

AU-2

GUIDELINES FOR COMMAND

A Handbook on the Leadership of People
for
Air Force Commanders and Supervisors

Publication Prepared
by
Air Command and Staff College

Air University Press
Maxwell Air Force Base, Alabama

May 1995

Report Documentation Page				Form Approved OMB No. 0704-0188	
Public reporting burden for the collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to a penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.					
1. REPORT DATE MAY 1995		2. REPORT TYPE N/A		3. DATES COVERED -	
4. TITLE AND SUBTITLE Guidelines for Command: A Handbook on the Leadership of People for Air Force Commanders and Supervisors				5a. CONTRACT NUMBER	
				5b. GRANT NUMBER	
				5c. PROGRAM ELEMENT NUMBER	
6. AUTHOR(S)				5d. PROJECT NUMBER	
				5e. TASK NUMBER	
				5f. WORK UNIT NUMBER	
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) Air Command and Staff College				8. PERFORMING ORGANIZATION REPORT NUMBER	
9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES)				10. SPONSOR/MONITOR'S ACRONYM(S)	
				11. SPONSOR/MONITOR'S REPORT NUMBER(S)	
12. DISTRIBUTION/AVAILABILITY STATEMENT Approved for public release, distribution unlimited					
13. SUPPLEMENTARY NOTES					
14. ABSTRACT					
15. SUBJECT TERMS					
16. SECURITY CLASSIFICATION OF:			17. LIMITATION OF ABSTRACT SAR	18. NUMBER OF PAGES 246	19a. NAME OF RESPONSIBLE PERSON
a. REPORT unclassified	b. ABSTRACT unclassified	c. THIS PAGE unclassified			

Disclaimer

This publication was produced in the Department of Defense school environment in the interest of academic freedom and the advancement of national defense-related concepts. The views expressed in this publication are those of the authors and do not reflect the official policy or position of the Department of Defense or the United States government.

This publication has been reviewed by security and policy review authorities and is cleared for public release.

Contents

Chapter

Page

	DISCLAIMER	ii
	FOREWORD	ix
	PREFACE	xi
1	TAKING COMMAND	1
	What Is Command?	1
	Command and Accountability	2
	Leadership and You	2
	Becoming Aware of Responsibilities	3
	Suggestions on Taking Command	5
	Advice to Commanders	8
	Geographically Separated Units	11
	Commander's Checklist	12
	A Final Word	13
2	LEADERSHIP IN CHANGING TIMES	15
	Leadership Versus Management	15
	Qualities of Leadership	18
	Vision	20
	Empowerment	23
	Learning	25
	Followership	28
	Dealing with Change	31
	Commander's Checklist	33
3	PEOPLE LEADERSHIP PROGRAMS—MILITARY	35
	Absent Without Leave (AWOL)	36
	Administrative Demotion	37
	Administrative Discharge (Airmen)	40
	Administrative Discharge (Officers)	43
	The Air Force Weight Management Program/The Air Force Fitness Program	44
	Airman Reassignment Restrictions	49
	Arrest by Civilian Authorities (United States Only)	49
	Awards and Decorations	51
	Base Driving Privileges	52
	Casualty Services Program	53
	Child Abuse, Child Neglect, and Spouse Abuse	54
	Commander's Call	56
	Control Roster	57
	Counseling	59
	Court-Martial Charges	60
	Dormitory Management	62

	Drug and Alcohol Abuse	63
	Drug Testing/Urinalysis Program	63
	Enlisted Professional Military Education	66
	Enlisted Specialty Training	67
	Equal Opportunity and Treatment	68
	Evaluation Reports	69
	Family Advocacy Program	70
	Family Care Program	71
	Financial Responsibility	73
	Humanitarian Reassignment/Deferment	74
	Individualized Newcomer Treatment and Orientation (INTRO) Program	75
	Information—Disclosure of Air Force Records	76
	Investigations and Inquiries	78
	Leave, Passes, Compensatory Time, and Permissive Temporary Duty	80
	Line of Duty and Misconduct Determinations	82
	Nonjudicial Punishment (Article 15, UCMJ)	86
	Nuclear Weapons Personnel Reliability Program	89
	Pretrial Confinement	90
	Promotion (Airmen)	92
	Protest and Dissident Activities	96
	Religious Accommodation	98
	Reports of Survey	99
	Reprimands	101
	Rights of Suspects (Article 31, UCMJ)	102
	Safety	105
	Searches and Inspections	105
	Selective Reenlistment	108
	Support of Dependents	110
	Terrorism	111
	Unfavorable Information File	112
4	PEOPLE LEADERSHIP PROGRAMS—CIVILIANS	115
	Career Management (Civilians)	115
	Drug and Alcohol Abuse Prevention and Control Program for Civilians . . .	116
	Equal Employment Opportunity and Affirmative Employment Programs	117
	Grievance Procedures	118
	Labor-Management Relations	120
	Leave Administration (Civilians)	121
	Management Evaluation Program	125
	Merit Promotion Program	126
	Performance Management Program	128
	Position Classification and Descriptions	129
	Sexual Harassment	131

	Standard of Conduct and Disciplinary Actions for Unacceptable Performance	132
	Supervision of Civilian Personnel	134
	Training and Development (Civilians)	135
5	BASE AGENCIES	137
	American Red Cross	137
	Area Defense Counsel	138
	Civilian Personnel Flight	138
	Chaplain	139
	Civil Engineering	139
	Communications	140
	Comptroller	141
	Contracting	142
	Education Services Office	143
	Family Support Center	144
	Housing Management Flight	145
	Medical	146
	Military Personnel Flight	146
	Mobility Plans	147
	Office of Special Investigations	147
	Public Affairs	148
	Safety	148
	Security Police	149
	Services	150
	Social Actions	150
	Staff Judge Advocate	150
	Supply	151
	Transportation	151
	Commander's Checklist	151
6	QUALITY AND THE COMMANDER	153
	Leadership and Quality	154
	The Quality Air Force System	157
	The Quality Air Force Assessment	166
	Total Quality Management	168
	Air Force Quality Awards	170
	Summary	170
	Commander's Checklist	172
7	THE COMMANDER AND THE INFORMATION AGE	175
	The Internet	175
	<i>Air Chronicles</i> : Air University's Online Publication	180
	Personnel Concept III	181
	Wireless Technology in the Field	182
	Information Dominance	182

	Global Network Access	183
	The Information Superhighway and Empowerment	184
	Commander's Checklist	184
8	DEPLOYMENT AND THE COMMANDER	187
	Predeployment	188
	Deployment	189
	Redeployment	191
	Postdeployment	192
	Summary	192
	Commander's Checklist	195
9	SENSITIVE ISSUES	199
	Air Force Relations with Congress	199
	Environmental Law	201
	Fraternization and Professional Relationships	205
	Human Immunodeficiency Virus Program	206
	Homosexual Conduct	208
	Senior Official Misconduct	211
	Sexual Harassment	213
	Standards of Ethical Conduct	214
10	JOINT WAR FIGHTING	219
	Joint Relationships	219
	Principles of War	223
	Military Operations Other than War	227
	Conclusion	230
	Commander's Checklist	232
	APPENDIX	233

Illustrations

1	Administrative Demotion Flowchart	39
2	The 11 Steps of Quality Focus	157
3	The Seven Steps of the Continuous Improvement Process	159
4	Flowchart for Analyzing Inoperable Copy Machine	161
5	Example of a Pareto Chart	162
6	Example of a Run Chart	163
7	Example of a Cause-and-Effect Diagram	164
8	Example of a Histogram	165

9	Example of a Scatter Diagram	165
10	Subordinate/Component Relationships in a Unified Command	221

Table

1	<i>Managers and Leaders: A Comparison</i>	17
2	<i>Example of a Check Sheet</i>	162
3	<i>Maximum Penalties for Violating Federal Environmental Requirements</i>	204
4	<i>Unified Commands (Geographical)</i>	220
5	<i>Unified Commands (Functional)</i>	220
6	<i>The Joint Staff Structure</i>	229
7	<i>Component Staff Structure</i>	230

Foreword



Congratulations on your selection for Command! I have had the honor to command at virtually every level of the Air Force. I firmly believe it is one of the greatest honors the Air Force bestows on its officers and represents a sacred trust. With this honor, however, comes an awesome responsibility for the actions, careers, and lives of those you lead. There is no greater challenge. Simply stated, you are responsible for everything your unit does. At the same time, command makes it possible for you to take care of our most precious resource - our people. This book provides practical guidance and information to help you succeed as you exercise your hard-earned command authority.

As a commander, your duties and responsibilities will change your life. You will immerse yourself totally in the business of your unit, the problems of its people, and the challenges of its mission. In no other position do those three elements blend so intimately, and so directly. You determine how your unit's mission is accomplished and whether operations succeed or fail. You will live under the constant eyes of your subordinates and your superiors. To be successful, you must lead and follow by example.

Guidelines for Command is an easily read book you will want to keep in your personal library. It draws upon the shared experience of many former commanders to help you develop your own command style. Its fundamental premise is leaders can and should make a difference in the units they command. Use this book to help you rise to the high expectations the Air Force has for you as a commander. Good luck and TAKE CHARGE!

RONALD R. FOGLEMAN
General, USAF
Chief of Staff

Preface

Command v. to exercise authority (over); rule. 3. To dominate by location; overlook. n. The act of giving orders. b. An order so given. 2. The authority to command. 3. Ability to control; mastery. 4. A unit or post under the command of one officer.

*American Heritage Dictionary
of the English Language*

Command entails much more than the above definition. It is about people—your people. As a commander, you will be responsible for ensuring that the people assigned to your squadron have the opportunity to develop professionally. You will also be the one to help them on a personal level from time to time. You are their commander, the one whom they will look to for leadership, for guidance, and occasionally for comfort. You are the disciplinarian and are empowered by the US Air Force to take steps necessary to enforce good discipline and order in your squadron. All this is a responsibility that is not to be taken lightly.

People are the most important resource in any organization. There are numerous schools of thought on the effective management of people. Managing people is fraught with numerous problems and issues. It is with some of these problems and issues in mind that the authors researched and wrote this book.

The book was written for a twofold purpose. The first part of each chapter is written in a narrative format for the use of Air University course instructors to incorporate in their instruction. The second part of each chapter contains checklists that will assist those who are currently commanders to make sure they cover all the bases. Finally, a computerized tool book is available for instruction and for commanders who wish to add an automated version to their computer library.

This book should give you the guidelines necessary to achieve success as a commander. The concentration is on the people—not the mission, money, or materials.

Chapter 1, “Taking Command,” provides insight into the initial duties and responsibilities. It can also serve as a refresher for experienced commanders. Chapter 2, “Leadership in Changing Times,” focuses the commander on the various challenges and aspects of leading people. Chapter 3, “People Leadership Programs—Military,” covers a number of substantive areas that a commander will likely face in dealing with military personnel. The chapter addresses “quality force” issues such as administrative discharge, control roster, OPRs/EPRs, promotion, reenlistment, unfavorable information files, and weight control. It also includes areas that help motivate personnel such as commander’s calls, awards and decorations, and the newcomer program. Chapter 4, “People Leadership Programs—Civilian,” deals with much the same issues as chapter 3, but with the uniqueness of the civilian personnel system. Chapter 5, “Base Agencies,” focuses on the various staff agencies and support services that commanders interface with at military installations. It covers the variety and extent of most services offered on an installation. Chapter 6, “Quality and the Commander,” addresses the commanders involvement in the quality movement as well as various approaches taken by the major commands with respect to the Quality Air Force Assessment. Chapter 7, “The Commander and the Information Age,” presents the various information tools available to assist commanders in managing their personnel. Systems such as PC-III are presented in a manner to educate commanders about current and future technologies to assist them in decision making and personnel management. Chapter 8, “Deployment and the Commander,” explores issues that a commander must address in preparing a military unit to deploy in support of exercises and real-world contingencies. The chapter focuses on predeployment,

deployment, and redeployment issues. Chapter 9, "Sensitive Issues," deals with issues such as sexual harassment, homosexual policy, and the joint ethics regulation. Chapter 10, "Joint War Fighting," focuses on any anomalies faced by commanders in joint commands. Chapters 6, 7, 8, 9, and 10 are new chapters that have been added since the last revision of this book.

This book, if used properly, should enable you to offer better advice to the men and women who work for you. It will be a valuable addition to your professional reference library. One word of caution: all references cited in this book, although current at the time of printing, should be checked for currency before you initiate any action.

It is the sincere hope of the authors that you make this book your own. Add to the checklists as you feel is appropriate and make notes in the margins, making the book a useful tool for yourself.

If you believe that your revisions will have value for other commanders and supervisors, please share them by sending your input to:

Guidelines for Command Project
ACSC/DER
Maxwell AFB AL 36112-5542
DSN 493-2852

Your suggestions will help in preparing the next revision of this text. The Air Command and Staff College plans to revise this book periodically to keep it up-to-date and to make it of greater practical value.

The authors built on the work of several previous teams of students and faculty advisors, which made our task much easier. To those who have gone before us and laid the groundwork, you have our gratitude. We also acknowledge the assistance of many staff offices and personnel on Maxwell Air Force Base and Gunter Annex, Alabama, who provided their expertise in our research.

Finally, we wish to thank our colleagues at the College of Aerospace Doctrine, Research, and Education (CADRE) Dr Elizabeth Bradley, director, Air University Press; Hugh Richardson, research and writing specialist; Carolyn McCormack and Peggy Smith, editorial assistants; Becky McLeod, printing specialist; and Steve Garst, cover designer—for their assistance in helping to prepare this text for publication. We greatly appreciate their patience, dedication, and editing skills. We wish to express our special thanks to our faculty advisors, Lt Col Rita Springer and Maj Tim Timmerman, who provided the leadership and support for this important project.

Maj Tom Burris
Maj Catherine Duncan
Maj Lorene Gaston
Maj Craig Hitchings
Maj David Hocking

Maj Randall Horn
Maj Johnny Horn
Maj Keith Hunt
Maj Dewitt Hynes
Maj Larry Johnson

Maj Gerald Lucas
Maj Richard Pierce
Maj Ronald Reed
Maj Rebecca Rowland
Maj Martin Sayles

ACSC
Class of 1995

CHAPTER 1



Taking Command

Good leaders are people who have a passion to succeed. . . . To become successful leaders we must first learn that no matter how good the technology or how shiny the equipment, people-to-people relations get things done in our organizations. People are the assets that determine our success or failure. If you are to be a good leader, you have to cultivate your skills in the arena of personal relations.

—Gen Ronald R. Fogleman, USAF Chief of Staff

Congratulations! You've just learned you're going to be a commander. After the initial feelings of exuberance and pride wear off, you are probably going to experience some feelings of anxiety and perhaps apprehension when you consider just how important (and perhaps somewhat overwhelming) your new job will be. Though command of a unit is something to which most officers aspire, it has never become easy. It is, however, arguably the most rewarding job you will ever have.

This chapter contains ideas and suggestions that will help you assume command or begin supervision of any sizable organization. These ideas are based upon principles that have proven their worth. Mastery and thoughtful application of these principles will help you strap on your new position and avoid mistakes early in your tenure as a commander or supervisor.

What Is Command?

Definition of command

Command is the legal authority to direct and order subordinates to perform duties or accomplish actions to attain military objectives. Commanders have legal authority by virtue of their rank and assignment.

Successful military operations depend on unity of command. There must be a single commander at each level of command—and each commander must know what is expected of that command. Although authority for accomplishing portions of a military unit's mission may be delegated to a lower command or staff element, overall responsibility for the success or failure of the unit's mission rests solely with the commander. *The commander's leadership is the key to success.*

Commanding and leading

There is a significant difference between *commanding* and *leading*. Given the authority, anyone can command. Leading, on the other hand, is a delicate art calling for people-oriented attributes that many may find elusive, or difficult to develop. However, you can acquire these attributes if you are determined to have them.

People merely obey arbitrary commands and orders, but they respond quickly and willingly and usually give that extra effort for leaders who genuinely care for them.

Command and Accountability

Leaders lead by example and set the tone. Above all, they do not countenance selective enforcement of standards. I know of no more ruinous path for commanders than selective enforcement of rules and standards. . . . Excellent leaders have very high standards and they enforce them without fear or favors.

—Gen W. L. Creech

*Hold your people
and yourself
accountable*

Every text ever written on the art of command stresses one undeniable fact: Commanders must be ready to hold themselves and their people accountable for their actions. You, as the boss, are responsible for ensuring that the mission is accomplished. Inhibitors to this task, such as the continued presence of ineffective, untrainable, or intractable subordinates, drain the organization and rob it of the time, energy, and attention needed to accomplish the mission.

Commanders must be willing to remove people for cause. If they fail to do so when required, they are guilty of the worst kind of mismanagement possible because the result may sometimes be tragic—the most obvious example being the failure to remove or otherwise correct an unsafe pilot, culminating in needless and inexcusable deaths.

*Apply discipline
fairly and
consistently*

Commanders serve no one—not the unit, not the Air Force, and especially not the individuals—by keeping them in responsible positions after they have proven either unwilling or incapable of doing their job. In today's streamlined Air Force, high standards are essential and must be enforced. Rationalized responses to misconduct such as “I don't want to damage the individual's record” or “The offender is a ‘good airman/ officer/ civilian’” simply means the commander didn't have the integrity to make the hard call.

Gen John M. Loh, commander of Air Combat Command, offers the following advice for commanders:

Don't look the other way to avoid having to face a difficult problem. Commanders must be able to distinguish between mistakes and crimes and deal with them differently. They must apply discipline fairly and consistently across the board without regard for friendship, rank, or other discriminators. They have to avoid favoritism, nepotism, and cronyism in all their forms. Finally, they have to know when to administer discipline and when to practice compassion and not get the two mixed up.*

Leadership and You

Webster defines a *leader* as “a person who leads, directs, commands, or guides a group or activity.” The definition is stated simply but the underlying implications of leadership are many and run deep.

*Gen John M. Loh, “What It Takes to Be a Commander,” *Air Force Times*, 17 October 1994, 41.

Essentials of leadership

Involvement

A conscientious commander or supervisor knows and practices the basic principles of leadership every day. Among these principles is one, however, that is too often neglected in today's fast-paced environment of technology and specialization—knowing the people who work for you and showing sincere interest in their problems, career development, and welfare. People are the key to mission accomplishment. The following quotation from the 1984 version of Air Force Manual (AFM) 1-1, *Basic Aerospace Doctrine of the United States Air Force*, 18 March 1984, is still relevant:

In every sense, US Armed Forces belong to the people, and the ultimate success in committing these armed forces to achieve an objective will rely on the support of the people. To ignore this relationship is to invite defeat.

Men alone, or machines alone, do not spell success: how men use machines in the combat environment, and the spirit of leadership that guides that use, will spell victory or defeat.

Former Air Force Chief of Staff Merrill A. McPeak's statement on leadership is also appropriate:

Competence and character

I believe the essentials of leadership can be summed up in two words; competence and character. Unless you understand your profession, unless you know the details, your judgment will not be trusted—you cannot lead. This understanding, this knowledge, in a word, this competence, can only be acquired by hard work. But, it's not enough that a leader knows his business. He must be reliable. A whole range of attributes comes into play here—honesty, loyalty, integrity—and we summarize these as character.

Vision

One of the most dominant characteristics a leader must portray in these times is a sense of vision. A vision of where he or she wants that organization to go and what that organization should be thought of.

Gen John M. Loh, commander of Air Combat Command, made the following statement about the role of leadership:

A good leader sets goals, measures progress and rewards performance. He or she tries to give everyone a stake in the mission of the organization and its outcome. That's the role of leadership.*

Development and motivation of subordinates

As a commander or supervisor, you can exert positive or negative influences on your people. The final measure of your leadership image is reflected through the degree of efficiency, productivity, morale, and career motivation of your people.

Within the military, simply getting along with people is not enough. An officer's prime responsibility is to develop people and make the most of their talents. The purpose is to make a better and stronger military.

—The Armed Forces Officer

Becoming Aware of Responsibilities

Lead, not drive, your people

As a commander or supervisor, you assume full responsibility for the accomplishment of your unit's mission. Your responsibilities go further than that, however, since you are expected to accomplish that mission with the minimum cost in people, materiel, and money. As noted above, the key

*Lt Col Michael B. Perini, "A Conversation with Gen John Michael Loh, commander, Tactical Air Command," *Airman*, April 1991, 9.

element in your command, the element that will do the most toward accomplishing the mission, is leadership of your people. If you are an effective leader, you will lead, not drive, your people. You will make fair and firm decisions on their behalf and in the interest of good order, discipline, and the successful accomplishment of the mission.

Understand your job

You must understand the scope of your responsibilities and know what is expected of you in your new job. But before proceeding with an analysis of your job, you should first find out whether you are ready to accept the challenge of a command or major supervisory position. To do this, ask yourself the following questions:

*Ask yourself
these questions*

- Am I willing to dedicate myself solely to my unit?
- Are members of my family willing to assume their role in helping me create a happy Air Force community?
- Is my family willing, if necessary, to be secondary to the unit, squadron, group, or wing?
- Am I and my family willing to live in a “fishbowl,” open to observation and criticism by both subordinates and superiors?
- Am I physically and emotionally fit to carry the load?
- Do I have the courage to make tough decisions and stand by them?
- Am I flexible when dealing with changing situations? Am I willing to risk new ideas?
- Can I remain enthusiastic and cheerful when I am confronted with seemingly impossible tasks?
- Am I willing to leave a comfortable office to check or supervise training, maintenance, and other activities of my unit?
- Am I willing to do my best with what seems inadequate means?
- Am I confident that I can produce a superior unit from average people?
- Can I inspire people to achieve outstanding results?
- Am I willing to take reasonable risks to allow my subordinates to grow and become more productive?
- Am I willing to let my subordinates be creative?
- Am I accessible to my troops? Does my manner invite communication?
- Do I really listen? Can I withhold judgment until the facts are in?
- Do I like to be with young people? Can I live with their energy, their points of view, and the problems they create?
- Am I always willing to accept my subordinates’ failures as my own, yet immediately recognize their successes as theirs?
- Am I able to do many things at one time? Can I manage a complex job?
- Can I stand tough competition from similar units and still retain a spirit of cooperation and teamwork with them?
- Can I carry out orders as well as give them?
- Do I really want to command? Am I sure my motivation is more than simply having the command experience entered on my record?

If you are truly honest with yourself, you will probably not answer yes to all those questions. Only if you are completely honest in answering the questions, however, will they give you real insight into what lies ahead.

Even with an insight into your responsibilities, you cannot expect to be a good commander or supervisor unless you make some practical preparation for the day you will assume command or supervision. Such preparation will enable you to make a favorable first impression on your unit, and it will also somewhat smooth out the oftentimes difficult learning curve facing every first-time commander or supervisor.

Suggestions on Taking Command

Be yourself

You've worked long and hard for this chance to command, and you want to take full advantage of the opportunities offered you in your new position. Take a look at what being a commander is all about. Above all, *Be Yourself!* Develop the best that is in you and let this come to the fore. Col Timothy Timmons, in his book *Commanding an Air Force Squadron*, puts it very succinctly, "Don't change—you wouldn't be in command if you didn't deserve it."* Use the following suggestions to help you:

Take Command; Grab Hold of It!

Find out all you can about the organization

You are responsible, and your unit is depending on you to make the right decisions and lead your people toward the accomplishment of your mission. Your unit will reflect your leadership style. You cannot afford time to ease into the job as you may have done in other jobs. You can, however, spend time finding out all you can about the job before assuming command.

If you are relieving someone who is simply moving on into another job, plan to have a closed-door conference with the incumbent before that person leaves. Get your predecessor's views on the strengths and weaknesses of the organization and its key people.

If you are relieving someone who is being removed because of poor performance, have a conference with your new boss. Discuss specific problems that have arisen. Attempt to find out how much time you will have to resolve these problems. This may determine the style of leadership to use and your pace for making changes early in your tenure.

Analyze the information obtained at this first meeting. Make a tentative inventory of what you will have to work with. Remember that much of what the incumbent told you represents a personal view. You may see some things differently. Decide what kind of leader you will be in this situation. Does the situation require you to be directive, telling people what to do? Or can you see a greater maturity in the people of your new unit, allowing you to use a more participative leadership style? If possible, set goals before you start rather than allow events to shape your command personality.

*Col Timothy T. Timmons, *Commanding an Air Force Squadron* (Maxwell AFB, Ala.: Air University Press, December 1993), 13.

Get to Know Your People as Rapidly as Possible

Suggestions

Remember, they are critical to the success of your unit, and, therefore, to your own success. You must understand their points of view regardless of whether you agree with them and regardless of the past performance of the unit. Upon assuming command:

- Hold a staff meeting with your key people. Try your policy speech on them. Solicit feedback, and while they talk, *Listen!*
- Before the first commander's call, conduct closed-door individual conferences with key staff people. Ask questions about the unit's mission. You will want to know some of the recent history of the unit, its present performance and problems, and its plans for the future. Remember you are seeing the unit through the eyes of your key people. Compare their perceptions with your own. Find out:

The unit's place in the overall organization

1. The place of the unit in the overall organization, including the relationship of the unit to its headquarters, to collateral units, and to subordinate units.

Strengths and weaknesses of key personnel

2. Significant strengths and weaknesses of key officers and NCOs in the unit.

Unwritten policies in effect

3. The strengths and weaknesses of persons outside the unit with whom it is necessary to do business.

Unit's strengths and weaknesses

4. Policies in effect within the unit but not contained in written directives.

5. Areas of the unit's strengths and weaknesses. You should know the unit's specific strong points. You should also ask about specific problems and their current status, the persons involved, and the action agencies to be used in resolving the problems. Also important is the state of discipline, specific disciplinary problems, and actions under way to resolve those problems. Ask about the unit's safety record also.

Status of resources and training

6. Status of available resources. Find out about the actual versus the authorized manning levels, expenditures versus the budget, and equipment versus the mission requirements. Be sure to determine current training status as well.

Suggestions for your first commander's call

- Use the supervisor's meeting and your first commander's call to

1. Introduce yourself. Tell who you are and where you have been, briefly and factually.
2. Briefly but firmly state your basic operating policies concerning Air Force standards of courtesy, appearance, and discipline; general administration of the unit; management of resources; training; and safety.
3. Make clear your feelings about performance reports (OPRs and EPRs), promotions, personal education efforts, off-duty activities, time off, leaves and passes, and similar policies.

4. Solicit your subordinates' help in making the unit, themselves, and you better. Say (and mean!) that you are willing to listen to constructive criticism.

Always end your commander's call on a bright note. Indicate your awareness of the importance of the unit's mission and the critical importance of each person in the unit toward the successful accomplishment of that mission. Emphasize two-way communication by asking for questions as you go along. Let your people know you are accessible, but try not to use the overused and trite "my door is always open" statement; it turns people off. Instead, you really want to turn them on to the idea that, working together, you are all going to accomplish great things for your unit to the benefit of everyone. Besides, if you're doing the job the way it should be done, you won't be in your office long enough for anyone to try out the door. You will be out where your people are, finding out what they're doing and what you can do to help them do their job. Whatever you do, don't hide in your office and don't make excuses about heavy paperwork keeping you chained to your desk. Organize your work to reduce desk time to a minimum.

Let Your People Know You

*Be seen often
throughout the unit*

Especially in the first few weeks after you take command, be seen all over your unit at all hours. Visit every place where your people work, live, and play. Talk with them in the shop, office, flight line, or launch control capsule; ask them about their jobs; eat with them in the dining hall; spend some time in the dayroom and club; tell the first sergeant you want to see the dorm with people there; make sure you visit every area of your command and talk with everyone. Establish the idea wherever you go that you are "the boss people can talk to," not only about their job or their problems but about anything else.

*Ask and answer
questions*

You will get many questions about this or that policy, generally ending with, "What are you going to do about it?" This is a good time to get out the little black notebook and make yourself a note. However, don't make any commitments to change anything until you've had a chance to check out the matter thoroughly. Do indicate you will look into the matter, *and then do it!* These are test questions; your people are trying to feel you out. Don't fail to get a response back to them, and try to answer them personally. Your people will see you are serious about keeping communication open and sincere; this builds rapport, trust, and respect between you and your subordinates. These are critical elements in a successful command relationship, so nurture them!

Set the Example

*Let your actions
and appearance
be an example*

This may be the toughest part of being a leader. Look at yourself honestly and ask, "Am I the best I can be?" If you aren't, work on improving your shortcomings; do whatever it takes to overcome them. You may find yourself challenging some ways of doing things you've become very comfortable with—ways that are difficult to give up. Nevertheless, you must recognize what your own inadequacies really are. Don't be embarrassed to seek help; nobody, including your new boss, expects you to be perfect and not make mistakes. You will, anyway, so don't be uptight

about it; instead, learn from your mistakes, and those you observe others make, and try not to repeat them. You cannot demand the best from everyone else in your unit if you can't give your best. Remember, as a commander, you are always on display, always being watched and emulated—for better or worse. You should never preach one thing and do another. Without saying a word, you communicate by your actions what you think about dress and personal appearance, promptness, alcohol consumption, courtesy, physical fitness, and concern for your people. Better an ounce of forethought about your actions than trying to regain the respect of your people after you've lost it. That can be tough!

Advice to Commanders

*Develop your
own style*

All right, you say, I understand what is expected of me. Now, how do I do it all? The answer is there are no magic formulas. Leadership is as individual and personal as anything can be. As a commander, you must develop your own style; hence, the advice to “be yourself” offered earlier. You can benefit from the recorded experiences of others who have been commanders before you. In 1976, while he was commander in chief, Pacific Air Forces (PACAF), Gen Louis L. Wilson, Jr., wrote the following “Advice to Commanders . . . 10 Points.” Although the advice is old in a chronological sense, its spirit and wisdom still remain fresh.

*Ten points of advice
to commanders*

1. BE TOUGH. Set your standards high and insist that your people measure up. Have the courage to correct, and if necessary, chastise those who fail to do so. Discipline those who won't conform. In the long run your people will be happier. Almost certainly morale will be higher, your outfit better, and your people prouder. Good outfits have tough commanders—not arbitrary or unfair or cruel—just tough.
2. GET OUT FROM BEHIND YOUR DESK. See for yourself what's going on. Your place of business is where the action is. Leave your footprints all over the place. Your subordinates will see that you're interested in their problems, working conditions, and welfare. Many of your people problems will go away if you practice this point.
3. SEARCH OUT THE PROBLEMS. They are there. If you think there are no problems in your organization, you are ignorant. Again, they are there. The trick is to find them. Foster an environment that encourages people to bring problems to you. If you shun problems, you are not fit to command.
4. FIND THE CRITICAL PATH TO SUCCESS. Get personally involved on a priority basis. Let your influence be felt on the make-or-break issues in your organization. Avoid the “activity trap”—don't spend your valuable time on inconsequential or trivial matters. Weigh in where it counts. Be the master of your fate—don't leave it to chance.
5. BE SENSITIVE. Listen to your people. Communicate. Be perceptive. Recognize that communication is shared perceptions. Empathize. Learn to recognize problems. Seek ideas. Be innovative. Listen, listen, listen!
6. DON'T TAKE THINGS FOR GRANTED. Don't assume things wrong have been fixed—look for yourself. Neither assume they will stay fixed. The probability is high that “fixed” problems will recur. Recheck the fix.
7. DON'T ALIBI. Just fix it. Remember, you and your outfit can never be perfect. People will make mistakes. Don't be defensive about things that are wrong. Nothing is more disgusting than the individual who can do no wrong and has an alibi for any and everything that goes awry.

8. DON'T PROCRASTINATE. Don't put off those hard decisions because you're not willing to make them today. It won't be easier tomorrow. This doesn't mean to make precipitous or unreasoned decisions just to be prompt. But once you've arrived at what you believe is correct, get on with it. Don't stymie progress.

9. DON'T TOLERATE INCOMPETENCE. Once people have demonstrated laziness, disinterest, or inability to get the job done, you must have the courage to terminate their assignments. You cannot afford to do less. On the other hand, when your people are doing good work, recognize it and encourage them. Certainly, they will do even better.

10. BE HONEST. Don't quibble. Tell it like it is. Insist that your people do likewise. They set their patterns based upon your example. Absolutely nothing can be more disastrous than garbled information, half-truths, and falsifications. Make sure your people know where you stand on this matter. Encourage them to come to you if they have doubts about veracity in the outfit. You must create an atmosphere of trust and confidence. And be honest with yourself—don't gimmick reports and figures or use cunning ways just to make things look good. If you do, you are a loser before you start.*

To sum up, your task is to lead. This requires hard work, enthusiasm for the job, and sensitivity to what's going on around you. You must set your standards high, be involved, listen, know what the problems are, remove the weak, promote the strong—and to do this well you've got to be tough. Finally, remember that honesty and integrity are basic to it all. Don't risk success—practice these ten points. If you do, you certainly won't be a failure.

More Advice

*Further advice
for commanders*

- Do not pretend to know everything. If you think you know all the answers, you simply haven't heard (or asked) all the questions yet.
- Do not make new policy statements arbitrarily to assert your authority. Do not do anything arbitrarily; think about how your people will perceive the new policy.
- Do not alienate everyone with such statements as "I'm going to make this a first-class outfit." It may already be that.
- Do not expose your ignorance by making snap decisions. Ask your staff for their advice and involve them in the decision-making process whenever possible. This is an especially useful technique for dealing with disciplinary problems; make the supervisor recommend what to do about a troublesome airman. In any case, if you really involve your people and listen to them, it's virtually guaranteed you will learn more from them than they learn from you.
- Use all available talent to help you. Recognize expertise wherever you find it; the "expert" at fixing some specific problem may be the lowest ranking airman in the unit. Remember, you can't possibly accomplish the mission alone!
- *Do not be awed by your own importance; you might come to believe in it.*

*AFROTC Letters, 18 March 1976

Air Force Standards

*Know and enforce
Air Force standards*

Air Force standards of conduct, discipline, and customs and courtesies reflect our broad heritage and traditions. As leaders and trainers of tomorrow's Air Force, you must know and enforce Air Force standards. Current Department of Defense and Air Force policy provides specific guidance. Some key issues are discussed below:

Mission. The mission of the United States Air Force is to preserve the United States as a free nation with its fundamental institutions and values intact by preparing aerospace forces for the conduct of prompt and sustained combat operations. If conflict occurs, the Air Force will respond with actions as directed by the national command authorities. The mission requires disciplined, dedicated, and educated people who live and work by the highest personal and professional standards.

Oath. Upon entering the Air Force, each member voluntarily takes an oath. With continued service or reenlistment, we reaffirm our belief and commitment to that oath. We promise to protect and defend American freedoms, to obey orders of superiors, and to live by a military set of rules and standards.

A Way of Life. As a member of the Air Force, you are subject to duty 24 hours a day, including weekends and holidays. If so directed by competent authority, you must report for duty at any hour, at any location, and remain as long as necessary to get the job done. Our mission necessitates more restrictive rules and standards than are normally found in civilian life. Individuals who cannot live up to these high standards will not be retained in the Air Force.

Customs and Courtesies. Our customs and courtesies are proven traditions—some written and some unwritten—that explain what should and should not be done. They are acts of respect and courtesy in dealing with other people. They have evolved as the mutual respect and sense of fraternity that exist among military personnel.

Respect for the Flag. The flag of the United States represents the principles and ideals you have pledged to defend; it is treated with the same respect due the highest public official. When you are stationed in a foreign country, you must show the same respect to the host country's flag and national anthem that you show to your own.

Chain of Command. The chain of command provides the control and communications necessary to accomplish the mission. Each level in the chain is responsible for a lower level and accountable to all higher levels. The chain cannot work without loyalty to every level. With loyalty up and down the chain, it is a highly efficient and effective system for getting things done. The key principle is to resolve problems and seek answers at the lowest possible level.

Conduct. The Air Force has a very important mission, and each member has serious responsibilities for carrying out that mission. You are responsible for carrying out orders, performing specific daily tasks related to duties, and living up to the high standards of the Air Force. As a supervisor, you have the responsibility to make sure your subordinates

meet the same standards. Standards of conduct apply both on and off duty, in personal behavior and in treatment of others, and in both military and civilian environments.

Professional Relationships. Professional relationships are essential to the effective operation of the Air Force. In all supervisory situations there must be a true professional relationship supportive of the mission and operational effectiveness of the Air Force. Officers and NCOs must make sure their personal relationships with members for whom they exercise a supervisory responsibility, or whose duties or assignments they are in a position to influence, do not give the appearance of favoritism, preferential treatment, or impropriety. Excessive socialization and undue familiarity, real or perceived, degrade leadership and interfere with command authority and mission effectiveness. It is very important that the conduct of every commander and supervisor, both on and off duty, reflect professionalism.

Military Ethics. You must practice the highest standards of behavior, obedience, and loyalty—not only in your job, but in your relationship with other people and in your dealings with the civilian community. Your code of ethics must be such that your behavior and motives do not create even the appearance of impropriety. Your commitment to integrity will lead the way for others to follow. DOD Directive 5500.7, *Standards of Conduct*, provides guidance concerning acceptable conduct of Air Force members.

Drug Abuse. Drug abuse—the illegal or improper use of drugs, including marijuana—is absolutely incompatible with Air Force standards of behavior, performance, and discipline necessary for accomplishing the mission and will not be tolerated.

Alcohol Abuse. Members have the responsibility to exercise good judgment in the use of alcohol. Alcohol use must not adversely affect duty performance or conduct on or off duty. Driving while intoxicated will not be tolerated; violators are subject to apprehension and punishment under the Uniform Code of Military Justice.

Equal Opportunity and Treatment. Air Force standards of conduct require that each member be treated with respect and dignity regardless of race, color, religion, age, national origin, or sex.

Financial Responsibility. Members are expected to pay debts on time. Failure to satisfy just financial obligations is not consistent with the standards of conduct expected of Air Force members.

Public Statements. AFR 190-1, *Public Affairs Policies and Procedures*, governs public statements on official Air Force matters. The objective is to avoid statements that do not reflect Air Force policy or that, if taken out of context, could be misleading to the public. For questions concerning limitations and responsibilities, refer to the public affairs office.

Geographically Separated Units

If you are assuming command of a geographically separated unit (GSU), you face some unique challenges and responsibilities.

Use geographical separations of your unit to promote esprit de corps

First, you will inevitably become more involved in all aspects of the lives of your subordinate personnel than if your unit were located on a main operating base. This is due to the physical and functional isolation of your unit from the rest of the Air Force community. You can and should use this isolation to your advantage to promote unit cohesiveness and esprit de corps.

See that your unit receives required support

Second, you may find your unit receives needed support such as housing or medical services from other military and/or civilian agencies. Therefore, you may find that you must learn new policies and procedures for obtaining the required support, and you must sometimes explain and interpret those policies and procedures to Air Force agencies, occasionally even resolving disputes.

Check regulations for your responsibilities

Third, you and your unit may be required to accomplish certain functions, especially administrative tasks, that would ordinarily be performed by someone else on a main base. An increasing number of Air Force regulations dictate special responsibilities, policies, and procedures for GSU commanders; look for these special provisions as you familiarize yourself and work with applicable publications.

You represent the US Air Force wherever your GSU is stationed

Fourth, it is essential that you always keep in mind that you, as a GSU commander, constantly represent the United States Air Force to outsiders. On a main base it is entirely possible to be a unit commander yet have very little or no contact with civilians or representatives of other services; this is not true of a GSU commander. Many of our GSUs are located in foreign countries, which means that GSU commanders are constantly interacting with citizens of those countries and with representatives of foreign governments and military services. Thus, a GSU commander may act as a de facto diplomat; this is also true, of course, for senior Air Force officers who serve as wing and base commanders in foreign countries. In such circumstances, you represent not only the Air Force but the United States of America as well.

You represent the US Air Force to your subordinates

Fifth—and this may be the most important and challenging difference—as a GSU commander you personify the Air Force to your subordinate officers, airmen, and civilians. Especially in the case of your airmen, many will be assigned to your unit for their first tour of field duty. Their perceptions of the Air Force and their desire to remain beyond their first term of enlistment are directly affected by literally everything you say and do. You are never “off duty,” especially as a GSU commander; you are the Air Force in the eyes of your subordinates.

Commander's Checklist

The following list is taken from the ideas of many successful commanders, including Lt Col Timothy Timmons' book, Commanding an Air Force Squadron, and Maj Gen Perry Smith's work, Taking Charge. They should prove helpful as a checklist as you begin your new assignment.*

*Maj Gen Perry M. Smith, *Taking Charge: A Practical Guide for Leaders* (Washington, D.C.: US Government Printing Office, 1986).

- Educate yourself about your squadron and its mission. Study the unit's mission, the wing's mission, and how they fit together. Remember, the mission is absolutely critical. If you cannot get it done, you're gone!
- Ask for all available information about the unit. Expect and demand briefings on all major issues.
- Discuss the personalities within the unit with the departing commander to get the following:
 - ☐ A frank evaluation of existing personnel problems
 - ☐ A candid analysis of who can or cannot be counted on
- Have a transition plan. If your unit already has one, incorporate the best points into yours. Adapt it to your leadership style.
- Identify issues on which you need further information—i.e., budget status, squadron morale, last inspection results, quality initiatives, safety records.
- If possible, meet with your new boss before assuming command to learn the following:
 - ☐ What your unit can do to best support him and the wing
 - ☐ What is required of unit commanders' spouses—and tell your spouse!
- Meet with wing primary staff officers and ask for candid opinions of the strengths and weaknesses of your unit.
- Meet with the wing deputy commander and other unit commanders. Don't be too proud to ask for advice and counsel, and don't "reinvent the wheel"!
- Make a clean break from the old assignment. Close out all the paperwork. You won't have time to take care of old business in your new assignment.
- Meet with base support staff. Find out what they can do for you and what you can do to make their jobs easier.
- Strictly enforce all Air Force standards of customs and courtesies.
- If your assignment requires special schooling, do it as soon as possible. Time is your most precious asset when you're in charge!

A Final Word

The purpose of this section is to provide insight into the responsibilities of command and to start you thinking about the many programs that affect your unit and its people. While mission accomplishment remains the paramount objective, realize that the mission gets done through people. People are your most expensive resource; a good resource manager tries to optimize the use of assigned resources. You can't just "manage" people and achieve optimal results; you have to "lead" them, inspiring and motivating them to achieve results beyond even what they believe is possible.

We believe the Air Force has many good managers, and you've been trained in management techniques. But in this position, as in no other, you must be a LEADER. The following chapter should help you. Good luck!



Leadership in Changing Times

With me as leader, ye men, control your anxieties; under my guidance, let ship and crew run straight.

—Ovid

This chapter is an overview of thoughts and discussions of those aspects of leadership that are particularly applicable to commanders in this era of change. By using recent literature on the subject, as well as a survey of current commanders, it includes information that will help you as you take command in these changing times. Some of the information presented in this chapter has already been touched on in chapter 1.

Leadership Versus Management

Leaders are people who do the right thing. Managers are people who do things right.

—Warren G. Bennis

Differences between a leader and a manager

Any discussion of leadership in today's Air Force must include the controversial and often emotional issue of whether a commander should be a leader or a manager. Some observers insist that military success depends on management, while others would insist that charismatic leadership is the key. We will examine the two concepts and illustrate that a commander must be a combination of both.

Roles of Leadership and Management

To better explain the roles of management and leadership, we will examine them in terms of three elements: behavior, personal characteristics, and organizational situation.

Behavior of the manager

Behavior. Managerial behavior is based on building organizational relations that mesh together like parts of a timepiece. Leadership behavior, on the other hand, concentrates on making the hands of the

timepiece move so as to display the time of day. The behavioral focus of each is clearly important, but while the manager may be preoccupied with the precision of the process, the leader concentrates on the inertial forces that drive the process. Warren Bennis, a professor and researcher who has devoted years to studying leadership, summarizes the two behaviors as follows: "Management is getting people to do what needs to be done. Leadership is getting people to *want* to do what needs to be done" (emphasis added).*

The words of Field Marshal Sir William Slim, who led the British Fourteenth Army in the reconquest of Burma in World War II, are worthy of note: "Leadership is of the spirit, compounded of personality and vision. Management is of the mind, more a matter of accurate calculation, statistics, methods, timetables, and routines."**

Effective leaders are often described as "dynamic," which is regarded as beneficial because it denotes movement and change. The function of leadership is not only to produce change but to set the direction of that change. Management, however, uses the function of planning to produce orderly results, not change

Managers use the management process to control people by pushing them in the right direction. Leaders motivate and inspire people by satisfying their human needs, keeping them moving in the right direction to achieve a vision. To do this, leaders tailor their behavior towards their followers' need for achievement, sense of belonging, recognition, self-esteem, and control over their lives. We will return to the subject of vision later in this chapter.

Bennis offers an appropriate summary of this behavioral comparison:***

<i>The Manager</i>	<i>The Leader</i>
Administers	Motivates
Maintains	Develops
Controls	Inspires

Personal Characteristics. Table 1 illustrates an interesting comparison of successful leaders and managers that was researched by Professor Robert White of Indiana University. Everyone has been exposed to both types of characteristics and knows from experience that neither is exclusively positive or negative depending on the prevalence of the characteristics. The survey of commanders referred to earlier in this chapter supports what table 1 suggests: commanders must have a grasp of management and leadership skills that "cannot, should not, be separated" and "Leadership is an art that includes management."****

*Warren G. Bennis, *An Invented Life: Reflections on Leadership and Change* (Reading, Mass.: Addison-Wesley Publishing Co., 1993), 104.

**Ibid., 89.

***Ibid., 106.

****ACSC AY95 *Guidelines for Commanders Survey*.

Table 1
Managers and Leaders: A Comparison

MANAGERS	LEADERS
problem solvers	analysts of purposes and causes
statistics driven	values driven
seek conflict avoidance	not only accept but invite conflict
thrive on predictability	ambiguous
assure that the organization objectives are achieved even if they disagree with them	assure that their objectives and those of the organization become one in the same

Personal characteristics of the manager and leader

The best managers tend to become good leaders because they develop leadership abilities and skills through practicing good management techniques. Seldom is there an effective leader who has not been a good manager. Similarly, managers who become successful leaders have humanized their management skills with inspiration, empowerment, and vision through a catalyst called charisma. Social scientist Alan Bryman goes so far as to suggest that management styles may set the stage for charisma.

Organizational implications of the manager and leader

Organizational Situation. What are the organizational implications of these two concepts of management and leadership? Leaders launch and steer the organization towards the pursuit of goals and strategies. Managers ensure that the resources needed to get there are available and are used along the way. An organization needs both leadership and management, and if they are combined in one person or persons, so much the better.

To achieve a plan, managers organize and staff jobs with qualified individuals, communicating the plan to those people, delegating the responsibility for carrying out the plan, and devising systems to monitor its implementation. What commanders need to do, however, is not to organize people but to align them, and that is a leadership activity. It means to communicate the new direction to those who can create coalitions within and outside the organization that understand the vision and are committed to it.

Relative importance of management and leadership

What is the relative importance of effective leadership and management? Strong leadership with weak management is no better, and sometimes actually worse, than the opposite. The challenge is to achieve a balance of strong leadership and strong management. A peacetime military can survive with good administration and management up and down the hierarchy, coupled with good leadership concentrated at the top. A wartime force, however, needs competent leadership at all levels. Good management brings a degree of order and consistency to key issue like readiness, availability, and sustainment. But no one has yet figured out how to manage people into battle. They must be led.

Qualities of Leadership

When you succeed, give all the credit to others; when you fail, take all the blame yourself.

—Gen Dwight D. Eisenhower

Some people argue that leadership cannot be reduced to a series of personal attributes or a set of roles and activities. However, survey responses and current literature have led to some observations worthy of discussion. This section considers what others see as the most effective leadership qualities.

Categories of leadership qualities

Most leadership qualities can be grouped into four categories: attitude, values, character, and credibility.

Attitudes

1. Attitudes

The commanders who were surveyed indicated that *enthusiasm*, *energy*, and *devotion* are the most significant attitudinal qualities.* Enthusiasm is contagious and can deliver energy to all aspects of operations. Devotion is closely related to enthusiasm but is more evident in a desire to lead and a desire to achieve a vision. Leaders wear their attitude on their sleeve, and it is a virtual certainty that the same attitude will be reflected in their subordinates.

Encouragement is normally considered an action, but it is attitude related. The inclination to encourage the hearts of subordinates, as well as to encourage oneself, is a powerful motivator and satisfier of human needs.

Effective leaders constantly embrace positive goals and display a *positive attitude*. They do not dwell on errors—on the downside.

2. Values

Values. Values-related qualities that were evident in the survey results were *trust*, *loyalty*, *integrity*, and *honesty*. The degree to which these qualities are present in the leadership of an organization will relate directly to that organization's effectiveness and the values of its members.

Leadership is the capacity to generate and sustain trust, the main determinant of which is reliability. Seemingly insignificant indicators of reliability such as punctual attendance at all meetings and prompt attention to correspondence will translate into trust in other matters, including life-threatening situations! Regrettably, trust must be balanced with a willingness to remove people who cannot be trusted and to make tough decisions when necessary.

With few exceptions, subordinates will reward trust in leadership with their own trustworthiness and loyalty. Like trust, loyalty is a two-way street. The leader cannot demand unswerving loyalty of his or her followers without being willing to return it.

The importance of integrity was consistently emphasized by the commanders who were surveyed. Integrity is a consistent and honest demonstration of personal commitment to the organization and its vision. Leaders should look for ways to demonstrate their integrity. It is the leaders most valuable asset.

*Ibid.

3. Character

Character. Leadership is a combination of competence and character. If you look at failed leaders, however, you will find a failure of character, not competence. Paul Fussell, writing about the Normandy landings in World War II, captured the essence of the value of character in interpersonal relations:

But what if the leader, government-appointed or self-appointed, shouts, “Follow me!” and no one does? When do men sometimes follow him, and shout enthusiastically too? Something called “character” must be apparent in the leader. The followers must like him and want to be like him—or want him to like them. When it’s all over, they want him—private, sergeant, lieutenant, or even General Eisenhower—to clap them on the shoulder and say he’s proud of them.*

Compassion, courage, and understanding were the character traits most emphasized in the commanders survey. Others were *charisma*, a *sense of humor*, and *optimism*.

Charisma

Charisma is a biblical term meaning “gift of grace,” which was a special endowment of the Holy Spirit to certain individuals to be leaders. These charismatic leaders were raised up to save the people of Israel in times of peril. Charisma can be effective, but it is not the panacea for leadership needs. German sociologist Max Weber found in his research that charisma is often contrary to authority and it is consequently frowned on by superiors. Once it becomes “old hat” to subordinates, charisma’s attraction and powers wane.

Compassion

Compassion and understanding are extremely important. The human psyche bruises easily, and most subordinates will often withhold their feelings, often to the point of distress. The common soldier on the beaches of Normandy regarded Gen Dwight Eisenhower as a leader who treated soldiers like people with feelings, not as malefactors with something to hide. The modern sailor, soldier, or airman deserves no less.

Courage

Courage can take many forms. Leaders must demonstrate courage not only in combat and high-risk situations but also in having the moral courage to be sincere and honest. They need courage to tell the truth about their unit’s health and needs, courage to welcome new ideas, courage to act and do the right thing. Their courage gives courage to their followers, helping them to maintain their composure in stressful situations and to endure hardships.

Sense of humor and optimism

A sense of humor and optimism are also valuable leadership traits. George Burns gave a tremendous example of both on his 99th birthday when he said, “I can’t die. I’m booked.”

Credibility. To be credible, leaders must have the humility, commitment, and ability to enhance the organization by drawing out the unique strengths of each member. They must also get their hands dirty from time to time. Only by being at the front will the leader be able to feel the pace and progress as well as the problems.

*Paul Fussell, “How the Leaders Led,” *Newsweek*, 23 May 1994, 38.

*Leading by
example*

A leader leads by example, and being a role model means paying attention to what you believe is important. It means showing others through your behavior that you live your values. Tom Peters summarizes the point when he says, "The only magic is brute consistence, persistence, and attention to detail."*

The leader's credibility is reinforced when he or she does not make a major production of the effort. Subordinates will be impressed when the leader shows no undue strain in difficult circumstances. Kenneth Thompson refers to this phenomenon as "leader as anti-leader; a characteristic of the leader that conceals or downplays the fact that he is leading."** As president, Dwight Eisenhower prescribed to the theory, using a "hidden hand" of leadership. He led but concealed his leadership from those who tried to interpret it.

*Taking
responsibility*

A crucial element of credibility is accountability, or taking responsibility for your actions as well as for your subordinates. Probably one of the best examples of a leader doing this is that of Gen Robert E. Lee who, after the failure of Pickett's Charge at Gettysburg, said, "All this has been my fault. It is I who have lost this fight, and you must help me out of it the best way you can."***

Credibility is extremely fragile. It takes years to earn it through persistent, consistent, and patient leadership, yet it can be lost with one thoughtless remark, act, or broken agreement. In the present era in which jointness has become a reality and defense dollars are shrinking, leaders are being challenged to demonstrate their credibility even more. Thomas E. Cronin states that

today's leaders must widen their perspectives and lengthen the focus point of their thinking They have to . . . move from analytical to integrative thinking and rise above their specialties and professions. They must not be afraid of politics, rather view politics as the art of bringing about the difficult and the desirable.****

Leaders are not limited by roles they were trained to play. They stay flexible and are always learning. They know themselves and can balance personal needs with organizational needs.

Vision

I say to you today, my friends, that in spite of the difficulties and frustrations of the moment I still have a dream. It is a dream deeply rooted in the American Dream.

—Dr Martin Luther King, Jr.

*Quoted in Alan P. Balutis, "Leadership in a Time of Change: The Public Manager," *The New Bureaucrat* 21, no. 3 (Fall 1992): 21.

**Kenneth W. Thompson, *Essays on Leadership: Comparative Insights* (Lanham, Md.: University Press of America, 1985), 5.

***Robert L. Taylor and William E. Rosenbach, *Military Leadership In Pursuit of Excellence* (Boulder, Colo.: Westview Press, 1964, 1984), 45.

****Quoted in *ibid.*, 75.

The Air Force leader must have vision—vision that empowers, inspires, and challenges and vision that highly motivates followers to commitment and performance. It is therefore crucial that we understand what vision is and what it is not.

What is Vision?

Definition of vision

Vision is helping people believe they can accomplish their goals—that they can move towards a better future through their own efforts. Vision is conveyed by inspiration. Examples are Franklin D. Roosevelt announcing in May 1940 that he had set a production goal of 50,000 planes a year and John F. Kennedy announcing that we would put a man on the moon within the decade. Both goals were breathtaking, and both were achieved. No one can doubt that in each case the goal was achieved by the dramatic announcement and the infectious inspiration it bred.

A unique feature of the human brain is its ability to form mental images of the future and to translate these images into reality through leadership and action. The leader should constantly anticipate the influences, trends, and demands that will affect the vision next month, next year, and the next decade. A common foible of leadership is preoccupation with the present at the expense of the future.

A leader with vision is able to see the future without being farsighted and remain rooted in the present without being nearsighted. Tom Peters stated in *Thriving on Chaos* that “effective visions prepare for the future. . . . Look to your prior experiences. . . . Look to the future and clarify the vision over time.”*

What vision must be

To be of realistic value, the vision must be logical, deductive, and plausible. It must be specific enough to provide real guidance to people but vague enough to encourage initiative and remain relevant to a variety of conditions.

Organizations in which the leaders have no vision are doomed to follow tradition. They cannot prosper because they keep doing things as they always have. In the words of Professor Peter Kreeft of Boston College, “To be a leader you have to lead people to a goal worth having—something that’s really good and really there. That is vision.”**

How to Implement the Vision

The leader's responsibility

Obviously, only senior leadership has the authority and responsibility to change the system as a whole. At lower levels, however, leaders can direct attention of both superiors and subordinates to tasks more appropriate to the challenges of the new age.

Commanders must consider the Air Force vision and include their units’ roles in the vision. They must envision where their unit will be when their tenure as commander ends, where they want it to be, and what they see as their legacy following their departure.

*Tom Peters, *Thriving on Chaos: Handbook for a Management Revolution* (New York: Alfred A. Knopf, 1987), 489

**Quoted in Neil H. Snyder and Michelle Graves, “Leadership and Vision,” *Business Horizons* 37 (January–February 1994): 1

Finally, the leader must communicate his or her vision to the people of the unit. It is the leader's responsibility to bolster their courage and understanding. Launching a vision cannot be a solo effort. Burt Nanus draws a colorful parallel in his article "Visionary Leadership": "If you isolate yourself and hope to present your vision to the organization like Moses descending from Mount Sinai, you are simply asking for skepticism and resistance."* Members of your command may have excellent ideas for implementing visions that dovetail your unit to the vision of the Air Force. By soliciting suggestions and promoting wide participation, you are preparing the organization for potential changes to come and perhaps disarming those who would resist those changes.

The Downside

*Possible negative
consequences to
avoid*

Even a clearly articulated and achievable vision may flounder if it is not accompanied by appropriate resource management and leadership practices. Another possible consequence of vision is that it could become an obsession and adversely affect the leader's and the followers' judgment as a result. What is crucial about the vision is not its originality but how well it serves the mission requirements and strategic goals of the unit and its parent and subordinate organizations.

One of the most frequent mistakes that organizations make is to embrace long-term planning in place of a conceptual vision. Such an approach results in counterproductivity, or wheel-spinning. That is not to say that planning is not important; in fact, the very exercise of forward thinking and application of military planning principles encourages creativity and innovation throughout the organization. The motto of Canada's joint planning staff serves as an appropriate reminder: "Plans are useless, planning is vital."**

Maintain the Vision

*Maintain effective
visions*

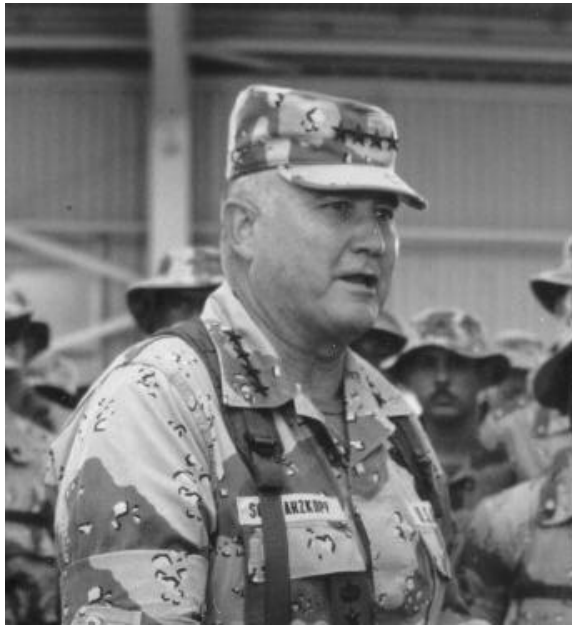
Every leader wants a vision that is enduring so that once the organization is committed to it, all energies can be directed towards its fulfillment. The vision may in fact have been appropriate at the time of implementation, *but it is not likely to remain fully applicable without some amendments.*

There is no regular schedule on which a vision should be revised. As long as it appears to be working and is consistent with development in the internal and external environments, it should be affirmed and supported. However, a wise leader does not wait for the alert to be sounded before thinking of alternatives. Rather, the vision-forming process should be a continual one.

Personnel of all ranks, levels, and occupations should be encouraged to articulate visions worthy of their commitment and the organization's confidence. The experience gained by your people will prove invaluable as they are promoted into more responsible, higher-level leadership positions and continue to build an effective path to the future.

*Bert Nanus, "Visionary Leadership: How to Re-vision the Future," *The Futurist* 26 (September–October 1992): 23.

**Motto displayed in the Canadian National Defence Headquarters, J3 Plans Division.



Empowerment

Lousy leaders keep every decision under themselves.

—Gen H. Norman Schwarzkopf

*The military is clearly an authoritarian organization. The necessity for rapid decision making and response in times of crisis necessitates a traditional hierarchical framework. Gen H. Norman Schwarzkopf said of this traditional role, “No orders can be issued by anyone but him or her, the mighty leader, keeping things centralized, which stifles initiative.”**

*Essence of
empowerment*

Asking fewer people to do more with less has driven this traditional view into obsolescence. The transformation of leader-follower roles is heralding a pursuit of goals that allows both leader and follower to identify themselves with their respective share of the organization. This is the essence of empowerment.

Effective empowerment is not new. Great leaders have never told people how to do their jobs. Instead, they have told them what needed to be done and established a playing field so that people could achieve their own success. The success of the follower is a success for the leader and the organization.

When a unit is faced with a task, responsibility may be on the leader's shoulders, but the burden of getting the job done is shared by all. The adage “It's lonely at the top” is indicative of a leader that does not recognize the strengths of his or her resources. Subordinates supply the details, missing steps, and concerns that confront the leader's visionary goals and contribute to shared mission accomplishment. When leaders solicit input, they discover the knowledge, interest, and parameters of support they can expect from others. As Tom Peters said, “You want innovation? Just ask for it.”**

*Definition of
empowerment*

Some interpret empowerment to be delegation of authority. Delegation is not empowerment, but empowerment does require good delegation. Empowerment is giving employees jobs to do and the freedom they need to be creative while doing them.

Empowerment is often confused with participative management—emphasizing sensitivity to needs, involving people, asking people for help, and scheduling lots of meetings. The notion has met with mixed success in the corporate world and does not easily align itself to the military ethos. Empowerment, on the other hand, is a force that energizes people. It means responsibility, ownership, and control over your work.

*Quoted in Julie Cohen Mason, “Leading the Way into the 21st Century,” *Management Review* 81 (October 1992): 19.

**Peters, 309.

Empowerment is becoming a stakeholder in the vision. Having committed to a vision, organization members begin to participate in shaping and fashioning it to reflect their own personal visions. A shared vision incites people to focus on the future and what it holds, not simply because they must but because they want to. As a leader, you must keep your mind open to ideas and suggestions that could improve or refine the vision.

Empowerment does not detract from authority and has been successfully applied to hierarchical organizations. Authority is employed not to impose policies and demand followership but to guide subordinates through learning and developing into responsible participants.

Guidelines to Empowerment

Empowerment will enhance organizational performance by promoting contributions from all organizational members. Early in this chapter the importance of trust was discussed at length. Trust provides the keystone of symbiotic relationships in which both leader and followers are dependent on each other for survival.

The leader's role

The leader must be flexible and patient in introducing empowerment. By delegating decisions to those closest to the issues at hand and by allowing subordinates considerable flexibility in how they choose to implement the vision, he or she allows others to take ownership of the vision and experience pride in achieving it.

It is essential, however, that the leader maintain a firm grip on operational requirements and the strategic plan. It must be clear who is steering the ship and where it is going.

Empowered followers need sufficient education to know how to do the right thing, and what the right thing is if they are to realize their potential in fulfilling the vision.

Subordinates who have knowledge in a particular field should be encouraged to use that knowledge to improve parts of the vision that are related to their specialty. No two individuals, certainly not the leader and the subordinate, bring the same values to the analysis of a problem. The trick is to bring disparate value systems into a blend that allows the organization as a whole to enjoy the success.

An important facet of empowerment is recognition and reward for subordinate contribution to mission success. Gen Dwight D. Eisenhower commented, "There's no telling how much one can accomplish so long as one doesn't need to get all the credit for it."*

Potential Pitfalls

*Pitfalls the leader
should avoid*

Empowerment is often associated with laissez-faire leadership, that is, the tendency to abdicate responsibility to subordinates, who are left to their own devices. This fire-and-forget delegation indicates an absence of leadership. Empowerment is a leader-subordinate relationship that

*Quoted in Taylor and Rosenbach, 72.

requires even more refined supervisory skills than traditional autocracy. People will always need direction, knowledge, resources, and support.

Empowerment is not bestowed by a blessing from the “Lady of the Lake.” Leaders must avoid the tendency to be overly idealistic. A vision should represent a worthwhile challenge, but it loses its force if people see it as too ambitious or unrealistic. It is prudent to solicit feedback on a visionary idea before making it happen.

Empowerment and vision cannot be imposed. To do so would be merely an autocratic exercise that would result in compliance rather than commitment.

Many leaders seek consensus as a means to empower. Consensus is a determination of what the group wants, and what the group wants is assumed to be good even though history tells us that it is usually safe and free from innovative ideas. Furthermore, consensus can divert an organization from its true goal or vision. The adage that a camel is a horse built by committee is not so far-fetched. Leaders do not seek consensus; they build it.

Learning

People must be given the latitude to learn.

—Gen H. Norman Schwarzkopf

*The leader's
responsibilities*

Military life is a constant process of training and education. The effective leader must be a master student and master teacher accepting the responsibilities and utilizing the power of both. Training is used to teach organizations vision and values at the supervisory and subordinate levels. Training is not only fundamental in focusing the organization's strategic vision but in developing the capabilities that will make it possible.

Both formal and informal training will do more than augment the level of technical expertise in a unit. The hidden benefit is the energy and stimulation that will be gained by planting good ideas into the minds of members at all levels.

Encourage Learning

*How leaders can
foster growth*

Leaders can foster growth by seeing that their people focus their attention on the aspects of a situation, mission, or project that they can control. That is not to say that tasks should be limited in scope or challenge. Some adventure should be an integral part of every job; for people to learn and excel, they must be intrinsically motivated. Bennis believes that “routine work drives out all non-routine work . . . [and] smothers to death all creative planning.* Leaders should provide challenging and enlightening experience. That is the only way for a subordinate to learn from experience.

*Advice for the
leader or
commander*

Leaders may have the urge to tell an employee what to do to improve. This may impress the follower with the leader's knowledge, but it creates dependence on the part of the follower and critically limits the value of the

*Quoted in James M. Kouzes and Barry Z. Posner, “The Credibility Factor: What Followers Expect from Their Leaders,” *Business Credit* 92 (July–August 1990): 47.

experience. It is also important to identify and analyze success in order to make the causes and behaviors permanent and pervasive, not temporary and specific. It is also important to encourage the learning process by formally recognizing individual and unit success, no matter how large or small. Tom Peters suggests that every leader establish a unit “hall of fame” and insist that it be full.*

A more formal and direct way for the leader or commander to encourage the subordinate to learn is by setting standards. Standards have the multiple effects of providing feedback to the commander on performance, ensuring quality control of unit output, and giving subordinates a goal and inspiration for developing and performing to the best of their ability. General Schwarzkopf believes that

people want to know what is expected of them. No one goes to work and says, “I am going to do a lousy job today.” People work to succeed and they need to know how you measure that success. Allow for a few mistakes because people must be given the latitude to learn.**

John W. Gardner, former secretary of the US Department of Health, Education and Welfare and graduate professor in business, asserts that the pursuit of excellence depends on “high expectations, then, of all our young people. That means standards. That means a respect for excellence.”*** Leaders know success by their standards. They must set goals and standards that are understood clearly and simply. More appropriate measurement and true control of learning, achievement, and output stem from a very few simple measures of high integrity, understood by all.

Development of Subordinates

*The commander's
tasks in developing
subordinates*

Survey results identified the following roles of the commander in the development of subordinates:****

- Training replacements (the next generation).
- Developing understanding of roles and responsibilities.
- Being an advisor and mentor, both professionally and personally.
- Clarifying your expectations.
- Providing opportunity for growth and promotion.
- Strengthening service identity.
- Allowing subordinates to make decisions and experience leadership.
- Encouraging and facilitating formal education.

*The most important
milestone in the
development process*

Perhaps the most typical and most important milestone in the development process is to have a significant challenge early in a career. The most effective leaders almost always have had opportunities during their twenties and thirties to actually try to lead, to take a risk, and to learn from both triumphs and failures. Developing people for important leadership positions requires more work on the part of commanders, often over long periods of time. That work begins with efforts to identify people

*Peters, 310.

**Quoted in Mason, 18.

***John Gardner, “Leadership and the Future,” *The Futurist*, May–June 1990, 11.

****ACSC AY95 Guidelines for Command Survey.

*Finding and
developing young
leaders*

with great leadership potential early in their careers and to determine the appropriate challenges for developing them. In *Taking Charge*, Gen Perry Smith recommends identifying the best and helping them get their next higher jobs within the unit or upon assignment, then monitoring their careers to help them achieve their full potential.*

In business, successful corporations don't wait for leaders to come along. They actively seek out people with leadership potential and expose them to career experiences designed to develop their potential. It is prudent to offer one caution against becoming preoccupied with finding and developing young leadership potential. Units rely heavily on well-rounded experience levels, and the more seasoned members have their place under the sun as well. Overemphasis on youth when offering career-developing experience can be a stinging issue among the veterans of the unit. One must also guard against overlooking the "late bloomer." Just because someone's career potential wasn't evident early doesn't mean that it's not there. A late bloomer's combination of maturity, experience, and untapped potential could be a valuable asset.

Dealing with Setbacks

*The leader's role in
dealing with failures*

To learn, people need to be encouraged to try new things, and some are bound to fail. A fundamental of empowerment is that leaders delegate the right to fail to everyone in the organization. The leader's role is to guide people to make sure that the learning process takes place. Obviously some common sense is required. There can be no tolerance for not conforming with regulations, with jeopardizing safety, or with failing because of lack of effort. However, if the setback is the result of failed initiative, the attempt should be applauded and dissected so as to learn from what went wrong. Fear of failure prevents many otherwise capable people from pursuing their vision.

The dedication of subordinates to improving their abilities is the most valuable asset an organization can have. It is a product of two factors: knowing the extent to which they are succeeding and knowing that the leader will view a setback as an opportunity to help them improve. Followers must remain optimistic, even in times of adversity. One of your most important tasks in ensuring that people are optimistic is to help them cope with the inevitable setbacks they or the organization will encounter.

Many people believe that the key to success is to avoid failure. They stay with the things they know and do well, seldom trying anything new. The surest way to fail in the long term is to continue doing what you did yesterday.

Subordinates count on the experience and understanding of strong leadership in dealing with setbacks. There is no substitute for being able to say to a subordinate, "I know, it has happened to me. Here's how I chose to deal with it. Here's what the consequences were. Here's what I would do if I had it to do over."*

*Smith, *Taking Charge*, 141.

Followership

Learn to obey before you command.

—Solon

Importance of followership

Preoccupation with leadership often keeps us from considering the nature and importance of the follower. After all, virtually everyone is a follower, so the skills and needs of effective followership are universally important. The commander is in the unique position of being both at once; in fact, few leaders have or can become successful without first having learned the skills of following. It is essential to recognize the qualities of good followers, the needs of followers, and the ways of promoting good followership.

We are in predawn anticipation of the twenty-first century, having arrived at top speed on the information highway. It is not possible for today's leader to keep up with changing technology while coping with the incessant demands of command. The leader can no longer afford to be the most technically skilled person in the unit. He or she is now evaluated in terms of having people in the unit who are brighter and more capable than anyone else.

We often hear the expression, "People are our most valuable resource." That is not entirely accurate. It is the knowledge, skills, and abilities that those people possess and offer to the accomplishment of the vision that are the true resource. Leaders are to nurture and develop those attributes so that they give the organization a greater capability. In consequence, leaders are best evaluated on the basis of organizational success and how well they developed their followers.

Qualities of Followership

Essentials of good followership

The following 15 points have been identified as the ones that are essential to good followership, although the list is neither inflexible nor exhaustive:

1. Organizational understanding. Effective followers must be able to see how work contributes to the big picture.
2. Decision making. Followers must be able to make sound decisions, often through teamwork.
3. Communication skills. They must have communication skills, which are crucial for teamwork and for providing feedback.
4. Commitment. Contribution requires a strong level of follower commitment, both to the organization and to their own work.
5. Problem solving. Greater responsibility and input increases the challenges to the follower's intellect.
6. Honesty. Leaders are increasingly dependent on their subordinates for feedback and information. Empowerment demands a follower with willingness to tell the truth.

*Ursula Lohmann, "Leadership Education Lessons Learned," *The Public Manager: The New Bureaucrat*, Summer 1994, 8.

7. Thoughtful dissent. A leader should encourage speaking out—even disagreement. Organizations and leaders that encourage thoughtful dissent make better decisions. The follower who is willing to speak out shows precisely the kind of initiative that leadership is made of.

8. Integrity. Followers should have loyalty and willingness to act *according to beliefs. Integrity means identifying values and being true to them.*

9. Adaptability. They must have the flexibility to adapt to a changing environment.

10. Self-employment. They must take responsibility for their own careers, their own actions, and their own development.

11. Pride. They should know their abilities and take pride in their expertise.

12. Versatility. They should have the ability to adjust to changing roles, missions, and systems without being paralyzed by the stress of not knowing the answers.

13. Participation. They should be enthusiastic, intelligent, and have self-reliant participation in the pursuit of an organizational goal.

14. Courage. They must have the courage to do and say the right things at the right times.

15. Credibility. They should demonstrate competence in word and deed.

*Summary of the
qualities of effective
followers*

Robert E. Kelly gives an all-encompassing definition that captures most of these qualities and provides a goal for leaders and subordinates alike to pursue:

Effective followers have the social capacity to work well with others, the strength of character to flourish without heroic status, the moral and psychological balance to pursue personal and corporate goals at no cost to either, and the desire to participate in a team effort for the accomplishment of some greater common purpose.*

Follower Needs

*What followers
expect from leaders*

There is much attention devoted to leadership behavior but little interest shown in what people who work in organizations want and expect from leaders. This is a shortfall that commanders must concern themselves with and remedy while they can. If inattention should persist, leaders may either lose the opportunity to fully exploit the talents of their people, or, in the worst case, their own leadership could be found wanting by the unit.

Alan Bryman states that

in times of adversity, a central focus of attention in the missions of leaders is their program for relieving their current and prospective followers of the circumstances associated with crisis. Leaders take upon themselves a responsibility inasmuch as others will see in their leadership a solution to their distress.*

In other words, followers count on leaders when the going gets tough. This is a responsibility that cannot be taken lightly. How subordinates perceive the leader will be directly affected by how they think the leader

*Taylor and Rosenbach, 106.

**Alan Bryman, *Charisma & Leadership in Organization* (Hewbury Park, Calif.: Sage, 1992), 25.

perceives them. The product of that perception will be reflected in their performance. Followers who are treated as if they are unimportant, or perceive that is the case, tend to act as if they are unimportant.

*How leaders can
make followers
feel important*

Three ways in which leaders can treat subordinates with importance are as follows:

- Maintain or enhance their self-esteem,
- Listen carefully and respond with empathy, and
- Ask for their help and encourage their involvement.

A few moments of sincerity and thoughtfulness will go a long way in satisfying the basic needs of followers. Followers perform best when they *want* to be in a unit, not when they are trapped into staying in it.

Promoting Followership

Empowered followership, like motivation, requires a joint effort between leaders, units, and individuals. Organizations can help encourage, reward, applaud, and support the process, but they cannot create followers simply by leading them.

*How leaders can
win followership
support*

To win support from their subordinates, leaders must be willing to share their personal views and to listen to their people's ideas. Modern leadership and followership requires a symbiotic approach of mutual support where leaders listen and respond to the ideas and needs of subordinates, subordinates listen and respond to the ideas and needs of leaders, and both leaders and followers treat each other fairly and with respect. Mutual trust is the axis around which the symbiotic relationship revolves.

There is a growing conviction that the requirements of a team are best served when the leader helps followers to develop their own initiative, strengthens them in the use of their own judgment, and enables them to grow and to become better contributors. As a result of encouraging empowered followership, organizational skills such as troubleshooting, problem solving, information gathering, conflict resolution, and change management will improve.

Even empowered followership can be promoted by "old-fashioned" leadership characteristics, especially the practice of getting out amongst the troops, spending time with subordinates on their turf. Necessary information and required actions can always be found on the front line.

A general on George C. Marshall's staff reported to Marshall that some of the officers had morale problems. General Marshall said, "Officers don't have morale problems. Officers cure morale problems in others. No one is looking after my morale."* It is a sound principle. Low morale is unbecoming to a leader, and that element of promoting followership will never change.

*Quoted in Gardner, 12.

The success of great leaders depends on their ability to establish a base of loyal, capable, and knowledgeable followers. This is a truism as old as mankind and has been impervious to technology and even the most radical changes.

Dealing with Change

There is nothing more difficult to carry out, nor more doubtful of success, nor more dangerous to handle, than to initiate a new order of things.

—Machiavelli

No one could have ever predicted the transformation that the world has gone through in the past decade. The geostrategic situation has been chaotically altered at a rate beyond that predicted by the most imaginative planner. The rate and magnitude of the changes are characteristic of a new epoch in human history. Symptomatic of this new era are constantly expanding performance needs and expectations, while our resources to meet these demands are decreasing.

*The challenge to
leaders*

The mad rush to improve performance and to pursue excellence has multiplied the number of demands on leaders, managers, and organizations. The watchword of the future seems to be that we will be called upon to increase our performance with only a fraction of the resources. Weapon systems have grown more technically sophisticated, organizational structures have become leaner and flatter, and multinational forces embrace diverse cultures and values. Therein lies the challenge—continual change driven by technology, globalization, and demographic diversity.

The leader's challenge in managing high-pressure change is to maintain morale and motivation. In the face of this challenge, optimism must be the guiding force that influences every leadership action and decision.

*The two main
problems faced
by leaders*

Patrick Irwin and Frank Langham highlight two main problems that leaders face: failure to accept the inevitability of change and failure to comprehend the accelerating rate of change.* This rate of change must be compensated for by a responsive and flexible vision. Without such a vision to guide the planning process, we will face contingencies and eventualities that will drain resources and draw time and attention from far more essential activities.

*The role of leaders
in times of change*

Leadership is inextricably connected with the process of innovation, of bringing new ideas, methods, or solutions into use. Innovation means change and change requires leadership. More change always demands more leadership. Leaders must be the chief transformation officers of their organizations and learn everything there is to know about the changes that are taking place. They must learn how to deal with the emotions that result from chaos and fear of change. They must turn insecurity into hope. It is not enough to put new processes in place—people must be motivated to rise to the challenge and support the new values and beliefs that are demanded.

*William Hitt, *The Leader-Manager: Guidelines for Action* (Columbus, Ohio: Battelle, 1988) 20.

The leader's first act in times of adversity is to create a climate in which organization members can also accept the challenge of change. If things seem to be falling apart, it is the leader's job to demonstrate the exciting new world we can put together with the pieces. Out of the uncertainty and chaos of change, leaders rise up and articulate a new image of the future that pulls the organization together.

*Advice for leaders
in coping with
change*

The following list provides some useful advice for leaders who must cope with change:

1. Involve people in the change process. Assigning change-related tasks and roles will help subordinates relate to what the future holds.
2. Explain fully the reasons for change to all members of the organization, and your explanation must make sense to them.
3. View change positively—for example, as an opportunity for new ideas, creativity, innovation, and stimulation.
4. Use the tools of change—information, resources (including time), and mutual support.
5. Be aware and prepared for the logistical and psychological aspects of change (logistics and people problems).
6. Establish a climate for change, starting with yourself, and create enthusiasm.
7. Do not force change, facilitate it.
8. Be willing to let go of old ideas and experiment with alternative concepts (be open-minded).
9. Seek out and accept criticism.
10. Instead of simply matching your actions to the situational needs and personal limitations of subordinates, think about how you can alter the situation.
11. Never get complacent. Even if things are going well, be on the lookout for signs of difficulty and be prepared to take action early. The best time to turn around a battleship is at the first sign of danger—not after the torpedoes have started to land!

Leaders must maintain a balance between a clear understanding of the present and a clear focus on the future. Peter Senge, author of *The Fifth Discipline*, calls this balance “creative tension” and maintains that “an accurate picture of current reality is just as important as a compelling picture of a desired future.”*

*The most important
leadership tasks in
time of change*

The most basic quality of a leader in coping with change is tough-minded optimism. Leaders must instill in their people a mixture of morale and realism. People need to know the worst, but at the same time they must have a future worth working towards. Leaders must help followers see frustration and the risk not as a reason to doubt themselves but as a reason to strengthen their resolve. “The first and last task of a leader is to keep hope alive and confidence unimpaired.”

*Quoted in Snyder and Graves, 6.

Selected Readings:

- Bennis, Warren G. *An Inventive Life: Reflections on Leadership and Change*. Reading, Mass.: Addison-Wesley Publishing Co., 1993.
- Fitzwater, Ivan. *You Can Be a Power Leader*. San Antonio, Tex.: Watercress, 1991.
- Koazes, James M. and Barry Z. Pasner. *The Leadership Challenge*. San Francisco: Jossey-Bass, 1987.
- Lynch, Richard. *Lead!* San Francisco: Jossey-Bass, 1993.
- Peters, Tom. *Thriving on Chaos*. New York: HarperCollins, 1988.

Commander's Checklist

- “Management” is getting people to do what needs to be done; “leadership” is getting people to do *want* to what needs to be done.
- Effective leadership combines both behaviors.
 - ☐ A manager administers—a leader motivates
 - ☐ A manager maintains—a leader develops
 - ☐ A manager relies on control—a leader inspires trust
- The qualities of an effective leader are grouped in four categories.
 - ☐ Attitude (encouragement, enthusiasm, energy)
 - ☐ Values (trust, loyalty, integrity, honesty)
 - ☐ Character (compassion, understanding, courage)
 - ☐ Credibility (accountability, flexibility, mastery of process)
- Effective leaders have responsibility for vision.
 - ☐ Provide a vision of unit's goal and leadership to achieve it
 - ☐ Spread visionary leadership throughout the unit
 - ☐ Avoid letting the vision become an obsession
 - ☐ Encourage subordinates to articulate visions
- Empowerment is giving subordinates a job to do and the freedom to be creative in doing it.
 - ☐ It is not delegation of authority
 - ☐ It is not participative management
 - ☐ It is not laissez-faire leadership
- Guidelines for empowerment:
 - ☐ Flexibility in introducing it
 - ☐ Keep subordinates aware of who is steering the ship
 - ☐ Use disparate knowledge and values of subordinates to meet goals of the organization
- The effective leader must encourage the learning process.
 - ☐ Provide challenging and enlightening tasks
 - ☐ Recognize unit and individual successes
 - ☐ Set standards to give members goals to reach

- ☐ Encourage and facilitate formal education
- ☐ Seek out and develop people with leadership potential
- ☐ Help members to cope with setbacks
- The success of leaders depends on their establishing a loyal, capable, and knowledgeable followership.
- The leader must create a climate of optimism and confidence among subordinates in times of change.



People Leadership Programs—Military

Good teamwork requires strong leadership. . . . Leaders must know their people—not as names, but as individuals—and what they can contribute to the organization and its mission. Leaders also must treat their people with dignity, the way all of us would like to be treated. And, leaders must not be afraid to make tough decisions, to accept responsibility. Being a leader requires courage of convictions and a sense of fairness in dealing with people.

—Gen Ronald R. Fogleman

This chapter provides information to help you, the commander or supervisor, in the day-to-day dealings with military personnel. Included are subjects dealing with rewarding your good people, rehabilitating those who violate standards, and eliminating those few military members who repeatedly violate Air Force policy or standards. While we always trust in the self-discipline of our troops to maintain the highest standards of conduct and performance, reality dictates the necessity of commander involvement. The emphasis here, and the emphasis you must have, is on “quality force.” As a commander or supervisor, you provide quality assurance for the Air Force. A strong working relationship with the base staff judge advocate (SJA) and the base military personnel flight (MPF) is essential.

The Military Commander and the Law, published by the Air Force Judge Advocate General School, is an excellent source document for background information on the various administrative and punitive tools discussed in this chapter. Commanders should obtain a copy from their staff judge advocate.

This chapter is sequenced in alphabetical order for ease of reference. A quick reference box at the beginning of each topic lists the appropriate reference, the office of primary responsibility (OPR), and the offices of collateral responsibility (OCR). Every effort has been made to provide reference to the latest Air Force policy directive (AFPD), Air Force instruction (AFI), Air Force pamphlet (AFPAM), and Air Force catalog (AFCAT) citations for each topic. However, in some cases the “new” AFPD or AFI has not yet been published. In these cases, a citation to the “old” Air Force regulation is included for your reference. As with any secondary reference source, you should always consult with the primary source, whether it is the actual Air Force instruction or regulation, before taking any action.

Absent Without Leave (AWOL)

REF: AFI 36-2911, *Desertion and Unauthorized Absence*

OPR: Commander, First Sergeant, Supervisor

OCR: MPF, Security Police, SJA, Finance, Civil Authorities

Air Force policy

The Air Force policy regarding unauthorized absenteeism and desertion must be continually emphasized by commanders at all levels. A commander's agenda must include the development of programs to discourage these acts. If one of your squadron members is absent without leave (AWOL), it is the commander's responsibility to investigate and learn the cause of the absence and to find and return the absentee to military control.

Regulatory guidance

AFI 36-2911, Desertion and Unauthorized Absence, details the actions to be taken for a member absent without authority. First, make every effort to locate the absent member and establish that the member is not excused from duty or missing because of a bona fide reason. If possible, you should contact the absentee's relatives, friends, and associates. The commander notifies the security police for assistance in returning the member to military control. The unauthorized absence begins when the member is absent from where he or she is assigned or otherwise ordered to be present. Documentation is critical. Cite the initial date and hour when the member is missing, and ensure the documentation is continued throughout the entire process. An unauthorized absence of 24 consecutive hours or less is classified as a "failure to go" instead of an AWOL.

When the member has been unaccounted for for 24 consecutive hours, an AF Form 2098, Duty Status Change, reflecting a duty status change from "present for duty" to "AWOL" is prepared by the unit personnel office. This form is accomplished via PC III, and is automatically forwarded to the servicing MPF. Additionally at this time, the member's local address is rechecked and the commander follows up with the security police any new leads that have developed.

Within 72 hours, prepare a commander's inquiry and forward it to the MPF and security police. AFI 36-2911, paragraph 5, sets forth the contents of this inquiry, which provides investigative leads to help locate the absentee.

On the 10th day of AWOL, the commander prepares and sends letters to the next of kin and those paid allotments. Copies of these letters are forwarded to the servicing MPF and filed in the field record group (FRGp).

AFI 36-2911, table 1, lists required actions for AWOLs on the 31st, 60th, and 180th days.

During the absence, you should inventory and secure the absentee's personal effects, and place them in a secure area.

The commander should consult with the staff judge advocate to decide whether court-martial charges should be preferred while the member is absent and if so, when. This is important in order to avoid future statute of limitation problems.

If the absentee was under any duty travel restriction at the time of his/her absence; had access to top secret, secret, or confidential information within the past 12 months; or has gone to or remains in a foreign country, special processing is required in accordance with AFI 36-2911, paragraph 4.

When the absentee is apprehended or returns voluntarily, notify the MPF and security police of the absentee's return and prepare an AF Form 2098. The MPF will notify the appropriate base agencies. If the member is in the custody of civil authorities, you are responsible for returning him or her to military control.

Upon termination of the absence, you will want to consult with the SJA to decide what disciplinary action is appropriate.

Commander's Checklist

- AFI 36-2911 details the commander's responsibilities when a member is absent without leave:
 - ☐ Make every attempt to establish the reason for the member's absence by contacting the absentee's relatives and associates.
 - ☐ Once AWOL is established, notify the security police.
 - ☐ If member had access to classified materials, inventory all material and remove member's name from the access list.
 - ☐ Inventory and secure absentee's personal effects in the presence of a witness.
 - ☐ Within 24 hours of discovering the AWOL, prepare AF Form 2098, reflecting duty status to "AWOL" and forward it to MPF.
 - ☐ Within 72 hours, prepare a commander's inquiry and forward it to MPF and security police. (AFI 36-2911, par. 5, sets forth the contents of the inquiry and provides investigative leads.)
 - ☐ On the 10th day of AWOL, notify relatives and those paid allotments of the continued absence.
 - ☐ AFI 36-2911, table 1, lists required actions on the 31st, 60th, and 180th days of AWOL.
- When the absentee returns voluntarily:
 - ☐ Prepare an AF Form 2098.
 - ☐ If the member is in the custody of civilian authorities, it is your responsibility to return him or her to military control.

Administrative Demotion

REF: AFI 36-2503, *Administrative Demotion of Airmen*; AFPAM 36-2618, *The Enlisted Force Structure*; AFI 40-502, *Air Force Weight Management Program*

OPR: Commander

OCR: Military Personnel Flight (MPF), Staff Judge Advocate (SJA)

Who may be demoted

Unit commanders may initiate administrative demotion action against enlisted members in the grades of airman through chief master sergeant who are under their command. Advising members of this authority can provide a valuable tool in correcting their performance, attitude, and conduct. An airman serving in the grade of senior airman (E-4) or higher may be administratively demoted to airman first class (E-3); however, a demotion of more than three grades should be considered only in an extreme case. *Note:* AFI 36-2503, paragraph 1, explicitly states that administrative demotions may not be used when it is more appropriate to take actions specified by the Uniform Code of Military Justice (UCMJ). An enlisted member serving in the grade of airman first class (E-3) or airman (E-2) may be demoted only one grade.

Who may demote

The group commander, or equivalent level commander, may demote master sergeants (E-7) and below. The major command (MAJCOM) commander, field operating agency (FOA) commander, or direct reporting unit (DRU) commander may demote grades senior master sergeant (E-8) and chief master sergeant (E-9). The demotion authority of the MAJCOM commander may be delegated to the MAJCOM director of personnel (DP), manpower and personnel (MP), vice commander (CV), combat support (CS), or to the numbered air force (NAF) commander.

Grounds for administrative demotion

There must be reasons for demotion in the current enlistment of the military member (unless the commander was unaware of the facts and circumstances until after a past term of enlistment expired). If the unit commander has sufficient reason to initiate demotion action, then the entire military record may be consulted in deciding whether demotion is appropriate. Commanders should give airmen an opportunity to overcome their deficiencies before demotion action is initiated and should maintain supporting documentation of all rehabilitation and probationary actions. Grounds for administrative demotion include

- Failure to complete training
- Failure to maintain skill/grade level
- Failure to fulfill NCO responsibilities (AFPAM 36-2618)
- Failure to attain or maintain body fat standards (AFI 40-502)
- Failure to attain or maintain fitness standards (AFI 40-501)

Due process procedures

Figure 1 depicts the flowchart for the administrative demotion of an airman. The immediate commander notifies the airman in writing (after consulting with the servicing staff judge advocate) of the intention to recommend demotion. The notification must include one or more specific reasons for the demotion and a complete summary of the supporting facts. The commander informs the airman of his or her right to counsel and the right to respond orally in a personal hearing, in writing, or both.

The airman consults with an area defense counsel and presents his or her response to the initiating commander. The commander considers the airman's response and decides whether to continue processing the case. If a decision is made to continue, the commander forwards the entire file, with a summary of any personal appearance, through the military personnel flight to the demotion authority. The demotion authority obtains a legal review and makes a decision of whether to demote and how many grades reduction.

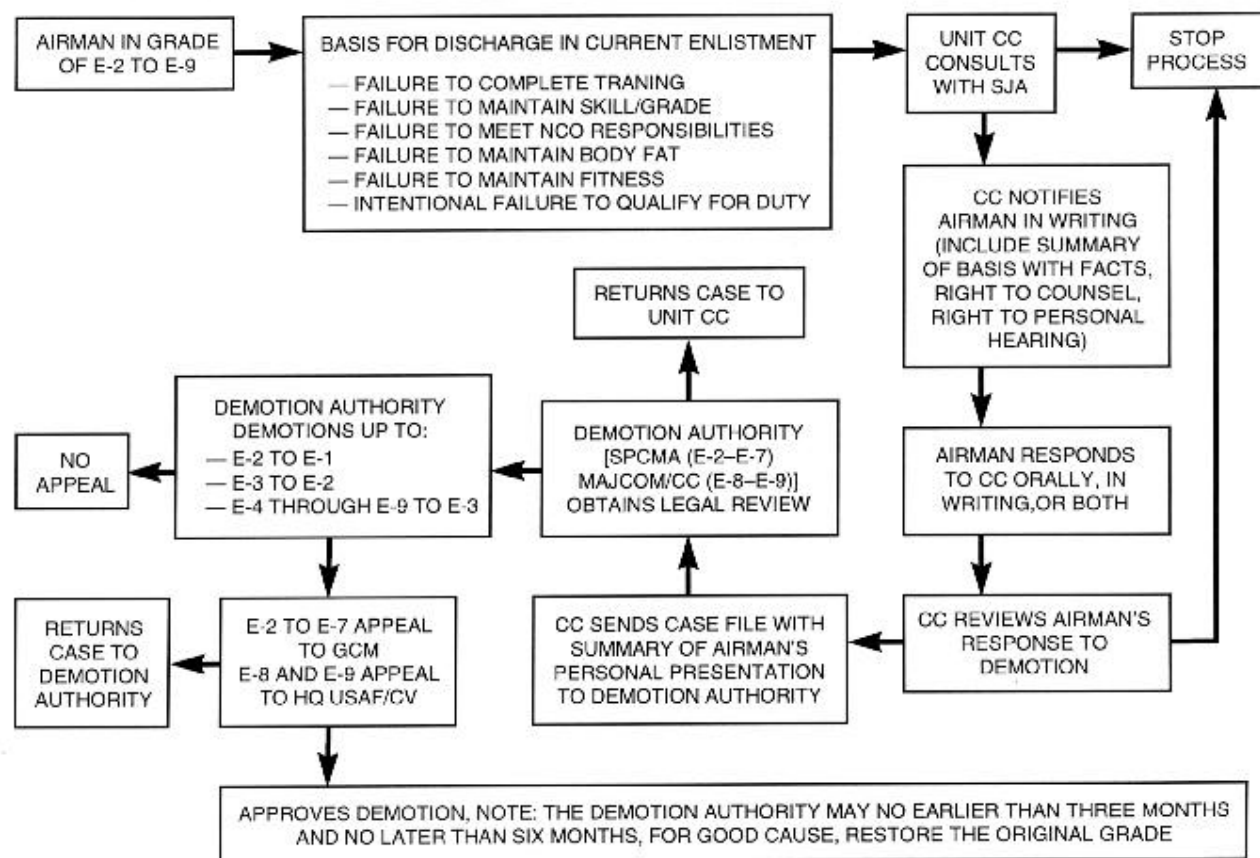


Figure 1. Administrative Demotion Flowchart

After being notified of the demotion authority's decision to demote, the airman has three duty days to appeal the decision to the next higher commander. Additionally, personnel eligible for retirement may elect to apply for retirement in lieu of demotion.

Finally, the demotion authority can, sometime between three and six months after the effective date of the demotion, restore the airman's original grade. Although an uncommon occurrence, this can be an effective motivational tool.

Commander's Checklist

- Who may be demoted:
 - ☐ E-4 or higher to E-3
 - ☐ E-3 or E-2 may be demoted one grade
- Who may demote:
 - ☐ Group commander or equivalent level may demote E-7 and below.
 - ☐ MAJCOM, FOA, and DRU commanders may demote E-8s and E-9s.

- Grounds for administrative action:
 - ☐ Failure to complete training
 - ☐ Failure to maintain skill/grade level
 - ☐ Failure to fulfill NCO responsibilities
 - ☐ Failure to attain/maintain body fat standards
 - ☐ Failure to attain/maintain fitness standards
- Due process procedures are depicted in the figure 1 flowchart.

Administrative Discharge (Airmen)

REF: AFI 36-3208, *Administrative Separation of Airmen*

OPR: Commander, First Sergeant, Supervisor, MPF/Separations

OCR: Staff Judge Advocate, Medical Service, MPF, Chaplain

AFI 36-3208 contains standards and procedures for implementing Air Force policy concerning voluntary and involuntary airmen separations. It governs service characterization for administrative separation and prescribes procedures for the probation and rehabilitation program for airmen subject to administrative discharge for cause.

Air Force policy requires that commanders and supervisors must identify airmen who show a likelihood for early separation and make reasonable efforts to help these airmen meet Air Force standards. Airmen who do not show potential for further service should be discharged.

*Preprocessing
rehabilitation*

Before initiating discharge procedures, in most cases, the instruction requires supervisors and commanders to attempt to rehabilitate the airman. It is extremely important that all of these attempts are well documented. Both the commander and supervisor should keep a record of all rehabilitation efforts. Counseling, reprimands, control roster action, Article 15 nonjudicial punishment, change in duty assignment, demotion, additional training, and retraining are some of the tools you can use. Ordinarily you must formally counsel airmen about deficiencies and give them an opportunity to overcome deficiencies before recommending discharge.

Basis for discharge

Ordinarily, the acts or conditions on which discharge is based must have occurred in the current enlistment (exceptions: cases involving homosexual conduct, fraudulent entry, erroneous enlistment, and, in limited circumstances, the weight management program); also, if the commander is not aware of the facts until after the member reenlisted (with no break in service), this information may be used as a basis for discharge. Once a basis for discharge is found in the current enlistment, the commander and discharge authority can consult the airman's entire military record to determine if discharge is appropriate.

AFI 36-3208, chapter 5, outlines the reasons for involuntary separation. Commanders may cite more than one reason as the basis for discharge. However, normally one reason is selected as the main reason for discharge.

Some of the reasons for discharge provided in AFI 36-3208 include the following:

- Convenience of the government
- Defective enlistments
- Entry-level performance and conduct
- Unsatisfactory performance
- Drug/alcohol abuse treatment failure
- Homosexual conduct
- Misconduct
- Failure in the weight control program

Types of discharge

There are three types of administrative discharge that may be awarded as a result of administrative separation. These are *honorable* (appropriate when the airman's service generally has met Air Force standards of acceptable conduct and performance of duty and also appropriate when a member's service is otherwise so meritorious that any other characterization would be inappropriate); *general (under honorable conditions)* (appropriate if an airman's service has been honest and faithful and also appropriate when significant negative aspects of the airman's conduct or performance outweigh positive aspects of military record); and *under other than honorable conditions (UOTHC)* (appropriate if based on a pattern of behavior or one or more acts or omissions constituting a significant departure from the conduct expected of airmen and can be given only if the airman is offered an administrative discharge board, or if discharge is requested in lieu of trial by court-martial). A fourth type of separation is actually a separation without service characterization. Airmen in entry level status during the first 180 days of active military service will receive an entry level separation unless a service characterization of UOTHC is authorized and warranted by the circumstances of the case or if the secretary of the Air Force determines that characterization as honorable is clearly warranted by unusual circumstances of personal conduct and performance.

The service characterization given a member's service is based solely on the member's current enlistment.

*Processing
administrative
separations*

Commanders may *not* use administrative discharge as a substitute for disciplinary action. Although commanders normally have discretion in deciding whether or not to initiate discharge action, discharge processing is mandatory if the reason is homosexual conduct, fraudulent or erroneous enlistment after waiver is disapproved, civil court conviction after waiver is disapproved, or drug abuse unless commander requests a waiver.

An airman recommended for discharge for a reason in chapter 5 of AFI 36-3208 must be offered a hearing by an administrative discharge board if one of the following conditions applies:

- The airman is an NCO.
- The airman has six years or more total active and inactive service.
- A UOTHC is recommended.
- The basis of the action involves homosexual conduct.
- Discharge in the interest of national security is recommended (ensure that appropriate clearance to proceed has been received).

The airman is a commissioned or warrant officer of the United States Air Force Reserve.

All other airmen may be processed for discharge by the notification procedure.

To initiate discharge proceedings, the commander will be required to prepare, with the assistance of the staff judge advocate's office, a case file that will include, when applicable, statements from personnel who can attest to the conduct of the individual; counseling records; copies of reprimands; Article 15, UCMJ actions; psychiatric or medical evaluations; civil court records of conviction; and records of military violations and any other personnel records that apply. The case file is served on the airman who is allowed an opportunity to consult with an area defense counsel. Depending upon the basis and type of discharge being sought, the airman may respond in writing to the commander or present his or her case to an administrative discharge board. Ultimately, the discharge authority will make the final decision.

*Testimony at
discharge boards*

Commanders who set the process in motion should be both willing and able to testify forthrightly before the board as to the reasons for their recommendation. Commanders must be prepared to cite specific examples of the respondent's general misconduct or unsuitability. Commanders should be familiar with the respondent's military record, including the unfavorable information file (UIF), so they are not caught unaware when asked to state their appraisal of any aspect of the documented behavior.

Preparedness to testify also includes the attitude of commanders at the time testimony is given. If commanders appear unconcerned, noncommittal, and merely "going through the motions" of testifying, the board is less likely to consider the recommendations favorably. Commanders who give the impression that what they seek is in the best interest of the unit and the Air Force are far more likely to have their recommendations heeded.

The commander has four decisions to make:

Decision I: Is there a basis for discharge in the current enlistment? Look to AFI 36-3208, chapter 5, for reasons for discharge. Remember, there are limited circumstances in which prior enlistment information can form the basis for discharge.

Decision II: Should the airman be discharged? Remember, you may consult the airman's entire military record to decide whether discharge is appropriate.

Decision III: What is the appropriate service characterization? Three types: honorable, and general (either under honorable conditions or under other than honorable conditions [UOTHHC]).

Decision IV: Should the airman be offered conditional suspension of the discharge with probation and rehabilitation (P&R)? Probation and rehabilitation is not available if the reason for discharge is fraudulent entry, homosexual conduct, drug abuse, and others listed in AFI 36-3208, paragraph 7.2.5. P&R should be offered only when there is a reasonable expectation of rehabilitation.

Commander's Checklist

- The commander should try to rehabilitate the member before starting discharge procedures.
- Some bases for discharge:
 - ☐ Convenience of the government
 - ☐ Defective enlistment
 - ☐ Unsatisfactory performance
 - ☐ Drug/alcohol abuse treatment failure
 - ☐ Homosexual conduct
 - ☐ Misconduct
 - ☐ Failure in weight control program
- Types of discharge:
 - ☐ Honorable
 - ☐ General (under honorable conditions)
 - ☐ General (under other than honorable conditions)
 - ☐ Separation without service characterization

Administrative Discharge (Officers)

REF: AFI 36-3206, *Separating Commissioned Officers*; AFI 36-3207, *Administrative Discharge Procedures for Commissioned Officers*

OPR: Commander, Supervisor, MPF/Separations

OCR: Staff Judge Advocate, Medical Services, Chaplain, MPF

Air Force policy

Continued service as an officer is a privilege that may be terminated when such action is determined to be in the best interests of the Air Force. Officers who fail to meet and maintain performance standards consistent with their grade and experience or who fail to maintain high standards of professional and personal conduct show themselves unworthy of officer status. The Air Force has both the right and the responsibility to identify such officers early and to take appropriate rehabilitative or separation action promptly.

Regulatory guidance

AFI 36-3207 describes how to administratively separate active duty officers for substandard performance of duty, misconduct, moral or professional dereliction, homosexual conduct, or in the interests of national security. AFI 36-3206 outlines the procedures for the remaining types of voluntary and involuntary administrative separations.

Unit commander's responsibilities

The unit commander is responsible for examining and evaluating any information indicating that grounds may exist for discharge under either instruction. Often, circumstances may support taking action under the UCMJ as well as administrative discharge. It is very important for the

commander to discuss all potential cases fully with the staff judge advocate to make sure appropriate action will be taken. If the unit commander decides to recommend that discharge action be initiated, such action must be accompanied by all supporting evidence as well as a formal legal review by the SJA. The SJA and the MPF should be consulted for advice because the various methods of processing and the actions to be taken by the officer, major command, and Headquarters USAF are detailed and elaborate. The bottom line is that it is the responsibility of the unit commander to document all deficiencies in performance and behavior and to determine whether the administrative discharge of an officer should be seriously considered. The success of an administrative discharge is directly dependent upon the completeness of the evidence the commander is required to submit with the recommendation for action.

Commander's Checklist

- The commander must take prompt action against officers whose professional and personal conduct show them unworthy of officer status.
- Regulatory guidance for the commander:
 - ☐ *AFI 36-3207 describes procedures to separate officers for certain types of conduct.*
 - ☐ *AFI 36-3206 describes procedures for remaining types of separations.*
- Unit commander's responsibilities:
 - ☐ *Examine information indicating grounds for discharge.*
 - ☐ *Consult with SJA for advice.*
 - ☐ *Document all deficient performance and behavior.*

The Air Force Weight Management Program/ The Air Force Fitness Program

REF: AFPD 40-5, *Fitness and Weight Management*; AFI 40-502, *The Weight Management Program*; AFI 40-501, *The Air Force Fitness Program*

OPR: Commander

OCR: Medical Services, Staff Judge Advocate, Military Personnel Flight

The purpose of the physical fitness and weight management programs (WMP) is to maintain the efficiency, health, and well-being of the individual, and to present a proper military image to the public. There must be no doubt that Air Force members live by a common standard and are responsive to military order and discipline. The establishment of a uniform system for weight management for Air Force people entails a uniform application of the program by the unit commanders. AFI 40-502 is the controlling instruction for weight (body fat) management, and AFI 40-501 is the controlling instruction for fitness evaluation in the Air Force.

The Weight Management Program

Commander's responsibilities

The weight management program relies heavily upon unit commander involvement. As commander, you must administer the WMP. Once a month, but on an irregular schedule, conduct random weigh-ins and keep records to ensure that all personnel get weighed or measured at least once a year; measure the body fat percentage of any individuals who exceed their maximum allowable weight, who appear to exceed the body fat standard, or who don't present a professional military appearance; or whenever appropriate. Appoint a WMP manager or a manager and an assistant of the opposite sex so that all personnel are measured for body fat by an individual of the same sex; organize individual and unit sports, fitness, and recreational activities; encourage personnel to follow an active conditioning program and a proper diet regimen; notify the MPF, special actions, when individuals enter and leave the WMP or undergo a change of status at non-PC III configured units (use AF Form 108, Weight Program Processing); at PC III units, update the appropriate weight status code (WSC) reflected on AF Form 108 into the personnel data system (PDS); mail the WMP case file (WMPCF) to the gaining commander within five duty days after an individual departs on permanent change of station (PCS) or permanent change of assignment (PCA); and reschedule the weigh-in dates of female personnel based on their menstrual cycles.

Program details

While there are many methods to determine body fat percentage, the Air Force uses the circumferential measurement technique. The circumference of the neck and waist (and hips for females) are measured and used along with the member's height to calculate the body fat percentage.

Under AFI 40-502, commanders must take appropriate administrative actions when members fail to meet or maintain standards. A list of recommended actions is found in AFI 40-502, table 1. Unsatisfactory progress *requires* administrative action. The commander should select at least one administrative action for each unsatisfactory monthly period. Unsatisfactory periods need not be consecutive. Commanders are strongly encouraged to initiate administrative separation action at the fourth unsatisfactory period. Punishment pursuant to Article 15, UCMJ, may only be used for a specific violation of the UCMJ, such as failure to meet a scheduled weigh-in. Unsatisfactory progress in the WMP is not a criminal offense violating the UCMJ. Administrative actions such as denial of reenlistment, withholding promotion, or officer performance report/enlisted performance report (OPR/EPR) comments may be considered according to the number of unsatisfactory periods noted in table 1, AFI 40-502. After the fourth unsatisfactory period, unit commanders are required to advise the installation commander in writing of any decision to recommend retention of any enlisted member or officer. The installation commander has the final decision authority to retain or to process for discharge after the fourth unsatisfactory period. If discharge is sought, AFI 36-3208 is used for enlisted members and AFI 36-3206 for officers.

When an individual is overweight but in the unit commander's opinion is physically fit and does not appear fat, the unit commander may recommend a temporary adjustment of the body fat standard. Approval authority is the installation commander. The unit commander considers an individual for an upward body fat standard adjustment if he or she is over the body fat

limits according to the body fat percent charts, but otherwise appears physically fit. Only increases to the body fat percentage will be considered. To assess whether an individual should receive a body fat standard adjustment, the unit commander refers the member to the base hospital for a medical evaluation to determine if a body fat standard adjustment is appropriate. The unit commander sends the recommendation and the results of the medical evaluation to the installation commander for consideration. Installation commanders approve upward body fat standard adjustments for six-month periods only. Individuals must submit for a reevaluation of the body fat adjustment before the commander renews the request. If the installation commander revokes a body fat standard adjustment, the unit commander allows individuals sufficient time to reduce their body fat percentage at the rate of 1 percent of body fat per month before determining entry into the weight management program. Individuals who can't meet their body fat standard in the unit commander's designated time frame must enter into the weight program.

In addition to body fat adjustments, military members may receive medical deferrals from the weight program and/or the 90-day fitness program. Medical authorities will inform the unit commander whether or not medical deferrals are appropriate. The unit commander may for one 6-month period (renewable for another 6-month period to a maximum of 12 months) place military members into a medical deferral status. Beyond 12 months, the installation commander has the authority over any deferrals. (*Note:* Pregnancy may receive up to an 18-month deferral from the unit commander). Unit commanders must inform the military member that even if the medical deferral is approved, the same restrictions on PCS, promotion, reenlistment, and such apply as if the member were placed into phase I of the weight program (see below).

*Phases of the
program*

The WMP is a rehabilitative program that consists of phase I (initial entry and body fat loss period) and phase II (observation period). There is a probationary follow-on period that is not part of the WMP.

Members who initially exceed the body fat standard are sent for a medical evaluation. If diagnosed as overweight, the member is entered into phase I of the WMP. The member must be notified in writing of formal entry into the program. Enlisted personnel in phase I are not eligible for reenlistment, PCS (if making unsatisfactory progress), professional military education (PME), or voluntary retraining. They may test for promotion but will not assume a higher grade until their body fat standard is met and they're recommended for promotion. Officers are ineligible for PCS or PME.

Satisfactory progress is defined in AFI 40-502 as 1 percent body fat reduction *or* loss of 3 pounds per month for females and 1 percent body fat reduction *or* loss of 5 pounds per month for males. While a member on the WMP may lose weight to satisfactorily progress, ultimately body fat must be reduced below the maximum allowable to complete phase I.

Members are notified in writing when they meet their body fat standard and are officially entered into phase II for 6 months and a probation period of 12 months. During phase II, members are weighed/measured monthly. For the probation period, the commander may randomly weigh/measure the individual. Exceeding body fat standards at any time during phase II and

the probation period requires reentry into phase I with appropriate administrative action. Once the member completes the probation period successfully, the entire weight management program case file is destroyed.

The Fitness Program

Background information

The Air Force announced in 1992 the development and implementation of a new aerobics fitness testing program for all military personnel. The program, begun in October 1992, is designed to replace the old 1½-mile run and 3-mile walk program with a stationary bicycle test called the cycle ergometry test.

The test generally involves the monitoring of a person's heart rate while pedaling a stationary bicycle at a less than maximum load (submaximal). A computer then calculates the volume of oxygen used per kilogram of weight per minute to determine aerobic fitness. Categories of aerobic fitness have been established with category I being the least fit to category VI being the most fit.

Program details

The fitness instruction (AFI 40-501) controls the implementation of the fitness program in the Air Force. The installation commander is responsible for the overall base fitness program and, along with the director, base medical services (DBMS), and unit commanders ensure that fitness standards are equitably evaluated and maintained.

Much like the weight management program, each unit commander appoints a unit fitness program manager (UFPM) to conduct the annual fitness evaluations and educate unit personnel on various fitness-related topics.

The fitness test evaluates cardiovascular fitness by using 6 to 10 minutes of moderate exercise on a precision stationary bicycle. The workload is adjusted to the individual's physical capability but never is raised to a level that will impose either fatigue or exhaustion. Based upon a computer calculation using heart rate measurements, fitness is expressed in oxygen uptake (VO₂) milliliters per kilogram per minute (ml/kg-min). For example, a 49.6 ml/kg-min reading for a male 30-39 years old equates to a category V (with category III being the minimum Air Force fitness standard). See figure 1 of AFI 40-501.

The GET FIT program

If a member fails to meet the minimum fitness standard (category III), he or she is entered into the GET FIT or FITE program. The GET FIT program is a supervised fitness program for anyone who scores at the category I level during testing. The program is a mandatory rehabilitative exercise program for a minimum of 90 days. After this time, the member is retested on the cycle ergometry test. If the member fails to meet standards, he or she is continued on the GET FIT or FITE program and retested after another 90 days. If the member still fails to meet standards or progress satisfactorily, the unit commander may take adverse administrative action, or the commander, if convinced that the member is adequately participating in an aerobic conditioning program, adjusts the fitness standard for the member to a lower level (i.e., category II). The administrative options available to commanders are listed in attachment 5 of AFI 40-501. They include administrative demotion and separation.

The FITE program

The FITE program, or fitness enhancement program, is designed to allow commanders more flexibility to improve members' fitness levels and can be used when a member scores at the category II level. The intent of the FITE program is to allow a self-paced program rather than the supervised GET FIT program. As with GET FIT, members are evaluated every 90 days, and those failing to meet standards or failing to make satisfactory progress after six months should be considered for adverse administrative action or fitness level adjustment. For both the FITE and GET FIT programs, satisfactory progress is defined as an increase of 5 ml/kg-min during the first 90-day exercise period and an increase of 3 ml/kg-min at each subsequent 90-day period until category III standards are achieved.

Because of the effects that various activities like strenuous exercise within 10 hours of the test, lack of sleep, tight clothing, eating a heavy meal within 4 hours of the test, drinking caffeinated beverages within four hours of the test, alcohol, smoking, or a number of medications may have on the results of the test, commanders should ensure that all members who will be testing are advised to follow strict guidelines before the test. See attachment 6, AFI 40-501.

Commander's options

Like the weight program, nonjudicial punishment may not be imposed solely for the condition of being unfit. There must be a violation of a specific article of the UCMJ, such as failure to go to an exercise appointment. Some major commands have indicated a desire to set their standard higher than category III. While this is permissible, no administrative action may be taken against military members unless they fail to meet the Air Force standard of category III.

Commander's Checklist

- The purpose of the program is to maintain the efficiency, health, and military appearance of Air Force members.
- The commander administers the WMP.
 - ☐ AFI 40-502 is the controlling instruction.
 - ☐ The commander appoints a WMP manager.
 - ☐ The commander should encourage sports, recreation, conditioning, and diet regimen.
- The Air Force began a new fitness program in 1992.
 - ☐ It implements aerobics testing for all Air Force military personnel.
 - ☐ AFI 40-501, figure 1, shows fitness categories.
- There are two fitness categories:
 - ☐ GET FIT (supervised program)
 - ☐ FITE (self-paced program)
- No judicial punishment can be taken against military members solely for being physically unfit.
- No administrative action can be taken unless the member fails to meet the Air Force category III standard.

Airman Reassignment Restrictions

REF: AFI 36-2110, *Assignments*

OPR: Commander

OCR: MPF

Air Force policy

Commanders must take prompt action to prevent reassignment of airmen when they do not meet minimum quality standards or when their performance is substandard. A critical review must be conducted of airmen in a mandatory move status to determine applicability of separation versus reassignment. At a minimum, commanders and personnel officers must prevent selection for assignment until deficiencies no longer exist. The intent is to ensure the individual's problems are resolved at the location where they arose.

Commander's Checklist

- AFI 36-2110 describes the commander's role and actions in preventing the reassignment of members not meeting Air Force standards.
- AFI 36-2100, paragraph 2.1.23, outlines the reasons preventing reassignment, some of which include:
 - ☐ Not recommended for promotion, nonselected for NCO status or reenlistment
 - ☐ Not recommended for further upgrade training or removed for failure to progress
 - ☐ Weight management issues per AFI 40-502
 - ☐ The subject of a referral or overall "2" evaluation on the most recent EPR
 - ☐ Not recommended for overseas duty because of mental instability
 - ☐ A drug or alcohol abuser
 - ☐ Undergoing control roster observation
 - ☐ Awaiting trial, serving a court-martial or Article 15 punishment, or serving a suspended administrative discharge action
 - ☐ Under investigation by the office of special investigation (OSI) or law enforcement investigation

Arrest by Civilian Authorities (United States Only)

REF: AFD 51-10, *Making Military Personnel, Employees, and Dependents Available to Civilian Authorities*; AFI 51-1001, *Delivery of Personnel to United States Civilian Authorities for Trial*; AFI 36-3208, *Administrative Separation of Airmen*

OPR: Commander

OCR: MPF, SJA, SPS

*When subordinate
is held by civilian
authorities*

The Air Force demonstrates its full support of civil legal authorities by ensuring that Air Force military and civilian personnel do not use military assignments to avoid valid orders of civilian courts. When a member of your command is being held by civilian authorities and is charged with a criminal offense or when civilian authorities request a member you command, you are required to take certain actions. Refer to AFPD 51-10.

First, if the member is being held by civilian authorities, you should inform the civil authorities that the person is a member of the Air Force. In this initial contact, you should gather information concerning the actual charges brought against the member, the circumstances surrounding the case, and the maximum possible sentence.

Whenever possible, you should make arrangements to return the member to military control. In making these arrangements, you cannot say that the Air Force will guarantee the member's presence at a subsequent hearing but that the Air Force will make every effort to cooperate with civilian legal authorities in these cases. Furthermore, unless you are personally willing to accept the potential consequences, *you should not post bond or personally guarantee any action by the charged member.* You may, however, make a statement as to the member's character or prior record of reliability if you have firsthand knowledge of these matters.

*When in custody of
civilian authorities*

If the member is kept in custody of civilian authorities, you must contact the military personnel flight at your base to prepare an AF Form 2098, Duty Status Change, or other appropriate form reflecting the members duty status change from "present for duty" to "absent due to civilian confinement."

*When federal
or state authorities
request delivery of
subordinate*

A commander exercising general court-martial jurisdiction, or an installation commander when authorized by the officer exercising general court-martial authority, may authorize delivery of a member of his or her command to federal or state civil authorities (AFI 51-1001, par. 1). Before delivering a member to a civilian authority, or if the member is already in civilian custody and is bound over for trial, you must direct the member in writing to report to a designated Air Force unit, activity, or recruiting office for further instructions in the event the civilian authority releases the member (see attachment 1 to AFI 51-1001 for the format). Additionally, either you or your representative should personally counsel the member that a judge advocate (Air Force lawyer) cannot represent Air Force members in a civilian criminal matter. However, a judge advocate will discuss the effects that the civilian offense may have within the Air Force (i.e., administrative discharge) with the military member. Members may hire a civilian attorney or, if they cannot afford one, may request the criminal court to appoint a public defender to represent them free of charge.

You should also inform the member that pleading guilty or receiving a conviction for a civilian criminal offense may subject him or her to involuntary administrative separation from the Air Force. Accordingly, you must obtain information from the civilian authorities on the final disposition of the case. The format for requesting such information is found in AFI 36-3208. If the final outcome results in a finding of guilty or an action that is tantamount to a finding of guilty, immediately contact the staff judge advocate to discuss appropriate administrative and disciplinary action.

Commander's Checklist

- If you are notified that a member is being held by civilian authorities or if civilian authorities request delivery of member for prosecution:
 - ☐ Inform civilian authorities person is member of Air Force.
 - ☐ Gather information about the charges and circumstances surrounding the case.
 - ☐ Try to make arrangements to return member to military control.
 - ☐ If member is kept in custody, contact MPF to change duty status.
 - ☐ Notify member of limitations on judge advocate representation and effect of conviction of civilian offense.
 - ☐ Notify member in writing, in accordance with attachment 1 to AFI 51-1001, to report to a designated AF unit if the member is released from civilian confinement.
 - ☐ Inform the member that a guilty conviction may result in involuntary administrative separation from the Air Force.
 - ☐ Advise the member that he or she may hire a civilian attorney or request a public defender be appointed by the court.
- If federal or state authorities request delivery of a military member for prosecution:
 - ☐ Contact the base staff judge advocate to coordinate with the general court-martial convening authority commander or his or her designee.
 - ☐ Find out information from civilian authorities on final disposition of the case (see AFI 36-3208 for the format).

Awards and Decorations

REF: AFI 36-2803, *The Air Force Awards and Decorations Program*

OPR: Commander, Supervisor

OCR: MPF

Regulatory guidance

Napoléon once stated that “for a few yards of ribbon (medals), I could conquer the world.” Napoléon and successful commanders recognize a key to motivating people is to pay homage to their accomplishments and efforts. The Air Force awards and decorations program fosters morale, incentive, and esprit de corps through prompt public recognition of acts of exceptional bravery, outstanding achievement, and/or meritorious service performed by individuals or units. *AFI 36-2803 describes procedures for submission of decorations.*

Commander's Checklist

- Let your people know that you support a strong awards and decorations program.
- Encourage supervisors to start documenting justification for awarding their people.
- Research the awards available for your military and civilian personnel and your unit.

- Expect supervisors to nominate their workers for awards. Ask, “Why not?”
- Closely track submissions to assure proper and timely processing.
- Establish panels to determine who will be selected for quarterly, semiannual, and annual awards.
- Review recommendations before endorsing them to ensure they are as complete as possible.
- Select an individual to serve as your unit awards monitor. (Duties would include being familiar with pertinent directives, solicit nominees for awards and decorations, suspending the unit sections for packages on personnel nominated for awards, using MPF products to monitor the overall program, and reviewing packages to ensure compliance with directives.)
- MPF automatically computes the suspense dates for recommendation submission based on projected action such as retirements, separation, and reassignments. Do not wait for the computer rip from the MPF; initiate the paperwork immediately.
- Unprojected action such as achievement and heroism must be generated within 60 days of the act or achievement. A word of caution: the MPF does not automatically generate a computer rip for this action, it rests on the commander to make sure it doesn't fall through the cracks.
- Maintain the integrity of the awards program by awarding only deserving people.
 - ☐ The recipient must have given honorable service during and subsequent to act of merit or achievement.
 - ☐ If the members conduct is less than exemplary during the three-year period, the AF Good Conduct Medal should be denied (AFI 36-2803, chapter 5).
- Only one decoration per person is authorized for any specific act or achievement. An award for a single act or achievement does not preclude an award for meritorious service at the end of an assignment.
- Publicize the recognition through the public affairs branch and local publications.

Base Driving Privileges

REF: AFR 125-14, *Motor Vehicle Traffic Supervision*

OPR: Security Police, Commander, Supervisor

OCR: SJA, Security Police

Air Force policy

Operating a privately owned vehicle on an Air Force base is a conditional privilege extended to military members and civilians by the installation commander.

Regulatory guidance

To be eligible to drive on base, a person must comply with the requirement of AFR 125-14 (AFI not available at time of press) and all local policies. Failure to comply with these provisions will result in termination and/or suspension of the on-base driving privilege and may result in other disciplinary actions. The Air Force takes a tough stand on drunk driving. Any individual determined to be driving under the

influence (DUI) will receive a mandatory one-year revocation of base driving privileges. Additionally, commanders should consult with the SJA for further disciplinary action. Persons driving on base give their implied consent to submit to a chemical test of their blood, breath, or urine for the purpose of determining whether they are operating a vehicle while under the influence of alcohol or drugs. An individual may refuse to take a chemical test; however, refusal will result in an automatic termination of that person's driving privileges on base for a period of one year. A blood alcohol test may be ordered by the base commander based on probable cause.

Convictions for off-base driving offenses may result in the assessment of traffic points and the suspension of revocation or the on-base driving privilege

Commander's Checklist

- Ensure that briefings about the on-base driving privilege are conducted for all squadron personnel.
- Counsel traffic violator's.
- Enroll violator's in a remedial driving course.
- Monitor a violators rehabilitation.
- Identify violator's whose driving privilege should be suspended or revoked and make recommendations to the base commander.
- Enforce the mandatory use of seat belts and child restraints. Have offenders perform monthly/quarterly checks.
- Promote anti-DUI programs. Discuss them at commander's calls.
- Place safe-driving information on the unit "Safety Bulletin Board."

Casualty Services Program

REF: AFI 36-3002, *Casualty Services*

OPR: MPF/Personal Affairs Office

OCR: Chaplain, Mortuary Officer, Security Police, Staff Judge Advocate

Air Force policy

Air Force policy is for commanders to make personal notification to the next of kin of members who become casualties and/or to dispatch letters of condolence or circumstances. The base casualty services representative visits the next of kin after notification to assist with all survivor benefit applications.

Regulatory guidance

AFI 36-3002 gives a step-by-step procedure for notification and complete casualty assistance to dependents and survivors. It also provides reporting procedures.

Unit commanders' responsibilities

Commanders, when functioning as notification officers, should be aware of their responsibilities since this is an extremely sensitive matter. Each

notification is unique and the reaction of the next of kin may be unpredictable. The notification party should include a chaplain and a physician or nurse to provide consolation or medical assistance.

Most casualty notification actions are time critical. Develop instructions to ensure that these actions are coordinated between base agencies to quickly notify next of kin, report casualties, and provide assistance. The base command post may be used as the central point of contact for all casualty matters. Review AFI 36-3002, attachment 16, Casualty Notification Officer Checklist, prior to making the notification.

Commander's Checklist

- Ensure that DD Form 93, Record of Emergency Data, is kept up to date by all squadron members. Stress this at commander's calls and other meetings.
- Never notify the next of kin via telephone or letter. You are the representative of the Air Force chief of staff and will personally relate the known circumstances and convey appropriate condolences to the next of kin.
- Never release the name and address of a combat casualty to the news media before first obtaining a release from the next of kin and approval from the base public affairs office.
- Review AFI 36-3002 prior to sending letters of condolence/circumstance to next of kin and his/her family.
- If the deceased member had minor children, you may consider writing a letter of circumstance to the child or children. AFI 36-3002, attachment 34, provides an example.
- Remember, nothing can substitute for common sense, good judgment, and sensitivity in making a casualty notification.

Child Abuse, Child Neglect, and Spouse Abuse

REF: AFRD 40-3, *Family Advocacy Program*; AFI 40-301, *Family Advocacy Program*

OPR: Commander, Supervisor, Installation Commander, Director, Base Medical Services (DBMS), Family Advocacy Officer (FAO)

OCR: Staff Judge Advocate, Military Personnel Flight, Chaplain, Social Actions, Family Support Center, Dependent Schools, Red Cross

Air Force policy

It is Air Force policy to prevent or to minimize the impact of child abuse, child neglect, and spouse abuse and their attendant problems. To further this policy, the Air Force attempts to identify abuse and neglect, document such cases, assess the situation, and provide treatment to the family. The Air Force will take administrative or judicial action in appropriate cases. Accordingly, commanders and supervisors must be familiar with rehabilitative procedures and disciplinary policies relating to child abuse or neglect and spouse abuse, and provide counseling and referral assistance as required. Commanders should also review the duty assignment status of all

military members responsible for an abused or neglected child or abused spouse in order to determine whether current duties may be contributing to the situation.

*Family advocacy
program*

Responsibility for implementation of this policy rests primarily with the family advocacy program (FAP). FAP's mission is to promote mission effectiveness by enhancing the health, welfare, and morale of Air Force families. FAP consists of three components: outreach, exceptional family member program (EFMP), and family maltreatment intervention.

*The family
advocacy committee
(FAC)*

FAC is chaired by the director of base medical services (DBMS), who is responsible for each of the three FAP components. The ultimate responsibility for implementation of FAP, however, rests with the installation commander. Members of FAC normally include installation commander, DBMS (or chief of hospital and clinical services), family advocacy officer, family advocacy outreach worker, pediatrician, family support center director, staff judge advocate, director of personnel, chief of security police, Air Force Office of Special Investigations (AFOSI), detachment commander, chaplain, social actions, director of the child development center, director of youth support, and representatives of local child protection agencies (optional).

*Family advocacy
officer*

The family advocacy officer (FAO) is the action officer for FAP and chairs the family maltreatment case management team (FMCMT). All Air Force personnel, military or civilian, have a duty to report all incidents of suspected child abuse. Generally, the following takes place:

- The report is made to the FAO, who will notify AFOSI.
- AFOSI is responsible for investigating all but minor incidents of maltreatment.
- AFOSI accesses the defense central index of investigations (DCII), which serves as a register of substantiated and suspected cases of abuse.
- Investigation by AFOSI preserves command prerogatives to take appropriate administrative or judicial actions.

Commanders should be keenly aware that notification of suspected abuse cases comes from many sources—SP blotter, coworkers, medical care providers, childcare providers, and anonymous calls. The identity of the person making the notification is kept confidential by the FAO and is not released to the family allegedly involved. The FAO reviews family medical records and prepares a family record and evaluation. The FAO notifies local child protective services agencies in accordance with state or local laws. The FAO *must* coordinate with the SJA before notifying local agencies. The SJA will consult with AFOSI, DBMS, and other appropriate staff members in assessing whether and when notification should be made.

FMCMT

The FMCMT is a working group of the FAC and directs provision and management of services designed to identify, report, assess, and treat all types of maltreatment cases. FMCMT meets at the call of the FAO, but at least monthly. Membership is determined by the FAC, but should include the installation commander (or deputy commander), DBMS (or chief of hospital and clinical services), pediatrician, AFOSI, SJA, SP, chaplain, and other relevant agencies. Duties of the FMCMT include ensuring assessment

of all reported cases and prompt clinical evaluation of victims; documenting of cases of abuse or neglect after investigation; establishing unit commander's assistance in treatment plans for both the victim and the abuser; reviewing all open cases at least quarterly to ensure that the case management plan is current and correct (review sex abuse cases at least monthly); coordinating with local human service agencies for treatment and services that are beyond the capabilities of available Air Force resources; and ensuring that service members currently in treatment are not reassigned or placed on extended TDY during the treatment program. (Note: Enrollment in the program is not a bar to promotion or promotion consideration.) The unit commander of a member whose case will be discussed at the FMCMT should attend the FMCMT meeting.

Child neglect and abandonment

Most Air Force installations will have several cases each year of alleged child abuse or neglect through parental abandonment (i.e., leaving children alone in military family housing without adult supervision). Some installations have attempted to address this issue by having the FAC draft guidelines to assist parents in assessing whether a child is mature enough to be left unattended. It is important to remember that the FAC only proposes guidelines. Individual children and situations are unique and must be evaluated in that light.

Commander's Checklist

- Always report to the DBMS or FAO any suspected cases of child/spouse abuse or neglect, regardless of the source of the information.
- Do not attempt to investigate the suspected case yourself, or to counsel the individual involved. Instead, request the assistance of the DBMS or the FAO to determine the validity of the report and the circumstances of the case.
- Do not discuss the case with anyone else except the first sergeant if it involves an enlisted member.
- Do not get emotionally involved. After a thorough investigation, base your actions upon the recommendations of the FAO, DBMS, or the SJA.
- Consult AFI 40-301 if you have specific questions about the policies and procedures involved in abuse/neglect cases.
- Consult AFI 31-501 for guidance concerning security clearances, access to classified information, and unescorted access into restricted areas.
- Review the duty assignment of all unit members responsible for abused spouse and an abused or neglected child to determine if current duties may be contributing to the situation.

Commander's Call

REF: AFI 35 Series, *Public Affairs*

OPR: Commander

OCR: Public Affairs Office, First Sergeant, Unit Personnel

Commander's call should be viewed as a commander's opportunity for direct personal contact with unit personnel. It should serve as a medium for exchanging information between people. It can establish the commander as the primary source for information in the unit. Commander's call, which should supplement other means of communications, is sometimes the only time when most of a unit's members can meet together.

Use commander's call to discuss unit activities, achievements, and goals reached since the last commander's call or planned before the next one. Periodically, discuss the mission and how the unit fits in. Recognize newcomers and members leaving the unit. Present awards and decorations. Discuss contemporary problems and issues of the Air Force and the unit. Provide other information—direct from you, not through the grapevine.

A commander's call, to include showing the *Air Force Now* film, is encouraged. Military members must attend, while civilians and spouses are encouraged to attend.

Commander's Checklist

- When conducting commander's call, *DO NOT*:
 - ☐ Delegate this forum. This is the commander's showcase for information and visibility—don't miss it!
 - ☐ Use commander's call to reprimand or give disciplinary lectures to your unit.
- **When conducting commander's call, DO:**
 - ☐ Change the location occasionally.
 - ☐ Use the imagination and talents of unit personnel to make the session interesting. Keep the emphasis upbeat and creative and tailored to your unit.
 - ☐ Come prepared with a balanced agenda that leaves time for discussion, questions, and answers. Don't overload information, it kills time and attention.
 - ☐ Schedule frequency of commander's call according to unit needs. Consider separate sessions for different grades (i.e., top three commander's call).
 - ☐ Take commander's call to shift workers by holding it twice each month to catch all people.
 - ☐ Dry run your commander's call and make up detailed note cards for review before the event.
 - ☐ Answer as many questions at the session as possible, and promise answers to questions that need more research. Follow up at least by the next session.
 - ☐ Ask yourself if you are wasting your people's time. Would you want to sit through your own commander's call?

Control Roster

REF: AFI 36-2907, *The Air Force Unfavorable Information File Program*

OPR: Commander, First Sergeant, Supervisor

OCR: MPF, Staff Judge Advocate

The control roster is a listing of military members whose on-duty or off-duty conduct requires special observation and is maintained by the military personnel flight (MPF). Commanders use the control roster to set up a six-month observation period for individuals whose duty performance is substandard or who fail to meet or maintain Air Force standards of conduct, bearing, and integrity on- or off-duty. Placing a member on the control roster is a rehabilitative tool that gives the member an opportunity to improve his or her conduct. Experience shows that individuals usually take their own rehabilitative actions when they are notified of their deficiencies and know they are being observed.

The control roster is probably the most underutilized quality force tool. Perhaps this is so because most people, including commanders, view control roster action as having long-term irreversible consequences. This is simply not true. Individuals whose duty performance while on the control roster meets acceptable standards suffer no long-term consequences. Remember, commanders can regulate the effects of control roster action in any manner they view as appropriate. It is a super management tool. Use it.

Commander's Checklist

- Unit commanders should consult AFI 36-2907, chapter 2, on when and how to start control roster action and the effect control roster action has on the member.
- ☐ AF Form 1058, Unfavorable Information File Action, is used by commanders to place an individual on the control roster.
- ☐ The commander considers a control roster observation period for members who demonstrate substandard duty performance or fail to maintain Air Force standards.
- ☐ The commander periodically counsels personnel on the control roster about their improvement.
- ☐ The commander considers directing an OPR or EPR before entering and removing a member from the control roster.
- ☐ The commander is aware that once the control roster expires the individual will not be placed back on the control roster unless a separate incident occurs.
- ☐ The commander considers the member's service and overseas retainability before putting the member on the control roster.
- ☐ The commander removes members from formal training during the control roster observation period.
- ☐ The commander must not put individuals on the control roster who are on temporary duty (TDY), TDY en route, or in PCS status.
- ☐ The commander can remove the member from the control roster early using AF Form 1058.
- ☐ The UIF monitor maintains the control roster and commander enlisted management roster (CEMR) for the commander.

Counseling

REF: AFI 36-2907, *Unfavorable Information File (UIF) Program*

OPR: Commander, Supervisor

OCR: MPF, Chaplain, Medical Services, Staff Judge Advocate

Counseling is the commander's first tool of corrective action. This does not mean that all airmen who require counseling are in trouble or that all airmen who are in trouble should be counseled. Airmen should be encouraged to seek the assistance of their supervisor or commander. The wisdom and maturity of the supervisor or commander frequently provides the guidance necessary to improve job performance or behavior before a major problem requiring more serious action develops. Sometimes the commander or supervisor should initiate counseling, usually to correct habits or shortcomings that are not criminal or illegal but can ultimately affect job performance or conduct.

Commander's Checklist

- The counseling session should be documented on AF Form 174, Record of Individual Counseling.
 - ☐ Do not put records of counseling in the UIF.
 - ☐ Destroy AF Form 174 one year after last counseling session or after member's reassignment or separation.
- Make sure supervisor-counselors record:
 - ☐ Circumstances that caused the counseling session.
 - ☐ Simple description of what was said during the session.
 - ☐ Causes of the problem.
 - ☐ Solution developed/action taken or recommended.
- Advise the airman of his or her Article 31, UCMJ, rights if you convene a session involving a case in which criminal disciplinary action could be taken.
 - ☐ Failure to do so will mean statements can't be used against the person in any subsequent action.
 - ☐ Don't "frighten off" the person. Remember that the purpose of the session is to help him or her.
 - ☐ Admit that Article 31 could apply but that you want to help, not discipline, the individual.
- When an individual refuses to sign a written counseling, note that fact on the form, date it, and sign it. If possible, have a witness write a memo for record of the refusal.
- Note on the AF Form 174 that the individual refused the letters of counseling and was given the opportunity to comment on them. Notice that AF Form 174 provides the counselee an opportunity to comment on the counseling.

Court-Martial Charges

REF: *Manual for Courts-Martial*, United States 1984; AFI 51-201, *Administration of Military Justice*

OPR: Commander, Supervisor

OCR: Staff Judge Advocate, MPF, Chaplain, Area Defense Counsel (ADC)

If a member of your command refuses to accept processing of punishment under Article 15, UCMJ, and demands court-martial, or if your investigation indicates the member is probably guilty of an offense deserving a more severe punishment than can be imposed under the provisions of Article 15, it may be necessary to prefer court-martial charges.

Trial by court-martial is appropriate only if lesser types of disciplinary and administrative action are inadequate. If an investigation reveals the commission of an offense or multiple offenses requiring court-martial action, all offenses are usually combined for a single trial.

Types of courts-martial

There are three types of courts-martial:

The *General Court-Martial* (GCM) is for the most serious offenses. Maximum punishment determined by the offense as set forth in the *Manual for Courts-Martial*.

The *Special Court-Martial* (SPCM) is for offenses not serious enough to warrant a general court-martial but too serious to be handled by Article 15. Maximum punishment is a bad-conduct discharge, confinement for six months, and forfeiture of two-thirds of one month's pay per month for six months and reduction to airman basic.

The *Summary Court-Martial* (SSM) is generally used to try enlisted persons who have declined to accept nonjudicial punishment under Article 15. However, on a case-by-case basis, summary court-martial may be used to dispose of offenses without an Article 15 being offered when the interests of justice and discipline warrant. Consult your staff judge advocate to determine whether a summary court-martial may be appropriate. Officers may not be tried by a summary court-martial.

Preparation of charges

Whenever you have information that appears to involve a criminal offense under the UCMJ, you should take the results of your investigation to the chief of military justice in the Office of the staff judge advocate. The chief of military justice will review the evidence, advise you whether additional evidence may be necessary, and prepare charges and specifications appropriate to the facts as they appear to be at that time.

The Office of the staff judge advocate will prepare the court-martial charge sheet (DD Form 458). The staff judge advocate will also assist you in preparing AF Form 65, Letter of Transmittal of Court-Martial Charges. This form calls for certain personal information concerning the accused. Care must be taken to prepare this form accurately as the information is referred to in subsequent stages of processing.

Preferral of charges

Although anyone subject to the UCMJ may sign the charges as "accuser," the task normally falls upon the commander. If the case appears to be in

order, the commander will be given another opportunity to review the charges and specifications and will sign them under oath before the staff judge advocate, who will sign them as administering the oath. The commander then informs the accused of the charges by reading the charges and specifications to the accused. The commander then signs the certificate indicating the accused has been informed and delivers the charge sheets to staff judge advocate personnel. This process is known as the “preferral of court-martial charges.”

*Referral to
court-martial*

After preferral, the charges are usually received by the staff judge advocate on behalf of the summary court-martial convening authority and are then referred to trial by the special court-martial convening authority (if a SPCM is to be convened). If the charges are to be referred to a general court-martial, then the SPCM convening authority appoints an Article 32 investigating officer to conduct an investigation (the rough equivalent of a civilian grand jury). The Article 32 report of investigation is then forwarded to the GCM convening authority through the SPCM convening authority and the case is referred to a general court-martial. Once the charges have actually been referred to trial, the appointed trial counsel will then formally serve the accused with a copy of the charges and specifications.

*Commander's
involvement*

Once you have completed preferral, your role in the case is largely completed unless your testimony is required at the Article 32 investigation or trial. If so, you will be notified by either the Article 32 investigating officer or trial counsel or defense counsel. Severe time constraints are involved in the preferral and trial of court-martial charges. Timely processing is critical to the survival of the charges or specifications. If the accused is ultimately convicted and sentenced, the commander and first sergeant will be asked to make a clemency evaluation of the accused and will be specifically instructed on further procedures.

Commander's Checklist

- If you have information a military member under your command may have committed an offense under the UCMJ, you should immediately contact the chief of military justice at the Office of the Staff Judge Advocate.
- There are three types of courts-martial (see *Manual for Courts-Martial*, United States 1984, chap. 1, pt. II, for jurisdiction of each):
 - ☐ General court-martial
 - ☐ Special court-martial
 - ☐ Summary court-martial
- Since you normally prefer the charges and sign as the “accuser,” you must first familiarize yourself with the OSI report of investigation (or statements, etc.) so that the required sworn oath may be appropriately administered prior to preferral.
- After preferral, you must personally read the charges to the accused and complete block 12 of the DD Form 458.
- Once you have completed preferral, your involvement with the case may include the possibility of testifying in the case or taking other administrative action as needed.
- If the accused is convicted, you will be asked to make a clemency evaluation of the accused.

Dormitory Management

REF: AFI 32-6005, *Unaccompanied Housing Management and Operations*

OPR: Commander, First Sergeant

OCR: Civil Engineering, Family Housing

Air Force policy

Unaccompanied personnel housing (e.g., dormitories) must meet customer expectation for comfort, safety, and security. Professional dormitory management is essential to the well-being of resident military members. Major commands will choose either the “unit concept” (where dorm management is assigned to the unit commander) or the “centralized concept” (where the dorm management is the responsibility of the housing manager). Under the unit concept, the unit commanders are responsible for the day-to-day operation of the dormitory. This includes inspection, occupant assignments, and corrective actions. Units may not have an authorized billet for the position of “dorm manager,” thus it may have to “come out of hide.” Under the centralized concept, the housing office oversees the day-to-day operations of the dorm. Under this system, a dorm manager is permanently assigned (a special duty identifier, E-4 and above, and stabilized tour of 24 months).

Commander’s Checklist

- Be an active member of the quarters improvement committee (QIC).
- Establish specific guidance on dormitory standards in the form of policy letter, directives, or operating instructions.
- Ensure dormitory occupants are aware of the required standards, use newcomer’s briefings and commander’s calls to help get the word out.
- Remember to keep a balance between the welfare of the group versus the privacy of the individual when scheduling inspections.
- Reward and recognize positive behavior; implement programs such as a “room of the Month” and provide a three-day pass to the winner.
- Show that you care about the quality of life within your dormitory—walk through and check out the facilities periodically.
- Periodically check the status of repairs. How long does it take to get routine maintenance accomplished?
- Ensure that the furniture is in good repair in the rooms. How long has it been since the furniture was replaced? The carpets? Don’t forget the common areas (game rooms, day rooms, etc.).

Drug and Alcohol Abuse

REF: AFI 36-2701, *Social Actions Program*

OPR: Commander, First Sergeant, Social Actions

OCR: SJA, Chaplain, OSI, Security Police, MPF

Air Force policy

The Air Force Drug and Alcohol and Alcohol Abuse Prevention and Control Programs have two main goals. The first is to prevent all drug abuse, which includes the abuse of alcohol, and second, to keep the adverse consequences to the Air Force and the individual to a minimum should abuse occur. Briefly stated, Air Force policy on drug abuse is that the illegal or improper use of drugs by Air Force members is a serious breach of discipline, is not compatible with service in the Air Force, and automatically places the member's continued service in jeopardy.

Air Force policy on alcohol abuse is to prevent alcohol abuse and alcoholism among its personnel and their family members; to try to restore to full-duty status persons with problems attributed to alcohol abuse; and to ensure the humane management and administrative disposition of those who cannot be or do not remain restored.

Commander's Checklist

- Refer to social actions via AF Form 2371 any member in your organization that was involved in an alcohol-related incident. AFI 36-2701, paragraph 4.17, describes the use of AF Form 2371.
- Continually observe and evaluate the performance and conduct of the subordinate enrolled in the substance abuse, reorientation, and treatment (SART) program.
- Document specific instances of substandard duty performance or misconduct.
- Ensure blood alcohol and urine testing is promptly accomplished.
- Consult with medical and social action staffs when substandard performance or misconduct is suspected to be drug- or alcohol-abuse related.
- Consult with civilian personnel flight (CPF) on civilian employees whose performance, discipline, or conduct is substandard and is suspected to result from drug or alcohol abuse.

Drug Testing/Urinalysis Program

REF: AFI 44-120, *Drug Abuse Testing Program*; AFD 36-27, *Social Actions*; AFI 36-2701, *Social Actions Program*; Military Rules of Evidence (MRE) 312, 313, 315, *Manual for Courts-Martial*, United States 1984.

OPR: Commander, Medical Urine Testing Program Monitor (MUTPM)

OCR: Staff Judge Advocate

The urinalysis program utilizes state-of-the-art technology to detect and deter drug use by Air Force members. Positive urinalysis results can be the basis for administrative and, in some cases, UCMJ (court-martial or Article 15) action. Close command coordination with legal, law enforcement, and other agencies is required for an effective urinalysis program.

Urinalysis testing is an effective deterrent only when it has the potential to reach each Air Force member. Commanders are therefore given flexibility to select the most appropriate testing procedure for their units. Generally, inspection testing will be the predominant method used, supplemented by commander-directed tests and tests based upon probable cause.

*Testing selection
methods*

The following is a brief explanation of the testing methods available to the commander:

1. *Inspection Testing.* An inspection under MRE 313(b) may be conducted as a unit sweep or randomly on segments of a squadron, unit, duty section, dormitory, or other organization. Inspections may be run to determine if the command is functioning properly, if proper standards of readiness are maintained, and if personnel are present, fit, and ready for duty. An inspection does not have to encompass an entire squadron, unit, duty section, or dormitory. The singling out of specific individuals or small groups is not allowed.

2. *Probable Cause Testing.* A probable-cause search and seizure may be ordered by commanders when there is probable cause to believe that the military member has ingested drugs. Probable cause simply means that there is a reasonable belief that illegal drugs are present or will be found in the individual's urine. Remember, however, that the staff judge advocate should always be consulted prior to taking this action.

3. *Command-directed Testing.* The commander can refer a military member for testing when there is a reasonable suspicion of drug abuse that does not amount to probable cause or when it is conducted in conjunction with a member's participation in a DOD drug treatment and rehabilitation program. A command-directed examination may be conducted to determine a member's competency for duty and the need for counseling, rehabilitation, or other medical treatment. Because of limitations on the commander's ability to impose administrative or punitive sanctions based on a command-directed case, the commander should seek the advice of the staff judge advocate before ordering such a test. Additionally, the commander should seek the military member's consent before trying to impose either a probable-cause or command-directed test. The individual must be told he or she does not have to give consent. Although Article 31, UCMJ, rights *do not* have to be given prior to requesting consent, giving them and still getting a consent is the best evidence of voluntariness. If the member consents to be tested, the results of the test may be used for any administrative or punitive actions appropriate for the circumstances.

*Urinalysis testing
procedures*

When a military member is tested for drugs, the following procedures are generally followed:

1. The member to be tested is selected by one of the three methods discussed above.

2. Urine samples are collected, stored, shipped, and tested using state-of-the-art forensic techniques and equipment.

3. Carefully controlled, standardized collection, storage, and shipment procedures are required by regulation at base level.
4. All samples are tested at forensic laboratories.
5. Air Force samples are tested at Brooks AFB, Texas.
6. All testing labs use a DOD-prescribed combination of analytic techniques.

Radioimmunoassay (RIA) is used for an initial and follow-up screening test.

Gas chromatography/mass spectrometry (GC/MS) is used for confirmation testing.

7. Samples which don't test positive above a DOD-prescribed minimum at any stage are discarded.
8. Only samples that test positive above the DOD-prescribed minimum on every test can be reported as positive.
9. All samples are tested for cocaine and marijuana. Tests for other drugs, such as amphetamines, are conducted on a rotating or as needed basis.

Additional guidelines for these tests are set forth in AFPD 36-27, *Social Actions*; AFI 36-2701, *Social Actions Program*; and AFI 44-120, *Drug Abuse Testing Program*. Commanders should read these provisions and consult with the staff judge advocate before implementing drug-abuse testing.

Commander's Checklist*

- Generally:
 - ☐ Do you brief the consequences of drug abuse at commander's call? Is the judge advocate invited to speak?
 - ☐ Is the testing schedule unpredictable?
 - ☐ Is everyone under your command subject to being tested?
 - ☐ Do you prepare a letter when directing each inspection? Have you restricted knowledge of the test on a "need-to-know" basis?
- Personnel:
 - ☐ Has the test been coordinated with social actions?
 - ☐ Has the test been coordinated with the hospital lab?
 - ☐ Has the test been coordinated with the staff judge advocate?
 - ☐ Have observers been chosen carefully? Are there enough observers for each task? Are there enough observers to handle the number of individuals being tested?
 - ☐ Have arrangements been made for relief observers, if necessary, or to meet unexpected requirements?
- Site:
 - ☐ Do you visit the site during testing?

*Adapted with permission from *The Military Commander and the Law* (Maxwell AFB, Ala.: Air Force Judge Advocate General School), 37–38.

- ☐ Have adequate measures been taken to protect the security of all samples during collection and transport to the lab?
- ☐ Is the test site free from traffic and insulated from those personnel who are not being tested?
- ☐ Is the test site readily accessible to both female and male latrines?
- ☐ Is there a separate waiting room or waiting area large enough to hold all personnel to be tested? Can it be easily monitored by the access control monitor to prevent personnel from proceeding beyond the control point until directed to do so to the bottle distribution station?
- ☐ Is there a station with a desk and chair from which the monitor can distribute the urine sample bottles and enter the names of those being tested into the urinalysis ledger? Can the observers easily escort personnel to be tested into the latrine and then to the collection room?
- ☐ Is there a second waiting room or waiting area separate from the primary waiting area at which personnel who have given inadequate samples can wait until ready?
- Following the inspection:
 - ☐ Is the alpha roster reviewed to ensure that members who did not report to inspection are tested as soon as they become available?
 - ☐ Do you contact the legal office for assistance in initiating disciplinary action as soon as positive tests are reported?

Enlisted Professional Military Education

REF: AFI 36-2301, *Professional Military Education*; AFCAT 36-2223, *USAF Formal Schools*; AFI 36-2110, *Assignments*

OPR: Senior Enlisted Advisor, Director of Personnel or Commander, Mission Support Squadron

OCR: Commander, First Sergeant, Supervisor

Air Force policy

Enlisted professional military education (PME) is a three-level program that prepares airmen and NCOs for positions of greater responsibility by broadening their followership, leadership, management, and military professional skills. The breadth of enlisted PME includes Airman Leadership School (ALS), Command NCO Academy (NCOA), and USAF Senior NCO Academy (SNCOA).

Regulatory guidance

AFI 36-2301 and AFCAT 36-2333 describe the courses and the eligibility requirements. Eligibility requirements for ALS: senior airman with 48 months TAFMS or staff sergeant selectee. NCOA eligibility requirements: technical sergeant or technical sergeant selectee (required for master sergeant) selected by MPF based on grade or TIG. SNCOA eligibility requirements: senior master sergeant or selectee (required for chief master sergeant); selections made by AFMPC.

Commander's Checklist

- Ensure timely attendance of eligible personnel to appropriate PME courses.
- Ensure that candidates are not otherwise ineligible (e.g., on control roster, under investigation, in confinement, charged with a UCMJ-punishable offense).
- Ensure that members meet body fat and aerobic standards per AFI 36-2905 prior to departing for TDY.
- Interview each person selected to attend NCOA and SNCOA and verify eligibility.
- Encourage the use and participation of graduates in areas such as unit briefings, airmen counselings, or membership on special boards.
- Identify and recommend highly qualified nominees for enlisted PME instructor duty. See AFI 36-2110 for criteria.

Enlisted Specialty Training

REF: AFI 36-2201, *Developing, Conducting, and Managing Training*

OPR: Commander, UPO

OCR: Training NCO, Supervisor

Enlisted specialty training (EST) is essential in meeting the unit's overall objectives and mission and the commander's support to this program is imperative. The Air Force has a dual-channel EST program that includes a knowledge track and a position qualification track. The knowledge track includes general task knowledge and career knowledge gained through career development courses, specific technical study references, and upgrade training leading to a higher skill level. The qualification track involves hands-on training needed to perform in the specific duty position. This training occurs both during and after upgrade training.

Commander's Checklist

- Because enlisted specialty training is fundamental, the unit commander must
 - ☐ Instill positive attitudes and motivation towards EST.
 - ☐ Ensure that EST managers are familiar with the administrative details of the program IAW 36-2201.
 - ☐ Have a personnel plan and conduct and evaluate on-the-job training (OJT) to properly qualify trainees to perform their jobs.
 - ☐ Ensure that exercises are scheduled to qualify airmen on wartime tasks.
- Some tips for commanders:
 - ☐ Set up a unit training section if your numbers justify it.
 - ☐ Have EST managers report directly to you.
 - ☐ Schedule regular EST briefings.
 - ☐ Demonstrate support of EST by attending unit and base EST meetings, visiting work centers, and periodically assessing the health of your training program.

- ☐ Establish incentives to motivate trainees (letters of recognition, passes, plaques, etc.).
- ☐ Invite and accept help from base EST personnel.
- ☐ Use CFETPs to manage training and identify position qualification and skill-level upgrade requirements for the work center and the assigned individuals.

Equal Opportunity and Treatment

REF: AFR 30-2, *Social Actions Programs*; AFR 30-12, *Nondiscrimination in Programs and Activities Assisted or Conducted by the Department of the Air Force*

OPR: Commander

OCR: Social Actions

Zero tolerance of discrimination

Commanders must ensure that all individuals in their organization are treated equally in the performance of their duties. Commanders can do this by communicating that no form of discrimination will be tolerated by evaluating unit officers, NCOs, and all supervisors in their support of the Equal Opportunity Program. If a discriminatory practice is discovered, the commander must take action to correct the cause.

Commanders are also responsible for eliminating discriminatory practices against personnel and their dependents on and off the base. Discriminatory practices outside the organization are resolved either through direct action or the authority of the base commander. The base social actions officer has primary responsibility in this area and can either assist a commander in resolving a problem or take direct responsibility for eliminating a discriminatory practice.

Another form of discrimination, sexual harassment, has no place in the Air Force and will not be tolerated. The social actions office provides sexual harassment education that can assist the commander. For further information on sexual harassment, see chapter 9, "Sensitive Issues."

Commander's Checklist

- Commanders must communicate that no form of discrimination will be tolerated in their organization. This includes
 - ☐ Evaluating all officers and supervisors on their support of the Equal Opportunity Program.
 - ☐ Correcting the cause of any discrimination practice.
- Commanders are also responsible for correcting discrimination against personnel and dependents off-base.
 - ☐ By direct action
 - ☐ By authority of base commander
- The base social actions officer can help the commander resolve a discrimination practice or sexual harassment, a form of discrimination that will not be tolerated.

Evaluation Reports

REF: AFI 36-2403, *The Enlisted Evaluation System*; AFR 36-10, *Officer Evaluation System* (AFI 36-2402)

OPR: Rating Official, MPF, Commander, First Sergeant

OCR: Commanders, MPF

Air Force policy

The purpose of the evaluation program is to provide the Air Force with reliable information on which to base personnel actions. The reports are used for such things as promotion evaluation, assignment selection, and selective retention. The commander *must* ensure that all evaluations are accurate, describe actual performance, are of the highest quality, and are submitted on time.

Timely and accurate officer performance reports (OPR) and enlisted performance reports (EPR) are critical. Late reports not only highlight sloppy administration, they also send a signal to the person being rated that his or her supervisor cannot spare the time or concern to write an accurate, timely report.

The commander's responsibilities

Commanders should establish strict controls to ensure that the final evaluation report is submitted on time. Commanders should also ensure that the reports sent to the MPF are error free. A thorough final check by an executive officer or personnel specialist will ensure an error-free final product. Do not rely on the typist, rater, or additional rater to catch the "little mistakes."

The commander plays one of the most critical roles in quality force actions. Part of this role is the responsibility to review all OPRs/EPRs prepared on active duty members. This review serves several purposes. First, it helps make sure the commander is aware of individual performance in the unit. From a quality force perspective, this is particularly important if the performance is questionable. Second, the commander may have information not known by other evaluators that should be documented. Third, some evaluators may be aware of significant information, both the good and bad, but fail to document it.

By reviewing evaluation reports judiciously and endorsing reports whenever there is meaningful information that should be added, the commander enhances the accuracy of the reports. These actions help ensure that the Air Force's best people are rewarded and also that those who do not meet standards are identified so that appropriate action can be taken.

An additional concern for the commander is that of performance feedback. Performance feedback is formal written communication between the rater and the one being rated about the latter's responsibilities and performance. The feedback program requires supervisors to discuss objectives, standards, behavior, and performance with the ratee. AFI 36-2403 requires AF Form 931, Airman Performance Feedback Worksheet, and AF Form 932, NCO Performance Feedback Worksheet, to be returned to the orderly room and placed in the

member's personnel information file. This will certify that the feedback session occurred. (The new AFI on officer evaluations has not been released; however, it is expected to mirror the ESS in the feedback arena). See AFI 36-2403, table 2.1, for additional information on performance feedback.

The bottom line is that commanders must become familiar with AFI 36-2403 and AFR 36-10 (AFI pending release). Knowing the ground rules of inappropriate items on reports, mandatory comments on reports, and a myriad of other items will ensure a strong quality force with our best and brightest being promoted and placed in positions of greater responsibility.

Commander's Checklist

- The purpose of the evaluation is to provide the Air Force reliable information on which to base personnel actions:
 - ☐ Promotion
 - ☐ Assignment
 - ☐ Selective retention
 - ☐ Selective early retirement and reductions in force
- Commanders ensure that:
 - ☐ Reports are high quality, prompt, and accurate.
 - ☐ Each person knows which individuals are responsible for preparing OPRs/EPRs.
 - ☐ Evaluators document information.
 - ☐ They evaluate and endorse reports.
 - ☐ There is a good performance feedback program.
 - ☐ The Air Forces best people are rewarded.
 - ☐ They become very familiar with AFR 36-10 and AFI 36-2403 (pending release).

Family Advocacy Program

REF: AFI 40-301, *Air Force Family Advocacy Program*

OPR: Commander, Family Advocacy Program Officer

OCR: Medical Services, MPF, Chaplain, Staff Judge Advocate, Housing Officer, Security Police

The family advocacy program enhances Air Force readiness by ensuring that family problems do not hinder the performance of military personnel. The program provides proactive services to Air Force personnel and their families by identifying, measuring, and treating incidents of child and spouse maltreatment, and by identifying and supporting family members with special medical or educational needs.

Commander's Checklist

- The exceptional family member program (EFMP) identifies eligible Department of Defense families with exceptional medical or educational needs, helps those families to obtain required services, and ensures that those families have access to necessary services if reassigned.
 - ☐ The program helps the family to effectively find and use medical, and social services, and educational programs.
 - ☐ The EFMP officer helps children become more reliable, useful members of society.
 - ☐ Financial assistance to the dependent may be available through various resources including the Air Force Aid Society, Civilian Health and Medical Program of the Uniformed Services (CHAMPUS), and local civilian agencies such as the National Association for Retarded Children.
- Commanders and first sergeants must refer unit members to the family advocacy program (FAP) if they suspect that family maltreatment has occurred or if the member's dependents have special needs.
- Review of duty assignment status is required for all military members whose current duties may make it difficult for them to receive family maltreatment service or services for special needs of family members.
- The installation commander has responsibility for implementing the FAP, ensuring program effectiveness, and gathering all necessary support.

Family Care Program

REF: AFI 36-2908, *Family Care Plans*

OPR: Commander, First Sergeant

OCR: Family Support, Staff Judge Advocate

General

Air Force policy states that all personnel must be available at all times to perform a full range of military duties and assignments. Air Force members must make and maintain family care arrangements that ensure their availability for all duties and assignments or be subject to punitive action under the UCMJ and/or involuntary separation. Advance planning is the key to family care arrangements. Family care plans must cover all possible short- and long-term situations and must be sufficiently detailed and systematic to provide for a smooth, rapid transfer of responsibilities to another individual during the absence of the military sponsor.

Commander's Checklist

- Single member sponsors and military couples with families present a unique situation; that is, military members carry sole family care responsibility, yet must be available for worldwide duty.

- Single member or military couple parents/sponsors must make suitable arrangements for a nonmilitary person to assume custody of children in the event the member(s) are unavailable to provide necessary care due to military obligations.
- Any person with any of the following relationships with the military member is considered a family member:
 - ☐ An unmarried child under 19 years of age
 - ☐ An unmarried child 19 years of age or older incapable of self-care
 - ☐ A parent or another person related by blood or marriage who depends on the member for over half of their support, is incapable of self-care, and resides in the household with the member
 - ☐ A person living in the same overseas area as the member, who bears the relationship above, regardless of place of residence (no requirement to live in the same household)
- All military members accompanied by families and serving in an overseas location covered by a noncombatant evacuation operation (NEO) plan must also make adequate arrangements in advance for the evacuation and care of their families. These arrangements must not interfere with the member's obligation to remain in the overseas theater and perform military duties.
- Commanders or first sergeants will counsel all members on the contents of AFI 36-2908, *Family Care Plan*,
 - ☐ During in-processing at a new duty assignment
 - ☐ Before approval of reenlistment or extension of enlistment
 - ☐ Before placement of a member on a mobility roster
 - ☐ Upon PCS notification
 - ☐ Upon confirmation of pregnancy of a military member
 - ☐ As determined by the commander when such action is necessary
- Unit commanders must establish procedures to identify single-member sponsors, military couples with children, and members with civilian spouses who have unique dependent situations as they in-process upon arrival at the unit. Further, the commander or first sergeant must certify, using AF Form 357, the workability and practicality of any family care arrangement.
- Quarterly, each unit commander conducts an audit of all AF Form 357s on file in the unit orderly room. The MPF provides a quarterly automated listing of assigned single-member sponsors and military couples with dependents.
- Commanders and supervisors should establish duty schedules or unit procedures that are equitable for all members.
 - ☐ Inequitable or inconsistent scheduling to accommodate dependent care arrangements can be counterproductive and disruptive to unit morale.
 - ☐ Commanders and supervisors will not make modifications on a long-term or permanent basis to work around unique dependent care arrangements of selected members.
 - ☐ Commanders will take prompt action with personnel who, despite counseling and assistance, fail to make and maintain dependent care arrangements, thereby interfering with their worldwide availability.
 - ☐ AFI 36-2908 contains specific procedures and policies for exemptions and deferments.

Financial Responsibility

REF: AFI 36-2906, *Personal Financial Responsibility*

OPR: Commander, Supervisor, MPF

OCR: First Sergeant, Comptroller, Family Support Center, Personal Financial Management Program Manager, Staff Judge Advocate, Air Force Aid Society.

Air Force members will pay their just financial obligation in a proper and timely manner, including the writing of personal checks and discharging just debts. Commanders are responsible for counseling members regarding financial responsibility. Remember, the Air Force is without legal authority to order a member to pay a private debt; thus, the enforcement of private obligations remains a matter for civil authorities. However, in order to maintain order and discipline, administrative or punitive action may be necessary, especially with repeated or intentional violations.

Commander's Checklist

- When a commander receives a debt complaint from MPF, the commander will
 - ☐ Review and assess the financial responsibility complaint.
 - ☐ Advise members and the complainant of Air Force policy, including the fact that the Air Force has no authority to arbitrate disputed cases of nonsupport or personal indebtedness.
 - ☐ Attempt to respond to complainant within 15 days, if possible.
 - ☐ Not provide information to the complainant regarding administrative or disciplinary action contemplated or taken against the member.
 - ☐ Refer members who demonstrate financial irresponsibility to the local Personal Financial Management Program (PFMP) manager for financial management education and information.
 - ☐ Obtain the advice and coordination of the staff judge advocate, the chief, Military Personnel Flight, the accounting and finance officer, and the IG on high-level inquiries.
- In cases alleging paternity:
 - ☐ Counsel the member concerning the allegations.
 - ☐ If the member denies paternity, inform the claimant accordingly and advise that the Air Force does not have authority to adjudicate paternity claims.
 - ☐ If the member acknowledges paternity, advise the member of his financial obligations. Refer the member to the MPF for guidance on with-dependent rate financial support and dependent benefits for the child, and to the legal office for advice on the member's legal rights and obligations to the child.
- In cases of alleging personal financial indebtedness of a civil nature:
 - ☐ Advise the claimant that the Air Force has no authority to resolve disputed claims or require members to pay a private debt without a civil judgment.
 - ☐ If the complaint is supported by a court judgment, refer claimant to the appropriate Defense Finance and Accounting Service Center or Department of Defense agency.

Humanitarian Reassignment/Deferment

REF: AFI 36-2110, *Assignments*; AFI 40-301, *Air Force Family Advocacy Program*

OPR: Commander, MPF

OCR: SJA, MPF/Customer Service

Air Force policy

Air Force members may apply for humanitarian reassignment and deferment when they experience substantial and continuing personal or family problems that can be relieved by reassigning them to the geographical location of their choice or allowing them to stay in their current assignment. Applications are made to the Air Force Military Personnel Center (AFMPC) through the local MPF for the desired action.

Commander's Checklist

- AFI 36-2110, *Assignments*, describes the criteria for a humanitarian reassignment/deferment. Certain conditions for humanitarian action must be met:
 - ☐ A vacancy must exist at new duty station if PCS is involved.
 - ☐ Member's presence is essential to resolve or relieve the problem.
 - ☐ The problem can be resolved within a 12-month period.
 - ☐ The problem must be more severe than normally encountered by comparable Air Force members.
- Consider hardship discharge as an alternative to reassignment or deferment.
- The determining factor in the approval of a request is the need of the Air Force; morale and effectiveness of the member may be an additional consideration.
- Common examples of problems favorably considered include, but are not limited to, the following:
 - ☐ Recent death of a member's spouse or child
 - ☐ Serious mental or physical illness of a member's spouse or child
 - ☐ Serious financial problems not caused by member
 - ☐ Terminal illness of a family member when death is imminent (within two years)
 - ☐ Establishment or operation of an effective child advocacy program under AFI 40-301, Family Advocacy
- Common examples of problems not favorably considered include:
 - ☐ Threatened separation, divorce action, or the desire to pursue child custody
 - ☐ A single parent's desire to make or facilitate either short- or long-term child care arrangements
 - ☐ Psychoneurosis (such as various psychic or mental disorders characterized by special combinations of anxieties, compulsions, obsessions, phobias, and motor or sensory manifestations) resulting from family separation incident to military assignment
 - ☐ Climatic conditions or geographical areas adversely affecting a family member's health, and the problem is of a recurring nature (for example, asthma, allergies). An

exception to this is when continued presence in such an environment is clearly life-threatening.

- ☐ Normal pregnancy, possible miscarriage, breech birth, cesarean sections, or RH blood factor
 - ☐ The existence of a housing shortage or home ownership problems
 - ☐ A financial problem, to include bankruptcy, resulting from overextension of military income
 - ☐ A financial management problem related to off-duty employment, the spouse's employment, private business activities, or settling estate
 - ☐ Passport or visa problems involving newly acquired dependents in the overseas area
 - ☐ A desire to provide emotional or domiciliary support to a parent or parent-in-law due to age, nonterminal or chronic illness, or recent death in the family
 - ☐ A consecutive PCS or deferment based on the continuation of the same circumstances
 - ☐ A request based on the medical condition of the Air Force member
 - ☐ A desire to receive preferred medical treatment when adequate treatment is available at the current or projected PCS
- If the problem can be solved by the member's taking ordinary or emergency leave, humanitarian reassignment/deferment will ordinarily not be approved. If a member makes a timely formal application for deferment of assignment for humanitarian reasons, then the MPF and commander must suspend the reassignment or movement until a final decision on the request has been received from AFMPC.
 - Special humanitarian assignment consideration applies to members with between 15 years and 19½ years active duty with a severe family problem that cannot be resolved within a reasonable period of time. Members who otherwise meet the humanitarian criteria may apply for a special deferment status until they retire at the 20-year point.

Individualized Newcomer Treatment and Orientation (INTRO) Program

REF: AFI 36-2103, *Individualized Newcomer Treatment and Orientation (INTRO) Program*

OPR: Commander, Chief, Military Personnel, INTRO Monitor

OCR: Sponsor, INTRO Program Manager, Public Affairs Office, First Sergeant

The individualized newcomer treatment and orientation (INTRO) program provides information and personal assistance to individuals so they can relocate with minimal problems and become effective contributors to their unit in the shortest possible time. The Air Force has standardized a three-phased INTRO program: sponsorship, orientation, and consolidated newcomer scheduling. The INTRO program creates an atmosphere that makes newcomers and their families feel welcome and helps them to adapt rapidly and effectively to their new location. The installation handles the parts of the program that apply to all base newcomers.

Commander's Checklist

- Commanders must take certain actions under 36-2103:
 - ☐ Establish and operate a positive, effective unit INTRO program.
 - ☐ Appoint INTRO manager.
 - ☐ Select individuals for sponsorship duties.
 - ☐ Send a personalized welcome letter.
- Three key elements to the unit INTRO program:
 - ☐ Sponsorship
 - ☐ Try to use sponsors who are volunteers and look for similarities in lifestyle when matching sponsors up with newcomers.
 - ☐ Sponsors need to make themselves available to the new member.
 - ☐ Ensure that your sponsor letter and package is current and contains information on housing, schools, local employment, recreational activities, maps, and base unit and work center information.
 - ☐ Use follow-up surveys or personal interviews (one month later) to assess how well your sponsorship program is really working.
 - ☐ Orientation Program
 - ☐ Suggested activities in this area include newcomer's briefings, work center visits, tours, Spouse's Day, and personal meetings with the commander.
 - ☐ Topics for the commander to brief at newcomer's orientation include equal opportunity treatment, human relations, sexual harassment, drug and alcohol abuse, standards of conduct, dependent care, and commander's policies.
 - ☐ Topics for the first sergeant to brief include leave and pass policies, AFR 35-10 requirements, dormitory policies, and unique base and unit requirements and opportunities.
 - ☐ Consolidated newcomer scheduling (handled by MPF). Commander should provide MPF feedback on content and timeliness.

Information— Disclosure of Air Force Records

REF: AFI 37-131, *Air Force Freedom of Information Act Program*; AFI 37-132, *Air Force Privacy Act Program*

OPR: Commander, Information Management Director (IM)

OCR: Staff Judge Advocate

The Air Force encourages the release of information and records to the general public under the mandatory guidelines set forth in both the Freedom of Information Act, 5 U.S.C. 552, and the Privacy Act of 1974, 5 U.S.C. 552a. Included in these statutes are short time limits for the processing of requests for information.

The Freedom of Information Act

The Freedom of Information Act (FOIA) is a disclosure statute that permits access to information. Enacted in 1966, it generally provides a right of access to federal *executive agency* information, except records (or portions thereof) that are protected from disclosure by one of the FOIA exemptions. It applies to the Department of Defense and the Air Force. Commanders should note that even though an exemption to disclosure might apply under the FOIA, it is DOD policy to disclose *all* records, even if exempt, so long as there is no jeopardy to the interests of the government.

There is a statutory 10-day processing time limit on FOIA requests. Therefore, commanders who receive a request for information from any record should immediately contact the information manager (IM) and start to process the request as outlined in AFI 37-131. Commanders should remember that the authority to deny the disclosure of records to the public exists only at the major command level and above.

The Privacy Act

The Privacy Act (PA) of 1974, as implemented by AFI 37-132 counterbalances the FOIA by providing basic safeguards in the collection, use, and dissemination of identifying personal information relating to individuals. The PA is designed to let individuals see their own records and correct factual mistakes in the records and to limit information collected about an individual to information needed; to protect individual privacy by restricting access by persons other than the subject of the record; to preclude federal agencies from having secret systems of records on individuals; and to afford remedies through the courts for noncompliance with the Privacy Act. Taken together, these purposes of the Privacy Act are designed to protect the privacy of an individual by controlling use of personal information maintained by federal agencies. The Privacy Act applies only to activities of the federal executive. State government, banks, and business firms do not fall within its scope. Though the Air Force has always had restrictions on the release of personal information about its personnel, the Privacy Act greatly expanded the rules governing every aspect of records, including personal information.

As a general rule, information such as a social security account number (SSAN), a home address, home phone number, medical records, aptitude tests, or performance reports may not be released to a requester unless the individual affected authorizes, in writing, such a release. A commander should not release personal information outside the Air Force until the request has been coordinated with the IM and the staff judge advocate. The Privacy Act provides for possible criminal conviction and fines against anyone who willfully or knowingly violates any provision of the act, as well as a suit against the Air Force itself. The commander's rule of thumb in this area should be one of extraordinary caution.

Commander's Checklist

- The Freedom of Information Act provides access to federal executive agency information, unless it is protected from disclosure by FOIA exemptions.

- ☐ It is DOD policy to disclose all records that do not jeopardize the interests of the government.
- ☐ There is a 10-day processing time limit on FOIA requests.
- ☐ The authority to deny disclosure exists only at major command level and above.
- The Privacy Act provides basic safeguards in collecting, using, and disseminating personal information on individuals.
 - ☐ Such records as Social Security numbers, home telephone numbers, medical records, aptitude tests, and performance reports cannot be released unless the individual authorizes it in writing.
 - ☐ The act applies only to activities of the federal agencies.
 - ☐ It provides for criminal conviction and fines against those who violate the act.
 - ☐ The commander should not release personal information without coordinating with the information manager and the SJA.
 - ☐ The commander should be extremely cautious in this matter.

Investigations and Inquiries

REF: AFI 90-301, *Inspector General Complaints; Manual for Courts-Martial (MCM)*, United States 1984.

OPR: Commander, Inspector General

OCR: Staff Judge Advocate

Inherent authority to investigate

All commanders possess inherent authority to investigate matters or incidents under their jurisdiction. Such authority is incident to command. Air Force policy is that inquiries and investigations will be conducted by an echelon of command capable of conducting a complete, impartial, and unbiased investigation. Reprisal against an individual for making a complaint is prohibited.

Investigations of minor offenses

Commanders are responsible under the MCM and UCMJ for making thorough and impartial investigations of minor offenses committed by members under their command. Most major violations of the UCMJ will be investigated by the security police or the Office of Special Investigations (OSI).

If the commander becomes aware of a minor incident within his or her unit, an informal inquiry should be conducted to determine all the facts relating to the offense. Go to the firsthand source; do not rely on "hearsay" information. If possible, obtain written statements from firsthand witnesses that show all elements of the suspected offense: acts, intent, value, time, places, and so forth. An investigation is never complete until you attempt to interview the suspect. Remember, before interviewing the suspect you must inform him or her of his or her rights in accordance with Article 31, UCMJ. (See the section on rights of the accused.)

*Other
administrative
inquiries and
investigations*

You should consult with the chief of military justice or the staff judge advocate for advice on conducting the investigation and to determine what actions are appropriate when your investigation is complete.

Many investigations and inquiries are conducted pursuant to a specific regulation. Examples include reports of survey, line of duty investigation, homosexual conduct, and accident investigations. When a specific regulation does not apply, the investigation is conducted under the commander's inherent authority. AFI 90-301, *Inspector General Complaints*, provides excellent guidance on how to conduct a commander's investigation or inquiry, *but should not be cited as the authority* for the investigation or inquiry.

*Types of
administrative
inquiries and
investigations*

There are various types of administrative inquiries and investigation, including:

1. Those citing AFI 90-301 as authority are investigations and inquiries (resulting from IG complaints, directed or initiated within IG channels, and those conducted by an inspector or inspector general).

2. Those governed by other regulations:

- Investigation of aircraft, missile, nuclear, and space accidents, AFI 51-503 (formerly AFR 110-14)
- USAF mishap investigations, AFR 127-4 (AFI 91-204)
- AFOSI investigations, AFR 124-4
- AFI 31-206, *Security Police Investigations*, (formerly AFR 125-21)
- Investigations conducted under Article 138, UCMJ, pursuant to AFI 51-904
- Line of duty investigations, AFPAM 36-2922 and AFI 36-2910
- Grievances of civilian employees having specific appeal rights, AFR 40-series (see, generally, AFR 36-12, *Dispute Resolution*)
- EOT investigations, AFI 36-2701

Virtually all other inquiries and investigations fall within the inherent authority of the commander.

Procedures

Often inquiries and investigations are conducted by a single investigating officer. The distinction between an "inquiry" and an "investigation" is discussed below.

Inquiry. An inquiry is a determination of facts on matters not usually complex or serious; can be handled through routine channels. The report may be summarized.

Investigation. An investigation is used for serious, complex matters requiring a determination of extensive facts. Investigations conducted under the commander's inherent authority should include a written report. Normally, they are supported by exhibits and sworn witness testimony.

Commanders should be aware that many investigations and inquiries involve privileged or confidential information. The Privacy Act may apply (see AFI 37-132, *Air Force Privacy Act Program*) and release of information may be further controlled by the inspector general or other officials. Witnesses should be advised of the nature of the investigation and, if applicable, their right to counsel. Witnesses may refuse to answer questions only by invoking Article 31 of the Uniform Code of Military Justice (for

military members) or the Fifth Amendment (for civilians). Confidentiality should be granted only when the necessary information cannot be obtained by any other means. If the matter is more properly the domain of the security police or AFOSI (suspected criminal activity, and so forth), let them conduct the investigation. Finally, always consult with the SJA before directing any inquiry or investigation.

Commander's Checklist

- All commanders have the inherent authority to investigate matters and incidents under their jurisdiction.
 - ☐ Most major violations of the UCMJ will be investigated by the security police or the OSI.
 - ☐ Consult with the SJA or chief of military justice before investigating a minor offense.
 - ☐ AFI 90-301 provides excellent guidance for conducting an inquiry or investigation. *Do not cite it as your authority.*
- Types of administrative inquiries and investigations:
 - ☐ Those citing AFI 90-301
 - ☐ Those governed by other regulations
- Distinction between an *inquiry* and an *investigation*:
 - ☐ Inquiry determines facts on simple matters, uses routine channels to report.
 - ☐ Investigation is used for serious, complex matters and extensive facts; calls for written reports and sworn testimony.
- Inquiries and inspections may involve privileged information.
 - ☐ Advise witnesses of their right to counsel.
 - ☐ Advise witnesses that they may invoke Article 31, UCMJ (or Fifth Amendment for civilians).
 - ☐ Allow security police or AFOSI to investigate suspected criminal activity.
 - ☐ Always consult with the SJA.

Leave, Passes, Compensatory Time, and Permissive Temporary Duty

REF: AFI 36-3003, *Military Leave Program*

OPR: Commander, Supervisor

OCR: MPF, Accounting and Finance

General

Vacations from duty are essential to the morale and motivation of Air Force members. All commanders must establish annual leave programs for their units to provide unit members the opportunity to take leave annually as it accrues, subject to the constraints of operational requirements.

The commander's basic leave responsibilities include the following:

- Establish annual leave management programs to encourage people to use leave in accordance with mission requirements.

*Commander's
guidelines for
conditions of
leave*

- Enforce Air Force and command-approved leave, pass, and permissive temporary duty (PTDY) controls.
- Ensure people keep prompt and accurate records of leave and PTDY.
- Ensure members understand leave, pass, and PTDY policy.
- Project leave schedules annually at the beginning of the fiscal year, update them periodically, and tell members in order for the schedule to work, they must follow it.
- Document all leaves and establish an audit trail for money spent.
- Seek American Red Cross verification for members requesting emergency leave.

Advance Leave. Advance leave is chargeable leave that exceeds current leave balance but does not exceed the amount of leave a person will earn during the remaining period of active duty. Commanders may grant advance leave to resolve emergency or extremely urgent personal problems. Advance leave must be limited to 30 days or the number of leave days that could be accrued on current enlistment, whichever is less. Advance leave requests for over 30 days must be approved by AFMPC/DPMASC and MAJCOM/DPA. Advance leave is a loan that must be paid back.

Emergency Leave. Emergency leave is chargeable leave granted for a personal family emergency that requires the members presence, usually, not to exceed 30 days. Since most family emergencies are time sensitive, swift action on emergency leave requests is essential. Advise members to apply for a humanitarian reassignment or separation for hardship reason if the leave period is more than 60 days.

Excess Leave. Excess leave is leave granted over and beyond the amount that may be accrued before discharge or separation. Members are not entitled to pay and allowances during a period of excess leave, nor are they entitled to accrue leave during excess status. Excess leave is granted only for emergency purposes. Refer to table 4 of AFI 36-3003 for detailed rules on excess leave.

Environmental and Morale Leave (EML). This is ordinary leave granted to members and their dependents from designated austere, isolated, or environmentally depressed areas for the purpose of priority use of space-required or space-available air transportation to EML destinations. Destination locations offer the closest environmental relief, recreation facilities, and suitable accommodations. Travel time is counted as leave for the unfunded EML program but is not charged under the funded EML program for specially designated locations.

Convalescent Leave. Convalescent leave is a period not chargeable as leave when a member is under medical care and part of the treatment prescribed is for recuperation and convalescence. Leave approval is based on the written recommendation of the military physician most familiar with the patient's condition. Allow 42 days of convalescent leave for pregnancies. Charge ordinary leave for convalescent time when members use civilian medical care at their own expense.

Terminal Leave. This is ordinary leave limited to members' leave balances. Don't allow members to return to duty after this leave begins.

Accrued Leave in Excess of 60 Days. Members may keep up to 90 days of accrued leave if they cannot take it because they're assigned to an operational mission at the national level for at least 60 consecutive days. Commanders send requests for excess leave through command channels to the MAJCOM director of personnel with full justification.

Passes. Passes afford time off, not chargeable to leave, for unusual reasons, such as special recognition or to observe major religious events. Passes must not be used to extend leave or be used in place of leave. Normally passes do not exceed 96 hours.

Permissive Temporary Duty (PTDY). PTDY is an authorized absence, not chargeable to leave, to participate in official or semiofficial programs that do not qualify for a funded TDY. Permissive TDY may be granted if no expense to the government is involved and if the program in which the member desires to participate will enhance the individuals value to or increase the members understanding of the Air Force. Commanders who have approval authority must exercise care in evaluating requests to ensure that the best interest of the Air Force is served. Table 5 of AFI 36-3003 outlines the situations for which permissive TDY is authorized.

Commander's Checklist

- Project leave schedules at the beginning of the fiscal year and update them periodically.
- Know the guidelines for granting *advance leave* (chargeable leave that exceeds the member's current leave balance).
 - ☐ Granted to resolve urgent personal problems
 - ☐ Granted if the member will earn the amount of the excess leave during the period of active duty
 - ☐ Limited to 30 days or the number that would be accrued during the present enlistment, whichever is less
 - ☐ Request for over 30 days must be approved by AFMPC/DPMASC and MAJCOM/DPA
- Emergency leave, usually 30 days or less, may be granted for personal emergency requiring the member's presence. Advise member to apply for humanitarian transfer for separation if the leave period is more than 60 days.
- Excess leave (see AFI 36-3003, table 4, for detailed rules) is leave granted over the amount the member will accrue before discharge. It is granted for emergency purposes only, and the member is not entitled to pay and allowances while taking excess leave and does not accrue leave during that time.

Line of Duty and Misconduct Determinations

REF: AFI 36-2910, *Line of Duty (Misconduct) Determination*

OPR: Commander, Medical Services, MPF/Special Actions

OCR: Medical Officer, Staff Judge Advocate, MPF

Background information

Federal laws require a determination of whether certain diseases, injuries, or death suffered by military members are incurred while in a line-of-duty (LOD) status or as a result of a member's own misconduct. The determination is important to resolve whether certain statutory rights or benefits accrue to military members, dependents, or survivors. Air Force LOD determinations are binding only for awarding benefits administered by the Air Force. They are not binding on other federal agencies, although normally those agencies will concur with Air Force findings.

Adverse findings as to line of duty and misconduct will not be applied as a punitive measure or as an example to the command. Additionally, commanders should note that an LOD proceeding is neither a substitute for, nor a bar to, such disciplinary action as may be warranted. (*Note: an active duty Air Force member cannot be required to pay for his or her medical expenses already provided by the Air Force on the basis of an LOD determination.*)

Statutory definition

Congress set up the standard of line of duty for purposes of laws administered by the Veteran Administration at 38 U.S.C. 105. The Air Force uses the following definition as a guide:

An injury or disease incurred during active military . . . service will be deemed to have been incurred in line of duty and not the result of misconduct when the person . . . was, at the time the injury was suffered or disease contracted, in active military service, whether on active duty or on authorized leave, unless such injury or disease was the result of the person's own willful misconduct.

Air Force Instruction 36-2910 implements the statutory requirements.

Line of duty determinations

LOD investigations involve two separate determinations: line-of-duty status and misconduct status. There is little connection between the two except that when an injury or disease is determined to be the result of misconduct, it is automatically not in line of duty. An active duty Air Force member *cannot* be required to pay for his or her past medical expenses on the basis of an LOD determination.

When LOD is required

An LOD and misconduct determination is required when a member, whether hospitalized or not, has a disease or injury that results in the inability to do military duties for more than 24 hours, the likelihood of permanent disability or death, when there are surviving dependents, or whenever there is a question about the known facts of a case.

Possible LOD determinations

There are four possible LOD findings:

- *In Line of Duty*—Presumed unless AWOL or misconduct.
- *Existed Prior to Service (EPTS)*—LOD not applicable when there is a medical diagnosis that gives clear evidence that a disease or injury, or the underlying condition causing it, existed before the member's entry into military service and was not aggravated by service.
- *Not In Line of Duty, Not Due To Own Misconduct*—Disease, injury or death was incurred during a period of absence without authority (AWOA), or, by a Regular Air Force member, USAFR member, or Air National Guard member, during a material deviation from an authorized travel route, but was not proximately caused by the member's own misconduct.

- *Not In Line of Duty, Due to Own Misconduct*—Disease, injury, or death proximately caused by member's own misconduct regardless of whether or not member was AWOL.

Presumptions, definitions and evidentiary standards

The LOD instruction sets up a rebuttable presumption that all diseases or injuries suffered in service are in line of duty. This determination is made unless a preponderance of the evidence supports the finding that the disease or injury EPTS, occurred while the member was AWOL or was proximately caused by the member's own misconduct. The instruction also presumes that members are mentally responsible for their acts unless there is contrary evidence. Members may not be held responsible for their misconduct and its foreseeable consequences if, as a result of mental disease or defect, they lack substantial capacity either to appreciate the wrongfulness of the conduct or to conform their conduct to the requirements of law. Mental disease or defect does not include, for example, mental impairment as a result of knowingly ingesting a hallucinogen.

Key definitions

Following are some key definitions of *misconduct*, *proximate cause*, and *preponderance of the evidence*.

Misconduct: Intentional conduct that is improper; willful neglect (acts of omission or commission that evidence a reckless or wanton disregard for their attendant consequences, i.e., gross negligence).

Proximate cause: The cause that in a natural and continuous sequence unbroken by an independent and unforeseeable new cause, results in the disease, injury or death, and without which it would not have occurred; the primary moving cause or predominating cause; the connecting relationship between misconduct and the disease, injury, or death.

Preponderance of the evidence: The greater weight of credible evidence; the evidence that produces the stronger impression and is more convincing as to its truth when weighed against the evidence in opposition.

Evidentiary standards

LOD and misconduct determinations should be made on the basis of all evidence, both direct and indirect. Direct evidence is that based on actual knowledge or observation of witnesses. Indirect evidence are facts or statements from which reasonable inferences, deductions, and conclusions may be drawn to establish an unobserved fact, knowledge, or state of mind. There is no distinction between the value of direct and indirect evidence.

Types of LOD determinations

There are three types of procedures to determine LOD status. First, there are *administrative determinations*, which are made in limited circumstances by a medical officer alone and an entry made in the member's medical record. Second, *informal determinations* are made by unit commander when administrative determination cannot be made by a medical officer; member was not AWOL; or disease or injury was not due to member's own misconduct. In these cases, the commander makes LOD determination on AF Form 438, Medical Care Third Party Liability Notification, if the finding is supported by clear and convincing evidence. Lastly, *formal determinations* are made when neither an administrative

nor informal determination can be made, or when deemed necessary to protect the interests of the member or of the United States.

Consult with AFI 36-2910 for further guidance on the processing of line of duty cases.

Commander's Checklist

- Federal laws require a determination of whether disease, injury, or death of a member occurred while in line of duty (LOD).
- Air Force LOD determinations are not binding on other federal agencies, although these agencies will normally concur.
- Commanders should note that an LOD proceeding is neither a bar nor a substitute for such discipline as may be warranted.
- Congress set up a standard of LOD in 38 U.S.C. 105.
- LOD investigations involve two separate determinations:
 - ☐ LOD status
 - ☐ Misconduct status
- LOD investigations are required when member has a disease or injury that results in one of the following:
 - ☐ Inability to perform military duties for 24 hours
 - ☐ Likelihood of permanent disability or death, when there are surviving dependents or when there is a question about known facts of the case
- Types of LOD determinations:
 - ☐ Administrative determinations
 - ☐ Informal determinations
 - ☐ Formal determinations
- Possible LOD determinations:
 - ☐ In the line of duty
 - ☐ Existed prior to service
 - ☐ Not in the line of duty; not due to own misconduct
 - ☐ Not in the line of duty; due to own misconduct
- Consult AFI 36-2910 for further guidance on LOD cases.
- The AFI 36-2910 presumes all service-connected diseases and injuries are in the line of duty.
 - ☐ Presumes members are mentally responsible for own acts unless there is contrary evidence.
 - ☐ Members are not responsible if they lack the mental capacity to conform their conduct to the requirements of the law.
 - ☐ This does not include mental impairment caused by knowingly ingesting a hallucinogen.
- Key terms in LOD determination are *misconduct*, *proximate*, *cause*, and *preponderance of the evidence*.

Nonjudicial Punishment (Article 15, UCMJ)

REF: AFI 51-202, *Nonjudicial Punishment Guide; Manual for Courts-Martial*, United States 1984

OPR: Commander

OCR: Staff Judge Advocate, Finance, MPF

Nonjudicial punishment (NJP) under Article 15, of the Uniform Code of Military Justice (UCMJ), is one of the commander's most valuable tools for maintaining morale, good order, discipline, and efficiency. It offers fair, swift, and efficient punishment for offenses too serious to be disposed of administratively, but not so serious as to require trial by court-martial.

NJP authority

Generally, any commander who is a commissioned officer may impose NJP for *minor offenses* (punishable under the UCMJ) on members under his or her command. In deciding whether or not an offense is minor, commanders should consider the nature and circumstances of the offense; the offender's age, grade, duty assignment, record, and experience; and the maximum sentence a court-martial could impose. Generally, an offense is not considered as minor if a general court-martial could impose a sentence including a *dishonorable discharge* or *confinement for more than one year*. Commanders are encouraged to take full advantage of nonpunitive disciplinary tools, such as counseling, administrative reprimands, and administrative withholding of privileges, as preliminary rehabilitative measures, before resorting to nonjudicial punishment.

Processing requirements

The requirements, formalities, and limitations upon imposition of nonjudicial punishment are set forth in paragraph V of the *Manual for Courts-Martial* and in AFI 51-202. Every commander should be familiar with these references before attempting to exercise Article 15 authority. Commanders are *required to confer* with the staff judge advocate, or a designee, before initiating nonjudicial punishment proceedings *and* before imposing punishment. The military justice section of the base legal office will prepare Air Force Form 3070/3071, Record of Nonjudicial Punishment Proceedings.

While no standard of proof is applicable to any phase of Article 15 proceedings, commanders should recognize offenders are entitled to demand trial by court-martial where proof beyond a reasonable doubt by competent evidence would be a prerequisite to conviction and punishment. Therefore, commanders should consider whether such proof is available before initiating action under Article 15. If not, NJP is generally not warranted.

It is important to remember that accepting an Article 15 *is not* an admission of guilt. Rather, the member is agreeing to allow you, the commander, to decide guilt or innocence. Therefore, you should keep an open mind as you consider all written and oral matters submitted by the member.

Once notified of NJP proceedings on the Air Force Form 3070, offenders are allowed three duty days (72 hours) to respond. Commanders may approve or disapprove requests for additional time to respond.

Commanders should encourage offenders to consult with the area defense counsel (ADC) in all cases. Offenders are entitled to receive a summary of the evidence against them. Upon request, an offender and his or her defense counsel may examine any available statements or other documents before deciding whether to accept NJP. (The legal office will normally supply such evidence to the ADC.) If the offender fails to indicate within three duty days whether he or she will accept the Article 15, the commander may proceed with punishment.

If an offender requests a personal appearance, he or she is entitled to be advised of Article 31(b), UCMJ, rights; be informed of the evidence against him or her and have an opportunity to examine it; be accompanied by a spokesperson (it does not have to be a lawyer); and request relevant, reasonably available witnesses. Personal appearances will be open to the public at the member's request. (There are some limited exceptions to this requirement.) The commander may also choose to open the presentation to the public, *even if the member objects*.

After the personal presentation (if requested), and after consideration of all matters in defense, mitigation, and extenuation, the commander must decide whether the offender committed the offense(s); whether Article 15 punishment is appropriate considering all of the circumstances; and, if Article 15 punishment is appropriate, what punishment to impose. Commanders must consult with the staff judge advocate before imposing any punishment. However, imposition of punishment is ultimately the commanders responsibility; commanders must do their best to ensure the punishment fits both the offense and the offender. Punishment limitations based upon the commander's grade and the offender's grade are summarized in AFI 51-202, tables 1 and 2. Typical punishments include forfeiture of pay, reprimand, restriction; correctional custody, reduction in grade, and extra duties (enlisted only); and arrest in quarters (officer only). Ordinarily, the commander should impose the least severe punishment sufficient to correct and rehabilitate the offender.

The commander's job does not end upon completion of the punishment endorsement. Remembering that the purpose of an Article 15 is both to punish and to promote positive behavior, commanders must make use of their powers to suspend, mitigate, and remit punishment. Normally, the use of these rehabilitative tools will enhance the position of a commander, and it will have a lasting effect on the offender. In rare cases where it is later found out that nonjudicial punishment was wrongly imposed, it may be set aside. You must consult the staff judge advocate before taking any of these post-punishment actions.

Appealing NJP

Offenders are entitled to appeal nonjudicial punishment to the next superior authority in the commander's chain of command. The only allowable basis for appeal is that the punishment imposed was "unjust" or "disproportionate" to the offense. Offenders must appeal the punishment within five days unless they request an extension *and* the commander who imposed the punishment grants the request. If an offender indicates an intent to appeal, the appeal will be processed at the end of five days, even if the offender has not made any submissions to support the appeal. Offenders must submit all evidence supporting their appeals to the commander who imposed punishment. If that commander declines to grant

all requested relief, the commander must forward the appeal to the appellate authority through the servicing SJA. Punishments are not stayed during the appeal process. However, if no action has been taken on an appeal within five days after submission, the offender may request that any unexecuted punishment involving restraint or extra duties be delayed until after the appeal is final.

For this valuable tool to be effective, it is essential that commanders process Article 15 actions efficiently and that they consult the SJA at every stage of the process.

Commander's Checklist

- Nonjudicial punishment (NJP) is one of the commander's most valuable tools for maintaining morale, good order, discipline, and efficiency.
- Purpose of Article 15 is both to punish and promote positive behavior.
- Any officer who is a commander may impose NJP for *minor offenses* in his or her command.
- Commanders should take advantage of such nonpunitive disciplinary tools as counseling, reprimands, and withholding privilege before resorting to NJP.
- Upon imposition of NJP, every commander should be familiar with requirements, formalities, and limitations set forth in AFI 51-202, *Nonjudicial Punishment Procedure*.
- Commander should consult with the SJA at every stage of the NJP process.
- The base legal office will prepare Air Force Form 3070/3071.
- Offenders are entitled to demand trial by court-martial in which proof beyond a reasonable doubt by competent evidence would be a prerequisite to conviction and punishment.
- The commander must consider whether such proof is available before initiating action under Article 15.
- Punishment limitations based upon commander's grade and the offenders grade are summarized in AFI 51-502, tables 1 and 2.
- Commanders have the authority to suspend, mitigate, and remit punishment.
- Ordinarily, the commander should enforce the least severe punishment sufficient to correct and rehabilitate the offender.
- Offenders may appeal NJP to the next higher authority within five days unless the commander who imposed the punishment grants the request for an extension.
- The commander must do his or her best to see that punishment fits both the offense and the offender.
- Acceptance of an Article 15 is not an admission of guilt; it is consent to the procedure.

Nuclear Weapons Personnel Reliability Program

REF: AFI 36-2104, *Nuclear Weapons Personnel Reliability Program*

OPR: Commander

OCR: Director, Base Medical Services, Mission Support Squadron Commander, Weapons Safety Officer

Air Force policy

Individuals working with sensitive nuclear weapons or high-risk duties associated with nuclear weapons must meet a higher standard of reliability than the average airman. The nuclear weapons personnel reliability program (PRP) is designed to screen and continually evaluate personnel selected for nuclear weapons duties. AFI 36-2104 describes how to administer the program for active duty members working with nuclear weapons or high-risk duties.

Unit commander's responsibilities

The commander or other certifying officials judge a person's mental capacity and physical ability to respond in a reasonable, stable manner when performing nuclear associated duties. Although several agencies have a supporting role, the commander is ultimately responsible for the unit's PRP.

Commander's Checklist

- Certify, decertify, and remove personnel according to DOD Directive 5210.42 and local procedures.
- Administratively certify non-PRP individuals within 30 days of notification of their assignment to a PRP position. Certify individuals upon their arrival to the location before they perform any PRP duties.
- Document these certifications and decertifications on the Report on Individual Person (RIP); Personnel Reliability Program Administrative Certification (PRPCER); AF Form 286, PRP Certificate; or AF Form 286A, Notification of PRP Permanent Decertification Action.
- Identify each position requiring a PRP certified individual.
- Delegate certification in writing to a certification official (CO) when the number of certifications warrant.
- Screen personnel records and arrange for medical records screening or medical examination for each PRP candidate.
- Initiate the appropriate security investigation making sure the local security police accept it and forward it off base to the Defense Investigative Service (DIS).
- Ensure that individuals certified for PRP have proper qualifications: S-1 physical profile, technically competent, proper security clearance, positive mental attitude, not under court-martial or criminal charges, US citizen or national, and free of drug and alcohol abuse.
- Determine the person's reliability by studying the person's past behavior.
- Do not suspend or decertify people with an illness, injury, or disease that requires hospitalization or placement on quarters if their reliability is not in question.

- Personally interview each PRP candidate.
- Make sure that all security investigations are less than five years old for initial PRP assignments.
- Ensure that people certified for critical PRP positions have a periodic reinvestigation (PR) every five years.
- COs may formally certify people on the second or subsequent assignment to a critical or controlled position when the investigation is over five years old.
- Start new investigations on people who are projected to a critical PRP position prior to administrative certification.
- Certify people on an interim basis when necessary to accomplish the mission.
- Record all PDI resulting in suspension or decertification on AF Form 164.
- See that inbound personnel allocation carry the appropriate personnel processing code (PPC).
- Update PDS codes so they reflect the person's current PRP status.
- Create procedures to immediately remove suspended or decertified individuals from PRP duties.
- Ensure TDY orders reflect PRP status codes.
- Refer to AFI 36-2104, attachment 2, for suspension and decertification guidelines.

Pretrial Confinement

REF: Rules for Court Martial 304 and 305, *Manual for Courts-Martial*, United States 1984;
AFI 51-201, *Administration of Military Justice*

OPR: Commander

OCR: Staff Judge Advocate, Security Police

Pretrial confinement is physical restraint, imposed by order of competent authority, depriving a person of freedom pending disposition of court-martial charges. Only a person who is subject to trial by court-martial may be confined. A commander should *never confine someone without first consulting the staff judge advocate*. The imposition of pretrial confinement starts the speedy trial clock, regardless of whether charges have been preferred. If confinement is premature or not appropriate, this can adversely affect the government's case.

*Commander
authority*

A commander may order a subordinate member into pretrial confinement when there is probable cause to believe that (1) the member committed an offense triable by military court-martial; (2) confinement is necessary because it is foreseeable that the member will not appear for trial or will engage in further serious criminal misconduct; and (3) less severe forms of restraint are inadequate.

Because there are no provisions for bail under the UCMJ, commanders must use this authority very carefully. Occasionally, by habitual tardiness, laxity, or general attitude, a member will so antagonize and frustrate a commander that confinement seems to be the only answer. However,

*Pretrial
confinement
procedures*

unless the commander believes and is prepared to testify that the above three factors pertain, pretrial confinement is not appropriate or legally supportable.

Upon confinement, the person to be confined must be promptly notified of the nature of the offenses for which he or she is being held, the right to remain silent and that any statements made may be used against him or her, the right to retain civilian counsel at no expense to the US; the right to request assignment of military counsel, and the procedures by which pretrial confinement will be reviewed.

If the person ordering confinement is not the confinee's commander, the confinee's commander must be notified within 24 hours of the person's entry to confinement. According to AFI 51-201, his or her commander must decide whether confinement should continue within 48 hours of the confinee's entry into confinement. The commander should consider the following: the nature and circumstances of the offense(s); weight of the evidence; the accused's ties to the local community (family, off-duty employment, and so forth); likelihood that the accused will flee; the accused's character and mental condition; the accused's service record; the likelihood the accused will commit further serious misconduct if not confined; and the effectiveness of lesser forms of restraint.

If the confinee's commander decides to continue confinement, his decision must be put in writing (with a full detail of the reasons to continue confinement) and copies provided to the confinee and to a reviewing officer. The reviewing officer is a military magistrate appointed by the convening authority or a military judge who will review the propriety of continued pretrial confinement. The review must be completed and the decision reported to the prisoner and to the convening authority within seven days of the prisoner being placed in confinement. The reviewing officer uses the same basic criteria used by the commander in determining whether pretrial confinement is appropriate. The review is not an adversary proceeding, and the prisoner and counsel have no right to cross-examine witnesses.

Remember that once the accused is placed into pretrial confinement, the speedy trial clock starts to run. This means that the government must bring the accused to trial within 120 days or risk having the case dismissed.

Commander's Checklist

- Order a member into pretrial confinement when there is probable cause to believe that he or she has committed an offense triable by court-martial, that the member will not appear for trial and will commit further criminal behavior, and that less forms of restraint are inadequate.
- Always consult the SJA before ordering a member into pretrial confinement.
- Promptly tell the confinee the nature of the offense, his or her Article 31, UCMJ, rights, the right to have free military counsel or to retain civilian counsel at no expense to the government, and the procedures for reviewing pretrial confinement.
- Notify the confinee's commander within 24 hours of entry into confinement.
- To determine if confinement should continue, consider the nature of the offense, the accused's ties to the local community, the character of the accused, the likelihood of further misconduct, and the effectiveness of lesser restraints.

- Your decision should be put into writing—one copy to the confinee and one to a military magistrate for review (which must be completed and reported to the confinee within seven days of entry into confinement).
- The government must either bring the accused to trial within 120 days of the entry into confinement or dismiss the case.

Promotion (Airmen)

REF: AFI 36-2502, *Airman Promotion Program*; AFI 36-2605, *Air Force Military Personnel Testing System*

OPR: Commander, MPF

OCR: Supervisor

Air Force promotion policy

The Air Force promotion policy is to advance airmen who clearly have the potential to shoulder increased responsibility once they are advanced in rank. Only the best can be promoted due to the limited vacancies in higher grades. Ultimately the responsibility for a quality enlisted force rests with the prudent judgment of the commanders who make the recommendations for promotion.

Quota determination

Promotion quotas for the top five grades (staff sergeant through chief master sergeant) are influenced by fiscal and statutory constraints and the number of projected vacancies in those grades. For example, the combined number of chief master sergeants and senior master sergeants is limited by law to a total of 3 percent of the enlisted end strength. Because of the limited number of enlisted promotions, commanders should make every effort to encourage their personnel to prepare themselves to be competitive for promotion.

Selections to senior master sergeant and chief master sergeant are considered in a two-phase process. First, each individual's record receives a weighted score based on specific weights assigned to the factors listed below. Commanders should encourage their senior NCOs to pursue professional military education. The Senior NCO Academy counts 20 points and the command NCO academy counts 15 points.

Factor	Maximum Points
SAF Supervisory Exam	100
Enlisted Performance Report Score	135
Professional Military Education	15
Decorations	25
Time in Grade	60
Time in Service	<u>25</u>
	360

Second, a central promotion evaluation board at the Air Force Military Personnel Center (AFMPC) scores each promotion selection folder using the whole person concept. Included in this review is the individuals performance, education, breadth of experience, professional competence, combat/achievement record, and leadership ability. All eligible master

sergeants and senior master sergeants receive promotion score notices. The score notice shows promotion status, points for weighted factors, total weighted score, board score, and relative standing within the Air Force specialty code (AFSC) or chief enlisted manager (CEM) code considered as well as grouping by board score of selectees and nonselectees.

*Promotion to staff
sergeant through
master sergeant*

Airmen eligible for promotion to these grades are considered under the weighted airman promotion system (WAPS). In the WAPS, personnel data elements are collected, validated, and converted to weighted factors for promotion selection purposes. Airmen compete, test, and are selected for promotion in their control Air Force specialty code (CAFSC). WAPS factors are:

Factor	Maximum Points
Specialty Knowledge Test (SKT)	100
Promotion Fitness Exam (PFE)	100
Time in Service	40
Time in Grade	60
Decorations	25
Enlisted Performance Report (EPR)	<u>135</u>
	460

Testing

When an airman fails to show for scheduled promotion testing, the commander must decide whether that airman should be rescheduled for testing or made ineligible for that cycle. If the commander approves rescheduling, the airman remains eligible for promotion and will be tested. If the commander does not approve rescheduling, the airman is ineligible for promotion consideration during that cycle.

Proper preparation for promotion testing is the key to how well an airman will do on the promotion fitness exam (PFE) and the specialty knowledge test (SKT). Each organization is required to maintain a library of study reference material listed in part one of the WAPS catalog for promotion of eligible personnel. The unit WAPS monitor periodically receives a current index of study material from the MPF and uses this document to order new materials or dispose of old ones. For the majority of AFSCs, the references will be AFP 50-34, vol. I, *Promotion Fitness Examination (PFE) Study Guide*, for the PFE and the career development course (CDC) for the SKT. AFP 50-34 is issued to all promotion eligible personnel upon request. Airmen should refer to the Extension Course Institute (ECI) index of WAPS study materials to ensure that their own personal CDCs or those in the library are current for the appropriate testing cycle.

Preparation for testing is an individual effort. Enlisted personnel are not allowed to study together or otherwise share information (written or oral) about the content of Air Force tests. Promotion testing is designed to assess the knowledge attained by each airman eligible for promotion. Because tests sometimes repeat questions, compromise of new tests is possible as a result of discussion of old tests. Commanders should be alert for group study activities or possession of test materials. AFI 36-2605 contains procedures for reporting and investigating such incidents.

Several commercial firms publish study guides for promotion tests. Although the Air Force does not condone or support such guides, it does not

specifically prohibit their use. As a group, these guides tend to be of poor quality and of marginal value in preparing for WAPS testing. Commanders can help their personnel most by encouraging individual study of the Air Force materials listed in paragraph 1 of the WAPS catalog.

*Stripes for
exceptional
performers (STEP)*

This program supplements existing airman promotion programs and is designed to accommodate unique circumstances that in the commander's judgment clearly warrant promotion. It is intended to provide a means to promote airmen for compelling, although perhaps nonquantifiable, reasons. Senior commanders who have been delegated stripes for exceptional performers selection authority by Headquarters USAF establish internal guidelines, procedures, and nomination formats they believe appropriate.

*Promotion to
airman through
senior airman*

Airmen are promoted to the rank of airman at 6 months time in grade and airman first class at 10 months time in grade if the commander recommends the promotion, the airman is eligible, and the promotion is not in a withheld or deferred status. Airmen first class are promoted to senior airman when they meet the minimum time in grade/time in service requirements listed in paragraph 2.2.1 of AFI 36-2502 and possess a 3-skill level in their AFSC.

*Promotion propriety
actions*

To maintain the high caliber of personnel, the commander has several options at his or her disposal. He or she may promote the deserving airman or may withhold or defer a promotion. In warranted cases, the commander may nonrecommend an airman, which will result in the airman's name being removed from the promotion list. Under certain circumstances an airman will become automatically ineligible for promotion.

*Withholding
promotion*

The squadron commander has the authority to withhold a promotion for one year after an airman's selection for the next higher grade but before he or she pins on the new rank. The withholding period may be longer if it is in the best interest of the Air Force and if the approval of major command/director of personnel or manpower and personnel (MAJCOM/DP or MP) is received. An order must be given to the airman not to assume the higher grade. If the order is verbal, it must be backed up in writing within five working days. The purpose of this type of action is to give the commander a chance to evaluate unique or unusual events so that a sound promotion decision can be made. A promotion can be withheld if the airman is in the alcohol rehabilitation program, weight management program, under court-martial or civil charges, being investigated for a crime, or is currently under a suspended reduction due to an Article 15 action. Other reasons are enumerated in table 1.2 of AFI 36-2502. This management tool is not designed to be used when there is substandard performance. In cases of withholding, the airman's date of rank (DOR) reverts back to the date when he or she would have been promoted.

*Deferring
promotions*

The commander may defer a promotion of an airman in the rank of staff sergeant or higher for substandard performance or behavior. MAJCOM has the final word on deferral approval for the rank of senior master sergeant and chief master sergeant. The purpose of a deferral is to weigh the facts that are troubling the commander about the promotion. If there is clear evidence that an NCO is not suited to take on the increased responsibilities of the higher grade, then removal from the promotion list is the right course of action and not a deferral. An airman must be given written notice stating the reasons for the action and the length of the deferral, which can last up

to three months from the promotion date. In cases of deferral, there is no reversion of the DOR, and the date of rank is effective on the day the stripe is actually sewn on.

*Nonrecommendation
or removal from the
selection list*

An airman can be removed from the selection list before the effective date of the promotion by the commander's nonrecommendation. This is commonly referred to as "redlining." Common grounds for the decision not to promote are

1. poor or declining performance trends, especially in the case of NCO with a recent EPR overall rating of "2" or less, or
2. recent serious misconduct.

When the commander nonrecommends an airman for promotion in the grades of E-4 through E-8, that airman is ineligible to be promoted for a specific promotion cycle. The airman is eligible for promotion in subsequent promotion cycles unless the commander initiates another nonrecommendation action.

*Promotion
ineligibility*

Automatic ineligibility for promotion will occur if the airman is on the control roster, serving a probationary period under an AFI 36-3208 discharge action, if he or she has been convicted by a court-martial, or if the airman has been denied reenlistment. Additional reasons are listed in table 1.1 of AFI 36-2502.

Commander's Checklist

- Selections to senior master sergeant and chief master sergeant is a two-phase process: (1) weighted scores are assigned to certain factors, (2) a central promotion evaluation board at AFMPC scores selection folders using "whole person" concept.
- Airmen are promoted to staff sergeant through master sergeant using the weighted airman promotion system (WAPS), which converts personnel data into weighted factors.
- Commanders should ensure that the organization maintains a library of study material from the WAPS catalog for promotion eligibility.
- Refer airmen to the Extension Course Institute (ECI) index of WAPS study materials.
- Help personnel by encouraging individual study of materials in the WAPS catalog.
- The STEPS program is designed for commanders to promote exceptional performers for compelling, thorough nonquantifiable reasons.
- Airmen first class are promoted to senior airmen when they meet the minimum time in grade/time in service and possess a 3-skill level in their AFSC.
- To maintain the high caliber of the personnel force, the commander may either promote the deserving airman or withhold or defer a promotion.
- The commander can withhold a promotion for a year after an airman's selection for the next higher grade but before he or she pins on the new rank.

Protest and Dissident Activities

REF: AFI 51-903, *Dissident and Protest Activities*; AFI 51-904, *Complaints of Wrongs Under Article 138, Uniform Code of Military Justice*; AFI 36-2903, *Dress and Personal Appearance of Air Force Personnel*; AFI 31-213, *Armed Forces Disciplinary Control Boards and Off-Installation Liaison and Operations*

OPR: Commander

OCR: Staff Judge Advocate, Security Police, MPF

Public demonstrations for and against every conceivable cause have become a prominent feature of the American scene. For commanders, the difficulty in dealing with such activities is in trying to balance service members' rights of expression against the Air Force mission of safeguarding national security. Air Force commanders have the inherent authority and responsibility to take action to ensure the mission is performed and to maintain good order and discipline. This authority and responsibility includes placing lawful restrictions on dissident and protest activities. Air Force commanders must preserve the service member's right of expression, consistent with good order, discipline, and national security, to the maximum extent possible. To properly balance these interests, commanders must exercise calm and prudent judgment and should consult with their staff judge advocates. In appropriate cases, commanders may find it advisable to confer with higher authority before initiating action with respect to manifestations of dissent.

Restricted activities

Any activity in this area must be considered in light of existing directives and instructions, particularly AFI 51-903. This instruction offers the following restrictions.

Written or printed materials

No written or printed materials, other than official publications, will be distributed without permission of the installation commander. Mere possession of materials unauthorized for distribution or posting may not be prohibited unless otherwise unlawful. (These materials may be impounded if a member of the armed forces distributes or posts, or attempts to distribute or post, them within the installation.) *Note:* commanders should not prohibit material simply because it is critical of the Air Force or the government of the United States. Air Force members may not write for unofficial publications during duty hours unless permitted to do so by their supervisor.

Off-limits establishments

Action may be taken to place establishments "off limits" pursuant to AFI 31-213. Such actions may be necessary if off-base activities involve acts with a significant adverse effect on health, morale, or welfare of military members.

Groups and organizations

Because they are incompatible with military service, Air Force members are prohibited from actively participating in organizations that support supremacist causes or advocate illegal discrimination based on race, creed, color, sex, religion, national origin, or ethnic group; and those advocating the use of force or violence or otherwise engaging in efforts to deprive

individuals of their civil rights. (*Note: active participation includes publicly demonstrating or rallying, fund raising, recruiting and training members, organizing, or leading. Mere membership in the type of organizations enumerated above is not prohibited. Commanders must, however, consider the membership by Air Force members when evaluating or assigning members (AFI 36-2701, Social Actions Program.)*)

Demonstrations

Demonstrations or other activities within an Air Force installation are prohibited if they could result in interference with or prevention of the orderly accomplishment of a mission of the installation or which present a clear danger to loyalty, discipline, or morale of members of the armed forces. In addition, Air Force members are prohibited from participating in demonstrations when they are on duty, when in a foreign country, when in uniform in violation of AFI 36-2903, when their activities constitute a breach of law and order, or when violence is likely.

*Military member
grievances*

Military members may complain and request redress of their grievances through a special means as Article 138, UCMJ (AFI 51-904), and the inspector general (IG) process (AFI 90-302).

As stated before, much of the above involves a judgment call on the part of the commander. Complete and detailed memoranda of such occurrences should be kept, and the office of the staff judge advocate should be contacted at the earliest opportunity.

Commander's Checklist

- Understand that Air Force members have the right to complain and redress grievances through the IG system and Article 138, UCMJ (AFI 51-904).
- Do not permit conduct that would destroy mission effectiveness.
- Members are restricted from distributing written or printed materials that present a clear danger to the loyalty, discipline, or morale of other service members.
- Also prohibited are on-base demonstrations or activities that interfere with the mission or that are a clear danger to loyalty, discipline, or morale.
- Air Force members may not write for unofficial publications during duty hours without their supervisor's permission.
- Members are prohibited from taking part in demonstrations when in a foreign country, when on duty, when in uniform, and when the activities are illegal and may result in violence.
- Members are prohibited from *actively* participating in organizations that advocate discrimination based on race, creed, color, sex, religion, national origin, or ethnic group.
- Although mere membership in such organizations is not prohibited, the commander should take this into consideration when evaluating and assigning the members.

Religious Accommodation

REF: AFR 35-53, *Accommodation of Religious Practices*; AFI 36-2903, *Dress and Personal Appearance of Air Force Personnel*

OPR: Commander

OCR: Staff Judge Advocate, Supervisor, Chaplain, Social Actions

The Air Force has traditionally placed a high value on the free exercise of the religious beliefs of its members. Commanders are expected to continue to respect the religious beliefs and practices of Air Force members in a manner that is consistent for all.

Religious practices

Religious practices include, but are not limited to, such things as observance of religious holidays and eating or abstaining from particular foods. Generally a commander should attempt to accommodate the religious practices of service members. However, respect for religious beliefs is not intended to infringe on the commander's authority or responsibility to promote military readiness, unit cohesion, standards, or discipline.

In determining whether to grant a request for accommodation of religious practices, the unit commander should consider the following factors along with others deemed appropriate:

1. The importance of the military requirement, in terms of unit readiness, individual safety, health, discipline, morale, and cohesion.
2. The importance of the practice to the requester.
3. The cumulative impact of repeated accommodations of a similar character.
4. Alternative means to meet the requested accommodation.
5. Previous treatment of the same or similar requests, including requests made for other than religious reasons.

When accommodation is not possible, the member must conform to military requirements or face disciplinary action, administrative separation, or reassignment/reclassification.

Religious apparel

Religious apparel is any apparel worn as part of the religious faith practiced by the military member. Whether a military member is authorized to wear religious apparel while in uniform is first determined by whether the apparel is visible. The only specifically authorized visible religious apparel is a head covering, dark blue or black, that is, a Jewish yarmulke. To wear other visible religious apparel while in uniform, the military member must obtain specific authorization pursuant to the procedure set forth in AFI 36-2903. Religious apparel that is not visible and that does not interfere with the proper wearing of the uniform may be worn while in uniform.

Commanders' actions

Commanders may refer difficult or unusual questions about requested accommodation through the chain of command. When requests for accommodation are not in the best interest of the unit and continued conflict between the unit's requirements and the individual's religious practices is apparent, administrative action should be considered. Commanders should consult with AFR 35-53 (AFI unpublished as of this

writing) for further guidance in areas such as worship, dietary practices, immunizations, and dress and appearance.

Commander's Checklist

- Generally, you should try to accommodate service members' religious practices unless they infringe on military readiness, unit cohesion, standards, or discipline.
- To determine if a request for accommodation should be granted, you should consider the following:
 - ☐ Importance of the military requirement
 - ☐ Importance of the practice requested
 - ☐ Impact of repeated accommodations of the practice
 - ☐ Alternative means to satisfy the request
 - ☐ Previous treatment of similar requests
- The only specifically authorized visible apparel is a dark blue or black head covering.
 - ☐ AFI 36-2903 sets forth procedures for requesting other visible apparel while in uniform.
 - ☐ Religious apparel that is not visible may be worn.
- Consult AFR 35-53 (AFI unpublished at this writing) for further guidance in the areas of worship, dietary practices, immunizations, dress and appearance.

Reports of Survey

REF: AFI 23-220, *Reports of Survey for Air Force Property* (formerly AFR 68-1); AFI 51-502, *Personnel and Government Recovery Claims*

OPR: Commander

OCR: Comptroller, Staff Judge Advocate

Basics

The report of survey (ROS) is an official report of the facts and circumstances supporting the assessment of financial liability for the loss, damage, or destruction of Air Force property and serves as the basis for the government's claim for restitution. In the Air Force, the report of survey system is the method used for asserting a claim against military and civilian personnel who have lost, damaged, or destroyed public property in possession of the Air Force. This "system" consists of a series of checks and reviews to ensure justice is done to all parties.

The underlying premise is that all Air Force members and employees are responsible for the proper care and safekeeping of Air Force property. Air Force commanders are responsible for the real and personal government property under their control. Based upon that premise, Air Force members and employees can be held liable for the loss, damage, or destruction of government property *proximately* caused by their negligence, willful misconduct, or deliberate unauthorized use.

Purposes

An ROS accomplishes four purposes:

1. It serves as a property accounting document. A properly executed report of survey is a suitable basis to support the dropping of property from prescribed records and adjusting inventories.
2. It serves as an instrument for establishing responsibility and liability for the loss, damage, or destruction of Air Force property, and as the basis for a claim against responsible individuals. Conversely, it may be the instrument by which all parties are absolved of liability.
3. It is utilized as a method of prescribing corrective action to prevent recurrence of loss, damage, or destruction of Air Force property.
4. It is the authority for effecting collection of an indebtedness.

Basic liability rules

As a general rule, loss, damage, or destruction of all Air Force property is covered. Major exceptions include the following: damage occurring during combat operations; most loss, damage, etc., to major weapons systems used in authorized operations or occurring during aircraft accidents; damage to rental vehicles, unless a contracting officer enters into a specific contract to make them available for government use (cars rented by members who are on TDY are *not* subject to the ROS system whether or not the car rental is included on the TDY orders); property owned by another DOD component or nonappropriated fund instrumentation (NAFI). The ROS is processed under the other service's regulation or the NAFI regulation.

Pecuniary liability

Pecuniary liability is generally limited to a maximum of one month's base pay of the individual. There is, however, no limit on liability for accountable officers, individuals who damage personal arms and equipment, or individuals who, through gross negligence or willful misconduct, damage their assigned family housing. The unit commander or accountable officer responsible for the damaged property initiates the report of survey process, which is outlined in AFR 68-1 (soon to be AFI 23-220). *Note:* If two or more persons are responsible for the loss, damage, or destruction, each is held jointly and severally liable. If collection cannot be made from one of the liable parties, the remaining parties are each still liable. The Air Force cannot collect more than the total amount of the loss or damage. The approving authority allocates how much will be collected from each party.

Individuals who damage government property while operating privately owned motor vehicles, boats, airplanes, or other conveyances may be processed under the report of survey system. However, usually these incidents are processed as claims by the base legal office under AFI 51-502. A report of survey may be conducted as long as coordination occurs with the base legal office.

Disciplinary action

Commander may take appropriate disciplinary action, whether or not pecuniary liability is assessed. Disciplinary measures against military personnel can include either administrative or punitive action. Civilians may be disciplined under AFI 36-704, *Discipline and Adverse Actions* (PA), while 18 United States Code 1361 applies to anyone who willfully damages US property.

Commander's Checklist

- The report of survey (ROS) is used to assert a claim against individuals who have lost, damaged, or destroyed Air Force property.
- The ROS serves (1) as a property accounting document, (2) as a basis of claim against responsible individuals, (3) as a correction action to prevent recurrence of damage or destruction, and (4) as the authority for collecting damages.
- Damage or destruction of all Air force property is covered except the following:
 - ☐ Damage occurring during combat
 - ☐ Most loss and damage to major weapon systems used in authorized operations or aircraft accidents.
 - ☐ Damage to rental vehicles (some exceptions)
 - ☐ Damage to property of another DOD component or nonappropriated funds instrumentation (NAFI)
- Commander or accountable officer initiates the ROS process (AFI 23-220).
- Claims against individuals who damage government property while operating privately owned conveyances are processed by the base legal office under AFI 51-502.
- The commander may take appropriate disciplinary action whether or not pecuniary liability is assessed.

Reprimands

REF: AFI 36-2907, *Unfavorable Information File (UIF) Program*

OPR: Commander, First Sergeant, Supervisor

OCR: Staff Judge Advocate, Military Personnel Flight

Reprimands and admonitions may be imposed administratively for departing from acceptable norms of performance or conduct, bearing, behavior, and integrity (on- or off-duty). These are management tools used to reprove, correct, and instruct; therefore, unlike reprimands that result from Article 15 or courts-martial punishments, they are not punitive in nature. A reprimand is more severe than an admonition and carries a strong implication of official censure. It may be written or oral.

Commander's Checklist

- The Commander/supervisor should sign a letter of reprimand (LOR) or admonition (LOA) to censure a subordinate for unacceptable performance, conduct, or bearing.
 - ☐ State time, date, and place of the breach and include warning should further deviations occur.
 - ☐ Include this statement: "You will acknowledge receipt and return (or send) this letter to me within three days of your receipt. Any comments or documents you wish to be considered concerning this LOR or LOA will be included in your response."

- ☐ If member refuses to acknowledge receipt within three work days, annotate the letter “member refused to acknowledge” and the date.
- The commander decides if the letter should go into a UIF.
 - ☐ If yes, follow the instructions on AF Form 1058.
 - ☐ If no, file the letter in the members, personnel information file, destroy it, or return it to originator.
- It is strongly recommended that the commander seriously consider filing all such letters into a UIF for any subsequent court-martial.
- Administrative reprimands and admonitions are not placed in selection folders nor are they forwarded to the master personnel record.

Rights of Suspects (Article 31, UCMJ)

REF: Article 31, UCMJ; *Military Rules of Evidence* 304, 305; AF Form 189, Advisement of Rights; AF Form 1168, Statement of Suspect

OPR: Commander, First Sergeant, Supervisor

OCR: Staff Judge Advocate, Office of Special Investigations (OSI), Security Police

*The commander
and rights*

As a commander, you have a responsibility to maintain discipline. This often requires that you counsel, admonish, reprimand, and hold discussions with your subordinates. As long as you are doing all the talking, the individual's constitutional rights do not become an issue. But the moment you suspect someone of an offense and *start* asking questions or taking any action in which an incriminating response is either sought or is a reasonable *consequence of such questioning*, you must advise the suspect of his Article 31, (UCMJ), rights. (Civilians are informed of their Fifth Amendment rights.) Properly reading someone their rights enables the government to preserve any admissions or confessions for later use as evidence. Unadvised admissions and confessions cannot normally be admitted, and any evidence that may have been obtained as a result of them is also usually excluded.

Article 31 provisions

Article 31 of the UCMJ provides that

no person shall be compelled to incriminate himself or herself or to answer questions tending to incriminate him or her, and

no person may interrogate or request any statement from an accused or suspect without first informing him or her of the accusations and the right to remain silent, and that any statement made may be used as evidence.

Therefore, persons subject to the UCMJ must advise another individual if they suspect that person of a criminal offense, *and* they are interrogating (questioning) the person as part of an official law enforcement investigation or disciplinary inquiry. *Note:* military supervisors and commanders are *presumed* to be acting in a disciplinary capacity when questioning a subordinate.

When must Article 31 rights be given?

Article 31 rights must be given whenever there is *interrogation*. Interrogation includes any formal or informal questioning in which an incrimination response is either sought or is a reasonable consequence of such questioning. Interrogation does not have to involve actual questions. Sometimes actions, if they are intended to elicit responses, are deemed to be interrogation. Once again, supervisors and commanders are held to an especially high standard. When in doubt, give rights advisement and consult your SJA.

What must Article 31 rights include?

Generally, the rights advisement should include the general nature of the suspected offense (legal specifications are not necessary; lay terms are okay, but be specific); the suspect's right to remain silent; and the consequences of making a statement. Although it is not necessary that the advisement be verbatim, it is best to read the rights directly from AF Form 189, which is a wallet-size card with Article 31 rights advice for military personnel on one side and Fifth Amendment/*Miranda* rights for civilians on the other.

The rights advisement must be understood and acknowledged by the suspect. The suspect must *affirmatively acknowledge understanding* of the rights and *affirmatively consent to make a statement*. Consent to make a statement cannot be obtained by coercion, threats, promises, or trickery. Be cautious when advising an intoxicated person of his rights. If significantly drunk, he may be legally incapable of knowingly and voluntarily waiving his rights. If the individual indicates a desire to remain silent, *cease questioning*. (This does not mean, however, that you cannot give the individual orders or directions on other matters. Just be careful not to threaten.) If the suspect requests counsel, *stop all questioning*. Inform the SJA, and get advice before reinitiating any questioning.

If the individual waives his rights and agrees to talk, when possible, obtain waiver in writing using AF Form 1168, Statement of Suspect/Witness/Complainant. You should always have a witness available and try to get the statement in writing (handwritten is best).

If, after electing to talk, the suspect changes his or her mind, *STOP THE QUESTIONING*. Prepare a memorandum for record (MFR) immediately after the session ends. The MFR should include where the session was held; what and when you advised the suspect; what the suspect said; what activities took place (suspect sat, stood, smoked, drank, etc.); what the suspect's attitude was (angry, contrite, cooperative, combative, etc.); and the duration of the session with inclusive hours.

ADVISEMENT FOR MILITARY SUSPECTS

I am _____, (commander of the) _____, _____ AFB. I am investigating the alleged offense(s) of _____, of which you are suspected. Before proceeding with this investigation, I want to advise you of your rights under Article 31 of the Uniform Code of Military Justice. You have the right to remain silent, that is, to say nothing at all. Any statement you do make, either oral or written, may be used against you in a trial by court-martial or in other judicial, nonjudicial, or administrative proceedings. You have the right to consult with a lawyer prior to any questioning and to have a lawyer present during this interview.

You have the right to military counsel free of charge. In addition to military counsel, you are entitled to civilian counsel of your own choosing at your own expense. You may request a lawyer at any time during this interview. Have you previously requested counsel after advisement of rights? (If the answer is yes, stop. Consult your SJA before proceeding.)

If you decide to answer questions during this interview, you may stop the questioning at any time. Do you understand your rights? Do you want a lawyer? (If the answer is yes, cease all questioning.) Have you already consulted an attorney about this matter? (If the answer is yes, stop questioning and contact the SJA.) Are you willing to answer questions? Do you understand that you are free to end this interview at any time?

ADVISEMENT FOR CIVILIAN SUSPECT

I am _____, (grade, if any, and name), (a member of the Air Force Security Police/AFOSI). I am investigating the alleged offense(s) of _____, of which you are suspected. I advise you that under the Fifth Amendment to the Constitution you have the right to remain silent, that is, to say nothing at all. Any statement you make, oral or written, may be used as evidence against you in a trial or in other judicial or administrative proceedings. You have the right to consult with a lawyer and to have a lawyer present during this interview. You may obtain a civilian lawyer of your own choosing, at your own expense. If you cannot afford a lawyer, and want one, one will be appointed for you by civilian authorities before any questioning. You may request a lawyer at any time during the interview. If you decide to answer questions, you may stop the questioning at any time. Do you understand your rights? Do you want a lawyer? (If the answer is yes, cease all questions at this point.) Are you willing to answer questions? Have you previously requested a lawyer after rights advisement? (If the answer is yes, stop immediately. Consult your SJA before proceeding.)

Commander's Checklist

- Article 31, UCMJ, provides that no person shall be compelled to incriminate himself or herself or to answer questions tending to incriminate him or her.
- Commanders must ensure that rights of accused are protected and that no person is forced to make a statement without first being informed of the right to remain silent, the right to counsel, and that statements can be used as evidence.
- When possible, consult with your SJA before questioning a suspect.
- Obtain a current rights advisement card from your local security police, AFOSI, or SJA.
- If the individual waives his or her rights, obtain the waiver in writing using AF Form 1168, Statement of Suspect, and have a witness available.
- If the suspect requests counsel, stop all questioning. Inform the SJA and get advice before beginning questioning again.
- If the suspect, after electing to talk, changes his or her mind, stop the questioning and prepare a memorandum: when the session was held, what you advised the suspect, what actualities took place, the suspect's attitude, and the duration of the session.

Safety

REF: AFI 91 Series; AFPAM 91-211, *USAF Guide to Mishap Investigation*

OPR: Commander, Wing Safety Officer

OCR: Base Civil Engineer, Fire Department

Air Force Goal

In today's Air Force every effort must be made to conserve resources and provide a safe working environment for our people. We are constantly being asked to maintain our combat capability with fewer resources. It is our people who are the key to maintaining a high state of mission readiness. The goal of the Air Force mishap prevention program is to help commanders accomplish the mission by providing a safe and healthy working environment. Always keep in mind that people are your most valuable resource and commanders must set the tone and example for their unit.

Commander's Checklist

- Stress safety at commander's call, supervisory meetings, daily roll call, and through squadron policy letters.
- Develop a strong safety awareness program.
- Do not allow or compromise for unsafe conditions in your peoples' work or living areas.
 - ☐ Develop a strong working relationship with the civil engineering group; ensure work orders are being submitted in a timely manner and followup.
 - ☐ Pay particular attention to dormitories.
- The wing or base safety office can provide valuable assistance in validating the health of your squadron safety program.
- Training is a vital necessity for getting your people in the right mind-set and ensuring a strong squadron safety program.
- Thoroughly investigate mishaps and look for positive corrective actions.

Searches and Inspections

REF: *Manual for Courts-Martial*, United States 1984; AFI 51-201, *Administration of Military Justice*

OPR: Commander

OCR: Staff Judge Advocate, Office of Special Investigations

Commander's authorization

The law on search and inspection is complex and frequently changes due to court decisions. As a commander, you are authorized by general military law to direct inspections and probable cause searches and seizures of persons and property under your command. However, military law requires

that the commander authorizing such a search or seizure be neutral and detached from the case and facts. In order to separate the command functions of gathering facts and maintaining overall military discipline from the command function of granting search authorizations, most bases and major commands have centralized this role in the installation commander, who is also normally the special court-martial convening authority. The installation commander has discretion to appoint up to two military magistrates in writing to act concurrently with him on search and seizure (including apprehension) authorizations based on probable cause. Each magistrate must receive training on search and seizure issues; this training is provided by the staff judge advocate. Law enforcement personnel are also trained on the very strict legal procedures that must be followed in obtaining proper search authorizations.

Searches versus inspections

Commanders must still appreciate the difference between the legal concepts of inspections/inventories and searches/seizures because failure to do so may result in exclusion of crucial evidence in a court-martial or nonjudicial punishment action. *Searches* are examinations of a person, property, or premises for the purpose of finding criminal evidence. *Inspections* are examinations of a person, property, or premises having the primary purpose of determining and ensuring the security, military fitness, or good order and discipline of your command.

Searches

Commanders may authorize searches if they have control over the places or persons being searched. Searches may be conducted only under the following conditions:

1. when a suspect has been lawfully apprehended. Suspects may be searched to discover hidden weapons and to prevent them from destroying any evidence that may be on their person or in the immediate area.

2. when the person who owns or controls the area to be searched gives voluntary consent.

3. when a commander with the requisite authority authorizes a search based upon probable cause. A commander authorizing a search based on probable cause must be acting as a neutral and detached magistrate. If the commander is actively involved in law enforcement in a particular case, the commander will be disqualified from authorizing the search. Probable cause is normally defined as a reasonable belief that the person, property, or evidence sought is *currently* located in the place or on the person to be searched. To make this determination, commanders may rely on personal knowledge or oral/written information from others, as long as it is determined that the information is credible. (*Note:* An anonymous telephone call, by itself, will never justify a probable cause search and, in the case of drug dogs, the search-authorization commander must have observed and have been personally aware of the dog's successful training exercises as well as his actual record of success in search situations.)

Before authorizing a search based on probable cause, the commander should, always first try to obtain the written consent of the individual whose person or property is to be searched. Consent must be knowledgeable and genuinely voluntary. It cannot result from threats, coercion, or pressure. The commander must advise the person of the right to refuse to consent. It is always important to have a witness present. Remember that

mere acquiescence to a search is not sufficient to justify consent. The staff judge advocate should be consulted anytime a search is contemplated.

Besides consensual searches, there are other searches and seizures that may be conducted *without* probable cause. These include: border searches; searches upon entry to or exit from US installations, aircraft, or vessels; searches of government property; searches within jails; and searches incident to a lawful stop or apprehension.

Inspections

An inspection is an examination of a person, property, or premises for the primary purpose of ensuring the security, military fitness, and good order and discipline of the organization or installation. Inspections may be “announced” or “unannounced” and may be authorized without any probable cause. Inspections for weapons and contraband are specifically permitted while conducting a previously scheduled inspection.

Inspections are not searches. A search is a quest for incriminating evidence for use in criminal proceedings. Therefore, an examination for the *primary purpose* of obtaining evidence for use in disciplinary proceedings is *not* an “inspection”; it is a “search” and, if not authorized based on probable cause, is illegal.

The MRE authorize a commander to inspect all or any part of a unit, organization, or installation to determine the military fitness or good order and discipline of the unit, organization, or installation. Because of the distinction between searches and inspections stated above, it is extremely important that inspections be conducted in an honest, forthright, impartial manner. If there are suspects known to the inspector before the inspection begins, the issue of “search” is raised. Remember, evidence obtained by a search without probable cause is normally inadmissible. If you have information that there is contraband or some other seizable item in a particular room and you cause an inspection because of this knowledge, the inspection will be found to be a “sham inspection” and the evidence acquired will be inadmissible.

If, during the course of a bona fide inspection, contraband, weapons, or other evidence is uncovered, such evidence may be seized and is admissible in courts-martial. The recommended procedure, should such an occurrence happen, is to halt the inspection, secure the room, and obtain valid authority (via AF Form 1176, Authority to Search and Seize) to search the rest of the room and seize the evidence. As stated before, the staff judge advocate should be consulted before the AF Form 1176 is executed by the installation commander.

The use of drug-detection dogs in common areas such as around cars in parking lots, dormitories, hallways, and dayrooms in and around the squadron area is not considered a search. If, while in a common area, the detection dog indicates the presence of drugs, the area should be secured and an authorization to search should be obtained with the advice of the staff judge advocate.

The above discussion is only intended to be a general overview of the commander’s rules in search and seizure and inspections. Because there are many legal considerations and technical aspects involved in this area that may vary because of unique factual settings, it is of the utmost importance that legal advice be sought from the staff judge advocate whenever a question arises involving searches, seizures, or inspections.

Commander's Checklist

- The commander is authorized to direct inspections and probable cause searches of persons and property under his or her command.
- *Searches* are examinations of a person, property, or premise for the purpose of finding criminal evidence.
- *Inspections* are examinations of persons, property, or premises to determine and ensure security, fitness, good order, and discipline of your command.
- Searches may be authorized only under the following conditions:
 - ☐ when the suspect has been lawfully apprehended.
 - ☐ when the person who owns the area to be searched gives voluntary consent.
 - ☐ when the commander authorizes a search based on probable cause.
- Probable cause searches are based on a reasonable belief that the evidence or property sought is located on the person or place to be searched.
 - ☐ Commander should first try to obtain the written consent of the individual.
 - ☐ Consent must be voluntary.
 - ☐ Consult the SJA anytime when an AF Form 1176, Authority to Search and Seize, is executed.
- Inspections can be “announced” or “unannounced” and may be authorized without probable cause.
 - ☐ If they are not conducted for the primary purpose of obtaining evidence to be used in a disciplinary proceeding.
 - ☐ They must be “reasonable.”
 - ☐ If you authorize an inspection based on information that there is contraband or other seizable item in a particular room or premise, it will be a “sham inspection” and the evidence seized will be inadmissible.

Selective Reenlistment

REF: AFI 36-2606, *Reenlistment in the United States Air Force*

OPR: Commander, Supervisor

OCR: MPF, Staff Judge Advocate, Base Career Advisor

Objective of the SRP

The objective of the selective reenlistment program (SRP) is to make sure that only those airmen who consistently demonstrate the capability and willingness to maintain high professional standards and dedication to adapt to future Air Force mission requirements are allowed the privilege of continued service. Because of the various constraints on the size and composition of the career force, there is generally a limit to the number of airmen who can reenlist. The goal is to select and retain a high-quality force of members who have the skills and training required by the Air Force.

The SRP applies to all first-term, second-term, and career airmen. The authority to select or nonselect airmen for continued service rests with the unit commander. The unit commander's SRP decision should be in line with other qualitative recommendations, such as promotion, and must be based upon substantial evidence. While there is no right to reenlist, decisions to nonselect an airman must be supported with documented rationale.

*Selective
reenlistment by
category*

First-term airmen will be individually considered for reenlistment when they have completed 33 months (four-year enlistee) or 57 months (six-year enlistee) of active duty on current enlistment. Second-term and career airmen with less than 19 years' total active force military service (TAFMS) will be individually considered for reenlistment 13 months prior to estimated time of separation (ETS). Career airmen with 19 or more years' TAFMS will be individually considered for reenlistment 13 months prior to completing 20 years' TAFMS. After that, they will be considered 13 months prior to ETS.

*Unit commander's
responsibilities*

Prior to rendering the SRP decision, the commander must consider the following: the supervisor's recommendation; EPR ratings which reflect erratic, declining, or significantly lower performance than his or her peers; unfavorable information from any substantiated source that suggests an inability or unwillingness to comply with expected standards of discipline. AF Form 1137, UIF Summary, must be reviewed, if applicable. The commander should consider the airman's ability (or lack thereof) to meet training and duty performance levels required of a career airman and the airman's willingness to comply with Air Force standards. Other factors the commander should consider are that the retirement-eligible airman must also continue to contribute full measure or retire, and the requirement for the skill of an eligible first-term airman will not influence the SRP decision.

Procedures

If the airman is *selected* for reenlistment, the commander's signature on the SRP listing constitutes formal selection. The commander will advise the airman of his/her selection for reenlistment by personal interview. If the airman is *nonselected*, rationale to support the decision is documented on the AF Form 418. The rationale must include sufficient justification supported by substantial evidence, facts, and specific reasons for the nonselection. The commander will advise the airman of his/her nonselection for reenlistment by personal interview. During the interview, the commander will advise the airman of those areas listed in AFI 36-2606, paragraph 1.10.2.

The commander may reconsider an airman for reenlistment at any time if the airman's performance has improved to justify SRP reconsideration. The commander may also reconsider when the condition making the airman ineligible for reenlistment is resolved.

*Nonselection appeal
process*

An airman who is nonselected for continued service may appeal the decision to the appropriate authority. First-term and career airmen with 19 or more years' TAFMS may appeal to the installation commander. His decision is final and no further appeal action may be initiated (19+ years are given a 20-year retirement date). Second-term and career airmen with less than 16 years' TAFMS may appeal to the servicing MPF's MAJCOM/DP (may delegate no lower than NAF/DP)—his decision is final and no further appeal may be initiated. Career airmen with more than 16 years but less than 19 years' TAFMS may appeal to the secretary of the Air

Force (SAF). Appeals by second-term or career airmen must be forwarded through the base staff judge advocate for legal sufficiency and the installation commander for recommendation prior to being forwarded to the MAJCOM/DP. The installation commander or the servicing MAJCOM/DP may override the immediate commander's decision and select the member for continued service.

Commanders should always consult with personnel and the legal office to determine if there are any additional consequences of SRP action considering recent reduction-in-force initiatives as well as issues concerning selective reenlistment bonuses (SRB) and career job reservation (CJR).

Commander's Checklist

- Unit commanders have selection/nonselection authority over all airmen evaluated under the selective reenlistment program.
- The SRP process is independent of the intent to reenlist or the existence of a skill requirement.
- SRP decision must be based on:
 - ☐ EPR ratings
 - ☐ Unfavorable information (UIF)
 - ☐ Supervisor recommendations
 - ☐ Potential duty performance
- Nonselection will cancel promotion line numbers and may have other collateral effects.
- Before recommending nonselection, ensure that the decision is fully documented on the AF Form 418 (remember there are appeal rights).
- The decision to nonselect may be reversed by the installation commander or the servicing MAJCOM/DP.

Support of Dependents

REF: AFI 36-2906, *Personal Financial Responsibility*

OPR: Commander

OCR: Staff Judge Advocate, Air Force Aid Society, MPF, First Sergeant, Base Chaplain

The Air Force expects its members to pay their financial obligations in a proper and timely manner. Dependent support, either direct or indirect, is a primary element of an individual's personal financial obligation. Failure to make up arrears in support are grounds for administrative or disciplinary action.

Commander's Checklist

- Air Force members are expected to comply with the financial support provisions of a court order or written support agreement.

- ☐ If the validity of the order (or agreement) is questioned, the issue must be resolved by the parties or the civil courts.
- ☐ A commander does not arbitrate such disputes and has no authority to unilaterally deduct money for dependents.
- Members are expected to provide adequate support for dependents in the absence of a court order or agreement. The amount of support should be based on dependent need and the ability of the member to pay.
- Examples of “in kind” support (as opposed to pecuniary payments) include mortgage or rent payments, payments on a car, payments of medical bills, and payments of school tuition.
- Proof of support is generally not required; but if the member is receiving basic allowance for quarters and a nonsupport complaint is received, such proof may be requested by the commander.
- Military members and/or their dependents (including ex-spouses on behalf of a member’s dependent child) are entitled to military legal assistance and should be encouraged to seek such advice when needed.
- The obligation to support dependents is not affected by desertion or other misconduct on the part of the spouse or former spouse.

Terrorism

REF: AFI 31-210, *The Air Force Antiterrorism (AT) Program*

OPR: Commander

OCR: AFOSI, Security Police

Air Force policy and regulatory guidance

The protection of Air Force personnel from acts of terrorism is a command responsibility; however, individual members are also responsible for ensuring that their dependents do not invite terrorist acts.

AFI 31-210 outlines the Air Force antiterrorism program. Absolute protection against terrorist acts is not possible. Commanders must develop realistic protective plans and procedures based on the local situation. Each organization must implement physical security procedures to protect against terrorism by installing physical security equipment, implementing terrorist threat conditions (THREATCON), and responding to terrorist acts. See AFI 31-210, sec. B, for a discussion of terms, including THREATCON.

The AFOSI investigates acts of terrorism against Air Force personnel and resources and collects and disseminates information about terrorist activities overseas. It also provides specialized counterterrorism and protective services to overseas commanders upon request under certain, limited conditions.

Commander's Checklist

- Ensure that Air Force members and civilian employees who perform infrequent leave or TDY visits to foreign countries are briefed before departure about the nature of terrorism abroad and about precautions to take to counter the terrorist threat.
- Ensure that personnel being assigned to physical threat or potential physical threat areas get appropriate antiterrorism training before changing duty stations.
- Assess local threat and unique local vulnerabilities, and use the random antiterrorism measures program (RAM).
- Require that personnel who are at high risk and personnel assigned to high-risk billets attend formal training.

Unfavorable Information File

REF: AFI 36-2907, *Unfavorable Information File (UIF) Program*; AFI 36-2701, *Social Actions Program*

OPR: Commander, Supervisor

OCR: First Sergeant, MPF

Commander's duties

The UIF is an official record of unfavorable information about an individual. It documents administrative, judicial, or nonjudicial censures concerning the member's performance, responsibility, and behavior, which may form the basis for administrative, personnel, or punitive actions. The UIF consists of mandatory documents, optional documents (at the commander's discretion), AF Form 1058, Unfavorable Information File Actions, and AF Form 1137, Unfavorable Information File Summary. Commanders of PC III units will appoint an individual to act as UIF monitor. Military Personnel Flight (MPF) chiefs will appoint an individual to act as UIF monitor for non-PC III units.

Before establishing a UIF, commanders refer documents to the offending member along with an AF Form 1058. The individual has three duty days to acknowledge the intended actions and provide evidence or statements of mitigation or refutation of the derogatory information before the commander makes the final decision. AFI 36-2907 requires unit commanders and senior Air Force officers or commanders of an Air Force element in a joint command to review all unit UIFs within 90 days of his or her permanent assumption or appointment to command.

Commander's Checklist

- Actions that require UIF entry (mandatory):
 - ☐ A record of suspended punishment under Article 15, UCMJ, or unsuspended Article 15 punishment longer than one month
 - ☐ A record of conviction adjudged by court-martial or any amended records

- ☐ A record of conviction by a civilian court (foreign or domestic) or an action tantamount to a finding of guilty for an offense that carries a possible sentence of confinement for more than one year to death
- ☐ A control roster action
- ☐ A record of Substance Abuse Reorientation Treatment (SART), track 4 or 5 for drug abuse under AFI 36-2701
- ☐ A record of failure in SART program track 3 or 4
- A commander may include the following actions in a UIF (optional):
 - ☐ Article 15 when the punishment period is less than one month
 - ☐ Minor civilian court convictions
 - ☐ Letters of reprimand
 - ☐ Alcohol abuse
 - ☐ Financial irresponsibility
 - ☐ Evidence of discrimination
 - ☐ Other derogatory information
- The commander must review UIFs in connection with promotion, reenlistment, reassignment, personnel reliability program (PRP), etc.
- The commander discusses early removal of UIF documents with the staff judge advocate and military personnel flight chief.
- The commander uses AF Form 1058 to remove documents from the UIF, citing the specific documents.
- UIFs are maintained at the unit for commanders of PC III units and at the MPF for non-PC III units.



People Leadership Programs—Civilians

Our Air Force team is a total force—a mosaic of civilian, Guardsmen, Reservists, and active members.

—Gen Ronald R. Fogleman

This chapter includes information to help you with one of your most important resources—the civilian work force. Civilian fill about one-third of all Air Force positions and are assigned to positions that do not require the military for reasons of law, training discipline, combat, or military background or experience. A unified military-civilian team in your unit is essential to the mission and security of the United States.

As members of the Air Force team, civilians provide skills and abilities that complement the military. When the military deploys on an exercise, the civilian work force continues the administration and operation of the unit. Civilians provide a nucleus of trained personnel in case of a national emergency. This chapter will help you lead and guide your civilian employees. It provides some basic guidelines on problems you may face as a commander or supervisor. Keep in mind that managing civilians requires you to consider unique local contracts, so it is imperative to consult with the central personnel flight on your base for the most current policy and procedures.

Air Force civilian personnel want and deserve an equal role in the total force. You can help them in this effort by becoming familiar with their programs.

Career Management (Civilians)

REF: AFI 36-601, *Civilian Career Management Program*; AFI 36-602, *Air Force Civilian Intern Recruitment*

OPR: Commander; Supervisor

OCR: Civilian Personnel Flight

Primary goal

The Air Force manages the careers of officer-equivalent civilians through career programs. The primary goal of career management is to develop employees with strong professional, technical, managerial, and administrative skills to satisfy current and future Air Force mission needs.

Commander's Checklist

Secondary goals

- Secondary goals of civilian career management as listed in AFI 36- 601.
 - ☐ To identify and encourage qualified people to make a career in the Air Force.
 - ☐ To provide people opportunities to develop skills and progress through the organization.
 - ☐ To give people a rewarding work experience to suit their abilities and desires, while meeting Air Force mission and staffing needs.
 - ☐ To provide the means to identify and staff key positions within each career program with exceptional performers and highly qualified employees available Air Force-wide.
 - ☐ To ensure that career-broadening assignments and education are related to performance, ability, and potential.

Supervisor and commander responsibilities

- Supervisor and commander responsibilities as listed in AFI 36-601:
 - ☐ To assure that employees are registered in a career program.
 - ☐ To assist in identifying exceptional performers.
 - ☐ To assure that interns assigned to the organization meet the terms of the training program.

AF-funded intern programs

- AFI 36-602 includes information on the three Air Force centrally funded intern programs:
 - ☐ PALACE Acquire
 - ☐ PALACE KNIGHT
 - ☐ COPPER CAP

Drug and Alcohol Abuse Prevention and Control Program for Civilians

REF: AFI 36-810 and AFR 40-792, *Drug and Alcohol Abuse Prevention and Control Program*; AFPAM 36-813 and AFP 40-10, *A Supervisor's Guide - The Air Force Civilian Drug and Alcohol Abuse Prevention and Control Program*.

OPR: Commander, Social Actions Office

Air Force policy

The objective of rehabilitation is to return all identified civilian drug and alcohol abusers to full, effective duty status. Regardless of how identified, abusers will be offered the opportunity for rehabilitation. Even in cases where alcohol or drug abuse is suspected but not known, the employee has a choice—to accept help or accept the consequences of continued unsatisfactory performance or conduct. Failure to offer assistance could delay or prevent taking appropriate personal action.

Commander's Checklist

- Key supervisor responsibilities:
 - ☐ To concentrate on work conduct and performance instead of delving into a problem diagnosis or the employee's personal life.
 - ☐ To ensure the employee understands expectations in terms of job performance and conduct.
 - ☐ To document all instances of deteriorating performance, unexcused absences, unacceptable conduct, and steps already taken to help resolve problems and make improvements.
 - ☐ To contact social actions if you feel there is a strong possibility of substance abuse, then tell the employee.
 - ☐ To notify the employee of the date, time, and place of the interview.
- The employee should also be notified:
 - ☐ That he or she may use duty time for the initial interview without charge to leave.
 - ☐ That the initial interview is mandatory.
 - ☐ That he or she must request leave for subsequent appointments.
 - ☐ That the appointment does not mean you have concluded there is a substance-abuse problem.
 - ☐ That there is no obligation to accept additional assistance after the initial interview.
 - ☐ That he or she should seek rehabilitative assistance.
- Pursue disciplinary actions if the employee's performance does not improve.

Equal Employment Opportunity and Affirmative Employment Programs

REF: AFI 36-205* and AFR 40-713, *Equal Employment Opportunity (EEO) and Affirmative Employment Programs (AEP)*; AFI 36-1201, *Discrimination Complaints*; AFR 40-5, *Evaluation of Personnel Management and Administration*; Local Union Contract

OPR: Commander, Supervisor, Civilian Personnel Flight (CPF), Chief, Equal Employment Opportunity

*General Air Force
policy*

The Air Force may not discriminate against any employee or applicant for employment because of race, color, religion, sex, national origin, age, or mental or physical handicap.

*Pending publication.

Commander's Checklist

- AFI 36-205 and AFR 40-713 outline commanders and supervisors responsibilities in regard to EEO and AEP:
 - ☐ To ensure that all employees and applicants for employment are not discriminated against on any aspect of the employment relationship.
 - ☐ To maintain awareness of the intent and requirements of the AEP plans.
 - ☐ To ensure that EEO principles are integrated into the personnel management process and are considered in employment decisions such as promotions, reassignments, training, awards, and other personnel management actions.
 - ☐ To support and attend minority group, womens, and handicapped program activities such as community relations activities, meetings, workshops, conferences, and job fairs.
 - ☐ To participate in self-evaluation of affirmative employment accomplishments.
 - ☐ To monitor accomplishment of EEO and AEP objectives.
 - ☐ To promulgate appropriate policy statements.
- AFI 36-1201 outlines procedures employees or applicants may use in filing a complaint of discrimination. The chief EEO counselor, who works directly for the commander, is responsible for processing complaints.

Grievance Procedures

REF: AFI 36-1203* and AFR 40-771, *Appeal and Grievance Procedures*: Local Union Contract

OPR: Commander, Supervisor

OCR: Civilian Personnel Flight

General policy

A grievance is a request for personal relief in a matter of concern or dissatisfaction that is subject to the control of the Air Force. The Air Force policy is to resolve grievances/concerns that adversely affect the mission as quickly and fairly as possible. At least once a year civilian employees must be informed of their right to file a grievance.

Informal resolution is encouraged at any stage of the grievance procedure. In discussing possible relief, flexibility and open-mindedness are critical. If at a stalemate, try to offer mutually agreeable alternatives. Here is an example of how to do this.

In a performance appraisal grievance, offer to reevaluate an employee in six months and meet with the person every two weeks to discuss current perform-

*Pending publication.

ance. Offer the person additional training to improve in the performance element that you marked down. Regular performance feedback can resolve problems early instead of further complicating the work environment. Before concluding any session with an employee, summarize your understanding of the meeting and what, if any, relief you can grant.

Commander's Checklist

- The grievant has the following rights:
 - ☐ Freedom from restraint, coercion, discrimination or reprisal in presenting a grievance.
 - ☐ To be accompanied and advised by a representative of their choosing unless there is some conflict of interest.
 - ☐ A reasonable amount of time to present the case.
- The grievant has the following responsibilities:
 - ☐ To comply with time limits.
 - ☐ To furnish sufficient detail to clearly identify the matter being grieved.
 - ☐ To specify the personal relief being requested.
- The commander should meet immediately with the employee to discuss the grievance and attempt to resolve it through correction, adjustment, or other action. Make sure to reach a clear understanding with the employee on:
 - ☐ Whether or not the complaint is being filed under grievance procedures.
 - ☐ The matter or issue that is the subject of the grievance.
 - ☐ The personal relief desired.
- If resolution is not possible informally, advise the employee in writing with assistance from the Employee Relations Section at CPF to ensure that all employee rights are covered. Include the following in the response:
 - ☐ The issues in the grievance and attempts you made to resolve them informally.
 - ☐ That the employee may file a formal grievance and the number of days available.
 - ☐ That the grievance must include as a minimum:
 - ☐ Be in writing and signed.
 - ☐ Identify the matters at issue.
 - ☐ Specify the personal relief sought.
- Formal grievance procedures can be complex and vary according to the local union agreement, so rely on the Employee Relations Section for guidance.
- Words of caution and advice:
 - ☐ Document every phase of this process from knowledge of the initial problem through the formal grievance procedures.

- ☐ If anything is presented to you orally by the person, write a memo for record (MFR) of conversation immediately.
- ☐ Keep Employee Relations Section informed at every step.

Labor-Management Relations

REF: AFI 36-701 and AFR 40-711, *Labor-Management Relations*

OPR: Commander, Civilian Personnel Officer

*Labor-management
relations and the
law*

Civilian employees, including those paid from nonappropriated funds, may belong to any labor organization that does not advocate the overthrow of the government, practice discrimination in membership, or reserve the right to strike against the government. The law requires the Air Force to pursue a policy of affirmative willingness to deal with labor organizations. A labor-management agreement—a labor contract—negotiated under exclusive recognition has the force and effect of a regulation and must be observed by both parties.

Commander's Checklist

- The Air Force practices the following policy in labor-management relations:
 - ☐ Employees have the right (without fear of penalty or reprisal) to form, join, and assist a labor organization or to refrain from such activity.
 - ☐ Management officials, supervisors, and employees engaged nonclerical personnel work also may join any labor organization, but they may not act as representatives or participate in the management of the union.
 - ☐ Employees may solicit membership of other employees during nonduty time in the work area.
- Recognition and rights of labor organizations:
 - ☐ Subject to normal security regulations, labor organization representatives who are not US Air Force employees may solicit membership and distribute literature in nonwork areas and during the nonduty time of the employees involved.
 - ☐ A labor organization is granted exclusive recognition only when designated and selected by a majority of eligible employees.
 - ☐ When employees have chosen a union, Air Force management shall establish cooperative and constructive relationships with it.
 - ☐ The union holding exclusive recognition is entitled to act for and negotiate agreements covering all employees in the unit without discrimination.

- ☐ The Air Force activity and the union are obligated to meet at reasonable times and confer in good faith regarding personnel policies and practices and matters affecting working conditions.
- Air Force management rights:
 - ☐ Air Force management retains the right to determine work methods, assign work, and make other decisions basic to efficient management and the accomplishment of the Air Forces national security mission.
 - ☐ Air Force management also retains the right to direct its employees; to hire, promote, transfer, assign, and retain employees; to take disciplinary action against employees; and to take whatever actions may be necessary to carry out the mission of the Air Force during an emergency situation.
- Responsibilities of management officials, supervisors, and civilian personnel officers:
 - ☐ Management officials and supervisors remain neutral in matters concerning union membership and representation matters; represent management in day-to-day work relationships, and deal with union representatives on matters within their jurisdiction.
 - ☐ Labor-management relations officers are the principal advisors to the commander and staff in labor relations matters. They represent the commander with unions and outside authorities and are responsible for training management officials and supervisors in their duties, responsibilities, and obligations in the labor relations program.
 - ☐ Management may not restrain, coerce, or interfere with the rights of an employee; encourage or discourage membership in a union by discrimination in regard to hiring, tenure, promotion, or other conditions of employment, nor can they take negative action against any employee who exercised their rights within the union.
 - ☐ The union may not interfere with, restrain, or coerce employees in exercising their rights or attempt to induce management to coerce employees in the exercise of their rights; the union cannot take any form of reprisal against a member, engage in any sort of work stoppage, or discrimination.

Leave Administration (Civilians)

REF: AFR 40-630. *Absence and Leave*; Local Union Contract

OPR: Commander, Supervisor

OCR: Civilian Personnel Flight

*General leave
policy*

Commanders and supervisors must ensure civilian employee duty status is clear at all times. Determining whether a specific type of absence is

charged to leave, excused without charge to leave, or considered official duty can be difficult. The following provides the basics of annual leave, sick leave, excused absences, and where you as a commander have some latitude. As a commander and supervisor of civilians, granting leave and considering the viability of various absences is a significant responsibility.

Annual leave

Authority to administer leave policies includes approving/disapproving leave requests; scheduling leave so work requirements are met; and taking appropriate action when employees are suspected of abusing leave privileges.

Sick leave

Sick leave is an important right of all civilians, but unfortunately is susceptible to wide abuse if unchecked by supervisors and commanders. In a survey of the 1995 Air War College class, a number of prior commanders noted sick leave abuse as an area that caused considerable frustration.

Civilians earn four hours of sick leave per pay period regardless of years of service and there is no limit on the amount of leave that is accumulated or carried forward to the next year. For sick absences over three days, employees must furnish a medical certificate unless you waive the requirement. The statement should have specific evidence the employee was incapacitated for the entire period of absence after the third day. If you have any doubt of the validity, or adequacy, you can request a physician at your base review the documentation and consult with the employees physician for added information.

Commander's Checklist

- When an employee requests leave, consider the following factors in determining whether to approve the request:
 - ☐ The workload requirements of the employee and his or her office. In some situations, it may be necessary to notify all employees that during a particular period, no leave requests will be approved.
 - ☐ The work force size needed to ensure efficient operation of the office. This is particularly important during times of the year when many employees wish to be off.
 - ☐ Prior leave approvals for other employees. If a leave request is denied because the employee cannot be spared, the supervisor should discuss alternate dates the leave can be approved.
- The leave year for civilians begins in January. Establish leave schedules for people early in the year to give them a chance to select a vacation time, permit scheduling around known TDYs, provide a tool for balancing leave against workload, and allow time to resolve scheduling conflicts. Except in an emergency, annual leave must be requested and approved in advance.
- Annual leave accrues based on years of service. An employee who works a 40-hour week accrues leave as follows:
 - ☐ Less than three years, four hours per pay period.
 - ☐ More than three years, less than 15 years, six hours per pay period.
 - ☐ More than 15 years, eight hours per pay period.

- Annual leave is charged in multiples of one-hour, or 15-minute increments depending on your location. Check with your CPF to see which applies. Normally, 240 hours can be carried over to a new leave year and any excess is “lost.” Encourage supervisors to ensure civilians have the opportunity to take all excess leave before the end of the year.
- Allow sick leave only under the following circumstances:
 - ☐ When the employee is incapacitated for duty due to sickness, injury, pregnancy, or vaccinations.
 - ☐ For medical, dental, or optical examinations or treatment. These absences must be requested in advance.
 - ☐ When the employee is exposed to a disease requiring quarantine or isolation as identified and required by a local health authorities. This absence must be supported by a health certificate regardless of duration.
 - ☐ To allow employees to participate in drug or alcohol counseling programs.

Excused absences are the one area the commander and supervisor have some latitude to allow absences without documentation or charge to leave.

- Excused absences from duty without loss of pay or charge to leave are administratively authorized for the following circumstances:
 - ☐ Time up to four hours for the donation of blood without compensation.
 - ☐ Time required for initial examination or emergency treatment resulting from an on-the-job injury. Additional time will be charged to sick leave or leave without pay if no sick leave is available.
 - ☐ Registering to vote or voting unless polls remain open to give adequate time after duty hours.
 - ☐ Tardiness of less than one hour for adequate reasons. This allows you to excuse infrequent unavoidable absences due to bad weather, emergencies, traffic, flat tires, or similar reasonable excuses.
- A word of caution and advice:
 - ☐ Make sure you understand the requirements and have an alternate approving authority who is also well versed.
 - ☐ Most local contracts also have parameters on leave and absences.
 - ☐ Sick leave abuse is one of the more common problems you can expect to encounter with civilian personnel management (a sample warning letter concerning sick leave abuse is attached).
 - ☐ Don't hesitate to ask your employee management relations specialist for help.

Sample Warning Letter Concerning Sick Abuse*

FROM: Supervisor/Commander Office Symbol

SUBJ: Sick Leave Usage

TO: Employees Name/Office Symbol

1. This letter concerns your sick leave record from ____ to _____. Official records indicate during that period you have used _____ hours of sick leave. Because of the extensive amount of sick leave you have used, as shown on the attached, it appears you may have abused your sick leave privileges.

2. Sick leave is used when you are physically incapacitated to do your job or for dental, optical, medical examination or treatment. When you are absent due to sickness, you should notify me each day of the absence. Requests for sick leave for appointments should be submitted to me prior to approval for taking the leave.

3. If your sick leave record does not show significant improvement, I will require a medical certificate to substantiate all future sick leave requests.

4. I am concerned with your future success on the job. If I can help you in any way, please feel free to discuss this with me.

SUPERVISOR'S SIGNATURE BLOCK

Receipt acknowledged and understood.

EMPLOYEE'S SIGNATURE AND DATE

*Prepare this letter in conjunction with the Employee Relations Section.

Management Evaluation Program

REF: AFR 40-5, *Evaluation of Personnel Management and Administration*

OPR: Commander, Civilian Personnel Flight

OCR: Civilian Personnel Flight

Personnel management and personnel administration

Personnel management and administration evaluations determine the adequacy of current operations, implement corrective measures when necessary, and plan operational improvements. Evaluations must be a joint effort between management and the civilian personnel flight staff. In-depth evaluations include sufficient discussions with employees and supervisors to gather information on attitudes and opinions, causes of discontent, and supervisory knowledge of personnel management practices.

Although personnel management and personnel administration are interrelated, the effective discharge of responsibilities are separate. Personnel management refers to the responsibilities and actions of managers and supervisors in dealing with their subordinates. It involves employee selection, basic human relations, job design, work discipline, and motivational tasks. Personnel administration refers to the civilian personnel flight's responsibility to administer civilian personnel programs, provide technical advice and guidance to managers, and effectively aid management in the discharge of their personnel management tasks.

Commander's Checklist

The management evaluation program is designed to:

- Ensure proper application of all legal, statutory, and regulatory requirements governing civilian personnel administration and employee entitlements.
- Enhance the personnel management capabilities of managers and supervisors.
- Enhance the personnel administration expertise of personnel specialists.
- Identify ineffective civilian personnel administration practices, policies, and procedures.
- Measure progress in correcting problems and achieving personnel management goals.
- Provide a systematic basis to identify strengths and weaknesses of personnel management administration activities.

Merit Promotion Program

REF: AFR 40-335, *The Merit Promotion Program*

OPR: Commander, Civilian Personnel Flight

OCR: Supervisor

Air Force promotion policy

Air Force promotion policy is based on strict compliance with merit principles. A sound promotion program, fully supported and properly administered by supervisors and employees of all levels, is essential to the staffing of an effective and highly motivated civilian work force. This program is designed to ensure that employees who perform well and have potential for the next higher grade are referred for promotion.

Promotion to higher level positions and changes to positions with promotion potential are normally effected on a competitive basis. The detailed procedures established as guidelines are designed to ensure that selections are not based on preferential treatment or other nonmerit factors. The following aims and principles form the basis of the merit promotion system.

Commander's Checklist

- The program is directed toward:
 - ☐ Accomplishing mission goals by staffing positions with high-quality employees.
 - ☐ Providing career opportunities for employees and making sure that all employees are fully informed of these opportunities.
 - ☐ Making sure management is aware of high-quality employees who have the capacity to perform in more responsible assignments.
 - ☐ Encouraging employees to be mobile in the interest of broadening their experiences and increasing their qualifications.
 - ☐ Making sure employees are placed in positions for which they are best qualified.
 - ☐ Encouraging employees to improve their performance and develop their knowledge, skills, and abilities.
- All employees within a designated area of consideration who meet the minimum qualifications standards, and any legal or regulatory requirements imposed by the Office of Personnel Management (OPM) are considered for promotion.
 - ☐ Areas of consideration within which employees are identified to compete for advancement are established and adjusted, as necessary, to provide management with an adequate number of high quality employees from which to choose and to provide employees with adequate opportunities for promotion.

*Identification,
evaluation, and
interviewing*

- ☐ Appropriate job-related criteria are applied with fairness in evaluating promotion candidates to differentiate among their qualifications and to identify those best qualified for advancement.
 - ☐ Selections must be made without discrimination for any nonmerit reason and without favoritism based on personal relationships or patronage.
 - ☐ Consideration may be given to candidates from outside the Air Force.
 - ☐ Consideration is given to input from employees, employee groups, and recognized labor organizations in developing and establishing merit promotion procedures.
 - ☐ Promotions and placements into positions with known promotion potential are usually competitive. Promotions without competitions are authorized with due consideration to recognized merit principles.
 - ☐ Employees are kept informed about the promotion program, the provisions and procedures for promotion plans affecting them, eligibility requirements, advancement opportunities, and how to take advantage of these opportunities.
- Each activity assigned a civilian personnel office must develop and publish a promotion plan for the positions serviced by that office.
 - Positions not included in the plan are those covered by a DOD or Headquarters USAF career management program.
 - Promotion evaluation pattern (PEP) is an objective statement of position requirements against which employees are evaluated for promotion.
 - ☐ PEP is developed by a job analysis whereby essential knowledge, skills, and abilities to the position are identified.
 - ☐ PEP states the requirements for basic eligibility in the screening process, evaluations based on applicable ranking factors, and final relative ranking.
 - Employees who meet basic eligibility requirements are rank ordered by the civilian personnel office based on ranking criteria.
 - The civilian performance and promotional appraisal system are used for ranking employees under merit promotion system.
 - The supervisor or a board interviews qualified applicants, selects best candidates for position, and informs those interviewed of final selection.
 - ☐ Air Force policy does not require an interview be conducted.
 - ☐ Local plans or negotiated agreements should be consulted to determine appropriate requirements.
 - ☐ If interviews are used, they are subject to same validation requirements as other steps in selection process.

Performance Management Program

REF: AFI 36-1001, *Managing the Civilian Performance Program*

OPR: Commander, Supervisor

OCR: Civilian, Personnel Flight

*The performance
management
program*

Appraising performance and maintaining discipline is a systematic process by which commanders, managers, and supervisors integrate the planning, assigning, and executing of work with civilian personnel performance appraisals, pay, awards, promotion, and other systems.

Each employees supervisor should periodically evaluate work performance according to performance standards developed for the job elements assigned to that employee.

Commander's Checklist

- The performance elements used in performance evaluation are identified as critical and noncritical.
 - ☐ A critical element is one that is so important that performance below the minimum standard requires remedial action and a denial of a within grade increase.
 - ☐ A noncritical element is one that is not critical to the success of the job.
- Each performance plan must contain at least four elements, three of which must be critical elements.
 - ☐ Performance standards developed from these elements should be measurable, observable, exceedable, and reasonable.
 - ☐ These standards show quality, quantity, and timeliness of work expected.
- The employees overall performance is observed and rated with respect to each performance element. The overall rating scale includes the following:
 - ☐ Superior. Employee exceeds all of the elements of the performance plan.
 - ☐ Excellent. Employee exceeds more than half of the critical elements, and meets all other elements.
 - ☐ Fully Successful. Employee meets the requirements of all the elements of the performance plan.
 - ☐ Minimally Acceptable. Employee meets the performance requirements of all the critical elements of the performance plan.
 - ☐ Unacceptable. Employee does not meet the requirements of one or more critical elements of the performance plan.

- Civilian personnel may be recognized for superior performance by granting cash awards. There are three major cash awards:
 - ☐ Quality step increases (QSI) are given only to General Schedule employees, and only in conjunction with the performance appraisal cycle. This award is an increase in pay step without interrupting the waiting period for the next step.
 - ☐ Performance awards may be given to any employee (performance must be rated at Satisfactory or better), but must be given in conjunction with the performance appraisal. The award is a one-time payment at a percentage of annual salary.
 - ☐ Notable Achievement Award may be given to any employee at any time. It is based on exemplary acts, services, or performance that is not tied to the performance rating cycle. Nominations must be submitted within 30 days after the time period for which the award is recommended.

Position Classification and Descriptions

REF: AFR 40-511, *Position Classification*; AFR 40-512, *Classification Appeals*

OPR: Commander, Supervisor

OCR: Civilian Personnel Flight

Purpose

The purpose of position classification is to allocate a civilian position to a pay plan or system, occupational series, grade, and title. The authority to classify civilian positions is the responsibility of the director of Office of Personnel Management (OPM). This authority is delegated to the wing commander, who in turn redelegates to the civilian personnel flight officer, and position classification specialists who perform the actual classification of civilian positions on behalf of the commander.

AF Form 1378, Civilian Personnel Position Description, is the key instrument in classifying a position and should include principle duties, responsibilities, and relationships of a position.

Commander's Checklist

- The civilian personnel classification program:
 - ☐ Supports the principle of equal pay for substantially equal work through proper and timely classifications of positions.
 - ☐ Provide management with advisory services to make the most effective use of personnel resources.
 - ☐ Requires active supervisory participation in the classification process.
 - ☐ Promotes economical position structuring and grading consistent with the principles of position management.

- ☐ Requires that all classification processes be carried out in such a manner as to minimize administrative costs.
- The Air Force has two major categories of appropriated fund positions:
 - ☐ General schedule (GS) position salary rates set by Congress for worldwide application on principle of equal pay for equal work. Various classes of GS positions are defined in standards by kind of work, level of difficulty and responsibility, and knowledge required to perform work.
 - ☐ Federal wage system (FWS) positions are those whose personnel perform work in a recognized trade or craft, or unskilled, semiskilled, or skilled manual labor occupation. Positions include supervisory positions that have trade, craft, or labor experience and knowledge as the chief requirements.
- Classification specialists review assigned duties and responsibilities for conformance with the Unit Manning Document (UMD) authorization and other established positions, and they make a comparative analysis of those duties and responsibilities with appropriate classification standards as published by OPM.
 - ☐ The classification assigned (title, series, and grade) then establishes the pay range for any prospective incumbent.
Note: The *position* or *job* is classified, not the incumbent.
 - ☐ Once a position is established, it is subject to annual, biannual or other reviews.
- After the position description is analyzed by the classification specialist, it is forwarded to the immediate supervisor for review and certification.
 - ☐ Review and certification deals with statutory requirements relating to appointment and payment of public funds.
 - ☐ Supervisor must provide a copy of the position description to the incumbent and obtain acknowledgment from the employee that he or she accepts and understands what is required in respect to duties and responsibilities listed in the description.
- Employees who are dissatisfied with the classification of their positions may appeal the classification decision. A dispute between the employee and the supervisor concerning the description of duties that have been assigned to the position is not a classification appeal. Matters involving the accuracy of position descriptions are resolved through negotiated grievance procedures.
- Disputes between the supervisor and classifier are resolved under procedures covered in AFR 40-511. Prior to filing a formal appeal, every effort must be made to resolve the problem through informal procedures. Both the supervisor and classifier have a responsibility to explain the classification decision to the employee.

Sexual Harassment

REF: AFI 36-205* and AFR 40-713, *Equal Employment Opportunity (EEO) and Affirmative Employment Programs (AEP)*; AFI 36-1201 and AFR 40-1613, *Discrimination Complaints*; Local Union Contract

OPR: Commander, Supervisor, Civilian Personnel Flight,
Chief, Equal Employment Opportunity

The problem of sexual harassment

Sexual harassment in the workplace must be recognized as a very serious problem. A harmonious, nondiscriminatory work environment, free from the coercive maneuvers of sexual harassment, means higher morale and productivity.

The Equal Employment Opportunity Commission (EEOC) handles complaints of sexual harassment because it has determined harassment to be a particular type of sex discrimination. In the EEOC guidelines, Section 1604.411 deals specifically with sexual harassment and has been adopted without modification by the Air Force:

Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitutes sexual harassment when (1) submission to such conduct is made either explicitly or implicitly a term or condition of employment, (2) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual, or (3) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

Federal employees are responsible for maintaining high standards of honesty, integrity, impartiality, and conduct. At the same time, all employees are entitled to a work environment which is free from discriminatory practices. Both supervisors and employees have responsibilities to ensure the existence of such an environment. In regard to sexual harassment, supervisors have the responsibility to communicate Air Force policy; ensure employees are aware of their rights, responsibilities, and avenues of corrective action; and deal firmly and fairly with offenders when sexual harassment occurs. Employees have the responsibility to act in a professional manner on the job, respond assertively to offensive or inappropriate behavior, and be informed about their personal rights and avenues of redress.

Guidelines for determining sexual harassment

The guidelines clearly indicate sexual harassment is a job-related problem. It occurs when inappropriate sexual behavior is made a condition of employment. Most important, inappropriate sexual behavior in the workplace is sexual harassment when it is seen by the targeted individual as offensive or threatening. It means that it is not the harasser who decides what constitutes sexual harassment, but the person on the receiving end who makes that determination.

* Pending publication.

Commander's Checklist

- Ways for commanders to prevent sexual harassment:
 - ☐ Communicate the policy that sexual harassment will not be condoned or tolerated.
 - ☐ Establish the fact that complaints will be taken seriously and violators will be subject to disciplinary action.
 - ☐ Emphasize that each person is accountable for their behavior.
 - ☐ Ensure that employees are aware of their personal rights and responsibilities, as well as their avenues for corrective action.
 - ☐ Deal with warning signs. Take action when unprofessional behavior is exhibited in the workplace; it could lead to more serious problems if not corrected.
- Ways for commanders to correct sexual harassment:
 - ☐ Take immediate corrective action.
 - ☐ Meet individually or as a group with the people involved to determine the nature of the harassing behavior.
 - ☐ Reiterate policy, bring a halt to the offensive or inappropriate behavior, and take necessary disciplinary action.

Standard of Conduct and Disciplinary Actions for Unacceptable Performance

REF: AFI 36-704 and AFR 40-750, *Discipline and Adverse Actions*, Local Union Contract

OPR: Commander; Supervisor

OCR: Civilian Personnel Flight, Staff Judge Advocate

*Commanders'
and supervisors'
responsibilities*

Commanders must be aware of standards of conduct, then follow regulations in administering fair, impartial, uniform, and proper adverse actions and disciplinary programs when standards are not met. Disciplinary actions for unacceptable performance can range from a verbal counseling to removal for cause. Documentation of disciplinary actions is critical regardless of severity. As inappropriate behavior continues or degrades, consider more severe disciplinary actions after coordination with the Employee Relations Section at CPF. AFI 36-704 includes suggested penalties for infractions you may encounter and procedural protections for disciplinary actions and adverse actions. Commanders and supervisors must observe employee rights to union representation.

Commander's Checklist

- Commanders and supervisors at all levels should be aware of the following selected standards of conduct:
 - ☐ Employees are obligated to follow orders and instructions.

- ☐ Employees are obligated to furnish testimony or information to authorized representatives.
- ☐ Employees are authorized to participate in public or civic activities to support or oppose causes, policies, or programs of the government as long as participation does not interfere with mission accomplishment, bring discredit to the Air Force, or interfere with the duty performance of other employees.
- ☐ Employees are expected to discharge their financial obligations in a timely manner. The Air Force cannot divert any part of an employee's salary to pay a private debt except to enforce the legal obligations of providing child support or making alimony payments.
- ☐ Employees are obligated to be present for duty unless there is authorization for absence.
- ☐ Employees are expected to comply with reasonable apparel and grooming standards that derive from considerations of health, safety, and type of position occupied.
- Disciplinary actions you can take against civilian employees include oral admonishments, reprimands, and suspensions.
 - ☐ Oral admonishments:
 - ☐ Least formal and least severe punishment.
 - ☐ Includes only an interview between the supervisor and employee.
 - ☐ Supervisor annotates AF Form 971 after the admonishment.
 - ☐ Reprimand:
 - ☐ Given for repeated lesser infractions to improve conduct.
 - ☐ Considered a severe action by civilians.
 - ☐ Given as a letter and stays in official record for two years.
 - ☐ Suspension:
 - ☐ Places the employee involuntarily in a nonpay, nonduty status.
 - ☐ Very severe disciplinary action because of financial impact.
 - ☐ Last step in process before removal, and cannot exceed 30 days.
 - ☐ Removal for cause procedures vary depending upon whether the employee is working in the initial probationary period or is a career employee.
 - ☐ Probationary period employee:
 - ☐ Begin corrective actions early in the one-year probationary period.
 - ☐ Work with CPF if an employee fails to improve to an acceptable level.
 - ☐ Remove the employee if performance does not improve.
 - ☐ Career employee:
 - ☐ Removal for cause is the most severe disciplinary action.

- ☐ Similar to AFR 39-10 procedures except you work with CPF.
- ☐ Begin actions prior to end of a rating period.
- ☐ Define performance deficiencies and course of action for improvement.
- ☐ Maintain complete record demonstrating opportunities given to meet performance requirements.
- ☐ Provide 30-day notice of demotion or termination identifying critical element(s) in question.
- ☐ Reassign, demote, or remove the employee as appropriate.

Supervision of Civilian Personnel

REF: AFR 40-293. *Supervisors Records*, AFI 36-102, *Basic Authority and Responsibility for Civilian Personnel Management and Administration*

OPR: Supervisor

OCR: Civilian Personnel Flight

Commanders' and supervisors' responsibilities

The supervision of civilian employees requires the same basic principles as the supervision of military personnel. However, since different regulations and laws govern civilian personnel, commanders and supervisors must understand the special procedures for filling positions, promoting, and disciplining personnel. As a minimum, management must give supervisors authority and responsibility to:

Commander's Checklist

- Select employees and ensure their proper placement and use.
- Recommend employees for promotion and reassignment.
- Assign duties and certify the accuracy of position description/core documents.
- Establish work standards and evaluate employee performance and conduct.
- Initiate corrective action when an employees performance or conduct is not acceptable.
- Recognize superior performance.
- Identify training needs: conduct on-the-job training; and evaluate training results.
- Resolve complaints and grievances and maintain discipline.
- Make personnel management decisions that control costs.
- These procedures and responsibilities must be documented and records must be maintained to be used as management tools.
- Air Force policy is to keep and maintain the following records at the lowest supervisory level having personnel management responsibility:

- ☐ Position descriptions
- ☐ Training records
- ☐ Leave schedules
- ☐ Debt letters
- ☐ File of pending actions
- ☐ Employee work plans
- ☐ Employee appraisals
- ☐ Supervisor's employment brief
- Supervisor's Employee Brief:
 - ☐ Contains vital employment information.
 - ☐ Information is for supervisor's use, but employee has a right to review it.
 - ☐ Most important use is for supervisor to compile a record of employee's conduct, performance evaluations, reprimands, commendations, debts, and complaints that may be useful or necessary to make decisions and work assignments.
 - ☐ The brief is sent from the losing to the gaining supervisor when employee transfers to another position at the same installation.
 - ☐ When a supervisor change takes place, the brief is left for the new supervisor.

Training and Development (Civilians)

REF: AFI 36-401, *Training and Development*; Local Union Contract

OPR: Commander, Civilian Personnel Flight

Air Force policy

It is Air Force policy to provide the training necessary to ensure the maximum efficiency of civilian employees in the performance of their official duties. The commander should ensure full opportunity to participate in training and development to every employee who needs training and meets standards and requirements as prescribed by law, executive order, or regulation regardless of race, color, religion, sex, national origin, age, or other factors unrelated to the need for training.

Commanders's Checklist

- Each CPF develops a plan to determine, document, and report employee training needs, including coordinated efforts between management and the CPF. General provisions of such a plan include the following:
 - ☐ Use of performance appraisals for determining training needs for each assigned civilian employee.

- ☐ The supervisor submits the required DD Forms 1556 to the CPF indicating type of formal training needed based on skills and knowledge required compared to capabilities currently possessed by civilian employees.
- ☐ The CPF evaluates the request to determine if training is needed or if the requirement can be met in another manner. Following an analysis of training needs, the CPF establishes priorities for training needs and determines actions required to meet them.



Base Agencies

This is our special duty, that if anyone specially needs our help, we should give him such help to our utmost power.

Cicero

This chapter surveys services provided locally on most Air Force bases. These services include traditional staff agencies such as the chaplain and transportation and miscellaneous services such as those provided by the housing management and area defense counsel. The agencies and services are arranged in alphabetical order and are described briefly.

As a commander or supervisor, you should get to know the key people in each of these agencies and promote friendly relations with them. You will find that a kind word spoken at the right time and in the right place often gains more support than a complaint. The real payoff will come when you are pressed to solve an important problem or take action without delay.

American Red Cross

Personal emergencies

The American Red Cross provides help in personal emergencies. The Red Cross supports and supplements Air Force activities concerned with the morale, health, and welfare of armed forces personnel and their families. Representatives of the Red Cross act as a communication link between military members and their families in an emergency when direct communication is not possible. They provide information about emergency leave and extensions of such leave. The Red Cross also obtains information about members of families when they cannot be located or there is concern about their welfare.

Financial assistance

When an active duty military member must make a sudden trip home because of an emergency in the immediate family, the Red Cross will provide financial assistance to help defray travel expenses on a need basis once emergency leave is granted by the unit. The Red Cross also gives financial aid for basic maintenance (food and shelter) when military pay and allowances are not received because of unforeseen circumstances.

Area Defense Counsel

<i>Purpose of the ADC</i>	The area defense counsel (ADC) requires your support to ensure that the military justice system is not only fair but perceived as fair. The ADC program was established in 1974 to improve the credibility of the military justice system. The ADC for your installation is assigned to the USAF judiciary and reports directly to the regional chief circuit defense counsel. This independence allows the ADC to decide issues based on the facts and the applicable law without fear of command interference or reprisal. Independence is critical to maintaining the reputation for quality service the ADC program has earned.
<i>ADC services provided</i>	The attorney who serves as the ADC is an experienced judge advocate, selected from the wing or a comparable legal office, who possesses strong advocacy and managerial skills. The ADC is assisted by a qualified defense paralegal. Together they provide defense services to active duty Air Force members who face military justice or adverse administrative actions. These services include all phases of the courts-martial process, action under Article 15 of the Uniform Code of Military Justice (UCMJ), and administrative separations or demotions.
<i>Commander's responsibilities</i>	It is important for you as a new commander to get out and meet the ADC and to understand the ADC's function. At some point, a member of your organization will need to speak with the ADC. You should encourage him or her to consult the ADC and should have the phone number on hand for referrals. The quality of representation the member receives during his or her association with the ADC can provide long-lasting benefits to the member and to the Air Force.

Civilian Personnel Flight

<i>CPO services</i>	The civilian personnel officer (CPO) directs the activities of the civilian personnel flight (CPF). The commander relies on the CPO to execute the civilian personnel program according to law, executive orders, regulations, and established standards; more precisely, however, the CPO influences rather than controls the program. The CPO provides staff leadership in developing and implementing programs, provides civilian personnel services for employees assigned to the installation, and provides professional advice and assistance to management officials. In providing these services, the CPF acts carefully to ensure that management's personnel responsibilities are not abrogated.
<i>Functions and responsibilities of CPF</i>	The basic functions and responsibilities of the CPF vary. Every on-site CPF, regardless of size, provides advice and assistance to management officials and employees. Satellite civilian personnel flights (SCPF) service less than 800 employees and receive support from consolidated civilian personnel flights (CCPF). Typically, CCPFs service an employee population of 2,500 or more. There are a few activity civilian personnel flights (ACPF) that service 800 to 2,500 employees.
<i>CPF functions</i>	The major functions of the CPF include labor and employee/management relations, affirmative employment, position classification, personnel systems, and training and development. The labor and employee/management relations function is responsible for, among other things,

the performance evaluation program, appeals and grievances, performance awards, labor relations, benefits and entitlements, disciplinary programs, and alcohol and drug abuse programs. Some of the affirmative employment programs include equal employment opportunity, recruitment, the merit promotion program, reductions in force, priority placement, and security requirements. The position classification function is principally responsible for position classification, classification appeals, job description preparation, and resource management. Personnel systems provides data support to the CPF staff and its customers. Training and development activities include executive development, special management training, apprentice and internship training, and work study/self-development.

*Commanders
and CPF*

The CPO and the CPF staff provide staff leadership in developing and implementing programs on behalf of the commander. Supervisors should consult with the CPO and CPF staff when their proposed actions do not clearly fall within the provisions of law, rule, regulation, or local policy.

For details of specific services provided and for organization charts, consult Air Force Instruction (AFI) 36-104, *Operating the Civilian Personnel Flight*.

Chaplain

*Spiritual and
counseling needs*

Base chaplains help you fulfill your responsibility for the spiritual and moral welfare of the members of your command. They administer the wing religious programs, provide religious ministry to military personnel and their dependents, and offer counseling. Although specific information obtained during a counseling interview is privileged, a chaplain can be an invaluable resource for you in evaluating and understanding the organizational, institutional, and individual dynamics often involved in the general problems common to military life.

Total confidentiality

Commanders should refer to the chaplain those airmen and officers who encounter any type of difficulty with personal or interpersonal problems, regardless of religious preference. The individual's right of confidentiality will be upheld, and counseling will not become part of public discussion or a matter of public record. The chaplain provides the only agency on base that offers *total confidentiality*. Since chaplains represent minimal threat as figures of authority, they can frequently facilitate a more pleasant environment for the commander and the individuals involved.

*Key role of
commanders*

The squadron commander is the key to making the chaplain an integral part of the unit. The commander can do this by inviting the chaplain to commander's call and squadron social functions. Social functions offer a nonthreatening environment that puts participants at ease and allows your unit members and spouses more opportunities to get to know this valuable support officer.

Civil Engineering

*Facilities
maintenance*

The base civil engineer (BCE) provides essential facility and utility services to support the mission. Civil engineering approves and either contracts for or performs maintenance, repair, and minor construction on

base facilities. Civil engineering provides advice on the cost and feasibility of self-help work. Remember, you must have an approved work order before starting self-help work.

*Base long-range
plan*

Civil engineers are also the focal point for space allocation and use. Additionally, they are responsible for the base utility conservation program, a comprehensive program to conserve all forms of energy. Other services include sanitation, entomology, pollution abatement, and aircraft fire and crash rescue.

Civil engineering also authors the base's long-range facilities plan. Any unit's need for a new facility must be approved through a budgeting process monitored by this organization.

Communications

C⁴ systems

The communications squadron acquires, manages, operates, and maintains command, control, communications, and computer (C⁴) systems for the base. This includes telephones, land mobile radios, public address systems, personal computers, switchboard, visual information services, local area networks, fiber and cable installation, message center, air traffic control and landing systems, base telephone switch, cellular telephones, beepers, data processing, navigational aids, meteorological and weather systems, and management of all communications projects.

*Vital role of the
communications
squadron*

The communications squadron is aligned according to the objective communications squadron structure, consisting of three flights: the systems flight, the support flight, and the plans and implementation flight.

The systems flight is the maintenance flight and handles the following:

- Job control

- Systems support, material control

- Radar, meteorological navigation (METNAV), and radios

- Land mobile radios, cellular phones, and frequency management

- Secure communications, telephone switchboard

- Inside and outside telephone plants and cable maintenance

The support flight personnel are the small computer and visual information experts. They handle the following:

- Plans and scheduling, customer service, and performance analysis

- C⁴ security

- Visual information

- Base network control center (which provides local area network management, small computer technical support and training, data processing center, and telecommunications center).

The plans and implementation flight personnel are the project management experts. They handle/manage the following:

- Architecture and integration

- Plans/agreements

- Contracting/financial management

- Base telephone billing

- Project management for all communications/military construction projects involving communication

- New requirements processing

Today's communication squadron plays a vital, indispensable role on every base. Without them, communications cease; without communication, the mission stops.

Comptroller

<i>Wing support</i>	The comptroller provides base-level financial support to the wing. This support includes providing financial management advice and guidance to the commander and staff at all levels; overseeing financial services' customer support and accounting liaison activities; providing oversight for morale, welfare, and recreation (MWR) financial operations; collecting and disbursing government funds; and budgeting, managing, accounting, and reporting for all appropriated funds and resources of the wing.
<i>Commander's principal financial advisor</i>	The comptroller serves as the principal financial advisor to the commander and staff. The comptroller directs and controls operations and activities of the financial management function, provides oversight and direction for financial management activities of the wing, and provides oversight of MWR financial and accounting operations and internal controls. The financial management function is divided into two areas—financial services office and financial management analysis.
<i>Financial services office</i>	The financial services office oversees financial services, military pay, travel pay, accounting liaison, civilian pay liaison, and cashier operations. Financial services provides direct customer service to wing personnel and acts as liaison between wing organizations and activities and the Defense Finance and Accounting Service (DFAS).
<i>Military pay</i>	Military pay provides customer service for wing personnel such as making casual and emergency payments, processing collections, verifying entitlements, in- and out-processing of assigned personnel, resolving pay inquiries and account problems, processing leave transactions, and inputting merged accountability fund transactions.
<i>Travel pay</i>	Travel pay provides customer service for wing personnel such as computing cash travel advances, assisting wing resource managers in estimating costs of TDY trips, answering travelers' questions and inquiries, processing collections, assisting in claims submissions, and inputting merged accountability fund transactions.
<i>Accounting</i>	Accounting liaison controls and certifies availability of appropriated funds for anticipated wing requirements, updates accounts receivable records for cash/checks received at the base for collection, updates/adjusts organization fund targets in the base supply and base accounting systems, assists DFAS in processing accounting interfund transactions between other federal agencies and wing organizations, updates base supplies materiel acquisition control record with fund targets provided by higher headquarters, and interfaces between wing and DFAS in the reconciliation of accounting records and the production of financial management reports and information retrievals.
<i>Civilian pay</i>	Civilian pay liaison provides customer service to wing civilian employees; collects and consolidates wing time and attendance reports and forwards them to the appropriate payroll office for processing; assists civilian employees in preparing and processing claims and indebtedness transactions; interfaces between the servicing civilian personnel office, the

base budget office, and the payroll office in production of civilian pay cost reports; and then reconciles and updates pay and leave records for wing civilian employees.

Cashier operations

Cashier operations provides cash disbursement and collection services for wing military and civilian personnel; makes appropriate input to automated accounting and control systems; safeguards cash and negotiable instruments; maintains cash accountability control records; services base organization change fund and imprest fund accounts; and supports peacetime mobility/deployment/contingency operations.

Budget

Financial management analysis provides guidance and assists wing commanders and other financial managers in developing, executing, and analyzing financial operating budgets and fund allotments/allocations; performs economic analyses for capital budget decisions; evaluates lease-versus-buy financial decisions; conducts the wing resource information program; and provides technical and analytical financial services to wing organizations and activities.

Contracting

*Obligation of
government funds*

The contracting office provides local purchase support as authorized by law and regulation for the assigned base mission. Local purchase authorization short-circuits the centralized supply/service cycle, allowing local acquisition of needed parts and services. Commanders are involved because in performing individual missions their units generate requirements that will require local purchase support. Because each base has extensive service contracting for many of its support functions, commanders must be aware of their responsibilities relative to contracting.

*Purchasing supplies
or services*

The contracting office does not generate requirements for supplies or services, nor does it write the specifications or work statements. Commanders determine needed supplies or services and submit requests through appropriate channels. If the needed supply or service must be a particular brand or source, the commander must provide a "sole source justification" explaining why another brand name item will not suffice. Commanders must plan their requirements, allowing sufficient time for the supply system to provide the item, civil engineering to provide the service or the contracts function to accomplish all actions required by law and regulation—advertising time, bid time, bid analysis time, and contractor performance time. Deficiencies of any kind only serve to delay the time the item or service is available to the requiring organization.

Contracted functions

Many base support functions are contracted (food service, janitorial services, refueling/defueling services, housing administration and maintenance, refuse collection and disposal, and basewide operations and maintenance services). Commanders will often observe contractor performance—for example, janitorial services for common-use areas in the barracks. By law, only "duly appointed" contracting officers are authorized to obligate government funds. Should a commander direct a contractor to do something either directly or by suggestion that the contractor construes to be directive, the commander may be held responsible monetarily unless the order is ratified (made legal) by the major command (MAJCOM) commander. The commander should contact the base contracting officer or

quality assurance evaluator (QAE) when there is poor performance or nonperformance by a contractor. The QAE is a representative of the contracting officer who monitors performance for the government. Unit members may be appointed QAEs to monitor contracts in their area of expertise.

Contract repair services

The contract repair services branch is the only contracting function that commanders usually deal with directly. For supplies and services requirements, commanders send requisitions through base supply or civil engineering, respectively. However, for repair of furniture, office machines and equipment, and other items authorized for local repair, the commander will process an AF Form 9, Request for Purchase, directly to contract maintenance.

Education Services Office

Education is the key to better performance

The education services office provides information to Air Force personnel about the education services program and the opportunities that are available. Whenever possible, commanders should provide maximum motivational guidance for participation in off-duty education. They should also arrange for an education services representative to speak periodically at commander's call.

Guidance counselors

Education services employs professional education guidance counselors who are required to hold the same academic credentials as college guidance counselors. These counselors can provide information regarding academic programs, Bootstrap TDYs, commissioning programs, testing opportunities, financial aid, and postmilitary career opportunities.

On-base education opportunities

There are numerous on-base educational opportunities. Course work is offered from the development level through the graduate level. Degrees are offered to meet the needs of the Air Force, the installation, and the desires of the military population. Every effort is made to offer course work during the time frames that are most conducive for military members to participate and complete their degree requirements.

Financial aid

Various forms of financial aid may be available for the active duty member. These include tuition assistance and in-service Veterans Administration (VA) educational benefits and grants. It is very important for the military member to talk with a representative of the education services office to determine what benefits are available and take advantage of the benefits that are in the service member's best interest.

Testing

A variety of tests are available through the base education services office. These tests include the College Level Examination Program (CLEP), American College Test (ACT), Scholastic Aptitude Test (SAT), Graduate Record Exam (GRE), and the National Teachers Exam (NTE). These tests are normally free to active duty military members. The testing is done through contract testing, in most cases, and appointments are necessary since the contract testing person is called in to test based on scheduled appointments. It is important for the student to talk with a guidance counselor for test selection and preparation. Students may earn up to 30 hours of transferable credit through testing.

CCAF

The Community College of the Air Force (CCAF) offers Air Force members an opportunity to earn an associate of science degree in their

AFSC. CCAF is a regionally accredited college that has the authority to award college credit for tech schools, skill levels, and PME. Degrees are earned by coupling the credit earned through the military with civilian courses and/or testing. With the assistance of a guidance counselor, many students complete their CCAF degrees while taking course work that applies toward their baccalaureate degree goal.

Family Support Center

*Focal point for
family matters*

The family support center is the primary service organization and focal point for family matters. The purpose of the family support center is to enhance Air Force families' quality of life. The family support center's mission is to help commanders meet their responsibilities for the health and welfare of military families. The Air Force realizes there is a direct correlation between a member's ability to successfully accomplish a mission and the quality of life which his or her family experiences.

*Positive family
environment*

Family support centers provide assistance to many personnel. Active duty military members and their families, Guard and Reserve and their family members when on active duty, retired military personnel and their families, DOD civilians on overseas bases or where authorized by the commander, and single members are all eligible for assistance.

Several programs are available through the family support center to promote a positive family environment. The personal financial management program offers information, education, and personal financial counseling. The Air Force Aid Society is a nonprofit organization that helps the Air Force take care of its own in emergencies through interest-free loans or grants for basic needs, such as money to purchase food, car repair, rent, utilities, and medical expenses not covered by the Civilian Health and Medical Program of the Uniformed Services (CHAMPUS). The Air Force Aid Society also offers loans and grants for education. The career focus program helps Air Force spouses enhance their marketability when searching for a job. With increased access to employment opportunities and information, the career focus program will help you get a head start on a new career. The volunteer resource program functions as the military community's resource for basewide volunteer activity. The relocation assistance program helps single and married Air Force members and their families prepare for relocation and assistance upon arrival to a new base. The transition assistance management program helps members separating or retiring from the Air Force by providing transition counseling, career planning, development of job search skills, and access to employment opportunities and information. Family life education offers a variety of prevention education programs including parent education, stress management, and crisis counseling services to those needing assistance.

Relocation help

The family services program (FSP) is a volunteer-manned program designed to assist Air Force members and their families with the challenges associated with military life, particularly in the area of relocation. The family services' prime objective is to minimize the problems that occur during relocation by providing information and services to members and families. Their function is primarily to ease the

transition both on- and off-base for people being transferred. They maintain stocks of dishes, pots, pans, foam mattresses, and other essentials to be loaned to those awaiting assignment to government quarters and whose household goods have not yet arrived. Each Air Force installation with a population of 500 or more may operate an FSP as part of its family support center. Family services is your friendly one-stop place for a variety of information and assistance.

Loan facilities

The FSP also maintains information concerning the loan facilities at every major Air Force installation in the world. You can ensure maximum use of this valuable program by including mention of it in your orientation briefing and by occasional announcement at commander's call. The family support center director is the office of primary responsibility (OPR) for the family services program.

Housing Management Flight

Fair and equitable housing

The housing management flight provides support to the commander on all aspects of housing, both family housing and unaccompanied housing (dormitories). The mission of the housing flight is to provide adequate government housing to all eligible personnel based on availability and to assist personnel with nondiscriminatory community housing. The most important service provided by housing management to commanders on base is the assurance that all military personnel will be equitably provided the best housing available in a professional manner. The housing flight consists of the housing assistance section, housing facilities section, and the furnishings section.

Government housing

The housing assistance section provides customer service support that includes housing applications, initial housing briefings, waiting lists, assignment/termination of government housing, and stop/start of basic allowance for quarters (BAQ) and variable housing allowance. This section also assists eligible personnel with processing and information on new basic assignments. The housing referral office is a part of this section and provides military personnel with personalized service to assist them in locating suitable nondiscriminatory housing available for rent or sale; provides information concerning such community facilities as schools, churches, and public transportation; and counsels personnel on eligibility for Federal Housing Administration (FHA) and VA loans. Investigation and mediation of complaints are handled by the housing referral office. Serious complaints are reported to the installation commander for further investigation.

Housing maintenance

The housing facilities section is responsible for monitoring the housing maintenance and repair program, which includes day-to-day maintenance and repair of housing, emergency repairs, and all major/minor renovation projects for family housing. Personnel in this section conduct key control, pre-out inspections, and all in/out inspections of family housing.

Dormitory furnishings

The furnishings section provides the commander with acquisition and disposition support for all dormitory furnishings through the Air Force supply system and works with the commander on budgeting for and executing the furnishings program.

Medical

Objective medical group

You will be deeply concerned with medical support for members of your command and their dependents. Air Force medical facilities are structured around the new objective medical group concept, which may consist of various squadrons, according to the size of the facility. The primary mission of the medical service is to provide the Air Force medical support necessary to maintain the highest possible degree of combat readiness and effectiveness for the Air Force. This mission includes tactical medical support, medical and dental care, flight/missile medicine, aerospace physiology, and environmental services for all eligible personnel in satellite, tenant, or assigned units.

Medical organization

The US Air Force military health services system is composed of medical centers, hospitals, clinics, and base medical facilities. Where medical resources are not available at the base level, the attending physician may obtain consultation services from a referral medical facility or transfer the patient to another military medical treatment facility where the required care is available.

Available medical care

Air Force members and their dependents may be authorized medical care from civilian sources. If medical care is beyond the base hospital's capability or cannot be obtained in a reasonable time, or if it is not cost effective to transfer the member to a military hospital or medical center, the active duty member may be referred to local civilian sources of medical care. Care may also be provided to dependents under CHAMPUS. The Tricare office is available to assist you with any questions ranging from medical benefits and eligibility to future health care implementation plans.

Physiological training program

The physiological training program familiarizes aircrew members with the physiological, physical, and psychological stresses of military aviation and prepares them to meet these stresses successfully.

Environmental health

Environmental health services are comprised of environmental medicine and bioenvironmental engineering designed to protect and promote the health of the total base community and to maintain surveillance over the effects of environmental quality.

Military Personnel Flight

Single manager of base-level personnel systems

For maximum economy, efficiency, and service, the military personnel flight (MPF) is the single manager of base-level personnel systems (BLPS) for all units and members being serviced, whether on base or geographically separated from the MPF. The mission of the MPF is to provide quality personnel support to commanders, Air Force members, and their family members through the administration of personnel programs. The MPF is composed of three sections: personnel systems and readiness, personnel relocation and employment, and customer support.

Readiness

The personnel systems and readiness section provides the functional link between the MPF, unit orderly rooms, and the personnel data system. This element also manages the base-level personnel concept-III (PCIII) system and the combat personnel control system (CPCS). Additionally, personnel in this element are responsible for all readiness related programs: the personnel portion of the status of resources and training system (SORTS) and mobility/contingency, exercise, or rotational procedures.

<i>Relocations</i>	The personnel relocations and employment section is responsible for assignment actions, processing separations, discharges, and retirement requests, classification actions, retraining, base manning, and administration of the survivor benefit program (SBP).
<i>Customer support</i>	The customer support section consists of the customer service and career enhancement elements. Customer service is the initial point of contact between the customer and other MPF work centers. This element is responsible for updating sponsor and family member personnel information, maintaining the unit personnel records group, and administering the casualty assistance program.
<i>OPR/EPR</i>	The career enhancement element serves as the base focal point for officer and enlisted performance reports, processes awards and decorations, and provides assistance to commanders on quality force issues.

Mobility Plans

<i>Deployment</i>	The mobility plans function is the primary advisor to the wing commander for deployment matters and is the installation focal point for the war reserve material (WRM) program. It develops and provides deployment support to process wing resources and to assist the Air National Guard/Air Force Reserve units. Taskings from JCS/Headquarters USAF are monitored and an installation deployment plan for all wing unit type codes (UTC) is developed by the mobility plans function. The mobility plans function negotiates, maintains, and updates all support agreements between base agencies and associate organizations. It is also responsible for the daily operations of the contingency operations/mobility planning and execution system (COMPES). This system updates the material and personal deployment data base for the wing.
-------------------	--

Office of Special Investigations

<i>Investigations</i>	The Air Force Office of Special Investigations (OSI) is responsible for investigations of espionage, sabotage, and subversion, counter-intelligence, and related investigative activities, major criminal matters, and internal security investigations. Within the Air Force, investigations of alleged major offenses committed against a person, personal property, or the US government or its property as defined by regulation or law and in accordance with jurisdictional agreement are conducted as requested by commanders. OSI assists commanders by preparing interim or final reports to keep them advised of trends, patterns, irregularities, and offenses as a means of maintaining the security of personnel and resources. OSI collects information of investigative and counterintelligence significance and information pertinent to the security of overseas US Air Force installations. It maintains liaison with and provides requested assistance to other US and foreign government agencies in law enforcement, intelligence, and counterintelligence. Distinguished visitor protective services for senior US Air Force officials, other US government officials, and foreign dignitaries are provided when requested by proper authority.
-----------------------	---

Public Affairs

The Air Force public affairs program operates in three areas: internal information, public information, and community relations.

Base newspaper

The internal information program is designed to give each member of the Air Force a better understanding of our government, the mission of the Air Force, the need for serving overseas, and the importance of harmonious relations with other countries. Information on such topics is given primarily through the base newspaper and commander's calls.

Public information

The purpose of the public information program is to give the public timely and accurate unclassified information about the Air Force. The principal means are speeches, statements, interviews, news and feature stories, and photographs.

Community relations

The third kind of information program, community relations, is designed to help win support for the base mission in the local community. The public affairs officer will advise you about such a program.

To get the most from the total public affairs program, remember the following:

1. Use the base and local newspapers to obtain publicity for your unit. Recognition is one of the best means for motivating your people.
2. You can guide the editorial content of the base newspaper to get across your particular topic.
3. Contact your public affairs officer before releasing any stories to the press. The public affairs officer certifies releasability of information and protects Air Force members from inadvertently violating security or policy requirements in official or unofficial releases.

Safety

The base safety office performs a host of safety functions. It manages the mishap-prevention program for the organizational commanders and advises all commanders, functional managers, and supervisors on safety requirements and concerns. The safety office manages the implementation of the Air Force occupational safety and health (AFOSH) programs. All mishap and hazard investigations and reporting, safety inspections of facilities and operations, and program assessments are conducted for commanders by the safety office. This office conducts safety classes and provides training and materials for all personnel including commanders, supervisors, safety monitors, motorcycle riders, and new arrivals and their dependents. It develops explosive site plans and approves explosive licenses. The safety office also maintains liaison with local and other governmental safety agencies.

Air Education and Training Command Pamphlet (AETCPAM) 91-1, *Squadron Commander's Safety Pamphlet*, provides squadron commanders insight and helpful hints for the planning and execution of their safety programs. These commanders must have a proactive safety program that will ensure that facilities, equipment, work areas, and work processes comply with established safety standards; that will implement an aggressive seatbelt-usage program; that will include safety as part of unit

self-assessments; and that will have other safety measures as listed in AETCPAM 91-1.

The safety of our people should be at the top of each commander's list of responsibilities. In fact, it should be everyone's responsibility. Gen Henry Viccellio, Jr., AETC commander, writes, "The preservation of our people and limited resources is obviously very important to everyone in command. . . . The Individual, the Environment, and the Supervisor must be in sync and ready to perform the mission at hand . . . if not, there's an accident waiting to happen." General Viccellio adds that "each individual must be 'Chief of Safety' at all levels."*

The bottom line of safety is that the commander must work with the base safety office to make his or her unit as safe as possible.

Security Police

Law enforcement

The security police squadron provides a range of police services to support commanders and to secure Air Force people, property, and weapon systems. Some of the duties performed by security police include entry control for the base, traffic and law enforcement, confinement, weapon system security, and combat arms training and maintenance. The security police squadron also provides unit security manager training to help commanders safeguard classified information and material through the information, personnel, and industrial security programs.

Security police organization

An objective security police squadron is divided into three flights and is normally commanded by a field grade officer who also serves as chief of security police for the installation.

Administration and reports

The administration and reports flight provides a planning function for the security police unit. It also provides pass and registration services for people and vehicles, various police reports and analysis of crime and other enforcement trends, and those information security training and management services cited above.

Training

The training and resources flight provides weapons and equipment for the squadron, administers unit training, acquires and manages the military working dog program, and provides small arms training on various weapons for everyone assigned to the base.

Law and order enforcement

The operations flight provides trained people to enforce law and order, supervise vehicular traffic, secure high-priority weapons and munitions, investigate some criminal offenses, and confine prisoners.

Incident/complaint report

As a commander, you will become familiar with the reports and services the chief of security police provides. You or your first sergeant will be notified if any of your people are involved as victims or subjects of incidents or complaints reported to security police. Security police will usually send you an incident/complaint report for action the next day. Facts about the incident may also be cited in the security police desk blotter reviewed by senior commanders who monitor the status of discipline information.

*Air Education and Training Command Pamphlet (AETCPAM) 91-1, *Squadron Commander's Safety Pamphlet*, 15 July 1994, [i].

Services

Responsibilities

The base services squadron is responsible for the operation and administration of officer and enlisted clubs, library services, youth and child development activities, sports programs and fitness centers, indoor and outdoor recreation activities, lodging facilities, dining halls, community centers, nonappropriated fund personnel office, mortuary affairs and honor guard activities, and other small business activities. Also included are the administration and management of all nonappropriated funds to include accounts receivable, accounts payable, and all employee benefits programs.

Morale, fitness, readiness

Maintaining high morale, individual fitness, and an effective state of readiness are essentials necessary to accomplish the overall Air Force mission. Commanders must ensure that services squadron programs provide all eligible users with a variety of activities, programs, and services that meet their needs, ensuring the best possible quality-of-life environment for all.

Social Actions

Equal opportunity

The quality of life for all Air Force members, civilian employees, and family members is a priority for all commanders in order to ensure mission effectiveness. The social actions office assists the commander in conducting programs on equal opportunity and treatment/human relations education and civilian substance abuse. In addition, social actions handles discrimination complaints, oversees ethnic observances, and conducts unit climate assessments.

Discrimination and sexual harassment

The senior installation commander is responsible for establishing the social actions office and carrying out an effective program. All commanders are responsible for ensuring that Air Force equal opportunity and treatment policy against discrimination and sexual harassment is fulfilled.

The social actions office should be an integral part of each unit on the installation. The services provided to the commanders are exceptional and must be used to enhance the unit's mission readiness.

Staff Judge Advocate

Judicial advice

The staff judge advocate's (SJA) major responsibility is to advise you about administering justice throughout your command. In addition, the SJA handles claims, conducts administrative discharges, provides legal assistance in personal matters (such as preparing wills and answering income tax questions), reviews line of duty determinations, advises on nonappropriated fund activities, participates in labor law issues, advises on environmental law, and provides legal reviews for all base contracts.

Article 15

Consult with the SJA before you take disciplinary action such as administering an Article 15. Involving the SJA early in the disciplinary process will help ensure you are on the right track and that your actions will have the desired effect.

Supply

The mission of supply is to provide effective and efficient supply, equipment, and fuels support to the entire base. Getting to know the intricacies of the Air Force supply system will pay big dividends when your people need tools to do their job.

Questions and complaints

The customer service center provides a single point for customer questions, complaints, and assistance. The material management element orders everything from administrative supplies (pens and paper) to aircraft components. The element's retail sale section consolidates the base service store, tool issue, and the individual equipment unit under one manager. Processing equipment requests, maintaining custodian receipt listings, and monitoring excess equipment are other functions of this element.

Supply training

The management and procedures element conducts and monitors training within supply as well as training of the supply customer. Customer training encompasses equipment custodial duties, supply/customer relationships, basic supply procedures, and the use of management products. This element has management control of the general and systems support division of the Air Force stock fund.

War readiness material

The combat operations element has prime responsibility for the accounting, monitoring, and storing of all war readiness material (WRM), mission readiness spare packages (MRSP), and deployment type assets. This element also includes mission capability (MICAP) management and repair cycle management.

Transportation

Transportation management at base level involves management and operation of the motor vehicle fleet; maintenance of motor vehicles; management of interbase movement of people, cargo, and household goods; and materiel handling and packaging.

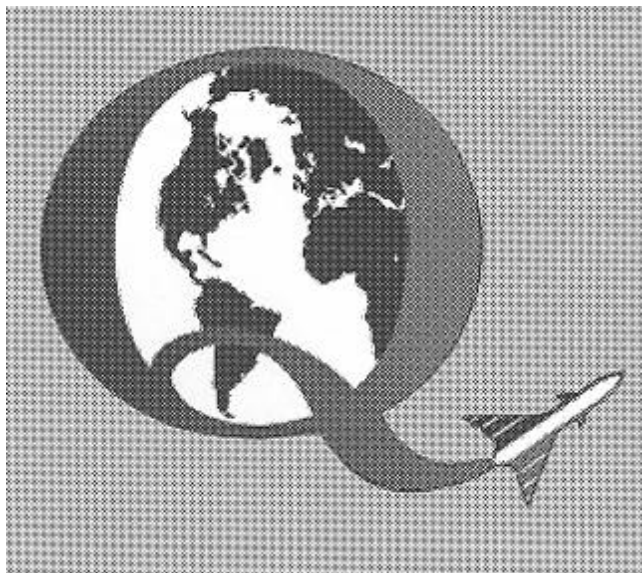
Vehicle operations and maintenance

The three primary base-level transportation functions are vehicle operations, vehicle maintenance, and traffic management. Vehicle operations provides bus and taxi services and driver training. Vehicle maintenance keeps the squadron fleet in good shape. Traffic management handles PCS household goods shipments and military surface freight cargo.

Commander's Checklist

- The American Red Cross supports/supplements Air Force activities concerned with matters of morale, health, and welfare of Air Force personnel.
- The area defense counsel ensures that the military justice system is fair and is perceived as such.
- The civilian personnel flight provides advice and assistance to the commander on civilian personnel matters.
- The chaplain helps the commander in fulfilling the spiritual and moral needs of members of his or her unit.

- Civil engineering provides essential facilities and utilities to support the unit's mission.
- The communications squadron acquires, manages, and operates the base C⁴ systems.
- The base comptroller provides base-level financial support and serves as the principal financial advisor to the commander and staff.
- The base contracting office assists commanders in acquiring parts and services that require local contracting.
- The education services office provides an education services program and opportunities to Air Force personnel.
- The family support center helps commanders meet their responsibilities for the health and welfare of military families.
- The housing management flight provides support to the commander on all aspects of both family and unaccompanied housing.
- Air Force medical services provide Air Force personnel with the medical support necessary to ensure the highest combat readiness and effectiveness.
- The military personnel flight provides quality personnel support to commanders, Air Force members, and family members through its personnel programs.
- The mobility plans function is the principal advisor to the wing commander on deployment matters and the war reserve material program.
- The Air Force Office of Special Investigations is responsible for investigating espionage, sabotage, counterintelligence, internal security, and major criminal matters.
- The purpose of the public affairs office is to give timely and accurate information to Air Force members and to the public and to strengthen Air Force/community relations.
- The safety office manages the mishap prevention program for unit commanders and advises them and all managers and supervisors on safety matters and concerns.
- The security police squadron provides police services to support commanders and secures Air Force people, property, and weapon systems.
- The base services squadron is responsible for a variety of activities, programs, and services to ensure the best quality-of-life environment for all.
- The social actions office assists the commander in conducting programs on equal opportunity, human relations, and civilian substance abuse.
- The staff judge advocate's major responsibility is to advise the commander on administering justice in his or her unit.
- The mission of supply is to provide effective and efficient supply, equipment, and fuels support to the entire base.
- The transportation function involves management, operation, and maintenance of motor vehicles; interbase movement of people and goods; and handling and packaging of material.



Quality and the Commander

In the three years since the Quality Air Force initiative was launched, we have achieved some remarkable successes. If we keep moving, down this quality road, all I can say is "You ain't seen nothin' yet."

—Secretary of the Air Force Sheila Widnall

The above quote accurately pinpoints what direction the Air Force is taking—a journey constituting a “quality revolution”—and this revolution starts at the very top. The Air Force Quality Center’s booklet *The Quality Approach* defines “Quality Air Force” as “a leadership commitment and operating style that inspires trust, teamwork, and continuous improvement.”

Chapter overview

This chapter deals primarily with how you, the commander, can instill this philosophy into your organization. It is divided into five main sections, the first concentrating on leadership since that is the cornerstone to creating and maintaining a quality culture. Leadership completely pervades the next section of the chapter on the Quality Air Force System. This system, composed of three stages, is a model to aid commanders in injecting the quality spirit into their organizations. The third section focuses on the Quality Air Force Assessment (QAFA). This assessment replaced IG effectiveness inspections and looks at aspects of a unit differently than did previous inspections. The fourth section discusses the concept of Total Quality Management (TQM) and how it can help the commander. The final section explains two Air Force quality-related awards that a unit or a team can compete for and summarizes the contents of the chapter. Included in this section is a goal-related scenario and various discussion topics for senior organizational leaders. Also provided is a suggested reading list to help commanders gain further insight into the concept of quality. Many of the listed readings were recommended by students of the Air War College who found them extremely valuable when they commanded a squadron.

Why the quality approach?

Why is this drive towards a concept of “quality” important? Our military has been going through a dynamic metamorphosis. Today’s Air Force is tremendously different from the Air Force of just a few years ago. Major

realignments and reductions of command, bases, and wings were all conducted with one purpose in mind—to streamline the Air Force, which will force us to evaluate ways of doing things better. The diminishing budgetary resources, coupled with dramatic international events, require the Air Force to recognize the need for improvement and adaptation. Our reason for existing will not change, and our mission will certainly encompass even more responsibility in the future. Look at our current Air Force mission—to defend the United States through control and exploitation of air and space. Now, try to achieve this vital mission with less funding *without* seeking sweeping ways to improve efficiency and effectiveness. It can't happen. As *The Quality Approach* states, embracing the quality concept and all that it entails will allow us to better use our resources and improve our productivity through the ingenuity and collective strength of all Air Force members.

Leadership and Quality

A quality revolution means eating, sleeping, and breathing quality. Management obsession and persistence at all levels are essential.

—Tom Peters

*The foundation
of the quality
movement*

Everything starts with you, the commander. Leadership is the foundation for the quality movement. As previously stated in chapter 1, leaders set the example and provide the vision and guidance for the entire organization. Effective leadership will require taking risks at certain times. In a survey given to Air War College students, those who had been squadron commanders emphasized this capability as an absolutely vital ingredient in a successful leadership recipe. Leaders are the epitome of our Air Force core values—integrity, courage, competence, tenacity, service-mindedness, and patriotism. For a unit to excel in the quality arena, the commander must create an operating environment that includes a quality operating style intermeshed with these values. Critical actions that a leader must accomplish include all of the following:

Create the Proper Environment

*The leader must
create the proper
environment*

Create a working environment that inspires trust, teamwork, quality, and pride. Think as a leader rather than as a manager. Leaders motivate others by using a participative social architecture to bond individuals to the unit team. Leaders ensure that all team members receive the necessary training required to perform in their role and to provide opportunities for personal growth. Leaders inspire, coach, teach, and maybe most importantly, listen to their members. Retired Air Force Gen William Creech in his book, *The Five Pillars of TQM: How to Make Total Quality Management Work for You*, highlights key differences between an effective leader and a manager:

- Leaders shape the outputs; managers chase the outputs.
- Leaders encourage new ideas; managers enforce the old ideas.

- Leaders stimulate the right things; managers monitor for wrong things.
- Leaders thrive on tough competition; managers talk little of competition.
- Leaders prize comparison with others; managers see scant need for comparison.
- Leaders empower others to make decisions; managers control the decision process tightly.
- Leaders see leading as animate and proactive; managers see managing as inanimate and reactive.
- Leaders think of a dynamic, caring human system; managers think of a business following a script.
- Leaders think of improving initiative and innovation; managers think of improving compliance and conformance.

All of these differences can be boiled down to just four. Leaders provide the vision, managers carry it out; leaders make it better, managers make it run; leaders make it happen, managers hope it happens; leaders create more leaders, managers create more managers.

Give Everyone a Stake in the Mission

*Show members
their role in the
mission*

Be sure that each person knows how he or she fits into the overall unit mission and how their job contributes to the success of the organization. This is so vitally important that Gen Ronald Fogleman, the Air Force chief of staff, states that “we must foster an atmosphere in which people understand the purpose of their work and are empowered to improve the way we do business.”

In order to accomplish this, commanders must keep communication channels open and easily accessible to all. Team members can have a tremendous impact on improving existing processes, but their voices can only be heard if you, the commander, ensure and encourage open communication. One of the best examples of this axiom comes from the business world—from the Toyota Motor Company. Almost every corporation and workstation has a typical employee suggestion program. This is usually nothing more than a simple anonymous suggestion box, the value of which is questionable when workers don’t feel they have a stake in the company. Toyota had such a system, and in 1960 had 5,001 suggestions inputted (roughly one suggestion per every two employees), of which one-third of these suggestions were implemented. If this sounds like an active, motivated company compared to American standards, you’re right. But this was a dead program in Toyota’s eyes. Company executives worked diligently for over 20 years on improving “buy-in” perceptions. The result? In 1982, Toyota received 1,905,682 suggestions, averaging almost 33 suggestions per employee, with a whopping 95 percent implementation rate. That’s motivation.

Delegate Responsibility and Authority but Retain Personal Accountability

*Delegate
responsibility but
be accountable*

You have highly skilled and trained professionals working for you. Trust them to do the job by giving them the responsibility they deserve for making decisions and changes. Delegate responsibility to the lowest feasible level. This practice makes good use of everyone's expertise. As a commander, though, you should never lose sight of the fact that you are ultimately accountable, but avoid the temptation of micromanagement. Your experts are much more qualified to run their shops than you are, but you still need to become knowledgeable of every duty in your organization.

Set Goals, Measure Progress, Reward Performance

*Develop
performance
measures to gauge
progress*

Goals are the stepping stones to continuous improvement and should be aligned from top to bottom. Don't be locked into setting goals based on the processes your unit is currently using. Find out who your peers are and measure your performance against the best of them. Adopt their methods to garner potential leaps in performance with goals adjusted accordingly. This system, known as *benchmarking*, need not be restricted to military organizations. Examine civilian companies and their processes when possible.

Adopt or develop quality performance measures (QPM) to gauge your progress towards attaining these goals. When goals are achieved or exceeded, be sure to recognize these successes. As Theodore Roosevelt asserted, "The credit belongs to the man who is actually in the arena, whose face is marred by dust and sweat and blood."

Deliver Quality Products

*Identify customer
and purpose of
product*

Although it may seem strange to talk of "customers" in the Air Force, every organization and section within each organization serves someone. In some cases, the product is more of a service than an actual object, making it more difficult to identify the customer of that service. However, answering the following "customer identification" questions should help determine who the customer is.

- Who am I doing this for?
- Who is giving it to me to work on?
- What is the purpose of this product or service?
- What is it going to be used for?

Strive for a Culture of Continuous Improvement

*Try to improve
the process*

The adage "If it ain't broke, don't fix it" no longer applies. It is highly doubtful that any organization has a perfect system in place that cannot be improved. So, even if the system that you are using gets the job done, you should still try to find a better, cheaper, quicker way of doing the job. That is the philosophy behind continuous improvement. As the commander, you need to instill within your unit members the importance of continuous

improvement and support their innovative ideas. Through this leadership style, the Air Force will constantly improve.

The Quality Air Force System

Quality Air Force is, in a sentence, a commitment to organizational improvement combined with the tools necessary to enable and encourage that improvement.

—Secretary of the Air Force Sheila Widnall

Elements of the Quality Air Force System

To aid the commander in the development and sustainment of quality in an organization, the Air Force Quality Center designed the “Quality Air Force System,” an integrated model containing three stages built on leadership—the key to any organization. Quality Focus, the Improvement Process, and Quality in Daily Operations are the elements in this system, and each will be discussed in detail.

Stage 1: Quality Focus

Phases of Quality Focus

This is the process of creating and guiding the direction of a unit. It is an 11-step strategic planning model that overlaps the four distinct phases of Quality Focus—formulation, deployment, implementation, and review (fig. 2). Since this is a cycle, you’ll never stop. You can only complete the revolution.

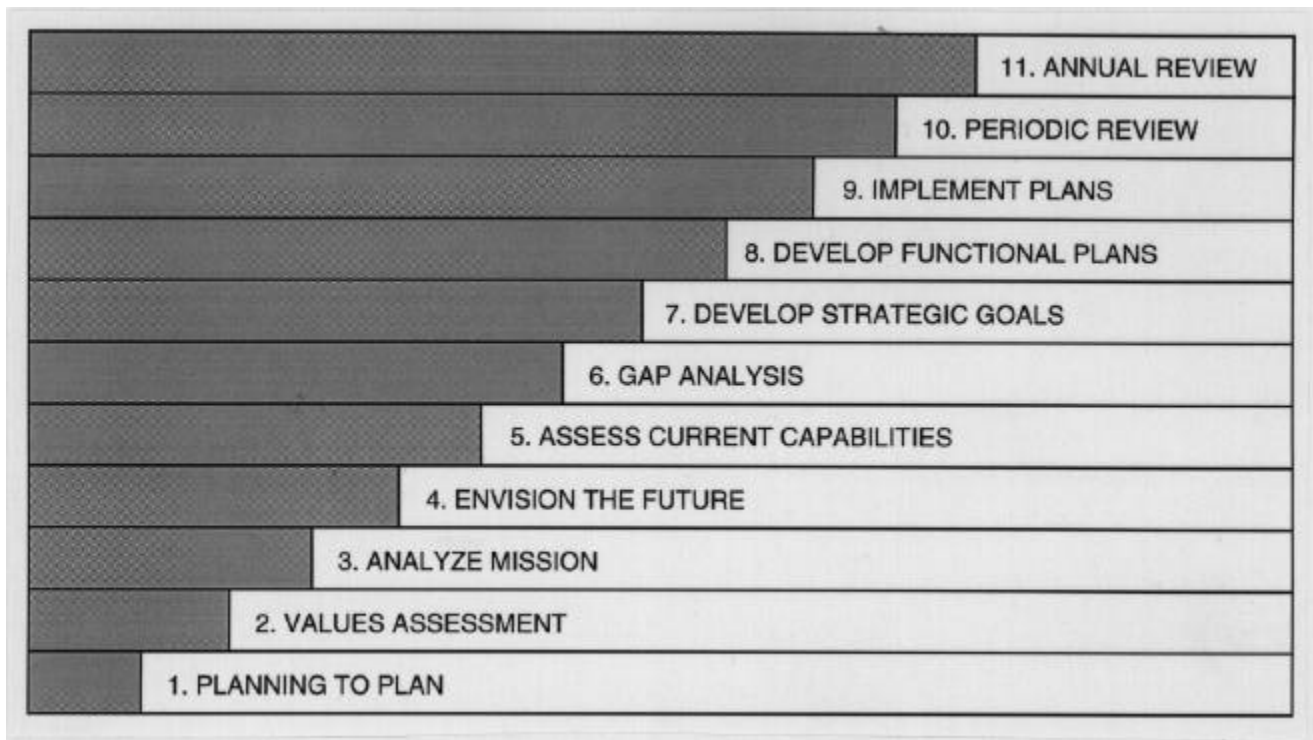


Figure 2. The 11 Steps of Quality Focus

The Formulation Phase. This phase includes the first seven steps of the Quality Focus stage.

Determine if the unit is ready to plan

Step 1: Planning to Plan. As the unit commander, decide if your unit is ready to begin the strategic planning process. Factors that may determine the readiness include the organizational commitment, willingness of members to devote the required time, and the level of trust and teamwork that currently exists.

Make sure members understand core values

Step 2: Values Assessment. Values will mark the boundaries of your planning process and will serve as a baseline for decision making. It is your responsibility as leader to make sure that all members know and understand your unit's core values.

Be sure the unit mission is accurate

Step 3: Analyze the Mission. Mission statements reflect an organization's role, requirements, and processes while specifying the primary customers. Be sure that your unit's mission statement is accurate and exactly what you want. As a check, conduct ongoing scans of the environment to gather information that further defines customers, suppliers, key result areas, and key processes.

Determine long-range goals

Step 4: Envision the Future. Without vision, unit sustainment is your only direction. Your image of where you want your organization to go will determine long-range goals and subsequently provide the focus of future actions.

Evaluate processes and capabilities

Step 5: Assess Current Capabilities. Evaluate every organizational key process against its capabilities to meet customer needs. If a metric (measuring) system doesn't exist to provide feedback on this critical component of quality, develop one immediately.

Compare capabilities to desired ends

Step 6: Analyze Performance Gaps. Your planning team must compare current capabilities of key processes to the desired end state. Performance gaps will serve as the basis for goal setting.

Determine and prioritize plans

Step 7: Develop Strategic Goals and Objectives. These will guide the unit's quality initiatives and movement while forming the framework of future plans. These plans should be prioritized and deployed to the unit for feedback, which will help determine if the proposed goals and plans are feasible.

The Deployment and Implementation Phases. These two phases of the Quality Focus stage have two steps.

Develop, delegate, and implement tactical plans

Step 8: Develop Functional Plans. At this point, your planning team passes its work to functional area supervisors or working groups to develop "tactical plans necessary to achieve these reviewed and accepted strategic goals. This is deploying "downward" to the primary user level—your area experts.

Step 9: Implement Plans. Process owners (sections or individuals) now implement the tactical plans, moving the organization closer to the desired vision for the future.

The Review Phase. This phase contains the last two steps of the Quality Focus stage.

Measure progress periodically and use as feedback

Step 10: Perform Periodic Review. Process owners should apply metric measurements during periodic reviews to determine the progress of the plan. These reviews should occur regularly, perhaps monthly or quarterly, especially during the early stages of implementation.

Step 11: Conduct an Annual Review. The planning team should conduct an annual review of the strategic goals, objectives, and functional plans, again using metric data garnered from the periodic reviews. Use this feedback as an input into this planning cycle, which starts all over again.

Stage 2: The Improvement Process

PDSA (Shewhart)
Cycle

This element of the Quality Air Force System is the “nuts and bolts” of the entire system. It is a *process-focused* (not product-focused) approach designed to achieve continuous, measurable improvement in an organization. This process consists of four sequential stages—plan, do, study, and act (PDSA)—which is sometimes called the *Shewhart Cycle* or *Ishikawa Circle*. It is repetitive once it has been completed. Within these stages are the seven intertwined steps of the continuous improvement process, which will be discussed shortly. First, however, let’s examine the four stages of the PDSA cycle.

Outline key
processes

Plan. Outline key processes. A flowchart can be very helpful. (See fig. 3.) Evaluate these processes using gathered metric data and formulate possible improvements. If a process is still embryonic in its development, additional time will be needed to conduct a thorough, accurate examination due to the limited data available versus time in operation.

Implement the
plan—measure
results

Do. Implement the improved plan. This may require training certain unit members, which includes making them knowledgeable of modified goals and their role in this new process.

Analyze results—
implement or
improve the plan

Study. Measure and analyze results to see if the new process is an improvement.

Act. If the results show a clear improvement, the likelihood of member acceptance should be high and the process should become permanent. If the

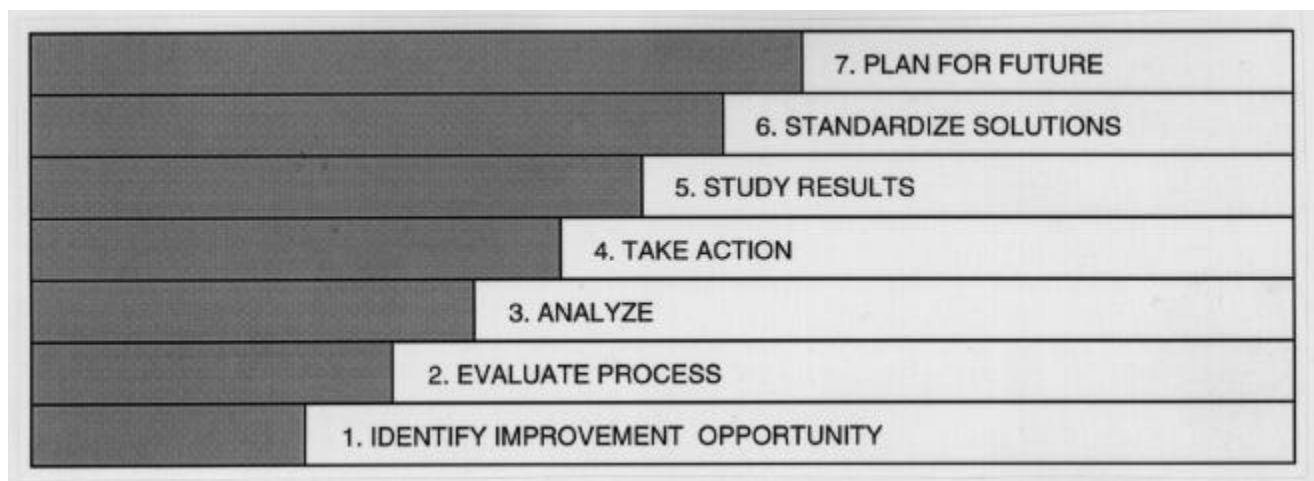


Figure 3. The Seven Steps of the Continuous Improvement Process

results are not successful, focus on the weak areas for improvement. Start again at the “plan” segment with this newly acquired knowledge.

CIP approach

The Seven-Step Continuous Improvement Process (CIP). The CIP is a systematic sequential approach to planning and implementing improvement efforts using collected data. The seven steps of the CIP are based within the PDSA cycle described earlier, and completion of all seven steps constitutes one revolution of the PDSA cycle (see fig. 3). Since a process improvement team will most likely perform these steps, the concepts of team building and team training are critical.

Identify errors or weaknesses

Step 1: Identify Improvement Opportunity. Indicators such as graphs and charts can help in visualizing processes needing improvement. Aim at individual processes rather than results to help manage the improvement cycle and get to the root causes of errors or weaknesses. Checkpoints: identify key processes, customer-defined success factors, customers, and suppliers, then work out the CIP completion schedule with unit leadership.

Collect data and analyze to pinpoint root causes

Step 2: Evaluate the Process. Set a target for improvement. This allows your process-improvement team to focus on specifics such as collecting and interpreting data and identifying issues to tackle. Checkpoints: identify data; identify the most significant portion of the problem; check customer requirements against current process capabilities; and formally state problem to include the gap between the actual and desired end state.

Step 3: Analyze. Examine data to pinpoint root causes. Some tools that are available to aid in this examination include cause-and-effect diagrams, Pareto charts, and scatter diagrams. These and other tools will be discussed in detail at the end of this section. Checkpoints: perform cause-and-effect analyses; examine the potential root causes that were uncovered; select the root cause that has the greatest possible impact; and verify the root cause using collected data.

Develop and implement a plan of action

Step 4: Take Action. The process improvement team now needs to identify specific methods to be used in attacking the problem; to evaluate these methods on the basis of effectiveness, feasibility, and cost benefits; and to develop a plan of implementation. Checkpoints: develop and evaluate possible actions to take; decide on an action plan addressing who, what, when, how, and resources needed; take actions, if possible, prior to full-scale implementation; and implement the action plan.

Evaluate the results

Step 5: Study Results. This is a confirmation step. It is vital that you understand why the target for improvement was or was not achieved. If the original actions were not effective, evaluate and implement other actions. Checkpoint: Evaluate the results of actions. If the problem was not corrected, why not? Take additional actions if required.

Standardize improvement efforts

Step 6: Standardize Solutions. Integrate the team’s improvement efforts into the daily operations of the organization. Extend this to other unit operations where possible. Checkpoints: publish revised methods and procedures for wide dissemination; perform and document any new training required; establish a periodic review schedule.

Plan future actions

Step 7: Plan for the Future. Review the work accomplished and address any remaining issues. Also evaluate the team’s effectiveness in working cohesively. Checkpoints: analyze remaining issues; plan any future

*Tools for
analyzing data*

actions; evaluate team performance to identify strengths and weaknesses; and consider team-building training sessions, if necessary.

Tools and Techniques Available. The completion of these seven steps may require various tools to help identify processes, internal errors within these processes, and methods to correct these flaws. A brief description of some of the basic tools and techniques that can be of great benefit are outlined on the following pages. More detailed explanations, as well as other tools that are less used than these can be found in the *Air Force Process Improvement Guide*, published by the Air Force Quality Center at Maxwell AFB, Alabama.

Brainstorming. This technique generates spontaneous ideas without evaluating those ideas. It offers the possibility of a lot of information in a short period of time and stimulates creative thinking while fostering teamwork.

Uses of brainstorming include identifying ideas for improvement opportunities, identifying causes of problems, and identifying steps within a process to aid in the development of a flowchart.

Flowchart. The flowchart is a graphic representation of the steps within a process. Flowcharts help you understand the process better, and they are designed to help in the analysis of a process (fig. 4).

The flowchart is used to help in the understanding of the existing process, to locate areas within the process that can be improved, to

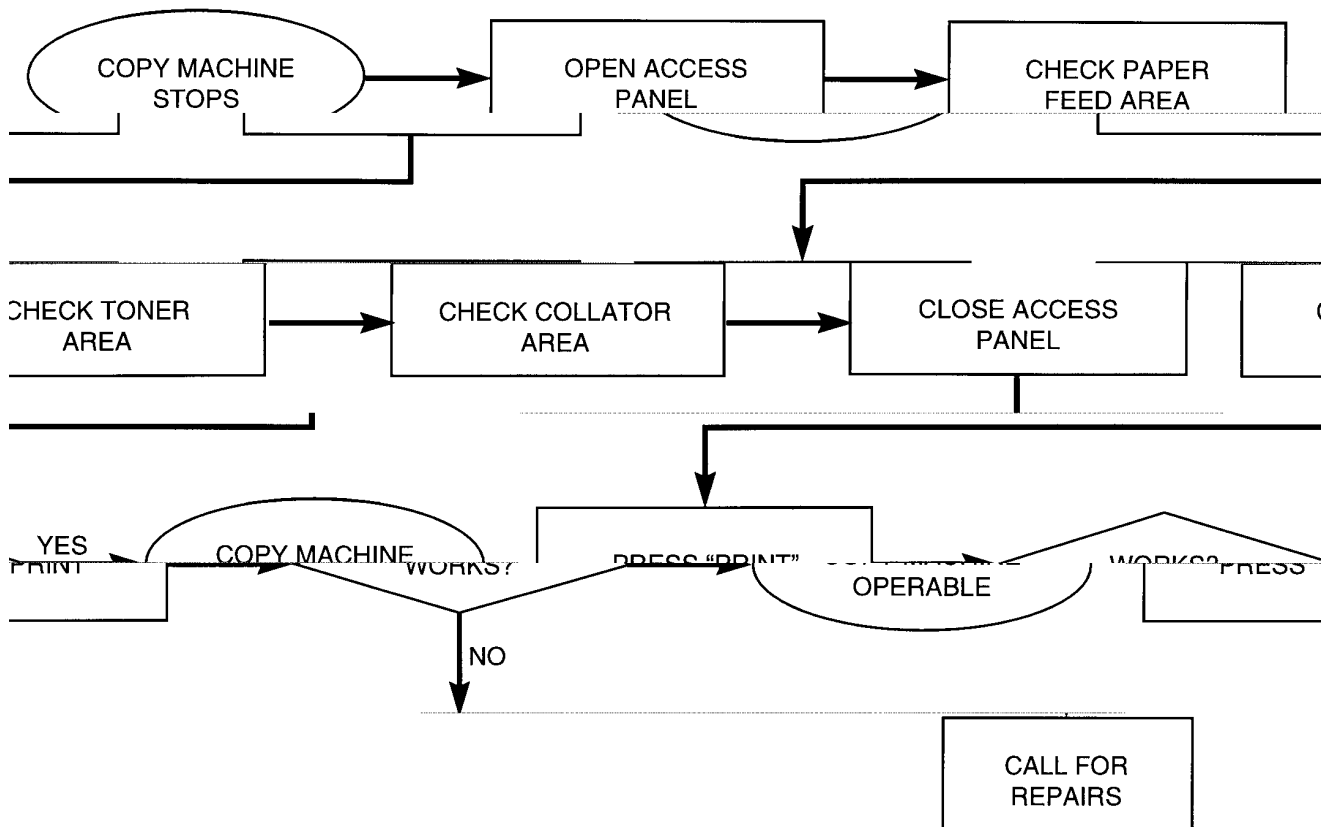


Figure 4. Flowchart for Analyzing Inoperable Copy Machine

document changes in a process, to show the relationships between steps within a process, and to identify key stages of a process.

Check Sheet. The check sheet is used in tracking how many times a particular event happens. This helps in identifying the frequency of occurrence (table 2).

Table 2
Example of a Check Sheet

Table 2
Example of a Check Sheet

EVENT	TALLY	TOTAL
PROBLEMS WITH:		
FLIGHT CONTROLS		15
HYDRAULICS		7
AVIONICS		4
ELECTRICAL		3
FUEL		2

Check sheets can be used to obtain data for the evaluation of a process, to obtain data to check the results of improvement efforts, and to convert raw data into more useful and informative formats such as charts and graphs.

This example identifies flight control problems occurring more than any of the other problems over a given time period. While this is useful in determining frequency of events, other tools will probably be needed to more accurately analyze the problem.

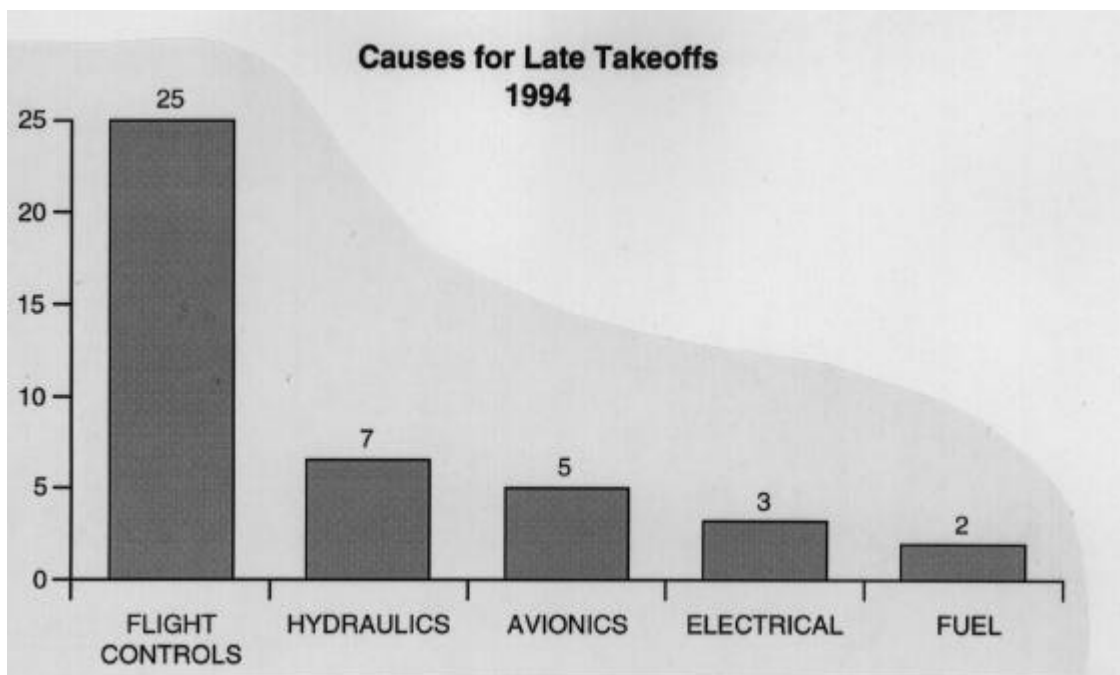


Figure 5. Example of a Pareto Chart

Pareto chart depicts contributing factors

Pareto Chart. This is a bar chart that graphically depicts various factors contributing to a specific problem sequentially. The largest single contributing factor is arranged first, the next most significant factor second, and so on. This chart aids in the analysis of a problem.

The Pareto chart is used to identify root causes with the most impact on a problem, to help in the selection of improvement opportunities, to check results of improvement efforts by comparing before-action and after-action Pareto charts.

The example shows the relationship between late takeoffs due to maintenance problems for 1994 (fig. 5). The biggest contributor by far was flight control malfunctions. This chart helped isolate the major cause, which then could be addressed.

Run chart: shows changes over time

Run Chart. The run chart shows trends that occur in a process over time. The value of this tool is that it preserves the time order of the occurrence, which may be important when analyzing data (fig. 6).

The run chart is used to evaluate the stability of a process, to recognize patterns in a process, and to document changes over time. The example shows a trend between time of year and flight control problems. In the colder months, flight controls tended to malfunction more often.

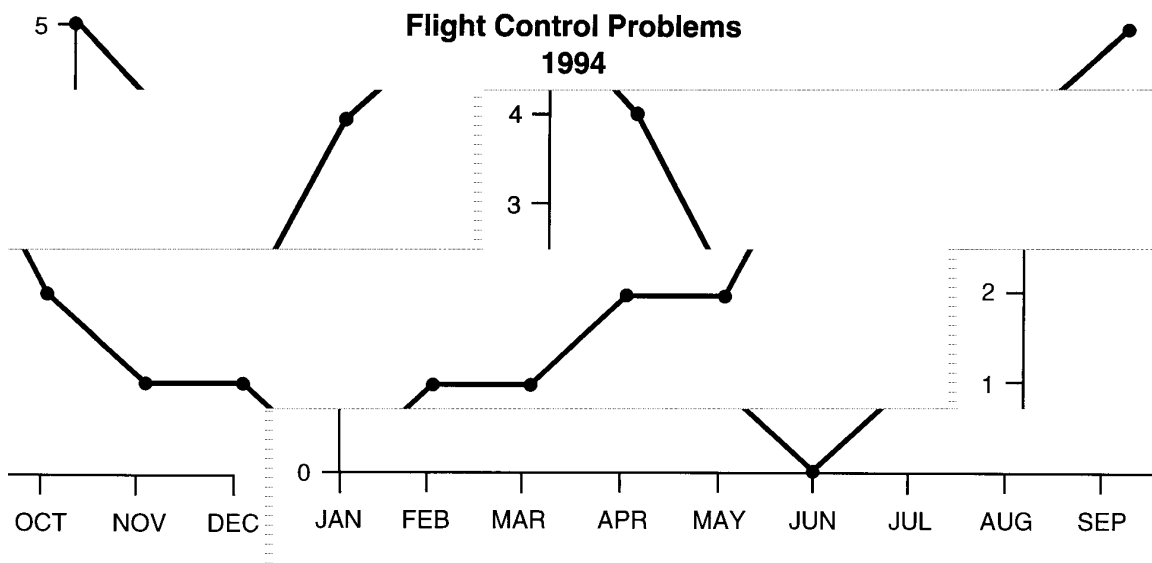


Figure 6. Example of a Run Chart

Cause-and-effect diagram: shows relationship between problem and causes

Cause-and-Effect Diagram. Sometimes called a *fishbone diagram* because of its appearance, the cause-and-effect diagram illustrates the relationship between a problem or goal (the “effect”) and potential contributors (the “cause”). Again, this is used for analyzing problems. The cause-and-effect diagram is used to determine root causes of a specific effect and to identify areas where data is lacking. Figure 7 lists possible

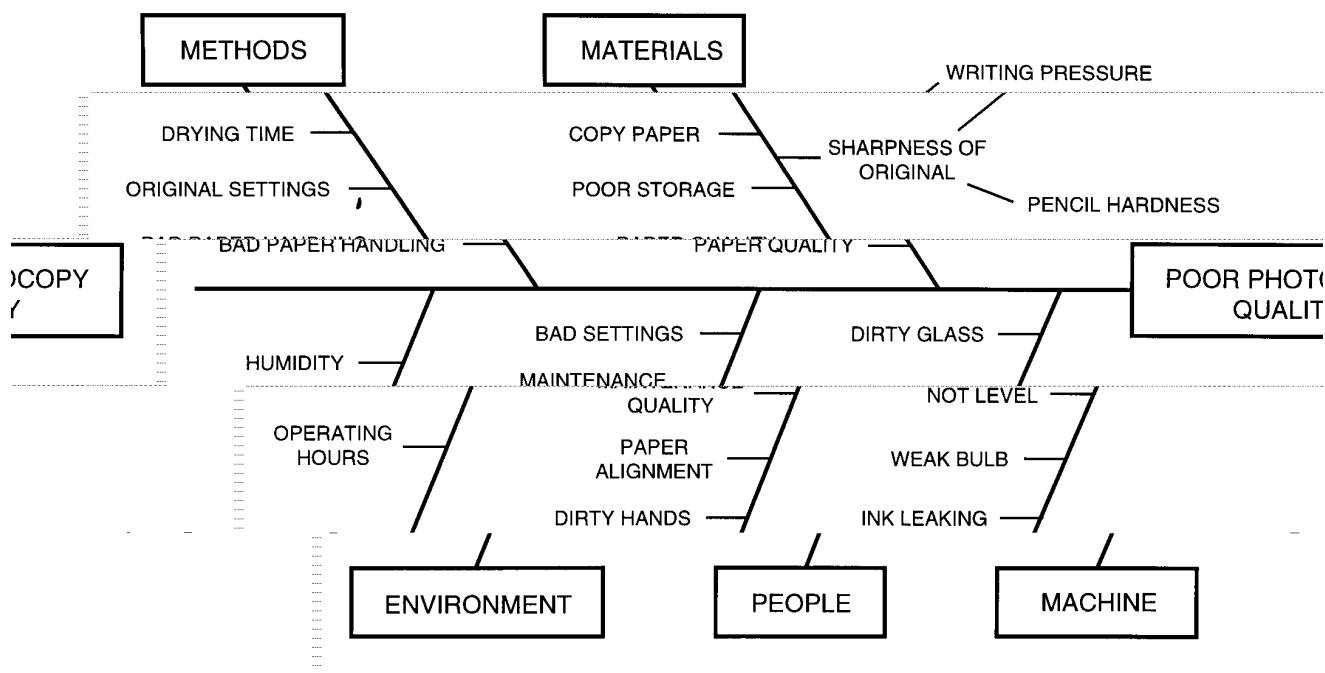


Figure 7. Example of a Cause-and-Effect Diagram

causes of poor photocopies based on five categories: methods, materials, environment, people, and machine. A brainstorming session can prove very helpful in developing these possible causes.

Histogram: shows distribution of measurable characteristics

Histogram. The histogram displays the distribution of measurable characteristics such as weight, speed, or length. This bar chart shows the variability of the data graphically.

The histogram is used to pictorially present the operation of a process, to compare actual measurements against anticipated data, and to show process stability (or instability). Figure 8 shows how a histogram can be used to examine the weight distribution of the officers in a unit and to point out the variability among them.

Control chart: shows variability of process over time.

Control Chart. The control chart shows the variability of a process over time. This is a complex tool that may require statistical experts to construct and analyze. Due to the nature of this tool, you more than likely will not use this chart very often, if at all. Therefore, no example is provided. For more information on this chart, see the *Air Force Process Improvement Guide*.

Scatter diagram: shows relationship between two variables

Scatter Diagram. The scatter diagram displays the relationship between two variables plotted on X and Y axes. It is used to show how changes in one variable effect one another, and it identifies potential causes of problems (fig. 9).

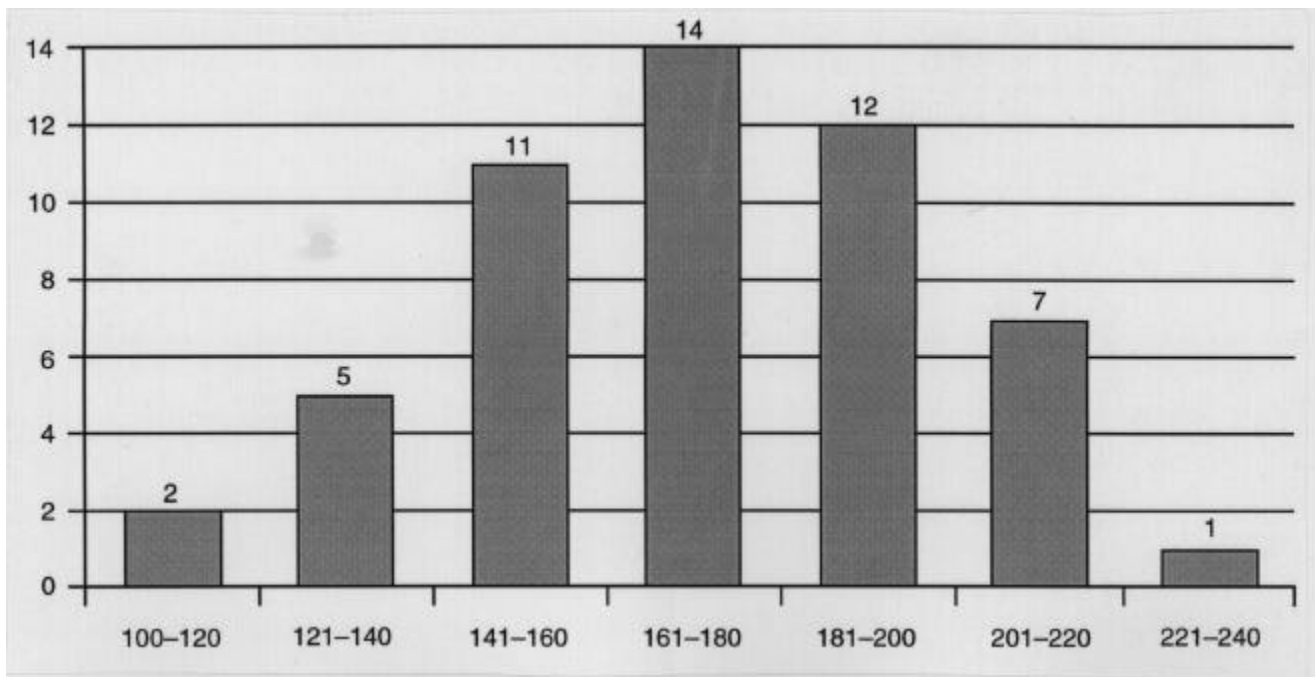


Figure 8. Example of a Histogram

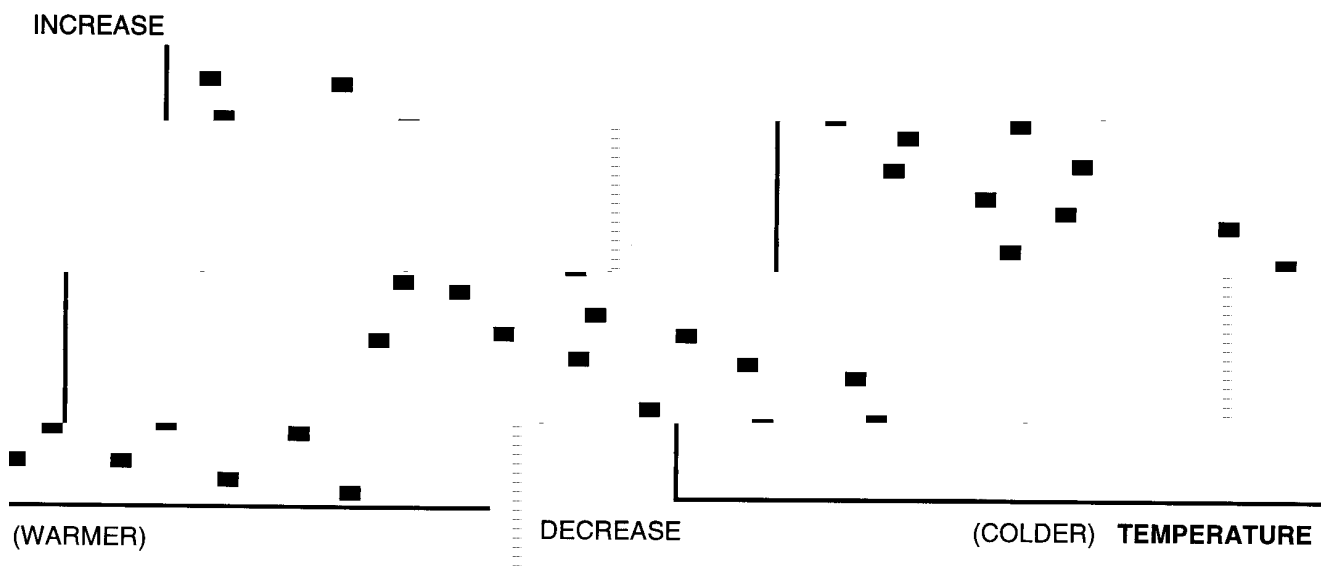


Figure 9. Example of a Scatter Diagram

This example suggests a possible relationship between temperature and flight control problems: the colder the temperature, the more problems occur. Note, however, that this tool can only show a relationship, not that one variable actually causes another. Therefore, it is of limited value during detailed analysis.

Stage 3: Quality in Daily Operations

*Applies
improvement gains
to daily practice*

This third and final stage in the Quality Air Force System combines gains already achieved through process improvement with daily responsibilities. Applying these principles and practices daily makes quality an intrinsic part of the job. It becomes a “philosophy,” not a “program.” The use of the Quality in Daily Operations model, discussed in *The Quality Approach* pamphlet, contains three intertwined phases: quality planning, quality control, and continuous improvement. In fact, the steps in each phase are repeats of steps described earlier in both the Quality Focus and the Continuous Improvement Process stages of the Quality Air Force System, thereby showing the close relationship each portion of the system has with the others. This stage can be considered a “tune-up” of the system to ensure smooth operations rather than the major overhaul that may result from the first two stages of the system.

*Continuous
verification of
applicability and
accuracy*

Quality Planning. This phase consists of the identification of four aspects: (1) organizational priorities, (2) product developed or service rendered, (3) customers served, and (4) requirements of these customers. Since these have already been identified in earlier stages, this phase normally will be nothing more than continuous verification of applicability and accuracy. If any of these aspects change dramatically, however, an entire system overhaul may be required.

*Similar to the
CIP component*

Quality Control. This phase is very similar to the Continuous Improvement component of the Quality Air Force System. It requires the process owner to identify the steps within the process (previously done, most likely in the flowchart format); to identify the quality indicators (metrics) associated with both statistical control and process capabilities; and to implement the new or modified process. Use the seven-step CIP model to determine if changes are necessary.

*Assesses whether
implementations
have improved the
process*

Continuous Improvement. This phase assesses whether or not the implementations have indeed improved the process. Analysis is important here. If the new process isn't working, the root causes of the problems are determined—equipment, personnel training, and so forth—rather than a return to the old system. Once the new process (if a modification was needed in the first place) is working smoothly, return to the first phase, quality planning, and repeat the cycle.

The Quality Air Force Assessment

*In-depth look at
the way business
is conducted*

The Quality Air Force Assessment (QAFA) system has been patterned after the Malcolm Baldrige National Quality Award. Whereas previous Air Force effectiveness inspections focused on results, the QAFA incorporates a different direction and looks hard at the processes involved in attaining these results and the level of customer satisfaction attained. The

philosophy behind this approach is simple—the best way to become more efficient and effective requires an in-depth look at the way business is conducted, rather than solely from a bottom-line viewpoint.

Major Categories

The seven categories of the QAFA

The QAFA consists of seven categories, each having several subsections with different criteria. Also, each major category has been given a different “weight” of importance. The maximum score possible is 1,000 points. However, even world class corporations involved in quality management for years score only 500 to 600 total points. A detailed description of each category, subsection, and grading scale is provided in the *Quality Air Force Criteria* pamphlet created by the Air Force Quality Center. An abbreviated description of these categories follows.

1. Leadership involvement

1.0, Leadership: 95 Points. This section is concerned with personal organizational leadership involvement in creating and sustaining Quality Air Force culture. Senior leaders must demonstrate their commitment to quality through education, training, and participation in quality efforts. Quality initiatives applied to customer orientation and practiced within the local community are indicators of the degree of leadership involved.

2. Effective use of data and information

2.0, Information and Analysis: 75 Points. This category focuses on effective use of data and information to drive quality excellence. It examines the scope, applicability, and analysis used to improve unit operational performance. It also looks at systems used to gather this data.

3. Assessment of the organization's planning process

3.0, Strategic Quality Planning: 60 Points. This category assesses both the organization's planning process as well as the long- and short-term plans produced. Mission performance, resource allocation, and quality improvement goals should be integrated into these strategic plans.

4. Examination at how personnel are developed and managed

4.0, Human Resource Development and Management: 150 Points. This area focuses on how the leadership effectively manages and develops unit members. It examines how well personnel are trained, how these people are used, and if the level of empowerment is applicable to the talents and positions held by unit members. It also looks at leadership's efforts to create and maintain an environment for trust, teamwork, and quality excellence that satisfies the needs of unit customers.

5. A look at the overall process management

5.0, Management of Process Quality: 140 Points. This section keys on the processes used by the organization. It looks at the unit's overall process management, from the development of new processes to continuous incremental improvements of existing processes. It also examines organizational procedures used in determining the quality of its processes. Benchmarking with other units or outside sources plays a vital role in this category.

6. Centers on key products or services

6.0, Quality and Operational Results: 180 Points. This block centers on the reporting of quality levels and improvements for key products or services—in other words, things that truly matter to the unit's customers. Metrics are the foundation in this area and need to be directly related to customer needs. Data collected should cover the entire system or process, from the supplier through daily unit operations to the end result—customer satisfaction. Again, benchmarking with other organizations can provide relative measures of effectiveness.

7. A focus on the unit/customer interface

7.0, Customer Focus and Satisfaction: 300 Points. This is the most heavily weighted section. It focuses on the interface between the unit and the outside organizations it supports. An operational squadron may have a theater commander as its primary customer, with “mission readiness” as its product or service. In short, organizations need to know who the customers are, to understand their needs through maintaining contact with and listening to them, and to be flexible to changing customer requirements.

Approach, Deployment, and Results

Three factors of assessment

Each subsection within a category is assessed using three factors: approach, deployment, and results. Depending on applicability, some subsections will not use all of these aspects. “Approach” describes the development or modification of a process, system, philosophy, or culture. “Deployment” looks at how this is fielded throughout the unit. Basically, how do the senior leaders “get the word out”? “Results” are driven by measurements. These need not be statistical metrics, but results of activities need to be available to determine worthiness and level of quality.

Unit Self Assessment (USA)

Pinpoints weaknesses and strengths of the organization

In preparing for the QAFA, each unit will develop a Unit Self Assessment (USA), a formal document outlining the capabilities of the organization compared against the listed quality improvement criteria in the seven major categories.

In essence, a unit develops a QAFA on itself that should pinpoint strengths and weaknesses in order to get to the goal behind the USA—continuous organizational improvement. As a commander, you must ensure that your unit performs an accurate and honest assessment. Trying to shade the truths or manufacture facts to look good will virtually halt ongoing improvement processes and will bring about questions concerning integrity. As General Creech accurately states, these acts are nothing more than “forms of cowardice.” Each major command has variations on how to conduct the USA, so, as with any inspection or assessment, discussion with the major command inspector general’s office is still necessary.

Total Quality Management

A quality program permeating the organization

As stated earlier in this chapter, “quality” is not merely a program but a philosophy that ideally permeates every aspect of an organization. As the commander, your Total Quality Management (TQM) philosophy must encompass four criteria. First, TQM requires a quality mind-set. This must be incorporated into all activities, processes, and products or services. Second, your program must be strongly member-oriented. This means examining how your most vital resource, your people, are treated, included, and inspired. Third, it needs to be based on a decentralized approach—empowerment leads to enthusiastic member involvement and common objectives. Fourth, you must apply TQM holistically so that its principles, policies, and practices reach all personnel in your organization. Following

*Guidelines for
developing a
TQM culture*

are General Creech's guidelines for developing a TQM culture within your unit:

1. *Build your TQM approach around product or service, process, organization, leadership, and commitment.* While the product or service you provide is the focal point behind your unit's reason for existence, the quality of that product or service depends entirely on the quality of the processes supporting it, which leads back to you, the commander, and your level of commitment.

2. *Establish your unit's character and culture.* Take a hands-on approach to developing your overarching principles and ensure that the entire organization understands and practices them. Stress the Air Force core values of honesty and integrity.

3. *Create a decentralized system that integrates all levels.* Empowerment builds commitment among your troops and makes better use of your area experts. A "centralist" approach breeds inefficiency, which ultimately results in the destruction of quality.

4. *An effectively organized unit is the key that influences everything else.* This ties in closely with the above principle. Create widespread "ownership" throughout your unit through empowerment. Take risks by redesigning sections and recasting roles when needed. Maintain unit cohesion with incentives rather than with authoritarianism.

5. *Use small teams as structural blocks.* You can reap great rewards from the synergy developed within effective teams. Each team will develop its own identity that fosters creativeness and leads to successful solutions.

6. *Orient personnel focus towards the product and away from their "job."* Build a group-centered product mind-set. Define products in terms of the customers you are serving. Likewise, identify all the processes needed to create the product and strive for continuous process improvement. Develop metrics and analysis procedures, when required, and an incentive program if one is not currently in place.

7. *Place leadership focus on outputs, not inputs.* Develop output goals with the teams directly involved. Provide ample incentives for initiative, ingenuity, and innovation.

8. *Measure productivity and provide timely feedback.* Take measurements at various points along the process, as well as at the end. Use quantifiable benchmarks to judge your progress and provide feedback on your "scores" to use as input data for the continuous improvement process.

9. *Create stronger customer linkage.* Your customer can provide the best and most accurate feedback of your product or service. Incorporate your customer into your improvement program at all levels. Ensure that every decision and action is keyed to the customer.

10. *Provide a climate of quality that promotes pride and professionalism.* Develop a unit attitude that strives for the highest quality in every action. Create pride among your members in everything your unit does. Pride is the fuel of human accomplishment. Be enthusiastic and motivated. Set the "pride and quality" example for others to emulate.

11. *Base decisions on the relationship of cost and value.* Instill a value-conscious mind-set throughout your organization. Emphasize that

everyone should look for cost-effective ways of doing business while being wary of cost-cutting efforts that degrade quality.

12. *Provide training to all personnel.* While ad hoc and on-the-job training are still important, formalized training is vital for developing the quality mind-set as well as showcasing available tools and techniques that can aid personnel in continuous improvement.

13. *Communication is key.* Replace all inhibitions to upward communications flow with full openness. A commander must be available to listen to any member and care deeply about his or her concerns and ideas. Communication is the catalyst behind TQM.

14. *Create an "organizational common purpose" from the bottom up.* Leadership needs to be seamless. Ensure that the common purpose is designed with the products and customers in mind.

15. *Build commitment through ownership and shared success.* Emphasize the value of every single job and ensure that each member knows how she or he fits into the unit system. Provide a clear stake in the outcome for everyone and make wide use of recognition programs. Share the successes.

An integrated TQM approach using these guidelines should help you develop a quality-focused organization striving for continuous improvement.

Air Force Quality Awards

*Two major quality
improvement
awards*

Organizations, teams, and individuals all share an equal appreciation for recognition of a job well done. While many bases have local awards programs for successes in quality improvement, the Air Force has two major awards.

The Secretary of the Air Force Unit Quality Award

This award recognizes certain organizations for their efforts in quality improvement and performance results. They are the role models for other units to emulate. Organizations assessed against the Quality Air Force criteria compete for this prestigious annual award.

The Chief of Staff of the Air Force Team Quality Award

This award recognizes outstanding team performance and is designed to promote quality awareness, emphasize teamwork, and share best practices with all Air Force units. Any team that meets the intent of the definition of a process action team or a natural work group is eligible to compete. Team selection is based on seven criteria: teamwork, project-selection criteria, analysis techniques, solutions, results, deployment, and presentation.

Summary

*Leadership is
the key to a
Quality Air Force*

Today our Air Force is much leaner than yesterday's in both personnel and budget. Yet, there has not been any cutback on what is expected of us. So, with less people and less money, how can we continue to provide our nation and the world with the same or increasing capabilities that everyone

has come to expect of us? The answer lies in being more efficient and effective in everything we do—in other words, developing a quality culture that constantly strives for better ways of doing business. The key to creating this philosophy is leadership. Senior organizational leaders must wholeheartedly endorse this concept, setting the example by living and breathing quality for all his or her personnel to emulate. The Quality Air Force system is a structured, yet flexible, approach to aid in their quest for continuous improvement, and daily implementation of these ideas and tools will greatly speed an organization along on its quality journey.

Scenario for Discussion

You are the squadron commander of a fighter unit. Your maintenance section has just been recognized as the best on the base. Your unit had the fewest late takeoffs due to aircraft maintenance problems of all units on base last year, but you would like to reduce these delays even further next year.

Discussion. How would you go about accomplishing this goal? Some things to consider would be setting up a meeting with your maintenance OIC and NCOIC and congratulating them again (assuming you have already) on being the top section on the base. Once this is done, you might want to discuss your new goals and open the floor for ideas on how to further reduce delayed takeoffs (“brainstorming”). Review the seven steps listed in the Continued Improvement Process.

Discussion. Your NCOIC returns with the results of some analyses and says that 85 percent of the late takeoffs were due to problems with flight-control computers. These computers can be replaced, tested, and accepted within 15 minutes of arrival at the aircraft, but it takes 20 minutes to get them off the warehouse shelf to the flight line. Knowing this information, discuss potential solutions to achieving your goal of reducing late takeoffs. Are there any potential roadblocks to overcome in your solution? How about the fact that your unit is already the best on base? Won’t your desires appear to be “trying to fix something that ain’t broke”?

Here’s what one base did. The flight-line expeditors decided to keep a certain number of these computers in the maintenance truck with them at all times, thereby eliminating the 20 minutes it took to get the computers to the aircraft. To do this, certain inventory and accountability procedures also needed to be modified, but this action was adopted basewide and significantly reduced the number of late takeoffs due to maintenance.

Selected Readings

Creech, William. *Five Pillars of TQM*. New York: The Penguin Group, 1994.

Holmes, Msgt Joyce. *The Quality Approach*. Maxwell AFB, Ala.: Air Force Quality Institute, 1994.

Juran, Joseph M. *Juran on Leadership for Quality: An Executive Handbook*. New York: The Free Press, 1989.

Peters, Tom, and Nancy K. Austin. *A Passion for Excellence*. New York: Warner Books, 1989.

Timmons, Col Timothy. *Commanding an Air Force Squadron*. Maxwell AFB, Ala.: Air University Press, 1993.

Commander's Checklist

- Diminishing budget resources require the Air Force to do things better.
- Leadership is the foundation of quality. Leaders must do the following:
 - ☐ Give everyone a stake in the mission.
 - ☐ Delegate responsibility/accept accountability.
 - ☐ Set goals, measure progress, award performance.
 - ☐ Deliver quality products and services.
 - ☐ Strive for continuous improvement.
- The three-stage Quality Air Force System assists the commander in developing and sustaining quality.
 - ☐ Quality Focus
 - ☐ The Improvement Process
 - ☐ Quality in Daily Operations
- The Continuous Improvement Process has several available tools and techniques.
 - ☐ Brainstorming
 - ☐ Flowchart
 - ☐ Check sheet
 - ☐ Pareto Chart
 - ☐ Run Chart
 - ☐ Cause-and-Effect Diagram
 - ☐ Histogram
 - ☐ Control Chart
 - ☐ Scatter Diagram
- The Quality Air Force Assessment (QAFA) applies a grading scale to the processes involved in attaining results and satisfying customers.
 - ☐ Unit Self Assessment outlines seven categories of criteria.
 - ☐ Seven weighted categories with different criteria.
- Your TQM philosophy must encompass four criteria:
 - ☐ A quality mind-set in all activities, processes, products.
 - ☐ A strongly member-oriented program.
 - ☐ A decentralized approach using empowerment.
 - ☐ An application of TQM principles, policies, practices to reach all personnel of the organization.
- Guidelines for developing TQM:
 - ☐ Build it around products/services/processes/leadership.
 - ☐ Establish unit character and culture.
 - ☐ Use the decentralized approach.
 - ☐ Organize the unit effectively.
 - ☐ Use small teams as building blocks.
 - ☐ Orient personnel towards the product, not the job.
 - ☐ Focus leadership on outputs, not inputs.

- ☐ Measure productivity and provide timely feedback.
- ☐ Create stronger customer linkage.
- ☐ Provide quality climate of pride and professionalism.
- ☐ Base decisions on the relationship of cost and value.
- ☐ Provide training.
- ☐ Provide communications.
- ☐ Create a common purpose from the bottom up.
- ☐ Use ownership and shared success to build quality.
- Two Air Force quality awards:
 - ☐ The Secretary of the Air Force Unit Quality Award
 - ☐ The Chief of Staff of the Air Force Team Quality Award



The Commander and the Information Age

Vice President Albert Gore, Jr., is the nation's leading advocate of information and technology. He believes strongly that staying on the leading edge of the information wave is the path to excellence. In an interview published in *Government and Commerce* magazine, he said:

In the next decade it will be possible for an elementary school student to come home after class and instead of playing Nintendo, plug into the Library of Congress and explore an entire universe of information along a road map defined by that child's curiosity—with the information appearing not only in the form of words but in the form of vivid, moving colored pictures precisely keyed to the subjects and questions of most interest to that student.*

*The commander
and information
technology*

The Air Force commander of the future must also be an advocate of information and technology. Ignoring the tremendous advances in information technology occurring today will leave you and your organization far behind the rest of the pack. During this period of austere military budgets, spending money wisely and avoiding waste is critical, but don't be fooled into thinking that buying into the new information wave sweeping our nation is a waste of money. Think of the new information technology as a potential force multiplier and capability enhancer. Even a moderately paced program of upgrades for a squadron or agency is the wrong approach. Things are moving so quickly that only the most aggressive upgrade programs will keep you and your people on the leading edge. Place yourself in the position of being able to react at least as fast as everyone else by providing your organization the resources it needs today.

The Internet

*Original purpose
of the network*

In the 1960s, the US Advanced Research Projects Agency (ARPA) was interested in seeing if it was possible to connect through a network of

*"Gore: Confident the US Can Become..." *Government and Commerce* 3 (April 1993): 828–29.

computers different companies possessing different operating systems that were too far apart to connect with electrical wires. The purpose was to connect scientists around the world and to research how to use networks of computers. ARPA was particularly interested in how to use one network with a remote log-in access for a myriad of activities that included exchanging files and sharing resources such as printers—but not electronic mail (E-mail). Electronic mail was not even thought of at the time.

Birth of Internet

ARPANET

In 1969 software was developed for the new network. This new software allowed the Stanford Research Institute, the University of California at Santa Barbara, and the University of Utah to successfully exchange packets with each other. Thus, the ARPA network (ARPANET), the father of Internet, was born. ARPANET grew slowly at first and then began to expand rapidly. For over a decade, it grew by an average of one new computer network hookup every 20 days.

Internetworking

An outgrowth of ARPANET was the concept of internetworking—connecting individual networks and creating a network of networks. Within the network industry, the technical term for connecting networks is internetworking, and the term for a network of networks is internetwork or internet. This new internetwork was dubbed the Internet and is often referred to as the “net.”

Internet today

The Internet today is a worldwide entity that is not easy to define. Technically, the Internet is the “set of all interconnected networks,” or the collection of several thousand local, regional, and global computer networks interconnected in real time. To many, the Internet also covers the 1.5 million-plus computers connected to these networks at thousands of sites in many countries and at thousands of business, government, research, and educational organizations. For many Internet users, the Internet is a global community with a very active life. The current Internet population is made up of several million people whose computers are connected in a fashion permitting remote log-in, file exchanging, resource sharing, and other real-time activities.

Vice President Gore coined the term *Information Superhighway* almost 10 years ago. The term lives on because it evokes a vivid picture of something we all understand, and it helps make the mysterious world of computers a little less imposing. In an article in *Esquire* magazine, Phil Patton provides an interesting view of “life on the Net.” He writes:

You can’t escape the metaphor: the Internet as the Interstate. In one way, the I-way metaphor is right : Being on-line is like driving. You can read the manual, but you have to try it to really learn. In another, though, it’s misleading: The net today is less like a highway than like CB radio—rough-and-ready communication, highly verbal and personal.*

In short, it has to be experienced to be fully appreciated.

Patton explains that at the present time, the I-way is dominated by “net vets” who resemble truck drivers running “UNIX as if it were a big

*Phil Patton, “Life on the Net: We Hear America Modeming,” *Esquire* 122 (December 1994): 132.

*Getting on
the Internet*

Kenworth.”* They can be rough on “newbies.” And since the number of users on the net grows by 10 percent each month, most of us are newbies.

Patton identifies a key that every Internet user should know. He starts with the Internet itself. It includes the estimated 10 to 20 million people around the world who use it, but it's much more. It's also the commercial services—1.3 million on Prodigy, 2 million on CompuServe, 1 million on America Online (AOL). It's Genie, Apples eWorld, and thousands of small bulletin boards and access providers around the globe. It's a network of innumerable computer networks representing thousands of hot, buzzing machines. For most of us, it is a vast thicket of files and services brought to us by an Internet access provider who sells us the on-ramp and, in some cases, the vehicle to drive it. These services are considered later under value-added networks.

In Patton's words, “What you need to get on the net is a fast computer and a fast modem.” Modems come in various speeds, from 2,400 to 14,400 baud and higher. Don't worry about what the numbers mean. Big is faster, and faster is better.**

Computers are connected directly to the Internet. Patton explains that to get a “raw net”—as close as a private citizen is likely to get to a direct Internet connection—you need a serial line Internet protocol (SLIP) or point-to-point (PPP) connection. They both serve as translators for your computer into the language of the net. This kind of connection is available through a number of Internet service providers.

You pay for two things: the local phone call to reach a service or access provider on the net, and a fee for the service itself. The network of lines and phone services that connect all of the machines is effectively paid for by government agencies, universities, companies, and access providers. The net is usually many nets, overlapping but only partially interlinked, from crude local bulletin boards to the “hypermedia” World Wide Web. The crudest unit of the net is a computer with a phone linked to it, left on permanently for other computers to call. There are hundreds of thousands of these “bulletin board systems” (BBS) containing every subject imaginable. Most users begin their journey on the Internet by joining a commercial on-line service. Commercial on-line services are like the shopping malls of the Internet.

Internet Tools

*Vehicles for
bringing you
data off Internet*

To grasp what the Internet really means, we need to look at the vehicles rather than the highway. On the Internet, those vehicles are a series of tools or programs that bring words and images to your screen from files and programs in distant and close computers. You operate the tools from your computer. Below are some important tools.

*File transfer
protocol*

- The file transfer protocol (FTP) is a basic tool for downloading files from distant computers.

*Ibid., 133.

**Ibid., 134.

- Gopher*
 - Gopher is a program that retrieves files. There are many Gophers in different locations now, and you can simultaneously search all “Gopherspace” in some services.
- Telnet*
 - Telnet is a program to make your computer act as if it were a terminal linked to a distant computer, making it possible for you to use programs and files from that computer.
- WAIS*
 - The wide-area information server (WAIS) is a group of programs that work together to find information on different computers according to key words related to the topic.

Access Providers

*Local links
with Internet*

Access providers are local services that provide you with a link to the Internet. Patton writes, “Generally, they also offer their own selection of bulletin boards and chat groups. In the real world, access providers are usually small offices crammed with UNIX boxes and big file servers that act as brokers between your computer and others on the net.”*

E-mail, Mailing Lists, and Newsgroups

E-mail

With nothing more than an America Online or a CompuServe account, you can send E-mail to any electronic mail address on the globe. Each of the on-line services has fairly straightforward mail to other members, and most can send to other services (from America Online to CompuServe, for example). Vice President Gore is a dedicated E-mail user, and he has stated that when he was a senator he did up to 90 percent of his work on the network.

Mailing lists

A step above E-mail is a mailing list to which you must subscribe. When you sign up, new postings about various subjects appear in your E-mail in-basket. You subscribe by sending an E-mail message to the sender of the list. Many mailing lists include “archives” of older material.

Newsgroups

Forums or newsgroups, called “forums” on America Online and CompuServe and “newsgroups” on the Internet, are virtually bulletin boards on which people of shared interests post news, queries, and opinions.

The net can carry more than words. People can download files of image and sound—even bits of video. For example, using the Internet address info.tamu.edu, you can find the president’s weekly radio address, but the promise of a full Internet lies in the World Wide Web.

The World Wide Web

*Based on hypertext
and key word
linkage*

The World Wide Web is a new way of exploring the Internet based on hypertext, in which documents are linked to others by key words that lead to other documents. For example, you can start with “art” and work your way down to specific museums and then specific collections by a certain painter stored at sites located around the world. The Web is intended to be simpler to use than Gopher or WAIS. You can recognize a

*Ibid., 136.

Web address by the prefix `http://`. The *http* stands for “hypertext transfer protocol.”

Mosaic

To deal with the Web, you need new kinds of programs called browsers, the most famous of which is Mosaic. Mosaic is a program that follows the strands of the Web from one “site,” or “page,” to another. It brings in the sounds and images of the net—if you have a powerful enough computer. And it’s free—sort of. You can download it from the National Center for Supercomputing Applications (NCSA), who developed it. However, it requires a SLIP or PPP connection to use it, and it can run very slowly on many personal computers.

Vice President Gore, speaking about the long-range potential of the information highway, said that

any business that assumes the information superhighway will not have a profound impact on its future is making a mistake. Just as the telephone system revolutionized the way every business operates, just as the computer is even now revolutionizing the way business is operating, the information highway will do the same. New services that we don’t even dream of right now will be huge players in the economy of the next decade.*

For more details about Internet, we suggest you read Daniel P. Dern’s *The Internet Guide for New Users*. Dern’s book is an easy-to-follow, step-by-step guide that gives you all the information and instructions needed to join, understand, and use the world’s largest network.

Value-added Networks

Commercial services

Value-added networks (VAN) are commercial services that offer a number of informational and communications tools to users who typically connect to the service over telephone lines via a modem. Some examples of VANs are CompuServe, Prodigy, and America Online. AOL is used below as an example of VAN utility.

America Online

America Online is a telecommunications (two-way communications via telephone lines) company located in Vienna, Virginia, near Washington, D.C. Created in 1985, it was founded to offer on-line service that was affordable, easy to hook up and to use, useful, and fun. Tom Lichty, in his book *America Online for Windows Tour Guide*, stated that America Online is “a place where people could meet, learn, explore, make friends, and share the wonders of telecommunicating.”**

AOL services

Defining America Online is not easy. It is a vast network of members who use a computer, a modem, and a telephone line to connect with a destination—to go on-line. America Online offers many telecommunications services: movie and book reviews, airline tickets, rental cars, and hotel reservations, stock quotations, news and weather reports, and databases to research prices of everything from running shoes to hardware prices.

America Online offers an electronic mail service that allows you to exchange electronic mail with anyone who uses E-mail regardless of whether they are AOL members or not. And if they do not use E-mail, you

*Joe Abernathy, “A Conversation with Al Gore,” *Voice*, 8 March 1994, 45.

**Tom Lichty, *America Online for Windows Tour Guide* (Chapel Hill, N.C.: Ventana Press, 1993), 1.

can fax them a message. If they do not use fax, you can send them mail via the US Postal Service with your AOL services.

In summary, value-added networks like America Online are electronic informational resources and communities of members who exchange ideas and information on topics ranging from financial planning to movies. There are several value-added networks, and most of them offer books to help you get the most from your time on-line. Remember, America Online is just one example of a VAN. You should evaluate each of these services to see which meets your needs best.

Gridlock on the Internet

Some benefits and disadvantages

The volume of E-mail on the Internet—a conglomerate of 25,000 computer networks—is about 800 million messages a month. This includes messages from friends and business contacts, junk messages, and ads posted on bulletin boards accessible to all users. There are E-mail bombs—meaningless messages that “explode” once they reach your mailbox. There are programs to filter out the junk, and you can always change your E-mail address. But you didn’t get on-line to hide. So, to get the benefits—unparalleled access to information and people—you automatically expose yourself to the disadvantages.

Air Chronicles: Air University’s Online Publication

Designed to provide professional development for airmen

Air Chronicles is an electronic magazine published by the College of Aerospace Doctrine, Research, and Education (CADRE), Maxwell AFB, Alabama. It is designed to provide an avenue for the airman to interactively research, discuss, complain, read, learn, follow, and digest issues of professional development into the next century and beyond. Its Internet address is <http://www.cdsar.afmil/ari-chronicles.htm/>.

Six categories

Although created by and for airmen, members of all services are encouraged to participate in this forum. Government and nongovernment civilians and ordinary net-surfers are welcome also. Once you access *Air Chronicles*, you can select one of six categories: The *Airpower Journal*, Contributors’ Corner, Current Issues, Book Reviews, Aviation Images, and About *Air Chronicles*.

Airpower Journal

If you select *Airpower Journal*, you will be able to access *Airpower Journal* feature articles starting with the Spring 1994 issue. Eventually, all past *Airpower Journal* articles will be on-line along with articles from *Air University Review*. A complete *Airpower Journal* index is in development. There is information available about the *Airpower Journal* staff and information on how to submit articles as well as an instant feedback feature to let the staff know exactly how you feel about an article. In the near future, *Airpower Journal* in the English version will be joined by the Spanish and Portuguese versions and soon the German, French, and Russian versions may follow.

Contributors’ Corner

Contributors’ Corner has feature-length articles not found in the *Airpower Journal*. In addition, there are shorter essays, opinion pieces, and editorials that may be very thought-provoking. These papers are not limited to the editorial focus that the *Airpower Journal* normally

employs—the operational level of warfare and strategy/policy issues—although such dialogue is still welcome. In short, Contributors' Corner is open to anything you want to talk about that is germane to the profession of arms.

Current Issues

The Current Issues category is an open forum for the discussion of whatever you want to talk about! Currently there are four permanent discussion groups: Roles and Missions, Quality, Promotions and Assignments, and What Do You Think? You can voice your opinion or play devil's advocate.

Book Reviews

Book Reviews is just what it sounds like, but there may be more than one on the same book and there is no standard length. The list is constantly increasing. Just find the book you'd like to review and click on the title, or you can get all the reviews dealing with books by a certain author. If you've read a book that hasn't been reviewed, you can submit a book review for others to read.

Aviation Images

Aviation Images is an index of places to find aviation graphics around the globe. The index resides on a server at Harvard University, but that's just the beginning of your trip if you choose this option.

*About
Air Chronicles*

About *Air Chronicles* contains lots of good information that is useful in broadening your professional education, and the interactive forums bring you into direct contact with some of the brightest minds in the Air Force. Within this category is Other Great Places.

Personnel Concept III

*Automated
personnel
management tool*

Personnel Concept III (PC III) is governed by AFM 30-130, *Base Level Military Personnel System, User's Manual*, volume 3. It is an automated personnel management tool available in every squadron. PC III terminals are interconnected at each base and within each MAJCOM. Although not a local area network (LAN), the PC III infrastructure provides units and commanders with some of the capabilities of a LAN. PC III is used to manage personnel systems and readiness, personnel relocation and employment, personnel relocations, formal training, outbound assignments, separations and retirements, personnel employment classification and training, manning, career enhancements, decorations, EPRs/OPRs, special actions, reenlistments, promotions, testing, and unit records.

*Direct personnel
records link with
higher headquarters*

PC III has a built-in feedback program (P-Status Issue/Comment Program) to establish a direct link between unit orderly room personnel and higher headquarters. This program gathers comments and suggestions to correct, modify, or improve policies and procedures using AF Form 915, P-Status Issue/Comment.

Unit commanders must request changes to the list of personnel granted access to the PC III. Commanders log in under their name and a system-generated password during their first use. They must memorize the password or designate some individual in the office to do so. They will need to access the PC III system on a regular basis. For example, information concerning enlisted promotions is available to commanders only through PC III the day before the promotions are made public, and some quality force management reports are sent directly to the commander.

Each user has the equivalent of an electronic mail in-basket located in the Office Automation application. He or she should log in periodically to check the message area of Office Automation called E-mail.

PC III also has an integrated office automation capability, including word processing, within each private directory. Electronic mail messages can be created using this feature.

Wireless Technology in the Field

Impact on deployed units

In his article in the March 1994 issue of *Signal*, Capt Todd S. Pittman discusses technological advances that will impact deployed units in the near future. Emerging wireless capability is making networks more flexible and easier to set and to maintain. While wireless local area networks may not offer as much bandwidth as wire, they do provide enough throughput and range to free the military from the crippling restraints of wire.

Wireless networks

Wireless networks employ light or radio to transmit the data signal. Infrared or laser light, with its virtually unlimited bandwidth, provides exceptionally high throughput rates. Light-wave transmission is not vulnerable to remote jamming, interception, or interference, but it does rely on a line-of-sight path. Network designers can overcome this drawback by using mirrors and carefully placed windows. In outside networks, however, light-based transmissions can be blocked by weather, moving vehicles, people, and animals.

Radio-frequency waves

Unlike light, radio-frequency waves can penetrate a limited number of walls, moving vehicles, and other obstacles, and they are not affected by rain or snow. So there are times and places when the smaller bandwidth radio waves are more desirable than light-wave transmissions. However, radio communication is susceptible to interference from other radio sources, whether it be malicious or inadvertent. Additionally, because radio waves are scattered into infinite space, there is no physical way to prevent interception.

Information Dominance

Technology and future battlefield operations

In an August 1994 issue of *Signal* magazine, Beverly Mowery discusses Speaker of the House Newt Gingrich's views on technology and future battlefield operations. According to Speaker Gingrich, the key to success is to maximize our user information to facilitate a coherent picture of the battlefield and to know at all times everything that is going on. At the same time, we must degrade the enemy's capacity to do the same. "Warfare is not about fighting," he stresses. The primary goal of warfare is to create a mismatch of such proportion that the other side does not have a chance. "This applies," he says, "to both small wars and worldwide warfare."

The flow of information from the battlefield will only increase in future confrontations. "Early in the next century, cellular phones will be available on the battlefield, and soldiers will be calling home from there," says the congressman.

Almost all training and planning for warfare early in the next century will involve preplanned realistic scenarios with simulation. By investing in

the design of virtual, real-time reprogrammable training facilities, people will be able to participate in extraordinary levels of training.

Cyberspace

The congressman also emphasizes that the United States should be prepared for creativity in opponents that it has never dreamed of because there is no assurance that the use of cyberspace will be in any way a monopoly. Cyberspace, he explains, is the correct term for what the public is calling the information highway. A highway has on and off ramps; cyberspace is a free-flowing zone to which anyone has access if he or she has a minimal amount of capital.

Global Network Access

*Explosive growth of
internetworking*

The sudden demand for internetworking has led to commercial success for new companies making the routers and bridges connecting local environments to the outside world. The consensus about the data transfer protocols grew out of the explosive success of Internet, which a decade ago was believed to be a relatively unimportant experimental network connecting academic researchers.

*Midlevel service
providers*

A whole new category of telecommunications service providers, known as midlevel, grew as a gateway between the LANs and the backbone of the national network. By mid-1993, Internet connected about 15,000 networks and 20 million users.

*E-mail access
to a myriad of
information*

Internet transcends the physical connection of host computers. It is a bubbling social laboratory in which new messaging, information, personal, and entertainment services flourish. Largely because of Internet, electronic mail has become the preferred medium of communications for academic and research and development communications. This is also true for a significant portion of the business community. Market officials envision a seamless web of interconnected networks, both wire and wireless, that will enable people to have easy access to one another and the information they need—anytime, anywhere, and in any form.

*Mobile
communications
services*

Mobile communications services already represent a sizable business base, and their importance will grow dramatically during the coming decade. Communications will continue to evolve from a traditional telephone linkage toward the virtual office environment that requires key personnel to be continually accessible through both wire and wireless communications means.

*Future impact
of video*

Video is expected to be to the 1990s what facsimile (fax) was to the 1980s. Although few videophones exist today, estimates are that there will be 20 million lines in the United States by 2010, and integrated services digital network (ISDN) videophones will be the most widespread form of service. Image and video processing will be a major force in telecommunications and information systems well beyond 2010.

The message is that technology will continue unabated, but technology is only an enabler. Users will find ways to apply technology to meet their needs, and that is the magic of the telecommunications industry.

Agencies that buy technology for its own sake, as opposed to its service-based capability, often must live with constraints that make them prisoners of inefficiency and ineffectiveness. Using a service-based capability allows the advantages of technology to continue.

The need for new technology and new forms of information

Federal government agencies have an embedded base of equipment that cannot evolve rapidly or be replaced. This makes it critical to have the ability to provide an enhanced network services connection to existing and future equipment. Network service providers must deliver new offerings that will ensure interoperability. Users expect information to be available when, how, and where they want it. This will require the simultaneous integration and delivery of multiple forms of information—voice, text, image, data, and video.

The Information Superhighway and Empowerment

Extending the information superhighway

Following are excerpts from President Bill Clinton's teleconference remarks at the State University of New York in Albany, New York, on 3 November 1994:

New York has an information superhighway project that is connecting 6,000 schools and 7,000 libraries to business and other units. This is amazing. We're going to be able to do this all over the country and all over the world. That's what the information superhighway is, people sitting in Albany, New York, communicating with people in Rio de Janeiro or in Pakistan or China or Russia or somewhere else, sharing information, learning together, growing together. These different examples show us what is possible. We cannot rest until every school and every student has access to the kind of technology we've celebrated and learned about today. That has got to be our goal.

By trying to extend the availability of this sort of technology, our primary job is not to do something for somebody else but to make it possible for other people to do things for themselves. It's the ultimate example of what is now called empowerment, and it is very exciting, very rewarding.*

Commander's Checklist

- The commander must be an advocate of new information technology as a force multiplier and capability enhancer.
- ARPANET, the progenitor of Internet, was established to connect scientists for research purposes.
- ARPANET resulted from the concept of creating a network of networks, or internetworking, thus the term *Internet*.
- Internet today is a global computer network connecting thousands of business, government, research, and educational organizations.
- The file transfer protocol, Gopher, Telnet, and the wide-area information server are tools that bring information from the Internet.
- The World Wide Web explores Internet based on hypertext in which documents are linked by key words.
- Value-added networks are commercial services that bring information and communications to users (Prodigy, America Online, CompuServe, etc.).

*President William J. Clinton, "Teleconference Remarks at the State University of New York in Albany, New York, November 3, 1994," *Weekly Compilation of Presidential Documents* 30, no. 44 (7 November 1994): 2252.

- *Air Chronicles*, is an electronic magazine designed to provide airmen with information that will enhance their professional development.
- Personnel Concept III is an automated personnel management tool that connects personal records in the unit orderly room with those of higher headquarters.
- On future battlefields, information technology will be used to give one side a coherent picture of the battlefield while preventing the enemy from having the same capability.



Deployment and the Commander

With the Air Force's range and rapid reaction, we are prepared to meet the challenges of the future . . . to provide Global Reach—Global Power.

—Secretary of the Air Force Donald B. Rice, 1990

During these austere times, with the current deployment commitments throughout the world, it is very likely that you as a commander will be required to deploy or at least to assign some of your people to some type of mobility commitment. This chapter is designed to familiarize you with some of the general deployment requirements and provide you with a checklist and glossary of terms. The chapter *will not make you the expert* and is not intended to do so. It will, however, provide you with a working knowledge base to make sure the job is getting done, to ask the right questions, and to prepare your squadron to meet any mission at any time.

Commander's responsibility

As the commander, you are ultimately responsible for the squadron's mobility planning, training, and execution. Additionally, you are responsible for preparing all equipment, containers, and vehicles (if applicable) for deployment. You are also responsible for the preparedness of all unit personnel. This includes everything from ensuring that the proper grade and skill level are assigned to mobility positions to publishing a minimum clothing list for deploying personnel.

The chapter is broken down into three main sections: predeployment, deployment/redeployment, and postdeployment. Each section gives you a general overview of requirements for most deployments—requirements learned from personal experience, research, and survey responses. These requirements are generic in nature and are not related to a specific mission, squadron, or command. Each command will have specific requirements that need to be considered in deployment preparation. Lt Gen William Pagonis stated that

it is centralized planning that prevents suboptimization among functional departments in the logistical field and elsewhere. It is centralized planning that creates the screen through which ideas, good and bad, can be filtered.

Equally important is decentralized execution. It has been said, and I firmly believe, that everybody is an expert within their own twenty-five square feet. In order to draw on that expertise, the organization has to download as much

authority as possible. People need to be given a vision and a plan, trained, and then turned loose.*

It is this planning and training this chapter will address.

Predeployment

Planning ahead

As stated by Gen H. Norman Schwarzkopf, "It doesn't take a hero to order men into battle. It takes a hero to be one of those men who goes into battle."** And it takes a conscientious commander to prepare his or her troops for that battle. One of the most important aspects of deployment is preparing for a deployment. Predeployment planning can be the deciding factor between a successful or unsuccessful deployment. The preparations you and your squadron make ahead of time can alleviate many frustrations and problems when the actual deployment is at hand.

Your Mobility Section

Recommendations for establishing mobility section

When you assumed command, hopefully you also inherited a strong and established mobility section. If not, then the first step you need to take is to hire the right people for the right jobs. Mobility is an additional duty for an individual who is motivated and has the initiative to do what is necessary. Following is a list of duties you will need to accomplish to get this section established. We recommend that you assign these duties and send letters to the appropriate base agencies so they know who in your squadron is responsible for accomplishing each of these duties.

1. Appointment of unit deployment manager; contingency operation/mobility planning and execution system (COMPES) monitor; classified, weapons, and munitions couriers. If you do not have classified, weapons, or munitions, tailor this list for your unit.
2. Authority to Certify DD Form 1387-2, Hazardous Cargo.
3. Personnel and cargo assembly areas.
4. Small arms owner/user authorization list.
5. Cargo increment managers.
6. Small arms receipt authorization list.

Prepare personnel and equipment to deploy

Your mobility section will be the hub of your mobility wheel. This office will be responsible for the overall preparation of your personnel and equipment to deploy at a moment's notice. Following are some of the areas needed to be covered to ensure success. As a reminder, this is only a guide to help you and is not all inclusive. Your people should tailor your program to meet the needs and requirements of the squadron.

- Develop personnel readiness folders for all unit task code (UTC) tasked personnel. Have a personnel readiness folder inspection checklist in

*Gen William Pagonis and Jeffrey L. Cruikshank, *Moving Mountains: Lessons in Leadership and Logistics from the Gulf War* (Boston, Mass.: Harvard Business School Press, 1992).

**Gen H. Norman Schwarzkopf, commander of the Allied Forces in the Gulf War, from a television interview with Barbara Walters, 15 March 1991.

each folder. (See sample of “Individual Mobility Requirements” at the end of this chapter.)

- Ensure that telephone alert checklists are current and on hand.
- Assign squadron personnel to required position numbers (recommend a primary and alternate if possible) in accordance with UTCs.
- Ensure personnel assigned to mobility comply with AFR 35-39, *Dependent Care Responsibilities*. (See chapter 3.)
- Develop and ensure that mobility training is conducted on a continuous basis to train new personnel and keep personnel current with procedures. Conduct an initial briefing for new personnel and annually thereafter.
- Be familiar with the base mobility plan and all operational plans that affect the squadron either directly or indirectly.
- Perform periodic inspections of mobility bags and equipment to ensure readiness.
- Issue chemical warfare equipment and ensure that personnel are trained in its use. Some bases will centralize this function at the base level.

Ensure that the mobility section keeps you informed of any limiting factor (LIMFAC) affecting your squadron. You need to keep abreast of your squadron’s capabilities and problems. The decision to deploy with a shortfall may rest on your shoulders. You need to be prepared to have an alternate plan of action.

Deployment

More often than not, your people will deploy without you unless the entire squadron is deployed at once. Normally, however, only some of your personnel will deploy in support of a certain contingency. Here is where your mobility preplanning will pay off. If your mobility section has done its job, your personnel will be prepared to deploy and their families will have all the required business (i.e., dependent care, wills, power of attorney, etc.) taken care of in advance. The following tips are for the nondeploying and deploying commander to help their folks out of the chocks.

Nondeploying Commander

*Advice for the
nondeploying
commander*

Since you are staying behind, you need to make yourself visible and available during the mobility process to lend support to both the deploying personnel and their families. They need to see their commander just before they leave to know that they have your support and that you will be there for their families while they are gone. Speak to the group as a whole and to as many individuals as possible.

If the deployment is to be extensive, make sure a spouses’ support group is established to take care of matters at home. It will ease the troops’ minds if they know their family has the support of the squadron that is left behind. Get volunteers to help with childcare, yard work, car repair, and so

forth. Another good idea is to have a periodic spouse get-together to provide support.

Do not deploy your first sergeant unless the entire squadron is going. The major problem you will have is dealing with the families back home, and most of your troops will be home also. Assign a senior NCO to be the acting first shirt at the deployed location. Have your first sergeant design a deployed first sergeant continuity book ready to help the deployed first sergeant.

Stay in constant contact with your deployed representative. Make sure you set up communications immediately, if possible, and assist in any way necessary. Provide advice and answer questions, but remember that you have assigned a deployed commander to be in charge in your place, so let that person do their job. They may make mistakes, but so do all commanders at first.

Deploying Commander

*Advice for the
deploying
commander*

If you deploy, it is most likely your entire squadron is going with you. In that case, you will have a different set of challenges. Some of the problems may be the same, but your ability to handle them due to your location is a challenge.

Of course, the first thing you need to do is to make sure your squadron has adequate housing, messing, and sanitary facilities. Hopefully, this has been established in advance, but if not, this is your main priority. Once this is taken care of, you can concentrate on the squadron's work environment. If a site survey of the area was performed in the predeployment planning, you already know if the facilities are adequate. If not, you will need to swing into action to get the support your troops need.

Establish contact with home and set up a routine connection to get any information about problems with families left behind. Not only should you get the bad news but also the good. It will mean a great deal to a squadron member if you know and acknowledge the birth of a child or some other personal event.

Verify all information and make sure you have all information on any Red Cross notices. Even though Red Cross personnel do a good job, they can make mistakes. Before you upset a unit member, make sure that the facts are accurate and that you know what is necessary—names, dates, places, and circumstances. During the Gulf War, a member was notified of the death of an uncle but didn't know which one. He had five. Another time a member was told his mother had died, when in fact she was off visiting her sister. Deployed troops have enough on their minds without false information. BE VIGILANT.

Set up some sort of recreational activities for the squadron during nonduty hours. It is important for folks to be relieved from the stress of being away from home. It also helps pass the time if individuals are busy and have the opportunity to relax. If possible, establish morale calls so that the troops can call home. These calls are legal and encouraged when the appropriate time constraints are enforced.

Keep a semblance of normalcy. Make sure promotions are conducted with the pomp and circumstance of home. Hold abbreviated commander's calls and get out among the troops. Celebrate holidays and decorate if possible.

Leave a few folks home to keep the administration end flowing. Although your entire squadron is away, the paperwork keeps coming. During the Gulf War, it took literally months after redeployment for squadrons to finally straighten out the massive paperwork that had accumulated. And many essential documents were misplaced in the shuffle. If it is not possible to leave anyone behind, arrange for a loan of personnel from a squadron not deploying. Turning out all the lights and locking the doors does not keep the paperwork away.

Redeployment

Once the deployed troops are returning to their home station, the commander must be active in planning for their return. This is true regardless of whether he or she deployed with the troops or stayed behind.

Nondeploying Commander

*Advice for
nondeploying
commander when
troops return*

When your troops are coming home, you and your first sergeant should be there to meet them, regardless of the hour or day. It is important for your personnel to know that you think their job was important and you are happy to have them home. Also, make sure the families are notified of arrival times and arrange for a place to reunite the families. If possible, get the families to the flightline, at base operations, or transient alert to meet their spouse as they deplane.

Have an area set up in a hangar or the like where families can wait for luggage to be off-loaded. If a large number of troops are returning, it is a good idea to have areas taped or roped off alphabetically so that the baggage can be separated as it comes off the pallets. That way personnel can spend time with their families and then just pick up their bags and head home.

It would also be good to have some type of refreshments (sodas, coffee, snacks, etc.). Often, if it is a large deployment that has been gone for 30 days or more, local restaurants will donate refreshments.

Arrange to have finance and unit personnel office representatives available to accept travel vouchers and to process leave paperwork. If you have more than 30 personnel returning, it is better to have the personnel fill out their travel vouchers in advance. Since personnel are all traveling together, the information will generally be the same. One individual, the deployment commander or his or her representative, can collect all signed vouchers and turn them in to the representative from finance. In this way, you know all vouchers have been completed. As with travel vouchers, if personnel will be taking leave, have the forms filled out in advance and have the unit personnel office representative have a block of leave numbers available to speed up processing.

Try to arrange a light workload (flying, maintenance, etc.) after a large deployment. You will have some folks who want to take leave, or you may want to give them a few days off to get their personal matters in order. Don't expect your personnel who are left at home to carry the burden of filling in for missing deployment members after their return because you did not plan ahead for the lack of personnel.

Have your assigned deployment commander provide you with an after-action report on any shortfalls and recommendations that will help you plan for future deployments.

Deploying Commander

You will need to arrange with someone at home station to make sure that all the advice given above to the nondeploying commander will be accomplished.

Postdeployment

*Recommendations
for the commander
in the
postdeployment
period*

Make sure your mobility section annotates and corrects problems that occurred during all phases of the deployment. We recommend that this happen within the first 30 days after a major deployment. If you wait much longer, other priorities crop up and people have a tendency to forget what went wrong.

Keep the after-action reports as a reminder and a review tool. They will jog your memory for the next deployment and may prevent history from repeating itself.

Survey your personnel who deployed and find out from them what could have made the deployment run smoother, what they needed and did not have, and what their recommendations are. You may be surprised at some of the excellent ideas that come from your troops.

Summary

This chapter has touched on just a few of the items you need to ensure that your squadron's deployment goes smoothly. Whether deploying a few individuals or the entire squadron, it's up to you to make sure your people are provided for. Don't expect your people to take care of the mission when you haven't taken care of them.

Following are definitions of commonly used mobility terms and a checklist for your use. Again, the list of definitions and checklist are not all inclusive and need to be tailored to your squadron.

We hope that you at least have a starting point to lead your squadron through a successful deployment. Good luck!



Definition of Terms*

Advanced Echelon (ADVON). An initial deployment element of personnel and equipment within a specific unit type code (UTC). The ADVON portion of a UTC normally consists of the equipment and personnel required to establish an austere operational capability for a period of up to seven days.

Airlift Control Element (ALCE). A functional airlift organization (provisional) established to provide support to air elements at an air facility. Normally, it includes an operations function such as movement control and communications, a support function that relates to the air facility itself, and a liaison with appropriate airborne or other air units. Use "A" as the first position of the deployment echelon code in COMPEs.

C day. The unnamed day on which a deployment operation commences or is due to commence. The deployment may be movement of troops, cargo, weapon systems, or a combination of these elements using any or all types of transport.

Crisis Action Team (CAT). Command and staff personnel assembled to respond to war and certain contingency or emergency situations that require continuous action. Its purpose is to provide continuous response during periods of increased readiness and expanded operations.

D day. The unnamed day on which a particular operation commences or is due to commence. An operation may be the commencement of hostilities. D day is considered to be a specific date which ends at 2400Z.

Deployment. In the strategic sense, the relocation of forces to desired areas of operation.

Deployment Manning Document (DMD). A document listing the names of the personnel filling the requirements identified in the deployment requirements document.

Employment. The tactical usage of aircraft in a desired area of operations. In airlift operations, a movement of forces into or within a combat zone or objective area, usually in the assault phase.

Frustrated Cargo. Any shipment of supplies and or equipment which, while en route to destination, is stopped before receipt and for which further disposition instructions must be obtained.

H hour. The specific hour on D day at which a particular operation commences.

Installation Mobility Officer (IMO). Individual who is the senior or host unit mobility officer. Acts for the commander in the overall direction, control, and coordination of deployments from the base and maintains base mobility guidance.

L hour. The specific hour on C day, expressed in Greenwich Mean Time, that serves as a common reference time from which the movement of weapon systems, equipment, supplies, personnel, and transportation is measured during deployment operations. Preplanned deployment activities can be scheduled before or after L hour.

*Adapted from Air Combat Command Regulation (ACCR) 28-2, *Air Combat Command Mobility Planning*, 9 October 1992, 95-112.

Limiting Factor (LIMFAC). A shortfall that has a significant impact on the capability to perform the wartime mission.

Mobility. A quality or capability of military forces which permits them to move from place to place while retaining the ability to fulfill their primary mission.

Mobility Bags. Bags authorized for individuals which contain items of organizational clothing and equipment.

Operation Plan (Oplan). A plan for a single or a series of connected operations to be carried out (executed simultaneously or in succession). The Oplan is usually based on stated assumptions and is in the form of a directive by higher authority to permit subordinate commanders to prepare supporting plans and orders.

Personnel Readiness Folder (PRF). A folder maintained for each individual filling a mobility position. It contains materials (i.e., dog tags, shot records) enabling a person to rapidly deploy as well as a documentation source for individual readiness briefings.

Personnel Readiness Unit (PRU). The consolidated base personnel office work center that serves as the focal point to develop and monitor inprocessing or outprocessing actions for deployments, exercises, or rotational temporary duty requirements.

Q hour. The hour mobility operations start in preparation for deployment. The notification reference point to begin all mobility actions.

Redeployment. The transfer of a unit, an individual, or supplies deployed in one area to another area, or to another location within the area, or to the zone of interior for the purpose of further employment.

Shortfall. The lack of forces, equipment, personnel, material, or capability apportioned to and identified as a plan requirement that would adversely affect the command's ability to accomplish its mission.

Unit Type Code (UTC). A five-character alphanumeric designator that identifies a specific capability. The USAF War and Mobilization Plan, vol. 3 (WMP-3), lists the UTCs for all Air Force capabilities. UTCs are used by unified and specified commands, Headquarters USAF, and the Joint Chiefs of Staff to identify forces required to support contingency plans.

War Reserve Materials (WRM). That material required, in addition to peacetime assets, to support the planned wartime activities reflected in the USAF war and mobilization plan. WRM includes station pylons, spares and repair parts, air-transportable housekeeping equipment and supplies, base augmentation and maintenance and operations support sets, vehicle reserve sets, chemical equipment and supplies, biological defense equipment and supplies, aviation and ground petroleum, oil, and lubricants, rations, and other war consumables, equipment, and supplies designated or authorized as WRM according to established policies.

Selected Readings:

Air Force Instruction (AFI) 10-403, *Deployment Planning*, 10 June 1994.

Air Combat Command Regulation (ACCR) 28-2, *Air Combat Command Mobility Planning*, 9 October 1992.

Air Combat Command Publication (ACCP) 700-27, *Deployed Communications Squadron Commander's Checklist*, 6 April 1993.

Commander's Checklist

• Predeployment

- ☐ Assign mobility duties with letters sent to agencies.
- ☐ Develop readiness folders for UTC-tasked personnel.
- ☐ Ensure that personnel assigned to mobility positions comply with AFR 35-39, *Dependent Care Responsibilities*, and have all their personal business taken care of before the deployment (i.e., wills, powers of attorney).
- ☐ Be familiar with the base mobility plan and all operational plans that affect the squadron.
- ☐ Perform periodic inspections of assigned mobility bags and equipment.
- ☐ Ensure that mobility personnel are issued chemical warfare equipment and receive appropriate training.

• Deployment

- ☐ **Nondeploying Commander:**
 - ☐ Stay visible to lend support to your deploying personnel and their families.
 - ☐ Develop a spouse support group if the deployment is for a long period of time.
 - ☐ Do not deploy your first sergeant unless the squadron goes as a group.
 - ☐ Assign one individual as your deployed representative and stay in contact with him/her.
- ☐ **Deployed Commander:**
 - ☐ Make sure your people have adequate housing, messing, and sanitary facilities.
 - ☐ If a site survey has not been done during the predeployment phase, you need to find out exactly what your people need to do their job.
 - ☐ Establish communication lines with home so personnel can get family information, both good and bad.
 - ☐ Make sure you get accurate information from the Red Cross if an emergency should arise.
 - ☐ Set up recreational activities for your personnel at the deployed location so they can relieve stress.
 - ☐ Strive to keep things at a normal pace (i.e., commander's calls, promotions), celebrate holidays and try to decorate for the occasion.
 - ☐ Try to leave some people home to handle the paper work.

- **Redeployment**

- ☐ **Nondeployed Commander:**

- ☐ You and the first sergeant need to meet your troops upon their arrival home.
- ☐ Notify families of the arrival time and place so the families can meet their spouses.
- ☐ Set up an area in a hangar for luggage to be off-loaded.
- ☐ If it is a large group, arrange for finance and unit administrative personnel to help with leave slips and travel vouchers.
- ☐ Try to arrange the workload so it will be light after a large deployment.

- ☐ **Deploying Commander:**

- ☐ Make sure the nondeploying commander section is accomplished before you return.

- **Postdeployment**

- ☐ Make sure the mobility section annotates and corrects problems that occurred during all phases of the deployment.
- ☐ Keep the after-action report as a review tool for the next deployment.
- ☐ Survey your personnel who were deployed and ask what could be done to make the deployment run smoother.

INDIVIDUAL MOBILITY REQUIREMENTS

YEAR

10 workdays after mobility position number is initial each item.

INSTRUCTIONS: All actions must be completed or scheduled NLT assigned. The individual and Mobility Officer/NCO/supervisor must

STATUS CODES - Code the inspection record as follows:

- ✓ --- ON HAND, COMPLETE; SERVICEABLE; PROPERLY PREPARED
- X --- SHORT; INCOMPLETE; IMPROPERLY PREPARED ITEM. MUST BE CORRECTED AND REINSPECTED WITHIN 10
- ⊗ --- SUCCESSFUL REINSPECTION
- NR --- NOT REQUIRED

WORKDAYS.

NAME (Last, First, MI)		AFSC		SUPERVISOR		AFSC		PRIMA/UNIT/SHOP	
REQUIREMENTS				DAY/MONTH/YEAR		INDIVIDUAL'S INITIALS		DEPLOYMENT ELIGIBLE	
DOCUMENTATION								QUARTERLY/SEMIANNUAL INSPECTION RECORD	
AF FORM 141, LEAVE AND EARNINGS STATEMENT (IF NOT ON								S Q S Q	
LOCATOR AND PROCESSING								DIRECT DEPOSIT)	
								AF FORM 245, EMPLOYMENT CHECKLIST	
RELIABILITY PROGRAM (PRP)								AF FORM 286, PERSONNEL CERTIFICATE	
CARE CERTIFICATION								AF FORM 357, DEPENDENT	
								AF FORM 1297, TEMPORARY ISSUE RECEIPT (FOR ISSUE OF MINI C-1 BAGS AND WEAPONS TO CARGO COURIERS)	
								DD FORM 2AFAC, UNITED STATES UNIFORMED SERVICES ID CARD (Accountable Form)	
								DD FORM 93, RECORD OF EMERGENCY DATA	
								DD FORM 1334, GENEVA CONVENTIONS IDENTITY CARD FOR	
								MEDICAL AND RELIGIOUS PERSONNEL WHO SERVE IN OR ACCOMPANY THE ARMED FORCES	
								PHS 731, INTERNATIONAL CERTIFICATE OF VACCINATION	
								USAF RESTRICTED AREA BADGE	
								PASSPORT (NOT FOR MOBILITY)	
US GOVERNMENT DRIVERS LICENSE									
2 SETS BAGGAGE TAGS									
WILL									
POWER OF ATTORNEY									
OTHER									
ID TAGS AND CHAIN									
S (2 PAIRS)								PRESCRIPTION GLASSES	
INSERTS								GAS MASK SPECTACLE	
								HEARING AIDS	
EQUIREMENTS								PERSONAL CLOTHING	
ENT								PROFESSIONAL EQUIP	
TRAINING								TRAINING	
								SMALL ARMS QUALIFIED	
								SELF-AID/BUDDY CARE	
								CHEMICAL WARFARE TRAINING	
								PALLET BUILD-UP/CARGO PREPARATION	
								HAZARDOUS CARGO CERTIFICATION	
								RELIGIOUS SENSITIVITY, FOREIGN CLEARANCE GUIDE BRIEFING	
								OTHER REQUIRED TRAINING	
First, MI)				DATE		SIGNATURE OF INDIVIDUAL		DATE PLACED ON	
						MOBILITY		MOBILITY OFFICER NAME (Last,	

ACC FORM 160, NOV 92

PARING ACC FORM 160

INSTRUCTIONS FOR PF

der.

1. Everyone placed on mobility will maintain this form in their personnel readiness fo

or.

a. This form will be completed by the individual and the Mobility Officer/Supervi

b. All mobility requirements on this form must be completed or scheduled NLT 10 workdays
after an individual has been placed on mobility.

c. When an item is on hand, complete, serviceable and properly prepared, or when training
is complete, the individual and the Mobility Officer/Supervisor will initial and date each item.
Completed items, not scheduled items, will be initialed.

is complete
Only con

fficer/Supervisor and individual will conduct a review of the personnel readiness
required by ACCR 28-2.

2. Mobility
folders as re

be used to document reviews.

a. The inspection section of the form will

at the top of the form. Record in the folder the
614 may be used.)

b. Each item will be coded using the ledger
location of any withdrawn items. (AF Form

h the individual and Mobility Officer/Supervisor

c. The date of the review and initials of bo
will be documented at the bottom of the inspection section.

as a continu-

3. If additional information is required, use AF Form 2519, All Purpose Checklis
ation sheet.



Sensitive Issues

Excellent leaders stand for absolute integrity, absolute honesty. They preach the concept of honesty in the organization. Excellent leaders practice integrity in thought, word, and deed. And they insist upon the integrity and honesty on the part of their subordinates. They also see themselves as responsible for the unit's discipline. A military organization absolutely depends on discipline . . .

—Gen W. L. Creech

This chapter provides information to help you, the commander or supervisor, deal with various sensitive issues you may face in your capacity as a commander. In today's high-threat environment of “political correctness” and legal pitfalls, the commander must travel through a virtual minefield of sensitive issues. From coping with the homosexual policy and AIDS to surviving multiple environmental laws and the Department of Defense Directive (DODD) 5500.7-R, *Joint Ethics Regulation*, commanders must be able to recognize when they face a sensitive issue and be able to respond appropriately.

The issues addressed in this chapter are not all encompassing, but they are included to stimulate some thought and awareness. It is impossible in the space and time allotted to completely answer all questions that may pertain to each issue discussed. Rather, the purpose is to sensitize you to the factors relating to the various issues, and then direct you to the pertinent source of information or assistance.

Air Force Relations with Congress

REF: AFI 90-401, DOD Directive 5400.4, *Provision of Information to Congress*

OPR: Commander, Installation Commander, SAF/LL

OCR: Installation Public Affairs, Installation SJA, MAJCOM Public Affairs

It is Air Force policy to cooperate fully with the Congress, and so we give full and timely response to congressional inquiries, investigations, and visits.

*Congressional
inquiries to
Congress*

Commanders must respond promptly and factually to direct requests for information from members of the Congress and their staffs. The secretary of the Air Force (SAF) has given the Office of Legislative Liaison (SAF/LL) the authority and responsibility for relations with

the Congress, the Executive Office of the President and Vice President, the Office of the Secretary of Defense, and other governmental agencies. While you can respond to requests for information, it is imperative you keep SAF/LL involved by faxing that office a copy of the inquiry within 24 hours of receipt and a copy of the proposed response for review. If you are an overseas commander, SAF/LL will want to work more closely with you since issues may be more sensitive or controversial in nature. Refer to paragraph 4.4 of AFI 90-401 for guidance on inquiries to overseas commanders. Regardless of your location in the world, be sure to properly safeguard classified information in the interest of national defense according to AFI 31-401, *Information Security Program Management*. While all senators and representatives hold Top Secret clearances, SAF/LL determines what information is pertinent within their jurisdiction.

*Congressional
visits*

Members of Congress and their staffs may need to visit your activity. The Air Force fully supports these visits and may provide transportation with SAF approval. There are some restrictions on visits during election years and to partisan political activities. Contact SAF/LL or Public Affairs in the Office of the Secretary of Defense (SAF/PA) about the restrictions if in question. If the visit is in support of congressional field hearings and investigations, SAF/LL will be the commander's liaison with the secretary of the Air Force for all reports requiring SAF attention. Members of Congress and their personal committee staff are entitled to courtesy, access to your base, and use of facilities to conduct their work. Commanders must ensure that all people fully cooperate with committees during hearings and investigations. If SAF/LL personnel do not escort members and their staffs, commanders should inform SAF/LL about the outcome of the visit, including the site and length of the visit; names of visiting members; the deficiencies they disclosed; their requests for information; and the corrective actions taken.

*Community
activities*

Notify SAF/LL when local plans may generate significant community interest and in turn may interest members of Congress. When you plan to invite them, send SAF/LL the signed invitation explaining the details of the event 60 days in advance. Make no public announcement until SAF/LL confirms that the guests will attend. Coordinate with SAF/LL when members of Congress or their staff members plan to visit your activity and the visit has not been previously coordinated.

Commander's Checklist

- Respond quickly and completely to congressional inquiries.
- Involve SAF/LL in every congressional inquiry, visit, and investigation.
- Contact SAF/LL or SAF/PA about restrictions, if any, on visits by political officeholders.
- Safeguard classified and sensitive information even though congressional members may have Top Secret clearance.
- Refer to AFI 90-401 for deadlines to notify SAF/LL of an inquiry, and involve your local and MAJCOM public affairs and legal offices for support.

Environmental Law

REF: AFI 32-7000 Series Instructions, Various Federal and State Environmental Laws

OPR: Commander, Environment Protection Committee (EPC)

OCR: Staff Judge Advocate, Civil Engineering

Air Force policy

Throughout the past 25 years or so, the government and regulators have attempted to protect the environment by enacting a myriad of environmental laws and regulations. Many of the environmental statutes have been in response to actual or perceived environmental disasters (the Cuyahoga River fire, Love Canal, the Union Carbide plant in India, etc.). The Air Force is committed to complying with environmental laws and regulations, even when not required by law.

The costs (both fiscal and manpower) associated with environmental programs are staggering, especially at a time when budgets and manpower are shrinking. This means that every commander must be familiar with the multiple constraints under which we must operate and be sensitive to any interface between the mission and environmental restrictions. Any delay in responding to environmental problems may cost thousands of dollars and may hamper a base's ability to perform its mission. Not only must commanders be concerned due to mission impacts, but they must also realize that there is precedent for personal criminal liability.

Environmental laws

Generally, environmental laws that constrain Air Force activities may be divided into two categories: planning laws and pollutant laws. Planning laws restrict the Air Force from implementing decisions that adversely affect the environment. Laws such as the National Environment Policy Act (NEPA), the Endangered Species Act, and the National Historic Preservation Act all limit the ability of the Air Force to implement decisions that would impact the environment. Pollutant laws establish pollution control regulations that apply to the Air Force. These laws involve areas that involve water (Clean Water Act and Safe Drinking Water Act); air (Clean Air Act); noise (Noise Control Act); hazardous wastes (Resource Conservation and Recovery Act [RCRA] and Comprehensive Environmental Response, Compensation and Recovery Act [CERCLA]); toxic substances (Toxic Substances Control Act); and pesticides (Federal Insecticide, Fungicide, and Rodenticide Act).

While it may appear a daunting task to understand each of the environmental laws and regulations that restrict or impair Air Force activities, there are environmental experts within the Air Force organization to guide and assist commanders through this process. At base, MAJCOM, and regional levels, there are engineering and legal experts available to provide support in the environmental arena.

Commander's liability

All the pollution abatement statutes (e.g., air, water, hazardous waste) carry civil and criminal penalties. Each of these statutes may be enforced by federal or state agencies. Under normal circumstances, military members and civilian employees are exempt from *civil* or administrative

penalties. The regulators seek civil penalties from the Air Force. However, the situation with respect to *criminal* liability is currently evolving.

Traditionally, criminal liability has attached only in environmental situations that involved criminal intent or wanton disregard of law or public safety. Recently, enforcement agencies (including the Department of Justice) involved in hazardous wastes and control of hazardous substances have sought to reduce the “wanton” threshold to a “benign neglect” standard for supervisory personnel. In fact, they have successfully prosecuted private corporate officials under this standard.

The standard the Department of Justice has enunciated is the “responsible corporate officer doctrine.” Under this doctrine, high-level supervisory personnel can be held criminally responsible for the acts of subordinates in cases in which the supervisor exercises control over the activities giving rise to the violation, *despite an apparent lack of knowledge regarding the specific violations*.

On 23 February 1989, the US District Court for the District of Maryland found three Army civilian employees (an SES-4, GS-15, and GS-14) guilty of storing and disposing of hazardous wastes in violation of the Resource Conservation and Recovery Act (RCRA) at the Aberdeen Proving Ground. They were sentenced to three years probation on 12 May 1989. This case set a precedent for criminal prosecutions of military personnel. Regulators viewed this case as one to be emulated when federal facilities refuse to comply with environmental laws. The defendants were accused of storing, treating, and disposing of a variety of hazardous wastes from 1983 through 1986 without permits, *knowingly violating* RCRA and Army regulations. The defendants were found guilty based on their responsibilities under RCRA and Army regulations to obtain permits and supervise those who handled the waste; on their personal knowledge of the RCRA violations; and on their failure to respond, when repeatedly warned, that their failure to obey RCRA violations did cause harm.

The Department of Justice did not provide attorneys to represent these defendants and forbade the Army from providing defense attorneys at the Army’s expense. Ultimately, attorney fees reached a total \$250,000. The message of Aberdeen goes beyond hazardous waste since most environmental protection laws have similar criminal provisions where penalties include prison and monetary penalties.

Aberdeen has not been an isolated instance of criminal liability. Since Aberdeen, there have been more Department of Justice prosecutions of Federal employees for environmental offenses. For example, an Army civilian manager of the Fort Meade, Maryland, wastewater treatment plant was convicted of nine felony counts for violating permit and falsifying reports, and he was sentenced to eight months in jail; a Navy manager of an exchange auto repair facility was convicted of illegal dumping of radiator fluid containing antifreeze, and he was sentenced to one-year probation and a \$500 fine; a sewage treatment plant foreman (civilian) at March AFB, California, was convicted of falsifying records and sentenced to a \$5,000 fine and 18 months in jail, both suspended; a Navy employee in San Diego was convicted of illegal disposal of hazardous waste and sentenced to community service and probation; three Army civilians (two GS-12, one GS-11) at Fort Benning, Georgia, were indicted for violations of

the Endangered Species Act and making false official statements (two were placed in pretrial diversion and ordered to pay a \$1,500 civil penalty, while charges against the other were dropped).

It is obvious that the Department of Justice will not be hesitant to prosecute anyone who disregards environmental statutes and regulations. Many factors play into the decision of whether to prosecute—voluntary disclosure of violation before the regulators find out, cooperation with regulators, good faith self-auditing program (i.e., ECAMP), internal disciplinary action, and subsequent compliance efforts, such as serious ECAMP follow-up. In order to stay out of trouble, it is a good idea to document your efforts to comply and to promote the environmental ethic (training and discipline). Your defense against being charged for active, knowing participation in illegal activities is quite simple: obey the law, or if you are in violation, work with your federal and state environmental regulators to get into compliance with the law. Your defense against being charged for a violation of the law in your role as a supervisor is *vigilance*. Keep informed about what is going on environmentally on the base; consult with civil engineering and the staff judge advocate on matters of environmental compliance.

Commander's Checklist

- Commanders must realize that there is precedence for personal criminal liability in environmental violations.
- There are two types of environmental laws that constrain Air Force activities:
 - ☐ Planning laws
 - ☐ Pollution laws
- Military members and civilian employees are exempt from civil penalties.
 - ☐ Criminal liabilities attach only to cases involving criminal intent and wanton disregard of the public safety.
 - ☐ The Department of Justice standard is that high-level supervisory personnel can be criminally responsible if they exercise control over activities giving rise to environmental violations.
- The Aberdeen Proving Grounds case set the precedent for criminal prosecution of military personnel for environmental violations.
- Tips to stay out of trouble:
 - ☐ Voluntarily disclose violations.
 - ☐ Cooperate with the regulators.
 - ☐ Have a good faith self-auditing program.
 - ☐ Take internal disciplinary action.
 - ☐ Document efforts to promote the environmental ethic.
 - ☐ Be vigilant about what is happening environmentally on base.
 - ☐ Consult with the base civil engineers and staff judge advocate on environmental compliance.

Table 3
**MAXIMUM PENALTIES FOR VIOLATING
FEDERAL ENVIRONMENTAL REQUIREMENTS[†]**

STATUE	CIVIL PENALTY*	CRIMINAL PENALTIES*	
		Willful or Negligent Violation	Withheld or Falsified Information
Clean Air Act	Administrative Penalty: Up to \$200K Field Citations: \$5K Injunctions		Fines of up to \$250,000 and 5 years in prison
Comprehensive Environmental Response, Compensation, and Liability Act	\$25K 1st \$75K 2d	5 Years in Prison	5 Year in Prison
National Environmental Policy Act	Injunction	N/A	N/A
Resource Conservation and Recovery Act	\$25K/Day Injunction	\$50K/Day 2 Years in Prison (first offense) \$100K/Day 4 Years in Prison (subsequent offenses) \$250K*** 15 Years in Prison (knowing endangerment)	\$25K/Day 1 Year in Prison
Federal Insecticide, Fungicide, and Rodenticide Act	\$1K**	\$1K	N/A 1 Month in Prison
Toxic Substances Control Act	\$25K/Day Injunction	\$25K/Day 1 Year in Prison	NA
*Amounts do not include additional award of attorney fees. **Injunction may be granted if suit brought under the Administrative Procedures Act. ***Organizational defendants may be fined up to \$1 million.			

[†] Reprinted with permission from *The Military Commander and the Law*, Air Force Judge Advocate General School, Maxwell AFB, Alabama.

Fraternization and Professional Relationships

REF: AFI 36-2909, *Fraternization and Professional Relationships*

OPR: Commander, Supervisor

OCR: Commander, Staff Judge Advocate

Air Force policy

Professional relationships are essential to the effective operation of the Air Force. Professional relationships are defined as the association and communication between members of all grades regarding careers, performance, unit mission, effectiveness, and similar subjects at workplace environments. However, fraternization and other unprofessional relationships can develop between officers, between enlisted members, and between officers and enlisted members. Relationships of this nature create the appearance that personal friendships and desires are more important than individual performance and contributions to the mission. For commanders and supervisors, these become matters of concern because they erode morale, discipline, and the organization's ability to perform its mission.

Commander's Checklist

- All members must respect authority and maintain military customs and courtesies, which include avoiding fraternization and unprofessional relationships.
 - ☐ Fraternization is defined as personal relationships between officers and enlisted members in violation of acceptable behavior in the Air Force which prejudice good order and discipline or discredit the armed forces.
 - ☐ Unprofessional relationships describe personal relationships between officers, between enlisted members, and between officers and enlisted members (fraternization) which result in inappropriate familiarity or create the appearance of favoritism, preferential treatment, or impropriety.
- Any relationship that damages your unit's morale, discipline, or efficiency requires immediate action. The following situations can cause problems:
 - ☐ Unprofessional relationships in the same chain of command, organization, or a closely related unit.
 - ☐ Senior members dating or becoming personally obligated or indebted to junior members.
 - ☐ Senior personnel dating, courting, or simply becoming close friends with junior members always run the risk of developing a real or perceived unprofessional relationship.
 - ☐ Officers making a habit of spending off-duty time with enlisted personnel, regardless of gender or nature of their relationship.
- Commanders and supervisors will use their authority to maintain good order and discipline within their units.
 - ☐ Consider administrative actions including counseling, reprimanding, removing demoting, or processing member for administrative separation.
 - ☐ Consider punitive action, when appropriate, especially for favoritism, partiality, or misuse of grade or position, which may be violations of the Uniform Code of Military Justice (UCMJ).

Human Immunodeficiency Virus Program

REF: AFI 48-135, *Human Immunodeficiency Virus Program*

OPR: Commander

OCR: Director of Base Medical Services (DBMS), Military Personnel Flight (MPF), Military Public Health (MPH), Staff Judge Advocate (SJA)

Air Force policy and regulatory guidance

All active duty, Air National Guard, and reserve component personnel are screened for serological evidence of human immunodeficiency virus (HIV) infection in conjunction with periodic physical examinations, for clinically indicated reasons, prior to assignment overseas, prior to consecutive overseas tours, during pregnancy, when presenting to a sexually transmitted disease (STD) clinic, or upon entry to drug or alcohol rehabilitation programs. Previously, the DOD required all military members to be periodically tested every two years; however, due to low rates of infections in military members, that requirement was changed to the above conditions. All applicants for enlistment or appointment to the Air Force will be screened for evidence of HIV infection. Applicants infected with HIV are ineligible for enlistment or appointment to the Air Force. Waiver for HIV infection is not authorized. Due to the increased exposure of medical personnel to blood and body fluids, more frequent HIV testing is indicated for medical personnel.

All Air Force personnel testing positive are counseled by a physician regarding the significance of a positive test. They are given information on modes of transmission, appropriate precautions, and future risks. The members are then referred to Wilford Hall Medical Center (WHMC) for medical evaluation and a medical evaluation board (MEB) to determine fitness for duty. The medical evaluation follows the DOD standard clinical protocol and evaluates T-helper cell counts. Active duty members found fit for duty will not be separated solely for HIV seropositivity. HIV-infected reserve component members not on extended active duty or full-time ANG duty shall be transferred to the Standby Reserve only if they cannot be utilized in the Selected Reserve.

HIV-infected active duty members retained on active duty must be medically evaluated semiannually and are assigned within the United States, including Alaska, Hawaii, and Puerto Rico. HIV-infected members will not be assigned to a mobility position, and HIV-infected flying status members must be placed on duty not involving flying (DNIF) status pending medical evaluation. Members on the Personal Reliability Program (PRP) or other security-sensitive positions shall be removed pending medical evaluation. Unit commanders with medical advice from the DBMS evaluate each individual on a case-by-case basis for return to PRP or other security-sensitive positions.

HIV-infected Air Force members will be given an “Order to Follow Preventive Medicine Requirements” by their unit commander. (See AFI 48-135, attachment 13, for a copy of the order.) The order should be dated and signed by the member and the unit commander. It is the unit commander’s responsibility for storing and safeguarding the order to protect the privacy of the individual. The order may be stored with the unit personnel information file (PIF) or in a classified safe, sealed in an envelope marked “FOR THE EYES OF THE COMMANDER ONLY.” Air Force policy strictly safeguards results of positive HIV testing. The release of such information to persons outside the Air Force without the member’s consent is not permitted. Within the Air Force a very limited release is based on a need-to-know basis only. Unit commanders should *not* inform first sergeants and supervisors unless a determination is made that those individuals truly need to know.

HIV-infected employees should be allowed to continue working as long as they are able to maintain acceptable performance and do not pose a safety or health threat to themselves or others in the workplace. If performance or safety problems arise, managers and supervisors address them using existing personnel policies and instructions.

Commander’s Checklist

- Applicants infected with HIV are ineligible for enlistment in the Air Force.
- Members who test HIV positive and are fit for duty will not be separated solely for seropositivity.
- HIV-infected reservists not on extended active duty or full-time ANG duty will be transferred to the Standby Reserve if they cannot be used in the Selected Reserve.
- HIV-infected active duty members will
 - ☐ Be medically evaluated semiannually.
 - ☐ Be assigned within the US and Puerto Rico.
 - ☐ Not be assigned to a mobility position.
 - ☐ Be placed on duty not involving flying (DNIF) status.
 - ☐ Be removed from security-sensitive positions pending medical evaluation.
- The commander will give the HIV-infected member an “Order to Follow Preventive Medicine Requirement” (copy in AFR 48-135, attachment 13).
- The commander is responsible for safeguarding the order to protect the privacy of the individual (classified safe, sealed envelope marked “FOR THE EYES OF THE COMMANDER ONLY”), with limited access on a need-to-know basis.
- HIV-infected members should be allowed to continue working as long as they maintain acceptable performance and pose no health hazard.

Homosexual Conduct

REF: AFI 36-2002, *Regular Air Force and Special Category Accessions*; AFI 71-101, Volume 1, *Criminal Investigations, Counterintelligence, and Protective Service Matters*; AFI 36-3206, *Administrative Discharge Procedures for Officers*; AFI 36-3207, *Separating Commissioned Officers*; AFI 36-3208, *Administrative Separation for Airmen*; AFI 51-602, *Boards of Officers*

OPR: Commander, OSI, MPF

OCR: Staff Judge Advocate

DOD policy

The current DOD policy has been coined “Don’t Ask, Don’t Tell, Don’t Pursue.” According to this policy, sexual orientation is considered a personal and private matter. Homosexual orientation is not a bar to entering service or continued service unless it is manifested by homosexual “conduct.” Therefore, the key distinction is conduct versus mere orientation.

Definitions

Conduct is defined as an act, statement, or marriage/attempted marriage. These are defined below in the context of homosexuality.

Act: Any bodily contact, actively undertaken or passively permitted, between members of the same sex for the purpose of satisfying sexual desires; or, any bodily contact that a reasonable person would understand to demonstrate a propensity or intent to engage in homosexual acts.

Statement: A statement that a member is homosexual or bisexual, or words to that effect. It includes language or behavior that a reasonable person would believe is intended to convey the statement that a person engages in or has a propensity or intent to engage in homosexual acts; for example, statements such as “I am a homosexual,” “I am gay,” “I am lesbian,” or “I have a homosexual orientation.”

Propensity: Means more than an abstract preference or desire to engage in homosexual acts; it indicates a “likelihood” that a person engages in or will engage in homosexual acts.

Accessions

The policy with respect to recruiting and accessions is “Don’t Ask.” Applicants will not be asked to reveal their sexual orientation or whether they have engaged in past homosexual conduct. All applicants are informed of separation policy for homosexual conduct. The only time an applicant may be refused entry into the Air Force is when independent evidence is received demonstrating the applicant has engaged in homosexual conduct.

Separations

A commander *must* initiate separation action if there is probable cause to believe a member under his or her command has engaged in homosexual conduct (acts, statements, or marriage/attempted marriage). Military members are entitled to a board hearing if separation action is initiated for homosexual conduct; the member is afforded full due-process rights as outlined in AFI 51-602, *Boards of Officers*.

The characterizations of discharge that may be received for an administrative discharge for homosexual conduct are

- Honorable or General (Special Court-Martial is separation authority).

- Under Other than Honorable Conditions (UOTHC) (General Court-Martial is separation authority).

To be separated with a UOTHC discharge, the case file must establish that the conduct occurred under one of several aggravating factors. These factors include (1) using force, coercion, or intimidation; (2) with a person under 16 years of age; (3) with a subordinate in circumstances that violate customary military superior-subordinate relationships; (4) openly in public view; (5) for compensation; (6) aboard a military vessel or aircraft; or (7) in another location subject to military control under aggravating circumstances.

Homosexual statements

Statements create a rebuttable presumption that the service member engages in, attempts or intends to engage in, or has a propensity to engage in homosexual acts. In determining whether a member has successfully rebutted the presumption that he or she engages in or has a propensity or intent to engage in homosexual acts, some or all of the following may be considered:

- Whether the member has engaged in homosexual acts.
- The member's credibility.
- Testimony from others about the member's past conduct, character, and credibility.
- The nature and circumstances of the member's statement.
- Any other evidence relevant to whether the member is likely to engage in homosexual acts.

Inquiries and investigations

There are two key concepts to remember: *inquiries* are conducted by the commander or someone appointed by the commander; and *investigations* are conducted only by the OSI, Security Police, or other DOD law enforcement organization. Inquiries/investigations used solely to determine a member's sexual orientation are absolutely prohibited. To avoid any appearance of discrimination, heterosexual and homosexual misconduct should be subject to equal command review/action. Sexual act(s) in violation of the UCMJ that occur between consenting adults, in private, whether on or off a military installation, will ordinarily be referred to the member's commander for an informal inquiry.

Inquiries and investigations are limited to the factual circumstances "directly" relevant to the specific allegations. Informal fact-finding inquiries are the preferred method of addressing homosexual conduct. While only the member's commander may initiate a fact-finding inquiry into alleged homosexual conduct, there is no prohibition on further OSI/SP investigations.

Upon determining that they have *credible* information that a UCMJ violation has occurred, commanders may request the OSI or SP to conduct an investigation. OSI commanders may decline to open a case if, after an independent evaluation, they determine a lack of credible information indicating a UCMJ violation occurred. The commander's inquiry must be based on *credible information* that a basis for discharge exists. In other words, the commander must have a "reasonable belief" that the military member engaged in homosexual conduct (an act, statement, or marriage/attempted marriage). Whether there is credible information depends on a "totality of circumstances," considering the source of the

information and the surrounding circumstances. Any inquiry or investigation must be based on articulable facts, not just a belief or suspicion.

Credible information *DOES NOT* include information based *solely* on an association with known homosexuals, patronizing gay bars, possessing or reading homosexual publications, marching in a gay rights rally in civilian clothes, or listing someone of the same gender as an emergency contact or an insurance beneficiary. Additional requirements may be found from MAJCOM sources; for example, some MAJCOMs require that all inquiries and investigations of homosexual conduct be initiated at the installation/wing commander level.

Advisement Prior to questioning, the member must be advised of DOD policy on homosexual conduct—in other words, that homosexual conduct (acts, statements, and marriages) is a basis for discharge—prior to questioning. The member must also be advised of Article 31, UCMJ, rights if otherwise appropriate.

Reporting requirements All inquiries and investigations concerning homosexual conduct must be reported to Headquarters USAF/Judge Advocate General when they are initiated. The report should include a short narrative summary of the circumstances that led the commander to direct the inquiry or investigation. A follow-on report is also required to advise when the inquiry or investigation is closed and what action, if any, has been initiated. The staff judge advocate can provide additional guidance.

Commander's Checklist

- An applicant will be refused entry into the Air Force if there is independent evidence of homosexual conduct.
- Conduct is defined as a marriage/attempted marriage with a person of the same sex, or an act or a statement that a reasonable person would interpret as a propensity to engage in homosexual activity.
- The commander must initiate separation action if a member of his or her unit has engaged in homosexual conduct.
- The member is afforded full rights as outlined in AFR 51-602, *Boards of Officials*.
- Characterizations of discharges that may be given for homosexual conduct are:
 - ☐ Honorable or General (Special court-martial authority), and
 - ☐ Under Other than Honorable Conditions (General Court-Martial is the authority).
- The UOTHC discharge may be given for conduct that occurred under one of several aggravating factors:
 - ☐ The use of force or intimidation.
 - ☐ With a subordinate under circumstances that violate superior-subordinate relationships.
 - ☐ With a person under 16 years of age.
 - ☐ Openly in public.
 - ☐ For compensation.
 - ☐ Aboard a military vessel or aircraft.

- ☐ Under aggravating circumstances in any location subject to military control.
- Any or all of the following may be considered when the service member rebuts the presumption that he or she engages in or has a propensity to engage in homosexuality:
 - ☐ The member's credibility.
 - ☐ Whether the member has engaged in homosexual acts.
 - ☐ Testimony from others about the member's past conduct, character, and credibility.
 - ☐ The nature and circumstances of the member's statement.
 - ☐ Any other evidence as to likelihood of the member to engage in homosexual acts.
- Inquiries are conducted by the commander or someone he or she appoints; investigations are conducted by the OSI, security police, or other DOD law enforcement agency.
 - ☐ Investigations/inquiries used solely to determine a member's sexual orientation are prohibited.
 - ☐ Heterosexual and homosexual misconduct should be subject to equal command review/action.
- A commander's inquiry must be based on *credible information* that the member engaged in homosexual conduct. It must not be based on
 - ☐ Merely a belief or suspicion.
 - ☐ Information based solely on the member's association with known homosexuals, marching in gay parades, or reading homosexual publications.
- Before being questioned, the member must be advised of DOD policy on homosexuality and also advised of his or her Article 31, UCMJ, rights.
- All inquiries and investigations concerning homosexual conduct must be reported to Headquarters USAF/Judge Advocate General when they are initiated. Also required is a follow-on report when they are closed.
- The staff judge advocate can provide the commander with advice and guidance on implementing the Air Force policy on homosexuals in the service.

Senior Official Misconduct

REF: DODD 5505.6, *Investigations of Allegations Against Senior Officials of the Department of Defense*; AFI 90-301, *Inspector General Complaints*

OPR: Inspector General

OCR: Commander, Staff Judge Advocate, OSI

DOD policy

As a result of recent adverse incidents involving senior DOD officials (Tailhook, for example), the Department of Defense issued strict guidance which requires that any allegation against a senior DOD official that is not obviously frivolous *must* be reported to the DOD/Service Inspector General for potential investigation. AFI 90-301, *Inspector General Complaints*, implements this directive and establishes strict standards for reporting and investigating allegations of misconduct by senior Air Force officials. A senior official is defined as active duty, retired, Reserve, and ANG officers in the grade of colonel and above and civilian employees above the grade of

GS/GM-15, including former and current Senior Executive Service (SES) employees and presidential appointees.

Allegations covered

AFI 90-301 is fairly all-encompassing when it discusses what types of allegations must be reported/investigated. The instruction states that covered allegations include allegations that are not obviously frivolous; that, if proven, would constitute an abuse of authority; and that violate criminal law, the *Joint Ethics Regulation*, the Anti-Deficiency Act, civilian personnel policies, or provisions on discrimination or substance abuse. It also includes matters involving an abuse of authority; fraud, waste, and abuse; reprisal; medical providers whose privileges are adversely affected; or any matter that would otherwise reflect adversely on the official's judgment or ability to perform in the present or next higher grade.

Reporting allegations

When a commander receives an allegation against a senior official, it must be reported to Secretary of the Air Force/Inspector General (SAF/IG) within five working days of receipt. There are two authorized means of reporting these allegations: "Eyes Only" datafax to the chief, Senior Official Complaints, or "INSPECDIS" message to the Office of the Secretary of the Air Force/IG (OSAF/IG). In addition to direct reporting to SAF/IG, allegations must be reported up the chain of command.

Investigative policy

The DOD/IG or SAF/IG has the right to preempt the command and assume investigative responsibility. If the DOD and SAF decline to preempt the command (as in the vast majority of cases), then command-directed investigations are appropriate. Commanders should, as is normal operating procedure, refer allegations of criminal conduct to the AFOSI.

Time is of the essence in these cases, as a complete copy of the investigation must be sent to SAF/IG within five working days of completion.

Commander's Checklist

- Any serious allegations against a senior DOD official must be reported to the DOD Inspector General.
- Senior officials are all active duty, Reserve, ANG officers in the grade of colonel and above and civilian employees above the grade of GS/GM-15, including Senior Executive Service (SES) employees and presidential appointees.
- AFI 90-301 lists all the types of allegations that must be reported/investigated.
- A commander who receives an allegation against a senior official must report it to the SAF/IG within five working days of receipt. There are two authorized ways to report it:
 - ☐ "Eyes Only" datafax to the chief, Senior Official Complaints.
 - ☐ "INSPECDIS" message to the Office of the Secretary of the Air Force/IG.
- DOD/IG or SAF/IG can assume investigative responsibility. If they decline to do so, then command-directed investigations are appropriate.
- Commanders should refer allegations of criminal conduct to AFOSI.

Sexual Harassment

REF: AFI 36-2701, *Social Actions Program*; AFI 36-1201, *Discrimination Complaints*

OPR: Commander, Social Actions/EOT Officer

OCR: Staff Judge Advocate

Sexual harassment in the workplace is an extremely serious problem that will be dealt with severely. The Air Force has zero tolerance for sexual harassment.

Sexual harassment defined

- Sexual harassment is a form of sex discrimination that involves unwelcome sexual advances, requests for sexual favor, and other verbal or physical conduct of a sexual nature when any of the following is the case:
 - ☐ Submission to or rejection of such conduct is made either explicitly or implicitly a term or condition of a person's job, pay, or career.
 - ☐ Submission to or rejection of such conduct by a person is used as a basis for career or employment decisions affecting that person.
 - ☐ Such conduct interferes with an individual's performance or creates an intimidating, hostile, or offensive environment.
 - ☐ Conduct by a supervisor or commander that involves the use or condoning of implicit or explicit sexual behavior to control, influence, or affect the career, pay, or job of a military member or civilian employee.
 - ☐ Deliberate or repeated unwelcome gestures, verbal comments, or physical contact of a sexual nature.

Types of sexual harassment

- The two basic types of sexual harassment are a threat of something tangible or a hostile environment.
 - ☐ Tangible sexual harassment occurs when an employee suffers or is threatened with some kind of "pocketbook" injury or tangible job benefit. This form almost always involves a supervisor/subordinate relationship in which the employee is told to "put out or get out," i.e., "submit to my sexual requests or you will be fired, demoted, intimidated, denied a promotion or award, training opportunity, or objective appraisal."
 - ☐ Hostile environment sexual harassment occurs when a supervisor, coworker, or someone else with whom the employee comes into contact on the job creates an abusive work environment or interferes with the employee's work performance through words or deeds because of the employee's gender. A sexually hostile work environment can be created by any one of the following:
 - ☐ Discussing sexual activities.
 - ☐ Unnecessary touching.
 - ☐ Commenting on physical attributes.
 - ☐ Displaying sexually suggestive pictures.

- ☐ Using demeaning or inappropriate terms, such as “Babe.”
- ☐ Using unseemly gestures.
- ☐ Ostracizing workers of one gender.
- ☐ Granting job favors to those who participate in consensual sexual activity.
- ☐ Using crude and offensive language.

Commander’s Checklist

- Publish clearly the Air Force’s policy on sexual harassment, i.e., “zero toleration.”
- Ensure that avenues of communication and complaint are well publicized throughout the unit.
- Provide appropriate training on sexual harassment.
- Act quickly to investigate all complaints of sexual harassment.
- Seek advice from your staff judge advocate before taking action against offenders.

Standards of Ethical Conduct

REF: DODD 5500.7-R, *Joint Ethics Regulation*

OPR: Commander

OCR: Staff Judge Advocate

It is fundamental Air Force policy that personnel shall not engage in any personal business or professional activity that places them in a position of conflict between their private interests and the public interest of the United States. In order to preserve the public confidence in the Air Force, even the appearance of a conflict of interest must be avoided. Air Force personnel shall not use inside information to further a private gain for themselves or others if that information is not generally available to the public and was obtained by reason of their Air Force position.

Each commander has the responsibility for ensuring that the standards of conduct enunciated in the new *Joint Ethics Regulation* are brought to the attention of all personnel. All personnel upon assumption of Air Force duties should be thoroughly informed of the regulation’s provisions. Required annual reminders of the regulation can be accomplished by requiring unit members to read the regulation, by posting bulletin board items, by regularly published literature, and by talking about it at commander’s calls.

Personnel may obtain further clarification of the standards of conduct and conflict of interest provisions by consulting with the base legal office. The commander must realize the resolution of a conflict of interest should be accomplished immediately so that the conflict is terminated. The regulation prohibits some specific activities which are discussed below.

<i>Gifts</i>	Active duty members may not make personal commercial solicitations or solicited sales to DOD personnel junior in rank at any time (on or off-duty, in or out of uniform), specifically for insurance, stocks, mutual funds, real estate, or any other commodity, goods, or services. They may not accept any gift, entertainment, or thing of value from any person or company which is engaged in procurement activities or business with any agency of DOD. Because interpretation of this paragraph is sometimes difficult, do not hesitate to consult the SJA. Additionally, active duty military or civilian personnel may not use their grades, titles, or positions in connection with any commercial enterprise or for endorsing a commercial product.
<i>Off-duty employment</i>	Also prohibited is outside or off-duty employment, if it interferes with or is not compatible with the performance of government duties, or if it might discredit the government.
<i>Solicitation gifts</i>	Solicitation of contributions for gifts to an official superior, except voluntary gifts or contributions of nominal value on special occasions like marriage, illness, transfer, or retirement, is forbidden. The general rule is that employees (members) may not solicit or accept a gift from a prohibited source or one given because of their official position. Prohibited sources are persons or organizations seeking business with DOD, regulated by DOD, or affected by the performance of the member's duty. Members may not give or solicit gifts to an official superior or accept a gift from a lower-paid employee unless the donor and recipient are friends and there is no superior-subordinate relationship. The official superior is not limited to the chain of command, but rather applies to anyone whose official responsibilities involve directing or evaluating the performance of the member or his or her official superior.
<i>Travel regulations</i>	Exceptions to the rule prohibiting acceptance of gifts from outside sources include unsolicited gifts with a market value of \$20.00 or less per occasion (including taxes/gratuities), aggregating no more than \$50.00 from any one source in a calendar year. Also exempt are gifts clearly motivated by family relationship or personal friendship, items other than cash aggregating \$10.00 or less per occasion, and widely attended gatherings that are part of member's duties or further the agency's interests. The bottom line on gifts, regardless of exceptions, is that a member can never accept a gift in return for influence, solicit a gift, or accept a gift if acceptance creates the appearance that it was given or received for improper influence. Travel regulations now prohibit use of frequent-flyer mileage credits accumulated while traveling on official business for upgrades to first class. However, Gold Card upgrades, if membership was purchased with personal funds, "fly later, fly free" deals, and if delay would not interfere with duty performance or increase cost to government, and upgrade to business class are acceptable. Mileage credit earned during official travel may never be used for personal travel or personal travel upgrades.
<i>Telephone calls</i>	The use of government phones is limited to the conduct of official business; however, official business can include those calls necessary in the interest of the federal government. Personal calls to immediate family and for house/car repairs are acceptable if they do not adversely affect duty performance and are of reasonable duration and frequency, and could not

*Ethics
regulations*

have been reasonably made at another time; if the same criteria is met, long-distance calls are permitted if charged to home, personal credit card, or a toll-free 800 number. While on TDY, one brief long-distance call home charged to the government is okay if necessary to inform family of a last-minute schedule change.

The Ethics Reform Act of 1989 (P.L. 101-694) prohibited all officers on active duty and all civilian employees from accepting an honorarium (payment) for an appearance, speech, or article. "Appearance" was defined as attendance at a public or private conference, convention, meeting, social event, or like gathering, and the incidental conversation or remarks made at that time. Article definition excluded fiction, poetry, and lyrics. The ban applied even if there was no connection between the subject of the appearance, speech, or article and the member's official duties. On 22 February 1995, the US Supreme Court struck down the ban for all personnel *except* Senior Executive Service officials. It is expected that Congress will enact a more limited ban that would only restrict honoraria for speeches and writings directly related to a federal worker's duties.

The *Joint Ethics Regulation* imposes annual requirements on certain officers in the grade of 0-5 or above and specific requirements on general officers. Consult the base legal office for details. If you have specific questions concerning the *Joint Ethics Regulation*, the installation staff judge advocate is the standard-of-conduct counselor and can assist you.

Commander's Checklist

- Each commander must ensure that the standards set in the *Joint Ethics Regulation* are brought to the attention of all personnel.
- The regulation prohibits active duty members from some specific activities:
 - ☐ Making personal commercial solicitations or sales to DOD personnel junior in rank, specifically for insurance, stocks, mutual funds, real estate, and other goods and services.
 - ☐ Accepting something of value from any person or company engaged in procurement or other business with a DOD agency. (Consult with SJA for an interpretation.)
 - ☐ Using grades, titles, or positions to endorse a commercial product.
 - ☐ Accepting off-duty employment that is incompatible with the performance of government duties or that might discredit the government.
 - ☐ Soliciting contributions for gifts to an official superior, except gifts of nominal value for special occasions.
- The general rule is that members may not solicit or accept a gift given by a prohibited source because of their position.
 - ☐ Prohibited sources are persons/organizations seeking influence with DOD members.
 - ☐ A member may not give or solicit a gift to an official superior, who is anyone involved in directing or evaluating the member's performance.
 - ☐ The bottom line on gifts is that a member cannot accept a gift in return for influence or accept a gift that creates the impression that it was given for improper influence.

- Mileage credit earned during official travel may never be used for personal travel or personal travel upgrades.
- Use of government phones is limited to the conduct of official business, but personal calls are permissible if they do not affect duty performance.
- On 22 February 1995, the US Supreme Court struck down the ban on honoraria for all personnel except Senior Executive Service (SES) officials.
- The commander's best counselor and advisor on the *Joint Ethics Regulation* is the base staff judge advocate.



Joint War Fighting

The greatest lesson of this war [World War II] has been the extent to which air, land, and sea operations can and must be coordinated by joint planning and unified command.

—General of the Air Force Henry H. “Hap” Arnold

The nature of modern warfare demands that we fight as a team. This does not mean that all forces will be equally represented in each operation. Joint force commanders choose the capabilities they need from the air, land, sea, space, and special operations forces at their disposal. The resulting team provides joint force commanders the ability to apply overwhelming force from different dimensions and directions to shock, disrupt, and defeat opponents. Effectively integrated joint forces expose no weak points or seams to enemy action, while they rapidly and efficiently find and attack enemy weak points. Joint warfare is essential to victory.

—Joint Pub 1, *Joint Warfare of the US Armed Forces*

Joint Relationships

The joint environment

To this point we have discussed commanding an Air Force unit within the framework of a larger Air Force organization. As if commanding an Air Force organization were not hard enough, let us now explore the joint world. In order to command in a joint environment, it is necessary for us to understand the playing field. Joint Pub 1-02, *Department of Defense Dictionary of Military and Associated Terms*, states that “joint connotes activities, operations, and organizations in which elements of more than one service of the same nation participates. To this end, each service is responsible to organize, train, and equip forces for the conduct of prompt and sustained combat operations.” This chapter discusses the types of joint organizations, the command and staff structure, and the characteristics of joint operations.

Application of military force

The United States maintains military forces to respond to a variety of challenges and to meet national interests and strategic aims. The application of military force spans the spectrum from military operations other than war (MOOTW) to total war. War is the final option after all the other—diplomatic, economic, and informational—instruments fail to achieve national objectives. Military operations other than war focus on promoting peace or deterring war. There are occasions in which the full spectrum of operations may occur simultaneously in the same theater.

Unified commands

Joint forces are composed of significant elements of two or more services and are commanded by a joint force commander (JFC) with a joint staff. Joint forces include unified commands, subunified commands, and joint task forces (JTF). The national command authorities (NCA)

created five unified commands oriented towards geographical areas and four commands along functional lines. A unified command is established when continuing missions require execution by significant forces of two or more services and strategic direction is required. The five geographical unified commands (table 4) include US Atlantic Command (USACOM), Southern Command (SOUTHCOM), Pacific Command (PACOM), Central Command (CENTCOM), and European Command (EUCOM). The four functional unified commands (table 5) include Transportation Command (TRANSCOM), Space Command (SPACECOM), Strategic Command (STRATCOM), and Special Operations Command (SOCOM).

Table 4
Unified Commands (Geographical)

USACOM deters attacks against the United States, supports allies, offensively controls seas during combat in the Atlantic Ocean from the North to South poles. USAF role: AFLANT made up of Air Combat Command units.

CENTCOM prevents military coercion of friendly states, assists friendly states in their internal and border security; preserves access to Arabian oil; in Southwest Asia and Africa. USAF role: CENTAF (US Central Command Air Forces) (Ninth AF).

EUCOM provides forces to NATO and supports other CINCs, controls intelligence activities in theater, evacuates noncombatants, manages security assistance programs.

USPACOM defends US, supports US policies in Pacific; coordinates military forces in Far East, South Asia, Southeast Asia, and Indian Ocean. USAF role: PACAF (Pacific Air Forces).

USSOUTHCOM contributes to defense of US and allies and protects interests in Latin America; disaster relief, humanitarian ops; manages security assistance in Latin America; defends Panama Canal. USAF role: (USAFSO) Southern Air Force (Twelfth Air Force).

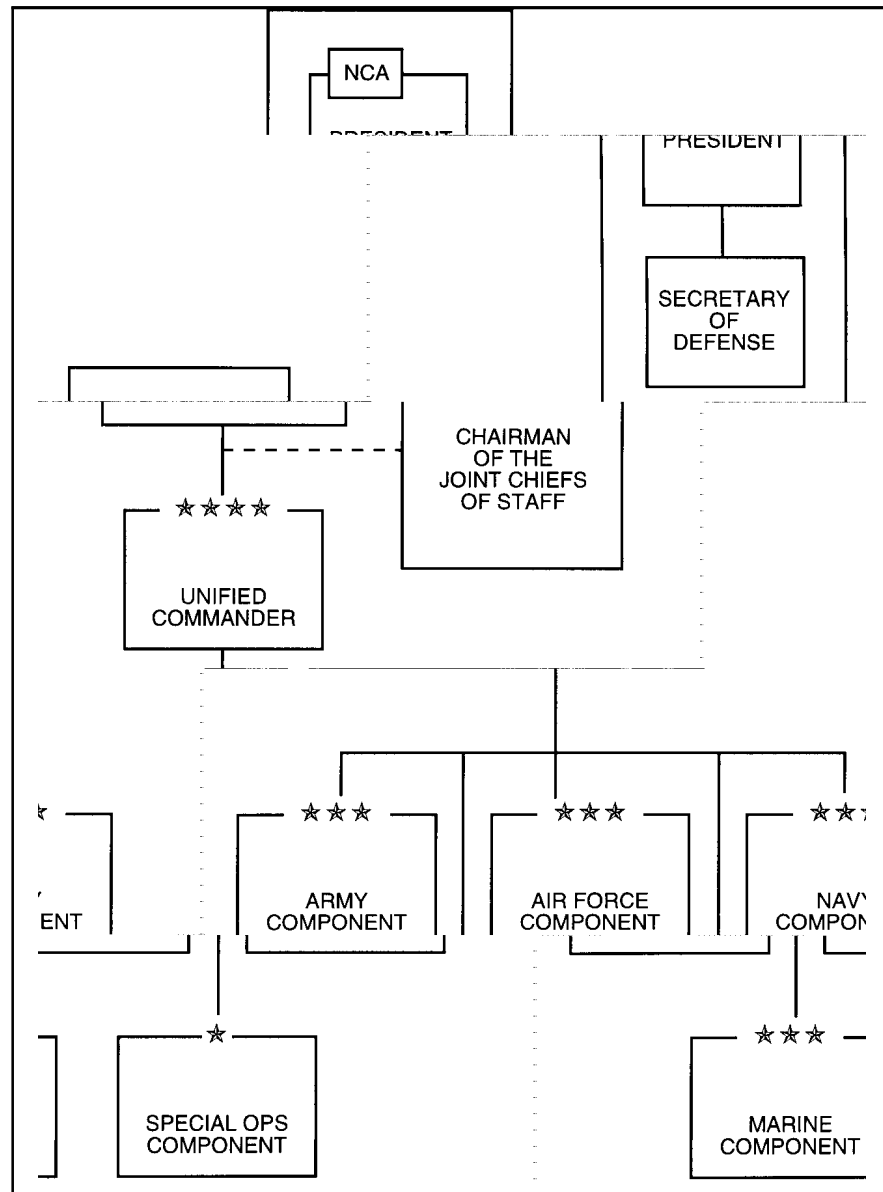
Table 5
Unified Commands (Functional)

USSPACECOM supports joint employment of military space-related forces and ensures improved operational support to other unified commands; space surveillance and warning, ballistic missile defense. USAF role: AFSPACECOM.

USSOCOM provides combat-ready special forces to other unified commands; plans and conducts special operations as directed by the president. USAF role: AFSOC.

USSTRATCOM provides strategic deterrence; worldwide reconnaissance. USAF role: Air Combat Command (interceptors) and Air Force Space Command.

USTRANSCOM provides air, land, sea transportation for DOD in peace and war; may activate, with approval of Sec Def, the Civil Reserve Air Fleet, and Ready Reserve Force, and the Sealift Readiness Program. USAF role: Air Mobility Command (AMC).



Source: *The Joint Staff Officer's Guide*, 1993 (Norfolk, Va.: Armed Force's Staff College, National Defense University, 1993)

Figure 10. Subordinate/Component Relationships in a Unified Command

The command relationship of each command is very similar, with a subordinate/component commander for air, ground, naval, and special operations forces (fig. 10). A JTF is organized by either the NCA or unified/ subunified commander for a shorter period of time to accomplish a specific mission.

To better understand a unified command, we need to look at each service's contribution to the team. The Army is responsible for preparing land forces necessary for the effective prosecution of war and military operations other than war. The Army conducts land campaigns to defeat enemy land forces to seize, occupy, and defend land areas to include air bases. The Army's method of warfare has been extremely successful in achieving national objectives. With its history of achieving desired results

*The unified
command team*

1. Army

through the conduct of land battle, the Army naturally views this form of warfare as the preferred military option. The Army requires both air and sea lift to move soldiers, equipment, and supplies to the area of operations (AOR).

2. *Navy*

The Navy is responsible for preparing Navy and Marine Corps forces for the effective prosecution of war and military operations other than war. Naval forces include combat and service forces and organic aviation. The Navy seeks out and destroys naval forces and suppresses enemy sea commerce to gain and maintain general naval supremacy; establishes and maintains local superiority in the area of naval operations; seizes and defends naval bases; and conducts land, air, and space operations essential to the prosecution of a naval campaign. The Navy has a strong conviction concerning the virtue of sea power. It has proven that it can render an enemy's position untenable. Because naval battles are traditionally isolated engagements and the Navy is a self-sufficient fighting force, jointness is a secondary consideration.

3. *Marines*

The Fleet Marine Forces, consisting of ground and air components, conduct operations in conjunction with the fleet to seize or defend naval bases or conduct land operations essential to the prosecution of the naval campaign. Marines project power through amphibious operations specializing in forcible entry from the sea. To the Marines, the utility of amphibious operations has been reinforced throughout their history. Because of their Marine air-ground task force (MAGTF) organization, the Marines are a relatively self-contained fighting force and are not as dependent on other services to accomplish their traditional mission.

4. *Air Force*

The Air Force conducts operations to defend the United States against air attack, to gain and maintain air supremacy, to defeat enemy air forces, to conduct space operations, to control vital air areas, and to establish local air superiority. The Air Force's history is relatively short but filled with brilliant triumphs that form the basis of its war-fighting views today. The point is that in most cases, the Air Force fulfills its war-fighting roles without heavy dependence on other services.

The Army, Navy, and Marine Corps bring a rich 200-year tradition of defending the United States and supporting national objectives. Their flags carry the battle streamers from the Revolutionary War through Operation Desert Storm and beyond. Setting aside interservice rivalry and parochialism, we must remember that each service, based on its assigned role and experiences in war, has a unique perspective of how best to achieve victory.

The problem of interoperability

The challenges of serving in a joint command are many and can be boiled down to the problem of interoperability. Interoperability is the ability of personnel, organizations, and equipment to operate together within the framework of equipment, procedures, doctrine, and training. Rather than discuss at length a laundry list of do's and don'ts, it is more useful to study some joint operations and see what was done correctly and what needed improvement. We will look at Operation Ivory Coast, Operation Eagle Claw, and Operation Desert Storm to illustrate these characteristics of joint missions.

Principles of War

To best understand the functions of a joint command involved in operations, let's look at it using the principles of war: unity of command, the objective, the offensive, economy of force, surprise, mass, maneuver, and security.

Unity of Command

*Unity of command
and joint forces*

Unity of command allows the attainment of objectives facilitated by the creation of a unified command with subordinate component commanders, as shown in figure 10. This principle can be carried further by the appointment of joint land, air, and maritime commanders. Unified commands were established in both the Pacific and European AORs during World War II. In most cases, the JFC represents the preponderance of the forces apportioned or assigned to the AOR. In the case of a JTF, the first forces on the scene may be Navy and Marine with naval aviators and marines performing the roles of joint force air component commander (JFACC) and joint force land component commander (JFLCC). If the situation dictates, Air Force and Army units may deploy with their respective commanders assuming the roles of JFACC and JFLCC.

Objective

*The objective
and components'
missions*

The next principle of war is that of the objective. The heart of the problem here is interoperability, equipment, training, and procedures. It is the commander's responsibility (at any level) to raise the flag if the objective is not clear or is unobtainable with the forces available. The commander in chief (CINC) develops objectives based on national military strategy or strategic objectives set by the NCA. Each component's mission is then developed to support the CINC's objective. The integration of component missions constitutes the basis for problems during execution.

Operation Ivory Coast

*Operation
Ivory Coast*

Between May and August of 1970, the plan was finalized for the rescue of American POWs held at Son Tay, North Vietnam. It included airlifting Army Special Forces on Air Force HH-53 helicopters to the raid site and extracting the POWs to safety. The entire operation included two MC-130s, one HC-130, five HH-53s, one UH-1, one HH-3, and five A-1Es. Preparation for the mission was conducted in four phases and culminated in 170 rehearsals. The challenge was to ensure that Air Force search and rescue crews could operate with Army Special Forces. Brig Gen Leroy J. Manor (USAF) was selected as the overall mission commander, while Col Arthur Simons (USA) would lead the ground forces.

Phase one included personnel selection and movement to training areas. Phase two stressed individual component training during which the Air Force practiced rendezvous, formation, and night mission profiles.

During phase three, aerial and ground rescue operations were practiced. Both the Army and Air Force participants rehearsed day and night. Training was conducted first step-by-step and progressed to real-time pacing. The final phase was joint training and mission rehearsal during which procedures were fine-tuned and interoperability of forces assured. The final full rehearsal was conducted 6 November 1970 with the order to execute given on 21 November 1970.

During the planning phase, three alternative plans (green, red, and blue) were developed and practiced during phase three. Plan green was the contingency for loss of the ground force commander's helicopter. Plan red was called if the second support helicopter did not reach Son Tay. Plan blue was the contingency if the compound assault helicopter failed to make its objective. From different locations in Thailand, the forces converged at different points in North Vietnam. The overall plan was for the HC-130 to fly and orbit halfway to the objective while the force was in the area. The MC-130s would rendezvous with A-1Es and helicopters and lead them to the objective. Several problems arose due to the speed limitations of both the fixed- and rotary-winged aircraft, but the intensive training allowed these problems to be overcome. During movement to the objective area, the Navy conducted diversionary attacks on Haiphong Harbor.

During the conduct of the mission, Colonel Simons's helicopter landed at the wrong compound. The remaining force recognized the problem and executed plan green and proceeded to the objective. Unfortunately, the POWs were relocated to another camp. Despite this, the mission was successful from the joint perspective. Unity of command, strong leadership, mass, and training were the deciding factors in removing the cultural barriers between the services, allowing them to function with speed and flexibility. Gen John Flynn, who was held captive during the war, said, "It was the most magnificent operation of the war. It caused the consolidation of all POWs in Hanoi, permitting them to organize, communicate, and care for one another."

Operation Eagle Claw

Operation Eagle Claw

On 24 April 1980, after six months of failed negotiation, the national command authorities executed Operation Eagle Claw to free US hostages held in Iran by militant students. The plan ended in failure at a location named Desert One after the collision of fixed- and rotary-winged aircraft. The plan called for eight Navy RH-53D helicopters to fly 600 miles to Desert One and, under the cover of darkness, refuel from KC-130 tankers, load a 120-man Army assault team and proceed to two additional hide sites. One of the go/no-go parameters for the mission was a minimum of six operational helicopters. Within four hours, two helicopters aborted due to mechanical failure. The remaining aircraft were delayed due to weather, with one of them not operational due to a hydraulic leak.

It was during the evacuation of the site that problems arose. One of the helicopters collided with a KC-130 during refueling. The result was 193 million dollars worth of equipment and eight dead servicemen left behind. Unlike Operation Ivory Coast, analysis of the mission concluded that there were significant problems. Command and control during the execution of the operation was flawed. Violating the principle of unity of command, there was no designated mission commander for six months, hampering the training, planning, and execution of the operation. There were separate commanders for site security, helicopter force, ground force, KC-130, and landing support. The ground force commander had go/no-go authority, but he was not known to the rest of the force. Training was also not conducted in a joint manner. It was conducted at the individual and unit level within each component. Although there were few rehearsals that assessed specific portions of the operation, there was no full dress rehearsal. Compounding the problem was communications interoperability and procedural restraints.

Offensive

*The offensive
and joint forces*

The purpose of the offensive is to seize, retain, and exploit the initiative. It is the most effective and decisive way to attain a clearly defined objective. Offensive operations are the means by which a military force seizes and holds the initiative while maintaining freedom of action. For example, ground forces can attack while air forces seize and maintain air superiority and attack targets in the enemy's rear. Air superiority allows ground and air forces freedom of action while deep attack interrupts resupply and reinforcement and allows the initiative to be retained.

Mass

*Mass and
joint forces*

The purpose of mass is to concentrate the effects of combat power at the decisive place and time. Synchronization is achieved by the application of appropriate joint force capabilities in a short period of time. Massing allows even a numerically inferior force to achieve decisive results. The effective use of air, land, sea, space, and special operations forces allows the JFC to project capabilities that present no seams or vulnerability for an enemy to exploit.

Economy of Force

*Purpose of
economy of force*

The purpose of economy of force is to allocate minimum essential combat power to secondary efforts. Economy of force missions may include limited attacks, defense, delays, deception, or even retrograde operations. These missions are usually employed in order to achieve mass at the decisive point and time. Economy of force was used during Operation Desert Storm when marines were placed in the Persian Gulf to deceive Saddam Hussein into believing that an amphibious operation would take place to liberate Kuwait City. This form of deception held at least three Iraqi divisions in place that might have otherwise been employed along the Kuwaiti-Saudi border.

Maneuver

*Purpose of
maneuver*

The purpose of maneuver is to place the enemy in a disadvantageous position through the flexible use of combat power. It keeps the enemy off balance and thus protects friendly forces. Maneuver seeks to secure or retain positional advantage by the threat or use of direct or indirect fires. It contributes to exploiting success, preserving freedom of action, and reducing vulnerability by continually posing new problems for the enemy. During Operation Desert Storm, XVIII Airborne Corps moved almost 300 miles to attack Iraq's flank.

Security

Purpose of security

The purpose of security is to never permit the enemy to acquire unexpected advantage. This may be achieved through deception or attack of command, control, communications, computers, or intelligence.

Surprise

Purpose of surprise

The purpose of surprise is to strike the enemy at a time or place or in a manner for which he is unprepared. It can help shift the balance of combat power and thus achieve success well out of proportion to the effort expended. Decision making, information sharing, force movement, effective intelligence, deception, application of unexpected combat power, operations security, and variations in tactics and methods of operation contribute to the factor of surprise.

Simplicity

Purpose of simplicity

The purpose of simplicity is to prepare clear, uncomplicated plans and concise orders to ensure thorough understanding. Simplicity minimizes misunderstanding and confusion during periods of stress, fatigue, and complexities of combat. It allows subordinate commanders to effectively employ firepower to achieve the commander's intent.

*Operation
Desert Storm*

Operation Desert Storm

On 24 February 1991, the First Marine Division crossed the berm under the fire of 155mm artillery, signaling the beginning of the ground offensive phase of Operation Desert Storm. The "Hundred-Hour War" underscores the tremendous accomplishments made in the joint operations arena since Operations Eagle Claw and Urgent Fury.

Preceding the attack were six months of planning. It was a four-phase campaign strategy beginning with Operation Instant Thunder, which targeted theater command and control capabilities and Iraq's nuclear, biological, and chemical capabilities. Phase II pursued air supremacy over Iraq and the Kuwaiti theater of operations. Phase III focused on destruction of the Republican Guard units and isolation of the Kuwaiti battlefield from reinforcement and resupply. Phase IV was the combined air and ground offensive to push Iraqi forces from Kuwait.

In the planning of ground operations, numerous discussions took place between Gen Norman Schwarzkopf (CINCUSCENTCOM) and Gen Colin Powell (CJCS). During these discussions, General Schwarzkopf informed General Powell that there were insufficient forces to accomplish phase IV without high casualties. Based on their discussions, the number of ground forces committed were more than doubled (mass). The plan required that a large force block the positions that Iraq held in Kuwait. In order to avoid the enemy's strength, a plan was designed to attack the enemy's weakness employing a "left hook" (offensive, maneuver, surprise). This course of action required moving XVIII Airborne Corps nearly 300 miles and VII Corps northeast 135 miles after commencement of their campaign. To be effective, this plan required air superiority and fixing Iraqi ground and air forces to deny Iraq any intelligence (security) on troop movements. Further fixing of forces occurred through the threat of conducting an amphibious assault from the Persian Gulf. Several rehearsals were conducted for Iraq's benefit. The threat of an amphibious assault (economy of force) kept a minimum of three Iraqi divisions tied to the coast and away from the "left hook." Operation Desert Storm is the epitome of the employment of joint forces since the campaigns conducted in the Pacific Theater during World War II.

Military Operations Other than War

*MOOTW and
joint forces*

Military operations other than war (MOOTW) are the uses of the military instrument of power for other than large-scale operations. They include arms control, combating terrorism, DOD support for counterdrug operations, nation assistance, noncombat evacuation operations, and other civil support operations. These types of operations are under the command of a joint force commander (JFC) and can involve combinations of air, land, sea, and special operations forces. Additional participants may be governmental and nongovernmental agencies. The principles for military operations other than war differ slightly from those of war. They are unity of effort, the objective, security, restraint, perseverance, and legitimacy.

Unity of Effort

*MOOTW and
civilian-military
coordination*

Unlike military operations, the scope of MOOTW operations are much broader and may include coordination with agencies outside DOD. A cooperative spirit is required in order to achieve objectives that may be diplomatic, economic, and informational in nature. Because these operations are conducted at the small-unit level, individuals at all levels must understand the civilian-military relationship.

Objective

*MOOTW and
the objective*

A clearly defined and attainable objective is paramount. The commander must understand the criteria that result in termination or failure. The JFC must understand the strategic goal in order to set objectives that contribute to the unity of effort.

Security

*MOOTW and
force protection*

During military operations other than war, security focuses on force protection from persons, elements, or groups hostile to our interests. The absence of hostile intent is not an indication of a potential threat. The nature of these types of operations requires that the force be capable of transitioning into a combat posture if the need arises.

Restraint

*MOOTW and
measured
military power*

The application of measured military power is important in military operations other than war. The rules of engagement tend to be more restrictive and to change frequently during operations. The use of excessive force could adversely affect the attainment of national objectives. The principle of restraint does not prohibit the use of overwhelming force when appropriate, but the parameters must be clearly defined.

Perseverance

*MOOTW and
persistence*

The objective of some military operations other than war may take years to achieve. The patient, resolute, and persistent pursuit of national goals and objectives are often the requirement for success.

Legitimacy

*MOOTW and
legitimacy*

Joint operations must sustain the legitimacy of the operation and the host government. This principle focuses on internationally sanctioned standards as well as the perception that its authority to govern is effective. If a government does not exist, care must be taken not to inadvertently legitimize individuals or groups.

*The joint and
component staff
structures*

Now that you can appreciate a few of the characteristics involved when commanding in the joint environment, let's look at the joint staff structure (table 6) and respective component staffs (table 7). Each joint staff is composed of the J-1 through J-6 functions responsible for personnel, intelligence, operations, logistics, planning, and communications. With one exception, each component staff is organized into areas of responsibility that parallel the joint staff organization. For the Army, command, control, communications, and computers are the responsibility of the signal battalion commander.

Table 6

The Joint Staff Structure

Directorate or Division	Responsibilities
Manpower and Personnel (J-1)	• Manage manpower • Formulate personnel policies • Supervise administration of personnel, including civilians and prisoners of war
Intelligence (J-2)	• Ensure availability of sound intelligence on area and enemy locations, activities, and capabilities • Direct intelligence efforts on proper enemy items of interest • Ensure adequate intelligence coverage and response • Disclose enemy capabilities and intentions
Operations (J-3)	• Assist in directions and control operations • Plan, coordinate, and integrate operations
Logistics (J-4)	• Formulate logistics plans • Coordinate and supervise supply, maintenance, repair, evacuation, transportation, construction, and related logistics matters • Ensure effective logistics support
Plans and Policy (J-5)	• Assist commander in long-range or future planning • Prepare campaign and operations plans • Prepare estimates of the situation
Command, Control, Communications, and Computers	• Assist commander with responsibilities for communications-electronics and automation systems • Prepare communications and data systems plans to support operational and strategic concepts • Furnish communications to exercise command in mission executions

Table 7

Component Staff Structure

	Personnel	Intelligence	Operations	Logistics	Planning	Communications
Army Component HQ	DCS Personnel	DCS Intelligence	DCS Operations and Plans	DCS Logistics DCS Engineer DCS Resource Management		DCS Communications-Electronics
Army Division HQ	ACOS Personnel (G1)	ACOS Intelligence (G2)	ACOS Operations (G3)	ACOS Logistics (G4)		
Air Force Component HQ	DCS Personnel (DP)	DCS Intelligence (IN)	DCS Operations (DO)	DCS Logistics (LG)	DCS Plans (XP)	DCS Communications Systems (SC)
Air Force Wing	included in Combat Support Group	included in DO as DOI	Deputy Commander Operations (DO)	Deputy Commander Maintenance (MA) Deputy Commander Resource Management (RM)	included in DO and LG as DOX and LGX	Deputy Commander Communications (SC)
Navy Component HQ	ACOS Administration (N1)	ACOS Intelligence (N2)	ACOS Operations (N3)	ACOS Logistics (N4)	ACOS Plans (N5)	ACOS Communications (N6)

Conclusion

The challenge

The synergistic employment of forces is the key to joint operations. Each service has tremendous capabilities. The challenge is to amalgamate these capabilities and apply the right force or combination of forces to a specific threat. The relationship between these forces can be placed into two categories—supported or supporting forces. The supported commander is responsible for coordinating the efforts of the supporting commander with his own. Supporting activities may include air, land, sea, special operations, and space forces. Examples of supporting missions are air support to land (close air support, tactical airlift); sea support to land (naval gunfire and missile support); and land support to air (suppression of enemy air defenses and seizure and protection of air bases).

As stated by General Schwartzkopf regarding the success of Operation Desert Storm, “Winning our wars is the fundamental philosophical basis for anyone’s military service to the country. I fought Desert Storm based on

this premise. I told my commanders and my staff, we are all serving a unified command.”

Vice Adm Stanley R. Arthur, commander of US Naval Forces, Central Command during Desert Storm, stated, “In modern warfare, any single system is easy to overcome; combinations of systems, with each protecting weak points in others and exposing enemy weak points to be exploited by other systems, make for an effective fighting force.”*



*Vadm Stanley R. Arthur and Marvin Pokrant, “The Storm at Sea,” United States Naval Institute *Proceedings* 117 (May 1991): 87.

Commander's Checklist

- Joint forces, which are composed of elements of two or more services, include nine unified commands:
 - ☐ Five commands based on geography
 - ☐ Four commands based on function
- Each service contributes to the unified team.
 - ☐ The Army provides land forces to seize, occupy, and defend land areas (including air bases).
 - ☐ The Navy establishes control of the seas and conducts land, sea, and space operations essential to a successful naval campaign.
 - ☐ The Marines conduct land and air operations essential to support naval campaigns.
 - ☐ The Air Force defends the United States against attack, establishes air superiority, and conducts space operations.
- Following are the principles of war that should guide the operations of a joint command:
 - ☐ Unity of command
 - ☐ Objective
 - ☐ Offensive
 - ☐ Economy of force
 - ☐ Surprise
 - ☐ Mass
 - ☐ Maneuver
 - ☐ Security

Appendix

Index of Publications Cited

Directive, Instruction, Manual, Pamphlet, or Regulation

DOD Directive

DODD 5400.4	<i>Provision of Information to Congress</i>
DODD 5500.7-R	<i>Joint Ethics Regulation</i>
DODD 5505.6	<i>Investigations of Allegations against Senior Officials of the Department of Defense</i>

Security

AFI 31-206	<i>Security Police Investigations</i>
AFI 31-210	<i>The Air Force Antiterrorism (AT) Program</i>
AFI 31-213	<i>Armed Forces Disciplinary Control Boards and Off-Installation Liaison and Operations</i>

Civil Engineering

AFI 32-6005	<i>Unaccompanied Housing Management and Operations</i>
-------------	--

Public Affairs

AFI 35-205	<i>Air Force Security and Policy Review Program</i>
------------	---

Personnel

AFPD 36-12	<i>Dispute Resolution</i>
AFPD 36-27	<i>Social Actions</i>
AFI 36-102	<i>Basic Authority and Responsibility for Civilian Drug and Alcohol Abuse Prevention and Control Program</i>
AFI 36-401	<i>Employee Training and Development</i>
AFI 36-601	<i>Civilian Career Management Program</i>
AFI 36-602	<i>Air Force Civilian Intern Recruitment</i>
AFI 36-704	<i>Discipline and Adverse Actions</i>
AFI 36-810	<i>Substance Abuse Prevention and Control</i>

AFPAM 36-813	<i>A Supervisor's Guide—The Air Force Civilian Drug and Alcohol Abuse Prevention and Control Program</i>
AFI 36-1001	<i>Managing the Civilian Performance Program</i>
AFI 36-1201	<i>Discrimination Complaints</i>
AFI 36-2002	<i>Regular Air Force and Special Category Accessions</i>
AFI 36-2104	<i>Nuclear Weapons Personnel Reliability Program</i>
AFI 36-2110	<i>Assignments</i>
AFCAT 36-2223	<i>USAF Formal Schools</i>
AFI 36-2301	<i>Professional Military Education</i>
AFI 36-2502	<i>Airman Promotion Program</i>
AFI 36-2701	<i>Social Actions Program</i>
AFI 36-2803	<i>The Air Force Awards and Decorations Program</i>
AFI 36-2903	<i>Dress and Personal Appearance of Air Force Personnel</i>
AFI 36-2907	<i>Unfavorable Information File (UIF) Program</i>
AFI 36-2908	<i>Family Care Plans</i>
AFI 36-2909	<i>Fraternization and Professional Relationships</i>
AFI 36-2910	<i>Line of Duty (Misconduct) Determination</i>
AFI 36-3002	<i>Casualty Services</i>
AFI 36-3003	<i>Military Leave</i>
AFI 36-3206	<i>Administrative Discharge Procedures for Commissioned Officers</i>
AFI 36-3207	<i>Separating Commissioned Officers</i>
AFI 36-3208	<i>Administrative Separation of Airmen</i>
AFR 40-5	<i>Evaluation of Personnel Management and Administration</i>
AFR 40-10	<i>A Supervisor's Guide—The Air Force Civilian Drug and Alcohol Abuse Prevention and Control Program</i>
AFR 40-293	<i>Supervisor's Records</i>
AFR 40-335	<i>The Merit Promotion Program</i>
AFR 40-511	<i>Position Classification</i>
AFR 40-512	<i>Classification Appeals</i>
AFR 40-630	<i>Absence and Leave</i>
AFR 40-711	<i>Labor-Management Relations</i>
AFR 40-713	<i>Equal Employment Opportunity (EEO) and Affirmative Action Programs (AEP)</i>
AFR 40-750	<i>Discipline and Adverse Actions</i>
AFR 40-771	<i>Appeal and Grievance Procedures</i>
AFR 40-1613	<i>Discrimination Complaints</i>

Aerospace Medicine

AFI 48-135 *Human Immunodeficiency Virus Program*

Law

AFI 51-201 *Administration of Military Justice*

AFI 51-202 *Nonjudicial Punishment Guide*

AFI 51-503 *Aircraft, Missile, Nuclear, and Space Accident Investigation*

AFI 51-602 *Boards of Officers*

AFI 51-903 *Dissident and Protest Activities*

AFI 51-904 *Complaints of Wrongs under Article 138, Uniform Code of Military Justice*

Special Investigations

AFI 71-101 *Criminal Investigations, Counterintelligence, and Protective Service Matters*

Command Policy

AFI 90-301 *Inspector General Complaints*

AFI 90-401 *Air Force Relations with Congress*

Safety

AFPAM 91-211 *USAF Guide to Mishap Investigations*

AFI 91-302 *Air Force Occupational and Environmental Safety, Fire Prevention and Health (AFOSH) Standards*

