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LEADERSHIP FOR THE 1970'S

Army War College
Carlisle Barracks, Pennsylvania

June 1973

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DEPARTMENT OF THE ARMY
US ARMY WAR COLLEGE
CARLISLE BARRACKS, PENNSYLVANIA 17013

June 1973

IN REPLY REFER TO:

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US ARMY WAR COLLEGE LEADERSHIP MONOGRAPH SERIES

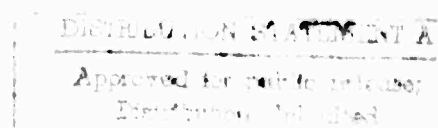
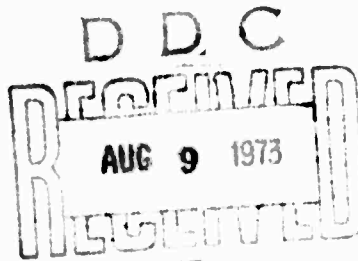
PREFACE

In 1971, a study on "Leadership for the 1970's" was conducted by the US Army War College at the direction of the Chief of Staff. Shortly thereafter, teams from the CONARC Leadership Board visited Army posts, camps, and stations throughout the world, discussing professionalism and leadership, and gathering data which represents the views of leaders at all grade levels on the subject of leadership.

The information collected by the CONARC leadership teams constitutes the largest data base on Army leadership ever assembled. The US Army War College, with assistance from the Office of the Deputy Chief of Staff for Personnel, has undertaken the task of analyzing this massive data base.

The results of these analyses, and related material, will be published as a continuing series of monographs over the next several years. It is our hope that these monographs will be of practical value to those charged with the responsibility for policies and programs of leadership development.

Franklin M. Davis, Jr.
FRANKLIN M. DAVIS, JR.
Major General, USA
Commandant



"Not To Promote War, But To Preserve Peace"



DEPARTMENT OF THE ARMY
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1. This publication, US Army War College Leadership Monograph Series, is one of a continuing series of monographs on the subject of leadership to be published by the US Army War College in conjunction with the Human Resources Development Directorate, Office of the Deputy Chief of Staff for Personnel, Headquarters, Department of the Army.
2. The views expressed in this publication are those of the authors and not necessarily those of the Department of Defense, the Department of the Army, or the US Army War College.

FOR THE COMMANDANT:


JOHN O. BATISTE
Colonel, Infantry
Secretary

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"Not To Promote War, But To Preserve Peace"

BACKGROUND OF THE US ARMY WAR COLLEGE MONOGRAPH SERIES

The USAWC Basic Study.

In January of 1971 the Chief of Staff of the Army directed the US Army War College to undertake a study of Army leadership. The major findings were presented to him on 3 June, and to the Secretary of the Army and the Army Policy Council on 16 June. (A comprehensive description of the study was published in Leadership for the 1970's: USAWC Study of Leadership for the Professional Soldier, 20 October 1971.)

As the potential utility of the study became apparent, close liaison was established with the CONARC Leadership Board, organized at Fort Bragg in May 1971.

CONARC Leadership Board.

The CONARC Leadership Board, organized at the direction of the Chief of Staff of the Army, and headed by then Brigadier General Henry C. Emerson, incorporated the methodology and findings of the AWC study into its world-wide seminar program. This program sent carefully trained leadership seminar teams to all Army installations (other than Vietnam) which had a population of 5000 or more. As part of this program, leadership data were collected from 30,735 Army personnel. These data form the largest information base on leadership ever collected.

World-wide Sample.

Even a sample size much smaller than 30,000 would have far surpassed the number of respondents needed to provide valid representation of various aspects of overall Army leadership. However, the great value of such a massive data base becomes apparent when it permits focusing on specific sub-groups within the Army. For example, we can study the leadership ideas of Artillery majors, or non-white Infantry captains, or subordinates of non-white majors, and have confidence in the statistical indicators resulting from the analysis.

Use to Date.

The data from the world-wide survey were summarized for each major command, and the findings were provided directly to the major commanders. Many commanders found the data from their command of considerable value. For example, the 82nd Airborne Division has used this information as the basis for a comprehensive, continuing program of leadership training and action. The US Military Academy has included the original study as an integral part of their leadership instruction, and the US Army Infantry School has incorporated both methodology and substantive findings in portions of its curriculum. Selected Command Sergeants Major, assembled at Fort Bliss in 1972 to help construct the new curriculum for the Sergeants Major Academy, made extensive use of the findings in designing leadership instruction for potential Sergeants Major.

Data Base Potential.

While both the War College initial study and certain portions of the world-wide data collection effort already have been put to practical use, the unique and potentially rich resource represented by the nearly 30,000 responses has not been tapped as an entity to disclose trends and characteristics of sub-groups such as those previously mentioned. The current Army War College Leadership Monograph Series is the first effort to analyze this wide data base in depth and to report on pertinent findings.

Leadership in Perspective.

These Leadership Monographs are designed to provide practical information to school faculty members, individual officers, and students of leadership concepts and methods. The ultimate objective of the monographs is to contribute to the combat effectiveness of the Army by continued improvement of individual leadership and the leadership climate in which operations and training take place. It is recognized throughout this discussion that leadership remains an inexact, personality-oriented, situationally-dependent function; and that leadership is but one of the key elements which determine organizational effectiveness. But in this era of rapid change, both within the US Army and throughout other people-oriented institutions in American society, insight into the various aspects of leadership seems to be particularly relevant to the many problems at hand. For Army officers, commissioned or non-commissioned, leadership is our profession and demands continued study and development.

Theoretical Concept of the Original Study.

The original Army War College study, Leadership for the 1970's, focused on the idea of reciprocity as expressed through the concept of an informal contract which exists between the individual and the organization. This monograph series retains the same focus. However, the application of the concept of informal contract has been sharpened in each case to pinpoint that portion of the "contract" that involves the individual leader, his superior, and his subordinates. The basic idea is that the individual leader at any level in the organization expects certain behavior from his superior, from his subordinates, and from himself. Also, both his superior and his subordinates expect certain behavior from him. It appears that only when these expectations--the "terms" of the informal contract--are known and met that true leadership can take place.

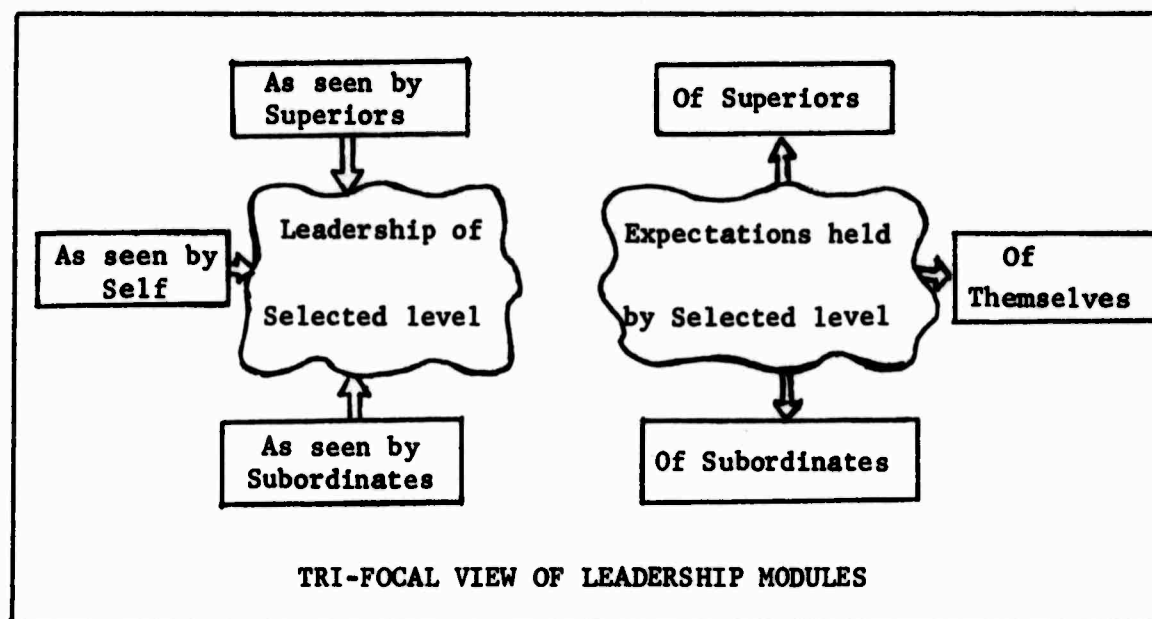
The degree to which the informal contract is fulfilled both upward and downward throughout the hierarchy of the organization determines in great part the total leadership climate of the organization. If only the expectations of superiors are recognized as important, the result is high potential for organizational tyranny in which only raw power, and command through fear and punishment can be used. At the other extreme,

when only the expectations of subordinates are recognized, there is high potential for unproductive permissiveness, confusion, and unbounded disorganization. Obviously, neither of these two extremes will allow an effective, disciplined, volunteer Army to exist. Thus the central theme of the original study and this monograph is:

THE LEADERSHIP MOST APPROPRIATE FOR THE 1970'S IS THAT WHICH PRODUCES A TOTAL LEADERSHIP CLIMATE CHARACTERIZED BY RECOGNITION AND FULFILLMENT OF THE INFORMAL CONTRACT IN ORDER TO INSURE MISSION ACCOMPLISHMENT OVER THE LONG TERM.

Basic Methodology.

This monograph series will attempt to define the appropriate terms of the informal contract, and the extent to which they were being recognized and fulfilled throughout the Army. In order to do this, attention will be focused on what appear to be four basic leadership "modules" within the Army. These modules are: Junior NCO leadership (E4-E6); Senior NCO leadership (E7-E9); Company Grade Officer leadership (O1-O3); and Field Grade Officer leadership (O4-O6). A trifocal view of each module will be used in each of two ways as diagrammed below:



Data for this tri-focal view of leadership were obtained by asking about one-third of the 30,735 respondents to complete a written questionnaire describing the leadership of their immediate superior; another third to complete the questionnaire, describing the leadership of one of their immediate subordinates; and the final third to complete the questionnaire, describing their own leadership.

In addition to various demographic items and a measure of satisfaction with the overall performance of the individual described, the questionnaire used in the study included a list of 43 specific items of behavior which Army leaders commonly demonstrate.¹ For each behavior, three questions were asked: "How often does he?" "How often should he?" and "How important was this to you?" The first question is a measure of perceived actual performance; the second a statement of expectations, and the third an indicator or weighting factor of the criticality of the behavior as perceived by the respondent.

About half of the 43 behaviors were derived fairly directly from the pioneering leadership research conducted over the years at Ohio State University under an Office of Naval Research Program. The other items were derived from various pre-tested sources and were included in order to tailor the list to conform as closely as possible to the particular demands of current Army leadership.

Content of the Monograph Series.

The basic objective of the series is to exploit the utilitarian potential of an extraordinary data base by providing insight regarding leadership information pertaining to specific groupings of Army leaders. In order to present useable information in convenient format at the earliest practicable time, each of the monographs will address a particular level or aspect of leadership. Such variables as length of service, grade, race, branch, and education will be addressed from the tri-focal perspective previously described. Additionally, the monograph series may include related information derived from other studies related to contemporary Army leadership. In all cases the criteria for monograph subject matter will be its relevance to current problems and opportunities in the realm of practical leadership in today's Army.

¹The behaviors used in the questionnaire are listed on the inside back cover.

US ARMY WAR COLLEGE
LEADERSHIP MONOGRAPH SERIES

Monograph # 1
DEMOGRAPHIC CHARACTERISTICS OF US ARMY LEADERS

by

Donald D. Penner

Dandridge M. Malone

Thomas M. Coughlin

Joseph A. Herz

June 1973

MONOGRAPH # 1: DEMOGRAPHIC CHARACTERISTICS OF US ARMY LEADERS

PURPOSE

The purpose of this first US Army War College Leadership Monograph is to lay a foundation. For the student of leadership, whether he is new or experienced, this monograph does not suggest what to do. It is a reconnaissance of the people who comprise most of the Army's leadership structure--and therein lies its practical, useable value. The monograph will answer questions such as the following:

1. What are the grade distributions for the superiors of Junior NCOs, Senior NCOs, Company Grade Officers, and Field Grade Officers in the sample?
2. What are the grade distributions for subordinates of Junior NCOs, Senior NCOs, Company Grade Officers, and Field Grade Officers in the sample?
3. From what area of the country do most of the Army's Junior NCOs, Senior NCOs, Company Grade Officers, and/or Field Grade Officers come?
4. What percentage of white and non-white Company Grade and Field Grade Officers entered the Army as enlisted men?
5. What are the main demographic differences between white and non-white leaders at any given level of leadership?

METHOD AND DATA

As mentioned in the series introduction, most of the subsequent monographs will focus on various aspects of one or more of four basic leadership modules--Junior NCO leadership, Senior NCO leadership, Company Grade Officer leadership, and Field Grade Officer leadership. Each module contains three groups intimately involved with the leadership level of the module. These are: (1) the leaders at that level themselves; (2) superiors of leaders at that level; and (3) subordinates of leaders at that level.

This initial monograph provides the demographic characteristics of each of these three groups for each module. In addition, each group is further broken out by race. For this presentation the racial variable has been simplified to look at only whites and non-whites. This breakdown

has resulted in 24 separate categories or groups of individuals. Figure 1 presents these categories and the number of individuals in each. Figure 2 provides a "thumbnail sketch" of the average individual in each category.

For each category, circle charts have been used (Figures 3 - 6) to indicate the percentage distribution of seven demographic characteristics within that category. These characteristics are age, grade, length of service, education, method of entry into the Army, geographic area of origin, and type of community environment prior to entering the Army.

In general, the charts speak for themselves. In combination, the charts describe with considerable precision the demographic characteristics of Army leaders. When you study the charts and make your own analyses, you can begin to see some interesting and useable facts and relationships. In the findings section, comment will be made on some of the more significant comparisons.

There are numerous ways of analyzing the data in the circle charts. We could study the data in terms of percentages, mean values, difference scores, or correlations. Using all available means would provide the most complete understanding of the content. Such an analysis, however, would be unduly complex. Contradiction would arise which would be a function not of the meaning of the data, but rather of the purpose and method of analysis chosen.

A percentage analysis has certain limitations, well known to the statistician. Nevertheless, a percentage analysis will make the data more useful to a greater number of people. The figures and the findings, therefore, are built around the percentage--in the belief that this method of analysis has greatest utility in providing a reconnaissance of the characteristics of those who comprise the Army's leadership structure.

NUMBER OF INDIVIDUALS IN EACH CATEGORY

LEADERSHIP MODULE	POSITION	RACE	NUMBER OF INDIVIDUALS IN EACH CLASS		
JR. NCO	Superiors	White	3,223	3,922	8,392
		Non-white	699		
	Jr. NCOs	White	2,398	3,106	
		Non-white	708		
	Subordinates	White	1,106	1,364	
		Non-white	258		
SR. NCO	Superiors	White	1,800	1,995	6,996
		Non-white	195		
	Sr. NCOs	White	1,995	2,506	
		Non-white	511		
	Subordinates	White	1,941	2,495	
		Non-white	554		
COMPANY GRADE OFFICER	Superiors	White	1,122	1,201	6,036
		Non-white	79		
	Co Gd Ofcr	White	2,245	2,373	
		Non-white	128		
	Subordinates	White	2,031	2,462	
		Non-white	431		
FIELD GRADE OFFICER	Superiors	White	642	665	6,817
		Non-white	23		
	Fld Gd Ofcr	White	1,871	1,993	
		Non-white	122		
	Subordinates	White	3,788	4,159	
		Non-white	371		

Figure 1

THUMBNAIL SKETCHES OF THE "AVERAGE" INDIVIDUAL IN EACH CATEGORY

	Grade	Age	Years of Service	Entered as	Entered from	Area	Education
Wh Sup of Jr. NCO	E7	29-35	10-20	Vol	Sm City	S-MW	Some Col.
Non-Wh Sup of Jr. NCO	E6-7	29-35	10-20	Vol	Sm City	S	H.S. Dip.
Wh Jr. NCO	E5	22-28	5+	Vol	Sm City	S-NE-MW	H.S. Dip.
Non-Wh Jr. NCO	E6	22-26	5-10	Vol	Md City	S	H.S. Dip.
Wh Sub of Jr. NCO	E4-5	22-28	2- 5	Vol	Sm Town	NE-S-MW	H.S. Dip.
Non-Wh Sub of Jr. NCO	E5	22-28	2- 5	Vol	Md City	S	H.S. Dip.
Wh Sup of Sr. NCO	E8-03	29-45	10+	Vol	Sm City	S-MW-NE	Some Col.
Non-Wh Sup of Sr. NCO	E8-9	29-45	10-20	Vol	Sm City	S	H.S. Dip.
Wh Sr. NCO	E8	36-45	10+	Vol	Sm Town	S-MW	H.S. Dip.
Non-Wh Sr. NCO	E7	36-45	10-20	Vol	Sm City	S	H.S. Dip.
Wh Sub of Sr. NCO	E5-6	22-28	5-10	Vol	Sm City	S-NE-MW	H.S. Dip.
Non-Wh Sub of Sr. NCO	E6	29-35	10-20	Vol	Sm City	S	H.S. Dip.
Wh Sup of Co Gr Of	04	29-45	10-20	Off	Sm City	NE-S-MW	Col. Deg.
Non-Wh Sup of Co Gr Of	04	29-45	10-20	Vol (OCS)	Sm City	S	Some Col.
Wh Co Gr Of	02-03	22-28	2- 5	Off	Sm-Md Cy	NE-S-MW	Col. Deg.
Non-Wh Co Gr Of	02-03	22-28	1- 5	Off	Sm-Md Cy	S-NE	Col. Deg.
Wh Sub of Co Gr Of	E8-9-01	22-28	2-10	Vol	Sm City	S-NE	Some Col.
Non-Wh Sub of Co Gr Of	E7	29-45	10-20	Vol	Sm City	S	H.S. Dip.
Wh Sup of Fd Gr Of	06	36 over	20+	Off	Sm City	NE-S-MW	Col. Deg.
Non-Wh Sup of Fd Gr Of	05	36-45	10-20	Off	Md City	S	Col. Deg.
Wh Fd Gr Of	05	36-45	10-20	Off	Sm City	NE-S-MW	Col. Deg.
Non-Wh Fd Gr Of	05	36-45	10-20	Off	Sm City	S	Col. Deg.
Wh Sub of Fd Gr Of	03	36-45	10-20	Off	Sm City	S-NE-MW	Col. Deg.
Non-Wh Sub of Fd Gr Of	01-03	36-45	10-20	Vol (OCS)	Sm City	S	Some Col.

Figure 2

SUBORDINATES OF FIELD GRADE OFFICERS

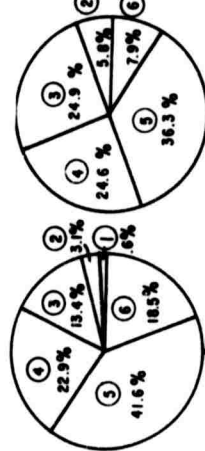
FIELD GRADE OFFICERS

SUPERIORS OF FIELD GRADE OFFICERS

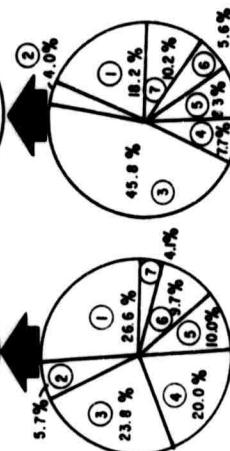
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NON - WHITE

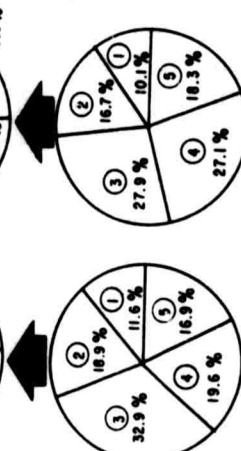
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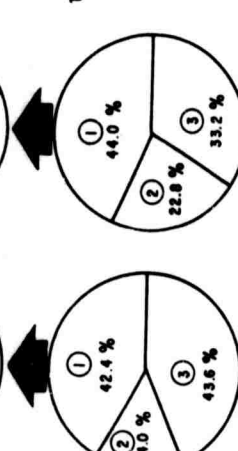
YEARS OF EDUCATION
1. EIGHT YEARS OR LESS
2. COMPLETED SOME H. S.
3. GRADUATED FROM H. S.
4. COMPLETED SOME COLLEGE
5. GRADUATED FROM COLLEGE
6. MASTERS DEGREE OR HIGHER



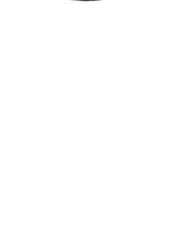
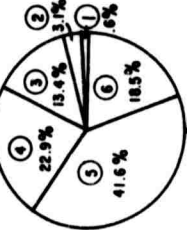
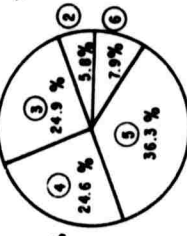
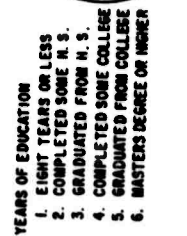
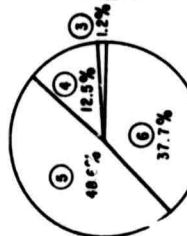
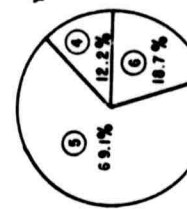
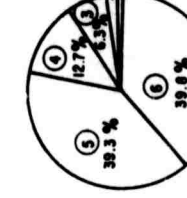
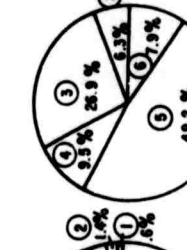
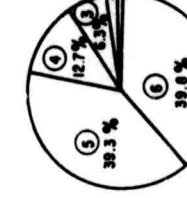
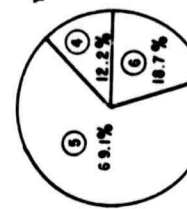
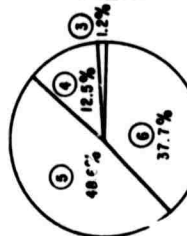
REGION
1. NORTHEAST
2. NORTH CENTRAL
3. SOUTH
4. MIDWEST
5. SOUTHWEST
6. FAR WEST
7. OTHER



TYPE OF ORIGIN
1. FARM
2. SMALL TOWN (UNDER 5,000 PEOPLE)
3. SMALL CITY (5,000-75,000)
4. MEDIUM CITY (75,000-500,000)
5. LARGE CITY (OVER 500,000 PEOPLE)



TYPE OF ENTRY
1. VOLUNTEER
2. DRAFTEE
3. OFFICER





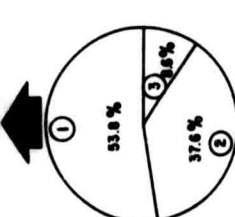
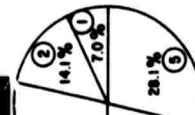
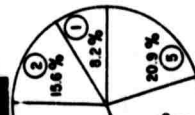
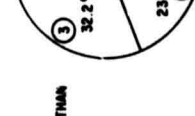
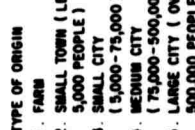
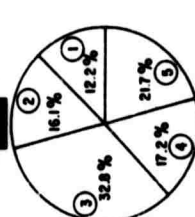
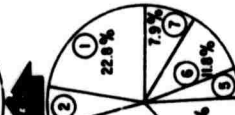
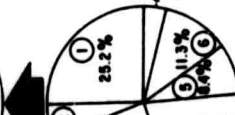
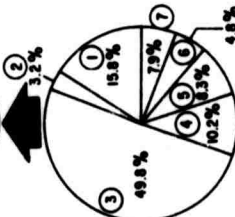
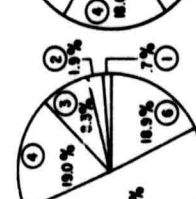
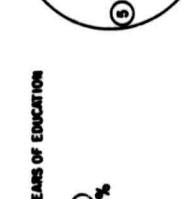
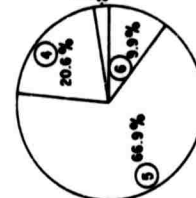
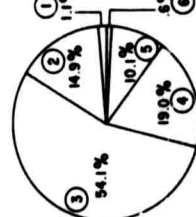
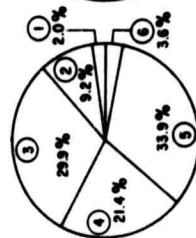
SUBORDINATES OF COMPANY GRADE OFFICERS

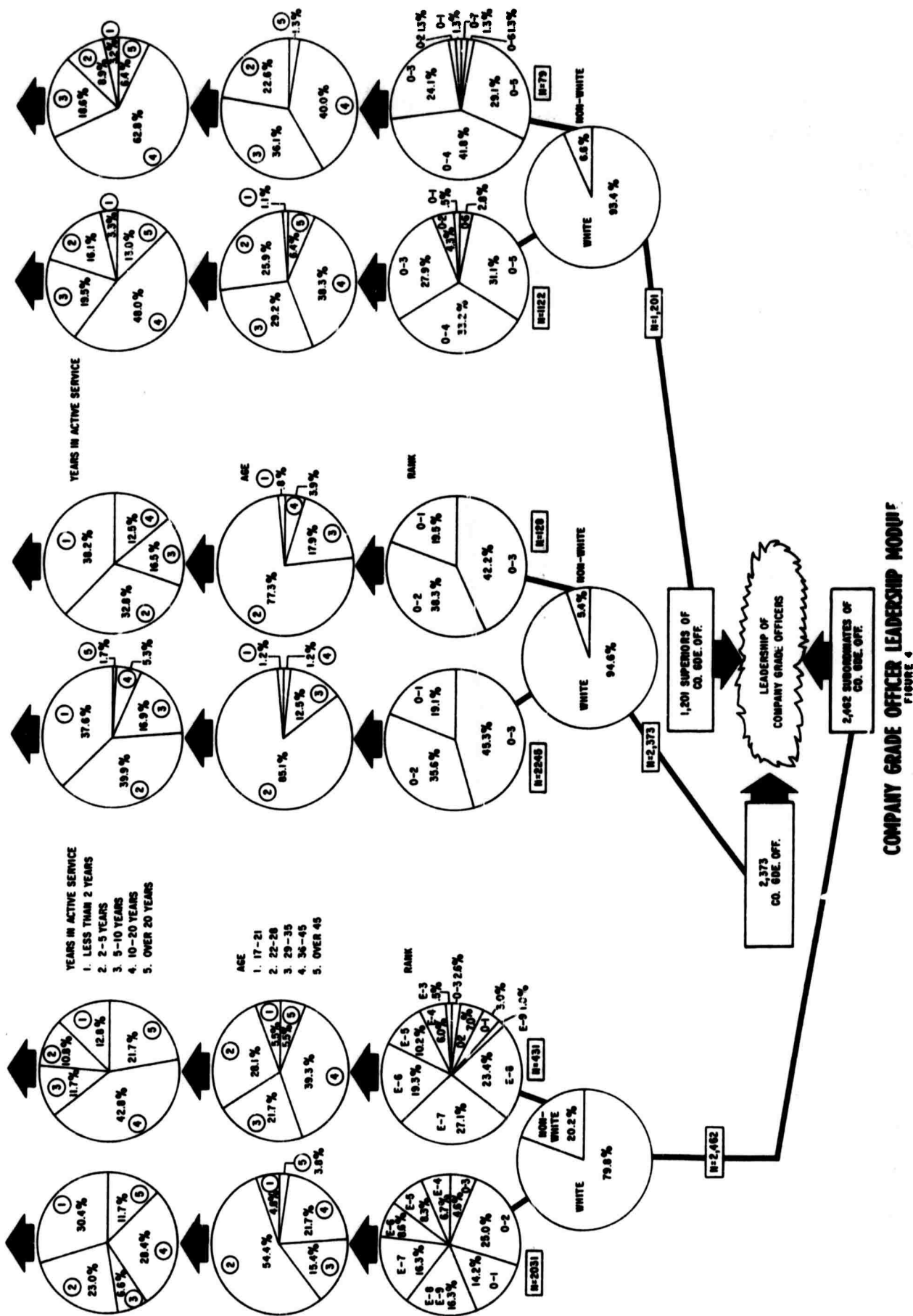
SUPERIORS OF COMPANY GRADE OFFICERS

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SUBORDINATES OF SR. NCOs

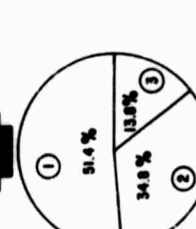
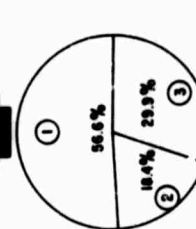
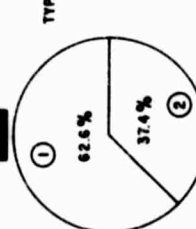
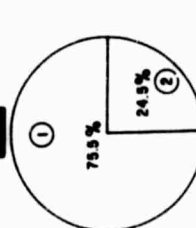
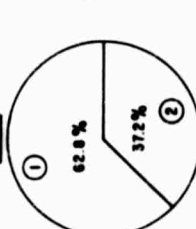
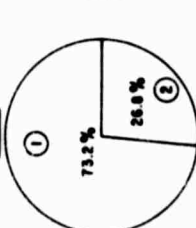
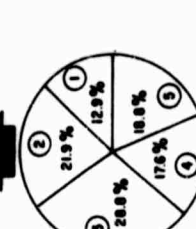
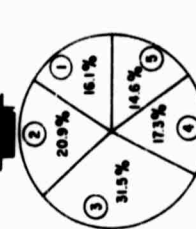
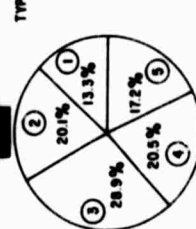
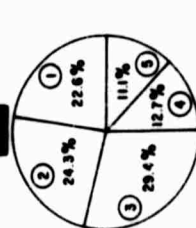
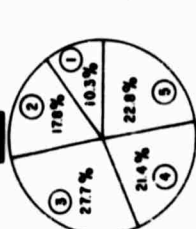
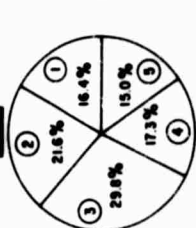
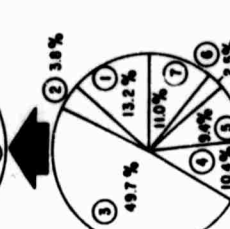
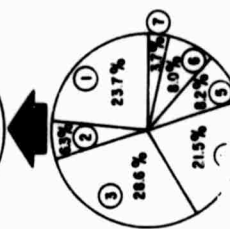
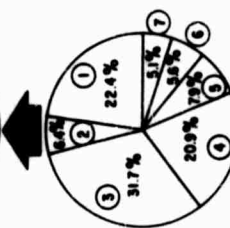
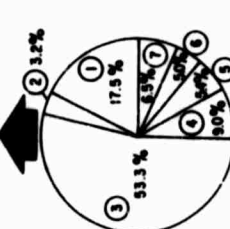
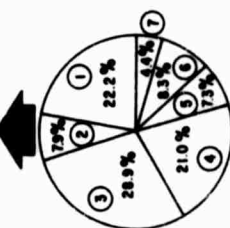
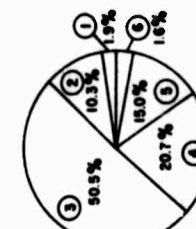
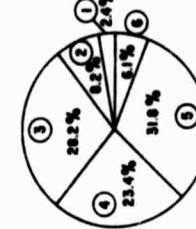
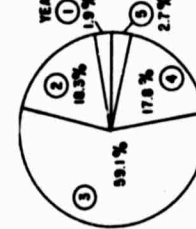
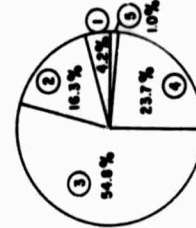
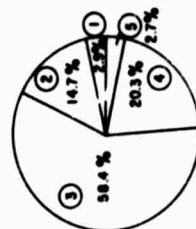
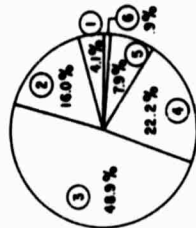
SUPERIORS OF SR. NCOs

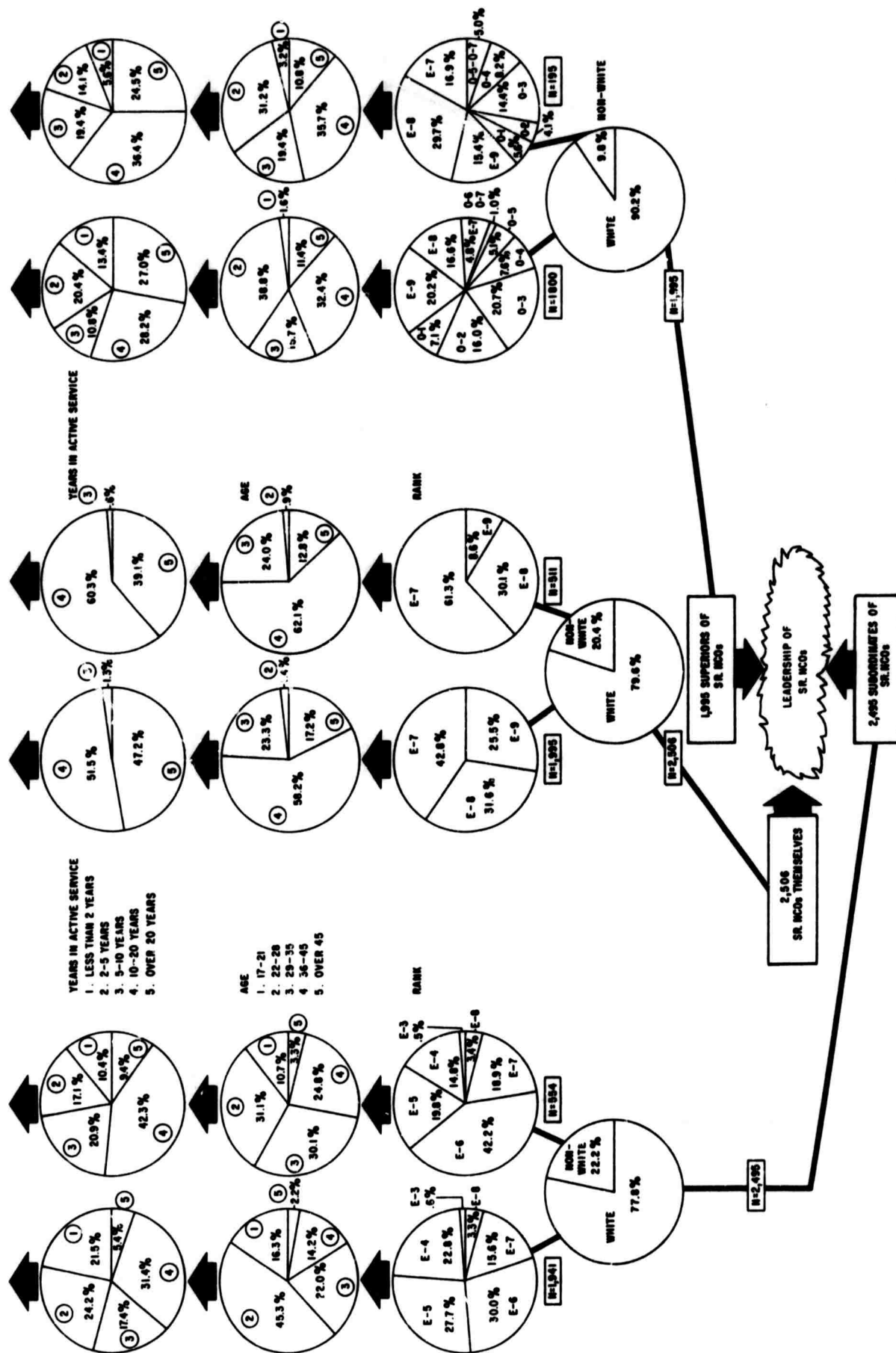
NON -
WHITE

NON -
WHITE

WHITE

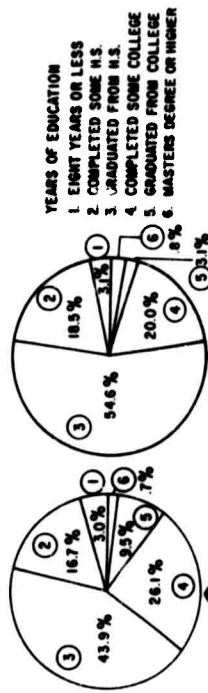
NON -
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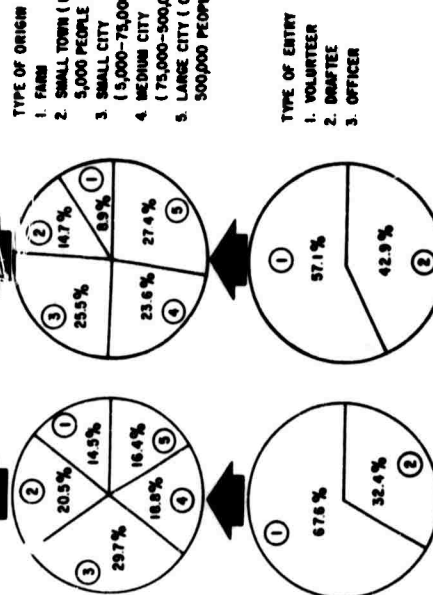
**SUBORDINATES OF
JR. NCOs**

WHITE **NON -
WHITE**



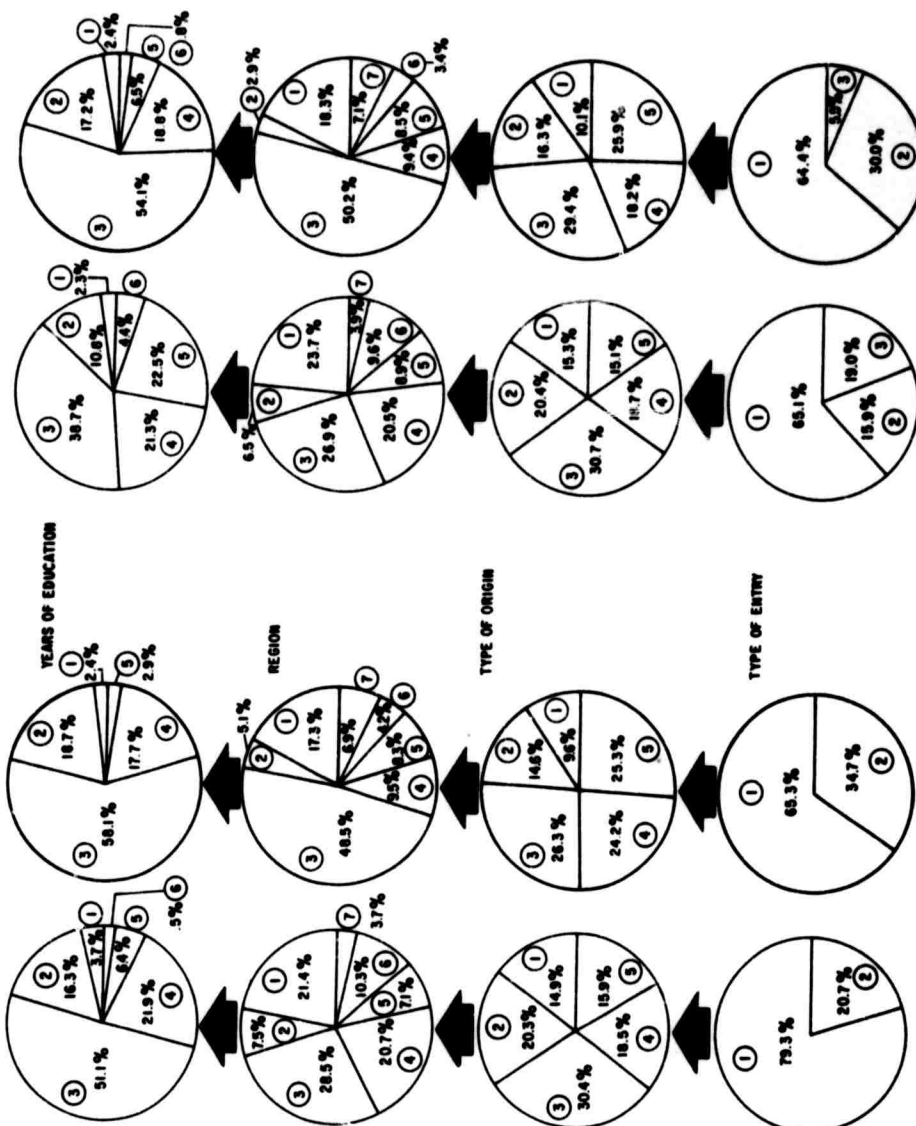
TYPE OF ORIGIN

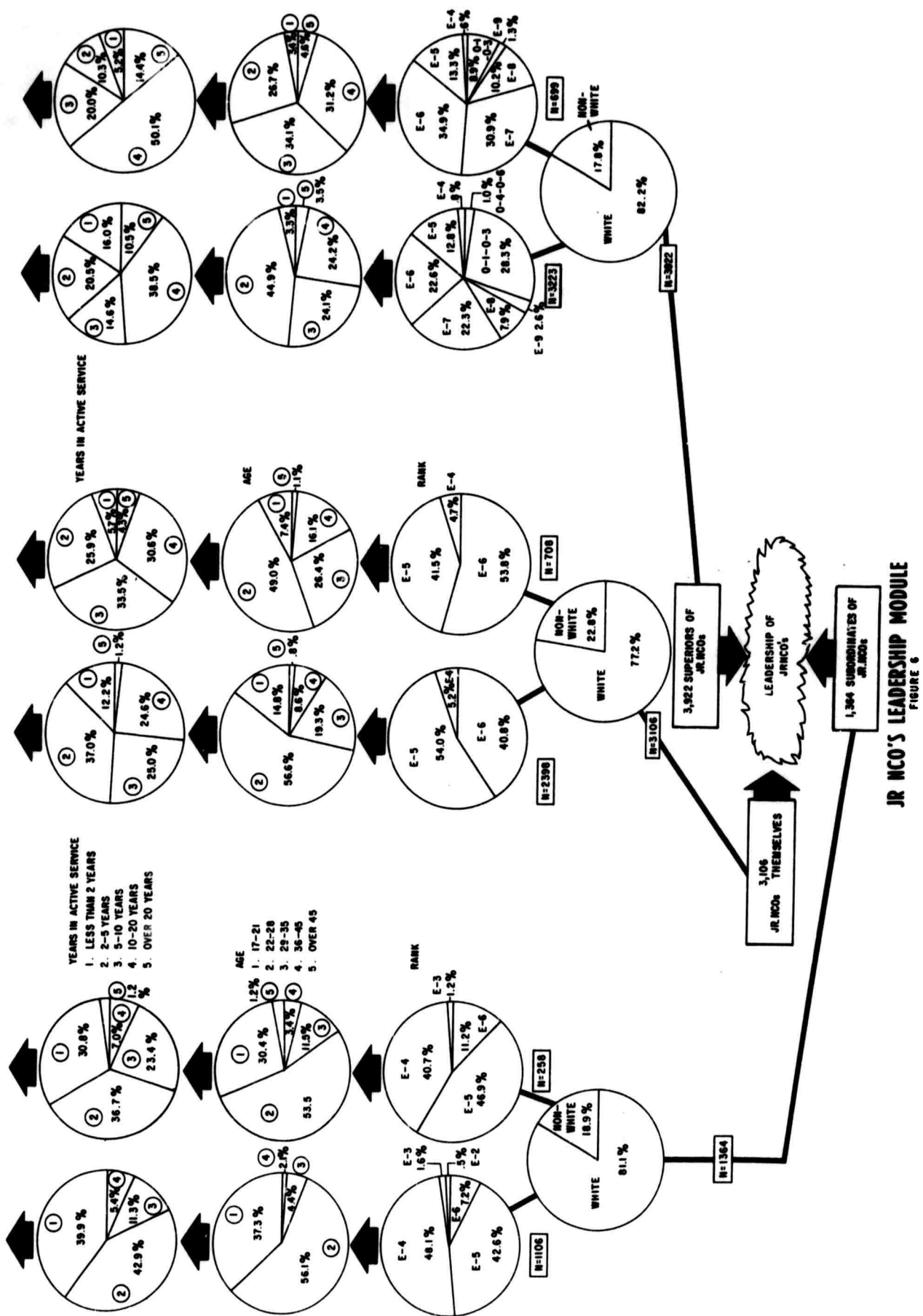
1. FARM
2. SMALL TOWN (UNDER 5,000 PEOPLE)
3. SMALL CITY (5,000-75,000)
4. MEDIUM CITY (75,000-500,000)
5. LARGE CITY (OVER 500,000 PEOPLE)



**SUPERIORS OF
JR. NCOs**

WHITE **NON -
WHITE**





SUMMARY OF FINDINGS

In the introduction to this monograph five questions were listed which are illustrative of the kinds of questions which could be answered by the data presented in the paper. As a means for summarizing the general findings of this monograph, the answers to those five questions are presented below.

1 & 2. The grade distributions of superiors and subordinates within each of the leadership modules as well as the distributions for leaders who described themselves are presented directly in the circle charts of Figures 3 - 6.

3. White Army leaders in the four leadership modules are about evenly distributed in geographical area of origin between the South, Midwest, and Northeast with a total of only 20-25% coming from the rest of the United States. About half of all non-white leaders come from a single geographical area, the South. This is especially striking for Field Grade Officers and Senior NCOs. This finding may have implications for future recruiting efforts.

4. The level of enlisted experience among these leaders is higher than one might suppose. Forty-one percent of white and 43% of non-white Company Grade Officers entered the Army as enlisted men. Among Field Grade Officers, 38% of whites and 31% of non-whites had enlisted experience.

5. In viewing the demographic data, racial comparisons seem most prominent. One of the more striking findings is that for almost any level, a considerably higher proportion of non-whites than whites entered the Army as draftees rather than volunteers. This finding could indicate that retention efforts within the Army are relatively more effective when dealing with non-whites than when dealing with white draftees. In the area of education, non-whites seem to be considerably behind their white counterparts. For example, while about 38% of white Field Grade Officers have completed Masters' Degrees, only 19% of the non-white Field Grade Officers have done so. Among white Company Grade Officers, 77% have a college diploma; among the non-white, only 67%. Non-whites for any given grade level are older and have more years in service than their white counterparts. This finding, as well as the findings on level of education, are most apparent at the more senior levels--thus indicating that any discrepancy in opportunity between white and non-white officer personnel in the Army may be decreasing.

The above findings should not be taken as an exhaustive list of the questions which may be answered by the data presented in this monograph. They are rather only illustrative of the kinds of questions appropriate for analysis using these data.

LIMITATIONS

In collecting the data upon which this and subsequent monographs are based, no attempt was made to insure that sub-sample sizes would be proportional to the population groups which they represent. For example, the sample of Junior NCOs is larger than the sample of subordinates of Junior NCOs. However, within each sub-sample, the number of individuals included is large enough to insure a high degree of confidence that data reported concerning the sub-group are representative of similar leaders throughout the Army.

It should be noted also that these data were collected in 1971 and that the Army has changed in significant ways since then. Whether or not answers to the questionnaires today would be the same as the answers given in 1971 is a researchable question. Several efforts are currently underway or planned to answer this and other questions. These new data will be reported in subsequent monographs as they become available. A primary point to be made about the current data is that they form a base point for the study of Army leadership. They represent the largest sample of leadership ever collected in any organization. They are a point from which to measure change. Not change in principles, for the principles do not change, but rather change in application--in doing, developing, and constantly improving so as to provide the soldier with the leadership he deserves.

CONCLUSION

In this first US Army War College Leadership Monograph, an attempt has been made to provide the reader with some of the general characteristics of various groups who make up Army leadership. The authors have attempted to present the data in useable form and to hold their comment to a minimum.

NEXT IN THE MONOGRAPH SERIES

The next monograph in the series will investigate satisfaction with the overall performance of Army leaders at each level of leadership in the study. Questions such as the following will be answered:

1. How satisfied are superiors at any given level with the overall performance of their subordinate leaders?
2. How satisfied are subordinates at any given level with the overall performance of their immediate superiors?
3. How satisfied are leaders with their own performance and to what extent does this agree with their immediate superiors and subordinates?
4. What is the relationship between race and satisfaction with leadership at any given level?

READER RESPONSE

US ARMY WAR COLLEGE LEADERSHIP MONOGRAPH SERIES

In this monograph we have made an initial attempt to compile, condense and communicate information which can be of utilitarian value to those charged with the continuing development of Army leadership. We have tried, in this monograph, to provide a link-up between the theory-laden, highly technical research world of the scientist and the practical, front line, real world of the leadership practitioner. We could have leaned too far in either direction. If you will give us a sensing from your position, we will adjust--and hopefully bring subsequent monographs more on target.

Please complete the following items:

1. Organizational or individual address:

2. How readable is the monograph? (circle one)

Very Easy Easy Standard Difficult Very Difficult

3. How interesting is the monograph? (circle one)

Dull Mildly Interesting Very Dramatic
 Interesting Interesting

4. How useful do you feel this monograph can be to you? (circle one)

No Value	Information Only	Of Some Practical Value	Generally Useful to Assigned Tasks and Missions	Directly Applicable to Assigned Tasks and Missions
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5. Considering the nature of the 30,000-man leadership data base, are there any particular questions you would like to see explored in future research and monographs?

6. Free Response:

Thank you.

Please return to: Leadership Study Group
US Army War College
Carlisle Barracks, PA 17013

* An Executive Summary of the study, Leadership for the 1970's, is available, on request, from the address above.