

# Lesson 4

## Principles and Leadership



### Key Terms

attributes  
censure  
convictions  
diversified  
doctrine  
philosophy  
recrimination  
self-evaluation

### What You Will Learn to Do

- Draft a plan for using the 11 principles of leadership to improve your leadership abilities

### Linked Core Abilities

- Communicate using verbal, nonverbal, visual, and written techniques
- Take responsibility for your actions and choices
- Apply critical thinking techniques

### Skills and Knowledge You Will Gain Along the Way

- Describe 11 principles of leadership
- Describe the BE, KNOW, and DO attributes of a leader
- Identify how a cadet can demonstrate leadership character and competence
- Define the key words contained in this lesson

# Chapter 1

## Introduction

When you think of a leader, you think of someone who is in charge or someone with authority. To be an effective leader, one must possess certain traits, abide by certain principles, and have an appropriate style. This lesson introduces the 11 principles of leadership. Being an effective leader requires more than possessing certain traits; you must also follow these principles, which are basic tools of a successful leader. Use them to evaluate yourself and then to develop a plan to improve your ability to lead.

Leadership is the process of influencing others to accomplish a mission. The leadership skills that you use to accomplish a mission are the same whether you are in a classroom, your neighborhood, church, home, or JROTC. To be a good leader, you must provide teammates with purpose, direction, and motivation. Purpose helps them to understand why they are performing a project; direction shows what they must do; and motivation gives them the desire or initiative to do everything they are capable of doing to accomplish their mission.

## Origins of Principles

The 11 principles of leadership have long been the foundation of military leadership **doctrine**. They have stood the test of time and have guided the conduct and action of successful leaders of both past and present.

The U.S. Army tested their validity in 1970 when the Army War College and the Continental Army Command Leadership Board did a study on leadership effectiveness. The results dramatically demonstrated that these guidelines are appropriate today and in the future for leaders and followers at every level. The findings of these studies also indicated that most leadership mistakes resulted simply from the failure to apply these principles properly.

Knowledge of these principles—and of basic human nature—will help you to be an effective leader in any situation. As you study them over the next several pages, keep in mind your strengths and weaknesses. Think about how you can best apply these principles to improve your leadership ability.

## The Principles of Leadership

To know yourself, you must understand who you are. Where do your interests lie? Do you have a special talent? What are your weaknesses? Do you have a least favorite subject? What are some of your faults? Answering these questions is part of **self-evaluation** (see Figure 1.4.1). Through the process of self-evaluation, leaders determine their capabilities and limitations.

### Key Note Term

**doctrine** – a principle (or creed of principles) relating to a specific belief, subject, theory, or branch of knowledge; the fundamental policy or standard for a principle or set of principles on a specific subject, theory, or branch of knowledge; something that is taught

### Key Note Term

**self-evaluation** – to, with, for, or toward oneself or itself

### Note

Know yourself and seek self-improvement.



*Figure 1.4.1: Taking an honest look at yourself can help you perform a self-evaluation.*

Courtesy of CACI.

By knowing themselves, leaders can take advantage of their strengths and work to overcome their weaknesses. Seeking self-improvement means continually strengthening your **attributes**. This desire to improve increases your competence and adds to the confidence your followers have in your ability to train and lead them.

Some techniques for applying this principle are as follows:

- **Analyze yourself objectively to determine your weak and strong qualities. Strive to overcome the weak ones and further strengthen those in which you are strong.**
- **Ask for honest opinions from your team members and instructors as to how you can improve your leadership ability.**
- **Profit by studying the causes for the success or failure of other leaders, past and present.**
- **Develop a genuine interest in people; acquire the “human touch.”**
- **Master the art of effective writing and speaking.**
- **Develop a **philosophy** of life and work.**
- **Have a definite goal and plan to attain it.**

Read the following story and see how Patty identified and then overcame her weaknesses, thereby strengthening her attributes as a leader.

Patty was a drum major for the school marching band. She had just inherited the position from Tom, a graduating senior. Tom, who was very well liked and respected, led the band to their first state championship last year.

“What type of drum major will I be?” she thought to herself. “I cannot compete or compare myself with Tom. It’s true that he was good, but I have certain strengths of my own,” she reassured herself.

### **Key Note Term**

**attributes** – qualities or characteristics (such as a belief, value, ethic, character trait, knowledge, or skill) that belong to a person or thing; a distinctive personal feature

### **Key Note Term**

**philosophy** – discipline comprising as its core logic, aesthetics, ethics, metaphysics, and epistemology

She then began to review her good qualities. She was very enthusiastic, which always seemed to motivate people. She was a good musician who understood the principles of conducting. And she had a good ear for rhythm, enabling her to detect when the band's tempo was off.

After Patty's first week as drum major, she realized that although she was good, there was definite room for improvement. She would make changes that the band would not pick up on right away, and the percussion section always seemed to be a beat behind her.

Fortunately, it did not take her long to find out why these mistakes were occurring. A friend of hers videotaped the band practice one day so that Patty could see some of her weaknesses. Plus, some of the band members told her they had a hard time understanding what she wanted them to do because she did not explain it well.

Although Patty knew the sound, tempo, and rhythm that she wanted to hear, she needed to explain it better to the band members so that they knew exactly what she expected. Additionally, she realized that she needed to point out their mistakes and to give them an example of how she wanted them to play the new songs.

The percussion section's problem was that they had a hard time seeing her. They were at the very back of the field and she was at the front. To correct this problem, she decided to stand on a platform.

After Patty discovered her weaknesses, she tried to improve them. She thanked the band members for their suggestions and, letting her excitement show, she told them she wanted it to be another great year—maybe another state championship year.

Patty immediately knew her strengths, but she did not actually become aware of her weaknesses until she was in a leadership position. This is not uncommon. The important thing is that once she knew what qualities she needed to change, she made an effort to do so.

### ***Be Technically Proficient***

Your team members expect you to be proficient at your job; therefore, leaders must demonstrate to their teammates that they are qualified to lead. Technical competence requires a leader to be able to perform all tasks associated with the job or assignment as well as to train team members to do their jobs.

Use the following techniques to enhance your application of this principle:

- **Seek a well-rounded education. Supplement school with independent reading, research, and study.**
- **Seek out and foster associations with capable leaders or mentors. Observe and study their actions.**
- **Broaden your knowledge in other areas whenever possible; keep abreast of current events (see Figure 1.4.2).**
- **Seek opportunities to apply knowledge through the exercise of authority. You acquire good leadership only through practice.**
- **Familiarize yourself with the capabilities and limitations of all elements of your authority.**



*Figure 1.4.2: Read newspapers and magazines to stay on top of current events.*

Courtesy of Jose Luis Pelaez, Inc/Corbis Images.

- Always prepare yourself for the job of a leader at the next higher level.
- Learn and apply sound leadership and management techniques.

By seeking Army JROTC education and training and taking advantage of the leadership opportunities it has to offer, you have already started developing your technical proficiency.

### *Seek and Take Responsibility for Your Actions*

Leading always involves responsibility. With the knowledge you gained from an honest self-evaluation and with a sound technical foundation required to do your job, you must take the initiative to accomplish your mission. You also want people on your team who can handle responsibility and who will help you to perform the mission.

By seeking responsibility, you develop professionally and increase your leadership ability. Accepting responsibility for all that a unit does or fails to do is part of a leader's job.

Use these techniques to assist you in applying this principle:

- Seek **diversified** leadership positions that will give you experience in accepting responsibility.
- Take every opportunity that offers increased responsibility.
- Perform every act, large or small, to the best of your ability.
- Accept just criticism.
- Admit mistakes when you make them and take corrective action; avoid evading responsibility by placing the blame on someone else; ensure that any mistakes by team members are not due to an error on your part.
- Adhere to what you think is right; have the courage of your **convictions**.
- Possess the competence necessary to make sound and timely decisions.
- In the absence of orders or guidance, seize the initiative and take the necessary action based on personal judgment, training, and experience.

#### *Key Note Term*

**diversified** – to produce variety

#### *Key Note Term*

**convictions** – a strong persuasion or belief

### ***Make Sound and Timely Decisions***

Leaders must be able to reason under the most critical conditions and decide quickly what action to take. If they delay or avoid making a decision, their indecisiveness may create hesitancy, loss of confidence, and confusion within the unit, and it may cause the project to fail. Because leaders are frequently faced with unexpected circumstances, it is important to be flexible. Leaders must be able to react promptly to each situation; then, when circumstances dictate a change in plans, prompt reaction builds confidence in them.

The following techniques will help you apply this principle:

- **Develop (through constant practice) a logical and orderly thought process.**
- **Consider the effects of your decisions.**
- **Ensure that team members are familiar with your policies and plans.**
- **When you have time, plan for every possible unforeseen event that may arise.**
- **Encourage team members to participate in the planning process; consider their advice and suggestions before making decisions.**
- **Give team members sufficient time to make necessary plans.**

### ***Set the Example***

A leader must set a good example. This is a heavy responsibility, but you, as a leader, have no choice. No aspect of leadership is more powerful. If you expect honor, integrity, courage, loyalty, respect, selfless service, and duty from your followers, you must demonstrate them. Because your followers will imitate your behavior, you must set high, but attainable standards, be willing to do what you require of your followers, and share their hardships. Your personal example affects people more than any amount of instruction or form of discipline. You are their role model.

The following are some techniques for applying this principle.

- **Be physically fit, well groomed, and correctly dressed.**
- **Master your emotions. The leader who is subject to uncontrolled bursts of anger or to periods of depression will be less effective as a leader.**
- **Maintain an optimistic outlook and a will to succeed. The more difficult the situation, the more you must display an attitude of calmness and confidence.**
- **Conduct yourself so that your personal habits are not open to **censure**.**
- **Exercise initiative and promote the spirit of initiative in your followers.**
- **Be loyal; support the policies of superiors.**
- **Avoid being partial to any follower.**
- **Be morally courageous. Establish principles and stand by them.**
- **Develop conviction within your followers that you are the best person for the position you hold.**
- **Delegate responsibility and authority and avoid oversupervision to develop leadership among your teammates.**
- **Strive for professional competence.**

#### ***Key Note Term***

**censure** – an opinion or judgment that criticizes or condemns sternly

Try to identify how Sylvia used the previous techniques to set an example for her team in the following story.

Bob Peters was proud of his mother, Sylvia. Her sales company just promoted her to regional product manager from district supervisor. She was definitely good at what she did.

Because Bob was studying leadership in JROTC, he wanted to analyze the reasons for his mother's success. So, one day while he waited at her office after school, he had an opportunity to talk with members of her sales team.

Mike, who had worked for Sylvia for two years, said that she was really an inspiration to the team. "Selling a product can be tough, but Sylvia guides us in a way that makes the job easier. She sets realistic goals and gives us our own territories. But the main reason that we respect her so much is because she does so much more than just plan and organize. She's right there beside us selling, too. And, if we run into a problem with a client, we know that we can go to her for advice.

"I guess that you could say your mom is a great salesperson who's really committed to the success of the company. That shows in what she does and in the way she does it. She is a good role model for our sales team."

### ***Know Your Personnel and Look Out for Their Welfare***

Leaders must know and understand the members of their unit. It is not enough just to know a team member's name. As a leader, you need to understand them as individuals—their interests, values, and attitudes. In short, you must know why they act the way they do. Commit time and effort to listen to and learn about them. Try to observe, become personally acquainted with, and recognize them as individuals with different backgrounds and different personalities. To be successful in this principle, you must have knowledge of individual and group behavior; without this knowledge, you cannot understand the "why" of your follower's actions.

The behavior of team members is often driven by their desire to satisfy certain physical and safety needs. Whether or not they put their best effort in the performance of their duty and achieving the unit's goal depends on the satisfaction of those needs. By showing that you care, you can earn their trust and respect. If they trust you, they will willingly work to help you accomplish the mission.

Use the following techniques to improve your application of this principle:

- **See and be seen; be available; be friendly and approachable.**
- **Develop a knowledge and understanding of your followers.**
- **Concern yourself with what makes your teammates "tick."**
- **Help your personnel out when they ask for or are in need of it.**
- **Administer discipline timely, fairly, and impartially; ensure fair and equitable distribution of awards.**
- **Encourage individual development.**
- **Share hardships to better understand your followers' behaviors and reactions.**

Read the following story and identify the actions that John took to apply this principle.

Summer was approaching, and John's goal was to work and make money during the three-month break. He wanted to save his money for a CD player. His friends in the neighborhood also wanted to earn some money. One day, four of them got together and came up with an idea. They would offer a lawn maintenance and pool cleaning service to several neighborhoods for the summer. John was appointed manager of the business because he was the one who had the van to haul the equipment.

John thought about what was motivating his three friends to work. He also considered what they could each contribute to the business. Derek, whose father was recently laid off, needed to help his family. Derek had a lawn mower and could cut the grass. Jim didn't really need the money but wanted to have a productive summer. He had an electric hedge clipper and could trim bushes. Matt was working to save his money for college. With a pool at home, it was obvious that he would be responsible for cleaning the pools. John also had a lawnmower and could help Derek.

All four boys worked at getting customers. As manager, John did the scheduling and supervised loading the equipment into his van. He was also responsible for bringing a first aid kit and a large jug of water.

Business was off to a great start. Before long, one month had passed and the boys were working hard and making money. John began to notice that every so often Jim would call the night before and say that he could not work the next day. John took it in stride for a while. Because John knew that Derek really needed the money, John asked him if he would also trim the bushes. Derek did not object. He was glad to have the opportunity to earn the extra money and did not mind taking over Jim's work when asked to do so.

After Jim missed three days in one week, John decided to speak to him. "I know that you're not in this for the money, but this is a business and we all depend on each other," John explained. Jim apologized, saying that he just wanted to have some time to enjoy the summer. The two of them talked until they came to an agreement. Jim would work four days a week, allowing Derek to substitute for him for one day. Jim was happy with his day off, Derek was happy to earn a little extra money, and John was pleased that he could help meet the needs of his friends and still keep the business going.

### ***Keep Your Followers Informed***

We live in a society where mass media constantly keeps us informed of what goes on around us. We are taught in school to look for the logic in things, to think for ourselves, and to question things which do not make sense to us. It is only natural that followers look for logic in the orders of a leader. They expect their leaders to keep them informed and, whenever possible, to explain the reasons behind each requirement.

People do their best when they know why they are doing something. Keeping followers informed not only helps them to execute orders, but it also encourages initiative, improves teamwork, and enhances morale. Although it is natural for people to fear the unknown, keeping them informed also reduces fear and rumors. Techniques to apply this principle are as follows:

- Use the chain of command.
- When explaining why tasks must be done, inform team members of your intent (see Figure 1.4.3).
- Be alert to detect the spread of rumors.
- Build morale by informing team members of their successes; be quick to recognize their accomplishments.
- Let team members know that you will accept honest errors without **recrimination**; be prompt and fair in backing them.
- Keep your team informed about current rules and regulations.
- Give advice and assistance freely when your followers request it.

### *Develop a Sense of Responsibility in Your Followers*

The members of your team will feel a sense of pride and responsibility when they successfully accomplish a new task you have given them. When you delegate responsibility to followers, you are indicating that you trust them. This trust that you place in them will make them want even more responsibility.

As a leader, you are a teacher and are responsible for developing your followers. Help them meet their potential by giving challenges and opportunities that you feel they can handle. Give them more responsibility when they show that they are ready. Encourage them to take the initiative and work toward completing a task. Some techniques for applying this principle are as follows:

- When explaining why tasks must be done, tell your team members what to do, not how to do it; hold them responsible for results.
- Assign your team members to positions commensurate with their demonstrated or potential ability; give them frequent opportunities to perform duties at a higher level.
- Insist that your personnel live by the standard to accept responsibility willingly.



#### *Key Note Term*

recrimination – a retaliatory accusation

*Figure 1.4.3: Keep your team members informed so they understand why they need to perform certain tasks.*

Courtesy of CACI.

### ***Ensure Each Task Is Understood, Supervised, and Accomplished***

Your followers must understand what you expect from them. They need to know what you want done, what the standard is, and when you want it done. If you have a specific way you want a task accomplished, they need to know what it is.

Supervising lets you know if your followers understood your orders, and it shows your interest in them and in the accomplishment of the task; however, you should not oversupervise (which can cause resentment) or undersupervise (which can cause frustration).

When followers are learning new tasks, tell them what you want done, show them how you want it done, and then let them try it. Watch their performance and be available to answer questions. Accept performance that meets your standards; reward performance that exceeds your standards; correct performance that does not meet your standards.

Determine the cause of the poor performance and take appropriate action. By holding subordinates accountable for their performance, they realize they are responsible for accomplishing tasks as individuals and as teams.

Apply this principle using these techniques:

- **Ensure the need for an order exists.**
- **Again, use the chain of command.**
- **Through study and practice, develop the ability to think and communicate clearly, and to issue clear, concise, and positive orders.**
- **Encourage followers to seek immediate clarification of any misunderstanding as to the task you want them to accomplish; question them to determine if there is any doubt or misunderstanding.**
- **Correct errors in such a way as to encourage your followers; avoid public criticism.**
- **Exercise care and thought in the supervision of your orders.**

### ***Build a Team***

Leaders must have well-trained team members if they are to accomplish any project or mission. A leader must develop a team spirit that motivates members to work confidently.

Because task accomplishment is based on teamwork, it is evident that the better the teamwork, the better the team will perform the task. In addition, members of a group will perform better if they have a sense of belonging and team spirit. Team spirit is a two-way street, The group as a whole gives its members a feeling of accomplishment, security, and recognition; then each team member gives his or her best back to the team. Teamwork starts in the smallest unit and carries through to the largest organization. All team members must understand that their contribution to the unit is important and recognized.

Your teammates need confidence in your abilities to lead them and in their abilities to perform as members of the team. Your group becomes a team only when the members can trust and respect you and each other as trained professionals, and can see how their contributions to the team's goals are important.

Techniques to apply this principle are as follows:

- **Ensure that all training is meaningful and its purpose is clear to all members of the team.**
- **Develop mutual trust and understanding.**
- **Develop subordinate leaders; ensure they know and understand their personnel.**
- **Explain to all members their responsibilities and the importance of their role in the effectiveness of the team.**

### ***Employ Your Team in Accordance with its Capabilities***

Your group has capabilities and limitations—know them. Your team members will get satisfaction from performing tasks that are reasonable and challenging, but they will become dissatisfied if you give them tasks that are too easy or too difficult to accomplish. You must use sound judgment when employing the team because each time it fails, the members lose confidence in their abilities and in your competence as their leader. In time, this lowers morale, esprit de corps, discipline, and proficiency.

Here are some techniques for applying this principle:

- **Analyze all tasks that your supervisor assigns to you. If the means at your disposal are inadequate, inform your supervisor and request the necessary support. However, use the full capabilities of your team before requesting assistance.**
- **Keep yourself informed as to the effectiveness of your team.**
- **Ensure that the tasks you assign to subordinates are reasonable.**
- **Assign tasks fairly among the members of the group.**
- **Make decisions based on sound leadership principles.**

Use these 11 principles of leadership whenever you are put in charge of a group situation. They will help you to accomplish tasks and to care for your team. Think of them as a guide for leadership action.

### ***The BE, KNOW, DO Attributes***

For leadership to be effective, all leaders must learn, understand, and apply sound techniques. Among these techniques, leaders must have a thorough understanding of how to apply the *BE*, *KNOW*, *DO* attributes to real-life situations. Regardless of the circumstances of the situation, leaders must concentrate on what they *are* (their beliefs and character), what they *know* (human nature and their job), and what they *do* (provide purpose, direction, and motivation).

At this early stage in your leadership development, the intention is to introduce the *BE, KNOW, DO* attributes and show how they interrelate to other leadership techniques. This information will help to clarify these relationships.

Complete mastery of your leadership skills will not come naturally. Instead, you must acquire them through study and application. The key is to understand how the various leadership fundamentals can work best for you; therefore, use the *BE, KNOW, DO* attributes to the degree with which you feel most comfortable when developing a leadership style that best suits your beliefs, character, and abilities.

### **What a Leader Must BE**

You must be a person of strong character committed to professional moral standards. You must set the correct example of individual values and be able to resolve complex problems. You must understand that you are transmitting your beliefs and values to your followers by the behavior you display. You inform them of the norms and behavior that you will accept from them by your personal conduct and behavior. Leadership traits are shown in Table 1.4.1.

<b>AS A LEADER, YOU MUST</b>	<b>EXAMPLES</b>
<i>BE</i> a person of strong and honorable character	Compassion, consistency, determination, flexibility, initiative*, role modeling, and self-discipline
<i>BE</i> an example of individual values and committed to professional moral standards	Honor, integrity*, courage*, loyalty*, respect, selfless service, and duty
<i>BE</i> able to resolve complex problems.	Interpret the situation, analyze all factors/forces that apply and choose the best course of action.

In addition to the leadership traits shown by an asterisk in Table 1.4.1, other *BE* traits include

- **Bearing**
- **Dependability**
- **Endurance**
- **Enthusiasm**

Several examples of the leadership principles that reflect what a leader must *BE* are as follows:

- **Seek responsibility and take responsibility for your actions.**
- **Set the example.**

### What a Leader Must KNOW

Leaders must learn before they can lead. You need to know (understand) standards, yourself, your job, and your unit to be an effective leader. Knowledge is far more important than memorization; it is understanding. Your subordinates expect you to be the most knowledgeable person in the unit. You, as a leader, owe it to your followers to meet these expectations.

Four examples of leadership traits that a leader must *KNOW* are as follows:

- **Judgment**
- **Knowledge**
- **Tact**
- **Unselfishness (selflessness)**

Examples of leadership principles that reflect what a leader must *KNOW* are as follows:

- **Know yourself and seek self-improvement.**
- **Be technically proficient.**
- **Know your personnel and look out for their welfare.**

Table 1.4.2 shows you what a leader must *KNOW* to be successful.

<b>AS A LEADER, YOU MUST:</b>	<b>EXAMPLES</b>
<i>KNOW</i> the four factors of leadership and how they affect each other.	The leader, the follower, the situation, the communication
<i>KNOW</i> yourself.	Personality and performance; strengths and weaknesses; knowledge, skills, and attitudes
<i>KNOW</i> human nature.	Potential for good and bad behavior, how depression and sadness contribute to fear and panic, and how fear affects performance
<i>KNOW</i> your job.	Plan and communicate effectively; supervise and counsel; display competence; develop subordinates; Make good, sound, and timely decisions; and use available resources.
<i>KNOW</i> your unit.	Know how to develop individual and team skills, cohesion, and discipline.

### What a Leader Must DO

Action is the key. You can be all that a leader is supposed to be and know everything there is to know about being a leader, but unless you do those things that a leader must do, you are doomed to failure. Ultimately, it is what a leader does that is most important. A leader must provide the following:

- **Purpose.** You must explain the “why” in communicating your intent so that your followers clearly understand the desired outcome.
- **Direction.** You must listen to your superior, then support him or her by providing assistance in keeping the task on track and providing guidance and supervision to your team members.
- **Motivation.** Motivation is the cause of action, the required incentive; it is what gives you and your followers the will to accomplish the mission.

Here are two examples of leadership traits that a leader must *DO*:

- **Decisiveness**
- **Justice**

Examples of leadership principles that reflect “what a leader must *DO*” are as follows:

- **Make sound and timely decisions.**
- **Keep your followers informed.**
- **Develop a sense of responsibility in your followers.**
- **Ensure each task is understood, supervised, and accomplished.**
- **Build a team.**
- **Employ your team in accordance with its capabilities.**

Table 1.4.3 shows what a leader must *DO* to be successful.

<b>AS A LEADER, YOU MUST:</b>	<b>EXAMPLES</b>
<i>DO</i> (PROVIDE) purpose.	Explain the “why” of missions and clearly communicate your intent.
<i>DO</i> (PROVIDE) direction.	Plan; maintain standards; set goals; make decisions and solve problems; supervise; evaluate, and counsel; and build (train and develop) teams.
<i>DO</i> (PROVIDE) motivation.	Take care of followers, be fair and consistent in your standards, develop cohesive teams, make training meaningful, reward performance that exceeds standards, and correct performance that does not meet standards.

## Conclusion

The education of a leader is continuous, building on past experiences and training. The traits and principles of leadership as well as the *BE, KNOW, DO* attributes provide a framework for the development and self-evaluation of a leader. Use them in conjunction with other leadership techniques to assess yourself and to develop a plan of action to add to your leadership skills and abilities.

In the next lesson, you will learn about sexual harassment and assault. You will learn the difference between sexual harassment and good-natured kidding, and see that assault can take many forms.

## Lesson Review

1. Why is it important for a leader to perform a self-evaluation?
2. Choose one technique you can use to develop sound decision making and explain it.
3. In what ways can you keep your followers informed?
4. Compare and contrast each element of the *BE, KNOW, DO* concept.