of risk.

(a) Engineering Controls

These controls use engineering methods to reduce risks by design, material selection, or substitution when it is technically or economically feasible. Examples are redundant/backup systems, safety guards or easily accessible OFF switches on machinery, Remove Before Flight streamers and their associated locking pins and improved designs, which reduce failure rates.

(b) Administrative Controls

These controls reduce risks through specific administrative actions. Administrative controls can take several forms:

- Standard Operating Procedures (SOP) for a specific evolution
- Written instructions for the proper use of personal protective equipment
- Time limits for exposure to a known hazard
- Training in proper tool use, maintenance, and storage
- Improving a process to both increase efficiency and reduce risk
- Warning signs, placards, markings, or notices appropriately placed

(c) Personal Protective Equipment
This equipment reduces the risk of exposure to the harmful effects of elements within the working environment and includes, but is not limited to:

- Gloves
- Ear protection
- Personal Flotation Devices (PFDs)
- Safety glasses
- Heavy weather safety harnesses and tethers
- Lifting harnesses

(5) Step 5: Supervise

Conduct follow-up evaluations of the controls to ensure they remain in place and have the desired effect. Monitor for changes that may require further risk management. Take corrective action when necessary.

5. Risk Management Levels

The risk management process exists on three levels according to the time and assets available.

a. Time critical. The on-the-run mental consideration of risk and the risk management process as a part of the operational estimate without recording the information on paper. The time critical RISK MANAGEMENT is employed by experienced personnel to consider risk while making decisions in a time-compressed situation. It is the norm level of RISK MANAGEMENT used during the execution phase of training or operations, as well as in planning during crisis response scenarios. It is particularly helpful in choosing the appropriate course of action when an unplanned event occurs during the execution of a planned operation or daily routine.

b. Deliberate. Adding time, assets, and techniques, the application of the complete five-step process will aid in planning an operation or evaluating procedures. It primarily uses experience and brainstorming to identify hazards and develop controls, and is therefore most effective when done in a group. Examples of deliberate applications include planning of upcoming operations, review of standard operating, maintenance or training procedures, and damage control and disaster response planning.
6. Risk Management Incorporates Four Principles

a. Accept Risk When Benefits Outweigh The Cost

Naval Doctrine Publication 1 states, "Risk is inherent in war and is involved in every mission. Risk is also related to gain; normally greater potential gain requires greater risk." Our naval tradition is built upon principles of seizing the initiative and taking decisive action. The goal of risk management is not to eliminate risk, but to manage the risk so that the mission can be accomplished with the minimum amount of loss.

b. Accept No Unnecessary Risk

Naval Doctrine Publication 1 also states, "We should clearly understand that the acceptance of risk does not equate to the imprudent willingness to gamble. Only take risks that are necessary to accomplish the mission."

c. Anticipate and Manage Risk by Planning

Risks are more easily controlled when they are identified early in the planning process.

d. Make Risk Decisions At The Right Level

Risk Management decisions are made by the leader directly responsible for the operation. Prudence, experience, judgment, intuition, and situational awareness of leaders directly involved in the planning and execution of the mission are the critical elements in making effective risk management decisions. When the leader responsible for executing the mission determines that the risk associated with that mission cannot be controlled at his or her level, or goes beyond the commander's stated intent, he or she shall elevate the decision to their chain of command.

7. Benefits of Risk Management

Risk management anticipates hazards and reduces the potential for loss due to injuries to personnel or damage to material or property. Minimizing risks to acceptable levels increases the probability of mission success. Risk management is most effective when it becomes integral to doing business and is adopted throughout the organization as part of the culture.
NOTE TAKING SHEET 2-5-1
TOPIC DEBRIEF

Notes:

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ENABLING OBJECTIVES

- DEFINE the responsibilities a Petty Officer First Class has to develop Sailors.

STUDENT PREPARATION PRIOR TO THIS TOPIC

- Readings: None
- Supplemental Readings: None

STUDENT REFERENCES


OPNAVINST 3120.32 (series). (1986). *Standard Organization and Regulations of the U.S. Navy (SORN).*

SUPPLEMENTAL REFERENCES

None

STUDENT GUIDE MATERIALS

- Topic Planner 3-0: Introduction
- Outline Sheet 3-0-1: Module 3 Introduction
- Note Taking Sheet 3-0-1: Topic Debrief
OUTLINE SHEET 3-0-1
MODULE 3 INTRODUCTION

The purpose of this module is to describe the role of a Petty Officer First Class as it relates to Sailor development.

This module covers four main topics.

The first topic covers the Navy's Diversity policy. The barriers to diversity and the role of the PO1 are also discussed.

The second topic covers Job Performance. This topic explores the components of the Navy’s evaluation system. The factors, which determine performance, are also discussed.

The third topic covers Stress Management. This topic, discusses the importance of each member processing stress in positive and constructive ways.

The fourth topic covers Motivation. This topic examines how the motivational environment impacts work environment effectiveness, with an emphasis on providing the appropriate motivation to each work environment’s team member.
NOTE TAKING SHEET 3-0-1
TOPIC DEBRIEF

Notes:

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TOPIC PLANNER 3-1
DIVERSITY

ENABLING OBJECTIVES

☐ IDENTIFY the characteristics of diversity.
☐ RECOGNIZE the Navy’s Diversity Policy.
☐ RECOGNIZE personal responsibility for creating and maintaining a diverse command environment.
☐ EXPLAIN the impact to the command when work environments are not diverse.

STUDENT PREPARATION PRIOR TO THIS TOPIC

☐ Readings: None
☐ Supplemental Readings: None

STUDENT REFERENCES


SUPPLEMENTAL REFERENCES


**STUDENT GUIDE MATERIALS**

- Topic Planner 3-1: Diversity
- Outline Sheet 3-1-1: Diversity
- Information Sheet 3-1-1: CNO Diversity Statement
- Note Taking Sheet 3-1-1: Topic Debrief
OUTLINE SHEET 3-1-1
DIVERSITY

1. Introduction to Diversity

As a member of the Navy, you must make a personal and professional commitment to improve your understanding of diversity as well as support diversity throughout the Navy.

Strengthening diversity strengthens the Navy. This can be accomplished by improving how recruiting and retaining Sailors takes place as well as by having Sailors and civilians reaching back to those behind and mentoring them.

According to Monster© Diversity Research (2005):

a. 92% of job seekers agree that diversity improves creativity and innovation
b. 85% of job seekers agree it is important to see people like themselves in positions of leadership.

2. What is Diversity?

Diversity is all the different characteristics and attributes of individual Sailors and civilians that enhance the mission readiness of the Navy.

a. Navy Diversity Policy

Every member of the Navy is responsible for promoting a culture that embraces diversity. The Navy’s Diversity Policy demonstrates a commitment to treating each individual with respect and understanding individual differences.

The diversity initiative targets all personnel: active, reserve, and retired military, and civilians: civil servants, contractors, suppliers, and customers.

b. Diversity Vision

The Navy’s diversity vision is to create an environment that encourages and enables all workforce members to reach their personal and professional potential.

3. Diversity Barriers

Diversity in the work environment can be adversely affected by attitudes or actions, be they conscious or unconscious, based on a person’s or group’s:

a. Race
b. Color
c. Gender
d. Religion
e. National origin
f. Disability
g. Age

4. Equal Opportunity (EO)

Equal Opportunity is the right of all persons to participate in, and benefit from, programs and activities for which they are qualified. These programs and activities shall be free from social, personal, or institutional barriers that prevent people from rising to the highest level of responsibility possible. Persons shall be evaluated on individual merit, fitness, and capability; regardless of race, ethnicity, national origin, sex, or religion.

Equal Opportunity is a fundamental element of the Navy’s core values of Honor, Courage, and Commitment. The U.S. Navy Regulations regarding Equal Opportunity and Treatment (Article 1164) reads, “Equal Opportunity shall be afforded to all on the basis of individual efforts, performance, conduct, diligence, potential, capabilities, and talents without discrimination of race, creed, color, gender, or national origin. Naval personnel shall demonstrate a strong commitment to stand on these principles and carry them out.”

5. Fostering Workforce Diversity

Fostering diversity, means creating an environment of excellence and continuous improvement in which artificial barriers to achievement are removed and the contributions of all participants are valued.

Diverse environments must recognize the right of everyone to contribute the talents and perspective that are unique to them. Diversity flourishes in environments where people are comfortable being themselves.

The Navy’s supportive services contribute to employees' professional development and provide organized activities for employees of diverse backgrounds. This information can be accessed through:

a. Navy E-learning
b. Navy Knowledge Online (NKO)
c. Naval Leadership Courses
d. Command Managed Equal Opportunity (CMEO)

6. Where Do You Fit In?

As a leader, the PO1 can have a direct influence on the work environment to become more diverse by developing and retaining Sailors and by helping Sailors
meet their full potential by creating an environment to encourage professional and personal development. By demonstrating personal behavior and being a role model towards the civilian community, individuals will want to emulate what they see and potentially join the Navy where they know they will be valued for their diverse background.
CHIEF OF NAVAL OPERATIONS

Diversity Policy

Diversity has made our Nation and Navy stronger. To derive the most from that diversity, every individual, military or civilian, must be encouraged and enabled to reach his or her full potential. They must be inspired and empowered to attain the most senior levels of leadership. That empowerment today is unleashed by involved, thoughtful, proactive, and enlightened leaders. As leaders, we are all entrusted with the duty and responsibility to set and live the example by creating an environment where every individual’s contribution is valued and respected. Future empowerment is cultivated by that same leadership and mentorship and an active commitment to attracting and recruiting the very best. We will foster an environment that respects the individual’s worth based on his or her performance regardless of race, gender, or creed.

As the Chief of Naval Operations, I will lead diversity initiatives in the Navy. I challenge all who serve to do the same through leadership, mentorship, service, and example. Our involved, proactive leadership will create and enable an environment and a Total Workforce that values uniqueness, different perspectives, and talent. Workforce character and professionalism is a priority in our Navy. Accordingly, we will support a culture of professional and personal development ensuring our people are trained and educated to accomplish our mission, with opportunities available to all in an equal manner.

We must not be locked in time. As leaders, we must anticipate and embrace the demographic changes of tomorrow, and build a Navy that always reflects our Country’s make up. We must lead in ways that will continue to draw men and women to service to our Country and to our Navy. Diversity of thoughts, ideas, and competencies of our people, keeps our Navy strong, and empowers the protection of the very freedoms and opportunities we enjoy each and every day. The vast talent, diversity, and experience of our citizens will continue to be our strength, and will ensure our Navy’s relevance and our Nation’s security and prosperity.

As we enhance and empower our diversity, we will remain a global force for peace, and epitomize the ideals that make our Navy great and our Nation the best hope of freedom. We will sustain our force through the fair, equal, and ethical treatment of every member of the United States Navy.

G. ROUGHEAD
Admiral, U.S. Navy
JOB PERFORMANCE

ENABLING OBJECTIVES

☐ STATE how evaluating performance improves work environment effectiveness.
☐ IDENTIFY the factors considered in a performance evaluation.

STUDENT PREPARATION PRIOR TO THIS TOPIC

☐ Readings: None
☐ Supplemental Readings: None

STUDENT REFERENCES


OPNAVINST 6110.1 (series). *Physical Readiness Program*.

SECNAVINST 5216.5 (series). *Department of the Navy Correspondence Manual*.

SUPPLEMENTAL REFERENCES


STUDENT GUIDE MATERIALS

☐ Topic Planner 3-2: Job Performance
☐ Outline Sheet 3-2-1: Job Performance
☐ Information Sheet 3-2-1: NAVPERS 1626/26
☐ Note Taking Sheet 3-2-1: Topic Debrief
OUTLINE SHEET 3-2-1
JOB PERFORMANCE

1. Understanding Performance

The combination of effort, abilities, and role perception determines an individual’s performance. An understanding of the dynamic nature of these elements helps you to objectively consider subordinate performance in the evaluation process.

- Effort is the amount of energy used in performing a task.
- Ability is the capacity to perform a task.
- Role (task) perception is the direction in which subordinates believe they should channel their efforts.

Performance should not be equated with effort, which refers to energy expended. Performance is measured in terms of results achieved against a clear standard.

2. Understanding the Navy’s Evaluation System

U.S. Navy Regulations require that records be maintained on naval personnel reflecting their fitness for the service and performance of duties.

The Navy’s fitness report and evaluation system is patterned on the best of modern personnel systems.

Performance evaluation is a process by which an individual’s performance in specific trait areas can be compared against set criteria. The performance evaluation system is a cause-and-effect relationship that results in a performance evaluation as an output.

The evaluation system is intended to provide a process that communicates to subordinates how they are performing the job and how to improve future performance. Additionally, the evaluation system communicates the documented performance to selection boards, and other career actions such as advanced training, specialization/sub-specialization, and duty assignments.

Performance evaluations provide descriptions of job-relevant strengths and weaknesses. An accurate evaluation of each individual’s performance is important because this information can affect many important decisions. New challenges arise at the PO1 level, at which involvement in evaluating subordinate performance increases significantly.

The Navy Performance Evaluation and Counseling Manual, BUPERSINST 1610.10, provides instructions on the evaluation process.
a. Evaluating Performance

Evaluating subordinate performance, counseling them, making ranking recommendations, and taking responsibility for others' careers are new considerations for most PO1s.

A good performance evaluation (EVAL) includes more than just a supervisor's opinion. A member has the right to submit evaluation report input. The member’s input, or brag sheet, includes such information as what the member has accomplished, how achievements were accomplished, and the impact of those achievements on the command. Member input aids the rater or reporting senior in preparing a complete report, and is the primary means a member has to ensure that the EVAL rater considers performance from the member's perspective.

PO1s must be especially aware of subordinates' routine performance, and ensure that this performance is being documented. They should also ensure that subordinates understand the evaluation system as well as how to use brag sheets. PO1s will find CPOs and Officers relying more on their inputs and draft evaluations (EVALS).

Weaknesses reported in an evaluation usually are attributable to inadequate time devoted to the task, lack of record-keeping supporting a detailed assessment, and inadequate frequency of counseling.

b. Performance Counseling

Planned and scheduled counseling is a major focus of the Navy's performance evaluation system. Counseling shall be performed at the midpoint of each evaluation cycle ("mid-term counseling"), as well as at the end when the evaluation is signed.

The purpose of performance counseling is to enhance professional growth, encourage personal development, and improve communication among all members within the command. It should be a frank, open discussion, with reference to the seven performance traits on the evaluation report form.

Feedback from the member is an important element of the counseling process. Feedback increases the member's and the supervisor's understanding of the member's performance, allows the member to be involved in decision making, and assists in planning the actions required to implement the decisions (BUPERINST 1610.10 (series)).

It is very important for Sailors to know the level of their performance and the area in which they need to improve. Performance counseling is a very useful activity provided both the counselor and the counselee on a routine/day-to-day basis. It
helps the Sailor as well as the organization to identify weaknesses and then to formulate strategies to improve the performance. Performance improvement ultimately helps the command to meet its goals and objectives. It is always important to evaluate the performance of the Sailor; mentor, motivate, and develop them to the expected level of efficiencies.

3. Methods of Evaluation

Both formal and informal methods are used to ensure an objective and consistent evaluation. Evaluation should involve a continuous process, formally and informally, of feeding back information to subordinates about how well they are doing their work.

a. Formal evaluation is a scheduled and documented evaluation, as required by BUPERSINST 1610.10. Throughout the evaluation period, a supervisor should regularly document a subordinate's performance progress.

b. Informal or day-to-day observation should be documented. Informal evaluation occurs continuously. Day-to-day observations form the basis of periodic formal evaluation. A leader should regularly document a subordinate’s performance progress. Performance counseling should not be limited to mid-term counseling.

4. Documenting Subordinate Performance

Documenting subordinate performance is essential to establishing career potential. Documentation involves positive as well as negative performance. Routine documentation is a critical component of a successful evaluation program. It provides the basis for a realistic appraisal that reflects a subordinate’s performance.

It is essential for raters, senior raters, and reporting seniors to keep regular notes on Sailors’ progress and accomplishments.

The evaluation report creates an objective record of performance on which official actions may be based. Evaluation preparation has several important components:

- Mid-term counseling,
- Brag sheet,
- Written evaluation

5. Standards

Superior commands pay special attention to establishing, communicating, and enforcing standards. They are concerned about job performance standards, knowing that how well they perform affects safety, accomplishing their mission and, ultimately, the security of our country. In superior commands:
Standards are clear and consistent.

Standards are realistic and high.

Standards are continuously monitored.

Positive and negative feedback is frequently given.

Performance problems are handled quickly and appropriately.

All levels participate in enforcing standards (Military Personnel Command, 1985).

Every Sailor, regards of rank, must have a clear understanding of the performance standard expectations of their Chain of Command. The evaluation process is built on the concept that each Sailor is evaluated against standards of performance instead of against other individuals. The EVAL form is set up to establish a grade of 3.0 as the standard. Each member needs to realize that assignment of a 3.0 grade means that the member is performing in full compliance with the listed standards.

Performance should not be equated with effort. Performance is measured in terms of results achieved against a clear standard. The traits in the Evaluation Report and Counseling record establish standards for the evaluation.

6. Factors that Impact Performance

Factors that impact performance evaluation generally fall into two categories: objective and subjective.

Objective Factors are measurable results, quantities, quality, and accomplishments.

Subjective Factors include opinions, such as those about attitude, personality, and adaptability. Subjective factors can be evaluated if they are supported by documented incidents.

Nearly all of us have a tendency to let one favorable or unfavorable trait influence our judgment of an individual. The halo effect is letting one trait or one recent event influence our whole judgment of the individual.

As a leader, performance evaluations are an important element in subordinate development. Equally important are those factors, which affect performance and understanding how your role as PO1 can influence those factors to accomplish the commands mission.
7. The Role of Performance Evaluation in Work Environment Effectiveness

Elements of the performance evaluation process contribute to subordinate development and work environment effectiveness by continual monitoring and communication.

Superior commands do not just tell people what is expected and then assume that things will be done right. They are constantly monitoring how well things are going, and watching for problems that may arise. Monitoring is done not only to catch problems with current or past performance, but also to prevent problems from occurring in the future. What distinguishes the monitoring of standards in superior commands from that in average commands is that it is an ongoing, day-to-day activity (Naval Military Personnel Command, 1985).

a. Subordinate Development

1. Addressing specific performance problems, and concentrating on ways to develop growth in these areas.

2. Developing a performance growth plan and establishing goals that are challenging but realistic and attainable for the individual.

3. Ensuring the member understands and acknowledges his/her performance relative to performance standards.

4. Reviewing what is expected of the member before the next counseling session or evaluation report. Ensure that the member understands the supervisor’s expectations (BUPERSINST 1610.10 (series)).

b. Work environment Effectiveness/Command Effectiveness

When a new Division Officer, Department Head, or Leading Chief reports aboard a ship or station, one of the first things he or she may do is read key enlisted service records. When enlisted members report aboard a new duty station with records in hand, their Department Heads, Division Officers, and Chiefs are all likely to read the evaluations in those records to assess the experience and performance of the people they are receiving. Examples of performance and results speak for themselves. Using this information to make assignments is one example of how performance evaluations can contribute to work environment effectiveness.

The elements of evaluation and feedback – time, cost, and quality – are routine yardsticks against which the operations of commands can be evaluated. The effective leader clearly articulates the standards of performance and puts in place structures that evaluate time and cost of the input, as well as the quality of the output.
Top commands want to be the best. Starting with the CO, these commands do not accept second-rate or even average performance. A lot of it is just the desire to do things right—and to do them right the first time (Naval Military Personnel Command, 1985).

c. Improving Inadequate Performance

Inadequate performance can occur during a task or upon task completion. If a leader is monitoring effectively, feedback to improve performance, will be timely and get the project back on track.

d. Evaluating Cause of Performance

Evaluation of performance provides command information to help reinforce positive behavior and reduce the chances for mistakes.

The evaluation should provide insight for both supervisor and subordinate, showing how well each of you performed your respective role. As a leader, you may be in either role depending on the task.

e. Reproducing Good Performance

Do not neglect feedback just because a task is going well. Show your subordinates you know how to praise as well. This will foster continued success.

In general, performance evaluation and counseling should focus on: reinforcing the Navy’s expectations; providing observations about how the individual measures against standards; and motivating the member toward high standards of performance and professionalism.
### INFORMATION SHEET 3-2-1
**NAVPERS 1626/26**

#### EVALUATION REPORT & COUNSELING RECORD (E1-E6)

**RCUS BUPERS 1610-1**

<table>
<thead>
<tr>
<th>1. Name (Last, First MI Suffix)</th>
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28. Command employment and command achievements.

29. Primary/Colateral/Watchstanding duties. (Enter primary duty abbreviation in box.)

For mid-term Counseling Use. (When completing EVAL, enter 30 and 31 from counseling record, sign 32.)

<table>
<thead>
<tr>
<th>30. Date Counseled</th>
<th>31. Counselor</th>
<th>32. Signature of Individual Counseled</th>
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#### PERFORMANCE TRAITS

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<tr>
<th>PERFORMANCE TRAITS</th>
<th>1.0* Below Standards</th>
<th>2.0* Progressing</th>
<th>3.0* Meets Standards</th>
<th>4.0* Above Standards</th>
<th>5.0* Greatly Exceeds Standards</th>
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<tr>
<td>33. PROFESSIONAL KNOWLEDGE: Routine knowledge and practical application.</td>
<td>- Marginal knowledge of rating, specialty or job. - Unable to apply knowledge to solve routine problems. - Fails to meet advancement/PQS requirements.</td>
<td>- Strong working knowledge of rating, specialty and job. - Reliably applies knowledge to accomplish tasks. - Meets advancement/PQS requirements on time.</td>
<td>- Recognized expert, sought out by all for technical knowledge. - Uses knowledge to solve complex technical problems. - Meets advancement/PQS requirements early/with distinction.</td>
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<td>34. QUALITY OF WORK: Standard of work; value of end product.</td>
<td>- Needs excessive supervision. - Product frequently needs rework. - Wasteful of resources.</td>
<td>- Needs little supervision. - Produces quality work. Few errors and resulting rework. - Uses resources efficiently.</td>
<td>- Needs no supervision. - Always produces exceptional work. - No rework required. - Maximizes resources.</td>
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<td>35. EQUAL OPPORTUNITY: Fairness, respect for human worth.</td>
<td>- Displays personal bias or engages in harassment. - Tolerates bias, unfairness or harassment in subordinates. - Lacks respect for EO objectives. - Interferes with order and discipline by disregarding rights of others.</td>
<td>- Always treats others with fairness and respect. - Does not condone bias or harassment in or outside of workplace. - Supports EO objectives. - Contributes to unit cohesiveness and morale.</td>
<td>- Admired for fairness and human respect. - Ensures a climate of fairness and respect for human worth. - Pro-active EO leader, achieves concrete EO objectives. - Leader and model contributor to unit cohesiveness and morale.</td>
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<td>36. MILITARY BEARING/CHARACTER: Appearance, conduct, physical fitness, adherence to Navy Core Values.</td>
<td>- Consistently unsat appearance. - Unsatisfactory demeanor/conduct. - Unable to meet one or more physical readiness standards. - Fails to live up to one or more Navy Core Values: HONOR, COURAGE, COMMITMENT.</td>
<td>- Excellent personal appearance. - Excellent demeanor or conduct. - Complies with physical readiness program, within all standards. - Always lives up to Navy Core Values: HONOR, COURAGE, COMMITMENT.</td>
<td>- Exemplary personal appearance. - Exemplary representative of Navy. - Excellent or outstanding PRT. A leader in physical readiness. - Exemplifies Navy Core Values: HONOR, COURAGE, COMMITMENT.</td>
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**NAVPERs 1626/26 (7-05)**

Petty Officer First Class Selectee Leadership Course
Principles of Sailor Development
Topic 3-2: Job Performance
## EVALUATION REPORT & COUNSELING RECORD (E1-E6) (cont 'd)

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<tr>
<th>PERFORMANCE TRAITS</th>
<th>1.0* Below Standards</th>
<th>2.0 Progressing</th>
<th>3.0 Meets Standards</th>
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<th>5.0* Greatly Exceeds Standards</th>
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<tr>
<td><strong>TEAMWORK:</strong> Contributions to team building and teamwork skills</td>
<td>- Creates conflict, unwilling to work with others, puts self above team.</td>
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<td>- Fails to understand team goals or teamwork techniques.</td>
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<td>- Does not take direction well.</td>
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<tr>
<td><strong>LEADERSHIP:</strong> (Optional for E1-E3) Organizing, motivating, and developing others to accomplish goals.</td>
<td>- Fails to motivate, train or develop subordinates.</td>
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<td>- Fails to organize, creates problems for subordinates.</td>
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<td>- Does not set or achieve goals relevant to command mission.</td>
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<td>- Lacks ability to cope with or tolerate stress.</td>
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<td>- Inadequate communicator.</td>
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<td>- Tolerates hazards or unsafe practices.</td>
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<td>- Does not attend to welfare of subordinates.</td>
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### Individual Trait Avg.

#### Comments on Performance:
- * All 5.0 and 1.0 marks must be specifically substantiated in comments. Comments must be verifiable. Bold, underlined, italic, or other highlighted type is prohibited. Font must be 10 or 12 Pitch (10 or 12 point) only. Use upper and lower case.

#### Qualifications/Achievements
- Education, awards, community involvement, etc., during this period.

<table>
<thead>
<tr>
<th>Promotion Recommendation</th>
<th>NOB</th>
<th>Significant Problems</th>
<th>Progressing</th>
<th>Promotable</th>
<th>Must Promote</th>
<th>Early Promote</th>
<th>47. Retention: Not Recommended</th>
<th>Recommended</th>
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<td><strong>INDIVIDUAL</strong></td>
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### Summary

#### Signature of Senior Rater (Typical Name & Grade/Rate)
- I have reviewed the evaluation of this member against these performance standards and have provided written explanation to support the marks of 1.0 and 5.0.

#### Signature of Reporting Senior
- Date: 

#### Signature of Individual Evaluated
- I have seen this report, been apprised of my performance, and understand my right to submit a statement.
- I intend to submit a statement. [ ] I do not intend to submit a statement. [ ]
NOTE TAKING SHEET 3-2-1
TOPIC DEBRIEF

Notes:

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TOPIC PLANNER 3-3
MANAGING STRESS

ENABLING OBJECTIVES

- **IDENTIFY** techniques to manage stress within the work environment.
- **IDENTIFY** techniques for maintaining composure in stressful situations.
- **EXPLAIN** PO1 responsibility in managing stress within your work environment.

STUDENT PREPARATION PRIOR TO THIS TOPIC

- Readings: None
- Supplemental Readings: None

STUDENT REFERENCES


SUPPLEMENTAL REFERENCES


STUDENT GUIDE MATERIALS

- Topic Planner 3-3: Managing Stress
- Outline Sheet 3-3-1: Managing Stress
- Exercise Sheet 3-3-1: Reaction to Stress
- Note Taking Sheet 3-3-1: Topic Debrief
1. Introduction

Every member of the Navy is exposed daily to a wide variety of situations that can be potential sources of stress. This topic addresses what stress is, how it affects you, your seniors, peers, and subordinates, and how to manage your responses to stress.

The Navy environment is inherently stressful and the quality of life is affected by the levels of stress that members are exposed to, as well as their reactions to that stress. Navy leaders experience stress, which may contribute to the stress of their seniors, peers, and subordinates. We must be aware of the work environment and the off-duty stress to which they and their subordinates are exposed in order to minimize its negative impacts.

Most people tend to define stress in a negative sense. However, the word stress refers to a collection of responses to a variety of stimuli. There are both positive and negative responses to stress.

2. Understanding Stress

a. Stress

Stress is defined as “a physical, chemical, or emotional factor that causes bodily or mental tension,” according to Merriam-Webster's Collegiate Dictionary (2008).

The goal is not to eliminate stress, but to manage it. The demands and challenges of life will not disappear; in fact, they help us reach and exceed our potential.

Being aware of how you process and react to stress is a critical step toward managing it.

b. Types of Stressors

There are many sources of stress—called stressors. Stressors can be defined as the external demands of life or the internal attitudes and thoughts that require us to adapt.

Examples of stressors are:

(1) Emotional stressors resulting from fears and anxieties
(2) Family stressors resulting from interactions with family members
(3) Work stressors resulting from the tensions and pressures we experience at work

3. Physiological and Psychological Responses to Stress

Different people develop different levels of stress tolerance. This stress tolerance is based upon a collection of responses and reactions to stress that is linked to personality type, perceptions, stressors, and the frequency and type of stress/stressors. In order to manage stress, it is first important to understand how you react to stress personally.

How individuals react to stressors determines their stress responses. Leaders must recognize their own stress responses and the signals of stress in subordinates.

a. Immediate Responses

Individuals have built-in immediate responses to stress. Many of these are necessary and self-protective in their basic forms, but they can develop into negative patterns, harmful or obsessive-compulsive expressions.

(1) Physiological/Physical

These are instinctive bodily reactions to stress. Unless a person consciously intervenes, these occur automatically, outside your control. They provide dependable, instant feedback that enables you to decide if action is necessary and appropriate. Examples include: perspiration, rapid breathing, flushed face, and trembling knees.

(2) Psychological/Emotional

These responses are instinctive, conditioned, and learned. They include: fear, apprehension, worry, anxiety.

(3) Behavioral

Behavioral responses include actions and habits developed in response to stress, such as spilling coffee, clumsiness, or habits such as smoking, drinking, and drug use.

Each of these immediate responses carries distinct symptoms such as: fighting, fleeing, increased heart rate, stomach indigestion, anger, and self-doubt.

b. Intermediate Responses

If stress becomes chronic or excessive, the immediate responses (or warnings) can develop into more serious stress responses—or intermediate responses.
Stress is also suspected to aggravate chronic backache, arthritis, allergies, dermatitis, and vertigo. It also affects the way people think and feel. It may lead to depression, hopelessness, and helplessness. Potential long-term responses to stress include:

- Exhaustion
- Irritability
- Intellectual impairment
- Emotional outbursts
- Smoking and drinking problems
- Sexual problems
- Pain (headaches, arthritis, and other chronic diseases)
- Eating less and losing weight
- Eating more and gaining weight
- Sleeplessness
- Sleepiness
- Daydreaming and loss of concentration
- Feelings of suspiciousness, worthlessness, inadequacy, rejection

### c. Long-Term Responses

Demotivating work situations are key contributors to stress in the work environment and to job burnout. Since, as leaders, you have some degree of control over the working conditions of your subordinates, you should be aware of these potential work environment stress triggers and use this knowledge to adjust your style of leadership and management to reduce harmful and unnecessary stress on your subordinates.

Stress is a major contributor to hypertension and coronary disease, migraine and tension headaches, ulcers, and asthma.

Job burnout is one of the most destructive results of chronic stress and is defined as a “psychological withdrawal from work in response to excessive stress.” It is the extreme case of chronic stress. The effects of burnout include:

- Extreme reluctance to go to work each day
- A profound sense of failure
- Anger and resentment
- Depression, low morale, feeling of hopelessness (may lead to suicide)
- Intense fatigue, even on waking
- Loss of confidence and low self-esteem
- Sleeping and eating disorders
- Increased consumption of cigarettes, alcohol, or drugs
- Increased frequency of colds and flu, headaches, gastrointestinal disorders, back pains, and missed menstrual periods
d. Personal Perceptions

Personal perceptions can form a large part of an individual’s reaction to stress. Perceptions can add to or detract from stressors. They are what you bring to the picture from your personality and past experiences. Perceptions relate to what we read into stress indicators or stressful circumstances. Perceptions can either hinder or help; they can distort, magnify, amplify, minimize, or help put in perspective the stress we face.

Perceptions are the thoughts we form about the stressors. They relate to such questions as:

(1) Do you perceive circumstances to be a threat?
(2) Do you magnify stress by imagining threats to be worse than they are?
(3) Do you blow things out of proportion?
(4) Do you minimize stressors by denying their importance?

e. Personality Responses

Another factor in stress recognition and response is personality type. Depending on how you process conflict, change and challenge, your reaction to stress is affected by your personality type. Be aware of your personality type and your tendencies when faced with stress. When faced with stress, do you tend to fight? Flee? Adapt? Appease? Do you see the glass half full or half empty? Are you prone to melancholy or are you generally sunny in your disposition? These types of personality tendencies contribute to stress reaction patterns and stress tolerance levels.

4. The Relationship between Stress and Performance

Stress can either heighten or impede performance. Besides the negative responses previously discussed, stress can be a source of motivation, stimulate creativity, improves alertness, and improve performance.

5. PO1 Responsibility in Managing Stress within the Work environment

a. Decision Making under Stress

Much of the stress experienced by Navy men and women is directly related to the work environment. Leaders must provide the best possible working conditions as part of their quality of life for members of the command. You must be able to recognize stress triggers in yourself and your subordinates. You should ask yourself, “Am I contributing to the stress of those around me, or am I contributing to the improved quality of life?”
Managing stress is particularly important when we are making decisions. When we are under stress, we are more likely to have our decisions influenced by the particular nature of the stress we are experiencing. We may make poor decisions under stress that we would not have made when we were under less pressure. If not managed, stress can color our decision making with the emotion that is most prevalent at the time, be it anger, frustration, depression, anxiety, etc.

b. Manage Stressful Communication

Stress increases the potential for misunderstanding, in both the sender and receiver. Stressful conditions require a special effort to ensure that the message is not only heard but also understood—the first time. On deck in a storm, for instance, the wind will often take the message away from the receiver, even though the sender was certain of adequate volume. In combat or crisis, orders must be brief and clear, as there may be no time for repetition. Several approaches help to minimize the negative effects of stress on communications:

- Continual professional and technical training expand shared background knowledge by everyone in the work environment, which should reduce the amount of communications required, and keep those that are necessary as brief as possible;

- Constant two-way communication helps to ensure that there are no hidden psychological barriers between the sender and receiver when time is critical;

- Redundancy of communications, in which the receiver repeats back the sender’s message;

- Proper delegation and clear lines of authority and responsibility—everyone knows what to do, and when to do it, so that no motion is wasted;

- Regardless of your emotional pitch, try to keep an outward appearance of calmness—this will aid both the transmission and receipt of the message.

c. Manage Disagreement

Conflicts, disagreements, and personality clashes are a natural part of life and working conditions. The key is to handle disagreements constructively. Too often individuals escalate disagreement by employing ineffective strategies and wind up further exacerbating the problem. Managing disagreements does not necessarily mean that the disagreement goes away. It means that both parties seek to find workable solutions.

Managing disagreements does not mean that we reach complete or even partial agreement with differing parties. Living with unresolved conflict is sometimes a fact of life. Learning to accept the diversity of opinion, the differences in methods
and practices, and the persistent disagreeable person are skills that need to be learned. Sometimes we must agree to disagree and still find a workable solution.

Some methods to manage disagreement and reduce stress for both parties include:

1. Maintain mutual respect
2. Search for common ground
3. Pursue creative compromise
4. Actively listen
5. Let go of having to be right
6. Seek win-win solutions

d. Combat Readiness

The mission of the U.S. Navy is combat. Combat is engaging the enemy with individual or crew served weapons; being exposed to direct or indirect enemy fire; and otherwise undergoing a high probability of direct contact with enemy personnel and firepower, to include the risk of capture.

As a leader, a supervisor, and a team leader, the PO1 is responsible for the proper training of Sailors to best prepare them for combat situations, improve their combat effectiveness, and increase their survivability.

Although every combat situation has its unique circumstances, they have many things in common. You must be as ready as possible to help others.

Combat readiness is the condition that determines the degree of preparedness, on a ship or in a command, for accomplishing assigned combat missions. It includes a wide range of components closely interconnected, which depend upon one another. It has to do with keeping, at full strength, the availability of the necessary material; maintaining the ship, weapons, and equipment in good working order; a high level of combat training for the crew; their teamwork in combat; and firm military discipline.

Stress management techniques become especially critical in extreme crises.

1. Maintain composure
2. Regroup organization of personnel, procedures, and administration
3. Identify the situation
4. Get resolution
5. Take action
The Navy trains the individual to perform at a peak level under stressful and adverse conditions. Though war is never desirable, the military exists in order to maintain peace, prevent war, and, when necessary, prevail during military intervention and war. Being able to manage stress is a prerequisite.

Counseling and support services are available for a wide range of issues. The leader’s main role is to act as a referral service to ensure that the appropriate person or agency addresses a subordinate’s specific problem.
**EXERCISE SHEET 3-3-1**
**REACTION TO STRESS**

**Directions:**

1. List real world examples of stressful situations.
2. Categorize the sources of stress as mild, moderate, or high stress.
3. Identify if your reaction to the stress was positive or negative.
4. You have 5 minutes.

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<tr>
<th>Stressful Situation</th>
<th>Stress Level</th>
<th>Reaction</th>
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TOPIC PLANNER 3-4
MOTIVATION

ENABLING OBJECTIVES

- **DESCRIBE** the motivation process.
- **IDENTIFY** motivation techniques.
- **EXPLAIN** how motivation encourages Sailors.

STUDENT PREPARATION PRIOR TO THIS TOPIC

- Readings: None
- Supplemental Readings: None

STUDENT REFERENCES


OPNAVINST 1650.8 (series). *Cash Awards for Military Personnel for Suggestions, Inventions, Scientific Achievements and Disclosures*.


OPNAVINST 6110.1 (series). *Physical Readiness Program*.

SECNAVINST 1650 (series). *Navy and Marine Corps Awards Manual*.

SECNAVINST 5216.5 (series). *Department of the Navy Correspondence Manual*.

SUPPLEMENTAL REFERENCES


STUDENT GUIDE MATERIALS

- Topic Planner 3-4: Motivation
- Outline Sheet 3-4-1: Motivation
- Note Taking Sheet 3-4-1: Topic Debrief
OUTLINE SHEET 3-4-1
MOTIVATION

1. Introduction to Motivation

Motivating others is a primary leadership skill. A leader’s understanding of motivation and practice is a key to stimulating, rewarding, and gaining the support of subordinates. Motivation is abstract; a motivated work environment is concrete. The following paragraph describes motivation in action:

One of the most striking aspects of our interviews with the crews of superior commands was their enthusiasm, pride, and positive attitude. Morale in superior commands was much higher than in the average ones. This resulted in jobs being done on time, done well, and people taking the initiative to propose better ways of doing things (Naval Military Personnel Command, 1985).

a. Understanding Motivation

For individuals to be highly motivated at work, they need to be: working toward the shared goals of the work environment or team (direction), using a large majority of their energy in this goal-oriented direction (intensity), and working toward these shared goals consistently over time (persistence).

Systematic considerations of motivation at work began over 50 years ago. At that time, the question asked was, “Does motivation make a difference?” More recently, this question has generated a host of other questions. These questions can give us some idea of how complex the study of motivation in today’s Navy really is. Some of the important questions are:

(1) How do you measure motivation?

(2) How do you identify the factors that cause people to be motivated?

(3) Is motivation different, for many people, depending on the nature of the task? If so, which tasks are more or less motivating?

(4) Do some people persist in the face of challenge? If so, who will persist and why do they?

b. Intrinsic and Extrinsic Motivation

People often think of motivation as a unitary concept—a person either is or is not motivated. To the surprise of many, there are actually two different types of motivation: intrinsic and extrinsic.
Although it may be expected, intrinsic and extrinsic motivation cannot always be determined by behavior. Two groups of people can display behaviors that look precisely the same—like reading a book—but the reasons behind the behaviors can be very different. One group may be reading because they like to read for fun; another group may be reading because not doing so would cause them a negative consequence (e.g., failing an exam).

(1) Intrinsic Motivation

Intrinsic motivation is the inner desire to engage one’s interests and exercise one’s capabilities. Intrinsic motivation provides a natural force that encourages self-development and personal growth. With intrinsic motivation, the act is rewarding for its own sake.

One intrinsic motivator is curiosity. Individuals are motivated to find out how things work, or why things happen. This motivation can lead personnel to read, study, and learn new things.

Another intrinsic motivator is self-esteem. Individuals work hard and do a good job for the pleasure it gives them to do well. Altruism as a motivator drives individuals to work hard at “volunteer” activities because they feel good about themselves when they help others.

(2) Extrinsic Motivation

Extrinsic motivation occurs when external rewards direct behaviors into specific patterns. The directed behavior is due to external motivators, not intrinsic need satisfaction. Individuals act in certain ways as a means of getting something else. For example, they read and study to get an “A” or pass a test, not just for the joy of learning, but to get a reward or avoid discipline.

The traditional “carrot-and-stick” approach to motivation, which involves providing positive and negative external consequences to shape or force desired behavior, is extrinsic motivation in action. A combination of external and internal rewards is what motivates most people. It is important for PO1s to understand that there are many ways to improve the motivational climate. In addition, many motivational tools are available for the different types of individuals and situations found in the work environment.

2. Recognition as a Motivational Tool

Recognition is a key component of subordinate development. Care must be used to ensure that this program is used to enhance subordinates’ personal and professional development positively.
a. Formal and Informal Recognition

Recognition can be given either formally or informally. Both methods are essential for a well-balanced program.

Formal recognition is an acknowledgement of excellent performance in a ceremonial fashion. Formal recognition includes awards, letters of commendation, and letters of appreciation. These morale builders serve to recognize efforts and contributions publicly.

Informal recognition is an acknowledgement of performance without the use of formality or ceremony. Because informal recognition can be spontaneous and can occur on a daily basis, it can often be more useful in motivation than formal recognition. Informal recognition can occur during daily observations of performance, and it shows your subordinates that you know and care about what is happening in your work environment.

b. Recognition in Subordinate Development

Within each of us is a driving need to know that we are important, to know that we make a difference to someone. Recognition is as necessary to the growth and well-being of a person as food and shelter. The enlightened leader knows that when people feel like winners, they act like winners. Recognition serves as a feedback mechanism. When individuals’ good performances are acknowledged, it is likely that they will continue the good performances or behaviors in the future.

c. Effects of Recognition

Recognition, both formal and informal, provides an opportunity to highlight an individual’s positive contributions to the work environment. Positive contributions include superior performance, personal initiative, problem-solving, and positive attitude. The Naval Military Personnel Command (1985) writes:

Superior commands realize that one of the best ways to motivate their men (and women) is to recognize and reward success. So, in these commands there is a continual attempt to do this by formal and informal means and at all levels. Recognition and rewards include informally praising a person in a one-on-one conversation, mentioning people in the POD, giving recognition at Captain’s Call, letters of achievement and commendation, and Navy medals. Average commands reward and recognize people less frequently than superior commands.

Recognition is a form of active motivation. It is important to take the time to reward performance that goes beyond expectations. The PO1s that identify and reward the contributions that improve effectiveness and work environment
climate should expect to see an increase in the likelihood that their personnel will choose to do superior work in the future.

d. Recognition should be…

(1) **Given often.** Recognition has a short life span. Informal recognition is cost-free and can be distributed frequently.

(2) **Varied.** Be creative in recognition. The same “atta-boy” used repeatedly loses its effectiveness. When something becomes routine or common, it no longer serves as a motivational tool.

(3) **Given to the person, not the work.** Recognize the person who did the great job, not just the great job. The whole point of recognition is to generate personal pride and satisfaction in subordinates.

(4) **Honest.** Leaders who hand out praise or recognition without underlying merit or sincerity reduce their credibility, and compromise the motivational aspect of being recognized for a truly outstanding performance.

(5) **Consistent.** Recognize outstanding behavior in all subordinates and reward everyone equally for the same accomplishment, in order to avoid being perceived as playing favorites.

(6) **Timely.** To reinforce the positive aspects of behavior, recognition must occur soon after the action.

(7) **Appropriate to the achievement.** Overdoing recognition for small deeds trivializes the recognition process. Likewise, a mere handshake for outstanding contribution shows a lack of thought and effort on the part of the leader.

(8) **Perceived as recognition, and individualized as much as possible.** Individuals differ in the value they place on rewards. The reward must match the achievement and the individual.

(9) **A reward for positive productive accomplishment.** Behaviors that are recognized and rewarded are more likely to occur again, so make certain that recognition supports and enhances the command’s mission.

Recognition should always be tailored to the person and the accomplishments achieved. Rewarding seniors for the accomplishments actually achieved by their subordinates can negate a well-intended program and disillusion subordinates. Ensure that recognition is fair, equal, and consistently applied.
3. Methods of Recognition

The Navy and Marine Corps Awards Manual “…provides information, guidance, and regulations concerning awards available to individuals and units in the naval service” (SECNAVINST 1650 (series)).

The formal process for military recognition recommendations includes an awards board (OPNAVINST 3120.32, series). According to Shenk (1997), the material the board sees:

“…normally consists of two documents: a summary of action, also known as the justification, and the citation. Each document’s audience differs. The summary of action sheet is written for those who must approve the award and the citation is aimed at the service member, shipmates, family, and friends.

One of the awards programs, perhaps underutilized, is the Cash Awards for Military Personnel for Suggestions, Inventions, Scientific Achievements and Disclosures, which is detailed in OPNAVINST 1650.8 (series).

4. PO1 Role in Motivation

a. Motivating Subordinates

The important point to remember is that no two subordinates are identical. What one person sees as a reward may be seen by another person as a punishment. The immediate subordinate, with whom the PO1 deals directly, is the work environment supervisor. The PO1 must understand that person’s unique combination of pressures, goals and objectives, strengths and weaknesses, and preferred work style in order to enhance the positive motivation in the work environment. All PO1s need to know the characteristics of the people in their work environment, as well as the affects their leadership style has on their subordinates’ motivation.

One sure way for PO1s to know their people is to get “out and about,” observing and getting to know them. This sets the stage for a PO1’s leadership style and allows the PO1 to both support his/her people when they deserve it, and discipline them when it is necessary.

b. Motivating Peers

The key to peer motivation is to appeal to their intrinsic personal drives through setting a good example as both a leader and a manager. The PO1s’ peer group is smaller than it was when they were PO2s. It will continue to shrink as the PO1 advances; however, the positive example that a PO1 sets can reach out over a wide area to influence behavior.
c. Motivating Seniors

The PO1’s compatibility with seniors is essential to his/her job effectiveness. Giving feedback up the chain of command can result in an increase in the intrinsic motivation of seniors. Motivating seniors requires understanding their strengths, weaknesses, work styles, and needs. It is important for PO1s to develop a work style that blends with that of their seniors, appreciate the pressures their seniors face, and develop compatible communications with their seniors.