

Appendix D

A Leader Plan of Action and the ECAS

D-1. By completing a set of tasks (shown in Figure D-1), leaders can improve, sustain, or reinforce a standard of performance within their organizations. Leaders may complete some or all of the sub-tasks shown in Figure D-1, depending on the situation.

D-2. A leader plan of action (developed in step 3) identifies specific leader actions necessary to achieve improvement. It is similar to the individual plan of action that Appendix C discusses.

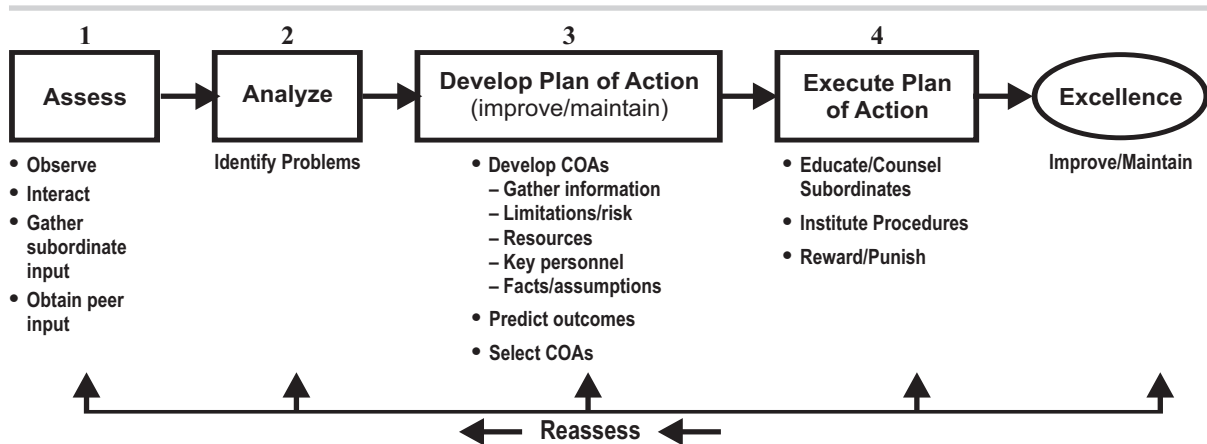


Figure D-1. The Leader Plan of Action Development Process

D-3. Begin your plan of action by assessing your unit (Step 1). Observe, interact, and gather feedback from others; or conduct formal assessments of the workplace. Then analyze the information you gathered to identify what needs improvement (Step 2). Once you have identified what needs improvement, begin to develop courses of action to make the improvements.

D-4. In Step 3, you develop your plan of action. First, develop and consider several possible courses of action to correct the weaknesses you identified. Gather important information, assess the limitations and risks associated with the various courses, identify available key personnel and resources, and verify facts and assumptions. Attempt to predict the outcome for each possible course of action. Based on your predictions, select several leader actions to deal with the problems.

D-5. Execute your plan of action (Step 4) by educating, training, or counseling your subordinates; instituting new policies or procedures; and revising or enforcing proper systems of rewards and punishment. Your organization moves towards excellence by improving substandard or weak areas and maintaining conditions that meet or exceed the standard. Finally, periodically reassesses your unit to identify new matters of concern or to evaluate the effectiveness of the leader actions.

D-6. You can use this process for many areas of interest within your organization. A case study demonstrating how to use an ECAS to prepare a leader plan of action follows. It includes a description of how one leader gathered information to complete the survey. (You can obtain the form used to conduct an ECAS through Training Support Centers by ordering GTA 22-6-1.)

PREPARATION OF AN ECAS

D-7. 2LT Christina Ortega has been a military police platoon leader for almost eight months. When she first came to the platoon, it was a well-trained, cohesive group. Within two months of her taking charge, she and her platoon deployed on a six-month rotation to support operations in Bosnia. The unit performed well, and she quickly earned a reputation as a leader with high standards for herself and her unit. Now redeployed, she must have her platoon ready in two months for a rotation at the Combat Maneuver Training Center (CMTC). She realizes that within that time she must get the unit's equipment ready for deployment, train her soldiers on different missions they will encounter at the CMTC, and provide them some much needed and deserved time off.

D-8. As 2LT Ortega reflects on her first eight months of leadership, she remembers how she took charge of the platoon. She spoke individually with the leaders in the platoon about her expectations and gathered information about her subordinates. She stayed up all night completing the leadership philosophy memorandum that she gave to every member of her platoon. After getting her feet on the ground and getting to know her soldiers, she assessed the platoon's ethical climate using the ECAS. Her unit's overall ECAS score was very good. She committed herself to maintaining that positive ethical climate by continuing the established policies and by monitoring the climate periodically.

D-9. Having completed a major deployment and received a recent influx of some new soldiers, 2LT Ortega decides to complete another ECAS. She heads to the unit motor pool to observe her soldiers preparing for the next day's training exercise. The platoon is deploying to the local training area for the "best squad" competition prior to the ARTEP evaluation at the CMTC. "The best squad competition has really become a big deal in the company," she thinks. "Squad rivalry is fierce, and the squad leaders seem to be looking for an edge so they can come out on top and win the weekend pass that goes to the winning squad."

D-10. She talks to as many of her soldiers as she can, paying particular attention to the newest members of the unit. One new soldier, a vehicle driver for SSG Smith, the 2nd Squad Leader, appears very nervous and anxious. During her conversation with the soldier, 2LT Ortega discovers some disturbing information.

D-11. The new soldier, PFC O'Brien, worries about his vehicle's maintenance and readiness for the next day. His squad leader has told him to "get the parts no matter what." PFC O'Brien says that he admires SSG Smith because he realizes that SSG Smith just wants to perform well and keep up the high standards of his previous driver. He recounts that SSG Smith has vowed to win the next day's land navigation competition. "SSG Smith even went so far as to say that he knows we'll win because he already knows the location of the points for the course. He saw them on the XO's desk last night and wrote them on his map."

D-12. 2LT Ortega thanks the soldier for talking honestly with her and immediately sets him straight on the proper and improper way to get repair parts. By the time she leaves, PFC O'Brien knows that 2LT Ortega has high standards and will not tolerate improper means of meeting them. Meanwhile, 2LT Ortega heads back toward the company headquarters to find the XO.

D-13. She finds the XO busily scribbling numbers and dates on pieces of paper. He is obviously involved and frantic. He looks up at her and manages a quick "Hi, Christina," before returning to his task. The battalion XO apparently did not like the way the unit status report (USR) portrayed the status of the maintenance in the battalion and refused to send that report forward. Not completely familiar with the USR, 2LT Ortega goes to the battalion motor officer to get some more information. After talking to a few more people in her platoon, 2LT Ortega completes the ECAS shown in Figure D-2.



An ethical climate is one in which our stated Army values are routinely articulated, supported, practiced and respected. The Ethical Climate of an organization is determined by a variety of factors, including the *individual character* of unit members, the *policies and practices* within the organization, the *actions of unit leaders*, and *environmental and mission factors*. Leaders should periodically assess their unit's ethical climate and take appropriate actions to maintain the high ethical standards expected of all Army organizations. This survey will assist you in making these assessments and in identifying the actions necessary to accomplish this vital leader function. FM 22-100, *Army Leadership*, provides specific leader actions necessary to sustain or improve your ethical climate, as necessary.

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References: FM 22-100

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- E. We maintain an organizational creed, motto, and/or philosophy that is consistent with Army values. 4
- F. We submit unit reports that reflect accurate information. 3
- G. We ensure unit members are aware of, and are comfortable using, the various channels available to report unethical behavior. 4
- H. We treat fairly those individuals in our unit who report unethical behavior. 5
- I. We hold accountable (i.e., report and/or punish) members of our organization who behave unethically. 4

Section II Total

*Use the following scale for questions in Section III.

Never	Hardly Ever	Sometimes	Almost Always	Always
1	2	3	4	5

III. Unit Leader Actions - "What do I do?" This section focuses on what you do as the leader of your organization to encourage an ethical climate.

- A. I discuss Army values in orientation programs when I welcome new members to my organization. 5
- B. I routinely assess the ethical climate of my unit (i.e., sensing sessions, climate surveys, etc.). 5
- C. I communicate my expectations regarding ethical behavior in my unit, and require subordinates to perform tasks in an ethical manner. 5
- D. I encourage discussions of ethical issues in After Action Reviews, training meetings, seminars, and workshops. 3
- E. I encourage unit members to raise ethical questions and concerns to the chain of command or other individuals, if needed (i.e., chaplain, IG, etc.). 5
- F. I consider ethical behavior in performance evaluations, award and promotion recommendations, and adverse personnel actions. 4
- G. I include maintaining a strong ethical climate as one of my unit's goals and objectives. 5

Section III Total

INSTRUCTIONS

Answer the questions in this survey according to how you currently perceive your unit and your own leader actions, NOT according to how you would prefer them to be or how you think they should be. This information is for your use, (not your chain of command's) to determine if you need to take action to improve the Ethical Climate in your organization. Use the following scale for all questions in Sections I and II.

Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree
1	2	3	4	5

I. Individual Character - "Who are we?" This section focuses on your organization's members' commitment to Army values. Please answer the following questions based on your observations of the ethical commitment in your unit. (This means your *immediate* unit. If you are a squad leader, it means you and your squad. If you are a civilian supervisor, it means you and your section.)

- A. In general, the members of my unit demonstrate a commitment to Army values (honor, selfless service, integrity, loyalty, courage, duty and respect). 4
- B. The members of my unit typically accomplish a mission by "doing the right thing" rather than compromising Army values. 2
- C. I understand, and I am committed to, the Army's values as outlined in FM 22-100, *Army Leadership*. 5

Section I Total

II. Unit/Workplace Policies & Practices - "What do we do?" This section focuses on what you, and the leaders who report to you, do to maintain an ethical climate in your workplace. (This does **not** mean your superiors. Their actions will be addressed in Section IV).

- A. We provide clear instructions which help prevent unethical behavior. 2
- B. We promote an environment in which subordinates can learn from their mistakes. 5
- C. We maintain appropriate, not dysfunctional, levels of stress and competition in our unit. 1
- D. We discuss ethical behavior and issues during regular counseling sessions. 3

IV. Environmental/Mission Factors - "What surrounds us?"

This section focuses on the external environment surrounding your organization. Answer the following questions to assess the impact of these factors on the ethical behavior in your organization.

Use the following scale for all questions in Section IV. ***Note: the scale is reversed for this section (Strongly Agree is scored as a "1", not a "5") ***

Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
1	2	3	4	5

- A. My unit is currently under an excessive amount of stress (i.e., inspections, limited resources, frequent deployments, training events, deadlines, etc.). 1
- B. My higher unit leaders foster a 'zero defects' outlook on performance, such that they do not tolerate mistakes. 1
- C. My higher unit leaders over-emphasize competition between units. 1
- D. My higher unit leaders appear to be unconcerned with unethical behavior as long as the mission is accomplished. 2
- E. I do not feel comfortable bringing up ethical issues with my supervisors. 5
- F. My peers in my unit do not seem to take ethical behavior very seriously. 1

Section IV Total

Place the Total Score from each section in the spaces below: (A score of 1 or 2 on any question requires some immediate leader action.)

Section I - Individual Character Total Score	11
Section II - Leader Action Total Score	31
Section III - Unit Policies and Procedures Total Score	32
Section IV - Environmental/Mission Factors Total Score	11
ECAS Total Score (I + II + III + IV)	85

25 - 75	76 - 100	101 - 125
Take Immediate Action to Improve Ethical Climate	Take Actions to Improve Ethical Climate	Maintain a Healthy Ethical Climate

Figure D-2. Example of an Ethical Climate Assessment Survey

PREPARATION OF A LEADER PLAN OF ACTION

D-14. 2LT Ortega looks at her ECAS score and determines that she needs to take action to improve the ethical climate in her platoon. To help determine where she should begin, 2LT Ortega looks at the scores for each question. She knows that any question receiving a “1” or “2” must be addressed immediately in her plan of action. As 2LT Ortega reviews the rest of the scores for her unit, she identifies additional problems to correct. Furthermore, she decides to look at a few actions in which her unit excels and to describe ways to sustain the performance. As she continues to develop the leader plan of action, she looks at each subject she has identified. She

next develops the plan shown in Figure D-3 to correct the deficiencies. At the bottom of the form, she lists at least two actions she plans to take to maintain the positive aspects of her platoon’s ethical climate.

D-15. 2LT Ortega has already completed the first three steps (assess, analyze, and develop a plan of action) specified in Figure D-1. When she takes action to implement the plan she will have completed the process. She must then follow up to ensure her actions have the effects she intended.

Actions to *correct* negative aspects of the ethical climate in the organization

Problem: Dysfunctional competition/stress in the unit (the competition is causing some members of the unit to seek ways to gain an unfair advantage over others) [ECAS question # II.C., IV.A. & IV.C.]

Action:

- Postpone the platoon competition; focus on the readiness of equipment and soldier preparation rather than competition.
- Build some time in the long-range calendar to allow soldiers time to get away from work and relax.
- Focus on the group's accomplishment of the mission (unit excellence). Reward the platoon, not squads, for excellent performance. Reward teamwork.

Problem: Battalion XO "ordering" the changing of reports [IV B., D. & F.]

Action:

- Go see the company XO first and discuss what he should do.
- If the XO won't deal with it, see the commander myself to raise the issue.

Problem: Squad leader's unethical behavior [I.B. & II.A.]

Action:

- Reprimand the squad leader for getting the land navigation points unfairly.
- Counsel the squad leader on appropriate ways to give instructions and accomplish the mission without compromising values.

Problem: Unclear instructions given by the squad leader ("get the parts no matter what") [II.A.]

Action:

- Have the platoon sergeant give a class (NCO DP) on proper guidelines for giving instructions and appropriate ethical considerations when asking subordinates to complete a task.
- Have the platoon sergeant counsel the squad leader(s) on the importance of using proper supply procedures.

Problem: Company XO "changing report" to meet battalion XO's needs [IV.B. & F.]

Action:

- Have an informal discussion with the company XO about correct reporting or see the company commander to raise the issue about the battalion XO.

Actions to *maintain* positive aspects of the ethical climate in the organization

Maintain: Continue to hold feedback (sensing) sessions and conduct ECAS assessments to maintain a feel for how the platoon is accomplishing its mission. [II.D. & G.; III.A. & B.]

Maintain: Continue to reward people who perform to high standards without compromising values. Punish those caught compromising them. [III.E. & F.]

Figure D-3. Example of a Leader Plan of Action

