PREPARING THE PERSONNEL ESTIMATE

Subcourse Number AG1052

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4 Credit Hours

SUBCOURSE OVERVIEW

This subcourse presents a general description of the Personnel Estimate. It principally addresses the role the S1 plays in preparing the estimate. The subcourse contains information describing the problem-solving process and its use in military decision making. It also provides you with a practical example of the Personnel Estimate. Although this subcourse provides a historically documented military action as an example, you should recognize that the Personnel Estimate is a valuable management tool in today's Army both for the S1 at the battalion level and for upline personnel managers. It is neither a "one time" act nor is its value restricted to wartime. The Personnel Estimate should be an ongoing process which you continuously update and revise as conditions warrant. While the primary focus (lessons 1 through 3) of this subcourse is directed at the battalion level, lesson 4 discusses the use of the estimate at the division level. Lesson 4 thus reinforces your understanding of the total value of the Personnel Estimate and its key role in tactical planning.

Terminal Learning Objective

ACTION: You will identify the elements of effective problem solving as they relate to analysis of the human dimension of the unit and the procedures involved in preparation of the Personnel Estimate.

CONDITION: You will have access to extracts from FM 101-10-1, Volume 2; and information from FM 100-5, FM 101-5, and TC 26-5.

STANDARD: Your identifications will be in accordance with (IAW) FM 100-5 and FM 101-5.
There are no prerequisites for this subcourse.

The following publications are the references for this subcourse:

TC 26-5  Problem Solving, December 1984

This subcourse reflects the doctrine that was current at the time it was prepared. In your own work situation, always refer to the latest official publications.

Unless otherwise stated, the masculine gender of singular pronouns is used to refer to both men and women.

Abbreviations and special terms used in this subcourse are explained in the List of Acronyms, appendix A.
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LESSON 1

INTRODUCTION TO THE PERSONNEL ESTIMATE

LEARNING OBJECTIVE:

Actions: Identify the components of the Personnel Estimate and discuss its importance in relationship to the estimation process and the formulation of the commander's estimate of the situation. Identify the adjutant's role in the Personnel Estimate process.

Conditions: You will be given information from FM 101-5.

Standards: Your identifications will be IAW FM 101-5.

INTRODUCTION

One of your duties as the S1 (adjutant) is to prepare and present the Personnel Estimate to your battalion commander. The Personnel Estimate is an assessment of battalion preparedness accumulated through the collection, analysis, and presentation of command data which indicates authorized, assigned, and attached strength in relation to the planned course of action as determined by the commander. The Personnel Estimate provides the commander with the necessary data to evaluate the personnel situation and allocate resources. It becomes especially critical in wartime, as the following story illustrates.

In the early spring of 1836, General Antonio Lopez de Santa Anna, Commander in Chief of Mexico's Army, was very close to eliminating the unstructured Texas Army as a fighting force. This elimination would have significantly changed history since the Republic of Texas would probably never have been established. General Santa Anna had destroyed the Texas defenders at the Alamo and at Goliad. As he approached San Jacinto, it appeared inevitable that his force of some 7,000 would easily handle Sam Houston's dwindling forces of less than 1,000. But on April 21, 1836, while Santa Anna's forces took a customary siesta, Texan soldiers quietly approached. The Mexican forces failed to post pickets since they felt there was no threat from the outnumbered Texans.
The Texans clearly caught the Mexican forces off guard. Following a short but bloody battle, the tide in the push for Texas independence turned. The Texans captured Santa Anna, leaving his force in total disarray. The Mexican leader eventually agreed to return to Mexico City, in spite of his clear advantage in numbers.

What could have caused such a sudden and unexpected turnaround? Luck may have played a role. The Mexicans had unwisely established camp on a marshy peninsula which allowed no escape route except, as they were to discover, through battle. But, more importantly, Santa Anna had failed to properly evaluate the capabilities of both his resources and those of his adversary. His numbers were clearly superior; but many of his troops, particularly his foot soldiers, were inadequately clothed, poorly fed Indians from the Yucatan with little affection for Santa Anna's ambitions. The dedicated Texans, while few in number, were committed to their cause and sought revenge for what had befallen their comrades at the Alamo and Goliad.

In effect, Santa Anna's failure to accurately estimate the personnel situation, particularly in the areas of troop capabilities and morale (the human element), resulted in his defeat instead of his expected rapid conquest of Texas.

This lesson provides you with the information needed to understand and prepare the Personnel Estimate, one of the principal tools the commander uses in determining the proper course of action to accomplish his mission. As you read, you will gain an understanding of the S1's role in developing the Personnel Estimate as well as components of the estimate. Additionally, you will see the coordination and interface needed with other staff estimates to provide a comprehensive basis for the commander's decisions.

Definition of the Personnel Estimate.

Essentially, the Personnel Estimate consists of conclusions and recommendations on the preparedness of battalion troops to complete their mission. It includes the S1's perspective on the feasibility of various courses of actions to achieve that mission.

Before you can begin to develop the Personnel Estimate, the commander must receive his mission and provide initial information to his staff. Each staff officer uses that information to develop a basic, if cursory, understanding of the situation. Usually, the commander calls his staff together for an informational, "give-and-take" session. After the meeting he conducts his own mission analysis, basing his efforts on the mission statement and the initial staff interchange.
The commander's analysis results in a restated mission (he changes the higher level mission to reflect battalion-level application) and in his issuance of the Commander's Planning Guidance. (We will provide a more comprehensive discussion of this process in lesson 2.) Your development of the Personnel Estimate, begins with receipt of the Commander's Planning Guidance.

The Personnel Estimate is one of several staff estimates the commander uses to reach a decision about a military course of action. Each staff officer focuses on his area of concern and collects and analyzes pertinent information to develop the most suitable approach from his point of view. Clearly, the Personnel Estimate pertains directly to the S1's overall responsibilities: personnel and administrative factors of battalion operations. As you develop this estimate, you analyze these two factors and their impact on the battalion's ability to accomplish its mission. Your conclusions and recommendations will identify possible courses of action. As we will see later, the S1 will, as part of the total estimation process, consult with other staff officers to be sure that his estimate considers all factors which could impact on the personnel program.

The Personnel Estimate may be written, but usually the S1 presents conclusions and recommendations verbally to the battalion commander. Make the Personnel Estimate as detailed as time will allow. Frequently, time is short, and you must generate input rapidly because of the fast pace on the battlefield. Because of the rapidly changing environment, the Personnel Estimate must continuously reflect the most recent information and, thereby, offer the commander an optimum basis for decisions.

Responsibilities of the S1 During Preparation of the Personnel Estimate.

When you prepare the Personnel Estimate, take care that external social and psychological factors do not directly or indirectly influence your thinking. These factors are always present, and you must fully appreciate their potential to impact negatively on your conclusions and recommendations. Be aware of the following:

- Subjectivity. By nature, human beings are subjective creatures. We see situations and people "our" way, and we are all influenced by opinions developed during our upbringing and through experience which may not have any basis in fact. However, we should not make decisions based on subjective opinion as opposed to objective analysis. Accordingly, it is important to recognize the existence of personal opinion and subjective emotions so that we can actively eliminate their
impact on our decisions. Nowhere is this more critical than in a military environment where we encounter diverse socioethnic lifestyles and divergent backgrounds and where battlefield conclusions and recommendations often have a direct bearing on our survival. The other factors discussed below also directly impinge on our ability to remain objective. Therefore, you must understand their impact.

• Prejudice. We often view prejudice as a personal opinion hardened into a belief, regardless of contradictory facts. Prejudice can affect our views in either a positive or negative way. For example, where close friends are concerned, we are likely to assume the best or to make favorable judgments based upon our trust and respect. But with individuals who are of a different socioethnic background or with whom we have had misunderstandings in the past, we are likely to have a less-than-favorable attitude. Frequently, you will have to deal with other staff officers falling into one of these two groups. Guard against basing your recommendations on either of these factors. Base your evaluation on the merit of the particular activity and not on unrelated factors.

• Fear. Mankind has a natural desire for self-preservation, and fear clearly draws upon this desire. Recognize that fear is a natural reaction which can play a positive role in our thinking. A realistic sense of fear will prevent foolhardy or needlessly dangerous actions, provided that the fear does not become an obsession. Unbridled fear has a paralyzing effect. It can so influence our minds that we become unable to take required actions or base our recommendations solely on the desire to be "safe." As you assess situations, try to find the balance between fearfulness and an admirable desire to avoid unnecessary danger.

• Emotion. Certainly we all have strong emotions, both of a positive and negative nature. Frequently, we show emotion to indicate our like or dislike of actions. In a military situation, staff officers must constrain emotion. Emotion can easily overtake reason as a basis for action in the heat of battle. Emotion should be the domain of the commander as the final decision maker and leader. His controlled use of emotion as a tool to motivate and direct activities can be a positive force. The key is his use of proper control and his
discretion in using this tool to mold his battalion's personality and to lead the battalion successfully. (Remember how anger and sorrow for their dead at the Alamo motivated Texan soldiers.)

In addition to dealing directly with the social and psychological concerns discussed above, you must continuously and effectively coordinate your activities with other staff officers to ensure that you include all applicable operational factors in the Personnel Estimate. As we will learn shortly, each staff officer relies heavily on other staff officers' estimates to evaluate and assess performance capabilities within his area of primary concern.

The staff coordination process involves the ongoing exchange of important information and the development and maintenance of good working relationships so that the commander has a cohesive staff to deal with complex matters. The professional staff group must clearly understand their relationships and the relationship of each component to the other. While the development of the estimate under emergency battlefield conditions may not allow for direct staff coordination, strong past and ongoing relationships will allow the S1 and other staff officers to reach proper conclusions.

Relationship to Other Staff Estimates.

As previously mentioned, the Personnel Estimate is one of several staff estimates which the commander uses in reaching his own estimate of the situation. Each of these estimates plays a role in the development of the Personnel Estimate; likewise, the Personnel Estimate is an important factor in coordinating development of each of the other estimates. We discuss the primary staff estimates prepared by a battalion-level organization below.

- Intelligence Estimate. The S2 prepares this estimate. The intelligence estimate analyzes the area of operations with emphasis on the location and capabilities of the enemy and the enemy's impact on the battalion's ability to accomplish its mission. The S2 draws conclusions and makes recommendations relative to the area of operations (terrain, weather, etc.) on both enemy and friendly forces, the likelihood of particular enemy activities, areas for potential exploitation, and the feasibility of different courses of action.

- Operations Estimate. The S3 prepares this estimate. It serves as the principal staff recommendation for military action to accomplish the battalion mission. The Operations Estimate, through comprehensive analysis of active mission factors, identifies the best potential courses of action and
their impact on battalion and other friendly forces. This estimate uses the same format and usually has the same content as the commander's estimate. It differs in that it is only a recommendation, while the commander's estimate results in a command decision.

- Logistics Estimate. The S4 prepares this estimate which analyzes logistics factors in order to draw conclusions and reach recommendations based upon the command's logistics capability to accomplish its mission through the application of various approaches.

- Civil-Military Operations (CMO) Estimate. The S5 prepares the CMO Estimate based upon the influence of CMO factors in the area of operations. Particularly critical in this area is the impact of battalion combat activities on the local civilian population. The S5 closely analyzes the potential for death and destruction in the civilian sector in order to reach conclusions and recommendations which will clearly minimize this danger.

- Other Staff Estimates. Special staff officers also routinely provide staff estimates. Important areas which frequently require analysis include fire support, communications/electronics, and medical. Staff officers in charge of these important functions carefully assess the impact of various operational scenarios and make recommendations for the best course of action from their particular points of view.

The Commander's Use of the Personnel Estimate.

Upon receipt of the Personnel Estimate and other staff estimates, the commander takes each of these recommendations and evaluates them within the context of his assigned mission. He assesses the context of the enemy situation, the terrain within which operations will be conducted, the strength of his force in numbers, and the immediacy of their availability, operational time constraints, and any other applicable factors. He also applies his personal knowledge of the situation, his extensive experience, and his ethical considerations in order to develop his Commander's Estimate of the Situation. Once he has accomplished this, he evaluates the different possible courses of action.

Ultimately, the commander reaches a decision detailing the course of action to take and the manner in which operations are to be conducted. In this way, he bases a difficult decision upon a comprehensive assessment of the many factors which impact the decision. As a result of this process, he can develop a carefully crafted operation.
In summary, the Personnel Estimate is a major component of the Commander's Estimate of the Situation which, in turn, serves as the basis for a good operational decision. We cannot overemphasize the importance of an accurate assessment of the human element. As General Santa Anna learned in his war with Texas, numbers alone can never provide all of the answers.
Read the following situation and use that information to answer the items in this Practice Exercise. Check your answers with the answers that follow.

Situation: You are the S1 of the 1st Armor Battalion, Fort Atterbury, Indiana. Your commander has asked you to prepare a Personnel Estimate for the battalion before a field exercise.

1. Which of the following activities precedes the development of the Personnel Estimate?
   
   A. The commander reaches his decision.
   B. The S2 prepares the Intelligence Estimate.
   C. The commander issues his Commander's Planning Guidance.
   D. The commander issues his Commander's Estimate of the Situation.

2. Which staff estimate addresses administrative factors?
   
   A. The Logistics Estimate.
   B. The Personnel Estimate.
   C. The Operations Estimate.

3. Which best describes fear as a factor?
   
   A. It is unnatural and unhealthy.
   B. It can be eliminated as a major concern.
   C. It plays only a limited role in the human makeup.
   D. It can have a paralyzing quality which results in inability to take action.

4. Which of the following best describes the Personnel Estimate?
   
   A. It has little impact on other estimates.
   B. It requires no change once it is prepared.
   C. It is usually prepared in detailed, written format.
   D. It requires coordination with other staff estimates.
Compare your answers to the following solutions. If you answered any item incorrectly, review the page(s) and paragraph(s) referenced until you understand the instruction.

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<th>Item</th>
<th>Correct Answer and Feedback</th>
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<td>C. The commander issues his Commander's Planning Guidance.</td>
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<td>The commander issues his Commander's Planning Guidance to provide any special instructions to his staff before their preparation of staff estimates (including the Intelligence Estimate). The commander bases that planning guidance on the mission statement, his analysis of the mission, and information from his staff officers. Once you receive the Commander's Planning Guidance, you can begin to develop the Personnel Estimate. (page 2, para 6 and page 3, para 1)</td>
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<td>The Personnel Estimate addresses both personnel and administrative concerns; these fall under the purview of the S1. (page 3, para 2)</td>
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<tr>
<td>3.</td>
<td>D. It can have a paralyzing quality which results in inability to take action.</td>
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<td>Fear plays a strong role in the human make-up, and can so influence our minds that we become unable to take required actions. Provided that we can control our fear, however, that emotion is both natural and healthy. (page 4, para 3)</td>
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<td>D. It requires coordination with other staff estimates.</td>
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<td>The Personnel Estimate requires coordination and interface with other staff estimates to provide a comprehensive basis for the commander's decisions. Because of time constraints and continuous changes in the operational environment, the S1 usually delivers this report orally. (page 2, para 4)</td>
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LESSON 2

PROBLEM SOLVING

LEARNING OBJECTIVE

Actions: Identify the steps in effective problem solving as applied to the military decision-making process. In addition, identify the S1's role in this process and the impact of the process on his position.

Conditions: You will be given information from FM 101-5 and TC 26-5.

Standards: Your identification will be in accordance with FM 101-5 and TC 26-5.

INTRODUCTION

Lesson 1 introduced you to the Personnel Estimate and showed you how that estimate assists the battalion commander in analyzing mission requirements before reaching decisions. The decision making process he follows involves his use of "problem solving" to reach an effective solution to mission requirements (i.e., the problem). While the unit's mission statement identifies the problem, the commander must nonetheless deal with this problem from the perspective of its direct impact on his unit and its operating area. Your role is to provide competent staff support. You must analyze the situation and make effective recommendations to the commander, using your knowledge and perspective as S1.

In order to do so, you will use the problem-solving process. Only after identifying and researching the problem and then logically analyzing different courses of action will you be able to present sound recommendations. The actions just described are a few of the steps involved in problem solving. This lesson first describes the problem-solving process and then discusses the impact of problem solving on the making of military decisions.
Steps in Problem Solving.

The process involves seven clearly defined steps.

- **Step 1: Identify the Problem.** While this might seem to be an easy endeavor, the key to problem identification is finding the "real" problem, not the symptoms associated with the problem. Clear, unemotional thinking is critical to identifying the real problem. Additionally, you must realize that the problem identification phase is designed to do just that, namely, to identify the problem. Do not worry about the solution to the problem at this stage.

  Problem identification involves dealing with the "who, what, where, when, and how" aspects of the issue. Ask yourself these questions: Who is involved in the issue? What tells me, in the way of background indicators, that a problem actually exists? Where are the symptoms found? When were these symptoms noticed? How often do the symptoms appear? Answers to these important questions will result in a full-scale identification of the features of the problem. In turn, understanding these features will dramatically assist you in getting to the heart of the matter.

- **Step 2: Gather Information.** This phase of problem solving involves compiling data in order to determine what is already known about the problem. This step assists you in identifying areas where you lack information. Finally, it provides direction to your effort.

  The information you gather can be inaccurate, based on hearsay, or determined through faulty evidence. For these reasons, it is important that you understand the different classifications into which you can sort information. The following classifications will allow you to properly evaluate information in terms of its true value to your problem-solving efforts.

  -- Opinion. An opinion is a personal belief held with confidence but lacking substantiation with positive knowledge or proof. It is akin to an assumption, but has even less of a factual basis. An opinion represents a personal judgment with other than strict factual data playing a part in the judgment.

  -- Assumption. An assumption is a supposition, an idea or understanding which we take for granted or "assume" to be true without sufficient evidence. It often appears to be
accurate on the surface, but it routinely lacks enough back-up data to guarantee its accuracy. In short, it may or may not be true.

-- Fact: A fact is something we know with certainty. It constitutes an observed event, either past or present. You observe the fact or someone directly reports the fact to you. A fact is objectively verifiable.

-- Criteria: Criteria are standards upon which we can base a decision. Criteria provide the limits within which the solution must fall. If the solution falls outside one of these confines, it is not workable.

-- Definition: A definition states the precise meaning and usually clarifies the significance of a word, situation, or concept.

Facts and criteria are the most valuable categories of information. They establish truths (facts) upon which to base activity. They also establish the controlling parameters for performance (criteria). Opinions, on the other hand, are the least useful since they are largely based upon personal attitudes, biases, and prejudices. Assumptions can be valuable, particularly in providing a "feeling" for the situation, provided that you recognize their limitations. And, the definition clarifies technical information in the data gathering process.

• Step 3: Develop Courses of Action. In order for you to identify the best course of action, you must evaluate the information at hand and identify several courses of action as alternatives. In this way you can more easily select the best course of action from competing possibilities.

Developing courses of action requires you to apply creativity and imagination. Open your thought process to any conceivable option since the active thinking process maximizes human potential. Brainstorming (the unrestricted expression of ideas and suggestions) is one effective method to generate options, particularly when practiced in a group setting. Be aware that significant barriers inhibit our ability to think creatively and to develop courses of action. These barriers include the following:

-- Habit. It is the practice of doing things in a way to which we have become accustomed. Think how hard it is to break a habit, whether physical or mental.
-- Fear. One way we manifest that feeling is in our fear of new ways or fear of discarding the old ways.

-- Inertia. This is the tendency to resist change. ("If it isn't broken, don't fix it" syndrome.)

-- Prejudice. Our preconceived opinions can influence our actions in either a positive or negative way.

Each of these barriers is powerful; when combined they can create an imposing force for inaction. Realize that they exist and apply your best creative and imaginative thought to preclude their impact on your courses of action.

• Step 4: Analyze and Compare Courses of Action. Once you have determined the possible courses of action, you must evaluate and test them against the criteria, the parameters within which your decision must fall. We determine criteria subjectively; they usually include such factors as cost, time, and resources (economy factors) as well as feasibility and suitability within the operational climate (e.g., socioethnic, political, and technical factors).

• Step 5: Select the Best Solution/Make a Decision. As you test your possible solutions, make sure they meet the following minimum criteria:
  -- Can you implement the course of action?
  -- Can you afford the course of action?
  -- Will the course of action work?

In the event that all courses of action meet these basic criteria, derive additional criteria to evaluate your courses of action. These criteria might include additional efficiency measures related to time, cost, and resource allocation. Frequently, applying these new criteria will result in your combining the best components of multiple courses of action into one consolidated approach. The ultimate goal is for you to arrive at the best single course of action for accomplishing your mission.

• Step 6: Make a Plan. Once you have identified the best course of action to take, develop an action plan to ensure focus and direction to your actions. Prepare objective statements identifying the objectives which you must attain to reach your goal. Each objective should be as follows:
-- Specific and measurable (exactly what and how something will meet your objective).

-- Realistic and attainable (the order of importance to the mission determines placement).

-- Prioritized (the effort required should result in the desired outcome, if pursued).

-- Written (reduction to the written word will preclude later misunderstanding and will allow comprehensive review of the process).

Once you have prepared objective statements, formulate your action plan. Figure 2-1 provides a format for formulation of the action plan. It lays out the route that you must follow to meet your objectives. You will see that you must consider some activities in sequential order; others will fall in line automatically since one step is contingent on completion of the previous step. Frequently, you will be able to arrange a grouping of steps. Remember to coordinate with other impacted elements to ensure timeliness and order. It is important that you resolve problems of coordination or interface early so that you can reach the ultimate objectives.

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<th>What</th>
<th>Who</th>
<th>Resources</th>
<th>Milestone</th>
<th>Standard/Expectations</th>
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Figure 2-1. Action Plan.

• Step 7: Implement the Plan. The implementation phase involves the active follow-through phase of problem solving. As the plan is implemented, you will need active feedback to assess its achievement of mission objectives. Key staff officers must also periodically review the plan for applicability of its provisions as the situation unfolds. Finally, the plan must be flexible enough to allow for modification as conditions warrant. Your information collection continues
through the implementation phase; maintain continuous coordination between staff officers to ensure the most updated information possible. As stated previously, flexibility is the critical factor in responding to what will probably be a rapidly changing operational environment. The successful decision maker is the one who can rapidly adjust.

The implementation phase does not, however, end with the successful accomplishment of the mission since active evaluation must continue to identify the positive and negative aspects of the plan which was followed. This equates to the "Monday morning quarterback" aspect of the operation; it is important so that you can apply lessons learned to future actions and avoid repeating mistakes. Further, the evaluation will also serve to fine tune your analytical capabilities, thereby enhancing your skills and improving your value to the Army.

Relationship of the Problem-Solving Process to the Military Decision-Making Process.

The military decision-making process closely parallels the problem-solving process described above. Figure 2-2 provides a graphic picture of the decision-making process and the many interaction points involved in reaching an effective decision. Each problem-solving step is included in military decision making. The following discussion details the components of the military process, and also shows the close parallel with general problem solving.

- The Mission. The mission received by the battalion commander is synonymous with the term problem. The mission equates to step 1 (Identify the Problem).

- Information to Commander and Information to Staff. This phase of decision making involves the exchange of information between the commander and his staff. It serves to more clearly identify the problem or, more importantly, to frame the problem within the context of the battalion's mission requirement. These activities parallel the completion of step 1 in the problem-solving process.

- Mission Analysis, Restated Mission, and Commander's Planning Guidance. Preliminary staff information received by the commander constitutes a major consideration in his mission analysis. This analysis results in his restatement of the mission (to reflect the character and capabilities of his unit) and his submission of planning guidance to his staff.
NOTE: In time-critical situations, the commander may be forced to complete his estimate based on his personal knowledge of the situation and issue oral orders to his subordinate units.

Figure 2-2. Military Decision-Making Process.
Planning guidance may take several forms: it can direct collection of additional data, establish new or enhanced criteria for decision making, or offer courses of action for consideration. In any case, the process clearly falls into the category of step 2 of the problem-solving process: gathering information.

- **Staff Estimates.** This is where you as a staff officer initiate your own mental process which results in the development of your staff estimate. Continue step 2, the gathering of information, including information exchange with other staff officers, and initiate step 3, developing courses of action.

The courses of action you develop may be your own or those the commander offered as part of his planning guidance. In any event, the courses of action must be evaluated and analyzed. This analytical process, then, equates to step 4 of the problem-solving process, analyzing and comparing courses of action. As the final part of staff estimation, you must select the best course of action from those analyzed. This constitutes step 5 of the problem-solving process.

The staff estimates so developed require you to exchange information with other staff officers; they must be updated and modified as changing conditions require. Staff estimates offer the best recommendation to the commander from the particular point of view of the staff officer concerned (in your case as S1, from the personnel perspective). These estimates are preferably consensual, but in those cases where consensus is not achieved, the commander will apply his experience, knowledge, and personal sense of ethics to reach a decision.

- **Commander's Estimate.** After assessing staff estimates in conjunction with his own knowledge and experience, the commander completes step 5 by making a decision. This decision is implemented by his issuance of the Commander's Estimate of the Situation.

The final two phases of the problem-solving process, the making of a plan (step 6) and plan implementation (step 7) result from the Commander's Estimate of the Situation.

While the process we describe above is orderly and logical, you must remember that the rapidly changing nature of a combat environment frequently reduces the situation to oral orders from the commander. Accordingly, you must keep the commander continuously informed of those things he needs to know while not burdening him with trivial or less than critical information.
Sometimes, you can only determine the fine line between what is critical and not critical through practical experience or through interface with more experienced staff officers.

The S1's Role in the Problem-Solving Process.

As S1, you play a significant role in the problem-solving process, particularly in step 2 (gathering information), step 3 (development of courses of action), step 4 (analyzing and comparing courses of action), and step 5 (making a decision). You will be intimately involved in the informational give-and-take with the commander and other staff officers as part of the initial activity following receipt of the battalion mission. You will develop courses of action, analyze and compare these courses, and make your own decision concerning the course of action you will recommend to the commander.

This entire process involves making decisions and recommendations from your particular vantage point as the personnel and administrative staff officer. Remember to provide your recommendations in close conjunction with other staff officers so that the recommendations clearly represent all factors having impact on the operational situation. Additionally, remember to limit these recommendations to essential information and to update them as necessary. Finally, always ensure that you provide the commander with the data needed to keep up with the developing situation and to respond appropriately.
CONTINUE TO THE NEXT PAGE.
LESSON 2

PRACTICE EXERCISE

Read the following situation and use that information to answer the items in this Practice Exercise. Check your answers with the answers that follow.

Situation: You are the S1 of the 3d Infantry Battalion, Fort Atterbury, Indiana. Your commander has requested your input regarding a surfacing morale problem.

1. Which of the following represents the proper sequence for the problem-solving steps listed?
   A. Gather information, identify the problem, make a decision.
   B. Identify the problem, develop courses of action, gather information.
   C. Identify the problem, gather information, develop the courses of action.
   D. Develop courses of action, gather information, analyze and compare the courses of action.

2. What is fact?
   A. A present belief held with confidence.
   B. A past event known with certainty.
   C. A standard upon which to base a decision.
   D. A statement of precise meaning or significance.

3. In the military decision-making process, information to the commander and information to the staff closely parallels which of the following problem-solving steps?
   A. Make a decision.
   B. Gather information.
   C. Identify the problem.
   D. Develop courses of action.

4. Which of the following serves as an aid in developing a course of action?
   A. Fear.
   B. Logic.
   C. Habit.
   D. Inertia.
Compare your answers to the following solutions. If you answered any item incorrectly, review the page(s) and paragraph(s) referenced until you understand the instruction.

<table>
<thead>
<tr>
<th>Item</th>
<th>Correct Answer and Feedback</th>
</tr>
</thead>
</table>
| 1.   | C. Identify the problem, gather information, develop courses of action.  
      | Answer C is correct because it follows the appropriate sequence (steps 1, 2, and 3) involved in the problem-solving process. All other answers misconstrue the problem-solving sequence. (pages 11, 12, 13, 14) |
| 2.   | B. A past event known with certainty.  
      | A fact is something known with certainty. Answer A is an opinion; answer C is a criterion; and answer D is a definition. (page 13, para 1) |
| 3.   | C. Identify the problem.  
      | Item C is correct since the exchange of information between the commander and his staff serves to more clearly identify the problem. (page 16, para 5) |
| 4.   | B. Logic.  
      | Fear, habit, and inertia (answers A, C, and D) inhibit our ability to think creatively and impede the development of an effective course of action. (page 13, para 7 and page 14, paras 1, 2, and 3) |
LESSON 3

PREPARATION OF THE PERSONNEL ESTIMATE

LEARNING OBJECTIVE

Actions:  
   a. Review the components of the Personnel Estimate with emphasis placed on the Troop Preparedness Situation.

   b. Comprehend an actual scenario showing the practical application of the Personnel Estimate and prepare a Personnel Estimate based on that scenario.

   c. Learn how to compare courses of action using a decision matrix methodology.

Conditions:  You will be given information from FM 101-5, TC 26-5, and extracts from FM 101-10-1, volume 2.

Standards:  You will review the components of the Personnel Estimate and develop an estimate using a historical scenario. You will prepare a Personnel Estimate using the format reproduced from FM 101-5, pages E-12 through E-14. You will describe the use of the decision matrix method in analyzing and comparing courses of action.

INTRODUCTION

Now that you have learned the basic steps in problem solving and their importance to military decision making, you can use this knowledge to formulate a Personnel Estimate. As S1, you will be required to prepare Personnel Estimates as routine courses of action. This lesson explains the components of a Personnel Estimate, after which you will experience a practical example.

Components of the Personnel Estimate.

As S1, you will compile extensive data which in its composite form will become the Personnel Estimate. The formulation of the Personnel Estimate will require you to analyze and assess potential courses of action before determining the recommendation you will make. Keep in mind that the following discussion provides a mental process for you to follow; normally, you present the Personnel Estimate verbally because of time constraints.
When preparing your Personnel Estimate, you will need to structure your information into the following components:

- **References.** List the maps, charts, and other supporting documents which you need to carry out an effective analysis to complete the mission assigned. These documents will be the key visual aids guiding your planning activities.

- **Mission.** This is the commander's restated mission, which puts the mission he received in the context of battalion capabilities for your use. As S1, you use the commander's restated mission as the problem which you must address from a personnel and administrative perspective.

- **Situation.** The situation is broken down into components which you and the other principal battalion staff officers must address. You will use information provided in the staff estimates of the intelligence officer (S2), the operations officer (S3), the logistics officer (S4), and the civil-military operations officer (S5) in addition to guidance provided by the commander (Commander's Planning Guidance) in formulating your recommendations. Each of these components is discussed below.

  -- **Intelligence situation.** The information you gather from the S2's estimate will constitute the intelligence situation. Components will include the characteristics of the area of operation, the strength and disposition of enemy forces, and the capabilities of enemy forces for inflicting damages and casualties. You will use this information to analyze the capabilities of the battalion's posture to successfully complete its mission.

  -- **Tactical situation.** You prepare this component basing your analysis on information obtained from the S3 and incorporating the Commander's Planning Guidance. You will use the tactical situation as a baseline for courses of action you analyze. The tactical situation includes the present disposition of the battalion and supporting major tactical elements, a listing of possible courses of action to accomplish the mission, and the possible courses of action provided as a basis for each of your assessments in the Personnel Estimate.

Logistics situation. In the estimate you receive from the S4, you will learn the present disposition.
of logistics units and installations which impact your personnel situation. Additionally, the S4's estimate will give you projections within the logistics field which may have an important impact on personnel operations, like food and equipment supply capability, and so on.

Civil-military operations situation. The CMO estimate gives you information about the present disposition of civil-military operations, units, and installations impacting the personnel situation. This estimate also discusses potential impact. The primary impact which you must assess is how the degree and volume of interaction with civilians and noncombatants will affect the operational capability of your battalion personnel.

• Troop Preparedness Situation. This is the most critical component of your Personnel Estimate since it details eight major categories of information over which you have primary administrative support responsibility. The eight categories you must assess include unit strength maintenance, replacements, noncombat matters, soldier personnel readiness, service support, organizational climate, commitment, and cohesion. These are discussed separately below.

Category 1: Unit strength maintenance. You must assess the battalion's ability to maintain sufficient operating strength by determining its authorized, assigned, and attached resource allowances, both for manpower and equipment. You will also be expected to determine the deployability of the battalion and its units as well as the effects of losses, critical military occupational specialty (MOS) and skill shortages projections for both gain and loss, and any local factors which will impact strength.

In gathering this data, you will be required to use tables of organization and equipment (TOEs) and modified TOEs (MTOEs) which pertain to your battalion. Additionally, for projection purposes you will be required to consult FM 101-10-1, volume 2, the Staff Officers' Field Manual Organizational, Technical, and Logistical Data Planning Factors (extracts of which appear in appendix B of this subcourse). Volume 2 provides you with data useful in planning for engineering, supply, transportation and movement, personnel service support, health service support for evacuation and hospitalization, and operational force requirements. The tables and
projections which volume 2 provides will be of significance to you in determining your projected losses under both combat and noncombat conditions.

This information is likely to be the portion of the document which you use most; however, the volume also provides you with timely information covering other concerns such as the volume of likely drug use among troops and crime categorical estimation. All of these estimates are based upon extensive study of past trends under varying conditions, and they provide you with comprehensive planning data.

In using this document, you will first examine the table of contents to identify your particular subject of inquiry. Refer now to chapter 4. Assuming that you are interested in information governing personnel losses for divisional units, you will go to table 4-18, which identifies the general type of operation being reviewed against categories such as battle and nonbattle losses. Note that this table provides various operational conditions such as when the division is in contact, in reserve, and when nondivisional units are involved. If you are seeking information about a defensive meeting engagement, you will match up the appropriate category in the far left column (in this instance, column 1, line 8: Meeting engagement) with the appropriate category in the column to the right. Thus, if you are interested in the total percentage of daily personnel losses as a percentage of division strength, you would read across line 8 to column 4 (total percentage), and find that your answer is 1.8 percent. You estimate 1.8 percent of your total division would be lost under these conditions.

You can use this simple process to find projections for both battle and nonbattle as well as total loss factors within a full range of attack and defense operational categories. Other tables include information governing distribution of battle losses by branch (table 4-17) as well as battle loss information from prior wars and special operations features such as amphibious operations.

-- Category 2: Replacements. You will detail your critical replacement needs, including weapon system crew and small unit personnel. You will also discuss previous critical allocations and identify the location of replacement
processing units. Additionally, you should include information concerning replacements requested (e.g., special training needs, physical fitness concerns, etc.).

-- Category 3: Noncombat matters. In this section, you will provide information concerning the impact of prisoners of war, non-U.S. force augmentees, civilian internees and detainees, Department of the Army civilians, and any other related personnel categories. You should also discuss the availability of manpower for noncombat labor requirements. These are critical to you since they severely impact upon unit mobility (i.e., freedom of action). Further, you must rigidly adhere to Geneva Convention standards in all of your combat and combat support activity.

-- Category 4: Soldier personnel readiness. You will be expected to provide information concerning factors impacting readiness, including morale and esprit de corps. You must evaluate these areas to the willingness of soldiers to fight and to maintain combat activity. Additionally, you should address the stability and potential of your soldiers, both individually and in teams, to accomplish the assigned mission. You are likely to find that this category overlaps with organizational climate, commitment, and cohesion since these composite concerns directly impact upon the attitude of your forces with regard to combat action. These factors will give you a good picture of the level of determination and of the attitude of your soldiers. Clearly, their determination and attitude are critical in their willingness to sustain combat in dire circumstances.

-- Category 5: Service support. In this section you will discuss changes or problems in support services which impact the battalion’s ability to execute its combat mission. You are expected to report personnel service problems pertaining to records, pay, orders, awards, assignments, reassignments, personal affairs, leaves, promotions, and other administrative services. Your attention is particularly critical in these areas because of their impact on morale, as well as on group and individual drive and fortitude.

Other support service areas which you must evaluate for their impact on the mission include legal, postal, religious, public affairs, and financial services as well as morale support and recreational activities.
Category 6: Organizational climate. You must evaluate the human resources climate of the battalion to determine its impact on readiness. Particular areas for your close review include communications within the chain of command, performance and discipline standards, human relations, supervision, physical combat stress, and any other related issues. Your primary concern here is to assess the capability of teamwork so that smooth working relationships and "quality" coordination can be maintained under combat conditions.

-- Category 7: Commitment. You will measure the relative strength of the individual soldier's identification with his battalion and his willingness to maintain an active involvement under any combat condition. Areas with which you will be concerned include morale, motivation, confidence, and trust. If a chaplain is available, be sure to communicate with him regarding the emotions of the soldiers. Use the chaplain's reports to evaluate the morale and welfare implications/affects of personnel policies and to probe their support for the commander. Your assessment here is critical in determining the battalion's willingness to continue forward with the ultimate operations order in spite of harrowing conditions and personal fear.

-- Category 8: Cohesion. You will discuss any factors which build a strong team in terms of attracting and binding soldiers to the cause. Clearly this category is critical in determining your unit's level of esprit de corps. You will also gain answers to questions such as these: How well does my unit work together? What problems do I foresee which might adversely affect teamwork?

Note that many of the troop preparedness factors involve somewhat intangible features, features which cannot be measured quantitatively. Much of your discussion will involve the impact of your troop's emotional outlook and the impact that your soldiers' positive, or negative, outlooks will have on their ability to sustain a difficult combat operation. Additionally, you will gain insight into your soldiers' ability to deal with the boredom which occurs during lulls in the action.

Following your thorough discussion of each of these categories, you must also detail any assumptions critical to the proposed operation. Keep in mind that assumptions involve information which you think and are reasonably sure is accurate, but for which solid proof does not exist.
After your discussion of any relevant assumptions, you proceed to the heart of the Personnel Estimate: analysis of courses of actions and conclusions. Remember to base your conclusions on your best logical analysis of all the information available and remember to state them clearly and as succinctly as possible.

- Analysis of Course of Action. Following your determination of your unit’s preparedness, and in conjunction with the situational determinations of the other staff officers, you will analyze the proposed courses of action. Remember that you are following through on those courses established by the S3 officer in his tactical situation. Analyze each course of action from the personnel standpoint. Clearly, the Troop Preparedness Situation which you just completed will provide the major source for your evaluation. Consider each course of action against each of the troop preparedness components; identify both the advantages and disadvantages of the various courses in accomplishing the mission. Accompany the deficiencies which you note with a determination of methods to overcome their impact or provide a modified course of action.

- Conclusions. Finally, you will state whether or not the mission, as reported in the mission statement, can be supported from the personnel standpoint. You will also indicate which course(s) of action will be most effective, taking into consideration the personnel aspect of the operation. Additionally, you must provide the commander with a listing of those personnel deficiencies which require immediate attention and with suggestions to reduce or eliminate the deficiencies. This final aspect requires judicious attention since it has far reaching consequences which may affect preparedness far beyond the current mission requirements.

A Practical Example of the Personnel Estimate.

Now that you have learned the components of the Personnel Estimate, we will provide you with a practical example of what the Personnel Estimate encompasses in a "real world" situation. You will now prepare a Personnel Estimate based on the Texas War for Independence of 1836, first mentioned in lesson 1 of this subcourse. Use the Personnel Estimate format reproduced as figures 3-1, 3-2, and 3-3 (extracted from FM 101-5) and the information from the following scenario. As you read, you will see what a Personnel Estimate looks like (or sounds like) and see how Santa Anna's use of that estimate could have dramatically altered the outcome of San Jacinto and of the entire war. Once you complete the Personnel Estimate, compare your answers with the “Recapitulation” following the scenario.
SCENARIO: It is April 7, 1836, and General Santa Anna's Army has destroyed Texas units at the Alamo and at Goliad. You are the equivalent of an S1 officer for the Mexican 14th Infantry Battalion, which has played a lead role in the forward advance of the Mexican Army. Your army has followed a "no prisoners" approach, and the captured defenders at both locations were, with few exceptions, summarily executed, much to your dismay and to the revulsion of many of your fellow soldiers.

General Sam Houston's forces, less than 1,000 strong, are known to be somewhere in the vicinity of San Jacinto, a 1-week forced march distance. The San Jacinto area is unknown to the Mexican Army since it has never marched that far into Texas. The Mexican Army directly under Santa Anna's personal command numbers approximately 7,000; however, Yucatan infantrymen (Indians), operating under virtual slave conditions, constitute the majority of your unit. They are ill-clothed, poorly fed, and have suffered substantial losses during the trek north. Your battalion strength level is down to 500 from an initial authorization of 750, primarily because of illness. In addition, more than half of the remaining 500 soldiers represent potential casualties, because they are presently ill to varying degrees.

Support forces of 7,000-10,000 are available of which the command has designated some 250-400 for your unit. The entire support force is, however, scattered throughout the Texas frontier. It will take several weeks to assemble them into combat formation within striking distance of San Jacinto.

Replacements for your battalion are primarily more Indians never tested in battle and likely to be extremely weary upon arrival because of their long march north. Additionally, the command has overextended the supply lines because of the fast pace of the action. The Texans have applied a scorched earth policy as they hastily retreated, leaving few foodstuffs or potable water supplies. Citizens in the march zone have taunted your Army for its brutality, and Mexican residents have echoed the insults of the Texans. Your men have shown significant psychological stress from this situation.

General Santa Anna has ordered your unit to the forefront of the continuing assault. He has directed your unit to hit the Texans full force at San Jacinto. The only flexibility currently existing involves the actual time and location of the engagement. He has instructed your battalion commander to prepare for a direct assault to destroy the Army of the Republic of Texas. Your unit will lead the attack.
Figure 3-1. Format for the Personnel Estimate (1 of 3).
Figure 3-2. Format for the Personnel Estimate (2 of 3).
FORMAT FOR THE PERSONNEL ESTIMATE (Continued)

(Classification)

PERS EST NO _____
(Short title identification)

(B) Cohesion. Indicate factors which attract and bind soldiers together to produce commitment to the unit to accomplish the mission.

(a) Esprit de corps.
(b) Teamwork.

f. Assumptions. Any assumptions required as a basis for initiating planning or preparing the estimate. Assumptions are modified as factual data when specific planning guidance becomes available.

3. ANALYSIS OF COURSES OF ACTION
For each course of action, analyze personnel factors affecting each subheading in paragraph 2 indicating problem areas, trends, and deficiencies impacting on troops preparedness.

4. COMPARISON OF COURSES OF ACTION
a. Evaluate deficiencies from a personnel standpoint and list the advantages and disadvantages with respect to the accomplishment of the mission.

b. Discuss the advantages and disadvantages of each course of action under consideration. Include methods of overcoming deficiencies or modifications required in each course of action.

5. CONCLUSIONS
a. Indicate whether the mission set forth in paragraph 1 above can be supported from the personnel standpoint.

b. Indicate which course(s) of action can best be supported from the personnel standpoint.

c. List the major personnel deficiencies that must be brought to the commander's attention. Include specific recommendations concerning the methods of eliminating or reducing the effect of these deficiencies.

/8/ (Designation of staff officer)

Annexes (as required)

(Classification)

Figure 3-3. Format for the Personnel Estimate (3 of 3).
NOTE: You will not be able to use some of the sections of the Personnel Estimate shown in figures 3-1 through 3-3 since armies of that time lacked our current sophistication. You will readily see, however, the important role that this evaluative tool can play in avoiding disaster.

Personnel Estimate for the 14th Infantry Battalion, Army of Mexico.

1. References. Limited. Several rough sketch maps are available from advance scouts. A few Texas maps are available, but they lack detail of the San Jacinto and Buffalo Bayou locations of the enemy.

2. Mission. To close with the enemy in the vicinity of San Jacinto and to massively assault and destroy the forces of the Texas Army.

3. Intelligence situation.
   
a. Characteristics of the area of operation. Your force is unfamiliar with the San Jacinto River/Buffalo Bayou areas. You know that marshy areas exist with potential for bogs.
   
b. Enemy strength and dispositions. Approximately 1,000 Texans make up the Army. They are a somewhat disorganized lot with no uniforms and poor group discipline. They supply their own rifles and have only limited cannon in support. The entire force is somewhere in the Buffalo Bayou area on both sides of the San Jacinto River.
   
c. Enemy capabilities. Despite a lack of discipline, Texans are brave, stubborn, and proud. They are prone to using any tactics, including guerrilla warfare; and they seek revenge for the massacres at the Alamo and at Goliad. They are excellent shooters and riders and adjust quickly to changes in operational circumstances.

4. Tactical situation.
   
a. Present dispositions of major tactical elements. The entire 14th battalion is now located some 125 miles southwest of Buffalo Bayou. Two additional infantry battalions, the 16th and 18th, are roughly 2 miles to the southwest and have been programmed to directly support our effort. Two field artillery companies are also in direct support. The remainder of the entire Army of 7,000 is camped 5 miles to the rear of the 16th and 18th battalions. Figure 3-4 is an illustration of Buffalo Bayou.
b. Possible courses of action to accomplish the mission.

(1) Forced march from current location to Buffalo Bayou and immediate attack upon the undermanned Texas forces.

(2) Infiltration by an intelligence gathering unit to determine the geographical situation and the actual location of Texas forces, after which an attack would be programmed to take advantage of the great numerical disparity between forces.

c. Projected operations. Uncertain. However, General Santa Anna is extremely impatient and desires immediate action.

5. Logistics situation.

a. Present dispositions of logistics units and installations that have an effect on the personnel situation. All major supply support units are experiencing travel problems and delays because of heavy terrain. Basic ammunition supply is adequate; however, artillery pieces are currently several days behind schedule as are food and water supplies. The bulk of the Indian infantrymen lack basic clothing and shelter items (shoes, blankets, etc.) and are currently suffering from illness.
b. Projected development within the logistics field likely to influence personnel operations. Personnel operations require some delay in order for supply lines to be traversed.

6. The CMO situation.

a. Present dispositions of civil affairs, units and installations that have an effect on the personnel situation. Civil-military operations are virtually nonexistent. The Army has applied a "no prisoners" approach to dealing with all captured military and most civilians. Soldiers are committing atrocities and plundering captured towns.

b. Projected development within the CMO field likely to influence personnel operations. Current operating philosophy is having significant negative impact on troop morale.

7. Troop preparedness situation.

a. Unit strength maintenance.

(1) Authorized/required: 750.

(2) Assigned: 500.

(3) Attached: (Not organic to unit) 50 (cannoneer squads and advance scouts).

(4) Deployability/availability: As many as 300 Indian infantrymen are currently suffering from heat stroke and/or dehydration.

(5) Losses: 250 (mostly because of illness).

(6) Critical shortages: A full 350 additional infantrymen are needed in order to conduct a frontal assault. This number, however, is likely to grow due to continued sickness.

(7) Projected gains/losses: You are expecting the arrival of 250-400 infantrymen; however, an additional level of losses as high as 300 from exhaustion, dehydration, and cholera, is likely.

b. Replacements.

(1) A critical requirement for weapon system crew and small units. Primary need is for more infantrymen (350 needed, as cited above).
(2) Location of replacement processing units. Replacements are now some 120-150 miles southwest. The command has located unit assignment points at both San Antonio and at Goliad.

c. Noncombat matters.

(1) Impact of enemy prisoners of war (EPWs) is nil. The Army is following a "no prisoners" approach.

(2) Augmentees. Several advisors from both the German and French Armies are present. No combat soldiers below the rank of captain are present from any foreign nation.

(3) Civilian internees and detainees. NA. Troops are either shooting civilians or forcing them to vacate the entire area north and east of San Antonio.

(4) Mexican Army civilians. Very limited, although General Santa Anna is dual hatted as President. A few writers (press coverage) and wagon masters are present, but they are expected to operate under provisions of military law.

(5) Availability for labor requirements. Many laborers are being drawn from the subdued civilian populace. The Mexican forces treat personnel harshly and under veritable slave-like conditions. They frequently escape and destroy anything in their way if it will slow the advance of the Mexican Army.

d. Soldier personal readiness.

(1) Status of morale. Officer and noncommissioned officer (NCO) morale status is good. Lower rated enlisted, particularly Indian infantry, have low morale.

(2) Status of crews and stability. Infantry squads are suffering terribly from illness. Supporting cannoneer squads fare much better; however, they are having severe difficulty traversing the terrain and fording rivers.

e. Services support.

(1) Health services. Practically nonexistent. A severe shortage of medicines and anesthetics exists. Many personnel operating as surgeons are unqualified physicians.

(2) Personnel services.

(a) Records. The only personnel records existing are for accountability purposes.
(b) Pay/finance. Suspended until return to home base. The purser will pay later for credit now being compiled.

(c) Orders. Verbal primarily, except that General Santa Anna provides a written, sealed statement with his personal orders. Officers only must pass all orders.

(d) Awards. The command holds battlefield formations periodically to cite particular valor and heroism. These usually recognize only officers.

(e) Assignments. Keep current assignments for the duration of the campaign.

(f) Reassignments. Same as assignment criteria.

(g) Personal affairs. Soldiers prepared simple wills prior to the initiation of the campaign.

(h) Promotions. All promotions will be of a battlefield variety for valorous performance and availability based on losses incurred.

(i) Legal services. NA. Commanders administer summary punishments, including execution, for violations of military rules.

(j) Postal services. Supply trains leaving Mexico City and points north (Monterey, etc.) will carry any mail designated for soldiers. Mail delivery by this method takes about 6 weeks from its pickup.

(k) Morale support activities. No morale support activities.

(l) Religious services. A Catholic priest (Franciscan Missionary) accompanies each brigade-sized element. He is essentially limited to administering last rites, except during lulls in action and sometimes on standard religious days such as Sundays, or Christian holy days, etc.)

(m) Public affairs services. With the exception of a few newsmen from Monterey and Mexico City who report on major clashes, public affairs services are nonexistent.

(3) Logistics support problems affecting personnel readiness. Lack of clothing/shoes is a serious problem, causing much sickness. Additionally, the hot weather and almost semi-arid conditions of the terrain are intensifying the water shortage problem. This shortage will become more acute as the route of march continues without adequate supply across the dry plains toward Buffalo Bayou.
f. Organizational Climate.

   (1) Effectiveness of communication within the chain of command. Communications between the commander and staff and line officers of the battalion are good. Information exchange with higher headquarters is poor since the general staff does not solicit input.

   (2) Performance and discipline standards. These are harsh and frequently subject to whim. Fear is great.

   (3) Human relations. Little emphasis has been placed on this factor, particularly with regard to the Indian infantrymen.

   (4) Supervision. Officers expect blind obedience from enlisted men. This is also true for battalion officers in dealing with the higher ranks and general staff.

   (5) Physical combat stress. Combat stress is not a major concern since there have been very few serious battles to date. The psychological impact of the executions of prisoners/noncombatants, however, has been severe.

   (6) Other. No other factors are evident which affect personnel readiness.

g. Commitment.

   (1) Morale. Morale is very poor among the enlisted troops.

   (2) Motivation. The officer corps seeks glory and recognition from combat success. Enlisted personnel have little inclination or enthusiasm. They suffer from hardship and homesickness, particularly the Indians from the Yucatan jungle.

   (3) Confidence. Confidence is waning, particularly in the light of the massacres of unarmed prisoners and civilians.

   (4) Trust. Fear has replaced the original trust and confidence in General Santa Anna.

h. Cohesion.

   (1) Esprit de corps. Severely lacking. Basically, forces consist of two armies: one for officers and one for enlisted foot soldiers. Officers treat foot soldiers as slaves.
(2) Teamwork. Severely lacking.

8. Assumptions.

The command acknowledges that a major assault must take place regardless of force conditions.


   a. Course of action 1. Conduct an immediate forced march from our current location to Buffalo Bayou, temporarily regroup, and immediately begin a full frontal attack to destroy the Texans.

   b. Course of action 2. Most units march in the direction of Buffalo Bayou. An intelligence-gathering force will probe the Buffalo Bayou location in detail to determine the disposition of enemy forces and the geographical "lay of the land." Forces will make no contact. Army units will halt their march before encountering the objective. They will then devise the actual assault strategy based upon findings of the intelligence team. They must maintain outpost pickets to preclude any surprise guerrilla offensive during this period.

10. Comparison of courses of action.

   a. Deficiencies. Both courses of action are deficient with regard to the supply and logistics support requirements. Continued movement north does not allow adequate time for supply lines to be traversed, and illness factors will continue to mount. However, the impatience of General Santa Anna will not allow for extended delay.

   b. Course of action 1.

      (1) Advantages. Surprise and compliance with the General's time criteria are the primary advantages.

      (2) Disadvantages. Lack of knowledge of the specific terrain and of the actual disposition of the Texas troops are clear disadvantages. This course also assumes that the Texans are unwilling to fight strongly. Their performances at both the Alamo and at Goliad suggest otherwise.

   c. Course of action 2.

      (1) Advantages. Mexican forces will hold a clear view of the disposition of Texas forces and the terrain where they will fight. This will preclude unwittingly walking into a trap, and it will also allow additional time for slower moving rear echelon elements to
close with our main battle force. The actual plan and direction of direct attack will reflect the condition at the time of battle initiation.

(2) Disadvantages. Time delay is the primary disadvantage.

NOTE: Remember, in a modern combat Personnel Estimate, you would assess each of the eight categories of the Troop Preparedness Situation against each possible course of action. We do not do so in this example since many of the categories were not active concerns in 1836.

11. Conclusions.

a. The mission to close with and destroy the Texas Army at Buffalo Bayou can be accomplished; however, loss of life will increase because of the poor support currently provided for infantry forces.

b. Course of action 2, which allows for assessment of the battlefield terrain and the disposition of Texas forces, is clearly the best method.

c. The deficiencies in personnel support, including living conditions, are intolerable, and the command should make every effort to improve these conditions. Additionally, treatment of Texas prisoners of war and noncombatants requires much improvement. If our policy does not change, the resolution of the Texas people to "fight to the death," as seen at the Alamo, will only strengthen regardless of the size of the Mexican Army.

Recapitulation of the Mexican War Scenario.

Had Santa Anna not rushed into action in an unknown environment, the outcome would surely have been different. Mexican forces rushed onto a marshy peninsula from which there was only one escape. Additionally, they did not place picket outposts to warn of an assault as they made final preparations. In this situation, the Texans mounted a surprise assault in midafternoon (during the traditional siesta) and defeated the much larger Mexican Army in a mere 18 minutes. They destroyed nearly all of the Mexican Army and captured Santa Anna. Mexican forces had no place to withdraw and regroup. Reinforcements were far distant and thus of no value. Texas casualties, on the other hand, numbered about 30. What a difference the use of your Personnel Estimate with its emphasis on the human element would have made.
Using a Decision Matrix Methodology to Arrive at a Conclusion/Recommendation.

Now that you have seen the effectiveness of the Personnel Estimate, you are probably asking yourself how you can effectively analyze and evaluate potential courses of action. What tools exist to make this difficult task easier?

One effective measure which you can apply is the decision matrix methodology. The decision matrix concept involves looking at problems and activities as a systematic process. In this fashion, you look at each alternative from the standpoint of how it stands up against the significant criteria/parameters within which a solution must fall.

Figure 3-5 depicts a decision matrix where you evaluate alternatives by criteria. Criteria are weighted as follows: ++ Very Good, + Good, O Neutral or Not Applicable, - Not So Good, and -- Bad. You may evaluate criteria by moving horizontally across the chart, or you may evaluate alternatives by tracking vertically. In either case you will gain solid insight into the problem you are trying to solve.

Using the Battle of San Jacinto from the Mexican perspective as an example, we can generate the following decision matrix (figure 3-5).

<table>
<thead>
<tr>
<th>ALTERNATIVE A: Immediate attack</th>
<th>TIME</th>
<th>MANPOWER</th>
<th>SUPPLIES/ EQUIPMENT</th>
<th>BATTLEFIELD TERRAIN INFO.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>++</td>
<td>-</td>
<td>-</td>
<td>--</td>
</tr>
<tr>
<td>ALTERNATIVE B: Intelligence assessment/ then attack plan</td>
<td>--</td>
<td>++</td>
<td>++</td>
<td>++</td>
</tr>
</tbody>
</table>

Figure 3-5. Decision Matrix Table.

Using this assessment methodology, you would find it easy to select the criteria which should have governed your decision. Since the need for information about the enemy was critical as well as the condition of manpower and equipment support, you would logically have opted for alternative B. History might have been quite different. Today Houston and Dallas might well be major Mexican cities.
Without doubt, the Personnel Estimate, along with other staff officers' estimates, is a crucial tool for the battalion commander. How well you fulfill your responsibilities in preparing that estimate may assure the very survival of your battalion.
CONTINUE TO THE NEXT PAGE.
LESSON 3
PRACTICE EXERCISE

Read the following and answer the items in this Practice Exercise. Check your answers with the answers that follow.

1. Which the following is the most critical component of the Personnel Estimate?
   
   A. Mission.
   B. Analysis.
   C. Situation.
   D. Conclusion.

2. Which of the following would you analyze as the baseline for courses of action?
   
   A. Tactical Situation.
   B. Logistics Situation.
   C. Intelligence Situation.
   D. Civil-Military Operations Situation.

3. The Personnel Estimate prepared for General Santa Anna indicated which of the following?
   
   A. He commanded highly motivated and loyal infantry forces.
   B. The Mexican Army had overwhelming numerical superiority.
   C. A quick frontal assault would be the best method of attack.
   D. The terrain for the prospective battle had little potential impact on its likely outcome.

4. If you use Table 4-17 in appendix B, approximately how many cannoneers would be projected as lost in an artillery Bn of say 1000?
   
   A. 140.
   B. 30.
   C. 24
   D. 168.
Compare your answers to the following solutions. If you answered any item incorrectly, review the page(s) and paragraph(s) referenced until you understand the instruction.

<table>
<thead>
<tr>
<th>Item</th>
<th>Correct Answer and Feedback</th>
</tr>
</thead>
</table>
| 1.   | B. Analysis.  
After determining your unit's preparedness and consulting other staff officers, your next step is to analyze the possible courses of actions from your viewpoint as personnel officer. Remember to identify both advantages and disadvantages of each course and to provide suggestions or modifications to remedy the deficiencies you note. (page 29, para 2) |
| 2.   | A. Tactical Situation.  
Since the S3 plays the leading staff role in tactical operations strategy development, the Tactical Situation which he prepares sets the stage for battalion action. (page 24, para 6) |
| 3.   | B. The Mexican Army had overwhelming numerical superiority.  
Santa Anna had 7,000 troops on line with another 7,000 to 10,000 dispersed throughout the Republic of Texas. The Texans had less than 1,000 soldiers in their fighting forces. (page 30, paras 2 and 3) |
Field Manual 101-10-1, volume 2, provides a wealth of information governing division level forces under various circumstances. Table 4-17 puts battle losses for "Artillery" at 2.4 percent and 1,000 times 2.4 percent = 24 losses. (page 25, para 5) |
LESSON 4

MANAGING THE PERSONNEL ESTIMATE

LEARNING OBJECTIVE

Actions:  a. Identify how personnel managers use and further distribute Personnel Estimates.

b. Identify how Personnel Estimates impact future combat actions from a personnel perspective.

c. Identify how personnel managers perform casualty projections, detect war stoppers, and make recommendations to senior commands.

Conditions: You will use information from FM 101-5 and TC 26-5.

Standards: Your identifications will be IAW the information contained in this lesson.

INTRODUCTION

In the previous lessons, you learned how to solve combat-related problems on the battlefield through use of the Personnel Estimate as a major support tool. Our perspective has been from the front-line battalion level where action is fast and time is always short. But, what happens with the information from the Personnel Estimate at the battalion level in terms of its impact on broader combat activities? The answer, of course, is that higher level tacticians and personnel managers use this information in conjunction with that provided by all subordinate activities to compile a composite estimate of the situation. After all, a single battalion is just one of many primary combat units supporting the objectives of the Army in a particular operational area.

In this lesson we will shift our focus to the "upline utilization phase" of the Personnel Estimate. In other words, we will deal with what happens with the battalion input at division and higher levels and how senior commands use this input in the combat decision-making process. This additional focus will once again demonstrate the need for accuracy in preparing Personnel Estimates.
Keep in mind the scenario we established for the battalion in the Mexican Army of 1836. The Personnel Estimate's impact or, rather its lack of impact since the Mexican Army did not use one, offers a good parallel for today's Army as well. If we are to be successful in combat, we must initiate our combat actions only from an enlightened background. This means that we must gather extensive information, include reliable personnel data, and use this information carefully as a primary basis for sound combat decision making.

Setting for the Division Personnel Estimate.

Using the background information you learned up to this point, we will discuss the activities the division takes to ensure success on the battlefield. We will show how the staff of the assistant chief of staff for personnel (G1)(hereinafter referred to as division personnel management team) uses battalion estimates and how they transmit this information up the command chain. We will deal specifically with the importance of accuracy in the determination of casualty levels and how this information impacts the combat decision-making process, both at division level and higher in the chain of command. Central to this discussion is the identification of war stoppers which can preclude the ability to carry out the mission. We will address this last aspect through a practical application that will vividly show the importance of the Personnel Estimate at higher levels.

The combat division is a large and complex organization made up of front-line combat units and a significant number of support and staff organizations. Excellent communication and coordination are critical at all levels if units are to perform the mission efficiently and effectively. Each unit must perform confidently and within the parameters of the division commander's direction. Key to this effort is the availability of reliable information on the personnel posture of the command. This is why the Personnel Estimate is so vitally important to the division. It provides the principal tool for assessing troop manpower readiness which, in turn, is critical to giving the commander the "big picture" of his command that he needs while making his plans.

First, we will look at the command "action players," those who are responsible for assessing the division's personnel posture and using this assessment to prepare the Personnel Estimate. We will further show the reporting tools available to delineate the impact of manpower availability vis-a-vis casualties since casualty analysis becomes critical for the division. This is due to the large number of soldiers directly affected by the division estimate (e.g., up to 15,000 as opposed to the battalion impact of less than 750 in a standard combat battalion).
This discussion will provide you with an appreciation of the scope of the division estimate and its value at corps and theater levels. Finally, we will review what you have previously learned about the Personnel Estimate from the divisional perspective. This review will highlight those critical areas which you must thoroughly assess as part of the staff support process.

Division Personnel Managers and Information Sources.

The key management official for the division Personnel Estimate is the assistant chief of staff for personnel along with his team, which includes specialists in personnel management and administration. The personnel management team is responsible for performing all human resource management functions for the division headquarters, including the maintenance of unit strength information and the current Personnel Estimate.

Unit strength information is most critical to the Personnel Estimate since the collection and analysis of field strength data provide a baseline for evaluating the personnel condition of the command. A key component of the unit strength information is the real and projected numerical assessment of casualties since the number and degree of casualties are major considerations in the division's readiness to fight. Lack of information concerning casualties can result in recommendations which are unrealistic and unsustainable on the battlefield. For this reason, division personnel managers must maintain updated casualty statistics. To do so, the division personnel management team gathers detailed personnel status information from field operational battalions. The brigade-level staff reviews this information and adds comments as needed. In this way the information division headquarters receives represents an accurate picture of the manpower situation at the time of submission.

There are multiple sources for the data which subordinate units submit. The division personnel management staff analyzes this information in depth. As team members compare and contrast the many components, they put together a realistic picture of the actual condition of units in the field. When time permits, they assess this information with the information they glean from battalion/brigade oral Personnel Estimates. The source documents the division personnel management team uses and/or generates to assess the personnel posture and its likely impact on the operational picture include the following:

- Daily Personnel Status Reports. Battalion-sized units prepare daily reports detailing the personnel strength status at a given point in time each day. In this way they keep the division continually apprised of personnel strength and the
impact of the strength situation on the fighting force. Two key components of the personnel status reporting process include gain and loss estimates and critical MOS shortages.

-- Gain and loss estimates. Using information gleaned from the daily personnel status reports, the division personnel management team formulates casualty estimates using FM 101-10-1, volume 2, for projections and historical trends in personnel gains to combat and support units. The comprehensive review of combat and noncombat loss information, coupled with the projection for gains to replace these losses, gives the division personnel management team the insight necessary to estimate future resource availability.

-- Critical MOS shortages. Again using information from the field personnel status reports as well as validated deliberate reports from the Standard Installation/Division Personnel System (SIDPERS), the division personnel management team prepares comprehensive listings of critical MOS shortages. These composites of manpower figures showing MOS availability by type and number in divisional units add an extra dimension to general personnel status. A unit can have a sufficient number of personnel, that is, be at high operating strength, yet be critically short in skills needed to carry out combat operations. These reports identify this situation when present.

• Health services reports. Medical units provide information concerning services rendered and the type of treatment by category of treatment, including injuries caused by both combat and noncombat actions. Additionally, hospital administrators regularly update these reports with information concerning the availability of beds for new patients as well as changes to evacuation policies. These two latter aspects are critical since the everchanging battlefield may dramatically alter medical support provisions because of volume of activity and the need to relocate treatment facilities for safety reasons.

• Provost marshal reports. The division personnel management uses data from this particular area to assess the level of discipline in the division. Information on criminal activity (equivalent to both felony and misdemeanor crimes) and other indications of breakdown in discipline (e.g., drug use, alcohol abuse, etc.) is important since behavioral trends are a major indicator of troop morale.
It is important to realize that both the battalion and higher level organizations prepare daily personnel summaries which include gain and loss estimates and listings of critical MOS shortages. As the information advances upward, each level compiles a composite picture incorporating information received from subordinate levels. Any organization having a personnel/administrative function (S1 for the battalion or brigade or personnel manager for the division) can use these excellent sources of information to maintain an ongoing assessment of the situation. Health services and the provost marshal compile their respective reports on a more centralized basis because of the more specialized nature of the subject areas and the fact that responsibility for those functions rests with specialized staff groups.

By reviewing information available from all sources, the G1 has a wealth of material to use in preparing his Personnel Estimate. Additionally, he maintains continuous informational liaison with battalion/brigade S1s in the field who provide personal insight on combat activities in addition to numerical data. Their less official view of the actions unfolding is sometimes even more valuable than the formal reports. Through the S1s, the division personnel management team is able to "take the pulse" of the combat environment and to use this additional information in conjunction with manpower availability and loss data to assess overall personnel posture. However, once the division personnel management team begins preparing the division Personnel Estimate, active coordination is then limited to division staff officers.

Layout and Critical Components of the Division Personnel Estimate.

As we have seen, the S1 usually presents the Personnel Estimate verbally since time is short and information is rapidly changing. While this is also true at the division level, the G1 may also prepare the estimate in written format for the following reasons:

- Size of the operation. Operations involve a large number of combat and support units dispersed over a large area trying to accomplish a combat objective. The Army does not expect the division G1 and his personnel staff to reduce all of the necessary information to an oral presentation in those cases where the division commander wants a comprehensive analysis.
• Complexity of the requirement. The size of the operations also equates to complexity, and the level of detail involved is a further reason for preparing a written estimate. An estimate in writing also allows the commander to more carefully review the input provided and, thus, leaves less chance of misinterpretation.

• Time. Division combat activities require more time to prepare. It also takes more time to react to the many situations a larger number of units will face. When time permits, a written estimate affords the division the opportunity to assess the requirements in more detail and with a greater degree of analysis.

You must remember that even though the G1 may write the division Personnel Estimate, his layout frequently varies from the formalized format you saw in lesson 3. The commander at any level may prescribe a particular format to follow based on his particular needs. Additionally, the G1 must closely and carefully coordinate information with other primary staff officers to ensure that his estimate takes into consideration all of the many related factors impacting the tactical situation. Coordination is necessary with the G2, G3, G4, and the G5 (Civil Affairs) as well as with the principal command senior enlisted advisor (Command Sergeant Major) to understand the "pulse" of the principal fighting force. This list is not all inclusive, but the point here is to emphasize the requirement for teamwork so that the estimate represents a reliable assessment of the situation. The final product must clearly meet the commander's needs for information in making operational decisions.

Now that we have discussed the ways the division approach differs from the battalion perspective, let us take a minute to refer back to the format for the Personnel Estimate displayed in lesson 3, figures 3-1, 3-2, and 3-3, of this subcourse. Even if the G1 does not prepare the estimate in identical fashion to the suggested format, the format does offer a good guideline for reviewing the critical components the division's personnel management team uses in making recommendations to the commander.

Take a moment to review subparagraph 2e, Troop Preparedness Situation, of the Personnel Estimate since this paragraph provides the key information, the "meat and potatoes," for the personnel team's evaluation of troop readiness. The preparedness of the fighting force to meet the combat challenge means everything to your tactical commander in making his final preparations for battle. You will notice that the first category cited, unit strength maintenance,
is a direct match with the unit strength information function this lesson identified earlier as a major task of the division G1 and his personnel management team. While this category is certainly first in terms of immediate concern, it by no means overshadows the other equally important components of the Personnel Estimate.

We will walk through each of the elements of subparagraph 2e in order to show the criticality of this information to division combat planning. We do so not to repeat what you have learned in the previous lessons but to reinforce your learning from the division’s perspective. Remember, other aspects of the Personnel Estimate, including information gained from other staff sections (e.g., the remainder of the G staff elements and other important personnel such as the Command Sergeant Major), are also important. The troop preparedness situation is, however, the prime source for the recommendations the G1 makes after taking into consideration all available information. The division personnel staff will assess each of the areas below in terms of the command’s ability to function effectively at all levels.

- **Unit strength maintenance.** The division G1 and his personnel management team review all of the information regarding required manpower and the actual level of assigned soldiers. They evaluate this information in terms of deployability, combat and noncombat losses, critical MOS and skill shortfalls, and strength projections. Additionally, they address any locally specific information. This involves information which is of particular importance concerning one combat unit but which might be relatively insignificant in other cases. For example, daily loss information is most critical to those units heavily affected by the active battle situation, while units in reserve would be less pressed to ensure transmission of information concerning their troop status at any given time. The review process involves assessing major subordinate unit mission requirements and identifying those areas which need particular attention. This assessment of unit strength information is of particular importance to assessing the need for troop replacements in the next section of the Personnel Estimate.

- **Replacements.** The division G1 and his personnel management team address critical replacement requirements from the perspective of requisitions which corps and theater officials have already received but which are currently outstanding. Of particular concern is the prioritization of replacement fill
actions for subordinate units. This is where careful assessment of personnel status reports and, more particularly, of the loss factors and MOS availability is critical. The G1 must ensure that those units having the most critical needs (both in terms of assigned against authorized levels and based upon the individual unit's combat mission) receive maximum support. This component of the personnel management process also includes composite weapons system crew requirements, and it details the location of replacement release points within the division's area of operations. The G1 must remember that maintaining effective processing capability in order to efficiently support the combat line battalions is critical to the division.

- Noncombat matters. A myriad of subjects fall under this category, such as the impact of prisoners and civilians and other noncombatant groups who might create a burden on operational conditions and impact on the division's personnel service support.

- Soldier personal readiness. At the division level, the readiness factors are similar to those found at the battalion level. Signs of deteriorating morale and esprit de corps are major concerns since lowered morale has the potential to degrade the division's ability to respond rapidly.

- Service support. The primary concern here is the maintenance and identification of adequate facilities and personnel to provide excellent support in all personnel and administrative service areas such as pay, promotion, morale, welfare, recreation, and health care. The thrust at the division level is to provide these services as close as possible to the location of the troops for both timeliness and convenience.

- Organizational climate, commitment, and cohesion. These factors are more nebulous than those cited above since it is difficult to identify and/or measure them. The division's thrust is somewhat different from that found in the battalion since climate, commitment, and cohesion may differ in different locations. Depending on the degree of stress and fatigue soldiers undergo in different battlefield sectors of the division, the level of commitment of the particular unit may vary widely. The division personnel management team must continually balance support activities by location to address this situation.
The composite assessment of each of these components of the troop preparedness situation is critical since excessive shortfalls in terms of manpower, personnel support, and the will to fight can become war stoppers. War stoppers, quite simply, are those factors which have the potential to negate the ability of the unit to enter combat with any degree of success. While war stoppers normally occur in situations where heavy battle losses have degraded combat capability, these factors also result when attention to detail has not been sufficient during the planning and buildup stages to provide the level of capacity to win in battle.

The division personnel management team is responsible for ensuring that the commander is informed of the requirements necessary to preclude war stoppers. He must receive information about his subordinate units at each level of command with particular attention to those factors impacting the combat elements of the division. The G1's constant and vigilant attention to troop preparedness factors will help preclude war stoppers.

Impact on Decision Making.

Now that we have looked at the Personnel Estimate from a divisional perspective, it is important for us to consider the impact that this estimate has on the decision-making process. After all, the making of a recommendation to the commander is designed for just this purpose: to assist him in making a good decision, one which will maximize his resources in pursuit of combat victory. Since we know that the impact within the division is to provide personnel/human resources-related information to the division commander, why is this any different than what takes place at the battalion? The answer, briefly, is in the scope and cost of the decision.

The personnel posture of the division discussed in the Personnel Estimate provides a comprehensive assessment of the capability and will of division manpower resources to respond to upcoming combat plans. While the battalion estimate provides an identical function, the scope of the division estimate has the potential to directly impact on thousands of soldiers and resource support systems.

Clearly, the G1's failure to properly assess the situation and a resultant bad recommendation can put a major Army unit in serious jeopardy. This, in turn, has the potential to be a great morale boost to the enemy since a bad recommendation, once implemented, can weaken the Army's ability to fight effectively. Since resources are limited, the G1 must make sound recommendations that continuously maximize manpower utilization. This keeps the pressure on the enemy and weakens his will to fight.
The impact of the Personnel Estimate on the decision-making process does not stop at the division. Corps and theater commanders base their combat plans upon the capability of lower level units to meet their objectives on a tight time schedule. Further, these higher level command groups carefully review the subordinate estimates to ensure that their plans are both realistic and attainable. If the division Personnel Estimate is accurate and the commander uses it in his combat plan, it will "spin off" to higher level units as well. Success breeds success. Nowhere is this adage truer than in a battlefield combat environment.

A Practical Application.

Let's continue using the scenario of the Mexican War of 1836, but from the divisional perspective. For the purpose of this practical application, assume that you are Lieutenant Colonel Sanchez, the equivalent to a G1, in the 14th Infantry Division of the Mexican Army advancing in Texas. Your division is at authorized strength of 4,000 soldiers, yet nearly 50 percent are questionable in terms of readiness for battle because of medical and physical problems and to no prior combat experience. These men have bouts with dysentery and suffer from exhaustion. They are "raw recruits" when it comes to combat experience, dysentery, and sheer exhaustion. The division's four combat battalions are tired, ill-fed, poorly clothed, and homesick. Additionally, many of these men are Indians from Southern Mexico who do not understand Spanish well and have little incentive to fight except for fear of punishment from their leaders.

You also are aware that several divisions of the Mexican Army are available to serve as replacements, but these units are somewhat distant from the area of operations, and the time of travel to get them in place is, at minimum, a week. Additionally, you are not certain what their condition for combat would be when they ultimately arrive.

You have virtually no information about the Texas forces except what the rumor mill has provided. You have heard that the Texans are totally unregimented and ill-trained, yet they possess a fervor and belief in their cause unmatched in your experience. You have previously witnessed this fervor during a prior assignment to a different division during the battle of Monterey.

General Alfredo, your division commander, is an adamant supporter of General Santa Anna. At the same time, however, he is untested in battle since he achieved his rise through the ranks in a series of
staff support assignments in the rear. Your division will be one of the front-line units in the combat plan. General Alfredo has asked you to provide a Personnel Estimate to him within 8 hours. He expects a positive outlook, given General Santa Anna's penchant for quick action.

The dilemma you are left with allows two possible courses of action; however, both present you with serious professional problems. The first involves an immediate attack (movement to contact) designed to quickly destroy the enemy. This would clearly meet with approval from Santa Anna because of his strong desire for quick action; however, you have serious doubts about the capability of your forces. The other option involves a more time-deliberate approach, with troops deployed in a basically defensive posture to stall for time while you await the arrival of replacements from the large Mexican Army forces in Texas not currently near your lines. While this choice is likely to cause immediate dismay in the upper-echelon command group, it does offer better preparation for combat.

Take a moment to contemplate this situation. Using the scenario, how would you address the troop preparedness situation of the division? What impact will preparedness have on the division's battle capabilities? Could any of the factors above constitute a war stopper?

Conduct your personal analysis of this situation and, when finished, continue with the following discussion of how a division personnel manager might have addressed this situation. There is no academically correct solution to this application, since formulating a Personnel Estimate is a subjective process. The practice will, however, give you the opportunity to experience the thought processes that a division personnel manager engages in when he performs this function. If you can picture the stress and confusion of the situation, and the stakes of the outcome, you will be better able to understand the process and use it effectively.

A Suggested Approach.

In evaluating the scenario provided, we should discuss several important elements. First, as a G1 you are required to provide your recommendation of a course of action to follow. Even though you know that General Santa Anna expects fast results and that he is quite impatient and impulsive, it is imperative that you deliver a Personnel Estimate which addresses the situation from your professional perspective. This being the case, you must ponder the following considerations, each of which is a feature of the troop preparedness situation of a Personnel Estimate. These do not represent all of the concerns which you might have addressed, but
they do detail some of the clearly more noticeable ones.

- **Unit strength maintenance.** Unit strength is a major concern since, even though your numbers are impressive, their availability for battle is questionable. This factor which is critical to all other aspects of the personnel posture has the potential to become a war stopper.

- **Replacements.** General Santa Anna wants decisive action quickly. But, since you cannot count on replacements being available quickly, you may not be able to sustain effective combat pressure if casualties rapidly mount. This, again, can rapidly become a war stopper.

- **Soldier personal readiness.** Your major concern here is the impact that deteriorating conditions have on the morale of your troops and on their will to fight. Additionally, the large Indian contingent is not likely to fight with spirit since this group of conscripted soldiers really does not understand the reason for battle, nor do they feel any attachment to the Mexican Army. If soldiers lack the desire to fight for a cause, their lack of will can be a war stopper.

- **Organizational climate, commitment, and cohesion.** You should view each of these factors negatively since your forces are suffering medically, they are ill-fed and poorly supported, and they have little reason to profess loyalty to the cause other than from fear.

Given the above information regarding troop preparedness, let us look briefly at the two possible options: immediate attack and a delaying defensive operation.

- **Immediate attack.** This approach is sure to find favor with Santa Anna since he wants quick action and quick results. If the Texas forces are weak and disorganized and the "superior" Mexican troop concentration in the 14th Infantry Division is able to deliver under fire, this approach is best. If, on the other hand, troop loyalty and morale are low and commitment lacking, such an approach might lead to disaster.

- **A Delaying defensive operation.** This option has the advantage of allowing time for additional divisions of Mexican troops to arrive in the area while also potentially intimidating the Texas forces as they watch the buildup under way. The impatience of Santa Anna,
however, and his desire for action might cause major problems for the leadership of the force.

From the basic review of the troop preparedness situation and a quick assessment of the two options, you can see that the immediate conduct of an offensive campaign would lead to disaster. The will to fight is a somewhat intangible element which your forces clearly lack and which the Texans clearly possess. Your recommendation in a Personnel Estimate must clearly address these factors and offer a balanced approach. Given the attitude of your superiors, to recommend a delayed approach is fraught with personal danger for you, yet to do otherwise would surely lead to disaster (and it did in the "real world" application which took place in 1836).

Summary.

This lesson has taken the basic concept of the Personnel Estimate and applied it to activities at the higher management level where decisions rendered have much greater consequences. In the future you as a personnel manager are likely to serve in a position on the staff of division or higher levels. There your personnel staff recommendations will have a direct impact on the lives of large numbers of soldiers. The Army expects you to weigh the information available carefully and thoroughly despite severe time constraints and to reach conclusions which you can support and which will ultimately assist the commander in achieving victory. By using the information we present here, coupled with the experience you will gain in future assignments, you will be able to meet this challenge.
Read the following situation and use that information to answer the items in this Practice Exercise. Check your answers with the answers that follow.

Situation. You are Captain Willis, Assistant G1 for the 54th Infantry Division (Mechanized) at Fort Atterbury, Indiana. You are preparing a draft of a Personnel Estimate for submission to your superior, Lieutenant Colonel Jackson, the G1, as part of a field training exercise (FTX).

1. As you begin preparing the Personnel Estimate, you are aware of the requirement for careful professional coordination. With which of the following leadership officials must you closely coordinate as you prepare your draft estimate?
   A. Captured colonels and above.
   B. Brigade S1.
   C. Division G3.
   D. Local mayor.

2. As you put together your Personnel Estimate, you are particularly concerned that your estimate is both accurate and supportable. Which of the following serves as the baseline for evaluation of the command's actual personnel condition?
   A. Unit readiness posture.
   B. Unit strength information.
   C. The troop preparedness situation.
   D. The daily personnel summary report.

3. As you review source documents for strength information, the G1 inquires about troop morale considerations. In what report do you look to determine if fighting between soldiers and townspeople impacts on morale once the town is place "OFF LIMITS?"
   A. Gain and loss report.
   B. Health services report.
   C. Provost Marshal report.
   D. The daily personnel summary report.
4. On the troop preparedness situation portion of the division Personnel Estimate, to what does soldier personal readiness refer?

A. Unit strength level.
B. Gain and loss estimates.
C. Soldier support services.
D. Morale and esprit de corps.
Compare your answers to the following solutions. If you answered any item incorrectly, review the page(s) and paragraph(s) referenced until you understand the instruction.

<table>
<thead>
<tr>
<th>Item</th>
<th>Correct Answer and Feedback</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>C. Division G3.</td>
</tr>
<tr>
<td></td>
<td>The members of the personnel management team must closely coordinate with principal staff officers, and the G3 is a primary staff official. Staff coordination is critical to ensure that the estimate incorporates all necessary information and thus clearly answers the commander's needs. Battalion and brigade &quot;coordination&quot; with the division personnel management team takes place before the actual preparation of the estimate. (page 52, para 3)</td>
</tr>
<tr>
<td>2.</td>
<td>B. Unit strength information.</td>
</tr>
<tr>
<td></td>
<td>This aspect of the troop preparedness situation details the availability of soldiers for combat and support in comparison with authorization levels. This combined feature offers a clear view of how the staff of the division meets demanding combat requirements. (page 49, para 3)</td>
</tr>
<tr>
<td>3.</td>
<td>C. Provost marshal report.</td>
</tr>
<tr>
<td></td>
<td>Provost marshal reports deal primarily with disciplinary problems, whether serious or minor. Discipline problems are one clear indication that morale is low and deteriorating. (page 50, para 5)</td>
</tr>
<tr>
<td>4.</td>
<td>D. Morale and esprit de corps.</td>
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<tr>
<td></td>
<td>This aspect of troop preparedness deals with the soldier's will to fight and the strength of his commitment to his unit and its goals. Low morale and a lack of esprit de corps are indicative of little commitment. When commitment is lacking, the soldier is not likely to respond effectively. (page 54, para 3)</td>
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</table>