A Systems Approach to Leadership and Soldier Health and Discipline in the United States Army

By

Stephen J. Sapol

B.S. Operations Research, United States Military Academy, 2004
M.S. Industrial Engineering, Georgia Institute of Technology, 2011

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Signature of Author_____

Stephen J. Sapol
System Design and Management Program
May 10, 2013

Certified by_____

Dr. Jayakanth Srinivasan
Research Scientist, Behavioral and Policy Sciences Division, Sloan School of Management
Thesis Supervisor

Accepted by _____

Patrick Hale
Director
System Design and Management Program

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ABSTRACT

The United States Army is entering a period of strategic reset after more than a decade of intense combat operations. One of the most critical areas of this reset is ensuring the health and discipline of the force remains intact. There are factors, both health and discipline, which drive high-risk behaviors by soldiers. Therefore it is critical to understand if the system is adequately structured in order adequately prepare leaders to not only ensure soldiers complete their work functions, but also maintain a healthy personal life.

Leadership and solder welfare systems are the primary drivers of this research. The research explores how leaders ensure soldier well-being in a garrison environment and identifies some of the structural causes for the difficulties in achieving this. It attempts to holistically analyze both how the system is designed, but also its implementation and the properties which emerge from it.

The research first outlines Army doctrine to establish the baseline for how the Army operates. Next, it identifies a series of policies and processes which relate directly to soldier welfare to identify the structure in which leaders operate. At the same time this develops the framework to identify how the system operates through a series of interviews with leaders at the company level in order identify the perspective of leaders at the company level and some of the emergent behaviors which evolve from the design of the system. In conclusion, this research determines that a multi-leveled approach must be taken. Senior leaders must ensure the system is designed to foster the development of leaders and provides flexibility to these leaders. Leaders at the company level must not only prioritize short-term operational goals, but also invest in people for the long-term viability of the Army.

Thesis Supervisor: Jayakanth Srinivasan

Title: Research Scientist, Behavioral and Policy Sciences Division, Sloan School of Management

Acknowledgements

Table of Contents

Chapter 1

"The day soldiers stop bringing you their problems is the day you have stopped leading them. They have either lost confidence that you can help them or concluded that you do not care. Either case is a failure of leadership."

- General (Ret.) Colin Powell[1]

1.1 Overview

The Army is currently entering a stage of strategic reset. Following the completion of the war in Iraq and the current drawdown in Afghanistan, the Army must prepare itself for future operations. With this, the Army will return to a garrison centric Army, with a significant decrease in the number of deployed soldiers. This reset to ensure personnel and equipment readiness will occur in the shadow of budget constraints and reduction of force levels throughout the Department of Defense. One of the most critical aspects of the reset is the health and discipline of the Army's personnel. Health and discipline may be considered separate entities, yet often they are often intertwined. For example, a soldier suffering from depression (health), may commit a crime (discipline) partially driven by the absence of treatment.   The Army must be successful in this endeavor to ensure the readiness of the force.

1.1.1 Health of Force

When considering the health of the force, there are both mental and physical factors which must be accounted for. The Army has seen an increase in the prevalence rates of mental disorder diagnoses since 2000. These have nearly doubled from 2000 to 2009, likely due to increased combat and improved screening and diagnoses. (U.S Army, 2012, Generating Health and Discipline of the Force (HDF)) Some of these issues are combat related, and some are not. Two common health problems relating to combat are Post Traumatic Stress, which has been estimated at over 400,000 former combat veterans and over 200,000 soldiers as of September 2011. (U.S Army, 2012, HDF) Additionally, mild traumatic brain injury (mTBI) has also been a major health concern for the Army. A significant number of injuries in Iraq and Afghanistan were blast-related and the number of soldiers identified with traumatic brain injuries in the from over 4,000 in 2000 to over 18,000 in 2010. (U.S Army, 2012, HDF). These injuries can lead to emotional, behavioral or cognitive symptoms for the soldier.

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[1] Accessed 9 May 2013 from: http://govleaders.org/powell.htm

There are also a series of conditions which may occur, regardless of combat experience or not. Although, Post Traumatic Stress and mTBI are most often related to combat, there is also potential for these to occur outside of combat. For example post-traumatic stress may occur in any traumatic event such as an accident, and mTBI has become a major topic of discussion in the National Football League due to repetitive collisions of players and its impact on their brains. (Forbes, 2013) Another major disorder is depression, which may be more difficult to identify. Depression is not a problem unique to the military, as a 2012 study showed that 6.6% and 8.3% of the American population have had a Major Depressive Episode in the previous year. (Mental Health Services Administration, 2011) Due to that, it likely also affects a large portion of soldiers, some diagnosed, and some undiagnosed. Another study of veterans entering the VA found that 14% were diagnosed with depression. (National Alliance on Mental Illness, 2008) Depression often leads to another health disorder, although often viewed as a disciplinary issue, substance abuse. In 2011, there were 24,000 soldiers referred to the Army Substance Abuse Program (ASAP), and over 7,000 were separated from service for drug related misconduct. (U.S Army, 2012, HDF)

Another health related factor which must be accounted for is stress. While some stress may be beneficial, an overwhelming amount may lead to exhaustion and a decrease in well-being. (U.S Army, 2012, HDF) There are multiple strands of stressors the Army identifies. These are the unit, the soldier, and the family strands. The unit stressors revolve around the unit timeline. These include pre-deployment training, deployments, redeployments, and reset. These are obviously stressful times for soldiers. The soldier strand focuses on the professional side of a soldier. Some stressors include evaluations, disciplinary actions, injuries, and promotions/demotions. The final strand is family, but more generally, it focuses on the soldier's personal life. These include marriages, divorces, children, large purchases, or other personal issues. (U.S Army, 2012, HDF) Combining these strands, it can be easy to see how they can combine to create periods of intense stress in a soldier's life, ultimately leading to other issues.

1.1.2 Discipline of the Force

To accompany these health issues, many develop into disciplinary problems, although not all disciplinary problems are driven by health issues. Some are simply a function of poor decision making or the failure to meet established standards due to misplaced priorities. The most serious issue the Army faces with indiscipline is crime. In 2011, it is estimated that criminal activity and high-risk behavior have limited the readiness of 2.6% of soldiers in the Army In FY11, there were over 78,000 criminal offenses, including violent and non-violent felonies and misdemeanors. (U.S Army, 2012, HDF).

These crimes have an obvious impact to the readiness of the force and its ability to reset after many years of combat. The first impact is on the soldier which commits the crime. The individual is no longer able to perform many of the duties required during the investigations, trials, and punishment periods. This leaves the unit short and others must assume the duties of the individual until they return to normal duty or are replaced. If there were crimes committed against others in the unit, it is possible to have a fracturing of the cohesion and trust within the unit. Finally, many hours of leaders and other soldiers may be required in the situation. Multiple reports and administrative tasks must be completed following a crime and therefore this consumes the time of others within the unit to manage these tasks.

1.2 Purpose

Leaders are responsible for the readiness and the welfare of their organizations. Much of the day to day prevention, identification, mitigation, and response tasks must be performed at the lowest level. This introduces an interesting dynamic. The first line supervisors of the most at risk population of soldiers, is also the least experienced and "seasoned leaders". These leaders are thought to be requirement for leadership in garrison. (U.S. Army, 2010) These leaders have a profound impact on soldiers and their behavior. Ultimately, the Army must impact the actions of these leaders if it expects leadership to have a role in ensuring the health and well-being of the force.

Senior leaders in the Army have identified "atrophied garrison leadership skills" as a critical driver in soldier high-risk behavior. (U.S. Army, 2010) Much of the decrease in leader ability is due to the high operational tempo, and the focus on combat readiness and tactical ability. The some of the garrison leadership skills the Army has identified as lost are "unannounced health and welfare checks in the barracks accompanied by Military Police Working Dog sweeps, unannounced 100% urinalysis tests, privately owned vehicle(POV)/motorcycle safety inspections, counseling, ceremonies and accountability formations". (U.S. Army, 2010)

While there have been recommendations to improve professional education to ensure skills are being developed and many of the processes mentioned above have been implemented, there is still the requirement to develop leaders at the company level and there are secondary effects to the implementation of many of the processes considered as part of "garrison leadership". (U.S. Army, 2010) This research will systematically look at leadership at the company level to determine how leaders are

able to identify at-risk soldiers, and prevent, mitigate, and respond to high-risk events. It will also identify some of the challenges leaders face, internal and external to the company. Finally, it will provide recommendations for to assist leaders in ensuring the well-being and discipline of soldiers, and ultimately the future readiness of the Army.

1.3 Research Methodology

This research will systematically approach the problem of ensuring soldier welfare. Chapter two will provide an overview of Army doctrine and the company level programs which operate within the larger doctrinal context. Chapter three develops the theoretical framework for analysis of the problem and develops a semi-structured interview. Ten company level leaders were interviewed from the ranks of Staff Sergeant to Captain. Chapter four is a description of the results of the interviews. Chapter five is a causal loop diagram, attempting to understand the higher order effects of important policy decisions. Chapter six will be recommendations for improvements to the current system. Finally, chapter seven will be the conclusion.

Chapter 2

In order to fully understand the problem a better understanding of a company and what is done with respect to the prevention, identification, mitigation, and response to high-risk soldiers. This chapter will first describe what a company is and how it is structured. It will then discuss where the company sits within the larger enterprise. The next part will discuss Army doctrine establish a baseline for a common understanding of the established principles throughout the Army. Finally, the paper will describe some of the critical programs and systems the company level which will have impacts in the prevention, identification, mitigation and response stages.

2.1 The Company

The primary unit of analysis will be the U.S. Army company. A company is able to independently conduct its battlefield function and is comprised of approximately 60-200 soldiers which are divided among three to four platoons. The specific size and composition of each company depends on its battlefield function (i.e. Infantry, Transportation, Armor, etc.), but the general structure remains the same. The company, which may also be called a troop or battery, depending on the type of unit is commanded by a Captain (O-3). (Operational Unit Diagrams Website) Command is defined as:

> The authority that a commander in the armed forces lawfully exercises over subordinates by virtue of rank or assignment. Command includes the authority and responsibility for effectively using available resources and for planning the employment of, organizing, directing, coordinating, and controlling military forces for the accomplishment assigned mission. It also includes responsibility for health, welfare, morale, and discipline of assigned personnel. (U.S. Department of Defense, 2002)

The company commander is responsible for everything the company does or fails to do. Commanders cannot accomplish every task for their unit, and therefore responsibilities are divided out to subordinates within the unit, but must hold those individuals responsible. (U.S. Army, 2008)

The senior non-commissioned officer at the company level is a First Sergeant (E-8). First sergeants assist the commander in many of the critical administrative tasks, but more importantly are responsible for training and the health and welfare of the soldiers within the unit. As the senior non-commissioned

officer within the unit, he is the senior trainer of soldiers and leaders and is responsible for the professional development of enlisted soldiers within the command. (U.S. Army, 2002)

The company commander and first sergeant are part of the company headquarters which is also comprised of a few soldiers who assist in administrative activities.

2.1.1 The Platoon

The company is comprised of three to four platoons and conducts operations as part of the company plan. It consists of 16-44 soldiers and is broken down into two to four sections. Similar to the company commander's role in the company, the platoon leader, a first or second lieutenant (O-2 or O-1) is responsible for everything the platoon does or fails to do.   His enlisted counterpart is the platoon sergeant, normally a sergeant first class (E-7). The platoon sergeant's responsibilities are similar to the first sergeant. The platoon sergeant assists the platoon leader and advises the platoon leader, who often has many years less experience in the military. Ultimately, the platoon sergeant is responsible for the training of individuals and squads. (Operational Unit Diagrams Website)

2.1.2 The Squad

The squad is the smallest unit within the Army. Squads consist of 8 – 16 Soldiers. These units are typically led by staff sergeants (E-6). These leaders are the front line leaders for a majority of the junior soldiers (E-1 thru E-4). They are responsible for the health, welfare and safety of these Soldiers and acts as their primary trainer. The leadership provided by the staff sergeant is critical in providing a positive role model for these junior soldiers. (Operational Unit Diagrams Website)

2.1.3 The Company within the Larger Enterprise

The company is the lowest level of command within the Army. A generalized breakdown of the Army's organizational structure is shown in Figure 1. The company can conduct tactical operations independently, but relies upon its higher headquarters, the battalion, for administrative assistance and guidance. They additionally have support services which are not at the company level such as Unit Ministry Teams (UMT), financial counselors, and medical assets. The battalion is comprised of three to five companies and is commanded by a lieutenant colonel (O-5). The battalion is part of a larger brigade which consists of three to five battalions and is commanded by a colonel (O-6). This continues up the organizational chart.
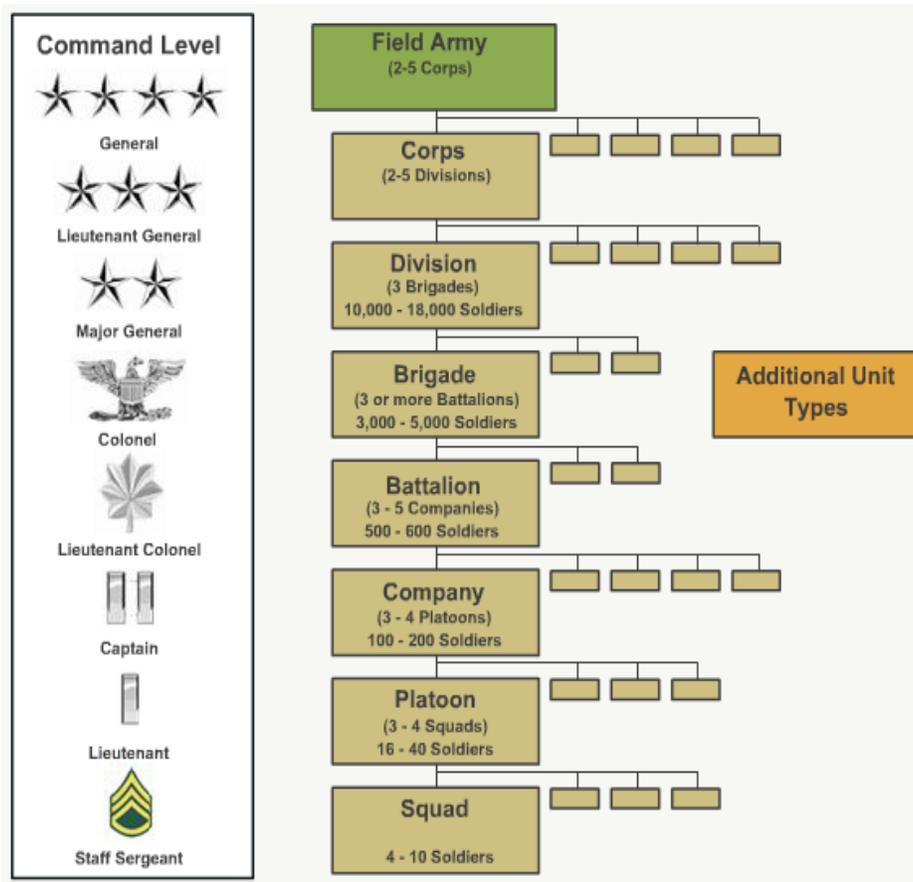
Figure 1: Army Organizational Structure[2]

2.2 Leadership (ADP 6-22)

The Army defines leadership as "the process of influencing people by providing purpose, direction, and motivation to accomplish the mission and improve the organization." Leaders may be assigned based on their position or can assume the role of a leader based on the situation. A critical aspect of the definition of leadership is that is not only focuses on the near-term mission accomplishment, but the longer-term health and improvement of the organization.   These principles will carry over to high-risk soldier management in all stages.

2.2.1 Applying Influence

Leaders must influence those within and outside of the unit to achieve the greatest results. On one end of influence is commitment, which is when individuals follow the leader voluntarily. The other end is compliance, where leaders are required to follow an individual based on their position. If an individual is committed to a mission as opposed to complying to orders, more motivation and initiative is

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[2] Accessed 9 May 2013 from: http://www.army.mil/info/organization/unitsandcommands/oud/

expected. Individuals should focus on providing leadership which fosters commitment as opposed to compliance alone.

2.2.2 Situational Leadership

Leaders must adapt based on the situation. Components of a situation include individuals involved, the circumstances surrounding the individuals, the operational environment, historical background, and the specifics of what is to be accomplished. It is vital for leaders to account for these to understand what methods of influence best suited for the situation.

2.2.3 Informal Leadership

Leaders do not need to be assigned as the leader or be the highest ranking individual. In specific situations, individuals may have more knowledge or expertise and become informal leaders.

2.2.4 Command and Leadership

When in a command position, regulations (U.S. Army, 2008) have specific functions commanders must perform. These tasks are to establish a positive command climate, caring for the well-being of soldiers, properly training their Soldiers and developing subordinates competence.

2.2.5 Leadership Requirements Model

The Army Leadership Requirements Model combines attributes a leader is expected to possess and the competencies a leader should be able to exhibit. This is shown in Figure 2 Attributes are traits which are internal to the leader and competencies are a set of actions which the leader performs.

Character – The internal set of beliefs of an individual. Some of the key elements of a leaders character are integrity, empathy, adherence to Army Values (Appendix A), and discipline. A leader of character does what is right, both legally and morally and sets a positive example for subordinates.

Presence – The outward presentation of a leader. This is defined the impression a leader makes on others. Some of the elements which presence is comprised of are the leaders professional and military bearing, fitness levels, demonstration of confidence and resiliency level. Subordinates will have more confidence in leaders who are professional, fit, and demonstrate confidence and will therefore be more likely to follow. Additionally, a leaders' level of resiliency helps to build resiliency within subordinates.

Intellect – This attribute focuses on the leader's ability to process information, develop courses of action, and make decisions. Leaders with intellect are able to rapidly adapt to changes in the situation and develop quality solution for their subordinates.

2.2.6 Leader Competencies

Leads – There are five areas which leaders focus on in this section. The first is leads others which focuses on influencing individuals within the organization. The next is to build trust which fosters a positive work environment and allows for effective influence. Another critical element is the ability to extend influence outside of the chain of command. This is critical when the leader does not have authority over individuals outside of the organization, but still relies upon those individuals to accomplish the mission. The final elements are leading by example and the ability to communicate.

Develops – The first element of this competency is to create a positive environment within the organization. Positive command climate and unit cohesion are indicators of success in this area. Another aspect is the preparation of self. This focuses on the self-development of the leader. Developing others is another critical competency of a leader. This is accomplished through coaching, counseling and mentoring. The final element is that leaders are stewards of the profession and take seriously the standards of the Army.

Achieves – The sole element is to get results. Leaders must motivate and set the conditions for success for their subordinates. If they are successful, the leaders will achieve the desired results.

The process of influencing people by providing purpose, direction, and motivation to accomplish the mission and improve the organization.

The Leadership Requirements Model establishes what leaders need to be, know and do. A core set of requirements informs leaders about expectations.

Leadership Requirements Model

ATTRIBUTES

CHARACTER
* Army Values
* Empathy
* Warrior Ethos/Service Ethos
* Discipline

PRESENCE
* Military and professional bearing
* Fitness
* Confidence
* Resilience

INTELLECT
* Mental agility
* Sound judgment
* Innovation
* Interpersonal tact
* Expertise

LEADS
* Leads others
* Builds trust
* Extends influence beyond the chain of command
* Leads by example
* Communicates

DEVELOPS
* Creates a positive environment/ Fosters esprit de corps
* Prepares self
* Develops others
* Stewards the profession

ACHIEVES
* Gets results

COMPETENCIES

- Oath to Constitution
- Subordinate to law & civilian authority

Combat Power: Unifier and Multiplier

Influence: Commitment, Compliance and Resistance

Positive and harmful forms of leadership

Levels of Leadership
Direct – Refine ability to apply competencies at a proficient level
Organizational – Apply competencies to increasingly complex situations
Strategic – Shape the military through change over extended time

Special Conditions of Leadership
Formal – designated by rank or position, command is an example
Informal – take initiative and apply special expertise when appropriate
Collective – synergistic effects achieved with multiple leaders aligned by purpose
Situational – actions adjusted to complex and uncertain environments

Outcomes

Secured U.S. interests
Mission success
Sound decisions

Expertly led organizations
Stewardship of resources
Stronger families

Fit units
Healthy climates
Engaged Soldiers & Civilians

Figure 2: Leadership Requirements Model[3]

[3] U.S. Army (2012). Army Doctrine Publication 6-22, Army Leadership, pg. iii

2.2.7 Leader Development

These attributes and competencies can be developed. These are developed through formal and informal leadership training and experiences. There are multiple formal systems utilized for leader development such as evaluations, but each event is an opportunity for development. Leaders must ensure they provide feedback to subordinates to develop leaders, but also accept feedback from subordinates, peers, and superiors in order to continue develop as a leader.

2.3 Mission Command (ADP 6-0)

The Army defines mission command as "the exercise of authority and direction by the commander using mission orders to enable disciplined initiative within the commander's intent to empower agile and adaptive leaders in the conduct of unified land operations." (**Error! Reference source not found.** 6-0) Mission command allows commanders to provide their intent; purpose of the operation, key tasks and desired end state but gives subordinates the flexibility to execute based on their specific knowledge of the situation. An overview is provided in Figure 3.   When utilizing mission command, there are six basic principles used. The first is to build cohesive teams through mutual trust. This allows for commanders to trust that the intent of their order is being followed and for subordinates to trust their commander will allow them to execute the mission accordingly. The next principle is creating a shared understanding. This creates organizational alignment with respect to the situation. If all individuals are on the same page and have a shared understanding, ambiguity is removed. Once this is completed, a clear commander's intent must be provided. This intent provides the purpose of the operation and what the desired outcome is. This allows subordinates to know what needs to be accomplished and the limits to their constraints. Once the subordinate is provided with all this information, it is critical for the subordinate to exercise disciplined initiative. Disciplined initiative is defined as "action in the absence of orders, when existing orders no longer fit the situation, or when unforeseen opportunities or threats arise." A commander cannot make every single decision. Many decisions are delegated to subordinates and disciplined initiative ensures they make decisions which align with the intent of the operation. This information is communicated in the use of mission orders. Mission orders focus on the ends not the means. The final principle is the acceptance of prudent risk. Commanders cannot be risk adverse but must take acceptable risks in order to accomplish a mission.

Unified Land Operations
How the Army seizes, retains, and exploits the initiative to gain and maintain a position of relative advantage in sustained land operations through simultaneous offensive, defensive, and stability operations in order to prevent or deter conflict, prevail in war, and create the conditions for favorable conflict resolution.

One of the foundations is...

Nature of Operations
Military operations are human endeavors.

They are contests of wills characterized by continuous and mutual adaptation by all participants.

Army forces conduct operations in complex, ever-changing, and uncertain operational environments.

To account for this, the Army exercises...

Mission Command Philosophy
Exercise of authority and direction by the commander using mission orders to enable disciplined initiative within the commander's intent to empower agile and adaptive leaders in the conduct of unified land operations.

Guided by the principles of...

- Build cohesive teams through mutual trust
- Create shared understanding
- Provide a clear commander's intent
- Exercise disciplined initiative
- Use mission orders
- Accept prudent risk

The principles of mission command assist commanders and staff in balancing the **art of command** *with the* **science of control**.

Executed through the...

Mission Command Warfighting Function
The related tasks and systems that develop and integrate those activities enabling a commander to balance the art of command and the science of control in order to integrate the other warfighting functions.

A series of mutually supported tasks...

Commander Tasks:
- Drive the operations process through the activities of understand, visualize, describe, direct, lead, and assess
- Develop teams, both within their own organizations and with unified action partners
- Inform and influence audiences, inside and outside their organizations

Leads

Supports

Staff Tasks:
- Conduct the operations process (plan, prepare, execute, and assess)
- Conduct knowledge management and information management
- Conduct inform and influence activities
- Conduct cyber electromagnetic activities

Additional Tasks:
- Conduct military deception
- Conduct civil affairs operations
- Conduct airspace control
- Install, operate, and maintain the network
- Conduct information protection

Enabled by a system...

Mission Command System:
- Personnel
- Networks
- Information systems
- Processes and procedures
- Facilities and equipment

Together, the mission command philosophy and warfighting function guide, integrate, and synchronize Army forces throughout the conduct of unified land operations.
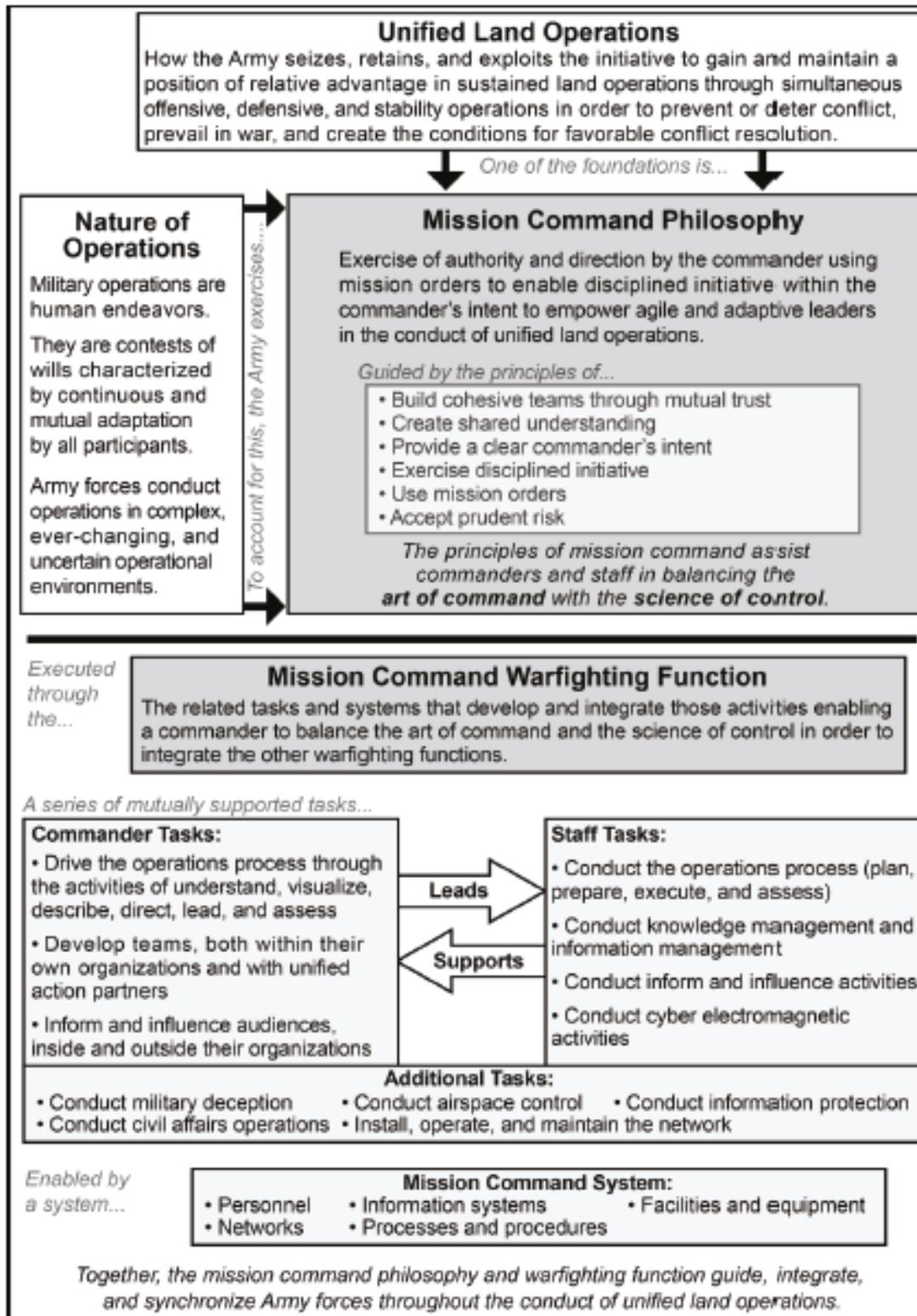
Figure 3: Mission Command[4]

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[4] U.S. Army (2012). Army Doctrine Publication 6-0, Mission Command. pg. iv.

Mission command attempts to balance what is known as the "art of command" with the "science of control". The art of command focuses on leadership and decision making. Leadership demonstrates how commanders influence their units and decision making focuses on how commanders process information and make decisions. The science of control focuses on the "systems and procedures used to improve the commander's understanding and support accomplishing missions." Some of the aspects of the science of control are information, communication, organizational structure and degree of control. These are managed by the mission command system. The elements which must be considered in this system are personnel, networks, information systems, processes and procedures, and facilities and equipment.

Mission command can also be used in high-risk soldier management. For example, a common command philosophy is to "take care of soldiers" with respect to high-risk soldier management. This can mean different things to different individuals. First, the commander must ensure cohesive teams are formed and there is trust throughout the unit, otherwise, mission command will be difficult to perform. It is impossible for a company commander to have full situational understanding of the specifics of every soldier in his command's personal life; therefore, the commander must rely on subordinate leaders. In order to do this, while utilizing the mission command principles, the commander will provide mission orders, which do not tell leaders how to do their jobs, but what is expected. Within these orders the commander must create a shared understanding of the problem. The commander must explain the purpose, the environment, resources available as well as acceptable risks. The commander must also provide clear intent on the desired endstate in order to ensure subordinate leaders know what direction to go. With this information, subordinate leaders should have a clear understanding of the situation and expectations and therefore can exercise disciplined initiative in accomplishing the mission. Additionally the commander must account for differences in leaders. For example, a commander would give less specific directions to an experienced and talented leader as opposed to an inexperienced and less talented leader. Additionally, the development of mission command systems to high-risk soldier management is important. How the commander manages personnel, processes and procedures within the company, and the management of networks for example. These aspects the art of command and the science of control dominate.
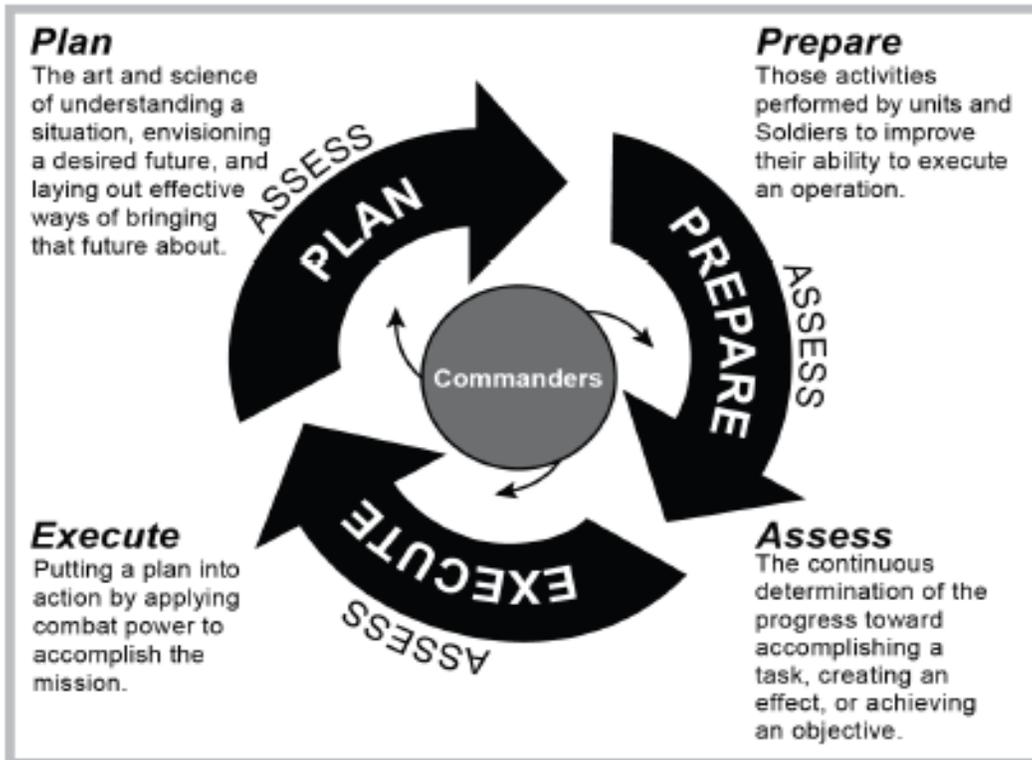
2.4 The Operations Process (ADP 5-0)

The operations process is the framework the army utilizes in order to implement mission command. (ADP 5-0) The operations process consists of four activities, planning, preparing, executing and assessing. An overview is provided in Figure 4. This is a continuous cycle and assessment should be conducted at each activity. These activities include the Army Design Methodology, Military Decision-making Process and Troop Leading Procedures. This study will focus on the utilization of Troop Leading Procedures (Appendix B) because it is the method primarily utilized by small-unit leaders (company and below), who do not have a staff. The next activity is preparing. This focuses on ensuring that all soldiers are ready to execute any assigned mission or task. This step also allows for decision makers to develop a greater understanding of the situation. Once units are able to plan and prepare, the final step is execution. This activity takes the plan and puts it into action, normally triggered by what is known as a "decision point". The final step is assessment, which is continually performed. It ensures progress is being made, or allows for changes based on updated information. Some tools utilized are running estimates and after action reviews. The most common method of assessment at the Company level is the after action review which is essentially a gap analysis identifying positives and negatives during the process.

Additionally, there are four principles within the operations process. The first is that commanders drive the operations process through their understanding and visualization of the situation, their description of the requirements, leadership and ability to assess the situation. The next principle is to build and maintain situational understanding in order to piece all variables together to be able to have a holistic view of the situation. After this, the next principle is to apply critical and creative thinking. Critical thinking provides an in-depth understanding of the situation and critical thinking allows for new approaches to handle the situation. The final principle is to encourage and enable dialogue which allows for more information to be spread and allows for a more complete understanding of the situation.

The Operations Process

The Army's framework for exercising mission command is the **operations process**—the major mission command activities performed during operations: planning, preparing, executing, and continuously assessing the operation.

Plan
The art and science of understanding a situation, envisioning a desired future, and laying out effective ways of bringing that future about.

Prepare
Those activities performed by units and Soldiers to improve their ability to execute an operation.

Commanders

ASSESS PLAN

PREPARE ASSESS

EXECUTE ASSESS

Execute
Putting a plan into action by applying combat power to accomplish the mission.

Assess
The continuous determination of the progress toward accomplishing a task, creating an effect, or achieving an objective.

Central idea...

Commanders, supported by their staffs, use the **operations process** to drive the conceptual and detailed planning necessary to understand, visualize, and describe their operational environment; make and articulate decisions; and direct, lead, and assess military operations.

Principles

guided by...

- Commanders drive the operations process
- Apply critical and creative thinking
- Build and maintain situational understanding
- Encourage collaboration and dialogue

Figure 4: The Operations Process[5]

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[5] U.S. Army (2012). Army Doctrine Publication 5-0, The Operations Process, pg. iv

These activities and principles can easily be applied to the four stages of high-risk soldier management. Each stage requires planning, preparation and execution with continuous assessment. Ideally, leaders plan and prepare for each potential stage, only waiting for decision points to execute their plan in each phase. For example, a soldier who is low-risk is arrested for DUI. This unexpected arrest forces the unit leadership to execute within the response and mitigation stages. Without an already plan ready for execution, the leader must quickly assess the situation, and develop a hasty plan, which may or may not have a full understanding of the entire situation and therefore not allow for the best possible approach to the situation.

2.5 Training Units and Developing Leaders (ADP 7-0)

Training units and developing leaders are related. Good training helps develop leaders and good leaders develop good training. Training and leader development creates leaders who are competent and able to adapt to difficult and rapidly changing situations. Commanders are ultimately responsible for ensuring their units are fully trained and therefore must develop training to ensure this responsibility is met. This is performed utilizing the principles discussed earlier (Leadership, Mission Command, and Operations Processes). Commanders must determine what tasks are necessary to meet objectives set forth from higher headquarters and communicate this down to subordinates. Battalion and Company Commanders develop the units mission-essential task list (METL) to support their higher headquarters mission. They are unable to train all tasks, and therefore must select tasks which are most important to successful mission accomplishment. The mastery of these tasks drives the training plan. Commanders then assess the successfulness of their training and adapt training based on their assessments.

2.5.1 Training

There are three training domains within the Army. The first is the institutional domain which conducted at Army schools. The next is the operational training domain which is training conducted by units at home station or combat training centers. The final domain is the self-development domain which allows individuals to learn on their own based on their professional and personal goals. Training is also separated into individual and collective training. Individual training feeds into collective training because collective training is essentially the sum of the individual's skills and abilities. The Army provides a series of principles leaders should follow when developing training. These are shown below in Figure 5.

> - Commanders and other leaders are responsible for training.
> - Noncommissioned officers train individuals, crews, and small teams.
> - Train to standard.
> - Train as you will fight.
> - Train while operating.
> - Train fundamentals first.
> - Train to develop adaptability.
> - Understand the operational environment.
> - Train to sustain.
> - Train to maintain.
> - Conduct multiechelon and concurrent training.

Figure 5: Army Principles of Unit Training[6]

2.5.2 Leader Development

Leader development is a self-reinforcing cycle which must be performed at the unit level. Good leaders develop other good leaders and the cycle continues. Quality leaders are required in order to ensure unit readiness and successful mission accomplishment, both deployed and in garrison. Leaders must remain proficient in basic skills, master skills required by their position, and develop the skills required for high positions of responsibility. At the same time, they must ensure the same is being done by their subordinates.   Soldiers spend a majority of their time in units, and therefore it is important to build upon the knowledge learned in the institutional domain and reinforce and add to this knowledge at the unit level. Therefore leader development at the unit level must be conducted. In order to be truly successful, self-development will be used to fill any areas not covered by institutional or operational training. The Army's principles of leader development are shown in Figure 6.

> - Lead by example.
> - Develop subordinate leaders.
> - Create a learning environment for subordinate leaders.
> - Train leaders in the art and science of mission command.
> - Train to develop adaptive leaders.
> - Train leaders to think critically and creatively.
> - Train your leaders to know their subordinates and their families.

Figure 6: Army Principles of Leader Development[7]

2.6 Composite Risk Management (FM 5-19)

The Army utilizes a five step process known as composite risk management to identify hazards and control risks in all areas. The five steps are: Identify Hazards, Assess Hazards, Develop Controls and Make Decisions, Implement Controls, and Supervise and Evaluate. It can be used for tactical and non-

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[6] U.S. Army (2012). Army Doctrine Publication 7-0, Army Leadership. pg. 5
[7] Ibid, pg. 8

tactical scenarios. This is a continuous cycle of assessment and decision making which allows for leaders to make risk decisions. The process allows for hazards to be weighed and scored which allows for the appropriate level of decision making. For example a junior leader will not be the final decision authority on an extremely high-risk raid on an enemy stronghold. The extremely high-risk assessment will push the decision authority to someone higher in the chain of command. Ultimately it allows for decision makers to avoid unnecessary risk while maintain the ability to avoid being risk averse. The five step model depicted in Figure 7 will be described in more detail in the following paragraphs.
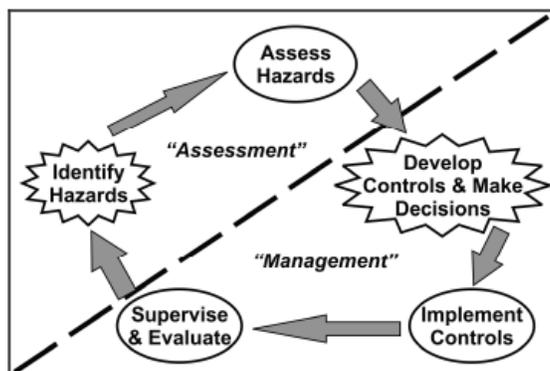
Figure 7: Army Composite Risk Management Cycle[8]

2.6.1 Step 1: Identify Hazards

The Army defines hazards as conditions, situations or events "with the potential to cause injury; illness, or death of personnel; damage to or loss of equipment or property; or mission degradation" in any environment. Some of the non-tactical hazards discussed are sexual assault, domestic violence, substance abuse, STDs and other behavioral or medical conditions.

The Army utilizes two options for a standardized methodology in identifying hazards. The first, which is widely known is METT-TC (Mission, Enemy, Terrain and weather, Troops, Time, and Civilian Considerations), an alternate, but more applicable methodology for non-mission activities is Activity, Disrupter, Terrain and weather, People, Time, and Legal. Activity focuses on specific activities which are planned which may require a risk assessment to be completed (i.e. Long Holiday Weekend). Disrupter is any type of outside influence which may have an impact on the activity. Terrain and weather focuses on activities which the weather may effect (i.e. Blizzard during block leave travel dates). People are any individuals associated with the unit. Time is described as the tendency for individuals to rush through

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[8] U.S. Army (2006). Field Manual 5-19, Composite Risk Management. pg. 1-2.

things (i.e. Haphazard vehicle inspections prior to a long weekend). Finally, Legal focuses on any type of regulations or policies which may affect an activity.

2.6.2 Step 2: Assess Hazards

In this stage, leaders make a determination of risk based on the probability of an event and the severity of an outcome of an event. Once these two elements are combined a risk assessment is determined. The probability of an event occurring is a five point scale consisting of frequent, likely, occasional, seldom, and unlikely.   The severity scale is ranked on a four point scale from catastrophic, critical, marginal, and negligible. From the combination of these two scales, the risk assessment level is determined based on the Risk Assessment Matrix shown in Figure 8. There are four levels of risk defined:

- Extremely High Risk – Loss of ability to accomplish the mission if hazards occur during mission.
- High Risk – Significant degradation of mission capabilities in terms of the required mission standard, inability to accomplish all parts of the mission or inability to complete the mission to standard if hazards occur during the mission.
- Moderate Risk – Expected degraded mission capabilities in terms of the required mission standards and will result in reduced mission capability if hazards occur during mission.
- Low Risk – Expected losses have little or no impact on accomplishing the mission.

RISK ASSESSMENT MATRIX						
		Probability				
Severity		Frequent A	Likely B	Occasional C	Seldom D	Unlikely E
Catastrophic	I	E	E	H	H	M
Critical	II	E	H	H	M	L
Marginal	III	H	M	M	L	L
Negligible	IV	M	L	L	L	L
E – Extremely High		H – High		M – Moderate		L – Low

Figure 8: Risk Assessment Matrix[9]

2.6.3 Step 3: Develop Controls and Make Risk Decisions

Once hazards are identified and assessed, the next step is to develop controls and make decisions on what controls will be implemented and decisions based on the remaining risk after the controls are implemented. There are three types of controls identified. The first is educational controls which focus

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[9] U.S. Army (2006). Field Manual 5-19, Composite Risk Management. pg. 1-8.

on developing the awareness of individuals through training. The next control is physical controls which provide physical separation from hazards. The final type of control discussed were avoidance and elimination controls that prevent contact or eliminate a hazard. The effectiveness of these controls is judged on three criteria of suitability, feasible, and acceptability. An example which demonstrates the controls and criteria is in Table 1.

Table 1: DUI Prevention Control Example

Control Goal:	Prevent DUI			
Control Description	Type of Control	Suitable	Feasible	Acceptable
Training on responsible use of alcohol training	Educational	Yes	Yes	Yes
Installation of breathalyzer on soldiers' car	Physical Control	Yes	No	No
Ban off duty alcohol use during weekends	Elimination	No	No	No

Once effective controls are established, leaders must reassess risk to see if it is now at an acceptable level. If the risk level is at an acceptable level, the leader makes a decision to continue. If not, the leader must decide develop additional controls or reassess the situation.

2.6.4 Step 4: Implement Controls

Once controls are decided upon, it is critical for the leader to implement the controls. In order to implement these controls, the leaders must ensure clear and simple execution orders are provided and ensure communication channels remain open.

2.6.5 Step 5: Supervise and Evaluate

Since composite risk management is a continuous process it is critical for leaders to continually assess the situation. First, leaders must supervise to allow leaders to understand if the controls are implemented correctly. Once controls are implemented, leaders must identify any new hazards, assess the effectiveness of the current controls, ensure implementation, execution and communication of controls is done to standards, assess residual risk, and make necessary changes to ensure risk is mitigated.

2.7 Army Health Promotion

This program focuses on tying health and well-being of soldiers into daily operations. The Army health promotion program addresses the five following areas: Health education and promotion, behavioral health interventions, physical programs, spiritual programs, and environmental and social programs.

Army health promotion applies the principles from the composite risk management process to support the well-being of Army units. The goal of the Army Health Promotion Program is detailed below:

> "…maximize readiness, warfighting ability, and work performance. Objectives include enhancing the well-being of all Soldiers, Army civilians, Family members, and retirees; and encouraging lifestyles that improve and protect physical, behavioral, and spiritual health." (U.S. Army, 2007, pg. 2)

2.7.1 Behavioral Health

The Army's behavioral health program attempts to promote behavioral health through three critical areas. These areas are strengthening individuals, strengthening communities and reducing structural barriers to health. In order to strengthen individuals, the program emphasizes providing quality programs in multiple areas such as stress relief, newcomer briefings, and relationship building programs. To strengthen communities, the program focuses on improving connections between people and organizations and between organizations. These programs include health fairs and partnerships between behavioral health services and units. The final element of reduction of structural barriers makes it easy and stress free to utilize behavioral health services.

Some of the specific programs provided by behavioral health include stress management, combat operational stress control, suicide prevention and surveillance, responsible sexual behavior, and the Army Substance Abuse Program (ASAP). Stress management assists soldiers and family members to manage and mitigate stress in any form (personal or professional). Combat operation stress control centers on the prevention of combat related stress for soldiers. Stress in combat is expected, and therefore, this program attempts to mitigate the effects of stress before it occurs. The suicide prevention program attempts to minimize suicide throughout the Army and minimize the effect of suicidal behavior on others. The responsible sexual behavior program encourages responsible sexual behavior to maintain operational readiness. Finally, the ASAP defines the Army's policies for the prevention and mitigation of substance abuse within the ranks.

2.7.2 Physical Health

The physical health and well-being is critical for the success of units. It ties directly into the soldier's ability to perform combat related tasks which has a significant impact on the unit's ability to conduct

operations. Physical health consists of multiple elements. These include the fitness and health program, injury prevention, ergonomics, oral health, nutrition, and weight management.

2.7.3 Spiritual Fitness

Spiritual fitness is a holistic form of development. It attempts to take into account the different dimensions of a human being and find balance. Being spiritually fit assists individuals during times of hardship.

2.7.4 Environmental Health

The environmental health program was designed to ensure individuals were safe from any type of environmental threats. These threats include air and water quality and workplace safety. Additionally, it focuses on public health campaigns to encourage healthy lifestyle.

2.7.5 Command Responsibilities

There are a series of specific requirements that commanders must do order to comply with the program. Commanders must publish a health promotion policy to promote well-being within their respective units. Many of the requirements focus on unit culture and the establishment of a command climate which supports the health promotion program such as remaining sensitive and responsive to the needs of unit members and their families and to treat all soldiers with dignity and respect when assistance is required to assist in challenges. The complete list is provided in Appendix C.

2.8 Specific Programs at the Company Level

This framework provides a general outline of how high-risk soldiers are managed at the company level. The Army provides six categories for leaders to identify a soldier's ability to function. These areas are physical, emotional/behavioral, occupational, social/interpersonal, financial and legal/disciplinary. The chain of command takes each of these categories into account when determining a soldier's level of risk (low, moderate, high). No two soldiers are the same and therefore, the unit must identify each individual soldier utilizing these categories. Based on the classification, the chain of command decides how each individual soldier is managed. Within each company there are a series of Army-wide programs and systems which focus on certain aspects of the Soldiers ability to function. The programs listed below are many of the critical programs, but not the only programs. There may be additional programs at the local level based on specific situations. Figure 9 provides a graphical overview of the company programs which will be discussed and their relation to the six soldier functional elements that comprise the whole soldier concept and are used to identify high-risk soldiers.
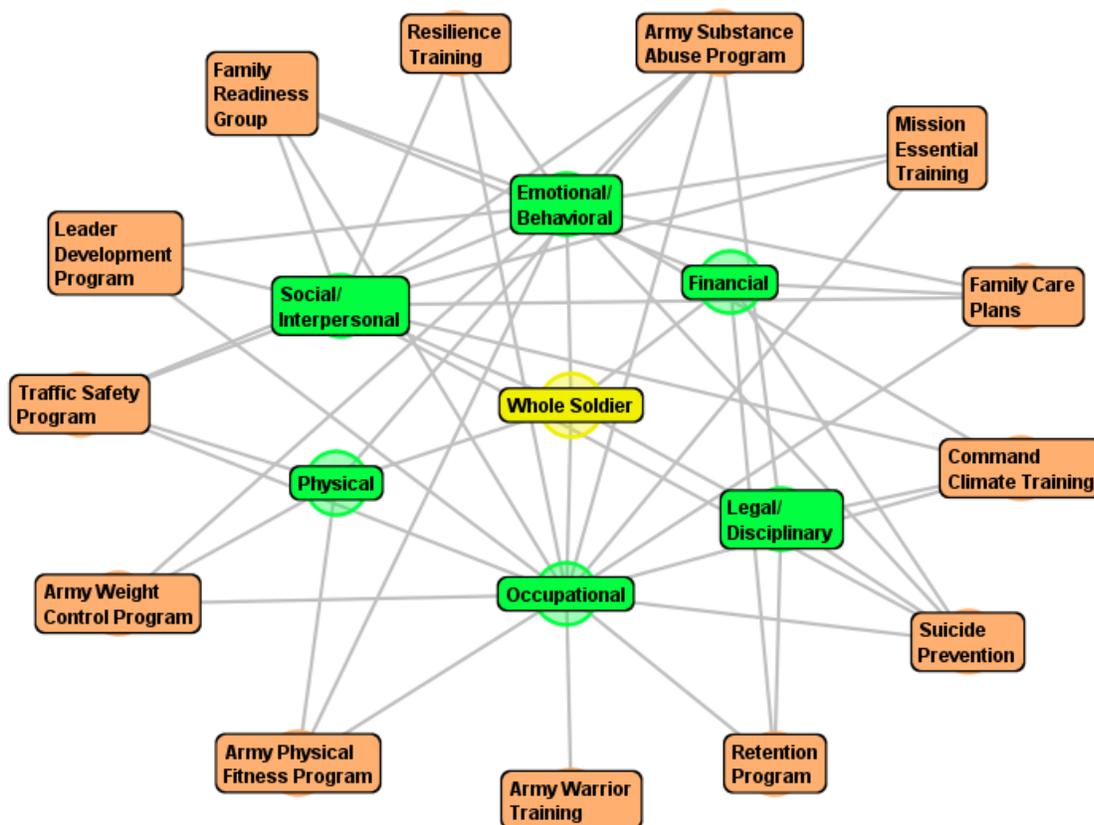
Figure 9: Company Program Overview

2.8.1 Leader Development Program

The principles of leader development described in FM 7-0 are to be implemented at the company level. Companies must develop a leader development program specifically tailored to the needs of the company. The leader development program ensures individuals are proficient in their mission essential tasks, then focuses on developing for the further levels of responsibility. Some of the programs utilized at the company level are Officer Professional Development (OPD) sessions, which is primarily the commander working with the lieutenants in the battery, Noncommissioned Officer Development Program (NCODP), which is driven by the unit 1SG for NCOs, and Sergeant's Time Training which dedicates time to NCOs to conduct small unit and individual training and builds team cohesion. Another critical aspect of the unit's leader development program is units counseling program. **(Occupational, Emotional/Behavioral, Social/Interpersonal)**

2.8.2 Army Warrior Training

Army Warrior Training ensures all soldiers remain proficient in basic soldier skills. This training provides the foundation for more advanced individual and collective training which much be accomplished to

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support the units mission. These fundamental tasks should be integrated into other training to maximize training time. **(Occupational)**

2.8.3 Mission Essential Training

The primary role of the company is to ensure the unit readiness. Following the guidance set forth in ADP 7-0, commanders develop training programs to ensure the unit is competent in all elements of its mission essential task list. In garrison, mission essential training is the primary driver of what the company does on a day to day basis. The remainder of the other programs must fit be managed within the constructs of ensuring the unit is trained and competent in its mission essential task list. This also plays an important role in high-risk soldier management. Training allows soldiers to be more proficient in their ability, and it often forces individuals to work together which may increase unit cohesion if done correctly. **(Occupational, Emotional/Behavioral, Social/Interpersonal)**

2.8.4 Resilience Training

This training focuses on preparing soldiers for the hardships they may face, not only in combat, but in everyday life. Soldiers continually face personal and professional stressors and this training assists soldiers identify challenges and develop skills to cope with these challenges. It also assists leaders in developing a skillset to help foster resilience within their units. Training at the unit level is conducted in the pre-deployment and post-deployment phases of the ARFORGEN cycle. (**Emotional/Behavioral, Social/Interpersonal Occupational)**

2.8.5 Army Substance Abuse Program (AR 600-85):

The Army Substance Abuse Program (ASAP) defines the Army's policies for the prevention and mitigation of substance abuse within the ranks. At the company level, the goal of this program is to ensure unit readiness by ensuring the fitness of the members of the unit. The program focuses on two main tenants, prevention and treatment. Prevention focuses on education, deterrence, referrals, intervention, risk reduction and detection. Treatment focuses on intervention, screening and rehabilitation. The company has multiple responsibilities within this Army wide program. Some of these include the execution of the drug and alcohol testing program, annual training, and fostering a command climate which supports soldiers in need of assistance and discourages drug and alcohol abuse. (**Physical, Emotional/Behavioral, Occupational, Social, Legal/Disciplinary)**

2.8.6 Suicide Prevention (DA Pam 600-24):

Each unit has a suicide prevention program which focuses on preventing suicides by ensuring the well-being of each soldier. Some of the critical elements of the suicide prevention program include but are not limited to the following requirements. Commanders will ensure their units conduct annual suicide prevention training and ensure there are awareness by leaders at all levels. Another critical requirement is that there is a command climate which encourages Soldiers to seek help and all soldiers and leaders are aware of available tools and resources.

This program is primarily focused in all four elements of the emotional/behavioral functional area. In order to prevent suicide, members of the unit must understand the factors which lead to suicide. Units must focus building resiliency in its members. Another critical aspect is the reduction of stigma associated with suicide to be companied with an awareness and communication plan. If factors are identified, the ability to intervene and the steps to take in order to intervene are critical. Finally, if a suicide or suicide attempt does occur, the company must have a plan to support survivors or those affected by the suicide. **(Emotional/Behavioral, Occupational**)

2.8.7 Family Readiness Group (AR 600-20 pg 56)

In order to support the Total Army Facility Program, company commanders must foster an environment which encourages the support of families. The primary method outreach to the families is the Family Readiness Group (FRG). The FRG has multiple critical roles at the company level. It is the official mechanism for the command to disseminate information to families. It provides families with the most up to date and valid information, it assists in referring families to resources which may be unknown, and prepares families for deployment and redeployment stressors. Finally, it helps build cohesion between the unit and the families, where natural tensions may occur due to conflicts of interest.
(Emotional/Behavioral, Social/Interpersonal)

2.8.8 Family Care Plans (AR 600-20 pg. 48)

In addition to the family readiness group, companies must ensure all required personnel have adequate family care plans. A family care plan ensures a soldier's family is taken care of while deployed. This is critical for mission readiness. Family care plans are mandatory single parents or dual military with family members. This ensures there is a plan in place for the care of dependent family members while the soldier or soldiers are deployed. While it is not mandatory for all soldiers, leaders should ensure

that all soldiers have a plan to ensure their affairs are taken care of while deployed.

(Social/Interpersonal, Occupational)

2.8.9 Army Physical Fitness Program:

Each company designs their specific physical fitness program in accordance with guidance set forth in AR 350-1. The physical fitness program is designed to improve combat readiness by developing and maintaining physically fit soldiers and is specifically designed at the company level, while meeting requirements from higher headquarters. Soldiers' level of fitness is tested by the Army Physical Fitness Test (APFT).   Some of objectives of the physical fitness program are to enhance muscular strength and endurance, aerobic and anaerobic fitness, body composition, promote a healthy lifestyle, and to enhance resiliency and self-discipline. (**Physical, Emotional/Behavioral, Occupational)**

2.8.10 Army Weight Control Program

The Army Weight Control Program is managed at the company level. This program ensures all members of the company maintain weight and body composition within Army standards as well as maintain a Soldierly appearance. Soldiers are weighted and must either be under a specified weight (based on age and height) or meet body fat requirements if over the specified weight. If a soldier is above recommended weight and body fat percentage they are to be placed in the weight control program. The soldier will then receive a medical evaluation and nutritional counseling. If the soldier is unable to meet the standards, the soldier may be separated from service. **(Physical, Emotional/Behavioral, Occupational)**

2.8.11 Command Climate Training

Command Climate Training is series of training events which focus on establishing a positive command climate. This training includes fraternization training, sexual harassment training, sexual assault and prevention training, equal opportunity training, and Army Substance Abuse Program education. (**Emotional/Behavioral, Occupational, Social, Disciplinary/Legal)**

2.8.12 Traffic Safety Program

This program has been established to ensure soldiers drive safely and responsibly. Commanders must have a system in place to ensure that all individuals who operate vehicles are properly licensed before operating the vehicles. Additionally, the unit is responsible for ensuring privately owned vehicles are inspected by leaders. This is to be performed at least semi-annually, but is often conducted monthly.

Finally, companies must ensure all motorcycle riders are licensed and complete a motorcycle riders course. (**Emotional/Behavioral, Physical**)

2.8.13 Retention Program

This program is focused on the retention of quality personnel within the unit. The company ensures that all individuals who are eligible for reenlistment are informed of incentives or additional information pertinent to their situation. Additionally, the unit will hold ceremonies are held in which coworkers and family members may attend. The company commander may also deny reenlistment to individuals who are not suited for future service. This is called a bar to reenlistment. This rehabilitative tool requires justification for the bar to be placed on the individual, and if the soldier overcomes the rationale for the bar, it may be lifted and the individual may continue service. **(Occupational, Financial)**

2.9 Support Services and Additional Resources

In addition to the programs provided at the company level, there are also a series of external resources provided to the members at the company level. These resources provide multiple forms of assistance in areas in which most individuals at the company level are untrained in. A list of these services is provided in Appendix D.

2.9.1 Soldier Leader Risk Reduction Tool (SLRRT)

The Soldier Leader Risk Reduction Tool was developed to assist leaders in identifying issues for soldiers. An example of the SLRRT is shown in Appendix E. There are multiple questions focused on the six areas of concerned above. More details can be found at the Guide for Soldier Leader Risk Reduction Tool. Depending upon the soldier's response, there is a corresponding leader action. For example if a soldier has had difficulty coping with a loss, it instructs the leader to refer the soldier to one of a series of support services. It is important to note that the Army has marketed this to the force as a "tool" and not a requirement or tracker. An example of this is the video provided at this link: http://youtu.be/fC6FEuZ8NXc

2.9.2 High-Risk Matrix

The high risk matrix is a tool used to track and manage soldiers who are identified as high-risk. It lists the individual's names, why they are issued, mitigation measures, and the supervisors plan. Its uses are two-fold; it allows leaders to track soldier issues within the battery, which can be difficult at the company and battalion levels. Additionally it is a forcing function to drive leaders to develop plans of action for their subordinates. An example is shown below in Figure 10.

2.9.3 Multi-Source Assessment and Feedback 360 Program

This is a tool utilized to provide feedback to leaders on their performance from superiors, peers and subordinates. (MSAF Website) Its primary purpose is to provide an accurate assessment to leaders from those in which they interact with. This this tool is not used for evaluation purposes.

Btry	Rank	Last Name	First Name	Overall Risk Level Assessed	Date of Assessment	If Risk Level is High, why?	Mitigation Measures taken	Supervisor Plan
						Active Issues		
A	PFC	-	-	High	13-Jul-13	SM spouse has recently told him she requests a divorce. He has also struggled to meet height weight requirements.	Soldier has spoken to the Chaplain. Chain of Command continues to monitor closely and ensure assistance is provided. Additionally, he has now met height weight requirements and will now work to keep the extra weight off.	Leadership will continue to monitor and ensure SM is provided opportunites to seek any assistance required. Leadership will also continue to work with SM on PT and dietary issues.
A	PV2	-	-	High	14-Jul-13	Graduated AIT and deployed shortly after. Has had multiple issues with his wfe while deployed and they have just decided to divorce. Additionally has purchased a firearm over leave.	Leadership continues to engage SM. Soldier will attend firearms safety course at earliest possibility.	Leadership will continue to closely monitor the situation, ensure he attends course firearms safety course. Leadership is continuing to assist the SM and is providing the opportunity to complete divorce.
A	PVT	-	-	High	15-Jul-13	Maritial and Financial issues. Spouse continues to wrecklessly spend money. They will be moving due to their landlord not renewing their lease and will now face additional stressor of finding a new home.	SM will be provided an opportunity to receive marriage counseling if needed. Additionally he will be encouraged to attend parenting classes if problems arise with newborn. Will see CFA for budgeting assistance.	Leadership will continue to monitor and ensure Soldier recieves any needed assistance and training as required.
A	SSG	-	-	High	13-Jul-13	SM and spouse have had continuous issues since he arrived in the battery.	SM and spouse have have seen counselors prior to deploying. Leadership continues to engage SM.	Leadership will continue to closely monitor the situation and provide the SM the opportunity to seek help as necessary. Will be recommended for anger management and marriage counseling.
A	SPC	-	-	High	14-Jul-13	SM had difficulties adjusting to combat stressors after deploying immediately after AIT. He has seen mental health and seems to be coping better. Additionally he is stressed financially due to his children.	SM will continue to see mental health upon our return to Ft. Sill. Financial classes will be provided as well.	Leadership will continue to monitor and ensure SM is provided opportunites to see mental heath as required.
A	SGT	-	-	High	15-Jul-13	SM has some anger management issues. Spouse had twins wihle deployed. Total of 5 Children (3 his). Spouse does not work and does not collect support from other childrens father.	SM has requested to seek financial planning assistance upon return. SM will additionally see anger management counselors upon rreturn.	Leadership will continue to monitor and ensure SM has opportunity to seek financial and anger counseling.

Figure 10: Example High-Risk Matrix

Chapter 3

3.1 The Enterprise

This analysis focuses on the company as an enterprise. An enterprise is defined as "a complex, integrated, and interdependent system of people, processes, and technology that creates value as determined by its key stakeholders." (Nightingale and Srinivasan, 2011). In order to fully understand the system, we must first understand who is involved in the system, or stakeholders, and the benefits or utility in which the stakeholders receive or provide to the enterprise or other stakeholders. These benefits or utility is known as value. It is also important to understand the larger context the enterprise operates in, or ecosystem.

3.2 The Company as the Enterprise

The primary reason the company was chosen for the enterprise because it is still considered a "command", but is still small enough where the command team can maintain personal relationship will all members of the unit. As mentioned earlier, the average company is normally from 60-200 people. The next highest level of command, the battalion, consists of 500-600 soldiers and therefore it is difficult for the commander to have a personal relationship with every member of the unit. Therefore it is the highest level of leadership where the leader can retain awareness on all individuals within the organization.

The company also fits the description of an enterprise. There are several stakeholders which expect to receive value from the processes which take place at the company level. These stakeholders will be discussed in more detail later in the chapter. Many of the programs which are managed at the company level were discussed in chapter two. Ultimately, the unit leadership must develop a system to ensure that the objectives of the company are met through planning, execution within multiple levels within the company and coordination with outside groups.

The internal organization of the company consists of four layers. The command team (commander and first sergeant), the platoon leadership (platoon leader and platoon sergeant), squad leaders, and soldiers within the squads. This hierarchical structure is important in considering the enterprise of analysis. A majority of the direct leadership occurs at the squad level based on the structure of the company (9-12 squads per company with 4-10 soldiers per squad). Therefore the policies and priorities made at the company level have a direct influence on the day to day operations at the squad level and below.

3.2.1 Internal Stakeholders

There are three major stakeholder groups within the company which will be analyzed. The first stakeholder group that will be considered is the **Command Team**. The command team consists of the company commander and first sergeant. As discussed earlier, the commander is the senior commissioned officer responsible for everything within the company and the first sergeant is the senior enlisted soldier within the company. The first sergeant assists the commander in the implementation and execution of policy at the company level. As the senior leaders in the company, they play a critical role in the unit command climate and defining the organizations culture. The command team is also the link between the company and the higher headquarters.

The next stakeholder group is **Direct Leaders**; this includes the commander, first sergeant, platoon leaders, platoon sergeants, and squad leaders. This stakeholder group focuses on the front line, one on one leadership within the company. The commander and first sergeant are the direct leaders of the platoon leadership. The platoon leadership is directly responsible for the squad leadership and the squad leadership is directly responsible members of their squads. Ideally, this vertical structure allows for organizational alignment within the company, as the command priorities become the platoon priorities, which become the squad and soldier priorities.

The final stakeholder group within the company is all soldiers, but this group will be divided into three subgroups, **Low-Risk Soldiers, Potential High-Risk Soldiers** and **High-Risk Soldiers.** The qualifications for each category are described below:

- Low-Risk: No risk factors or high risk events identified
- Potential High-Risk: Risk factors identified
- High-Risk: Participation in High-Risk event identified

All soldiers within the unit fall within one of these three groups, including members of the command team and direct leaders. It is important to note that although the most at-risk population is the youngest soldiers in the company, not all high-risk soldiers are junior soldiers. It is possible for anyone within the Army to be considered high risk, depending upon their situation.

3.2.2 External Stakeholders

There are four external stakeholder groups to the company who have direct interactions with the company and members within the company. These groups have regular interaction and have an impact on the high-risk soldier management. The first group is the **Battalion Leadership**. The battalion is the higher headquarters for the company and its members provide leadership and guidance to the company. The company commander and first sergeant are the primary interfaces for contact between the company and the battalion.

Another critical stakeholder group is the **Support Services** provided to soldiers. There are a multitude of services provided at the battalion, brigade and post level. These services include, but are not limited to counseling services, medical providers, unit ministry teams, and financial counseling services. A more complete list is provided in Appendix D. Soldiers are often referred to these services if they require assistance, therefore it is critical for individuals to know what services are available and where they can be found. It is also important to note that there are differences between medical and non-medical support services. Many of the medical support services fall under HIPPA guidelines. Due to this, many leaders face challenges in determining the medical status of soldiers who see providers without the consent of the soldier.

The third external stakeholder group is **dependents**. Dependents will be defined as anyone who relies upon a soldier for support. The most common dependents are spouses and children, but may also include other family members and possibly friends. Dependents are important because they can be a source of support or stress for a soldier. (Dolan and Ender, 2008) Additionally, they can be critical sensors of high-risk behaviors when soldiers are off duty.

The final stakeholder group is the soldiers' **Social Network.** These are basically the friends and family of a soldier who do not rely upon the soldier for support. There may be some overlap with the company as soldiers are often friends with other soldiers within a unit, but this accounts for the social interactions outside of work. These groups are important because many of the high-risk behaviors which are found take place outside of work. The individuals a soldier surrounds himself with outside of work has a direct impact on what he does. Therefore it is important to take into account a soldier's social network as a stakeholder group.

In addition to understanding why the company was selected as the enterprise of analysis and the key stakeholder groups, both internal and external, it is also critical to understand the environment in which the company operates in. This environment is the ecosystem in which the company operates.

3.2.3 Ecosystem

At the highest level of the ecosystem in which the company operates in is the national political system. Therefore it is important to understand the implications of national policy at the company level. First and foremost, the nation has been at war for over a decade. The war in Afghanistan began in 2001 and is projected to be over in 2014 and the war in Iraq lasted from 2003 to 2011. These two wars have resulted high operational tempo (OPTEMO) for soldiers, creating a requirement for soldiers to deploy from 9 – 15 months a time with as little as a year between deployments. The Army has struggled to provide soldiers the optimal 2 years at home to 1 year deployed ratio due to the vast operational requirements.

Due to this there has been an incredible amount of stress placed on soldiers and their families. In addition, there has been a generation of soldiers whose entire careers have been rotating between deployments and are unfamiliar with long term garrison operations. With the completion of the war in Afghanistan approaching, the Army is likely to transition to more of a garrison force, with a significant decrease in the OPTEMPO for soldiers. Although the stressors of combat will decline with fewer deployments, there is a potential for additional high-risk behaviors due to a combination of factors such as more free time and the possibility of substituting the adrenaline rush of combat with high-risk behaviors at home. Additionally, there is an increase in pay due to deployments. Soldiers do not pay income taxes while deployed and there are additional bonuses such as hazardous duty pay and family separation pay. This can lead to financial hardships upon return once the soldier pay is returned to normal levels.

In addition to the decreased pace of deployments due to the decisions to end the wars in Iraq and Afghanistan, the uncertainty due to the political battles over the budget and national debt may lead to less defense spending. This may lead to a decrease in resources available for training or support services on bases which may require soldiers take on new responsibilities which were previously contracted out to civilians. Additionally, soldiers may lose some of the support services previously provided. For example, if building maintenance crews are cut, soldiers may need to pick up additional duties such as building clean up. Another possibility is if the number of financial advisors on a post is cut, it is harder

for soldiers schedule meetings.   With end strength cuts budget cutbacks reduce the size of the force is at a time when the national economy is still suffering from high rates of employment may be unsettling. All of these impacts from national policy can lead to new stressors for soldiers and leaders.

From these national policy decisions, the flow of resources and policy works its way down through the Army to Corps to Divisions to Brigades. In the modular system, the Brigade Combat Team is the lowest level which can independently deploy. The brigade is allocates resources and disseminates its priorities to the battalions and companies. The brigade commander communicates his priorities through the battalion and it is expected for the company to develop operations to ensure alignment. The brigade commander rates the company commander and reviews the first sergeant's evaluations and therefore has a significant amount of influence in the decisions made at the company level.

The decisions made at the national level may influence decisions made brigade level. First, a successful brigade command is an important factor for promotion to brigadier general.   With the elimination of combat tours, brigade commanders may find it necessary to make up for the lack of a "combat command" on their resume with high profile training events. If these high profile events are coupled with a lack of resources at the company level due to budget cutbacks and unpredictable schedules due to additional takings due to decreased services, individuals at the company level are likely to become frustrated.

An additional element of the ecosystem which has an impact on high-risk soldier programs is the post that the company is on. Every army post is unique. Many posts have similar services, but the details of each may differ. In addition to differences in infrastructure on posts, the geographic locations of the posts also may have an impact. Differences in activities provided in surrounding areas, local economy, etc. all may have an impact on soldier behavior.

A final element of the ecosystem which must be addressed is the explosion of social media over the past decade. For example Facebook began in 2004 and currently has over 1 billion active users. (Facebook) This has created a new dynamic which leaders did not face in the garrison army prior to the wars in Iraq and Afghanistan. This has been an increase in the expectation of instant information which may lead to difficulties in communication or a sense that leadership is not being forthright if it does not provide information immediately to soldiers and families.

3.3 Temporal stages of Soldier Welfare

In order to understand the high-risk soldiers, a common understanding of the movement from low to high-risk and back must be developed. The model in**Figure 11** Figure 11 demonstrates the relationship between low-risk, potential high-risk and high-risk Soldiers in the identification of high-risk Soldiers based on the definitions provided earlier. A soldier with no identified risk factors is considered a low-risk soldier. Upon identification of risk factors, the Soldier will moves into the potential high-risk category. Once an individual is involved in a high-risk event, they are classified as a high-risk soldier. Once a high-risk event occurs, there are a series of actions taken dependent upon the specifics of the situation. Ideally, these events return the Soldier to the potential high-risk category. If a soldier is considered a potential high risk, there are steps the individual can take which can mitigate the identified risk factors and return the Soldier to the low-risk category. Ideally, a soldier will not move directly from the low-risk to the high-risk category. This is most likely a failure in risk factor identification. It is also unlikely for a soldier to move from the high-risk category, directly to the low-risk category. There are likely remnants remaining from the high-risk event which can be identified as risk factors which allowed the Soldier to be identified as a potential high-risk.

Figure 11: Soldier Movement Between Categories

Utilizing the model above as a guide, four stages can be identified. These stages are not necessarily independent, but it allows for a better conceptualization of the problem at different areas. The four stages are discussed below:

1) Prevention: This stage focuses on ensuring Soldiers stay in the low risk category and do not move into the high risk category.
2) Identification: This stage focuses on identifying factors which may lead to high risk behavior or identification of high-risk behaviors which are being performed.
3) Mitigation: This stage focuses on the elimination of factors which place a soldier in the potential high-risk category.
4) Response: This stage focuses on the response to high-risk soldiers and their behaviors.

As mentioned above, these stages are not mutually exclusive. For example, a leader focuses his time on preventing movement from low to high-risk. He must also be actively scanning for identifiers which may lead to high risk behavior. Another example is if a soldier is facing UCMJ actions for a high risk behavior. Due to the pending UCMJ actions (Response) the soldier is exhibiting symptoms of depression (Identification) in which the soldier must receive assistance (Mitigation). These examples demonstrate some of the difficulties in managing a high-risk soldier program.

3.4 Questions

In order to fully understand the company a holistic approach must be taken. There are three major components which interact with one another, the unit, the individual and external stakeholders. All three are reliant on one another and the interactions are critical to understand. In order to better understand the entire system it is graphically depicted in Figure 12.   The questions are developed in order to better understand the relationships between stakeholders, processes at the company level, and relationships between. In another words, this is an attempt to understand the enterprise with respect to soldier welfare.

Figure 12: Architecture of System

Question 1: What is a high-risk soldier?

This question is to be asked in order to see if there is a common mental model within the organization. Mental models are defined as "deeply ingrained assumptions, generalizations, or even pictures or images that influence how we understand the world and how we take action." (Senge , 1990, pg. 8) In order to understand the problem, the first critical aspect is to understand if all leaders possess a shared mental model.   This question will identify if there are any gaps between Army definition and mental models of leaders at different levels within the company. If there are large differences in mental models, it may explain some of the difficulties in ensuring the welfare and discipline of soldiers at the company level. If triggers for prevention and intervention are not standardized, then some individuals may slip through the cracks. The definition of a high-risk soldier is critical because it drives leader behaviors at each stage of the process (prevention, identification, mitigation, and response). Therefore any differences in definitions may lead cause misalignment throughout the leaders of the enterprise.

Question 2: Who is responsible for high-risk soldiers at the company level?

These questions are asked in conjunction with the first question and hope to further identify the mental models of leaders at the company level. These mental models allow the members of the organization to coordinate their behaviors based on the shared environment and knowledge of the situation. (Mohammed, Ferzandi, Hamilton 2010; Cannon-Bowers & Salas, 1993)   The military has clearly stated that the health, welfare, and discipline of soldiers are a command responsibility (Department of Defense, 2002). Culturally, the term "take care of soldiers" is used within the Army to describe what a leader's responsibility is. The Army identifies multiple elements in order to "take care of soldiers". Some of the elements include adequately preparing soldiers to perform their jobs as soldiers through challenging, but safe training, promoting an environment of growth and learning, while ensuring discipline within the force, and to build a personal relationship with soldiers in order to improve performance and provide professional and personal assistance when needed. (U.S. Army 2012, Army Doctrine Publication 6-22 (ADP 6-22))

While the command is tasked with ensuring soldier health, welfare and discipline, a commander cannot do everything; therefore, many of the responsibilities are delegated to lower level leaders, such as platoon and squad leaders. This question hopes to better conceptualize the mental models of leaders to

identify the roles of different leaders within the organization, ideally identifying the most critical leaders within the company.

Question 3: Should leaders be responsible for high-risk soldiers and how important is it? Why or why not?

This question hopes to determine the motivation of leaders in ensuring soldier welfare. We will analyze what is known as military ethic. Military ethic is defined as "a set of shared explicit and implicit moral values and principles intended to guide the conduct of military professionals in the performance of their duties." (Jennings & Hannah, 2011) The concept that a leader is not only responsible for a subordinate both on and off duty is somewhat unique to the military and therefore, may seem unnecessary to some leaders who are only focused on if a soldier "does his job" or not. This question hopes to determine if leaders care for soldiers because they are required to or because they are intrinsically motivated. In short, are leaders taking care of soldiers because they have to or want to?

Morality is a critical concept to understand in this situation. Two possibilities for types of moralities are the morality of aspiration and the morality of duty, or obligation. (Fuller, 1969; Jennings & Hannah, 2011) The morality of obligation is centered on rule following and the avoidance of denunciation by others. (Jones & Ryan, 1997). The other type of morality, the morality of aspiration, drives leaders to strive to act in a manner which is praiseworthy and aligned with military values. In the case of morality of obligation, leaders will be driven by rules or controls, in the case of morality of aspiration, leaders will be driven by things such as living within Army values.   The morality of obligation provides a minimum floor for behavior while the morality of aspiration provides a ceiling. (Jennings and Hannah, 2011)

Within this floor and ceiling, leaders will be motivated to act in two ways, based on choice or character, otherwise known as rule following and identify conferring (Kekes, 1984; Jennings & Hannah, 2011). If a leader is rule following, he will act within the established guidelines set forth in order to avoid exclusion from the group or punishment. (Jones & Ryan, 1997; Trevino & Youngblood, 1990). Identify conferring motivation drives individuals to meet goals established by the individual, which are developed by the group norms. (Lord and Brown, 2004 & Jennings and Hannah, 2011)

In this case, the moral floor and ceiling for leaders is understood. The bare minimum is adherence to the Uniform Code of Military Justice and executing task they are ordered to perform. The ceiling is living the Army Values and being a professional in the military. The motivation set forth in achieving ensuring soldier welfare is less clear. Leaders may do the bare minimum in order to check the blocks and avoid punishment (Rule Following) or they may want to take care of their soldiers because their intrinsic goal is to be a good leader, and the group norms have established ensuring soldier welfare as a requirement to be a good leader (Identity Conferring)

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Question 4: How do you prevent low-risk soldiers from becoming high-risk soldiers?

For this we will first utilize the medical issues discussed earlier. The Army identifies five major drivers of health related issues. These are post-traumatic stress, mild traumatic brain injury, depression, substance abuse, and stress. In order to prevent low-risk soldiers from becoming high-risk, leaders must attempt to mitigate these issues whenever possible.

Health Related Issues

Post-Traumatic Stress has been a significant problem due to the rate of deployments of soldiers. Although deployments have slowed, there is always the potential for another operation. Due to this, an understanding of what can be done to mitigate the effects of post-traumatic stress must be understood and implemented at the company level. Research has found that benefit finding and supportive leadership are linked to a decrease in PTSD. (Mental Health Advisory Team, 2009; Wood, Foran, Britt, Wright, 2011)

Cohesion has also been linked to a decrease in combat stress. The Army defines cohesion as " During World War II, a comparison of the losses due to combat stress during heavy combat between two units who trained as a unit (82nd Airborne and 101st Airborne Divisions) and two units who were rapidly mobilized and pushed into combat (85th and 91st Infantry Divisions). The comparison is shown in Table 2 below: (Madden, 2001

)

Table 2: Combat Casualties During WWII[10]

Unit	WIA	Losses due to Combat Stress	%
85th Infantry Division	3600	917	22.7%
91st Infantry Division	2700	919	34.0%
82nd Airborne Division	4197	238	5.7%
101st Airborne Division	4992	100	2.0%

There are limitations on what leaders can do to limit mild traumatic brain injury outside of ensuring safety measures are put in place to limit the impacts of brain injury (protective gear, etc.) and limiting the opportunities for soldiers to be placed in situations where brain injury may occur. The mission often dictates actions, and therefore, some dangers cannot be completely prevented. Therefore it is critical for leaders to know what to do if brain injury occurs.

Depression is impossible to prevent if the soldier enters the Army already suffering from the disorder. Although there is nothing leadership can do to prevent depression, it can increase the general well-being of a soldier in which a component of well-being is depression. (U.S. Army, 2012, HDF; Bliese & Halverson, 1996) Well-being is negatively related to work hours, and positively related to vertical and horizontal cohesion. Work hours as a variable is self-explanatory. Vertical cohesion is the perception of the subordinate that their leader is caring and competent. Horizontal cohesion is how member of the group bond with others within the group. This study utilizes these key relationships in order to analyze how soldier welfare is managed at the company level. (Bliese & Halverson, 1996) Therefore, company leaders must focus on soldier well-being to aid in the prevention of issues due to depression. They are not professionals who are capable of providing treatment of the condition. The ability to ensure soldiers who are suffering from depression are identified and provided professional assistance will be discussed in the identification and mitigation questions.

The next issue, which leaders at the company level have an impact on is the level of stress the soldier feels. Utilizing the Army stressor strands, the unit is extremely influential in the mitigation of these stressors. At the unit level, the unit is responsible for ensuring a soldier is adequately trained for

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[10] Madden, R.W. (2001). Living on the Edge: Building Cohesion and the Will to Win. *Leadership: The Warrior's Art, pg. 59.*

combat operations, effectively utilized during operations, prepared for redeployment, integrated back into garrison life, provided a predictable schedule while in garrison, and provided worthwhile training in the absence of deployment orders. At the soldier strand level, the unit must focus on integration when a soldier arrives to the unit, provide the individual regular and beneficial feedback through counseling, prepare for positions of additional responsibility, punish if required, and ultimately manage the career of the soldier. Finally, the unit must assist the soldier in the family or personal strand. The unit must reach out to families to provide information in order to decreases stressors at home and assist with other stressors the individual is not prepared for such as financial training and relationship stress.

The next issue, substance abuse, can be identified as a health issue, but also a discipline issue. First as a health related issue. Alcohol is often used as a stress reliever (Dolan & Ender, 2008) and has been tied to depression and post-traumatic stress. (Quello, Brady, & Sonne, 2005) therefore the prevention of PTSD, stress, and depression discussed above would likely have an impact on the prevention of substance abuse. In order to prevent substance abuse, the prevention of other health related issues are likely to assist.

Disciplinary Issues

At the same time the substance abuse must also be addressed in the same manner as other disciplinary issues. This is linked to military ethic as discussed earlier. Soldiers must understand the consequences of their actions (rule following), but ideally, aspire to be a "good soldier" align with group norms (Identity Conferring). Leaders are critical in establishing group norms which drive the actions of individuals within the group. (Jennings & Hannah, 2011) As these norms are adopted by the group, they continue to reinforce themselves and individuals within the group act in a certain manner and others who join the group begin to learn the behavior. Subordinates will begin to align their actions with the actions of the leader. Therefore it is crucial for leaders to demonstrate model behavior and subordinates will in turn follow. (Jennings & Hannah, 2011) At the company level, who do not identify with the group must be made aware of and understand there will be consequences to any actions outside of the established rules. For individuals who do identify with the group, it is critical for the leader to establish and reinforce model behaviors, aligned with the desired morality and the Army Values.

In addition to this, horizontal cohesion was found to have a positive relationship with respect to the prevention of disciplinary issues. (Skull, 1990). The study found the units with a higher level of horizontal cohesion was found to have a positive relationship with soldiers demonstrating mutual caring and assistance, assisting in disciplinary issues, such as trying to get an AWOL soldier to return, discouragement of drug use, and support to prevent degenerative behaviors. Therefore, besides modeling positive behaviors, leaders should also foster horizontal cohesion to prevent issues.

Summary

The common theme throughout the prevention of these issues is cohesion. The relationship between the leader and the subordinate is critical in the prevention of post-traumatic stress, depression, stress, substance abuse and disciplinary issues. In addition to the relationship between the leader and the subordinate, the relationship between subordinates (horizontal cohesion) is critical in preventing high-risk soldiers. Finally, the hours worked and stressors encountered by soldiers are critical in the soldier well-being. These can all be impacted by leaders at the company level.

Question 5: How do you identify potential high-risk soldiers and what difficulties do you face?

There are four potential sources of identification of soldier issues. These are soldier self-reporting, leader identification, friend identification, and family identification. Each of these identification methods possesses its own unique challenges, primarily revolving around tensions felt by individuals reporting information. Ideally, each individual possesses the self-awareness to identify issues and seek help, but this is often not the case. This is why it is critical to have leaders, concerned for the best interest of the soldier and more knowledgeable about services which can be rendered to identify high-risk soldiers.

The first and likely most accurate source of information of a soldier's welfare is the soldier himself. If a soldier requires assistance, but does not know where to go, he can approach his leader for assistance. Although this may seem simple, it likely requires vertical cohesion. The soldier must have confidence in and loyalty to their leaders, and vice versa. If this is the case, soldiers may be more likely to provide personal information to the leader because the subordinate is confident in the capabilities of the leader to help and trusts the leader will be loyal and unnecessarily share personal information. (Morale and Cohesion In Military Psychiatry – Manning) Further complicating is potential concerns about privacy. A

solider may trust his immediate supervisor, but is concerned if his name is provided higher up the chain of command or is put on a roster to be reported outside of the leaders the individual trusts.

The next is the leader identifying issues with a soldier through involvement and caring. These are also factors which are associated with vertical cohesion. (Skull, 1990) What we learned from COHORT). If a leader knows his soldiers well, he can identify changes in their behaviors or attitudes. At the same time, there must be a training process in place to assist leaders in being able to identify a change in attitude, behavior, or circumstances surrounding the soldier into a potential issue which needs to be addressed.

A third potential source of information is the other soldiers within the unit. Again, this is complicated. Soldiers often look to one another for social support. (Dolan & Ender, 2008) Due to this, soldiers may be aware of issues other soldiers face. Despite this, it may be difficult for leaders to have friends come forward about other soldier's issues. First, off due to horizontal cohesion, soldiers may attempt to help other soldiers without involving the leader. Second, it does not only require vertical cohesion between the friend and the leader, it also depends on the friend's perception of the vertical cohesion between the soldier who is having problems and the leader. This is a complicated relationship and soldiers may not want to be involved.

The final source is family and friends outside of the unit. First, there must be a channel of communication between the soldier's social network and leaders. The leader must be actively engaged in boundary spanning. Boundary spanning consists of the efforts the unit makes to coordinate efforts and manage relationships outside of the unit. (Marrone, 2010) A majority of these efforts are likely through the Family Readiness Group (FRG). These efforts are critical in not only establishing the link between leaders and social networks, but also building a relationship. If the social network fears there will be negative repercussions to their actions, they are unlikely to come forward with information.

Question 6: Once a soldier is identified as potential high-risk, what mitigation steps are taken?

With respect to the six major risk areas discussed in Chapter 2, leaders are unlikely to be able to successfully assist a leader in every area with every problem. Because of this, team boundary spanning, at the company level, is a critical element to success. Team boundary spanning focuses on how leaders within the company connect with individuals or groups outside of the company in order coordinate

efforts or find information in order to meet soldier needs. These activities are drivers of team performance and organizational innovation. (Marrone, 2010).

The first approach to boundary spanning is with support services available to assist soldiers. As leaders gain familiarity with these support agencies, they will be able to rapidly provide quality information to soldiers in need. Additionally, the more familiar leaders are with support personnel, the more likely they will refer soldiers who need assistance. Finally, leaders will become more innovative in their solutions to soldier problems the more familiar they become with the available support agencies. Boundary spanning is not only with support services. It is also important to reach out to family members when attempting to mitigate potential high-risk soldiers. Many of the issues addressed, directly impact families. Having familiarity and being able to reach out to individuals is vital in developing tailored solutions, specific to the individual soldier needs as well as garnering support from those who are closest to the soldier who is having problems.

Question 7: Following a high-risk event, how what considerations are taken during the response?

When a soldier is involved in a high-risk event, leader attention is focused on the event and the circumstances surrounding the event. The soldier is put into contact with appropriate support agencies and leadership determines what they believe is the appropriate response. All situations are handled differently, some require medical attention, others disciplinary, or both. While this is understood, the effects of the leadership decision in the response are critical with respect to organizational justice. Organizational justice revolves around the perceptions by employees that they are being treated in a fair manner. (Moorman, 1991)

Within organizational justice, there are three categories. The first is distributive justice which based on the appropriateness of the outcomes. This breaks into the subcategories of equity of rewards based on contributions, equality of outcomes for each employee, and meeting specific needs based on individual situation. The second category is procedural justice which is the suitability of the process. This type of justice is built on consistency among employees, there is no bias, decisions accurate information is used, representation of concerned stakeholders, the opportunity for correction and ethical. The final component is interactional justice which is the appropriateness of treatment received from authority.

Here individuals are treated with respect and relevant information is shared with others. (Cropanzana, Bowen, & Gilland, 2007)

The fairness of response is critical for the long term sustainability of the program because it ties into the concept of organizational citizenship.   Organizational citizenship are the behaviors within an organization which are outside formal role requirements, where individuals assist others within the organization in order to support the other individuals or the organization, occasionally, at the individual's expense. (Smith, Organ, & Near, 1983) Organizational justice has a direct effect on organizational citizenship behaviors. If individuals believe there is organizational fairness, they are more likely to engage in organizational citizenship behaviors. (Messer and White, 2006, Moorman, 1991)

This relationship is critical when determining an adequate response. The first consideration must be the response to the specific high risk event. If an individual is treated to harsh or light, other soldiers within the company may feel the soldier is not being treated fairly and as a result citizenship behaviors decline. In addition to the impacts on the soldier involved in the event, there may also be backlash against changes in policies and procedures in response to what soldiers feel is a specific and isolated event.

Question 8: What is done to ensure alignment in the company?

In order to ensure alignment of within the organization, these behaviors need to become part of the organizational culture. Culture is defined as "a pattern of basic assumptions, invented, discovered, or developed by a given group, as it learns to cope with its problems of external adaptation and internal integration, that has worked well enough to be considered valid and, therefore is taught to new members as the correct way to perceive, think, and feel in relation to those problems". (Schien, 1990, pg.111)   Culture is developed over time as a group works together. It is formed around responses to critical incidents as members begin to identify with leaders. As leaders initially assert their beliefs, and as the group identifies successes based on those beliefs, the culture begins to form. (Schien, 1990) Initially, the leadership needs to ensure that all within the organization understand that soldier welfare is a leader task. If a leader within the company does not believe high-risk soldiers are a leader's responsibility, or is uncertain, there are three potential reasons:

- Higher level leaders do not prioritize high-risk soldier management as an important aspect of leadership.
- The message may not be communicated adequately,
- The command team does not demonstrate the need to care for soldiers within their command through their actions.

The first failure discussed is aligned with a core Army leader task, which is to provide direction, guidance, and priorities. (U.S. Army, Field Manual 6-22). The direction provided by leaders is beneficial because it allows followers to identify options in order to achieve defined goals. The ability of the command team to provide a clear, challenging, and consequential view of future provides three benefits; it energizes followers toward a common goal, it orients the followers in a certain direction in order to coordinate their actions with the organizations goals, and it engages the individuals to utilize their skills and abilities. (Hackman, 2002). When leaders provide direction, members of the organization become more proactive and adaptive. (Griffin, Parker, & Mason, 2010) When providing direction, leaders must focus on the ends, not the means, but provide limits in which members of the organization can operate between. (Hackman, 2002) These principles are similar to what is outlined in FM 6-0: Mission Command. The command team must provide direction to leaders within the company in order to engage, energize, and orient onto a common goal of ensuring soldier welfare and discipline. Once this is done, it is critical for the command team to allow leaders to act and provide coaching to leaders when necessary.

The second potential failure is that the command team did not adequately communicate (U.S. Army, FM 6-22) the established direction. A potential cause of this is a failure to secure organizational commitment through a shared vision. In order to assist in gaining acceptance of members of the organization, the command team should consult with members of the organization to secure commitment (Hackman, 2002). If the vision and direction is held only by the command team, it is unlikely to mobilize the organization for action. (Senge, 1990) For example, if the command team fails to secure the commitment of platoon leaders in acceptance of the direction of the company, this will unlikely flow down to the squad leaders and soldiers in the squads. Another potential cause of a communication failure is an unclear direction which does not provide a clear sense of what must be accomplished. A "tangible" image which is both real but aspiring is required to ensure understanding is known within the organization. (Collins, 1991) The final reason for a failure in communication is a lack

of captivation in the message which excites individuals within the organization to take action. (Dessler, 1999)

The final potential failure is the failure to "lead by example". (FM 6-22 pg. 7-1). Assuming subordinate leaders look at the command team as successful individuals, they will look to them as examples of positive behaviors and may attempt to learn from and emulate their actions in order to improve. (Wood, 1989) Therefore, if the command team fails to communication their expectations of the members within the organization, they need to demonstrate this direction through their actions.

In order to be truly successful, all three are needed. If direction is established and is communicated, but not demonstrated by the command team, they will be looked upon as hypocrites and lose support. If direction is established and demonstrated, but not communicated, there may be some confusion with respect to the rationale behind the motives and therefore the actions may not fully be understood. Therefore, with respect to soldier welfare and discipline, expectations must be established, communicated, and demonstrated in order to ensure leader understanding throughout the command. Once this direction is established, culture is also created based on the organizations response to critical events. It is reinforced by leaders through the organizational structure, policies and procedures, cultural artifacts. It is also preserved with the entry of new members through the socialization process in the organization. (Schien, 1990)

Question 9: What programs/processes/training do you identify with soldier health and welfare?

This question looks to identify the specific programs, processes, and training performed at the company level. This is to be compared to the programs outlined in Chapter 2. This question hopes to identify if leaders are looking at all the programs holistically, or considers specific programs unique to soldier health and welfare.

Question 10: What would you do to ensure all potential high-risk soldiers are identified and high-risk events are eliminated?

This allows respondents to discuss anything that has been missed and provide specific input on what could be done to improve the company's performance.

3.5 Summary

The company is a complex system, or enterprise. There are a series of complex exchanges between leaders, subordinates, and outside groups which are critical to ensure soldier well-being. In order to manage these exchanges, there must be a robust series of processes and procedures ensuring soldiers are being cared for. This chapter provides the understanding of the enterprise and identifies the questions to be answered to fully understand how the enterprise operates. Once answered, a better understanding of the shortcomings of the system can be identified and solutions can be developed.

Chapter 4 – Results

The interviews were conducted with multiple company level leaders. These individuals recently held positions of Squad Leader, Platoon Sergeant, Platoon Leader, First Sergeant, and Company Commander ranging from 2011 to the present. There were many trends that emerged from these interviews which will be discussed below.

4.1 Definition of High Risk Soldiers

The two questions were developed to understand the mental model of leaders with respect to high-risk soldiers and the responsibilities of leaders. Although leaders could not recite the definition of high-risk soldiers verbatim, but they all provided a similar definition. There was little delineation between potential high-risk and high-risk. For the most part, they are lumped together in the general term high-risk soldier. Soldiers were labeled as high-risk for a "full gamut" of issues. These issues include to, but aren't limited to difficulties coping with being away from home, difficulties in making sound decisions, skydiving, substance abuse, family problems, etc. While this broad definition ensures leaders are attempting to identify nearly any issue affecting soldier welfare, it is also likely to be a time consuming event, with many soldiers considered high-risk, despite likely variation in the magnitude of the issues.

4.2 Critical Leaders at the Company Level

As far as the leaders were responsible, there were differing opinions.   The most common response for who is responsible is company commanders because commanders are responsible that everything that happens within the company. Company commanders ultimately drive the priorities within the company. If the commander prioritizes soldier welfare and puts systems in place to ensure soldiers are being taken care of, it is more likely to occur. This is a rational assumption in a hierarchical organization like a company. While it is understood that the commander sets the conditions for success for the unit, it is also realized that it is impractical for the commander to be the sole executor of the soldier welfare programs and others must assist.

Much of the implementation and execution of the program is on first line supervisors, primarily squad leaders. Many of the leaders interviewed identified squad leaders as the critical link in ensuring the well-being of soldiers. This is due to the fact they have the most day to day contact, and ideally, the closest relationship with the soldiers within the leadership structure. Leaders placed a strong emphasis on regular contact as a critical factor in identification of soldier issues. Interestingly, some leaders did not place responsibility on the squad leaders because they did not feel they were equipped to handle

many of the situations they would encounter. This provides an interesting insight of some of the issues facing leaders at the company level. Ideally squad leaders are responsible for high risk soldiers due to their proximity to soldiers, but not all are prepared for the duties imposed upon them for a multitude of reasons. This highlights the need for additional professional development requirements for junior leaders, particularly with respect to soldier welfare.

There were additional responses as well, but not as common. The first to discuss is the unit first sergeant. Many leaders view the first sergeant as the primary role model for enlisted soldiers within the unit. Although the company commander is ultimately responsible, there is a perception that soldiers can more easily relate to the first sergeant. Due to this, cohesion between the commander and first sergeant is seen as critical to ensure there is a unified direction for the company, and not a culture of "officers vs. NCOs". Another interesting dynamic is the proper role for the first sergeant. One squad leader stated that the best first sergeants know that first sergeants "should no longer take the role of the enforcer as it has always been. He is the liaison to his Soldiers." While it is unlikely that first sergeants will no longer play a role in the discipline of soldiers, there needs to be a balanced approach. First sergeants need to be an honest and responsible broker to ensure the all soldiers within the command are treated fairly and with respect. If a soldier perceives he is not being treated fairly or with respect by the squad or platoon leadership, the soldier needs to be able to trust the first sergeants to assist. Without this, soldiers may feel there is no one to help at the company level and may not be comfortable asking for help from leaders outside of the unit. Therefore the critical role for the first sergeant with respect to soldier welfare is to establish a safe environment for soldiers to seek assistance and to work with the commander in establishing and implementing the priorities and direction of the company.

Finally, the other leaders mentioned were the platoon leader and platoon sergeant. While not as important in the macro level as commander or first sergeant, or as important at the micro level as squad leaders, they act as the bridge between the company leadership and the squad leadership. They are often the ones to communicate the intent of the commander to the lower levels, have more experience and maturity than many squad leaders, and therefore provide guidance and assistance to these leaders. The primary purpose for the platoon leadership is to provide assistance to squad leaders in ensuring soldiers is taken care of.

The lack of a consistently similar answer is important because it demonstrates that it is not up to a single leader to ensure soldier welfare.   It is truly a team effort requiring all levels of leadership. The command team must provide create an environment which supports and develops junior leaders, establishes a culture where it is soldier welfare is important and develop systems to ensure tasks associated with soldier welfare are executed. Platoon leadership must implement the systems and support the culture established by the command team as well as provide necessary assistance to squad leaders. Finally, squad leaders must build relationships with soldiers based on caring and trust in order.

4.3 Opinions on Leader Responsibility

The motivation of leaders with respect to soldier well-being is somewhat mixed. Leaders do not like being involved in personal matters of soldiers, but want to help because they care about the soldiers as people and it considered part of their job as leaders. Therefore, leaders do not want to be involved, but they ensure they are.

A majority of leaders discussed the fact that they want to help their soldiers because they care about them as people, and want to see them succeed. One commander said his soldiers were "like his kids" because of the strong bond and sense of responsibility he held for them. Multiple other leaders had a similar perspective during this discussion. Despite their general reluctance to be involved in personal issues, they would if it meant ensuring the well-being of the soldier. This demonstrates the power of vertical cohesion, and it is not unidirectional from subordinate to leader, but it is bidirectional from leader to led and led to leader.

While leaders felt responsible for helping soldiers, it was often conditional. The primary condition placed on this sense of responsibility was that the soldier who needed help needed to care as well. There is a significant time requirement imposed on leaders when assisting soldiers and leaders do not want to utilize their time on individuals who don't care. Again this can be a byproduct of vertical cohesion. The leader does not feel the loyalty or sense of commitment from the soldier who needs assistance, and therefore does not want to utilize limited resources on this individual. This can become a reinforcing degradation of vertical cohesion when an event occurs, the leader perceives the soldier to be uncaring, therefore does not want to utilize resources on the individual, and the leader is then seen as uncaring which leads to more issues. This continues until the individual is no longer part of the unit.

There also seems to be some natural tensions from leaders with respect to the morality of obligation and aspiration. Many leaders feel obligated to meet the requirements placed on them such as completion of SLLRT and high-risk matrix. This ties into the morality of obligation as discussed before. Individuals do what their duty is. They understand that a checklist of questions to ask soldiers is not the best way to learn and successful leaders can achieve the same or better effects through other means but may not have the resources or abilities to do this, or train leaders in their unit to do it. Here morality of aspiration is utilized because people want to do well, and they are driven to perform the actions of good leaders. Therefore, they settle for meeting the requirements set upon them and hope that leaders within the unit will take the extra step on their own.

The difficulty lies in determining the motivation of these leaders. There may be some bias in these answers due to the desire to appear as more caring. A more robust interview process would be required in order to accurately gauge the underlying motivations of leaders, but this provides insights to the actions leaders take. For example, a leader utilizes the SLLRT because it is perceived as a mandatory requirement. It is difficult to parse out if the leader is performing the action because he is rule following, or because it is identify conferring. Ultimately it can be both. In order to avoid negative repercussions a leader can utilize the SLLRT and meet the requirement. If the SLRRT becomes the group norm and the leader judges the completion of the SLRRT as a requirement to become a quality leader, the SLRRT is then identify conferring.

When vertical cohesion is present, leaders naturally want to take care of their subordinates. This seems to be internalized in the leaders as a cultural norm within the Army. With this being said, the absence of vertical cohesion, there is limited desire on the part of leaders to help soldiers through their issues. These leaders relate ensuring soldier welfare as a quality of a solid leader, but did not feel all leaders saw it this way. These leaders who did not ensure soldier welfare were viewed as toxic leaders, only caring about mission accomplishment that did not care about the welfare of their subordinates. Therefore, it is critical to foster vertical cohesion within units and to train leaders to better relate with subordinates.

4.4 Maintaining Low-Risk Soldiers

This was an area of weakness during the interviews. A majority of the responses focused on identification and mitigation, which will be discussed in more detail in the following sections. Leaders

were unable to readily associate the benefits of cohesion in the prevention of conditions such as PTSD, stress, and substance abuse. The discussions on cohesion normally related to the ability to identify issues, or to have a soldier come forward with issues.

With this being said, there were indirect references to cohesion as a driving force maintaining low-risk soldiers. There was some discussion that the unit culture and command climate had on impacting soldiers and their well-being. Leaders felt that there is a direct relationship the unit culture and climate and the number of high-risk soldiers. This relationship was likely mediated by cohesion established by the unit culture and climate. The culture and climate foster a sense of cohesion, and as long as group norms were aligned with soldier welfare, there were a decrease in issues at the company level. Once these soldiers began to identify with the unit, and positive norms were established, the message could shift from 'here are the rules, make sure you follow them', the message now became, 'you know what's right, keep up the good work.' This slight shift in messaging is important because the message was no longer rule following, it was identity conferring. This reinforces the mutual trust between leaders and subordinates and appeals to the soldier's sense of professionalism and desire to be a good soldier and member of the team.

This is continued to be reinforced through horizontal cohesion. Soldiers, who became friends at work, became friends outside of work. Therefore the norms established at the unit level, may follow to the social level, continuing to minimize issues. Despite the positive effects of horizontal cohesion at the company level, it may create other issues, if the soldier has a family. The cohesion at the unit level may create a tension between the soldier and family members.

Again, cohesion is important, but it is not necessarily recognized as a critical aspect. The leaders interviewed did not recognize cohesion as a source of improving soldier welfare. There was recognition that units which were considered "good" were less likely to have problems with high-risk soldiers. This was often attributed to unit culture, command climate, and cohesion depending on the individual. The inability to specifically identify cohesion positive driver of soldier welfare could be for a multitude of reasons. Some are provided below:

- Lack of education or training on the benefits of cohesion
- Inability to measure cohesion

- Lack of command focus on developing cohesion

- Belief that cohesion may only develop naturally, and therefore cannot be forced

- Inability to attribute cohesion to soldiers remaining low-risk

- Lack of importance of cohesion in evaluations and awards

Unit cohesion is a critical factor in the prevention of high-risk events, but it may not be well understood by leaders. It is unlikely it will be immediately recognized until some of the factors identified are addressed though training and incentive structure.

4.5 Identification of High-Risk Soldiers

The identification of high-risk soldiers is the primary focus of leader action at the company level. A majority of the interviews were focused on identification. A key element identified by leaders is the relationship between the leader and the subordinate. Without a positive relationship, leaders cannot identify issues because they do not know the soldier, and at the same time, soldiers need to trust leaders with personal information. Leaders also paid significant attention to the process of identifying high-risk soldiers and the tools and trackers utilized.

4.5.1 Identifiers

First, the primary sources of identification leaders utilize are soldiers self-reporting and leader identifying an issue. These were seen as the most reliable sources. There was some skepticism on utilizing friends or family as a primary identifier of information. Friends could not be trusted as a reliable source of information because most leaders did not expect them to come forward. If they were able to receive information, it was usually valid, but there are difficulties in having soldiers come forward. A majority of leaders believed soldiers did not come forward about problems another soldier is having because they did not want to be labeled as a "snitch" or a "rat". This is an understandable scenario and difficult for leaders to change. Instead of relying on other soldiers as a source of identification, it was recommended to use them as an additional source of support for potential high-risk soldiers, a byproduct of horizontal cohesion. Any identification from other soldiers should be considered a bonus.

Many leaders had concerns with using family members as sources of identification as well. Opinions were varied based on their previous experiences. Some leaders had positive results with family member identification. More often, leaders had negative experiences with family members. This is primarily

because it turns into an investigation on the part of the leader, often turning into a "he said, she said" scenario with the leader attempting to find the truth somewhere in the middle. The leaders with successes with family members as identifiers did not have this scenario as the soldiers readily admitted to the problems their spouses brought forward. Leaders should utilize family members as a source, but again, should not rely on it as a primary source of identification, only a bonus.

4.5.2 Drivers of Identification Focus

As mentioned above, the primary focus of leaders is identification. There are multiple drivers of this based on insights gained during the interviews. While identification is critical because issues will arise, it seemingly consumes the efforts of leaders, leading to the neglect of prevention and mitigation. At the same time, prevention is seen as synonymous with identification. The general assumption seems to be is that if an individual is identified, an incident is unlikely to occur. Below are some of the drivers:

1. Identification is Tangible: A leader can judge success or failure on the identification of a high-risk soldier. High-risk soldiers identified can be counted and judged as a part of being a "good leader."

2. SLLRT: Many of the leaders interviewed discussed the SLLRT extensively. While the Army advertises it as a "tool" to assist leaders, it has morphed into a requirement for many units.

3. High-Risk Matrix: This is a reporting too used to track the soldiers who are considered high-risk in a unit. This now creates a reporting requirement for units. Units now must attempt to identify soldiers with issues in order populate the high-risk matrix.

4. Situational Awareness for Leaders: There was a general perception that bosses do not like surprises. Therefore leaders focus on identification in case of an issue so surprises do not show up on the blotter report.

5. Places the Onus on Soldier, not Leader: If the soldier is identified as high-risk and counseled, many leaders felt they would no longer be held responsible for a soldier's actions.

6. Quantitative Focus for Incentives: Evaluations and Awards are full of quantitative data therefore there is a natural inclination collection of data and numbers for comparisons.

Ultimately, this drive to identify high-risk soldiers may exacerbate other issues. If a soldier feels he is being interrogated because the leader needs to check the blocks on the SLRRT, the soldier can easily game the system to be identified as low risk. If the soldier does not want to be added to a roster full of high-risk soldiers, he is unlikely to be honest. This problem was identified in the Red Book, but there has

been little done to address it. If soldiers perceive leaders are being invasive for the sake of reporting, there is likely to be a decrease in cohesion and problems. Therefore, it may be more important for leaders to focus on building cohesion than it is to complete questionnaires and to fill out matrices.

4.6 Mitigation

Leaders are cognizant of their limitations in providing soldier care. They realize they are not mental health providers, financial consultants, or social workers. Therefore, there has been significant attention paid to boundary spanning, and ensuring soldiers who need assistance outside of the scope the chain of command can provide are referred to the right providers. Leaders stated the general ease at which they can find providers. Worst case scenario, they need to make a few phone calls in order to coordinate. Despite this, there are a few challenges. There appears to be a general perception that once a soldier is referred to a provider, the leader can then abdicate responsibility of the soldier's problem. Many leaders discussed successes getting soldiers to the right provider, they were less likely to discuss follow up and ensuring the soldier follows a plan of action provided by the provider. Leaders appear to lose visibility on the issue once referred to a provider. It seems as if there is some room for enhanced coordination between leaders and providers. For example, a soldier with financial issues may see a counselor. The leader may assume the counselor is now responsible for assisting the soldier. At the same time, the counselor assumes he just needs to assist in the plan of action and is not concerned with follow up. The soldier financial issue may or may not be solved, but each party, the leader and the counselor assume it complete. There is room for enhanced coordination and understanding of the responsibilities of the counselor and leader to be gained.

Additionally, there are still significant issues with communication between providers and the chain of command. One commander told a story of a soldier who committed suicide in his unit. The chain of command identified the soldier with an issue and the soldier was referred to behavioral health and was seeing a provider. Ultimately the soldier shared some information with the provider, which the command did not know about, and therefore could help the soldier with. The provider did not alert the chain of command to all the issues surrounding the soldier. The commander feels that they may have been able to provide more assistance to the soldier if they had more complete knowledge, but they did not because it was protected by HIPPA. If leaders are expected to be held responsible for the actions of individuals within their unit, this patient protection makes it more difficult.

4.7 Response

Leader feedback in the response phase revolved around the ramifications on the group following a high-risk event instead of the perception of fairness in punishment on the soldier, as initially designed in the questions. The response phase is a highly charged period which requires significant leader resources to manage. Additionally, there are often perceived overreactions to events that are felt outside of the unit in which the incident occurred.

For example, one lieutenant discussed a professional development session with the unit's brigade commander following a string of high-risk events in the brigade. The leader did not feel it was very effective because it was a one-time training session in response to incidents. If it was part of a continual series of professional development sessions, he would have been open to it. This leader felt that a PowerPoint class is unlikely to be a beneficial source of professional development.

Another leader spoke of the requirement to update SLLRT questionnaires in his battalion following any incident. This eliminates and preconceived notion that the SLLRT is a tool, and becomes a requirement for leaders to accomplish.

Another company commander discussed the crush of requirements placed upon the commander during following an event. Because of the significant reporting requirements to battalion and brigade, the junior leaders are essentially pushed out of the way, and the commander becomes directly involved in the situation. This has multiple effects. First the company commander is no longer able to perform any duties. Additionally, it sends a message to junior leaders that they are not competent, and need someone to do their job for them. Neither is beneficial in the long term to the unit.

4.8 Alignment within the Company

As stated earlier, the culture and climate established by the command team are critical drivers of soldier health and welfare systems at the company level. Leaders paid particular notice on the actions of leaders, more than the words of leaders. Leaders saying that taking care of soldiers is important are common throughout the military, what soldiers need to see are actions supporting the claims.

Due to this, communication of the message is not as important as the prioritization of high-risk soldier management by provision of resources and the demonstration of caring by leaders. One of the primary examples of prioritization by leaders is high-risk synchronization meetings at the battalion level. One

commander discussed the value in these meeting for a few reasons. The simple fact it is a scheduled meeting demonstrates the importance the battalion commander places on the meeting. The high-risk meeting is a forcing function for leaders to ensure they are involved with subordinates. Additionally it ensures leaders have an understanding of their soldiers' issues. It also provides leaders the ability to share information and lessons learned with other leaders. This forces the company commander to do the same at the company level, which has the same effect down the chain of command.

Another vital aspect is to lead by example. One captain discussed his development as a leader when he was a young lieutenant. He did not regularly interact with soldiers outside of required interactions for work related purposes. He modeled his behavior off of the company commander who did not engage with soldiers on a regular basis. When commanders switched, the new commander was more outgoing and would engage soldiers more often and informally. He noticed the positive effects of these interactions and began to model his behavior off of the new commander's behavior. He found this to be beneficial in building relationships with soldiers, or vertical cohesion.

4.9 Programs at the Company Level

Although there are multiple programs which relate to soldier health and welfare, many leaders do not connect the dots. When asked about the programs, most leaders could name one or two programs, but most did not view the multiple programs the army provides as being important to soldier welfare. Many of these programs are considered independent programs and not a holistic approach to ensure soldier welfare.

Most leaders feel that many of the programs are beneficial; they wish the training was more efficient. For example, 350-1 training is almost universally viewed in a "check the block" manner. In order to meet all requirements and save time, units do mass training sessions using power point slides in order to meet requirements. Although leaders understand these training events have some value, they realize the method of presentation is flawed, and is therefore not worth putting a significant amount of effort into, when they have other requirements which are viewed as more vital to their success.

Although they feel there are too many programs, some important programs which are not as easy to institute, such as counseling suffer. It was nearly universal that counseling was important to develop soldiers; unfortunately, many individuals did not feel that counseling was prioritized. Quality counseling

takes time to develop and quality counseling session take more time. Almost no leaders had time dedicated in training schedules to counseling. An example training schedule is provided in Appendix F. This increases the perception that it is not as important as other things.

4.10 Other Issues Identified

Outside of the answers to specific questions, other related issues were also identified during the interviews. These are important to truly identify dynamics of the entire system.

4.10.1 Operational Focus

A common theme throughout the interviews there is a divided between operations and soldier welfare within units. The leadership of a unit is what begins to shape the culture of the organization. Many interviewers discussed the spectrum in which a leader can operate. On one side of the spectrum is operational focus. Here a leader is focused on accomplishing the mission regardless of the impact on soldier welfare. On the opposing end of the spectrum, are leaders who are primarily focused on the welfare of soldiers, and therefore may not meet all operational tasks because they feel it will come at the expense of soldier welfare. The perception is that the truly talented leaders can balance both in order to maximize operational effectiveness, and at the same time, ensure the welfare of soldiers within the unit, but they are the exception and not the norm. This phenomenon also been identified in the yellow book.

4.10.2 Quantitative and Short Term Incentive Structure

One of the primary drivers of this behavior is that in order to be qualified as a good leader, you must have the data to back it up. Evaluations and awards are littered with quantitative data judging how effective a leader is. Some of these examples include number of rounds safely fired, number of safety violations, number of soldiers promoted, etc. Therefore, a primary driver of individual behavior is to be able to quantitatively demonstrate things that were accomplished. This is easy to do operationally. This is far more difficult with respect to a more qualitative assessment of climate and morale. It is much easier for a promotion board panel to judge a squad leader who 'expertly led 500 patrols in a highly contested area of operation' than it is to judge a squad leader who 'fostered a high level of cohesion' in his squad.

Another critical aspect of the operational focus is the short term benefits to operational effectiveness. If a leader steps in and is effective, it will likely benefit the leader on the next evaluation. On the other

hand, much of the benefits of insuring soldier welfare are invisible (prevention of events from occurring), or are long-term (developing quality leaders for another commander) and therefore will not help the leader immediately. If the leader is put under time and resource constraints, operational effectiveness will become the priority at the expense of soldier welfare activities whose benefits will not affect the current leader.

4.10.3 Lack of Leader Development

A common theme throughout the interviews is the lack of adequately prepared leaders at the squad level. Most individuals agreed that many of the junior leaders lack the expertise and maturity to adequately ensure the welfare of soldiers within the command. Despite this, there seems to be limited efforts to develop these leaders. First, many perceive the Army professional military education courses as insufficient. Therefore, there is a pressure for leader development to be conducted at the company level, but it is not being prioritized. Self-development is difficult as well because many junior soldiers are not disciplined enough to attempt to professionally develop on their own and many are incentivized to take college courses instead of focus on their development as leaders in their own time for achieve both personal and professional goals.

4.10.4 Absence of Mission Command

There is a general feeling that mission command is for deployments and does not apply to garrison. The flood of requirements, combined with the limitations of time in a week, create the impression that if it is important, someone will tell the leaders at the company level to execute. Therefore, many leaders wait for instructions and initiative is stifled. Company level leaders are continually told that they do not understand 'garrison leadership' and therefore they wait for directions from those who 'understand'. This creates a cultural clash between leaders who have only known the high-optempo Army of the past 13 years, and the senior leaders who spent much of their company level time in the garrison centric Army. Many company leaders possess a cynical view of the intentions of higher level leaders. Many company level leaders do not feel they possess autonomy decisions based on their intimate knowledge of their organization.

Company level leaders feel there is a greater focus on tasks to complete than end states to achieve. Many units get overly focused on the mechanics of the processes instead of the objectives the processes accomplish. This is particularly true with respect to high-risk soldiers. Instead of focusing on the end state of ensuring the health and welfare of the soldiers within the unit, the focus is on the tasks to be

completed such as the SLLRT, High-Risk Counseling, and High-Risk Matrix. This assumes that the completion of these processes will lead to the desired outcomes of the absence of incidents. While these may be beneficial, the focus on these tasks may pull resources away from other programs which could be beneficial. Unfortunately, leaders lack the ability to experiment with new approaches. Because of this, innovation within units suffers. Leaders don't have the time to develop new and innovative solutions to solve the high-risk soldier problem; they are just managing the current system of tasks.

4.10.5 The Last Resort – The Safety Brief

Every unit conducts a safety brief to attempt to influence soldier decision making over the weekend. Usually the commander will speak to the unit, and remind them to be safe. Most safety briefs entail reminding soldiers to drink responsibly, not to engage in risky behaviors, and to look out for their friends. While the speeches to not differ, the effects may be different, and that largely depends on the individuals within the unit's perception of the commander. The basic logic is if a soldier feels the commander cares for him during the week, he will assume that the commander also cares about him during the weekend and will listen. Not all will follow, but it will likely register with the soldier. On the other hand, if a soldier does not feel a commander cares about the soldier during the week, the commanders motives for the safety brief are selfish (want to stay off the blotter), and the soldier won't pay attention.

Chapter 5 – Analysis

With a better understanding of the design of the system (Chapters 2 and 3) and the actual performance of the system and the mental models of stakeholders within the model and analyze to help identify changes to policy which will have beneficial impacts throughout the system. First we must gain a better understanding of the term policy resistance.

5.1 Policy Resistance and Dynamic Complexity

Analyzing the company as a complex system allows us to determine the second and third order effects of policy decisions. There are often unintended ramifications of even the most well intentioned policy measures. These ramifications are known as policy resistance. Policy resistance must not be confused with resistance to policy. Resistance to policy is the opposition of a policy due to a multitude of reasons. Policy resistance provides an explanation of how the system adapts its behavior based on the strategies and programs implemented. (Sterman, 2000)

Policy resistance occurs when there is not a full understanding of the effects of decisions on the system. Many policy decisions are based on a linear perception of the world and events. The Figure 13 below demonstrates an example. ((Sterman, 2000)   An example is the SLRRT. The goal is to prevent soldiers from performing high-risk activities. The situation is high-risk events are having an impact on the readiness of the force. The problem is that junior leaders lack the ability to adequately identify high-risk soldiers and prevent high-risk activities. The decision was then to assist these leaders by providing a tool, the SLRRT. The desired results are decrease in events due to an increase in identification.
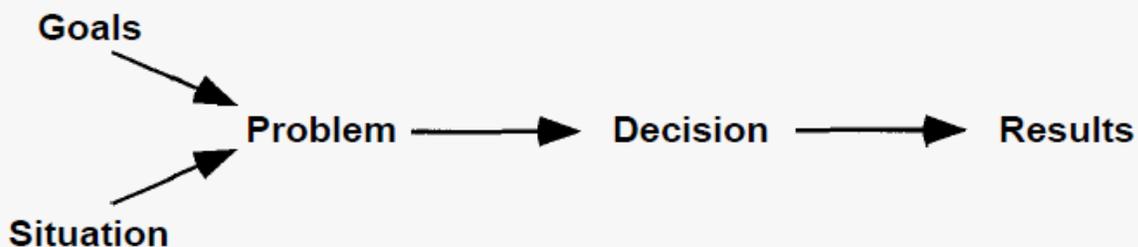

Figure 13: Liner Perspective[11]

Policy resistance occurs when this linear model is followed, and does not account for additional feedbacks operating within the system. A more robust example of the impacts of feedback is provided

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[11] Sterman, J. D. (2000) Business dynamics: systems thinking and modeling for a complex wolrd (Vol. 19). Boston: Irwin/McGraw-Hill, pg 10.

below in Figure 14. This is a far more complicated. Goals impact decisions. The decisions made create side effects, which along with the decisions impact the environment. As the environment changes, the goals may change, as well as the goals and actions of others, continuing to change the environment. Due to these feedback loops, there may often be unintended consequences of decisions. Relating this back to the SLRRT, it may still be a good idea, based on the earlier model, but its impact on the rest of the environment must be considered. For example, a side effect may be that leaders view it as an additional task to be completed, impacting the environment in which they operate. This may then change their goals to a process based approach and the accomplishment of tasks. This leads to an "interrogation" instead of a conversation, which then impacts the relationship between the individual and the soldier, further changing the environment. (Sterman, 2000)
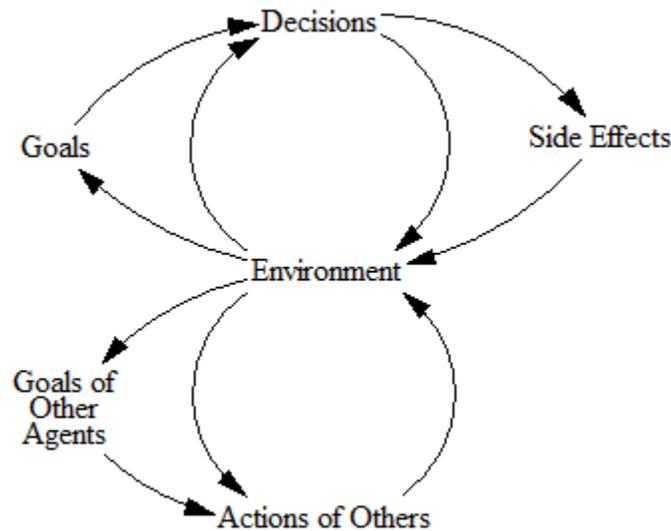

Figure 14: Feedback Perspective[12]

This phenomenon is known as dynamic complexity. Complex behaviors arise from the multiple interactions between agents over time. These effects are often amplified by delays. These delays make it difficult to attribute the unanticipated effects of a policy. Some of the characteristics of dynamic complexity include but are not limited the system's ability to adapt, counter intuitiveness of outcomes, and policies are characterized by tradeoffs. (Sterman, 2000)

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[12] Sterman, 2000. pg. 11

5.2 Causal Loop Diagrams

In order to model the feedbacks in the system described, a causal loop diagram will be utilized. A causal loop diagram connects variables using arrows to describe how one variable influences the other. A positive link indicates that an increase in the originating variable leads to an increase in the connected variable above what it would have been otherwise. A negative link is the opposite. An increase in the originating variable leads to a decrease in the connected variable below what it would have been otherwise.

A simple example is described below analyzing population. The first loop is the birth rate and population shown below. The fractional birth rate is the birth rate in people per year. As the birth rate increases, the population increases, this in turn increases the birthrate which is a function of the population and fractional birth rate. Without intervention of some sort, the population will increase exponentially because there is nothing limiting the growth of the population. This is known as a Reinforcing Loop, denoted by the R in the center. (Figure 15)
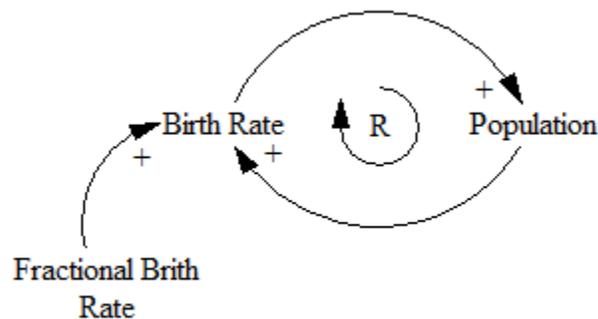

Figure 15: Birth Rate[13]

While the birth rate creates a reinforcing loop, exploding the population, we must also account for the death rate. The death rate is a function of the population and the average lifetime of the population. As the population increases, the death rate increases, and the population decreases more than it would normally decrease. Balancing loops, denoted by the B, are known for their goal seeking behavior. If the population is not added to in any manner, the loop will eventually reach zero. (Figure 16)
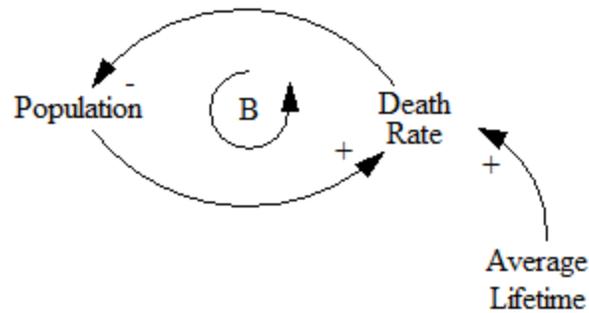
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[13] Sternman (2000). pg.138

Figure 16: Death Rate[14]

Combining these two loops creates a more interesting dynamic. The population is affected by both the birth rate and death rate. Each rate is in turn affected by the population. This is a simple depiction of the dynamic complexity of the simplest feedback loops. (Figure 17)
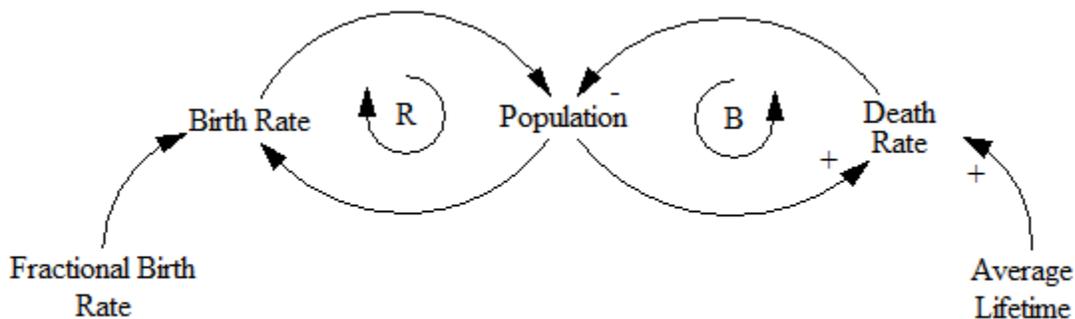

Figure 17: Population Model[15]

Understanding policy resistance, dynamic complexity and the structure of causal loop diagrams allows for the interactions within the company and external drivers to the company to be modeled and analyzed. This allows a better understanding of the higher-order effects within the system and allow for an enhanced ability to diagnose problems and develop policy which is more beneficial. (Sterman, 2000)

5.3 Dynamics of Soldier Welfare at the Company Level

There is no single cause for high-risk soldiers and the occurrence of high-risk events. There are multiple external factors in a soldier life which the Army and its leaders have no control of such as soldier upbringing and medical conditions. At the same time, there are some elements which leaders can focus on to ensure the well-being of soldiers, and ultimately affect whether soldiers will participate in high-risk

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[14] Sternman (2000). pg.138
[15] Sternman (2000). pg.138

activities. Throughout the interviews and research a few trends quickly emerged. Internal to the company, cohesion is a critical aspect of not only identification of soldier issues, but also prevention. Vertical cohesion leads to trust between the leader and the led. Horizontal cohesion leads to soldiers supporting one another. The conditions surrounding cohesion are complex and dynamic. Additionally, there are exogenous inputs into the system which drive behavior. The two major sources are the number of requirements placed on leaders at the company level and the quantitative, short-term incentive structure driving behaviors. Leaders at the company level have little impact on the impacting these.

5.3.1 Exogenous Variables

In order to fully understand how the system operates, it is critical to first understand two of the primary exogenous variables which drive behaviors at the company level. The first is the number of requirements at the company level. With respect to soldier welfare, there are multiple programs which must be managed at the company level. These are the programs associated with the whole soldier concept discussed in Chapter 2. In addition to these programs, there are also a multitude of other tasks and requirements which must be completed. This often leads to a time crunch at the company level due to the limited number of hours in a week. A study in 2002 found that there is 256 available days for training after incorporating weekends, holidays, and other unavailable days. It also found that there are 297 days of directed training. (Wong, 2002) While the requirements may not be exactly the over a decade later, the general lesson is the same.

An additional driver of this perception is that leaders feel there is more time while deployed and "doing their job". This might be more of a function of time than number of tasks. For example there are nearly three times as many hours for work related functions while deployed than in garrison.[16] This time crunch forces individuals to make more efficient use of their time and prioritize what must be completed. This leads to the neglect of tasks which are seen as unimportant or simply not checked on. The second major driver of behavior at the company level is the incentive structure. Operational excellence and readiness is the primary driver of behavior. Many feel that in order to be qualified as a good leader, you must have the data to back it up. Evaluations and awards are littered with quantitative

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[16] Garrison: 8 hours/day x 4.5 Days/Week x 48 Weeks/Year = 1,728 hours/year (Assumes 4 weeks of block leave per year, 5 day work week, and a four day weekend every month.)
Deployed: 16 hours/day x 345 Days/Year = 5,520 Hours/Year (Assumes 20 days for R&R leave and potential for 16 hour work days)

data judging how effective a leader is. Some of these examples include number of rounds safely fired, number of safety violations, number of soldiers promoted, etc. Therefore, a primary driver of individual behavior is to be able to quantitatively demonstrate things that were accomplished. This is easy to do operationally. This is far more difficult with respect to a more qualitative assessment of climate and morale. It is much easier for a promotion board panel to judge a squad leader who 'expertly led 500 patrols in a highly contested area of operation' than it is to judge a squad leader who 'fostered a high level of esprit-de-corps' in his squad. Therefore, short-term, quantifiable, operational tasks will become prioritized, and tasks which are beneficial for the long-term viability of the Army, such as leadership development, are dropped off the calendar.

5.3.2 Casual Loop Diagram

Figure 18 is a graphical representation of the system described in the previous chapters. The exogenous variables are outlined in red. This model will be discussed in more detail in the following sections.

Figure 18: Causal Loop Model

5.3.3 Analysis of Causal Loop Diagram

As requirements are increased and incentive structure is reinforced, more requirements are added and the perception that operational proficiency is essentially the only measure that matters for advancement, soldier well-being will continue to decline based on the structure of the system. This may be mitigated by skilled individuals within the system, but structurally it puts leaders at a disadvantage from the start, often, unable to make the uphill climb towards success. These two drivers force the system to adapt internally, and ultimately the unintended consequence of decreased soldier well-being enters into a series of negative reinforcing loops.

The increase in requirements requires units to become more efficient with their time. This ultimately leads the regimentation of actions in order to fit all requirements into the work week, often leaving little space for company commanders to have white space on their schedule. Platoon and squad leaders are often left with even less white space. This regimentation, ultimately leads to more work being assigned. As work assigned increases, units become more efficient and regimented, as this occurs; there is more perceived time available for work, and more work assigned. (Figure 19)
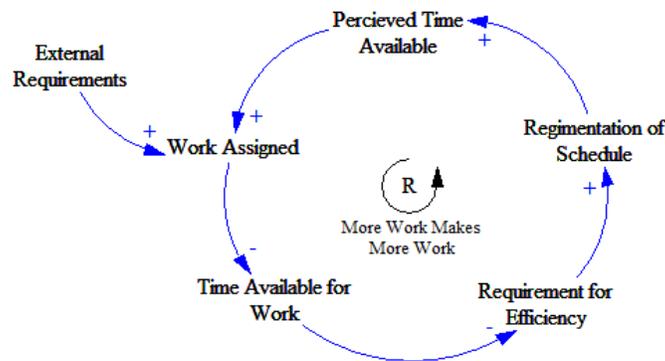

Figure 19: More Work Makes More Work

As work increases and time decreases. The natural response of the system is to take short cuts. This is done through the prioritization of tasks and the elimination of tasks which are not checked up on or deemed as important. (Figure 20)
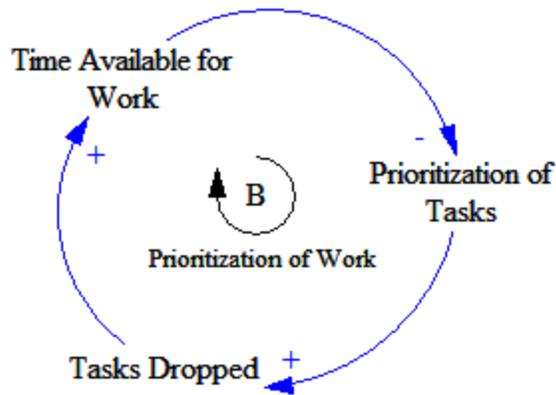
Figure 20: Prioritization of Work

Combining the effects of dropping tasks to save time and the Army incentive structure which is quantitatively based and focused towards short-term objectives, there are specific tasks that are dropped or neglected. One of the most critical tasks dropped are Leader Development tasks. The benefits of leader development are often long-term improvements and not incentivized by the current structure. Also, it is difficult to specifically attribute leader development to specific improvements. (Figure 21)
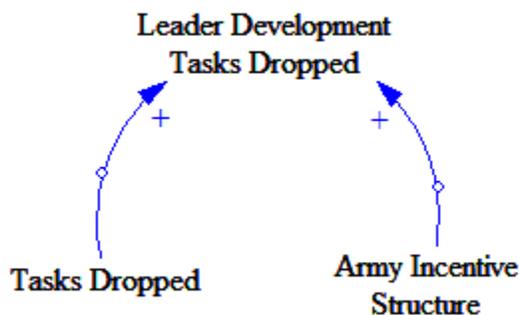

Figure 21: Leader Development Tasks

The perceived unimportance of leader development tasks is reinforced each time tasks are skipped or ignored. For example, one leader told a story how his commander said counseling was critical, demanded it was completed, but never provided time for leaders to complete it or to review the counseling for quality himself. Leaders within the unit were often forced to complete counseling late on Fridays. Ultimately, the system adapted which led to poor quality counseling and creative "pencil

76

whipping" to meet requirements. The commander established a culture where counseling the number of counseling statements was checked on, but the quality was unimportant. (Figure 22)
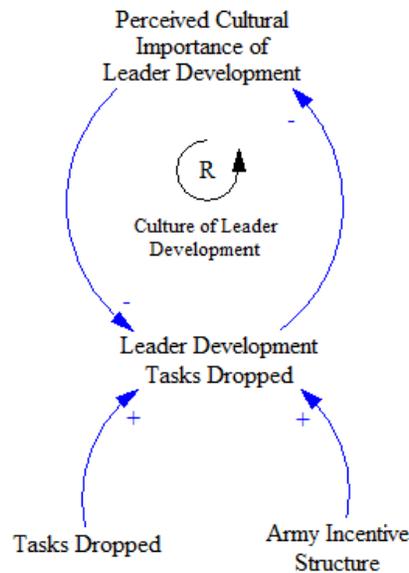
Perceived Cultural
Importance of
Leader Development

R

Culture of Leader
Development

Leader Development
Tasks Dropped

Tasks Dropped

Army Incentive
Structure

Figure 22: Culture of Leader Development

This decrease in leader development combines with two other elements to decrease junior leader learning. First, the increased regimentation of schedule as discussed above, limits leaders' sense of autonomy. Multiple leaders, from company commanders to squad leaders, lamented this perceived lack of mission command. This is exacerbated by having a generation of junior leaders who feel they were most successful while deployed when mission command was utilized. These leaders feel like task managers and not leaders. This lack of the sense of autonomy limits leader's ability to learn through experience. They cannot craft the future of their units; they just manage someone else's plan. (Figure 23)

Regimentation of
Schedule

Sense of
Autonomy

Figure 23: Regimentation and Autonomy

Another effect of the requirement for efficiency is that multiple tools are utilized to assist leaders because of their lack of time and experience. If leaders only use the tools as a checklist or task to be completed, their learning is limited, and their professional development is stunted. (Figure 24)
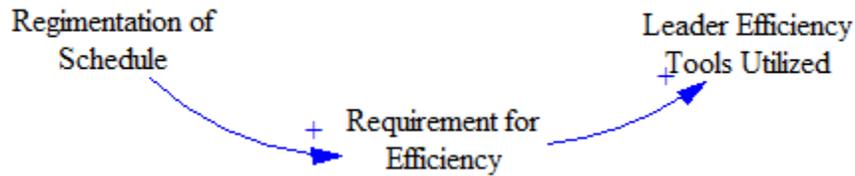

Figure 24: Leader Tools

Combining the overutilization of leader tools, the decreased autonomy, and lack of leader development training, junior leader learning has decreased, and therefore, the quality of junior leaders has decreased. Nearly every interviewee stated that junior leaders were promoted too early and are ill prepared for the challenges that these leaders face as the first line supervisors for the most at risk population. While there will not likely be a need to rapidly promote leaders with the end of the war in Iraq, drawdown in Afghanistan, and the cutbacks of troop levels in the future, the other drivers previously discussed have not changed and leaders are still not being provided the training or experience to adequately develop to meet these challenges. (Figure 25)
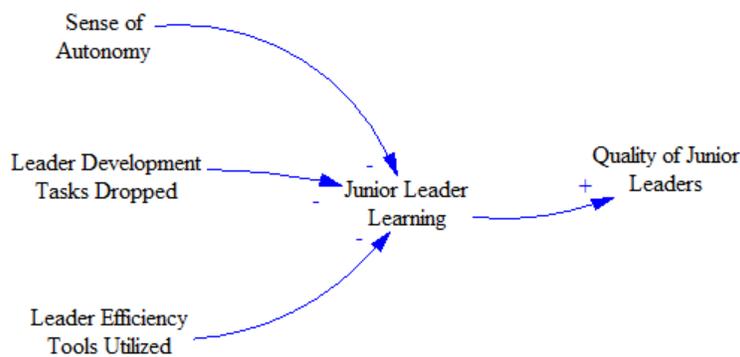

Figure 25: Diminished Learning

With the emergence of additional hours worked, regimentation, and the decrease of quality junior leaders, multiple vicious cycles materialize which lead to the continual decrease of soldier well-being. The first stems from the lack of autonomy. As leaders lose autonomy, initiative dwindles. This is likely perceived as a lack of motivation, and therefore regimentation must increase to ensure these individuals do what they are supposed to do. This regimentation comes in the form of scheduling, reports, and other tools and trackers which consume leaders' time. (Figure 26)
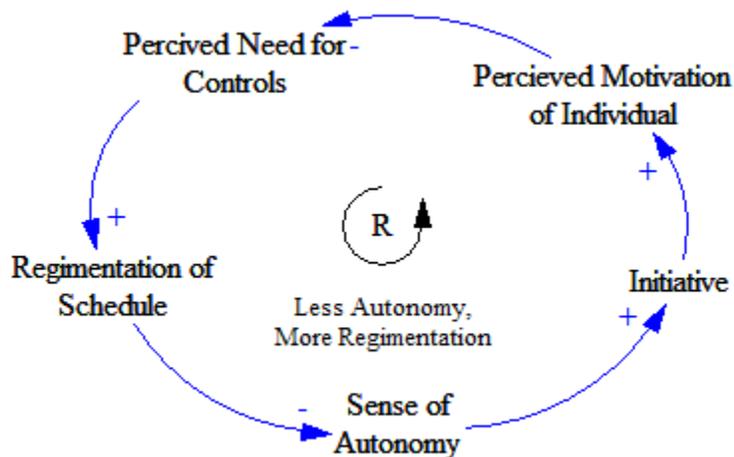

Figure 26: Less Autonomy, More Regimentation

One of the most significant impacts on the system is the diminished quality of junior leaders. As the quality of junior leaders is depleted, they are less able to build a cohesive team. This in turn diminishes horizontal cohesion and individual well-being. This diminished well-being increases the likelihood of and number of incidents. This then increases the perceived need for controls, which continues to reinforce the diminished quality of junior leaders. This is a critical reinforcing loop because of the benefits of horizontal cohesion, as previously discussed. This relationship between soldiers is critical. Due to the difficulties of utilizing other soldiers as an identifier of high-risk behaviors or indicators, it is vital to have soldiers helping one another. Therefore, the leader's ability to develop a cohesive team is important for the soldier's well-being, but also the support structure that naturally develops around the soldier. Any information on high-risk soldiers from friends within the unit should be considered a bonus, and not the norm. At the same time, the lack of leader development of these junior soldiers stunts their ability to provide assistance to their friends in need. (Figure 27)
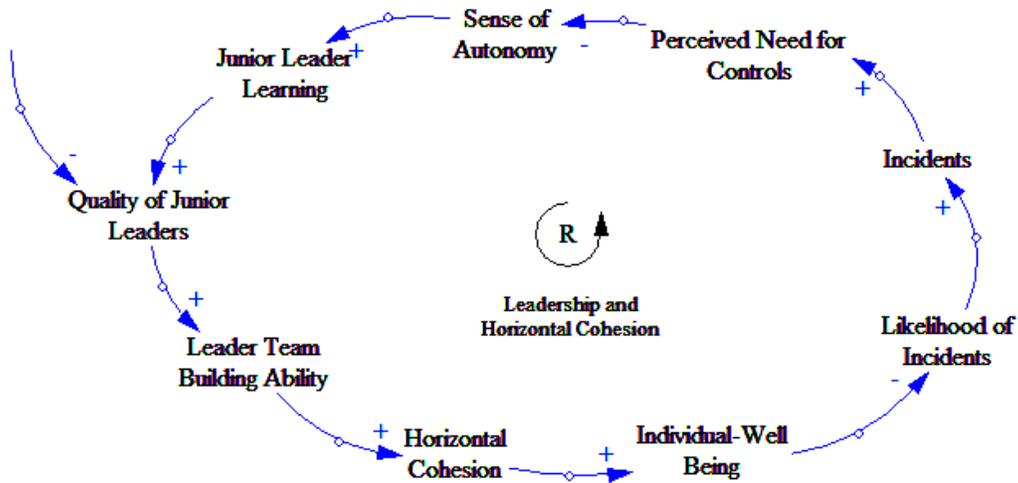
Figure 27: Leadership and Horizontal Cohesion

An additional effect of the diminished capability of junior leaders is the diminished vertical cohesion. A reoccurring theme in many interviews is that in order to identify high-risk soldiers, is for the leader to develop a positive relationship with the soldier. The benefits of vertical cohesion are two-fold. First the link between vertical cohesion and individual well-being has been already discussed. When the quality of junior leaders is diminished, a similar reinforcing look to the one depicted above occurs. (Figure 28)
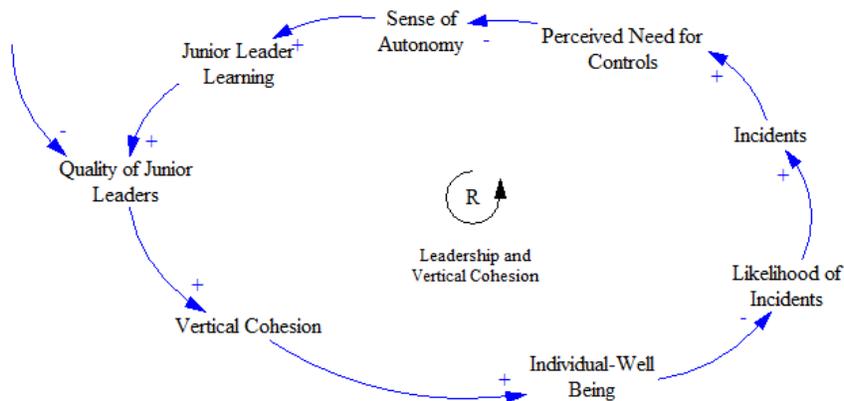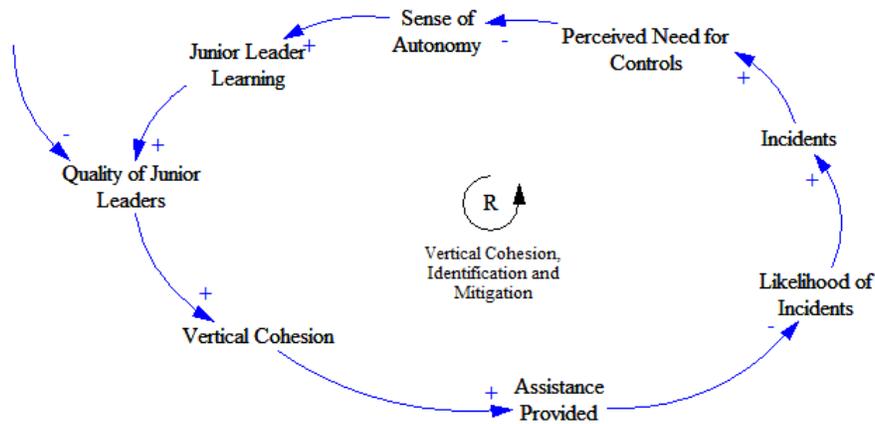

Figure 28: Leadership and Vertical Cohesion

Vertical cohesion also allows the leader to better identify issues. The leader is more likely know more details about the soldier, is more responsive to behavioral changes or cues identifying something is wrong with the soldier, and for the soldier to trust the leader to come forward with problems for

assistance. As vertical cohesion is depleted due to diminished leader quality, another reinforcing loop is established. A decrease in leader quality creates a decrease in vertical cohesion, this leads to a decrease in assistance provided because of challenges of identification described above as well as decreased leader ability to provide assistance. This ultimately increases the incidents and continues to deplete the quality of leaders. (Figure 29)

Figure 29: Vertical Cohesion, Identification and Mitigation

Despite the positive effects of vertical cohesion on well-being, most leaders associated trust and the building of vertical cohesion primarily with the identification of high-risk soldiers, and not the prevention. Therefore this is one of the most critical loops in describing the current system. The current system incentivizes leaders to identify and mitigate, or "ID and pass", as it will be referred to here. Many feel that if this occurs, they are no longer responsible for what the Soldier does. It essentially 'gets it off the leader's back.'   Some causes of this are the tools and trackers utilized, as well as the cultural disposition in which 'the boss doesn't like surprises'.

First, the utilization of the SLLRT provides leaders plausible deniability for not identifying an issue. If a leader asks a soldier all the questions, and the soldier does not provide full information, blame then falls on the soldier because the soldier was asked, but wasn't honest. Next, the utilization of the "High-Risk Matrix" provides leaders with additional coverage. If they identified a soldier, and develop a plan of action for the soldier, they are no longer responsible, and the chain of command is not surprised by soldier involved in a high-risk event. Finally, leaders realize they are not social workers, psychologists or financial advisors. If they pass on the soldier to a professional, outside of the organization, the responsibility for assisting the individual is on the service provider. While it is difficult to hold leaders

responsible for the actions outside of work for subordinates, the incentive structure drives the "identify and pass" phenomena described above. Therefore, it is important to note that desire to build vertical cohesion is primarily based on being able to identify soldiers, not necessarily improve the well-being of soldiers.

There is also a direct effect on the perceived need for controls which creates another two significant reinforcing loops. Because leaders are not seen as capable, more directives come from higher to ensure they perform their job. A good example of this is the SLRRT. As mentioned earlier, there is a belief that there has been a diminishment of quality junior leaders, particularly with respect soldier welfare. Because of this, a majority of leaders understood and agreed with the utilization of the SLRRT as a tool to assist leaders. Where they believed it has failed, is in the implementation. For example, one commander felt it was mandatory to use and if it was not used and an incident occurred, he would be punished and labeled as a poor leader.   At this point, it is no longer a "tool" but a requirement. Many leaders felt that it helps junior leaders, but more experienced leaders did not feel the tool added value, but were forced to use it anyway. At the same time, leaders continue to have their sense of autonomy stripped.   Again, this relationship between the quality of junior leaders and the perceived need for controls continues to reinforce the depletion in the quality of junior leaders. (Figure 30)
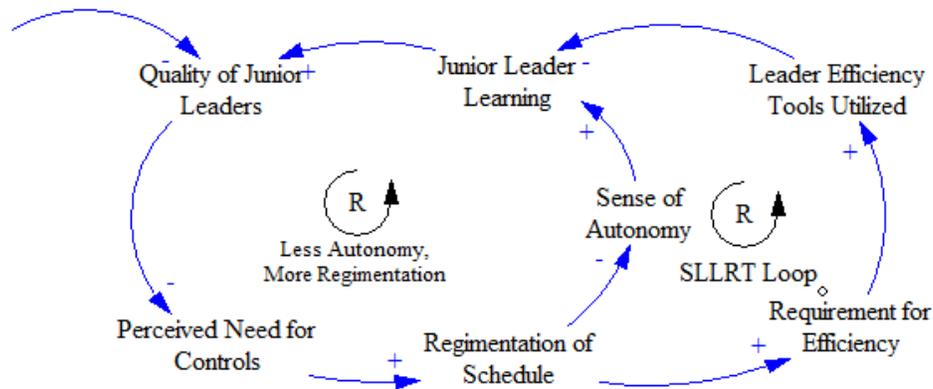

Figure 30: Downward Drivers on Leader Quality

As this regimentation continues, there is a perception of mistrust that forms between leader and led. For leaders who spent many of their formative years as leaders in a deployed environment, they have a clear picture of how they want to operate. The complex nature of deployed operations forces senior

leaders to push decision making authority down to junior leaders and trust that they will make the right decisions based on their training level and situation specific knowledge. They felt this method had led them to be successful and wish it continued in garrison, unfortunately most believe this is not the case. Many believe garrison is almost a polar opposite. A simple example of the tension felt by company leaders came from a company commander in discussing the way physical training was performed in his brigade. There was little flexibility in the time and location of physical training for this leader's unit. His perception was that while deployed, when lives were on the line, he was able to make decisions and command his unit, now in garrison, without lives on the line; he lacks the ability to adjust something as simple as adjusting the amount of time for physical training he feels his unit needs. This leader attributed this to the brigade commander's desire to control the unit and lack of trust in junior leaders to do the right thing. Regardless of the brigade commander's true intentions, but perception is reality, and the seeds of mistrust have been sown. This in turn limits vertical cohesion within the organization. (Figure 31)
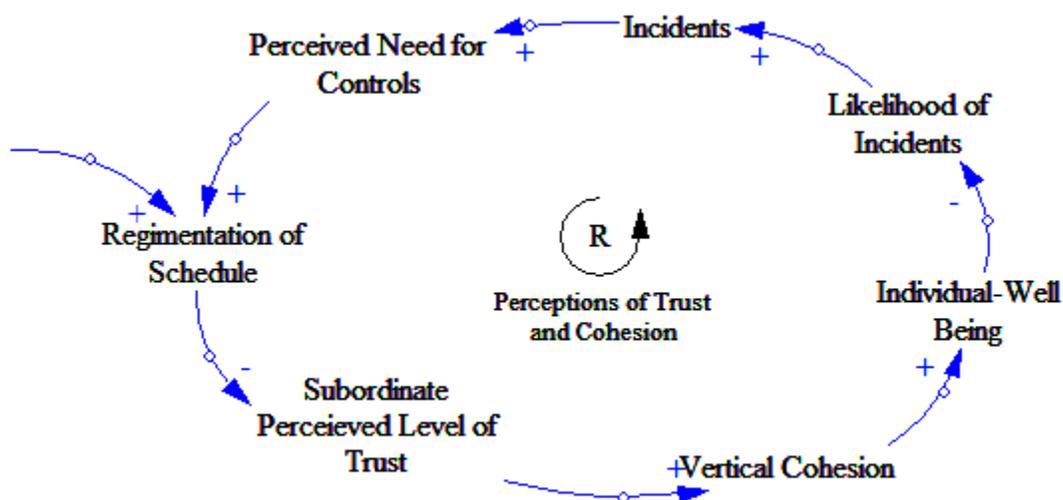
Figure 31: Perceptions of Trust and Cohesion

Although vertical cohesion is critical in ensuring soldier well-being, it is also critical in identifying high-risk soldiers. The existence of the high-risk matrix as a tracking tool for leaders may act as a double edge sword. On the positive side, it assists leaders, particularly company commanders and above, who have many soldiers with issues, to be able to easily track the problems soldiers have. It also acts as a forcing mechanism for junior leaders to develop mitigation plans with these individuals. At the same time it

creates a professional development opportunity through the use of high-risk team meetings to discuss and share mitigation strategies and share points of contact to external resources for leaders to direct soldiers to seek help.

On the other hand, there are multiple potential ramifications of the high-risk matrix. One example, provided by a First Sergeant, is that the terminology used "High-Risk Matrix" prevents soldiers from coming forward with problems. A soldier who is performing admirably, but has some personal issues, does not want to be labeled as "High-Risk" when the soldier does not believe it is truly the case. If the natural reaction to soldiers opening up about personal issues is to be labeled as high-risk, they will be less likely to come forward. Despite much of the attention to reducing the stigma at the unit level, one of the primary mechanisms for managing high-risk soldiers is potentially one of the most significant drivers of the stigma.

Additionally, the high-risk matrix creates an environment where vertical cohesion may be necessary at levels which are difficult to achieve. For example, if a soldier is placed on the high-risk matrix, but his name is only provided to the company commander, there are only a few layers of vertical cohesion which is required (squad, platoon, and company). Due to proximity and likelihood of contact this vertical cohesion is not difficult to achieve. The soldier will be less likely to come forward if his name will be provided to the battalion, brigade, and division commanders on a high-risk matrix. Regardless of the positive intentions of these leaders, it is extremely difficult to develop the personal relationships and vertical cohesion with individual soldiers and brigade and battalion level commanders due to the size of their respective units.

Hours worked is influenced by multiple inputs. First is simply the number of external requirements. Another is the number of incidents. Another is the quality of leaders. For example, a first sergeant can likely complete a counseling statement faster, and to a higher quality than a brand new squad leader. There is also a direct impact of hours worked on individual well-being and vertical cohesion. (Figure 32)
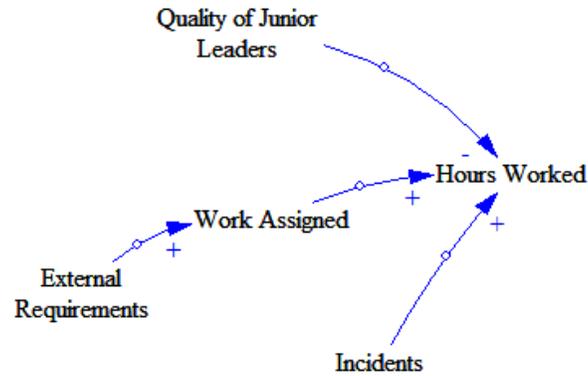
Figure 32: Hours Worked

With this increase in hours worked, there is a direct impact on well-being. If a soldier is spending excessive time at work, it decreases well-being. The time at work is not the only critical aspect, but the utility of the work is also important. Developing quality training for Soldiers to conduct is challenging. There are many resource limitations which require leaders to be creative in the development in training. For example, there are not an unlimited number of artillery rounds, but there are only so many times a cannon crewmember can simulate a dry fire mission on a howitzer before the training becomes stale. In addition to this, the number of simulators is often limited or requires coordination and cannot be resourced quickly if there is some unscheduled downtime during the day. Therefore, it is important for units not to overwork soldiers, but also ensure their work is seen as worthwhile of their time.

In addition to this, there is a tension when balancing the need for leaders to perform their tasks with the requirements to keep soldiers gainfully employed. Many leader tasks are not scheduled, preparing counseling, preparing for and resourcing training, and other administrative tasks. Often leaders must accomplish these tasks while soldiers wait for them to be complete. This frustrates both leaders and their soldiers. Leaders often understand these frustrations, but feel obligated to keep soldiers at work until released by higher level leaders. Ultimately, many leaders feel they must neglect their leader tasks and focus on keeping soldiers occupied, perform leader tasks at the detriment of keeping soldier's gainfully employed, or keep soldier's occupied during the workday, perform leader tasks at home, often sacrificing personal time and the leaders personal well-being. The graph below shows a condensed version of these dynamics. The relationships between incidents and diminished leader quality have already been provided. (Figure 33)
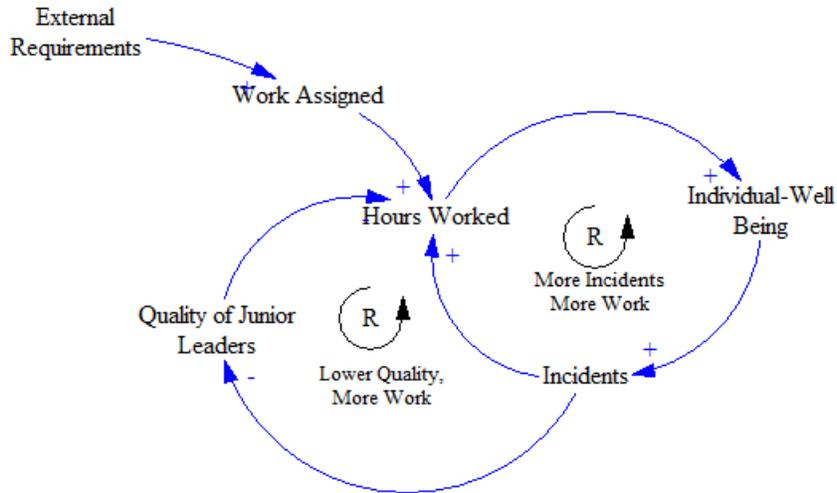
Figure 33: Reinforcement of Hours Worked

The effect of the additional work has a direct impact on vertical cohesion as well, and leaders are put into a difficult situation with the continual flow of work and taskings. One lieutenant discussed a company commander who was perceived as a "yes man". The perception was that this commander graciously accepted every his unit was provided. This created the perception that he cared more about pleasing higher headquarters than taking care of the soldiers in his command. Additionally, this created a rift between him and the first sergeant which was felt throughout the company. This established a sense of mistrust by members of the unit with when dealing with the commander, decreasing vertical integration. This loop is an additional loop added onto the structure above. Again this continues to reinforce more work, decreased leader quality, and more work. (Figure 34)

Figure 34: Reinforcement of Hours Worked with Vertical Cohesion

86

The potential effects of this were highlighted by a first sergeant in while discussing the impact of weekend safety briefs on soldiers. To soldiers, t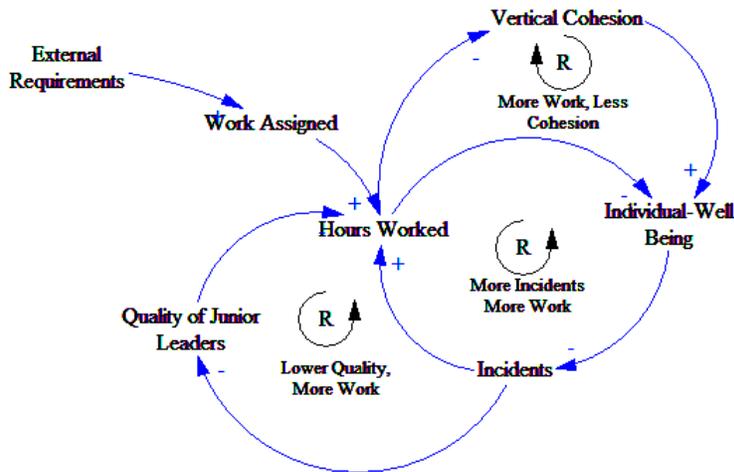he commander discussed above will be viewed skeptically when providing his briefing to soldiers. The soldiers would likely say something to the effect of, 'If you really cared about my well-being on the weekends, why don't you care how we're treated from Monday through Friday?' Whereas if the soldiers felt the commander truly cared, they would be more likely to internalize the safety brief.

This puts the commander in a difficult position. If the company commander appears to gladly accept every tasking, it will decrease vertical cohesion if soldiers feel the tasking are not worth their time and effort. If the commander attempts to dispute being assigned the taskings but is unsuccessful, he can go back and support the higher headquarters to his company, potentially decreasing vertical cohesion at his level. The other option is to come back to the company and blame higher headquarters. The basic argument is 'I tried to fight it (caring at company level), but there is nothing we can do to stop it, therefore we must execute (blame is now on higher headquarters)'. This scenario reinforces the difficulties in dynamic discussed earlier with respect for the requirement for vertical cohesion equivalent to the level the high-risk matrix is provided to. The company commander is put into a situation where he must sacrifice support for higher within his unit, in order to maintain vertical cohesion at the company level.

These factors driving the decrease in individual well-being; work hours (excessive or perceived lack of value), vertical cohesion, and horizontal cohesion lead to decreased well-being and increased likelihood of incidents. As incidents increase, the cycles discussed above are perpetuated. Many leaders discussed the reactive nature to events at their units. Once an event occurs regimentation increases such as mandatory SLLRT, professional development sessions, reports, and meetings with outside providers. This ultimately increases regimentation, which continues the cycle of decreased vertical and horizontal cohesion, to accompany decreased quality of junior leaders.

5.4 Summary

The structure of the system, in particularly, the overwhelming amount of requirements placed on leaders at the company level, and the incentive structure which stresses operational and quantitative success puts leaders at a structural disadvantage with respect to increasing soldier well-being and

minimizing high-risk incidents. A common phrase when discussing the responsibilities of leaders is to 'set subordinates up for success' and the current system is not allowing this to occur.

Once the quality of junior leader's decreases, the amount of work increases, and the schedule becomes more and more regimented, it begins a series of negative reinforcing feedback loops, ultimately decreasing soldier well-being and increasing the number of incidents. Individual traits and abilities allow many leaders to overcome some of these problems, but these abilities are often learned through experience and training. Junior leaders, who are the most critical link in ensuring the well-being of the most at-risk population of soldiers, are not being adequately prepared to do so. At the same time, they are unable to learn because they are overwhelmed by the urgency of now. Without addressing the root causes of these issues, the vicious cycles are likely to continue. As they continue, the more solutions will be providing to address the issues, and the problems identified here will likely be exacerbated.

Many of the effects of these loops can be mitigated by quality leaders at the company level, but some are out of the control of the company. In particular, external requirements and the Army incentive structure are difficult, if not impossible, for company level leaders to have an impact on. The recommendations in the following section will provide a series of recommendations with this nested structure in mind. They will address the mechanics of leadership at the company level and the high level ecosystem in which the company operates in order to provide a conducive environment for leaders at the company to operate.

Chapter 6: Recommendations

In order to enhance soldier welfare, a holistic approach to the system and recommendations must be taken. No company operates in a vacuum, and therefore is highly dependent upon the ecosystem it operates in. Because of this, any recommendations must not only be provided at the company level, but also for the entities within the ecosystem, such as the brigade, battalion, and above. Ultimately, whole soldier concept is highly dependent on the company. The company in turn is highly dependent upon the battalion, brigade and Army policies. These are three highly complex and nested systems. Therefore, a series of holistic policy recommendations must be made in order to truly have the desired effect. It is highly unlikely that changes at the company level will be successful without the support from battalion in above. Therefore, there are two tiers of policy recommendations, first at the company level. Independently, these recommendations are not unique or novel, but regularly espoused procedures within the Army, that are often neglected.   Where the recommendations gain traction is through their combination. The emergent properties integrated recommendations establish a comprehensive and manageable system operating within a supportive ecosystem.

The remainder of this chapter will first discuss the overall strategy of the implementation of the whole soldier concept. It will then provide recommendations at the company level to ensure soldier health and welfare. The final but possibly most important series of recommendations focuses on the higher level solutions which provide the important contextual factors which drive and influence the behaviors at the company level.

6.1 Current vs. Future State

In the current state, the soldier welfare is a function of multiple factors, each creating the environment where the strategy is "Identify and Pass". There are a few multiple critical enterprise architecture elements responsible for this emergence. They are primarily the organization, processes, knowledge, and infrastructure. (Nightingale & Rhodes, 2012). A graphical depiction is shown below in Figure 35.
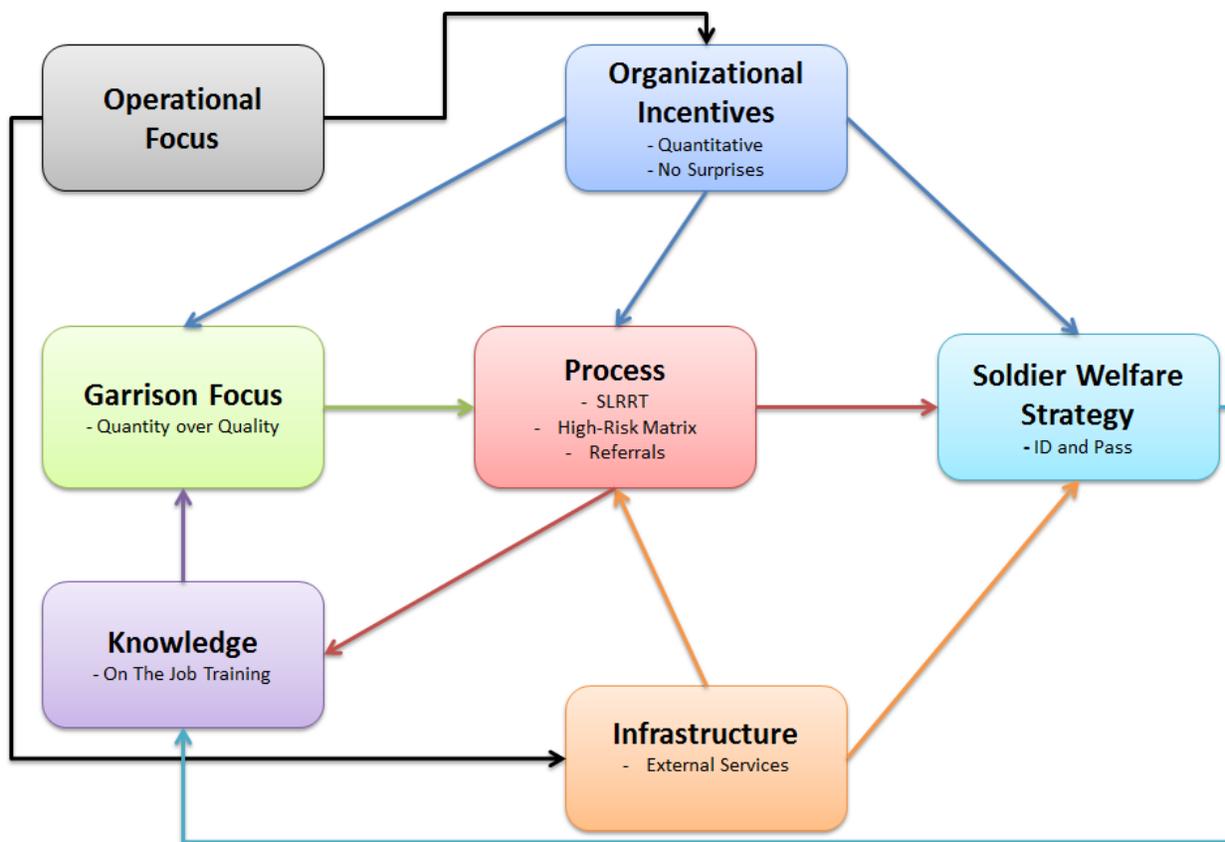
Figure 35: Current State

First and most importantly, the operational focus has dominated the Army for over a decade. Soldiers have been deploying regularly over this time frame and therefore the organizational incentive structure has leaned toward deployed operations. At the same time, the incentive structure is heavily dependent upon quantitative results in order demonstrate superiority. Additionally, leaders have been incentivized not to "surprise the boss". This has created multiple effects. First, it drives garrison leaders to focus on quantity over quality. Therefore the amount of things accomplished is prioritized over the quality. This is a natural reaction in order to compete with leaders in a deployed environment who have more time, and therefore, can do more work. The incentives and garrison focus create processes which allow for more to be done at a faster rate. Examples include the SLRRT which ensures all soldiers are asked critical questions, but does not truly address some of the underlying issues which created the tool, such as the leader inexperience. At the same time, the infrastructure with multiple external services, allows for leaders to rapidly refer soldiers out to assistance. Combining the organizational incentive structure, the processes, and the infrastructure, the Soldier welfare strategy of identify and pass is established.

90

Reinforcing this behavior is that the main area for organizational knowledge is on the job training, these processes and strategy build the knowledge base for leaders, which then reinforce the garrison focus of quality over quantity.

In the recommended future state, the soldier welfare strategy is not a function of these elements, but a driver of these elements. Soldier welfare is no longer separated from the operational focus, but is now integrated with. With this new strategy in place, the organizations incentive structure will need to adapt, the processes will need to change and the infrastructure to be put in place in order to accomplish this. At the same time, the knowledge is not only gained through experience, but it is also shared through leader development and training. A visual depiction is provided in Figure 36.
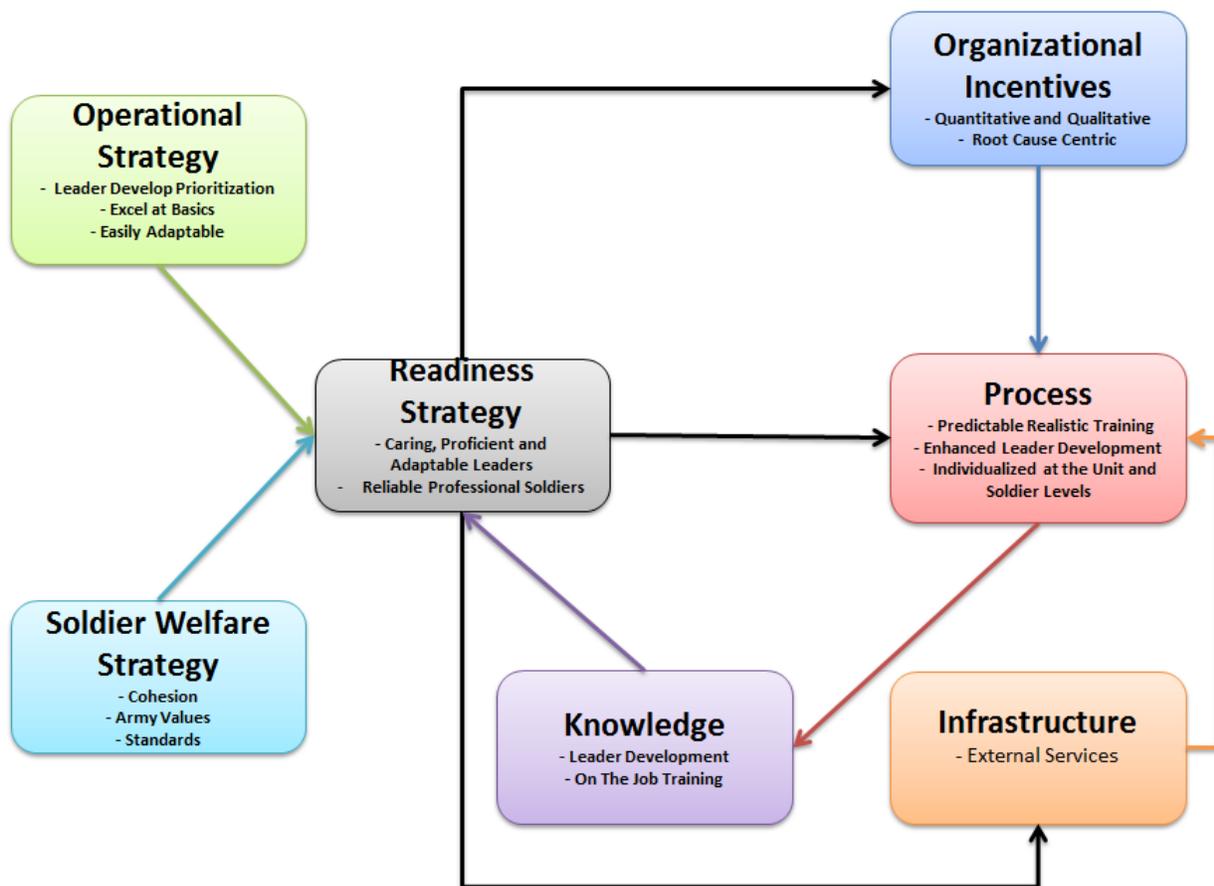

Figure 36: Future State

The soldier welfare strategy needs to be prioritized structurally. While some leaders lean in this direction naturally, others are consumed by the environment and the previous strategy of "Identify and

Pass" is perpetuated. In the future state, the operational strategy and welfare strategy remain constant. There is no longer delineation between garrison and deployed operations. Ultimately the end states of both are the same, achievement of operational objectives based on the units ability to function collectively, supported by soldier readiness. With this being said, there must be an understanding that garrison operations cannot compete with deployed operations within the readiness strategy which much be supported by, but not driven by the organizational incentives. It is physically impossible for garrison leaders to compete with deployed leaders on an operational level, and therefore objectives in garrison must be judged not only by quantity, but also by quality, this includes soldier welfare indicators.

Ultimately the combination of the operational strategy and soldier welfare strategy creates the Readiness Strategy.   This strategy then drives the incentives as just discussed, the processes such as predictable realistic training, enhanced leader development, and specifically tailored processes at the unit and individual level because of an enhanced autonomy provided by levels above the company. These processes are supported by the infrastructure, which is designed to support the strategy. Finally, knowledge is developed through leader development programs and on the job training. This supports and reinforces the readiness strategy. In short, the Army must force itself to slow down, take a balanced approach and focus on quality over quantity.

6.2 Recommendations

The recommendations within this section are interrelated. The first series of recommendations are the major drivers of behaviors at the company level. These focus the establishment of cohesion, the identification with the group, acceptance of Army Values as cultural norms, and the enforcement of standards at the company level. Essentially, this is a true return to the basics of leadership, or Leadership 101. While these recommendations may seem obvious, it's just as important that the following series of recommendations are implemented in conjunction with the first series. The second series of recommendations are the supporting recommendations in order to ensure the primary series of recommendations can occur. Implementing the first series of recommendations will likely be futile without other structural changes to the system at the company level which support the first series.

Finally, it must be always be remembered that the company level operates in a far larger contextual ecosystem, and is a product of its environment. Therefore the final series of recommendations provide the requisite changes to be made to units at the battalion level and above in order to provide the supportive environment the company needs to enact both the primary and supporting

recommendations. A graphical depiction is provided in Figure 37 and an overview of these programs provided below in Table 3
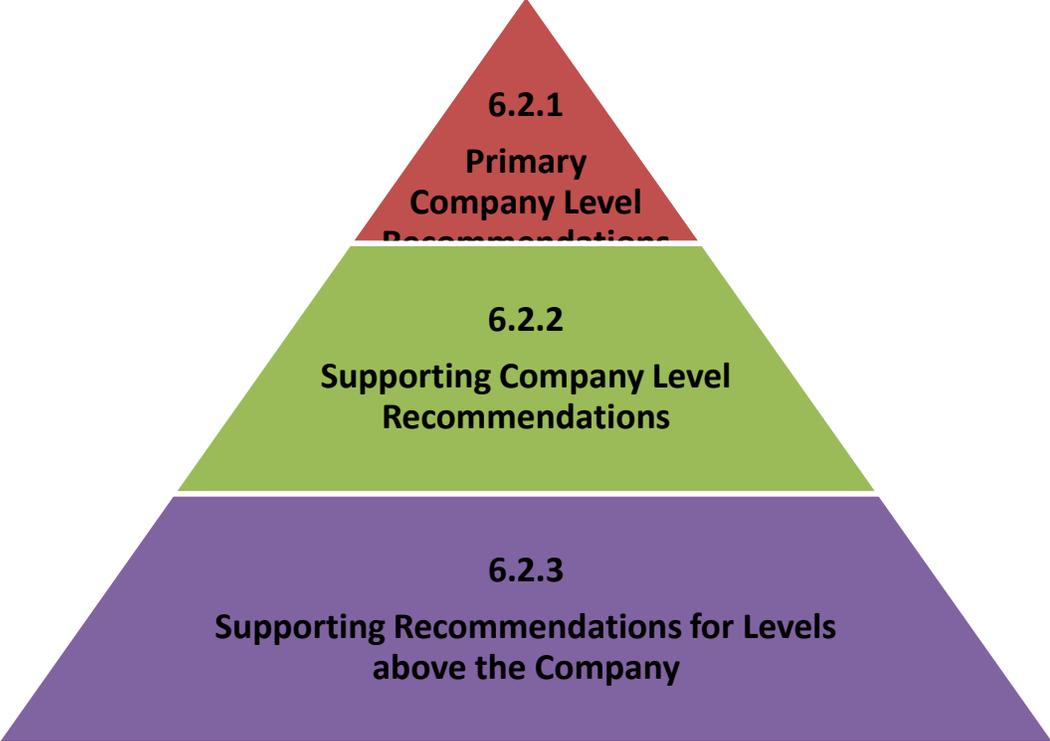

Figure 37: Supporting Recommendations

Table 3: List of Recommendations

	Recommnedations		
	Primary Company	Supporting Company	Higher Level
Strategy	Operational Readiness and Soldier Welfare are integrated drivers of the Readiness Strategy		
Process	Implementation of Formal Leader Development Program	Soldier Care Team Meetings	More Flexibility in Scheduling
	Dedication of Resources to Leader Tasks and Preparation	Regular Sensing Sessions	Review of Soldier Welfare Programs
	Army Values Training	Organizational Changes Based on Feedback	Protect Training
	Enforcement of Standards	Family Outreach	Soldier Welfare is a Continuous Process
		Reception Program	
		Ensure Leader Follow Up with Service Providers	
		Take Measured Action Following an Event	
		Engage Junior Leaders during Response	
Knowledge		Balanced Leader Development Approach	Train Leaders on How to Perform Leader Development Training
		Adjustment of Understanding of Mentoring	Development of Case Studies
		Elimination of SLLRT during counseling	Foster Innovation
		Elimination of "High-Risk" Matrix	
Organization		Hold Leaders Accountable	Change Incentive Structure
		Team Formation Considerations	Make the 360 Degree Assesment Count
		If Soldier not Identified, Determine Why	Less Centralized and Flexible Human Resources Strategy
			Enhanced Screening
Information		Leader Information Gathering	
Infrastructure			Unit Centric Barracks
			Additional Computers at the Company Level
			Leader Managemen Software
			Additional Training Simulators

6.2.1 Major Recommendations for Company Level

Below is a graphical depiction of the major policy recommendations at the company level for the prevention of high-risk soldiers and events in . The policy recommendations (Blue) are developed to enhance positive behaviors (Orange). Ideally, leaders and soldiers remain disciplined due to the acceptance of group norms and enforcement of standards. A more detailed description is provided below.
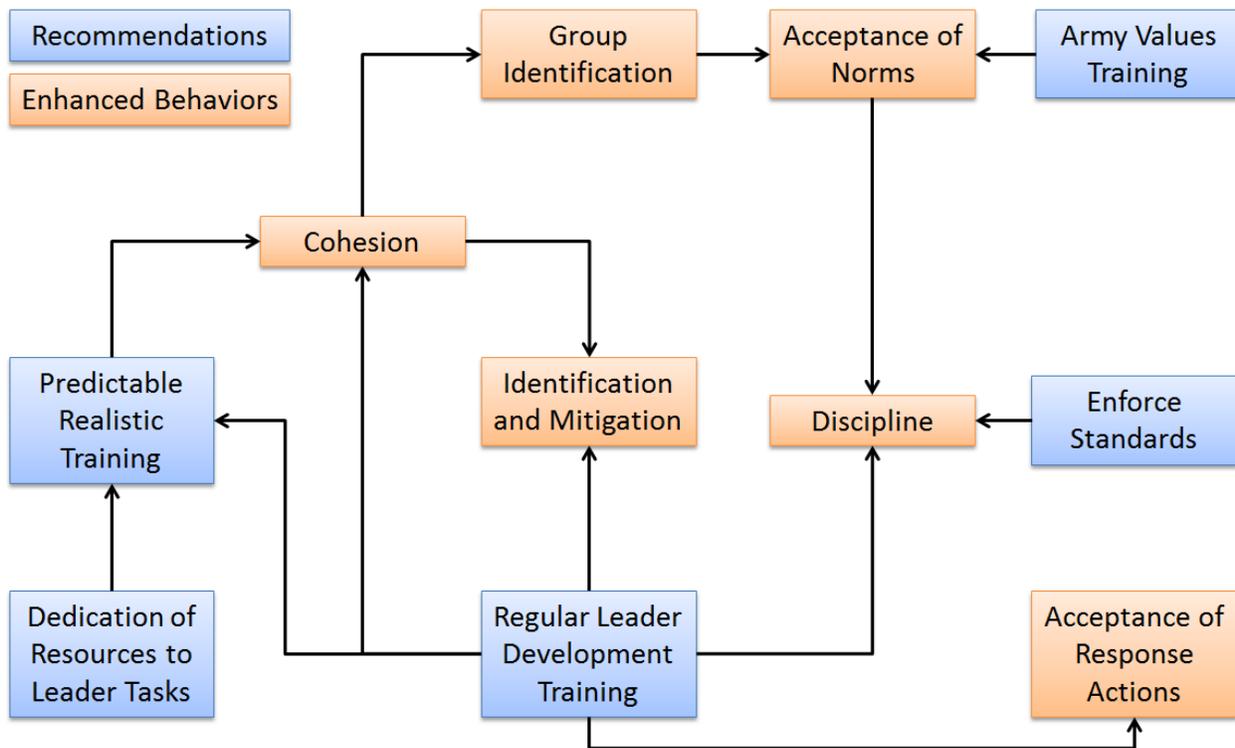
Figure 38: Major Company Level Recommendations

Implementation of Formal Leader Development Program at Company Level (Process):

With the new focus on prevention, there needs to be a renewed focus on leader development training at the company level. The 2012 Center for Army Leadership Annual Survey of Army Leadership (CASAL) Report found that only 35% of leaders had a favorable rating that their unit places a high priority on leader development. Only 25% of leaders felt the leader development program at the company level had a large or great impact on their development. The implementation of a formal leader development program has multiple benefits. It increases the ability of leaders in the unit in the short term and long term. Better leaders will develop and more beneficial training. Additionally, an increase in leader abilities has been found to lead to an increase in both cohesion and discipline in the CASAL Report. Second, establish a culture where leader development is seen as important. Additionally, it assists in identification and mitigation. Leaders will be able to more readily identify issues due to training. Additionally, the enhanced cohesion makes leader identification more likely, but also soldiers are more likely to come forward. At the same time, the increase in leader development makes it easier for leaders to mitigate locally or refer to support services. If leader development is more regular, any reactions following an event will not be seen as cynically as overreactions, but as an ongoing process of leader development.

Dedication of Resources to Leader Tasks and Preparation (Process)

There is limited time dedicated to leaders to perform their leader specific tasks, particularly at the squad level. For example, the Army's difficulties in ensuring quality counseling are documented (Riley, Conrad, & Keller-Glaze, 2012), but many leaders interviewed said time provided in the training schedule to conduct counseling. While it is important to dedicate time to counseling, leaders also need the time to prepare quality counseling. One squad leader estimated that it would take a few hours to develop quality counseling. If no time is provided in the schedule, leaders must do it at home. This may or may not occur, or it may cause issues in the leader's personal life.

Provide "Predictable Realistic" Training to Soldiers (Process)

In an interview, one Captain stated that "In a perfect world there would be training everyday". This is not always the case. A first sergeant stated that the best thing to do for soldiers is to provide them "Predictable, Realistic Training" because most soldiers joined the Army for that specific reason. This cannot be achieved without the dedication of resources to leader tasks and leader development training. The first expectation of soldiers is predictability. If training is on the schedule, and soldier arrives in the morning with the expectation of training, there is a detrimental effect on the cohesion within the unit. The soldier has the perception that the unit and by default, leaders, are not competent enough to plan and execute training according to the schedule. It also enhances soldier frustration if they spent time outside of work preparing for an event that does not occur. At the same time, realistic training is also a requirement. If soldiers do not receive realistic training, they again will feel their time was wasted which diminishes well-being and cohesion.

Army Values Training (Process)

The benefits of cohesion on soldier welfare have been discussed, but as cohesion is built through the recommendations stated above, individual begin to identify with the group more. As they identify with the group, they are more likely to accept group norms and individual norms (Identity Conferring). Therefore it is critical to reinforce the Army Values as the primary set of values in which professional soldiers live their lives. This training is likely to need to be scenario based, or case studies, allowing soldiers to think critically about the application of the Army Values to a scenario as opposed to rote memorization of the acronym LDRSHIP and definitions of each value. There are multiple benefits to this approach. First it reinforces the Army Values in leaders who will be providing the training. Next, it

aligns Army expectations and leader expectations for the behaviors of subordinates. Finally, it begins the inculcation of values of junior soldiers at an early level.

Enforcement of Standards (Process)

For individuals who do not identify with the group, there must be the expectation that standards will be enforced when regulations or requirements are not met. This did not seem to be a concern during the interviews, additionally; this was one of the highest rated leader behaviors in the CASAL study. Therefore, the current behaviors must be continued and reinforced.

6.2.2 Supporting Recommendations at the Company Level

Supporting Recommendations for Prevention at Company Level

- **Ensure a Balanced Leader Development Approach (Knowledge):** Ensure that leader development training is not only process focused, but leader skill and attribute focused. It is true that leaders must learn how certain processes work (Filling out counseling form, etc.), but it also critical that leader development focuses on attributes such as empathy, innovation, and interpersonal tact.

- **Soldier Care Team Meetings (Process):** Leaders who engaged in High-Risk Team meetings discussed their benefit. Most meetings seemed to take place at the Battalion level, leaving junior leaders at the company level out of the loop.   It is a developmental session which brings leaders within the company together as an opportunity for organizational learning. The command team can establish expectations and provide feedback to leaders. Leaders can discuss solutions and share resources with one another.

- **Adjustment of Understanding of Mentoring (Knowledge):** Research has shown that within the Army there is a gap between what leaders think mentoring entails and the expectations of mentors from those they mentor. Mentors see their role as a job coach. Some of these activities include providing feedback on performance, teaching job skills, and developing skills for future positions.   Mentees also expect to be personally developed, which includes acting as a role model, demonstration of trust, provision of moral guidance, etc. and career sponsorship

to assist in the advancement of career. Leaders must be made aware of this and adapt

behaviors to become better sponsors. (Steinberg & Foley, 1999)

- **Regular Sensing Sessions (Process):** Leaders must gauge the emotions of their units. One of the best ways to do this is through sensing sessions. This demonstrates to subordinates that the leadership cares, and gives leadership more visibility on the concerns within their unit.

- **Changes Based on Feedback (Process):** While sensing sessions are important to leaders and subordinates, there must be action based on feedback. Any initial goodwill formed by the conduct of sensing sessions is replaced with frustration if no actions are taken on legitimate concerns. It is important for the leader to be able separate the signal from the noise in these sessions and make changes based on the signals.

- **Hold Leaders Accountable (Organization):** While each situation is unique and treated differently, there must be fairness when dealing with the indiscretions of Officers, NCOs and Soldiers. At the same time, leaders should be expected to behave at a higher standard due to their position as well as time in the service. If there is an enhanced focus on the Army Values, leaders must be held to these standards. The easiest example is "toxic" leaders. Many of these leaders are considered "toxic" because of their lack of respect for others (failure to live Army Values). This must be accounted when judging leaders despite any operational excellence they achieve.

- **Family Outreach (Process):** It is important that family members begin to identify themselves with the unit. Due to this, leaders must proactively engage family members, foster two way communications, and provide accurate information to eliminate uncertainty for families.

- **Reception Program (Process):** One of the most critical yet overlooked aspects of soldier welfare is the reception program at the company level. There are multiple uncertainties when an individual arrives to the unit. The faster the process of integration and identification with the unit for a new soldier, the less likely there is a problem to develop.

- **Information Gathering (Information):** While leader handoffs are typical when an individual moves within a unit, they are far less likely to occur outside of a unit. When an individual leaves a unit, leaders must make an effort to make contact with the gaining unit to provide information. At the same time, leaders must attempt to gather information from the previous unit. The large problems (UCMJ Actions) are less likely to slip through the cracks than the smaller ones (Repetitive notices from bill collectors).

- **Team Formation Considerations (Organization):** Leaders must consider the personalities and situations surrounding members of the unit when assigning teams. From the combination of Platoon Leader and Platoon Sergeant to the assignment of a new soldier to the unit who is having marital issues, it is important to ensure personalities, situations and skillsets are complimentary.

Supporting Recommendations for Identification at Company Level

- **Elimination of SLLRT use during counseling (Knowledge):** A counseling session should not feel like an interrogation. The SLLRT should be utilized during the preparation period for a counseling statement and not as a checklist during the counseling. The SLLRT substitutes for counseling preparation which should not be the case.

- **Elimination of "High-Risk Matrix" (Information):** The existence of the high-risk matrix drives multiple behaviors. First it creates list of the "problem children". No soldier wants to be placed on that list and it could possibly prevent soldiers from coming forward with assistance. Instead of having a roster to report high-risk soldiers, this should be accomplished as a discussion as part of the "Soldier Care" meeting among leaders and one on one conversation between leaders to protect the privacy of soldiers. The matrix becomes the method of communication instead of a discussion, which should not be the case.

Supporting Recommendations for Mitigation at Company Level

- **Ensure Leader Follow-Up (Process):** As discussed earlier, many leaders assume the soldiers problems are being taken care of once referred to a service provider. In order to ensure no

soldier slips through the cracks, leaders should follow up with providers to ensure soldiers are making progress, with the understanding not all information can be passed due to HIPPA requirements.

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Supporting Recommendations for Response at Company Level

- **If Soldier Not Identified, Determine Why (Organization):** Leadership needs to identify the root causes of failed identification and not focus on the surprise of a soldier committing an act that was not identified. Did the soldier just make a poor decision; did toxic leadership prevent a soldier from coming forward to help, etc.?

- **Take Measured Action Following an Event (Process):** Post-event learning should take place, but leaders need to avoid overreacting. If this occurs, soldiers in the company may become more focused on the response than the learning involved in the response.

- **Engage Junior Leaders During Response (Organization):** The commander and first sergeant naturally get involved to a high level than normal post event. Company level leaders must ensure they do not completely cut out junior leaders. They need to remain involved because the soldier will eventually return to their unit and there is a learning to occur following an event.

6.2.3 Higher Level Recommendations

- **Focus on How to Perform Leader Development Training (Knowledge):** To accompany the recommendation at the company level to provide balanced leader training, the Army needs to ensure leaders understand how to develop and conduct quality leader development training.

- **Development of Case Studies (Knowledge):** Leader development training and Army Values training will require resources which may not be possible to develop at the company level. For example, if vignettes or case studies are to be used, it may be difficult to create at the company level. On the other hand, the Army can develop case studies based on real scenarios. A robust library of resources for company level leaders to access and utilize to train their units.

- **More Flexibility in Scheduling (Process):** Without the ability to manage their own schedule, it is unlikely for commanders to be able to adequately perform these tasks. Leaders need to be trusted and provided autonomy to truly lead their units. At the same time, an analysis of requirements must be conducted to identify what units do truly provide value and others that are redundant and can be cancelled.

- **Review of Soldier Welfare Programs (Process):** There are too many programs and not enough time for leaders to manage. This has created a check the block mentality for these programs where quantity of programs is prioritized over quality of programs. Instead of analyzing what programs to cut, a blank slate exercise should be conducted, beginning with Army Values training. Then programs can be added if they cannot be covered through Army Values training.

- **Incentive Structure (Organization):** While the Army has identified that the operational culture has taken over since operations in Iraq and Afghanistan began, the underlying incentive structure is still quite similar. Quantitative assessments are still extremely important, and it is difficult to quantify many of these recommended tasks. At the same time, many of the benefits of these programs are difficult to identify (i.e. Cohesion and Army Values Training) or have long-term benefits which may not prove to be immediately beneficial (Army Values Training)

- **Make the 360 Degree Assessment Count (Organization):** Being that it is difficult to measure things such as cohesion and command climate, the 360 Degree Assessment should no longer be solely utilized as a tool, but as a mechanism which impacts the evaluation of the leader. It forces the leader to consider not only the needs of his supervisor, but also the needs of his subordinates. It gives subordinates a voice in the evaluation process, which will make it more easy to identify "toxic" leaders who execute at the expense of their subordinates. Again it will be up to evaluators to separate the signal from the noise in these reviews. (Kane, 2012)

- **Less Centralized and Flexible Human Resources Strategy (Organization):** Company level leaders should have some say in the manning of their organization. This is necessary if junior level leaders are to be provided more autonomy. If a leader is not adequate and able to correct the deficiencies, a unit should not be saddled the leader. It creates two issues, first, it decreases cohesion within the unit because the rest of leadership loses credibility, and it keeps the

position from being backfilled with a more competent leader.   A more free market approach, similar to what was presented in the book, Bleeding Talent, could prove to be beneficial in the long run. (Kane, 2012) Company leadership has often has no say in the soldiers or leaders assigned. They also have difficulties removing leaders who are not meeting the established standards. A process where leaders can hire and fire on their own could be beneficial. Successful leaders would never be without a position, leaders would be incentivized to foster a positive command climate in order to attract talented leaders, or talented leaders would search for challenges in order to prove their worth.

- **Protect Training (Process):** Leaders are frustrated because they do not feel their training is protected and feel they are constantly hit with last minute taskings. If the units above the company level demand schedules submit to and follow training schedules, the agreement should be mutual. Companies do as they say and battalion and above allow the company to execute. If this impossible, units should go back to training cycles. Units, who are assigned as red, are responsible for the execution of taskings and the other units are protected. This at least provides certainty. The without protections the current system does not allow companies to do anything well when taskings appear.

- **Unit Centric Barracks (Infrastructure):** Since IMCOM manages barracks, units no longer are responsible. Units should be provided a block of barracks in a similar area to aid in allowing leaders to check. If a unit wants to conduct a surprise health and welfare inspection and they have soldiers spread amongst multiple buildings across post, it is extremely difficult to secure and conduct these inspections in a timely manner.

- **Soldier Welfare is a Continuous Process (Process):** One leader provided a story on how his brigade commander created a two-week soldier welfare period in the brigade. Training was minimized and there was an expectation for leaders to catch up on soldier welfare tasks. This is beneficial if it allowed everyone to get caught up and then continually reinforced on the training schedule.   If it was a one-time thing, it creates a cultural norm that soldier welfare is separate and it's only a priority if we fall behind. At the same time, taking two weeks out of the schedule pushed back other requirements and created a backlog of work, causing issues on the back end once work continued.

- **Foster Innovation (Knowledge):** One of the effects of the regimented scheduling is the stifling of initiative (Wong, 2002). To accompany the increased flexibility, leaders must be rewarded for showing initiative, even if not successful. As innovation spreads, it is important to capture some of these best practices and spread those utilizing organizations already in place such as the Center for Army Lessons Learned.

- **Enhanced Screening (Organization):** This recommendation is outside of the unit level, and more focused on accessions. Many high-risk soldiers enter the Army with a series of issues already in place. Additional screening methods should be implemented, either during their recruitment or at worst case, basic training.

- **Additional Computers at the Company Level (Infrastructure):** With most programs online, there is a dearth of computers at the company level. There are often one or two computers at the platoon level for all soldiers to use. For any process which involves multiple soldiers to get on the computer, it cannot be done at the company. Leaders can send soldiers to the education center or to their rooms to utilize personal computers. If the Army cannot provide each individual computers for budgetary purposes it is understood, but it should consider allowing for soldiers to access the network through wi-fi at work, obviously utilizing certificates and security measures.

- **Leader Management Software (Infrastructure):** The Digital Training Management System is utilized to track soldier training records. The methods to track high-risk soldiers are far less robust. There are often Excel spreadsheets and PowerPoint slides utilized to track this information. If soldiers' details will be tracked, a more secure system should be utilized, which allows leaders to transfer information and connect with one another as discussed at the company level. Additionally, service providers can update this system as well to allow leaders to track progress in things such as financial management training.

- **Additional Training Simulators (Infrastructure):** As budget cutbacks continue, one of the most difficult of the primary recommendations to achieve will be "Predictable, Realistic Training". For example, artillery rounds are expensive and will be more difficult to acquire for training. At the

same time, the need for quality training will be as important as ever. If the Army can invest in simulators for soldiers, these are renewable training resources that are as close to the real training as possible. There are other benefits to simulation as well such as reduced wear and tear on equipment which decreases maintenance costs and the relative ease for leaders to initiate and begin training on a simulator. If a unit has unexpected free time and easy access to a simulator, the leader can quickly move to the simulator and begin training.

Chapter 7 - Conclusion

7.1 Health and Welfare of the Force

The requirement to ensure the health and discipline of the force has never changed. They are vital components to the readiness of the Army and national security. At the same, the circumstances surrounding the Army at this time are unique. This is the first time the all-volunteer force has reset from over a decade of continuous combat operations. At the same time, the size of the force is decreasing as budgetary constraints emerge. Due to this, it is increasingly important that this personnel reset is done correctly. The Army needs to ensure its population of seasoned combat veterans is taken care of, the new generation of soldiers is adequately developed, many without the seasoning of combat, and the Army is able to retain its talent as the size of the force dwindles.

While there are larger trends with respect to the health and discipline of the force, the specific challenge facing each soldier and leader are unique to the individuals involved and their environment. Some problems are unpreventable, such as depression, some are event based, such as mTBI, and others accumulate and develop over time, such as job related stress. This creates a situation where leaders cannot prevent all issues from impacting a soldier, but it does not mean the actions of the leader do not have an impact. The ability of leaders to prevent the preventable or limit, identify, and assist in the mitigation of the unpreventable is a critical skill. The key is for the Army to develop leaders and create an environment where leaders understand the impact of their actions in a holistic manner and to provide a context in which these abilities flourish.

Leaders must never forget how critical the ability to grow from within is to the Army. The Army is unique in that all of its leaders are homegrown. The most junior private or lieutenant in the Army may be the Sergeant Major of the Army or the Army Chief of Staff someday. General Electric can always hire officers from the Army, but the Army cannot hire managers away from General Electric. Therefore it is critical to ensure soldiers are cared for and leaders are developed in order to ensure the long-term sustainability of the Army as an elite military force. At the most elemental level, this begins with ensuring the health and welfare of the force.

7.2 Cookie Cutter Solutions to Individual Problems

At the macro level, leaders across the Army have identified that priorities have skewed toward operational readiness. This is a natural reaction to over a decade of combat. This would create a shift in

even the most stagnant bureaucracies. Now that combat operations are dwindling, the Army has a

whole is having problems readjusting to the new realities and returning to equilibrium.

At the same time, adaptability and flexibility have been two of the trademark qualities of leaders and

soldiers at the lowest levels over the past decade. Soldiers who were trained for tank warfare have

become diplomats and artillerymen have led civil reconstruction efforts. This shift nearly happened

overnight. This demonstrates the capacity for change at the lowest levels within the Army but may

cause these individuals to become victims of their own successes.

These two realities have created an environment of quick fixes. The bureaucratic side of the Army

realizes that there has been a shift, and therefore reacted with a series of programs and tools to address

the perceived problems, hoping it eventually creates a shift away from the operational focus. Leaders at

the lowest level are then expected to execute these tasks with the assumption that they will address the

problem and create a shift in the culture. While this may be somewhat true, many of these tasks don't

address the root causes of the many of these problems. For example, the SLRRT was developed to

address the perceived inexperience of junior level leaders. The tool assumes that leaders will become

more proficient in counseling with the utilization of the tool and it becomes culturally ingrained. This is

not limited to soldier welfare tasks. While this assists the inexperienced leader, little is done to address

the root cause of the need for the SLRRT, which are the inexperienced leaders at the unit level.

Professional development at the company level and the oversight of soldier welfare have been turned

into a series of check the block taskings due to resource constraints and the incentive structure.

Like many large bureaucracies, the Army can easily implement new programs but it is much harder to

take them away. Anyone can rationalize the existence of every of the whole soldier concept programs

identified in section two, and therefore, it is much harder to make cuts. At the same time, new

programs regularly added on top of the previous series of programs. This can be seen with the

emergence of resiliency training, the SLRRT and High-Risk Matrices. Ultimately, these tasks have

become an independent series of tasks and not a holistic approach to soldier welfare in the minds of

many leaders.

At the same time the highly adaptable leaders ensure mission accomplishment. They will ensure all

requirements are met. This is partially driven by the cultural expectation of mission accomplishment,

but also by the incentive structure which incentivizes quantity over quality. Therefore leaders will

sacrifice quality over quantity. Additionally, leaders consumed with the urgency of the now, and short-term successes are incentivized over long term successes. Reporting a task is complete is a short-term success, the quality of a leader development program is a long-term success, which is not able to be tracked, and therefore, the short-term processes win out.

The effects of these targeted fixes at the Army level combined with the culture at the company level rooted in mission accomplishment creates an environment where standardization has overwhelmed a highly personalized process. No two soldier issues are identical and targeted solutions need to be developed by individuals with direct and specific knowledge of the particular situation. Leaders are not incentivized to determine a specific course of action, unique to the soldier's situation. They are incentivized to identify issues and pass the soldier to a service provider.

The Army needs to focus on the establishment of the underlying cultural and knowledge drivers and not attempt force specific leader processes. Using the SLRRT as the example, the Army should not tell a leader what questions to ask but provide a leader with the understanding of the expectations of leaders, the inculcation of cultural values, the ability to develop tailored solutions for soldiers, and the knowledge of resources available for assistance. This requires more than just the introduction of a tool that becomes a checklist. It requires a holistic approach, with multiple changes in not only processes but a shift in strategy accompanied by changes in processes, infrastructure and incentives to support the strategy.

7.3 It's Everyone Else's Fault

At the micro level, individuals need to work towards common goals. Leaders at all levels suffer from fundamental attribution error. It is always someone else's fault or responsibility. Above the company level, the problem is seen as a failure by junior leaders who don't understand garrison operations. Their solutions are filled with "back in the day" stories of how the Army used to be. Solutions to deal with this lack of "garrison leadership" are usually tasks to accomplish and not attitudes and behaviors to learn and internalize. As described earlier, the red book included drug testing, safety inspections, drill and ceremony and accountability formations. These hardly address the underlying issues such as the failure to systematically develop cohesion, caring leaders, and professional soldiers adhering to the Army Values. Many leaders who have spent their entire careers in a combat centric Army understand how these are important supporting tasks to maintain discipline, but are hardly seen as directly responsible

for the units ability to fight and win the nations wars and build cohesion between the leader and led. Ultimately there needs to be a shift by senior leaders to recognize that the "good old days" are not returning and a hybrid model must be developed; one that seamlessly integrates these supporting tasks with the high-quality, realistic training, that soldiers have come to expect in over a decade of combat operations. There are not enough hours in a day to do both successfully.

At the same time, company level leaders must look internally as well. They see "higher" as the issue because they do not feel as if they have control of their units and are out of touch. It is also easy to place blame on the individual soldier. Leaders can rationalize their efforts following a high-risk event by a subordinate by saying, "I can't control what soldiers do in their free time. He made his own decisions." While both of these are contributing factors, there is likely something the leader could have done. The leader could have prioritized and managed time better, regardless of the requirements placed on by higher headquarters. It is also possible that the leader could have done better establishing vertical and horizontal cohesion within the unit. The construct of the current system reinforces this. If leaders do exactly what is told to them, the SLRRT for example, and identify the soldier, and pass the individual to a service provider, their job is done. This creates a paper trail, essentially abdicating the leader of responsibly for the soldier's actions. Until company level leaders are held responsible for and incentivized based on the climate and cohesion within their organizations, the Army will always be in the reactive mode, waiting for soldiers issues to arise and then address the problem.

Individual soldiers to not absent responsibility as well. These are adults, responsible for their own decisions. The easiest thing for a soldier to do following an event is to blame "the Army" for their problems or their personal failures. While this may or may not be the case, the Army plays such a large role in these soldiers' lives it is nearly impossible for there not to be an impact. Therefore, it is critical for leaders at the company level to foster soldier inclusiveness to the group and spread positive cultural norms associated aligned with the Army Values. It is up to "big Army" to set the conditions for this to occur.

Ultimately, the Army must do a better job reconciling the leader's responsibility of "taking care of soldiers" and the personal responsibility of the individual to "do the right thing". If leaders become too involved, leaders may be viewed as intrusive and elicit resistance from their soldiers. These leaders have to ensure that the mission is being successfully accomplished in parallel with individual soldier

well-being. Similarly, soldiers must be held responsible for their actions, but the impacts a leader has should be considered. If soldiers are solely held responsible and there are no implications on the leader, the leader has the opportunity to abdicate responsibility. Soldiers must internalize the Army norms and ensure basic standards of discipline are met. Company level leaders must establish a supportive environment and cohesive teams. Finally, senior leaders must ensure company level leaders are prepared to encounter unique challenges and provided the opportunity to be successful. Therefore all three layers need to work together.

7.4 Enacting Change

The basic principles of leadership remain constant. There is no ADP 6-22 or FM 6-22 for deployed operations and ADP 6-22 or FM 6-22 for garrison operations. Leadership is leadership.   The difference between deployed operations and garrison operations is the context surrounding leadership. One of the biggest questions asked during this research is "how do you make leaders to care?" The easy answer is you can't. The better answer is the same way you make leaders care in combat. Leaders are provided meaningful work, the autonomy to accomplish it, held responsible for their unit and for their subordinates and cohesion is fostered at the unit level though mutual trust and support though day to day operations. If it works in combat, it will work in garrison. The challenge in garrison is that there is only eight hours a day to achieve it. Therefore, senior leaders must set the conditions for success and company level leaders must execute when given the opportunity.

You often hear leaders in the Army say it must "get back to the basics". "Getting back to the basics" is not the accomplishment of a series of disciplinary tasks such as health and welfare inspections and conducting regular urinalysis. "Getting back to the basics" is conducting quality training, maintaining standards, and growing and developing professional soldiers and leaders to ensure the short-term success and the long-term viability of the Army.

Appendix A (Army Values)

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

Duty - Fulfill your obligations.

Respect - Treat people as they should be treated.

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

Honor - Live up to Army values.

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

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

http://www.army.mil/values/

Appendix B (Troop Leading Procedures)

TROOP LEADING PROCEDURES		
STEP	ACTION	√
1	Receive mission	
2	Issue warning order	
3	Make tentative plan	
4	Initiate necessary movement	
5	Conduct Reconnaissance	
6	Complete plan	
7	Issue orders	
8	Supervise and refine	
Notes:		

http://www.armystudyguide.com/content/moxiepix/b1_3303.gif

Appendix C (Army Health Promotion Requirements of Commanders)

1–25. Commanders

Commanders at all levels will—

a. Publish a health promotion policy that includes suicide-prevention efforts. This policy includes a full scope of prevention activities as listed in this regulation to promote a community of healthy behaviors.

b. Remain sensitive and responsive to the needs of Soldiers, Army civilians, Family members, and retirees.

c. Encourage all Soldiers, civilians, and Family members to practice a lifestyle that improves and protects physical, behavioral, and spiritual well-being.

d. Enhance unit readiness and maximize human resources by implementing the health promotion program within their units.

e. Ensure that Soldiers identified with suicide-risk symptoms/behaviors are not belittled, humiliated, or ostracized by other Soldiers and are not identified through special markings or clothing (that is, Soldiers wear reflective training vests with signs identifying them as high-risk individuals).

f. Promote the battle buddy system throughout the deployment cycle for all Soldiers regardless of rank, position, and organizational affiliation.

g. Ensure that Soldiers are treated with dignity and respect and are encouraged to seek assistance if they are experiencing challenges or have been identified with suicide-risk symptoms.

h. Ensure that policies are in place for unit watch, weapons profiles, and other unit-related procedures that relate to suicide-risk symptoms or suicide-related events.

i. Refer Soldiers who are undergoing disciplinary action and have multiple risk factors present to appropriate support services to mitigate risk.

j. Ensure that Families, unit members and coworkers who experience loss due to suicide are provided/offered long-term assistance. See appendix D of DA Pam 600-24 for a specific list of available prevention, intervention, and postvention resources.

k. Demonstrate positive efforts to deglamorize the use of all forms of tobacco products.

l. Initiate proactive measures to prevent loss of life within their units due to suicide and to reduce the impact on survivors if a suicide takes place.

m. Enhance unit readiness and maximize human resources by encouraging Soldiers to attain and maintain dental wellness (Dental Fitness Class 1) and referring Soldiers in Dental Fitness Classes 3 and 4 for examination and treatment with a goal of attaining at least Dental Fitness Class 2.

n. Ensure that all Soldiers and Family members are aware of the availability of dental care at post facilities and understand the use of the dental insurance plan for treatment at civilian facilities.

o. Conduct an AR 15–6 investigation on every suicide and equivocal death which is being investigated as a possible suicide.

p. Ensure that commanders of active army units share information including but not limited to behavioral problems (for example, belligerence, depressive symptoms, hygiene, obsessive behavior), family/relationship problems, financial problems, and any other information relating to the Soldier's (or the Soldier's Family's) physical or behavioral health, well-being, or readiness on Title 10 Reserve Component Soldier suicides with parent ARNG/ARNGUS and USAR component units.

q. Establish task forces, committees, and risk reduction teams to facilitate local health promotion initiatives to reduce high-risk behaviors and build resiliency.

r. Share a Soldier's information only with those who have a need to know. If a commander or healthcare professional has any questions regarding who has a need to know, they should contact the servicing judge advocate before sharing any information.

s. Maintain records of Soldiers' annual suicide-prevention awareness training.

Appendix D (List of External Services)

Activity	Description
Adjutant General	Provides personnel and administrative services support such as orders, ID cards, retirement assistance, deferments, and in- and out-processing.
American Red Cross	Provides communications support between Soldiers and families and assistance during or after emergency or compassionate situations.
Army Community Service	Assists military families through their information and referral services, budget and indebtedness counseling, household item loan closet, and information about other military posts.
Army Substance Abuse Program	Provides alcohol and drug abuse prevention and control programs.
Better Opportunities for Single Soldiers (BOSS)	Serves as a liaison between installation agencies and single Soldiers.
Army Education Center	Provides services for continuing education and individual learning services support.
Army Emergency Relief	Provides financial assistance and personal budget counseling; coordinates student loans through Army Emergency Relief education loan programs.
Career Counselor	Explains reenlistment options and provides current information on prerequisites for reenlistment and selective reenlistment bonuses.
Chaplain	Provides spiritual and humanitarian counseling to Soldiers and Army civilians.
Claims Section, SJA	Handles claims for and against the government, most often those for the loss and damage of household goods.
Legal Assistance Office	Provides legal information or assistance on matters of contracts, citizenship, adoption, marital problems, taxes, wills, and powers of attorney.
Community Counseling Center	Provides alcohol and drug abuse prevention and control programs for Soldiers.
Community Health Nurse	Provides preventive health care services.
Community Mental Health Service	Provides assistance and counseling for mental health problems.
Employee Assistance Program	Provides health nurse, mental health service, and social work services for Army civilians.
Equal Opportunity Staff Office and Equal Employment Opportunity Office	Provides assistance for matters involving discrimination in race, color, national origin, gender, and religion. Provides information on procedures for initiating complaints and resolving complaints informally.
Family Advocacy Officer	Coordinates programs supporting children and families including abuse and neglect investigation, counseling, and educational programs.
Finance and Accounting Office	Handles inquiries for pay, allowances, and allotments.
Housing Referral Office	Provides assistance with housing on and off post.
Inspector General	Renders assistance to Soldiers and Army civilians. Corrects injustices affecting individuals and eliminates conditions determined to be detrimental to the efficiency, economy, morale, and reputation of the Army. Investigates matters involving fraud, waste, and abuse.
Social Work Office	Provides services dealing with social problems to include crisis intervention, family therapy, marital counseling, and parent or child management assistance.

Appendix E (Soldier Leader Risk Reduction Tool)

U.S. Army Soldier Leader Risk Reduction Tool (USA SLRRT)	
INSTRUCTIONS FOR LEADERS	
This tool is designed to help leaders identify potential risks among their Soldiers. If a Soldier has a concern or problem, provide him/her with options (suggestions are provided under "Leader Action" for each issue of concern), ensure that you follow up with him/her, and continue to address the plan of action as necessary. Document any pertinent issues of concern and the associated action plan on the Developmental Counseling Form, DA Form 4856. Refer to Appendix B in the 'Guide for Use of the USA SLRRT' for a more complete list of resources available to assist Soldiers. Leaders should consult with legal counsel if Article 31 rights may apply.	

#	ISSUES OF CONCERN	LEADER ACTIONS
1	Has the Soldier been command referred for any assistance (e.g., legal, financial, spiritual, alcohol, family/relationship, behavioral health, other)? Does the Soldier wish to disclose receiving any similar types of assistance for which he/she was not command referred?	Refer Soldier to appropriate resources. Reserve Component (RC) ensure referral is with appropriate local resource.
2	Is the Soldier experiencing any difficulties getting the assistance he/she needs either on-post or off-post?	Refer Soldier to appropriate resources. RC ensure referral is with appropriate local resource. Follow-up with Soldier wtihin 14 days to ensure that any difficulties have been overcome or resolved.
3	Has the Soldier been unsuccessful in meeting military requirements or standards (e.g., duty performance, PT, Battle Assembly participation (RC only), weight control, weapons qualification, MOS training)?	Develop and implement a plan of action to meet the requirements/standards. Closely monitor the Soldier's progress.
4	Has the Soldier received negative counseling or evaluations since arriving at the current unit or organization?	Determine if this is a current concern. Develop and implement a plan of action to meet the requirements/standards. Closely monitor the Soldier's progress.
5	Has the Soldier been denied promotion or attendance to schools, or barred from reenlistment for any reason?	Determine if this is a current concern. Develop and implement a plan of action to meet the requirements/standards. Closely monitor the Soldier's progress.
6	Is the Soldier currently undergoing a UCMJ action?	Ensure Soldier has adequate support, to include legal.
7	Does the Soldier have financial or employment concerns, such as inability to cover basic montly expenses, home foreclosure, difficulty meeting child support payments, or inability to repay loans?	Refer Soldier to unit or installation financial representative or Army Community Service Financial Readiness Program. RC ensure referral is with appropriate local resource.
8	Has the Soldier experienced an accident, injury, illness, or medical condition that resulted in current fitness for duty limitations?	Ensure Soldier has appropriate medical follow-up. Ensure updated medical profile in e-Profile.
9	Does the Soldier have a current medical profile (temporary or permanent)?	Ensure Soldier has appropriate medical follow-up. Ensure updated medical profile in e-Profile.
10	Does the Soldier have any concerns about medical care, medications or supplements he/she is taking?	Refer to Primary Care Manager or Military Treatment Facility (MTF). RC ensure referral is with appropriate local resource.
11	Is the Soldier currently experiencing problems related to sleep (e.g., trouble falling asleep, trouble staying asleep, performance problems related to sleep, consistently getting less than 7-9 hours of sleep, using alcohol or other substances to get to sleep)?	Refer to Primary Care Manager or MTF. RC ensure referral is with appropriate local resource.
12	Does the Soldier tend to withdraw or socially isolate himself/herself from others?	Refer to Unit Ministry Team (UMT), Primary Care Manager, MTF, or Unit Behavioral Health Team, as appropriate. RC ensure referral is with appropriate local resource.
13	Has the Soldier exhibited excessive anger or aggression in the past three months?	Refer to Unit Ministry Team (UMT), Primary Care Manager, MTF, Unit Behavioral Health Team, Anger Management, or other appropriate support. RC ensure referral is with appropriate local resource.
14	Is the Soldier experiencing serious marital/relationship issues, or immediate family concerns, such as a serious illness in a family member?	Refer to Army Community Services, Military Family Life Counselor, Military OneSource, Unit Ministry Team (UMT), or Unit Behavioral Health Team, or other appropriate support. RC ensure referral is with appropriate local resource.
15	Has the Soldier been involved in any incidents of domestic violence or child abuse/neglect?	Refer to Family Advocacy Program. RC ensure referral is with appropriate local resource.
16	Has the Soldier experienced any condition that may be considered cruel, abusive, oppressive, or harmful, to include hazing or assault?	Connect Soldier with appropriate support (e.g. SHARP, EO, Family Advocacy, Unit Ministry, Primary Care Manager, MTF). RC ensure referral is with appropriate local resource.
17	Has the Soldier received a citation for speeding (10 miles over the posted limit) or reckless driving in the past 6 months?	Provide appropriate counseling to ensure Soldier understands good driving habits.
18	Has the Soldier been cited for engaging in risky behavior while in a vehicle (e.g., texting while driving, not utilizing a hands-free cell phone while driving, riding without a seatbelt)? Has the Soldier been informed that such activities are inherently unsafe, in violation of law and policy, and potentially punishable under UCMJ?	Provide appropriate counseling to ensure Soldier understands good driving habits. Ensure the Soldier bas been informed that such activities are inherently unsafe, in violation of law and policy, and potentially punishable under the UCMJ.

U.S. Army Soldier Leader Risk Reduction Tool (USA SLRRT)

#	ISSUES OF CONCERN	LEADER ACTIONS
19	Does the Soldier drive a motorcycle?	Ask Soldier 19a.
19a	IF YES, Does the Soldier have the required privately operated motorcycle (POM) training IAW AR 385-10 and post requirement?	Perform a POM inspection; make copy of Soldier's license, registration (State and post), insurance and Motorcycle Safety Foundation (MSF) certificate. Keep on file. Discuss the POM policy and regulation regarding personal protective equipment (PPE) and mandatory training from an approved motorcycle rider safety course (MSF; Basic Rider Course (MANDATORY); Experienced Rider Course (if applicable in area of operations (AOR)); Military Sport Bike Rider Course (if applicable in AOR); and Military Refresher Training (MRT for those returning from deployment or commander's referral)). RC: Counsel Soldier to ensure he/she understands the requirement to wear all PPE at all times (not only while in a duty status).
20	Does the Soldier engage in any other potentially hazardous recreational activities while off-duty (e.g., skydiving, riding all-terrain vehicles, rock climbing)?	Encourage and ensure the Soldier takes a training course prior to engaging in high risk activities. Ensure Soldier uses appropriate PPE.
21	AR 190-11 requires all privately owned weapons that are brought onto military installations be properly registered with the Provost Marshall. Is the Soldier in compliance with the provisions of AR 190-11 as they apply to registration of privately owned weapons?	Counsel Soldier on the Weapons Safety "THINK". Treat every weapon as if it is loaded; Handle every weapon with care; Identify the target before you fire; Never point at anything you don't intend to shoot; Keep the weapon on safe. Ask Q21a.
21a	IF YES, Has the Soldier attended an approved fire arms safety class/course?	Note where and when the Soldier received the training. If not trained, encourage and ensure Soldier and family receive training.
22	Has the Soldier ever been involved in alcohol or drug related incidents (in the past 3 years) and/or tested positive on a urinalysis?	Refer to Army Substance Abuse Program at time of incident and closely monitor Soldier's progress. RC ensure referral is with appropriate service.
23	Has the Soldier deployed to a location where there was hostile fire or they received hazardous duty pay?	Does the Soldier have any current deployment related concerns? Refer to Primary Care Manager, MTF, or other appropriate support. RC ensure referral is with appropriate service.
24	Has the Soldier experienced difficulty coping with a loss (e.g., death of close friend, family member or team member, loss of social support)?	Refer to Unit Ministry Team (UMT), Primary Care Manager, MTF, Unit Behavioral Health Team, or other appropriate support. RC ensure referral is with appropriate service.
25	Has anyone (e.g., spouse, other family member, friends, fellow Soldier) expressed concern about the Soldier's behavior?	Obtain additional information as appropriate. Refer to Army Community Services, Military Family Life Counselor, Military OneSource, Unit Ministry Team (UMT), Unit Behavioral Health Team, or other appropriate support. RC ensure referral is with appropriate service.
26	Has the Soldier expressed any suicidal thoughts or actions, or expressed a desire to harm others?	Escort Soldier to Installation Behavioral Health or MTF Emergency Room, as appropriate, and notify leadership. RC escort to local emergency room and notify leadership. Do not leave Soldier alone. Order Soldiers who possess privately owned weapons on post to store them in the unit arms room; ask Soldiers who possess privately owned weapons off post to voluntarily surrender them to the unit arms room. Consider ordering Soldier to reside in barracks for an evaluation period (3 days) if they choose not to voluntarily surrender weapons stored off post.
27	Based on the concerns above and leader's knowledge of the Soldier, the Soldier may be considered to be at low, moderate, or high risk if the statements below are representative. *Note: For Soldiers deemed to be at moderate or high risk, senior leadership (Battalion commander/equivalent or higher) should be notified.*	
	LOW	Soldier has no significant problems or has problems for which he/she is receiving appropriate support. The potential for adverse outcomes appears to be low.
	MODERATE	Behaviors or concerns that place the Soldier at risk of serious problems if not addressd through appropriate actions (e.g., Soldier experiencing serious financial, legal, family/relationship, alcohol, or other concerns, and is experiencing difficulty getting adequate assistance; Soldier exhibiting a pattern of serious risk taking behavior). **Senior leadership (Battalion commander/equivalent or higher) should be notified.**
	HIGH	Behaviors or concerns that potentially place the Soldier or others in danger or harms way (e.g., life threatening risk taking behavior, serious performance problems that jeopardize teammembers safety, threat to self or others). **Senior leadership (Battalion commander/equivalent or higher) and appropriate support channels should be notified immediately.**

Appendix F (Example Training Schedule)

Date	Start Time	End Time	Unit/Section	Audience	Description/Notes	Instructor / Alternate	Uniform	Location	Risk Level	Reference
Oct 01, 2012	0630	0745	B BTRY	BTRY	Physical Readiness Training NOTES: Platoon Run	Various / Various	IPFU	BTRY AREA	LOW	FM 7-22
	0900	1700	B BTRY	BTRY	Command Maintenance	XO / 1SG	Duty uniform	BN MOTOR POOL	LOW	Vehicle -10
	0900	1700	B BTRY	BTRY	Drivers Training	SSG / SGT	Duty uniform	BN MOTOR POOL	LOW	Vehicle -10
	1300	1400	B BTRY	A BTRY, 1-82 FA	Digital Sustainment training	LT / LT	Duty uniform	BN MOTOR POOL	LOW	BN SOP, 3.09.70
	1300	1700	B BTRY	1st PLT	Perform Indirect Fire Missions, Direct Fire Missions NOTES: ATN: 061-307-3568	1LT / SFC	Duty uniform	BN MOTOR POOL	LOW	FM 3-09.70
	1300	1700	B BTRY	2nd PLT	Perform Indirect Fire Missions, Direct Fire Missions NOTES: ATN: 061-307-3568	1LT / SFC	Duty uniform	BN MOTOR POOL	LOW	FM 3-09.70
Oct 02, 2012	0630	0745	B BTRY	BTRY	Physical Readiness Training NOTES: Battery will conduct MSE (CD 1-2-3)	Various / Various	IPFU	BTRY AREA	LOW	FM 7-22
	0900	1700	B BTRY	BTRY	Drivers Training	SSG / SGT	Duty uniform	BN MOTOR POOL	LOW	Vehicle -10
	0900	1700	B BTRY	1st PLT	Occupy TAA, Establish Firing Capability NOTES: ATN: 06-2-3001	1LT / SFC	Duty uniform	BN MOTOR POOL	LOW	FM 3-09.70
	0900	1700	B BTRY	2nd PLT	Occupy TAA, Establish Firing Capability NOTES: ATN: 06-2-3001	1LT / SFC	Duty uniform	BN MOTOR POOL	LOW	FM 3-09.70
	0900	1700	B BTRY	1st FDC	Establish Firing Capability / Movement Orders NOTES: ATN: 061-300-5064	2nd / SSG	Duty uniform	BN MOTOR POOL	LOW	TM 11-7025-297-10-1, FM 6-40, FM 3-09.70
	0900	1700	B BTRY	2nd FDC	Set-up OE-254 / Commo Troubleshoot NOTES: ATN: 061-276-1012	1LT / SSG	Duty uniform	BN MOTOR POOL	LOW	TM 11-5985-357-13
Oct 03, 2012	0630	0745	B BTRY	BTRY	Physical Readiness Training NOTES: Platoon Based Cardio	Various / Various	IPFU	BTRY AREA	LOW	FM 7-22
	0900	1700	B BTRY	BTRY	Drivers Training	SSG / SGT	Duty uniform	BN MOTOR POOL	LOW	Vehicle -10
	0900	1700	B BTRY	1st PLT	Occupy TAA, Establish Firing Capability NOTES: ATN: 06-2-3001	1LT / SFC	Duty uniform	BN MOTOR POOL	LOW	FM 3-09.70

Date	Start Time	End Time	Unit/Section	Audience	Description/Notes	Instructor / Alternate	Uniform	Location	Risk Level	Reference
	0900	1700	B BTRY	2nd PLT	Occupy TAA, Establish Firing Capability NOTES: ATN: 06-2-3001	1LT / SFC	Duty uniform	BN MOTOR POOL	LOW	FM 3-09.70
	0900	1700	B BTRY	1st FDC	Establish Firing Capability / Movement Orders NOTES: ATN: 061-300-5064	2nd / SSG	Duty uniform	BN MOTOR POOL	LOW	TM 11-7025-297-10-1, FM 6-40, FM 3-09.70
	0900	1700	B BTRY	2nd FDC	Pre-Occupation Safety	1LT / SSG	Duty uniform	BN MOTOR POOL	LOW	FM 6-40, BN SOP
	1330	1500	B BTRY	Section Chiefs and Up	Battery Training Conference	CPT / 1SG	Duty uniform	BN CONF ROOM	LOW	Battery Training Schedule
Oct 04, 2012	0630	0745	B BTRY	BTRY	Physical Readiness Training NOTES: 6 Mile Ruck March	Various / Various	IPFU	BTRY AREA	LOW	FM 7-22
	0900	1500	B BTRY	BTRY	Drivers Training	SSG / SGT	Duty uniform	BN MOTOR POOL	LOW	Vehicle -10
	0900	1500	B BTRY	1st FDC	Process Fire Mission NOTES: ATN: 061-C02-1043, 061-300-5014	2LT / SSG	Duty uniform	BN MOTOR POOL	LOW	TM 11-7025-297-10-1, FM 6-40, FM 3-09.70
	0900	1500	B BTRY	1st PLT	Conduct Fire Missions / Emergency Fire Missions NOTES: ATN: 06-4-5017, 06-3-5010	1LT / SFC	Duty uniform	BN MOTOR POOL	LOW	FM 3-09.70
	0900	1500	B BTRY	2nd PLT	Conduct Fire Missions / Emergency Fire Missions NOTES: ATN: 06-4-5017, 06-3-5010	1LT / SFC	Duty uniform	BN MOTOR POOL	LOW	FM 3-09.70
	0900	1500	B BTRY	2nd FDC	Automated Safety	1LT / SSG	Duty uniform	BN MOTOR POOL	LOW	FM 6-40, BN SOP
	1500	1700	B BTRY	All	Family Time	Family / Family	CIV	VARIOUS LOCATIONS	LOW	None
Oct 05, 2012	0630	0745	B BTRY	BTRY	Physical Readiness Training NOTES: Orienteering Run	Various / Various	IPFU	BTRY AREA	LOW	FM 7-22

Date	Start Time	End Time	Unit/Section	Audience	Description/Notes	Instructor / Alternate	Uniform	Location	Risk Level	Reference
	0900	1500	B BTRY	1st FDC	Process Fire Mission NOTES: ATN: 061-C02-1043, 061-300-5014	2LT / SSG	Duty uniform	BN MOTOR POOL	LOW	TM 11-7025-297-10-1, FM 6-40, FM 3-09.70
	0900	1500	B BTRY	1st PLT	Conduct Fire Missions / Emergency Fire Missions NOTES: ATN: 06-4-5017, 06-3-5010	1LT / SFC	Duty uniform	BN MOTOR POOL	LOW	FM 3-09.70
	0900	1500	B BTRY	2nd PLT	Conduct Fire Missions / Emergency Fire Missions NOTES: ATN: 06-4-5017, 06-3-5010	1LT / SFC	Duty uniform	BN MOTOR POOL	LOW	FM 3-09.70

Submitted by: Approved by:

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