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JOURNAL OF THE AUSTRALIAN NAVAL INSTITUTE

AUSTRALIAN NAVAL INSTITUTE INC

The Australian Naval Institute Inc was formed and incorporated in the Australian Capital Territory in 1975. The main objects of the Institute are:

a. to encourage and promote the advancement of knowledge related to the Navy and the maritime profession,

b. to provide a forum for the exchange of ideas concerning subjects related to the Navy and the maritime profession, and

c to publish a journal.

The Institute is self-supporting and non-profit-making. All publication of the Institute will stress that the authors of articles express their own views and opinions and that these are not necessarily those of the Department of Defence, the Chief of Naval Staff or the Institute. The aim is to encourage discussion, dissemination of information, comment and opinion and the advancement of professional knowledge concerning naval and maritime matters.

The membership of the Institute is open to:

a. Regular members. Regular membership is open to members of the RAN or RANR and persons who having qualified for Regular membership, subsequently leave the Service.

b. Associate Members. Associate Membership is open to all other persons not qualified to be Regular members, who profess an interest in the aims of the Institute.

c. Honorary Members. Honorary membership is open to persons who have made a distinguished contribution to the Navy or the maritime profession, or by past service, to the Institute.

Membership fees are kept to a minimum, commensurate with the need for the Institute to remain self-supporting. The joining fee in 1988 is $5.00 and the annual subscription is $20.00. As of 1 January 1989 the joining fee will be abolished and the following new subscription rates implemented.

	Annual	*2 years*	*3 years*
Members			
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A copy of the quarterly journal is sent free to all financial members. Fees fall due annually on 1 January.

Inquiries and applications for membership should be directed to:

The Secretary
Australian Naval Institute
PO Box 80
Campbell ACT 2600

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HMAS *Darwin* with U.S.N.
Seahawk helicopter on flight
deck. Date: unknown.
Photo U.S.N.

FROM THE PRESIDENT

The success of Rear Admiral Hill's presentation on 20 April 1988 suggested that we should repeat the exercise. Accordingly your Council has proposed the establishment of the Vernon Parker Oration. Mrs Brenda Parker has agreed to this proposal.

The late Commodore Vernon Parker was the first President of the Institute and in the early days, very much the driving force behind it. The Oration will be a very appropriate way of remembering him. It will be an occasional address, by an eminent speaker, on a subject relevant to the principle aim of the Institute which is the advancement of knowledge related to the Navy and the maritime profession. I hope it will provide ANI members with the opportunity to hear public figures, both national and international, who are leaders in the defence or maritime defence field.

To signify its importance, the Oration will be a public and very special event. It will be arranged only when a suitably eminent speaker is available and the speaker will be presented with an appropriately engraved Australian Naval Institute Silver Medallion.

I hope the Institute will be able to stage the first Vernon Parker Oration in the not too distant future. I will keep you posted.

Some months ago, your council asked the Commanding Officer, HMAS *Harman* if an office space could be made available to the Institute for the Office Manager. Captain Jeff Foot has agreed to the proposal and given permission for the Institute to use a room in his establishment's Main Administration Block. I thank him for his generous support.

The Office Manager, Commodore Daryl Fox will attend his office on Tuesday and Thursday forenoons. He can be contacted through the *Harman* exchange (80 1211). I will advise his office telephone number when this is finalised. The Institute's mail address will remain unchanged for the time being.

Despite these developments the main focus of the Institute remains on the Journal. Please think about contributing.

Sincerely,

Ian Callaway

FROM THE EDITOR

This is my first editorial effort for the ANI and I hope the articles will give you the same reading pleasure as they have given me. What may have appeared a daunting task was made somewhat easier by the assistance of the previous editor and committee members. Thank you! I have not forgotten the authors — without their contribution and sacrifice this Journal would not continue to be the fine one it is. Whilst not all articles received are published it does not follow that they are unworthy; it may be that the ANI journal is not the most appropriate vehicle for publishing the article. If the journal is to continue at a high standard and reflect a balance which readers desire, then I need to receive plenty of contributions. Do not think you have nothing to contribute, this is your Journal.

You will observe that the journal is now only 64 pages (including the cover). The reason for this is economy. Larger editions may result — if the number of articles received increases or a particular theme warants it. For those wishing to contribute articles please note in your diary that I would like to receive your effort by the first working day of the month prior to publication (that is, Oct, Jan, Apr, July.)

There has been some minor changes to the Journal. The 'Correspondence' column has been retitled 'Letters to the Editor', the purpose being to encourage critical, thought provoking letters. Most letters should be published — if not in the Journal immediately following then as soon as practicable.

Congratulations go to LCDR Mike Brice, for his award of the ANI medallion — awarded to the author of the best Maritime Strategy essay from the previous RANSC course — and I thank him for allowing publication of the article in this journal (see page 7). The article by CMDR G. Cutts, RANR (see page 45) is the first of two parts. It is interesting reading and for those who agree or otherwise please put pen to paper!

Before I close, could those authors who submit articles with accompanying diagrams please note that diagrams need to be clear and show sufficient contrast.

Cheers

Don Agar

LETTERS TO THE EDITOR

Dear Sir,

In the previous issue of the journal the President stated that the Council had set the major objective for 1988 as "the production of a professional journal". Although it is the principal activity of the ANI, I wonder if we have our priorities right.

To my mind the most important challenge facing the ANI today, is to attract more young members. Without them the Institute will lose its vitality, stagnate and eventually become moribund.

At what stage are we now? Judging by the absence of journal articles and challenge of conventional wisdom, the lack of interest and poor participation in Chapter activities, we are well down the path to stagnation. This is not to suggest that the membership should be in a constant state of ferment, but we must at least be ready to challenge current thinking even the most hallowed concepts, voice new ideas and take an active role. That sort of dynamic debate seems to have died within the ANI and we should be asking ourselves why.

I raised the subject at the last Council meeting and received a degree of support. However, the final commentary was that it had all been said a couple of years ago and nothing had changed; what did I propose should be done? Well, there is no pat solution to be offered. The answer lies in our attitudes and they are not changed simply, easily or by a decision of the Council.

Firstly, there are a few activities to attract younger members. For the most part we are content to receive our copy of the journal and leave everything else to the few enthusiasts within the ANI. They struggle to organise forums for debate and engender interest amongst the members, but eventually even the most hardy are crushed by the apathy of the rest of us (I include myself in this latter category as I was a member for ten years before taking a more active role). So the first change required is for the bulk of the membership to actively participate in what, is after all, their Institute.

The more difficult and challenging task is to actually encourage open debate. We are beginning to reflect attitudes prevalent within the Service: sheltering behind the facade of rank, or position, and clinging to the party line' when faced with difficult or challenging questions. What possible incentive is there for a young officer, let alone a sailor, to join a professional body within which his opinions are likely to be stifled?

The ANI is not an organ of the Royal Australian Navy. It was not formed to echo Service policy. If it is to progress in the longer term we must get off our high horses, stimulate a free thinking debate and truely welcome the input of younger members. Maybe then we will attract the fresh blood that the ANI so badly needs.

W.A.G. Dovers
ANI Councillor

Dear Sir,

I am very lucky the other day to be sent a copy of 2 articles by Neil Grano. Since then I've found that a number of people over here know about that convoy's destruction — my landlord for instance.

I do hope the story will be continued. We are all wondering what happened next to Neil.

Wendy Harrington
(United Kingdom)

Dear Sir,

A great deal has been appearing in the media in recent months about the increasing resignation rate affecting the armed services. It could be as high as 13% in the 1987–88 year.

CDF chief, General Gration said that the difficulty was that the services continue to attract very talented people and give them an excellent training which makes them a most attractive proposition in the general marketplace. (Weekend Australian 21-5-88)

While many articles and reports in the public media continue to paint a very black picture, there seems to be very few solutions being offered. The recent "one off" payment of $70 000 to pilots to stay in the Air Force for a further six years is a pragmatic solution to a particular situation. The Government seems to be making it very clear it is a "one off thing". Some of the articles give lists of why people choose to leave, but what I have not seen is an analysis of why people want to stay.

About six years ago, a study in Britain reported on why people stayed in or left their particular jobs. It found that the principal reasons for dissatisfaction were related to finance, personal problems, often associated with the family, and finally the environment in which they worked. The reasons why they were satisfied with their positions were mainly that the job gave them a sense of purpose, had good prospects for the future, and was rewarding. Financial considerations did not rank very highly under the heading of "rewarding". In my limited experience of personnel management I have found this insight most useful. When staff came with a complaint and wanted to leave, it was rarely sufficient just to meet their particular complaint. Sometimes the solution lay in an area which was not closely related to the complaints that were made.

Hence I would like to see some discussion on why people choose to stay in the Services which might offer some more optimistice solutions to the resignation rate problems. It is unlikely that anyone has all the answers, but just now 13% seems a little high.

M.A. HEAD
(CANISIUS COLLEGE
PYMBLE NSW)

WASHINGTON NOTES

by Tom Friedman

At the RSL Luncheon following this year's Anzac Day service in Washington, the Australian Defence Attache, Air Vice Marshal Ian B. Gration, RAAF, inserted a serious note into the otherwise convivial proceedings. The Air Marshal noted that, while the Australian government has been providing large sums for the procurement of defense equipment, funds to pay for the quality manpower necessary to run today's advanced weaponry has not been forthcoming. Weapons, he reminded his listeners, are only as good as the people manning them.

The United States Armed Forces have made spectacular gains in the procurement of hardware since the end of the Carter administration. During the same period, pay and allowances have shown a steady increase. Additionally, the services have regained much of the status and prestige they enjoyed from the end of World War II through the middle of the Vietnam War. The jury is still out on many of the weapons systems that have been procured, but the general consensus is that manpower in the services has undergone a renaissance.

The armed forces have been natural recipients of the renewed patriotic fervor that President Reagan has promoted. The all-volunteer force, which many predicted would become the dumping ground for society's misfits, has proven to be just the opposite. The services now consist of better educated and more highly motivated people than ever before. They are lead by officers who are among the most intelligent, effective, experienced, and loyal individuals who have ever worn a uniform.

Demand for places in the armed forces is so high that some branches are turning away qualified recruits. Ninety three percent of all enlistees have high school diplomas, up from 68 percent nine years ago.

Leading this better educated force are some of the most talented people in the country. There were some 15 applicants for every place in this year's plebe class at the Naval Academy, up from nine applicants for every place a decade ago. College entrance examination scores of entrants to the service academies place the Naval Academy ninth, the Air Force Academy 14th, and the Military Academy 17th among all colleges and universities in the nation.

An advanced degree is becoming increasingly important in order for an officer to progress up the career ladder. Almost 60 percent of career Air Force officers and 25 per cent of all Army officers have advanced degrees. In a recent study cited by *U.S. News and World Report* comparing 163 Army brigadier generals to 139 to corporate executives, an amazing 97 percent of brigadiers had earned advanced degrees, while only some 30 percent of the business executives held avanced degrees.

With better education has come better discipline. The Army's AWOL rate dropped from 27.3 per 1,000 in 1982 to a mere 1.2 per 1,000 last year. Navy dessertion rates have also fallen dramatically. Random drug tests throughout the services in 1982 showed that 27 percent of those tested were using illegal substances. Last year, a similar survey showed that only 3 percent of those tested positive. Consumption of alcohol to the excess, which was once "winked" at, can now damage a career. Even smoking is discouraged and is banned in parts of many installations.

Racial minorities make up over a quarter of the services and almost 7 percent of the officer corps. Statistics show that blacks occupy more managerial positions in the armed forces than in any other sector of American society.

Much of the improved esprit d'corps in the services stems from the fact that the government is making an effort to maintain the real effect of the pay raises that were given early in the Reagan years. Pending legislation provides for a 4.1 percent increase in military pay which will provide for at least some modest growth after inflation.

There is one area, namely the continuing conflict about the role of women in the military, that somewhat clouds this otherwise sunny picture.

Women now make up some 10 percent of the active-duty forces. By law, they are forbidden from front line duties. Women now stand watches with men in launch-control facilities of Minuteman missiles. They serve in aerial tankers, communications and service units, and chemical warfare units. Women helped repair the USS *Stark* in the Persian Gulf. At places like Bataan and Corregidor, nurses were at the front line. In fact, nurses have never needed to go the front. The front always comes to them.

What is the "front line?" Certainly manning nuclear missiles is the ultimate front line. How far behind the lines can a communications command or chemical warfare unit be and still serve its assigned functions?

The answer to where the "front line" is in modern warfare has become so blurred that it is virtually impossible to delineate. Even in jobs that retain traditional support functions, male commanders concede that it would be impossible to go into combat without the women in their commands.

Women work effectively in the "front lines" of police forces throughout the country and share the same physical risks as their male counterparts. The time has come for the Congress to realize that the role of women in society has changed and that prohibiting women from front line duties may effectively create parallel and inherently unequal career paths in the services.

Air Marshal Gration is right. Weapons *are* only as good as the people manning them. From the nadir of Vietnam, the US Armed Forces have been recreated from the gound up. We can only hope that the weapons we have purchased are as good as the people have to serve them.

RAN STAFF COLLEGE MARITIME STRATEGY ESSAY: ANI MEDALLION AWARD

'DEFENCE IN DEPTH' AS A CONCEPT OF MARITIME STRATEGY FOR AUSTRALIA

by Lieutenant Commander M.G. BRICE, RAN

'It is a doctrine of war not to assume that the enemy will not come, rather to rely on our readiness to meet him; not to presume that he will not attack, but rather to make one's self 'invincible'.

SUN TZU (400 — 320 BC)

Both the Dibb Report and the 1987 White Paper entitled 'The Defence of Australia' emphasised the need for self reliance, a similar though dormant strategy of a defence information paper published some ten years earlier. The strategy of self reliance would be based on the concept of 'defence in depth' in which the potential enemy would need to pass through layers of defence prior to establishing a foothold on the Australian mainland. Even here a further layer would be available to extract the maximum penalty from the attacking force.

Self reliance in defence is not new to Australia. The concept of defence in depth however represents a significant shift away from the previous attitudes of governments and defence planners. In so doing it provides positive and welcome guidance for Australia, its allies and neighbours. This paper will show the evolutionary change in Australia's defence attitudes, how the current strategy will apply in a maritime context and the possible impediments to the implementation of the concept.

HISTORICAL BACKGROUND

'Most nations forced by circumstances to depend on a protector try to maximise their independence. Australia's peculiarity is that it has tried to maximise its dependence.' (1)

Astronomical Twilight

From initial settlement until the mid nineteenth century there was virtually no naval force in Australia for defence. The Crimean War however brought the prospect of a Russian expedition from Vladivostock and in consequence each of the Australian states took action to form its own navy. The make up of these forces tended to reflect the limited resources of the States and their generally defensive nature. *HMVS Cerberus* for instance sailed from Britain to Victoria yet for the next half century remained within the confines of Port Phillip Bay.

In 1858 the Admiralty formed the Australian Station as part of the Pax Britannica chain of sea power which stretched from Britain to New Zealand. Later, Admiral Tryon endeavoured to gain subsidies from the states for this defence and at the same time sought to secure recruits for the Navy in the belief that:

> 'It is not a mere subsidised force that will do what is wanted. It is not only money that is required to produce effective forces but the personal service of our countrymen all over the world.' (2)

This was no less than an Anglicised version of the Guam doctrine posed nearly a century later.

One of the primary reasons for Federation was the defence of Australia and with the establishment of the Commonwealth in 1901 the new Commonwealth Government took over each of the States' forces. The Admiralty continued to maintain a Squadron in Australian ports however these ships remained free to be employed in the Pacific and Indian Oceans as required by Britain.

The author

LCDR Brice joined the RAN in 1964 and began his career as a Naval Artificer apprentice. He was commissioned in 1977 and has had postings to *HMAS Melbourne, MHAS Cerberus, HMAS Harman* and *HMAS Parramatta.* He was posted to Navy Office as Staff Officer Special Projects, Campbell Park on completion of his RAN Staff Course.

Navigational Twilight

At the 1909 Imperial conference it was agreed that Australia should have its own fleet. Most of the ships would be constructed in the U.K. though at least one cruiser and three destroyers would be built in Australia to boost the defence shipbuilding industry. In 1910 Australia formulated the defence policy to which she adhered through both the world wars. This included the following point, 'When in war time ships are put at the disposal of the Admiralty they automatically become an integral part of the Royal Navy and remain under Admiralty control as long as the war may last.' (3)

Although controlled by the Commonwealth in peacetime, the ships took their oders from the Admiralty when on foreign stations, following the King's Regulations and Admiralty Instructions for training, discipline and promotion and flew the White Ensign which compelled recognition of their status as part of the Royal Navy.

In 1911 the title of Royal Australian Navy (RAN) was conferred and the Commonwealth Naval Board formed. The visible sign of defence self reliance — the new Fleet — arrived in October 1913 to a tumultuous welcome. By virtue of the maritime nature of settlement, its geography and available resources, the determination of the Government and now the possession of the fighting instrument, Australia had become a Sea Power. But Australia had not become a sea power in her own right; rather the RAN had been established as an extention of the Royal Navy. In the ensuing war, first near home clearing up the South West Pacific, and soon afterwards by returning to Europe as part of the protection of "the homeland", the fledgling RAN fulfilled its role as a part of the British strategy.

Victory was followed by the treaties and depression of the 20s and 30s. This significantly reduced the size of the Australian 'fleet-in-being' until the next war threatened. Somewhat expanded by 1939 a large proportion of the RAN set off for Europe — once again to defend 'the homeland'. Even after the Second World War Australia continued to use its ships to fight battles away from its own shores though the war zones were becoming progressively closer and away from the traditional areas. The RAN contributed to the Korean conflict, the Borneo confrontation and Vietnam, each time volunteering forces to aid an ally, and in consequence projecting power within the Asian region.

The late 1960s saw Australia's peacetime maritime strength at its greatest with a carrier and fixed wing aircraft, good sized gunships, antisubmarine frigates and a submarine force of its own. At the same time our allegiances altered from the shrinking presence of Britain to the economic reality of South East Asia and the powerful umbrella of the United States. At no time had Australia fought a war on its own behalf, rather it had volunteered forces before being asked to provide them, either to Britain, the United Nations or allies.

The Cold and Unremitting Dawn

Since the ignominious conclusion to the Vietnam conflict the Defence Forces have been inflicted with a profound lack of direction. The national character and government, critical of the presence of Australian forces in someone else's war, turned away from the military and for more than a decade distrust, introspection, parochial attitudes and financial constriction beset the Defence Force. The concepts and assets for contributing to decisive battles, protecting an ever diminishing fleet of national flagged vessels and posing a presence overseas were slowly whittled away as the lack of a credible threat became more obvious.

Without a threat, defence planning resortyed to a 'core force' appracoh which would be a basis for expansion. At the same time, 'It should be capable of meeting any short term, low level contingencies that could come without warning'. (4) The adoption of a low level conflict scenario for Exercise Kangaroo 83 gave opportunities for civil-military co-operation, defence of remote areas of northern Australia and joint operations. In these activities it provided a focus in the slow evolution of Australian defence policy.

PRESENT PREDICAMENT

The Country and Region

Australia has no territorial aspirations. The most recent addition to the Commonwealth has been achieved not by conflict but by the desire of the citizens of the Cocos Islands to be part of this nation. This action of amalgamation rather than separation from a colonial power, sets a precedent on the stage of world affairs and demonstrates the inherently stable nature of our democracy.

Australia's declared area of primary strategic interest covers approximately one tenth of the world's surface. The area has a multitude of large and small states with many having only recently made the transition from colony to independent nationhood. Most of these countries have inherent political instability as they wrestle with the concept of western democracy and blend it to their own styles. In addition, many face conflicting pressures, such as the superpowers intent on getting sole access rights, economies which don't match the expectations of the citizens or from the need to protect resource zones despite not having the means.

Sunrise

Repeated assessments and announcements have indicated that there continues to be no credible threat to Australia. Planning for the composition of a defence force becomes exponentially more difficult as the risk of conflict diminishes, especially when the size of the area to be defended and the resources to achieve it are disproportionate as in Australia.

The 1987 Defence White Paper is therefore an extraordinary document and represents a cornerstone in Australia's strategic posture. From the four arms of the Defence Force (the ADF and the Department) has come a blueprint for the future of the nation's defence, which, besides having been greeted without alarm (and indeed with some relief) by our neighbours and allies, has satisfied the majority of the military. More surprisingly, the new strategy entails the use of virtually the same hardware and financial appropriation already current or planned for the defence inventory. It remains flexible to differing levels of threat and yet is capable of expansion in any required facet.

The one aspect which has been altered (and thus allowed the White Paper to be formulated within current resource constraints) is the shifting of the country's strategic posture from the historical 'forward defence' and 'core force' concepts, to one of 'defence in depth'.

Why Defence in Depth?

Given the increasing complexity and thus cost of modern arms, the receding presence of previously prominent and powerful allies, the lack of a credible threat and the country's unique strategic and geographical features, Australia has been forced to develop a posture which incorporates defence self reliance in an affordable combination.

There are a number of definitions for the term 'defence in depth'. The French have used it to mean the projection of force to a considerable distance away from a facility or installation. There appears to be no previous naval connotation, rather the term seems to have been borrowed from the military. Jane's Dictionary of Military Terms refers to it as 'The siting of mutually supporting defence positions to absorb and progressively weaken attack . . .' Other interpretation include the use of a 'Militia in Resistance' to support the regular armed forces,(5) and, the technique of dispersing forces in reserve to progressively halt an aggressor.(6) Marinization of the previously landlocked term would appear not to be difficult provided the inherently mobile nature of the forces employed is taken into account.

The White Paper interpretation of 'Defence in Depth' proposes three layers of defence activity. First there would be sound intelligence interest. Initially, this layer would incorporate the use of Long Range Maritime Patrol (LRMP) aircraft, submarines and surface ships. Ultimately the currently developing Over The Horizon Radar (OTHR) will form the basis of the surveillance task supplemented by the LRMP aircraft and surface ships for identification and interception. The surface ships will have helicopters embarked to significantly increase their surveillance capability. Later, Airborne Early Warning and Control (AEW&C) aircraft may be added to the inventory.

The second layer involves the defence of the sea and air gap surrounding the continent. On the surface will be ships of three broad levels or tiers of capability:

a. Tier one will comprise high capability ships (DDGs and FFGs) with good sensors, a high degree of survivability and the ability to integrate with allied forces if required.

b. The second tier will consist of a new class of vessel — the light patrol frigate — with lesser capabilities than the tier one ships. It will be able to operate throughout Australia's area of direct military interest and complement the first level ships.

c. Patrol boats for coastal operations will make up the third tier. Primarily defensive, these vessels will replace the Fremantle class boats and also be able to undertake fisheries patrol and law enforcement work.

Further defence will be provided by submarines and the F/A-18 and F-111 maritime strike aircraft. A number of Boeing 707 aircraft are also being modified to provide in-flight refuelling facilities, thus extending the range of the strike aircraft.

Mobile land forces will form the third layer of defence, supported by surface to air missiles, tanks, artillery and elements of the maritime forces such as amphibious forces and surface combatants with their naval gunfire support (NGS).

The force in being provides for sufficient power to demonstrate the country's determination to maintain its national sovereignty during a low level and escalated low level threat. Higher levels of conflict would require greater amounts of national involvement and probably the assistance of allies.

As a concept of military strategy, the 'defence in depth' posture would appear to be the most suitable for Australia when assessed against the existing global and regional power balances and the potential capabilities afforded by the nation's enduring features and human resources.

CRITICISMS OF THE CONCEPT

Strategy is a simple art, it's just a matter of execution.

Napoleon

While the White Paper described in detail the intended policies, priorities and programmes for the defence force, there are a number of areas which may be rather difficult to execute within the current economic, bureaucratic and industrial climates. The virtues and otherwise of the concept of defence in depth are discussed hereafter.

Sunshine

Publication of the concepts of 'self-reliance' and 'defence in depth' has provided defence planners, neighbours and allies with the direction toward which Australia will head for the foreseeable future. The concepts are welcome because they give foundation to future projects and put paid to wasted effort in development of unlikely schemes. The force structure can now be determined and interlocking defensive and offensive weapons, sensors and platforms planned for and procured.

By utilising layers of capability within the layers of defence, the ADF is provided with a flexible range of weapons which can be used in our own defence and to support Australia's regional role. The capabilities intended also provide a good expansion base in times of higher level conflict.

The defence in depth concept caters for naval activity within the area of Australia's primary strategic interest. Deployments of ships outside this region to, say, Lumut in Malaysia and points further north or even east towards Hawaii, can continue to be undertaken in peacetime, thus allowing ships to operate for protracted periods well removed from Australia. In this way experience in three of the basic functions of the Navy, those of exercising with allies, providing naval presence and supporting the diplomatic initiatives of the nation can be achieved.

One of the benefits of stating the new concept is that it defines the extent of the nation's military affairs and so lends assurance to regional neighbours regarding territorial ambitions and political influence. At the same time the concept should act as a deterrent to any but the most sophisticated potential aggressor by demonstrating the capabilities and hazards to be met during any attempt to attack Australia.

Opportunities for Industry

Within the White Paper there are a wealth of opportunities being presented by the Government to private enterprise which should provide impetus and revitalization to some of the nations stagnant industries. The determination by government to build the ANZAC frigates and Type 471 submarines in Australia will ensure that costs, employment, facilities and support infrastructure remain in country. The size of these projects and the ongoing programmed maintenance to the vessels built, should enhance the concept of self reliance by the development and sustentation of local ancillary industries. It is hoped that one returned benefit will be a rise in productivity within the shipbuilding industry, pursuant to the offer of such large and ongoing projects to Australian yards rather than those overseas.

The development of the new strategic posture has brought with it a closer inspection of the Merchant Service. With only 3% of exports and imports being shipped in Australian flagged vessels there exists a danger of isolation in the event of higher levels of conflict. Furthermore, the awareness that the cost of the services of foreign flagged vessels is near equal to the annual appropriation for the defence of the country, may spark a drive to recoup some of the costs by becoming more involved in the shipping industry. This would require the Government to support the improvement of both the shoreside and seagoing infrastructures of the trade — areas equally as embroiled in poor work practices and over-unionism as ever the ship building industry was until the recent privatization.

With a clear and universal defence objective endorsed within the new strategy, the way ahead seems ripe for greater joint planning and the increased sharing of facilities between services. Duplication of command structures with equivalent rank appointments between like elements of the services, especially within small musterings, should be reviewed to overcome the seemingly increasing tendency towards a top heavy hierarchy. Similarly the recent appointments of Joint Force Commander and the Norcom arrangements need to be carefully screened to ensure that the Armed Forces are growing more streamlined rather than parochially satisfied.

Nations have passed away and left no traces
And history gives the naked cause of it —
One single simple reason in all cases;
They fell because their people were not fit.

Kipling.

Clouds

The defence in depth concept relies very heavily on highly effective intelligence and surveillance capabilities. In a regional sense, the lack of warning prior to the Fiji crisis provided an example where this reliance was unrewarded. Closer to home, the continuing wrangle over who is responsible, and who will pay for coastal surveillance gives little cause for faith especially when the effort devoted and the size of the task are compared with the results achieved.

In his Ministerial Statement of 22 March this year the Defence Minister reviewed the progress made in making self reliance a reality for Australia. Much of the equipment required to achieve self reliance remains in a state of development. This gives no guarantee of achieving the extent of success either hoped for or necessary for it to fulfill its role within the defence inventory. The towed acoustic array, the minehunter catamarans, the over the horizon radar (Jindalee) and Project Nulka are examples defined as being in the development stage.

The amount of air support received during exercises is not being achieved to the extent felt necessary by Navy to train the Fleet. Air Force on the other hand have a huge problem with the diminishing number of pilots available. Even with the appropriate number of pilots and in-flight refuelling, the ability of the RAAF to meet all of its F/A-18 maritime strike obligations, well removed from land, is in considerable doubt. This situation demonstrates the fragility of rationalising types of weapons and equipments too severely with the attendant result that a failing in one area is rapidly felt in another.

Much of the Naval structure has been pruned to give up manpower for new projects (from *HMAS Yarra* and *Vampire*, landing craft, establishments and some communications facilities). In consequence the ability to 'conduct operations concurrently over widely dispersed areas' (7) in accordance with the 'defence in depth' concept, is significantly reduced. This situation will continue until the major equipment projects, presently underway or planned, end with the provision of their labours and return of their manpower.

The White Paper postulates that any threat to Australia will come from the north. To this end an increased presence by both Army and Air Force are planned. Navy however has its main force at Sydney on the south east coast and is currently planning to move half the fleet to Fremantle, a point on about the same latitude. Given that it is a week's steaming time from either port to Darwin it would seem realistic to have a plan for basing or supporting vessels larger than patrol boats in the northern area. None is proposed.

Manpower poses a significant threat to the concept of defence and national self reliance. Without adequate manpower there will be insufficient depth of arms to repel an aggressor and thus the defence strategy will be liable to fail. Current manning problems within the three services are to some extent the result of the cyclical emphasis of defence planning on capital equipment acquisition, operating resources and personnel costs. Whilst personnel costs have always been the largest single factor in defence expenditure, the current accent on equipment procurement has reduced the personnel share. Personnel are either leaving the Service or being posted to project teams in such numbers as to reduce the effectiveness of equipments, and ships — sufficiently to cause a review into Fleet efficiency.

The decision to base half the Fleet on the west coast of Australia may or may not be strategically sensible. (8) It does however exacerbate the previously outlined manpower problem. At a time when there is serious consideration being given to the amalgamation of even the larger shore establishments in order to save on manpower, it seems wrong to be splitting the Fleet. To this should be added the impending problems of command and control, communications and logistics between east and west costs.

Diminishing oil resources will steadily affect the propulsion machinery and ranges of naval vessels. This in turn will pressure the defence concept by restricting arcs of combat to reduced distances from the mainland, thus affecting the depth of defence presented to the aggressor. To this end, investigation into the virtues of nuclear propulsion should at least be considered — after all a nuclear propelled vessel does not have to be nuclear armed.

Although the present Government has provided a credible posture for the defence of the nation, political expediency, increasingly erratic electoral swings between political persuasions and the lack of political will during times of crisis each have the potential to detract from the present firm guidance. This is a factor associated with democratic governments from which the Department of Defence may not always be buffered. It does however highlight a threat, more especially if disputes involve an ally or economic partner as a third party.

A great threat to Australia must be the maintenance of sovereignty over the islands distant from the mainland. Even with the new defence strategy, the loss of these outlying assets will pose a severe strain on the ADF to regain possession. Diplomatic efforts will need to take precedence in these situations. Antarctica has treaty obligations which virtually remove it from the Defence gambit.

CONCLUSION

In the absence of a credible threat Australia's defence in depth maritime strategy has been tailored to suit the resources available and the expanse of the ocean for which we have claimed responsibility. The definition of levels of conflict, the layering of the defence between a potential enemy and the mainland and the designing of naval assets to cater for the factors represent a somewhat contemporary strategic stance. It is however a realistic balance of technology, affordability and the need to demonstrate a willingness to defend the national interests.

Australian defence has evolved through the progression of individual State protection, colonialism and forward defence. From a fear of the impending Russian presence to a regional stance utilising the unique advantages presented by the size, location and geography of the continent. We have no territorial ambitions, seeking only to defend what we have, to contribute to regional stability and to support our allies in the reduction of world tension. To achieve these aims a sound maritime defence element is needed.

The initiatives contained within the White Paper were intended to be implemented over a 10 to 15 year period. Given this time to develop and to overcome the detrimental aspects outlined, the concept of 'defence in depth' should remain a successful maritime strategy for Australia.

Notes and Acknowledgements

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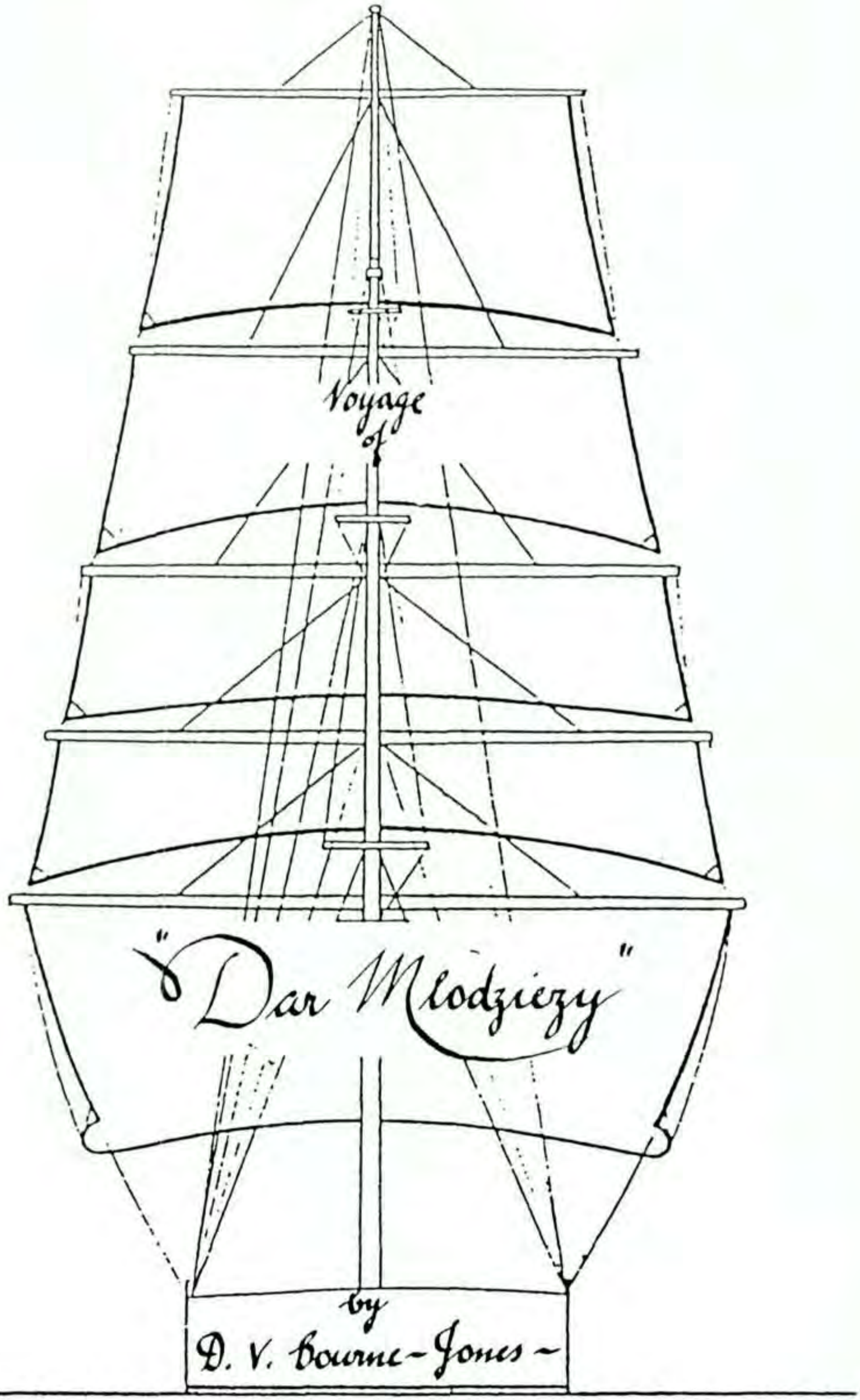

Voyage of
"Dar Mlodziezy"
by
D. V. Bourne-Jones ~

S/V "DAR MLODZIEZY"

SPECIFICATION SHEET

FLAG:	POLISH
OWNER:	MERCHANT MARINE ACADEMY, GDYNIA, POLAND
PORT OF REGISTRATION:	GDYNIA
RIG:	THREE MASTED FULLY RIGGED SHIP

HEIGHT OF MASTS ABOVE WATER LINE

FORE MAST:	49.5M (162.4 FT)
MAIN MAST:	49.5M (162.4 FT)
MIZZEN MAST:	46.5M (152.6 FT)
GROSS TONNAGE:	2384.85 TONS
NET TONNAGE:	335.37 TONS
DISPLACEMENT:	2946.00 TONS
HULL COLOUR:	WHITE
HULL MATERIAL:	STEEL
LENGTH OVERALL (L.O.A.):	108.6M (356.0 FT)
LENGTH WATERLINE (L.W.L.):	79.4M (260.5 FT)
BOWSPRIT LENGTH:	10.05M (32.97 FT)
KEEL TO DECK:	14.0M (45.93 FT)
BEAM	14.0M (46.0 FT)
DRAFT:	6.5M (21.3 FT)
FREE BOARD:	2.1M (6.8 FT)
SAIL AREA:	2936 M^2 (31603 FT^2)
NUMBER OF SAILES:	26 (REFER DIAGRAMS OVERLEAF)
LENGTH ROPE TO RIG VESSEL	12.0 km

SHIP'S CREW

OFFICERS:	14	INCLUDING CAPTAIN, CHIEF OFFICER, 1ST, 2ND AND 3RD OFFICERS, DOCTOR, PURSER, CHIEF STEWARD, RADIO OFFICER, CHIEF ENGINEER
CREW MEMBERS:	28	INCLUDING 4 BOSUNS, SAILMAKER, COOKS, MOTORMEN
TEACHERS:	5	COVERING NAVIGATION, METEOROLOGY, ENGLISH ETC.
CADETS:	150	

DRINKING WATER:	45 DAYS OF SAILING
FUEL CAPACITY:	15 DAYS OF SAILING FOR MAIN ENGINE 45 DAYS OF SAILING FOR GENERATORS
MAIN ENGINE:	2 X TYPE 8AL20/24 SULZER
ENGINE POWER:	625 KW (2X750 BHP)
MAX SPEED UNDER ENGINE:	11 KNOTS

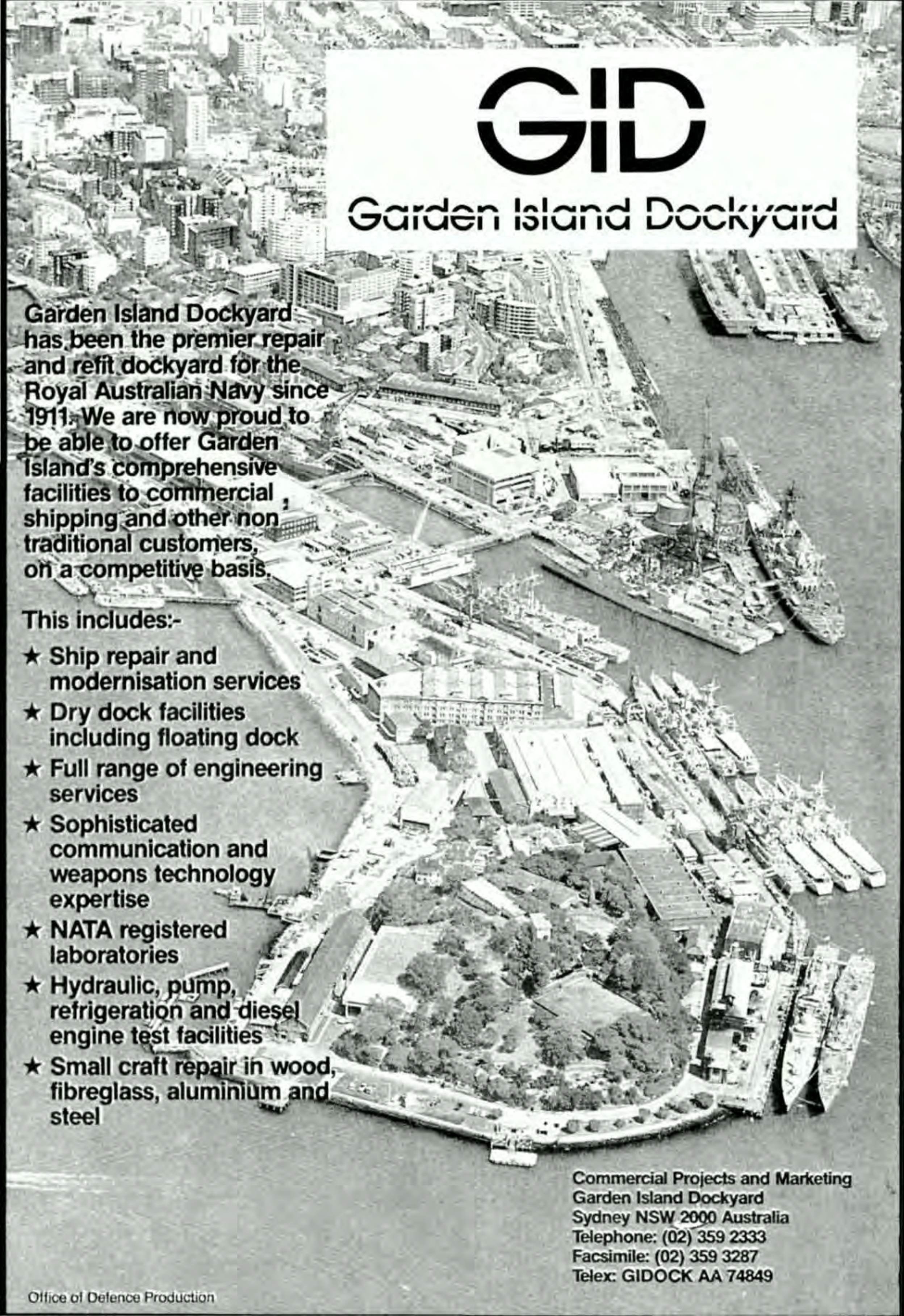
DISTANCE COVERED ON THE PRESENT VOYAGE TO AUSTRALIA: 16,100 NAUTICAL MILES

RECORD RUN:	FOR 24 HOURS:	302,4 NAUTICAL MILES
	FOR 4 HOURS WATCH:	57.8 NAUTICAL MILES

MAXIMUM ATTAINED SPEED: 16.5 KNOTS

TOTAL NUMBER OF PORTS TO BE VISITED: 14

TOTAL DISTANCE TO BE COVERED IN THE CIRCUMNAVIGATION: 35,000 NAUTICAL MILES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Office of Defence Production

S/V "DAR MLODZIEZY"

INTRODUCTION

This magnificent full-rigged ship was designed and built in the Gdansk Shipyard, Poland, during 1981/1982. She was commissioned on 4th July 1982 as a training vessel for Cadets of the Polish Merchant Marine Academies in Dynia and Szczecin.

Apart from being a square-rigger that can provide for true seamanship of the Cadets, she is equipped with up-to-date navigation apparatus which is used in their training. The very name "DAR MLODZIEZY" (the Gift of Youth) is a direct link with her famous predecessor "DAR POMORZA" (the GIFT of POMERANIAN PEOPLE). However not only did she maintain part of the name, her officers and crew, but a long standing tradition as well — the tradition that stems from the conviction that successful training of seafarers can be more effectively achieved under sail on the high seas. This virtue concerned many devoted seamen as the time of retirement for the "DAR POMORZA" approached. Then a group of young people put forward the concept of building a ship to replace the "DAR POMORZA" largely through a public subscription. Its success proved there was still a strong zest for the sea in Poland. For these reasons she was christened "DAR MLODZIEZY".

Captain Leszek Wiktorowicz, Master of the "DAR MLODZIEZY" has served in the Polish Merchant Marine for thirty years. During this period he was an Officer on board the "DAR POMORZA", as well as serving on ships of other nations. HE was appointed Captain of the "DAR MLODZIEZY" for her trial voyage within the Baltic Sea. He alternated command of the ship with another Captain until he was appointed permanent Master in September 1984.

The ship sails widely to various ports and festivities during the spring and summer season. In winter she remains in dock at Gdansk shipyard for maintenance.

"DAR MLODZIEZY" can also be called a sailing Ambassador of Poland. With 145 Cadets on board, she sailed on her maiden voyage on 10th July 1982 to take part in "Operation Sail '82". The vessel won line honours (second on handicap) in the race from Falmouth to Lisbon. On July 27th the ship rendered assistance to a German Yachtsman who was severely burnt after his yacht "PETER VON DANZIG" had caught alight. In the second leg of the race from Vigo to Southampton she arrived second and was the winner of Class A (comprising the larger tall ships).

She drew immense interest in every port of call. Since then she has visited many countries including Japan and entered many races, each time acquitting herself well.

On 3rd September 1987 she left her home port for the 9-month circumnavigation of the world. This unique event is only the second round-the-world voyage of a Polish tall ship, the first one being that of "DAR POMORZA" in 1934/1935.

The vessel was invited to participate in "Tall Ships Australia 1988" which is part of the Australian Bicentenary. Among the Polish Cadets there are two young Australians, Andrew Kaleski (Melbourne) and Hamish Mackie (Sydney) who were selected to travel on board and participate in the making of a documentary on the Tall Ships event being produced by Film Australia. They carry out all the duties of the regular Cadets.

There are also two Cadets from Czechoslovakia and one from Brazil who study navigation in Poland.

So far the ship has called at Southampton, St. Cruz, Rio De Janeiro, Mauritius, Fremantle and Adelaide — with Melbourne, Hobart, Sydney and Wellington still to come.

The next challenging leg of the voyage will take her forty five days from Wellington round Cape Horn to Buenos Aires, stretching her water, fuel and stores to the limit — very few showers for anyone on that leg of her journey home! She then returns to Poland via Brazil, The Azores and Holland — following the traditional trade routes sailed by the old clippers between Europe and Australia.

Last, but not least, the ship is a floating school for 120 Cadets who study navigation, engineering and catering at the Merchant Marine Academies in Poland. They attend regular classes and lectures on board, and will be examined on these by the end of the voyage.

Author: Capt. Doug Bourne-Jones is a master mariner and was one of the few South Australians lucky enough to be able to take passage Adelaide/Melbourne in the Polish vessel DAR MLODZIEZY earlier this year.

A VOYAGE FROM PORT ADELAIDE TO PORT MELBOURNE ABOARD THE POLISH MERCHANT MARINE ACADEMY TRAINING SHIP

"DAR MLODZIEZY"

SATURDAY 26TH DECEMBER TO THURSDAY 31ST DECEMBER 1987

Only the individual can determine what are their LIFE'S AMBITIONS. At 0755 hrs on Saturday 26th December 1987 one of mine was achieved when I, along with fourteen other invited "crew members", joined the three masted fully rigged ship "DAR MLODZIEZY" ("DAR MARJERSEY" — *our pronunciation!*) at Queen's Wharf, Port Adelaide.

I reported to the Purser, Stanislaw Raczynski, who took me below to Kubryk (cabin) No. 153, containing ten bunks — none of this romantic hammock stuff. I chose the lower athwartship bunk (the best when the ship rolls), gallantly leaving my nine cabinmates to fight for the remainder. The other five guests were allotted separate accommodation. We later found out there were also five Polish T.V. people aboard filming the trip, as well as LCDR Stephen Dutton, a Naval Liaison Officer assigned to the vessel from Fremantle to Sydney. Here I must give a big thankyou to all the Cadets and Teachers who gave up their "Homes" and doubled up in other areas in order to make our trip possible.

Early this morning Cadets had prepared the vessel for sea, gone aloft and removed gaskets from the sails, leaving them to hang in buntlines (or in "their gear") below the yard arms. Staysails and jibs were also made ready for setting once the wind was favourable.

At approximately 0945 hrs our Pilot, Peter Shipp, boarded. The gangway was then taken on board and stowed ready for sea. By now crowds on the wharf had built up to many thousands, including an excellent brass band, plus many side stalls all of which created a carnival atmosphere.

At 1000 hrs the S.A. Ketch "FAILIE" let go, and was given the honour of leading the Tall Ships down river and out to sea.

At 1020 hrs two tugs pulled us from the wharf, thus commencing my voyage to Melbourne. It was an emotional time for everyone concerned, especially when all the Cadets manned the shrouds and farewelled Port Adelaide by giving three rousing cheers in their own true Polish fashion. Ship sirens below, crowds waved and cheered as we slowly proceeded down the river.

We successfully "slid" under the power lines which cross the river, with only a few metres to spare. At 1145 hrs we passed TOT at No. 6 Berth Outer Harbor with the "ARIAKE" alongside — some people have to work on a Public Holiday!! Again three long blasts followed by one was exchanged in a traditional salute between vessels. We were also lucky to set some of our sails, not to push us along, but purely to create a spectacle for the enormous crowd which lined the Outer Harbor wharves and the Passenger Terminal.

Sails were quickly restowed, and the Cadets manned the yards to give a traditional salute to the S.A. Governor, Sir Donald Dunstan, on board H.M.A.S. "AWARE".

We passed the breakwater at 1200 hrs to be met by an armada of spectator craft, from sailboards to luxury motor yachts.

When the Cadets were not required for duties they collapsed on deck and slept — no doubt catching up on the Adelaide festivities!

We proceeded out to sea and dropped the Pilot at 1245 hrs, to be quickly followed by a hurried meal. During lunch we altered course and headed towards Cape Jervis, engines were stopped, and 24 of our 26 sails set, i.e. during the voyage we never set the Fore Royal Staysail or Spanker (Refer Diagram).

Being a square-rigged ship she is limited in her ability to sail close to the wind. Unlike a modern yacht with fore and aft sails which can sail approximately 30° into the wind. The maximum her yards can be trimmed from athwartship to either port or starboard is 60° (Refer Diagram), and allowing for approximately 25° for the wind to catch the sails, means the ship can only sail 85° into the true wind. So if the wind was blowing from, say, North she could only effectively sail in any direction from East through South to West.

Therefore, for navigational (safety) reasons we had to proceed well out to sea. This must have been very disappointing for everyone who had come from far and wide to see all the ships under sail, although the "YOUNG ENDEAVOUR" and "LEEUWIN" did sail closer to the coastline.

Returning on deck after lunch we found that we were proceeding along at about 3 knots. H.M.A.S. "AWARE", with the Governor and the "DES CORCORAN" with the Minister of Marine and his party, had also caught us up. They all wished us Bon Voyage. Many yachts also came alongside to take photographs and wish us well, including the yacht "VIVID" on which I crew.

At 1500 hrs most of the spectator fleet had returned to port and we went below to attend a briefing, at which we were advised of the daily routine and rules to be observed during the voyage i.e.:

1800 hrs — All available personnel proceed on deck (passengers on the wing of the bridge) to salute and witness the raising of the Polish flag.

0805 hrs — Breakfast, which usually consisted of fruit juice, either cheese, ham or eggs, with jam and tea. All meals had a wonderful selection of fresh bread.

1000 hrs — Senior Officers and passengers gather in the after cabin for a chat and coffee.

1230 hrs — Main meal of the day which usually consisted of a soup or stew, meat, or chicken, salad, drink, fruit and coffee.

1730 hrs — Last meal of the day which usually consisted of soup, or cold meat or cheese, tea, chocolate — a light meal.

As passenger meals were served as an extra to normal we were asked to arrive and leave promptly, which gave us approximately 30 minutes for each meal. Despite the rush, all food was good.

We were also informed the pantry was available should we feel peckish during the night (we were peckish every night so some marvellous "Dagwood" sandwiches were constructed!). Prior to boarding we had been advised that despite the ship being 'dry' we were allowed to discreetly drink beer and spirits.

Needless to say when we boarded, our small bags (with the odd bottle or two) were accompanied by familiar cartons of the local brew.

We were allowed full run of the ship, and during the voyage we were given a complete tour, including a visit to the ship's hospital with its own small operating theatre.

After the meeting, we arranged with Chief Stewart, Jacek Halaczkiewz, for our "stores" to be placed in the coolroom, whilst the spirits were safely stowed with our life jackets and survival suits!

At this juncture it is appropriate to mention two other daily routines: If the Royals are in use prior to sunset Cadets go aloft to make fast (safety and common sense). At 0700 hrs every day they also climb up and over the mainmast — to be followed by twenty odd press-ups, etc. Yours truly did not participate in either of these routines!

By 1900 hrs we were all hot and *very thirsty*. We persuaded the Purser, Chief Steward and Jacek Roenig, the English Teacher, to join us with a cold beer etc. We also made our first of many raids on the Pantry. Each day we endeavoured to invite some of the Officers and Permanent Crew for a drink.

At 2245 hrs the wind had died away so the ship was floodlit, Cadets brought on deck, square sails hoisted up into their gear and left hanging under their yards, staysails and jibs lowered. We then drifted, not under command, showing two red lights.

Sunday 27th December 1987

At approximately 0215 hrs the wind freshened from the NNW and we were once against under sail. At this juncture it is interesting to note the following:

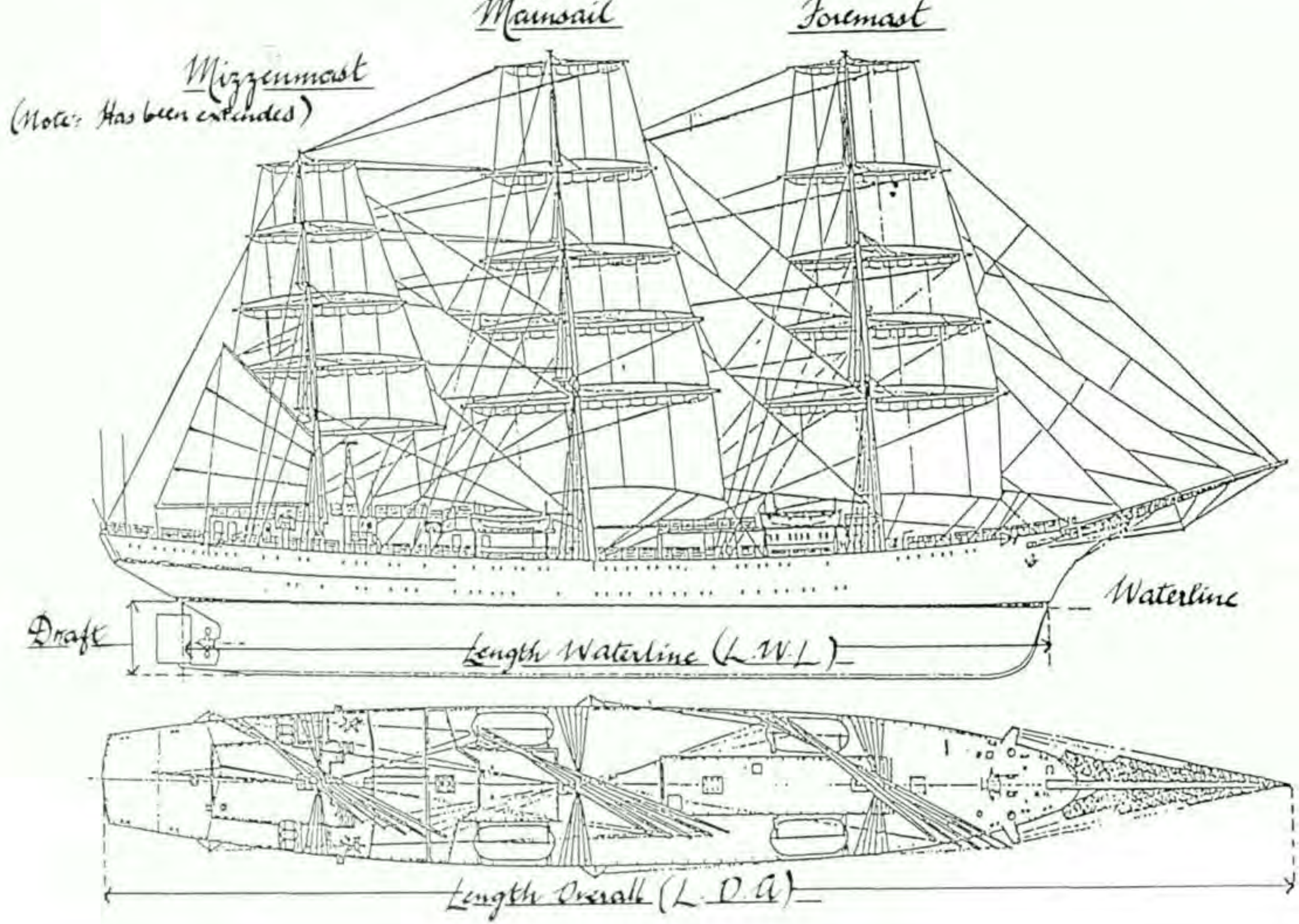
When at sea Cadets are divided into three watches — 8 to 12, 12 to 4 and 4 to 8 — each with a Watchkeeping Officer, an Instructor (or Assistant Officer), a Boatswain and thirty to forty cadets, (depending on the number aboard at the time). Each watch is allotted to either the fore, main or mizzen mast and is responsible for the sails and yards on the mast — so that when a major sail change occurs an alarm bell is rung, everyone stops whatever they are doing and reports to their allotted mast position.

The Chief Officer goes on the bridge to control the whole operation. He uses a walkie-talkie to communicate with each officer in charge of one of the three masts. The Officers will then relay the orders to a Boatswain who is responsible for carrying out the instruction. A whistle is blown once when the Cadets have to commence hauling on a line and blown in short blasts for them to stop — everything done in unison.

Except when all sails are made fast and secured they are hoisted, lowered and controlled from the deck using rope and tackle. Yards are also trimmed from the deck, by pulling on the appropriate brace. Everything is done by hand — no winches are used. Sheets attached to clew lines pull the square sails down to the yard below. They are raised into their gear and hung beneath the yard by easing the sheets and hauling on the buntlines and leech-lines. When a sail is not required Cadets go aloft and out onto the yard; gather, fold and make fast the sail finally securing it to the yard arm using gaskets.

It takes approximately twenty minutes for all the Cadets to either hoist or lower the sails. However if a watch works by itself then it takes approximately seventy five minutes.

Each watch has to trim sails, or if the sails are furled the Bosun and Officer of the watch are constantly monitoring to ensure they are secure and do not move. If they are loose Cadets tighten them up so that any time one could drop a plumb line to ensure that each yard arm is in line one above the other and all at the same angle — nothing is ever out of place. In addition they ensure ropes are always neatly coiled so that there is never a tangle in an emergency.


Mizzenmast
(Note: Has been extended)
Mainsail
Foremast
Waterline
Draft
Length Waterline (L.W.L)
Length Overall (L.O.A)

Of the total watch two Cadets are assigned to the double wheel for steering; another acts as a lookout during the day; two are used at night and three or four senior cadets carry out navigational duties under the directyions of the Officer of the watch. When not trimming sails etc., the remainder of the watch are allocated maintenance duties keeping the ship, masts, sails rigging etc. right up to scratch. Others also carry out duties in the galley, messrooms, pantry etc., as well as keeping bathrooms, corridors etc., clean. The night watch has to peel potatoes ready for the next days meals — a mammoth task. Normally Cadets also have to study in the classroom each day. However, classes have been suspended until they leave New Zealand.

On our passage Cadets were sprucing up the vessel prior to arrival in Melbourne. Mainly this consisted of rubbing off old varnish on doors, handrails etc. and re-varnishing. The vessel is truly kept "shipshape and Bristole fashion".

At 0530 hrs sails were hung in their gear, staysails and jibs stowed, main engine started as we approached Cape Jervis. At 0700 hrs we were abeam of Cape Jervis and proceeding through the Backstairs Passage (a narrow strip of water between Mainland and Kangaroo Island). There was a strong wind warning for this area.

At 0915 hrs passengers assembled on the poop and were given instructions on how to use life jackets, as well as Helley Hansen survival suits of which there is one for every person on board. These survival suits have been developed for personnel employed on the North Sea oil rigs. Several of the passengers tried them on, taking approximately fifteen minutes. Once sealed insite it is said one can survive in the water for twenty four hours without dying of hypothermia (sharks maybe, but hypothermia no!). We did not give it the ultimate test. We had a bank of these suits stowed in our cabin, with our own survival kits of whisky, gin, vodka, rum etc. stowed alongside for *their* safety!

By 0945 hrs we had cleared Cape Willoughby and the Backstairs Passage. There was now a 15 to 20 knot SW wind blowing. With the exception of the Royals etc., we set sail. At long, long last we were sailing at seven to eight knots, with a 5° heel to port and riding to a SW swell. It was an exhilerating feeling to walk the decks, look aloft and see the sails filling to the wind. This was the moment I had been waiting for!

Noon position 36°–06.5'S. 138°–32.4'E.

Wind SSW Force 4.

Progressing in a SE'ly direction.

At 1400 hrs we were invited to watch an English dialogue video on life in Poland. This lasted for some two hours. Both yesterday and today Tom Chapman, in conjunction with the ship's radio operator, made radio contact with the Sea Safety Service Radio Station at Victor Harbor. It is run by a husband and wife team who voluntarily keep a 24 hour watch on the radio. It must have been great for them to actually speak to a ship at sea instead of the usual fishing boats, yachts etc. We were also able to pass on progress of the voyage, etc.

At 2359 hrs our position was 9½ miles west of Margaret Reef. It was quite cold and good sleeping weather.

Monday 28th December, 1987

Approximately 0300 hrs the wind changed to S'ly Force 5 and all Cadets were called to shorten sail. We turned on to the port tack and proceeded WSW away from the land. In the morning when we went down to the deck below to shower, the vessel was heeling to starboard and the bathroom porthole was below the water!

We continued at approximately 4 knots with shortened sail, pitching and rolling. Unfortunately this change in course prevented us from having any hope of calling in at Portland — again one must appreciate the vessel has to sail according to the wind. However, in our case we also had a deadline to meet by arriving at Point Lonsdale by 1600 hrs on the 30th of December. At 1000 hrs Captain LESZEK WIKTOROWICZ invited us to join him in the aftercabin for Spanish sherry served ice cold. It had been bought in St. Cruz on the way out to Australia.

Noon position 37°–07.7'S. 138°–0.63'E.

Course 240°, almost heading back to Perth!

There were plenty of skuas, albatross and dolphins about and I also saw a whale. During the day we passed a commercial vessel, also saw some cray boats, one of which came alongside and the crew handed over four crays and a large crab in exchange for 2 bottles of Polish beer!

At 1320 hrs bells rang — all hands on deck to take in the square sails leaving only the jibs and staysails, engine started again. We then altered course ESE and headed towards Cape Northumberland, and, with a large swell, started to roll quite heavily. I believe our maximum roll was 27°. However, this is small when compared to the 42° she rolled on the passage between Rio De Janeiro and Mauritius. Strong winds experienced in the "Roaring 40')s" blew out many of the sails. A new set was bent on to replace all the old, prior to arriving in Australia. The "Tallships Australia 1988" logo was well and truly shown on the flying jib and fore upper topsail.

Due to the rolling, yards were always moving past the sun — hence whenever we felt the need to refresh our parched throats we were able to say the "sun was well and truly over the hard

Sail Plan ~ "Dar Mlodziezy"

Mizzen Mast

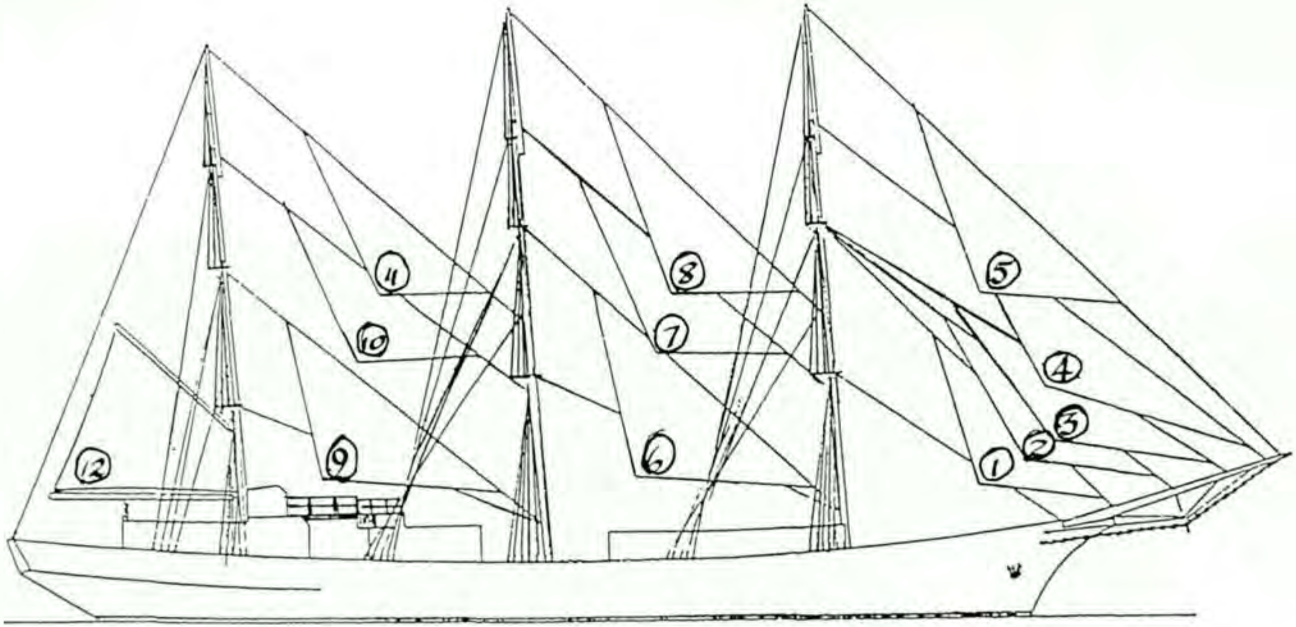
9. Mizzen Topmast Staysail
10. " Topgallent "
11. " Royal "
12. Spanker

Mainmast

6. Main Topmast
7. " Topgallent Staysail
8. " Royal "

Foremast

1. Fore Topmast Staysail
2. Inner Jib
3. Outer "
4. Flying "
5. Fore Royal Topsail



Mizzenmast

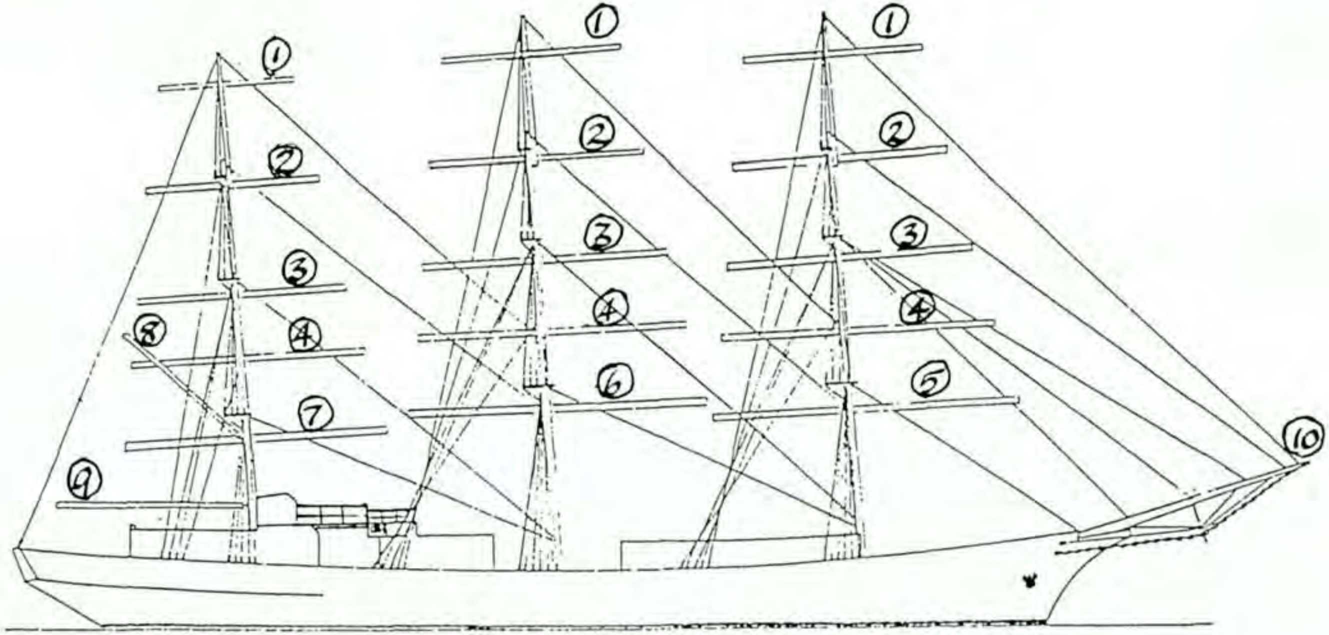
1. Mizzen Royal
2. " Topgallent
3. " Upper Topsail
4. " Lower "
7. " Crossjack
8. Gaff
9. Spanker Boom

Mainmast

1. Main Royal
2. - Topgallent
3. " Upper Topsail
4. " Lower "
6. Mainsail or Main Course

Foremast

1. Fore Royal
2. " Topgallent
3. " Upper Topsail
4. " Lower "
5. Foresail or Fore Course
6. Bowsprit



arm" and take full advantage of our coldies! Jacek Roenig, asked if we would assist the Cadets with improving their English by talking to them about our worklife. At 2100 hrs we gathered in the Cadets forward Messroom, when Jonathon Worseley showed some slides on South Australia heritage, and in particular the wreck "Zanoni". This lecture was well received by the Cadets, with many questions being asked.

Tuesday 29th December

During the night the wind had turned E. of S. so the jibs and staysails were lowered. 0710 hrs Cape Northumberland was abeam with the weather still grey and overcast and fresh SSE winds. Between 1030 and 1130 hrs we were south of the S.A./Victoria border and were invited to climb the mizzen mast and stand on the mizzen top. Along with the other passengers I ventured up the mizzen lower shrouds using the ratlines (or ladders steps) to climb. Needless to say my knuckles were pure white as I climbed out and over the futtock shrouds.

Today the Cadets are scrubbing the wooden decks.

Noon position 38°–27.6'S. 140°–15.7E.
13 miles west of Cape Nelson.
Wind SSE Force 4.

This afternoon a few aircraft came out to have a look — no doubt disappointed to discover no sails.

During the day we were wondering what gift we could give the ship for their hospitality. As we discovered there were only two laundry irons for the whole crew we decided to buy four good quality steam irons.

At 2100 hrs Sgt. John Shepherd talked to the Cadets on the S.A. Police Force whilst David Kemp spoke of his experience in the Bitter Lakes where his vessel was trapped in 1968. Once again these talks were well received by the Cadets.

Wednesday 30th December

At 0200 hrs Cape Otway was abeam, but we proceeded some 30 miles past on an ESE course. 0615 hrs once again set sail and in this instance it was only the 4 to 8 watch which carried out the task. Took about one hour. Wind East, Force 3. Engines were stopped and we headed very slowly back towards the coast.

That morning I spoke to my friend Ned Stonehouse a Lighthouse Keeper at Point Lonsdale, and asked if he would arrange with a friend of mine, Brian Lewis — a Port Philip Pilot — to purchase four steam irons and two more cartons of beer and deliver it all to us when we anchored that night — nice to have friends in high places!

During the morning several helicopters and some small aircraft came to photograph us. We also sighted the *Juan Sebastian de Elcano* the Spanish training ship, under saild with sore and aft sails set.

Noon position 38°–39'S. 144°–01'E.
30 odd miles south west of Point Lonsdale, the boarding
ground for the Melbourne Pilot.
Wind East Force 2.

At 1230 hrs bells sounded, sails were furled and engines started so that we could meet our deadline of 1600 hrs at Point Lonsdale. During the whole day Cadets were cleaning and touching up paintwork in order to be spick and span for our arrival in Melbourne.

At 1400 hrs we invited the Captain and several Officers to join us in our Kubryk. When we walked in we offered him a glass of iced water because, of course, this is a 'dry ship'. He agreed that it was a dry ship but because he was in "Australian Territory" he would have a whisky! J. Olssson, D. Kemp, A. Angus and I presented him with two tankards on behalf of the Company of Master Mariners of Australia, S.A. Branch.

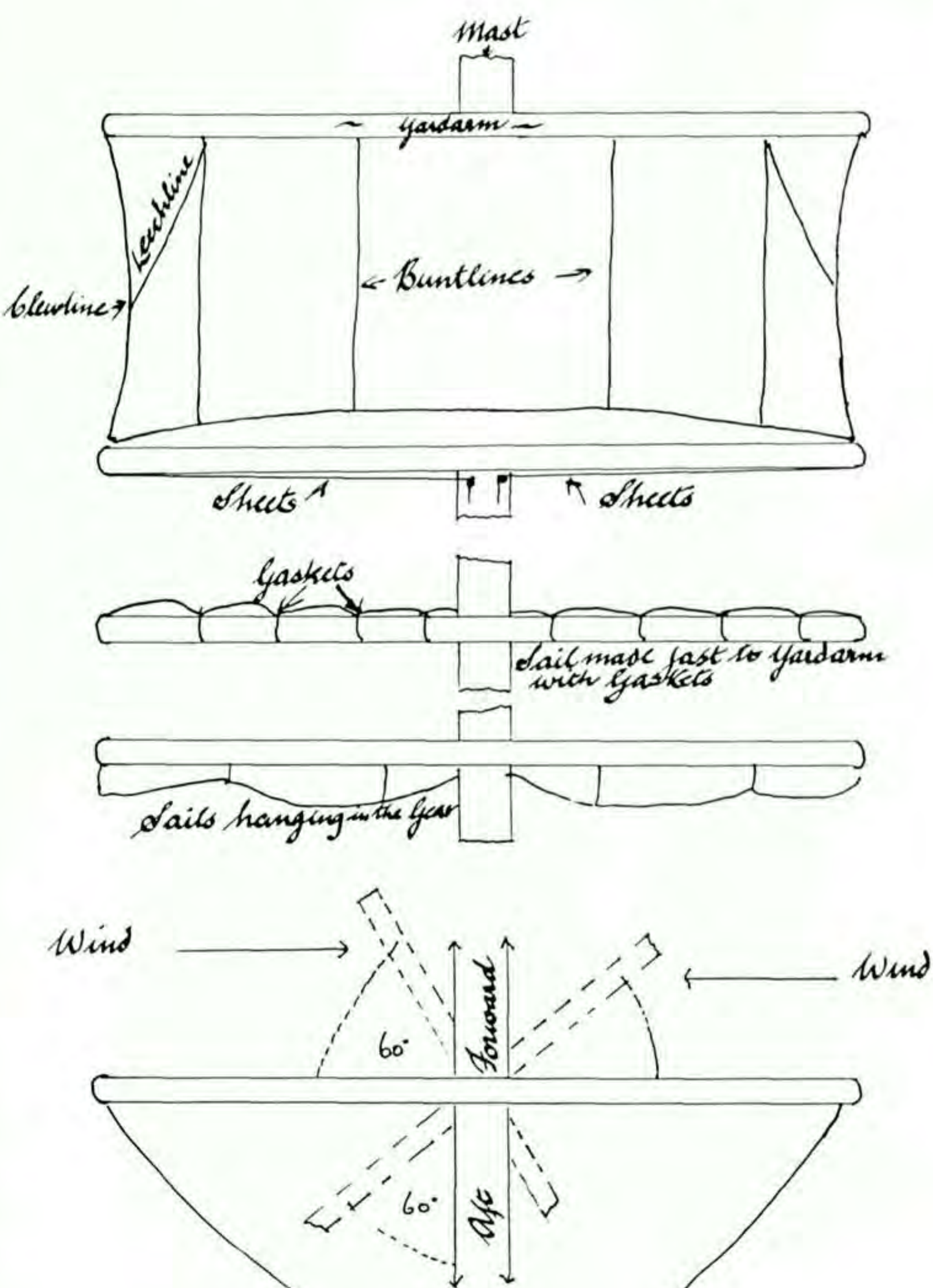
During the afternoon the air became full of planes, helicopters — heaven knows how they did not have a crash. Furthermore, heaps of other craft with young ladies very, very flimsily dressed were welcoming the Cadets to the shores of Australia — I felt quite young at heart!

At 1530 hrs we picked up our Melbourne Pilot, Paul Ringe. As we had some time to kill we set all sails and sailed in a circle, along with the *Juan Sebastian de Elcano, Spirit of New Zealand, Leeuwin, Failie, Asgard II*, (flying the largest Irish Ensign I have ever Seen!), *Abel Tasman*, and several others, mainly to allow the helicopters from the various T.V. Stations to take photographs. It truly was a great sight for spectators afloat, ashore and in the air. Interesting to note that 20 odd years ago Paul Ringe was an apprentice with David Kemp, and as a Cadet he had also made a voyage on the *Juan Sebastian de Elcano*.

At approximately 1630 hrs all sails were made fast and secured and we proceeded under power to pass through the heads at 1700 hrs with thousands of people lining the cliffs and on the beaches of the Queenscliff and Portsea sides of the heads. We proceeded past Portsea etc. towards our anchorage.

As we passed HMAS *Darwin*, at anchor, we dipped our ensign — in fact we dipped it twice with no response. This was disgraceful and an embarrassment to all the Australians on board. At 1910 hrs we anchored off Ryde. By now the crowd ashore, afloat, and still in the air — just unbelievable.

Various Sail and Yardarm Arrangements



Cadets went over the side to clean and touch up paintwork, plus cleaning the brass name on each bow and the stern. Soon after arriving at anchor the steam irons were delivered by pilot launch. As the general public were kept away by Customs and Police, Brian Lewis was unable to bring his yacht alongside and deliver the beer. Ultimately the beer was delivered by the Victorian Police, God Bless them!

During the evening we presented the irons. Robert Ogonowski one of the Senior Cadets, presented me with a bottle of red. Apparently on Christmas Day he had stayed with Stan Poblocki a friend of mine, who had given it to him for this occasion. Some of the crew, Cadets and Officers, joine dus — to drink some soft drink of course! — we all had a great party. There was a wonderful sunset that night. The end of a perfect day.

Thursday 31st December

By 0700 hrs we were all on deck, the anchor was raised and we got underway, and followed the *Juan Sebastian de Elcano* towards Melbourne. The wind was from the North which unfortunately meant we could not set any of our sails. They were therefore all made fast, stowed and secured ready for port. The Captain was most upset, as yet again he was unable to proudly show off his magnificent vessel under full sail. As we passed HMAS *Darwin* we again dipped our ensign and guess what — still no response! One wonders how the Navy is trained today.

Last night Steven Dutton and Andrew Kaleski went ashore. Andrew returned with his parents and Steve with his young family for the voyage up the bay.

During the morning the wind was blowing up to 30 knots which meant many of the spectator craft were kept away.

At 1130 hrs we were on the wing of the bridge when the Captain said that as this would probably be the last opportunity we would have to be together before we all dispersed, he would like us to join him for a drink. Once again he declared an area of the bridge "Australian Territory" and joined us in drinking to each other's health with ice cold Spanish sherry — beautiful! We felt most honoured as in doing this he broke a seafaring tradition of not drinking alcohol whilst on duty. He asked one of our members who took a cine shot of this momentous occasion "please make sure it is not returned to Poland (ha ha!)".

As we proceeded up the Port Melbourne Channel towards Princes Pier were were more sheltered from the wind and the small craft were once again stretched as far as the eye could see. Two large tugs were using their fire fighting equipment to spray water into the air, a really great welcome. As the temperature was 38°C we felt like getting under the water and cooling off. The pilot did a wonderful job berthing us at 1500 hrs on the eastern side of Princes Pier. There was an RAN band and a reenactment scene with a canon booming to welcome us to Melbourne.

Unfortunately the general public were excluded from the pier — unlike our departure from Port Adelaide! A great shame as it is the crowds and the cheers which give the Cadets the felling of being welcome in a new home. As usual the Cadets manned the yards and rigging as we came alongside much to the delight of a few spectators who were allowed on the wharf.

That night we were honoured in being asked to join the Cadets and march with them to attend a Reception on Station Pier. With many of our new found friends we saw in the New Year complete with heavy rain and fire works. On this occasion we were allowed to "un-dry" and in company with many of the Cadets and crew — as well as Cadets from other ships — consumed a considerable quantity of beer etc. We had a great singsong before going to bed at 0300 hrs. So ending an incredible voyage. Again a dream fulfilled.

Finally I cannot speak highly enough of the Captain, Officers, Teachers, Crew and Cadets. Everyone was courteous, helpful and true Ambassadors of Poland.

SOME NEW APPROACHES TO PERSONNEL MANAGEMENT

by CMDR G.F. McLennan RANEM

ANI Sydney Chapter Tuesday 29th March, 1988

One of the three main objectives of the Australian Naval Institute is to provide a forum for the exchange of ideas related to the NAVY and the Maritime profession. The active participation in Chapter meetings is the best way to achieve this important objective which encourages open discussion and debate on issues which relate directly to Australia's ability to retain a claim to seapower.

I have elected to talk about Personnel management on this occasion as I believe it to be the most neglected element in most organisations. The growing dependence on technical solutions to problems has tended to push personnel matters into the background. In addition to technological advance, our society is constantly changing and these changes are reflected in the attitudes and values of the young men and women choosing a naval career.

Our society is structured so that it can adapt very quicklfy to change and in fact there are forces at play that promote such change in order to manipulate the masses for their own profit — fashion, education, religion, sport, politics, travel and transport and all areas constantly facing change.

Alvin Tofler in his book FUTURE SHOCK stated that "hardly a meeting or conference takes place today without some ritualistic oratory about 'the challenge of change'. Among many there is an uneasy mood — a suspicion that change is out of control".

Tofler also wrote about "the disturbing fact is that the vast majority of people, including educated and otherwise sophisticated people, find the idea of change so threatening that they attempt to deny its existence. Even many people who understand intellectually that change is accelerating, have not internalised that knowledge, do not take this critical social fact into account in planning their own person lives".

MY THESIS:

Having fulfilled Tofler's prophecy and included 'some ritualistic oratory' about change I can now relate this to my thesis — that personnel management is really just the process of providing the environment in which people can achieve their objectives by coping with changing circumstances and contributing to the success of the organisation to which they belong. The defence of Australia is dependent upon the ability of our servicemen and women to undertake combat operations in times of hostilities and half of the Defence Budget is allocated for the sole purpose of retaining this expertise.

THE IMPORTANT OF PEOPLE

It is possible that I could be overstating the importance of people so I will draw some support from acknowledged experts:

a. The RAN Divisional Officers handbook has perpetuated the theme of the ROYAL NAVY's Fighting Instruction which provides a photograph of a classical JACK TAR with the caption "The Single Most Important Factor".

b. Peters and Waterman in their book "In Search of Excellence", originated the theme Back to Basics (which was resurrected recently in the political arena) and devoted their entire chapter to PRODUCTIVITY THROUGH PEOPLE. The Navy features in this chapter in the form of ex USN Chief of Naval Operations ELMO ZUMWALT who revolutionised the USN practices in just a few short years at the helm by implementing his belief that 'people will respond well to being treated as grownups'.

c. Dale Carnegie, author of the book "How to win friends and influence people" which sold over 15 million copies provided many practical approaches to personnel management — his big secret of dealing with people is summed up in a few words. "There is only one way under High Heaven to get anybody to do anything . . . and that is by making the other person want to do it".

Obviously I could provide quotes from all of the thousands of management books, self improvement books and "I made it" books that stress the importance of people to the success of any endeavour. Yet time and again organisations lower their guard and neglect people — the result lowering of productivity, high turnover and low morale. Usually this neglect stems from the failure to

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acknowledge important social changes and implement appropriate measures and techniques to counter these changes.

In my opinion this is the major reason why so many valuable people are leaving the Australian Defence Force and providing so much concern to the Senior Officers and politicians responsible for the maintenance of an effective Navy, Army and Air Force.

ELEMENTS OF PERSONNEL MANAGEMENT

As my purpose in talking with you tonight is to exchange ideas I would now like to concentrate on my analysis of personnel management in the Navy and briefly discuss a methodology which I have used with good effect as Commanding Officer of *HMAS Adelaide* and subsequently in the commercial world as a Consultant to Management.

Figure A — Elements of Personnel Management in an Organisation

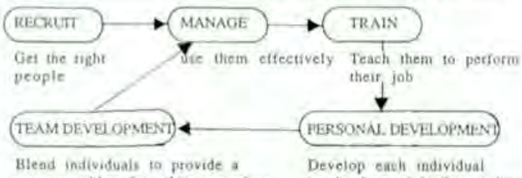

Figure A provides a diagrammatic representation of the five elements involved in personnel management in any organisation. In my experience these elements are readily transferrable between the military and the commercial world as they provide a sound basis upon which to evaluate the effectiveness of any organisation. A weak point in any of these five elements will reduce the effectiveness of the whole organisation. However, in every organisation I have been involved with the recurring weak spot was always MANAGEMENT. The next element which is poorly handled is the very first — RECRUITING.

The old saying goes 'you cannot carve rotten wood' and emphasises the importance of selecting the right people. Throughout my naval career I encountered too many young sailors who should never have got past the recruiting officer. Many were tempermentally unsuited to naval life and too frequently there were incidents where active homosexuals, drug users and petty criminals slipped through the net. As a Divisional Officer and Commanding Officer, I devoted much of my valuable time to the lengthy process of arranging discharges for individuals who should never have been accepted in the first place. I would have preferred to have used my time in the personal development of those willing to contribute to the organisation. Regretfully these are too frequently taken for granted.

A SOLUTION

There is insufficient time to address my evaluation of the Navy's management and recruiting problems, so I have chosen to provide you with a glimpse of a methodology which is applicable to all of the 5 elements of personnel management. Applicable because it places the emphasis back on the individual. BUT it means breaking the GOLDEN RULE of 'DO UNTO OTHERS AS YOU WOULD HAVE THEM DO UNTO YOU' — which can be interpreted literally that others wish to be treated the same way you do. The concept of behavioural styles, which I will discuss briefly, argued that the GOLDEN RULE IS WRONG. Instead the PLATINUM RULE is advocated, i.e. 'DO UNTO OTHERS AS THEY WOULD HAVE YOU DO UNTO THEM', or 'TREAT OTHERS AS THEY WISH TO BE TREATED'.

This 'new' way of viewing human interaction actually began in 1924 with Carl Jung's research on psychological types. Since the mid 1960's Dr. DAVID MERRILL of Denver, Colarado, has been developing and refining his social style model which is used extensively in the commercial world as a benchmark for PERSONNEL MANAGEMENT.

Although it is very difficult to single out the specifics that form the overall picture we get of another person, the term social (or behavioural) style is perhaps the most helpful. Social (or behavioural) style is a particular pattern of actions that others can OBSERVE and AGREE UPON for describing a person's usual behaviour.

NB. Social style is not personality which includes everything a person is, i.e. ideas, values, hopes and dreams.

Dr. David Merrill's — Personnel Predictions and Research (PPR) model of behaviour uses two basic dimensions of human behaviour to define social style.

ASSERTIVENESS — the strength which one expresses himself through words or actions (see Figure 1).

RESPONSIVENESS — the manner in which one reacts to appeals, pressures, influences or stimulations; a person's display of feelings, emotions and impressions (see Figure 2).

By combining these two scales we form a 'Social Style Profile' (figure 3). The four quadrants established show typical behavioural styles which can be used to describe the observable actions of most people. (Figure 4). Thus we have the four basic social styles of ANALYTICAL, DRIVING, EXPRESSIVE and AMIABLE.

Figure 5 provides shorthand descriptions of the Basic Social Styles in terms which relate directly to behaviour.

It is possible to provide a chart for each individual, by use of an extensive questionnaire (3 hours), which provides a personal profile which is an ideal tool for personnel counselling and behavioural modification. The use of the personal profile encourages each individual to discover and come to terms with his or her own style and then develop strategies for recognising and dealing with other styles.

Individuals can modify their behaviour to adapt to changing circumstances and develop the third dimension of VERSATILITY — the ability to relate to people in such a way that their needs are at least as important as yours.

NAVAL APPLICATION OF PPR MODEL

Obviously I have only just scratched the surface in describing this model. How could it help the Navy? In my opinion in countless ways some of which are:

- During the recruiting process — potential recruits can be compared with the 'corporate' style of the Navy or branch of the Navy to determine if they will 'fit in'. Generally a gross imbalance in one quadrant indicates severe behavioural traits which could cause difficulties in interpersonal relations.
- During initial training — for counselling and developing people skills.
- Whenever individuals are selected for special operations/key postings.
- In conjunction with career counselling and performance evaluation. The personal profile assists the counsellor to reconcile performance levels without personal criticism.
- In personal development of Officers and Senior Sailors to assist them in improving management skills.
- In job allocation — the best results are usually achieved by getting the most appropriate person available to undertake tasks; i.e. Analyticals would prefer to be assigned 'thinking' type jobs whereas the Driver wants to get things done quickly without too much consideration of all the implications.
- In developing personnel management strategies to ensure that 'TEAMS' will perform effectively in allocated tasks, i.e. avoid conflicting styles in the same watch.

CONCLUSION

I trust that these thoughts on personal management have convinced you that PEOPLE ARE IMPORTANT *to the success of any endeavour* and therefore personnel management skills are essential for all those entrusted with the responsibility to ensure that each and every individual is given the opportunity to contribute to the success of the organisation to which they belong. The *Merrill PERSONNEL PREDICTIONS and RESEARCH* (PPR) model of behaviour is an effective methodology for use in personnel management in a changing environment. Consequently there is considerable scope for this technique to be adopted for use by the Navy in *improving personnel management.*

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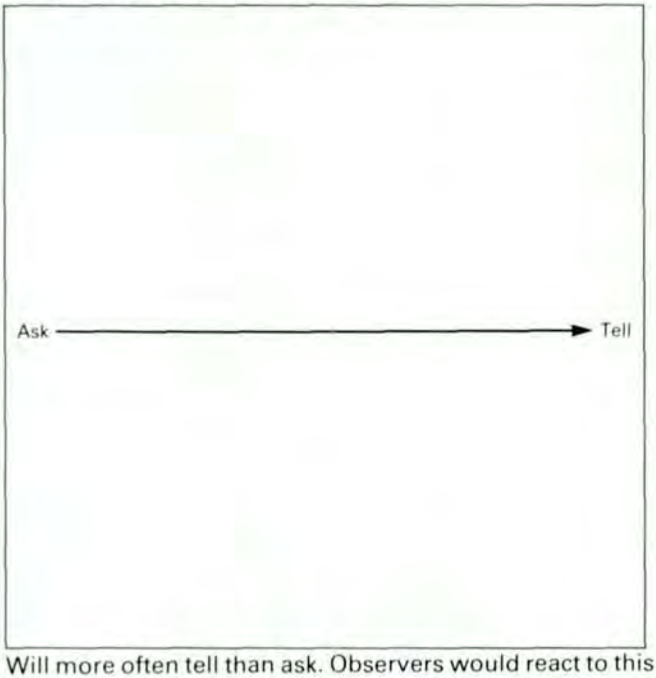
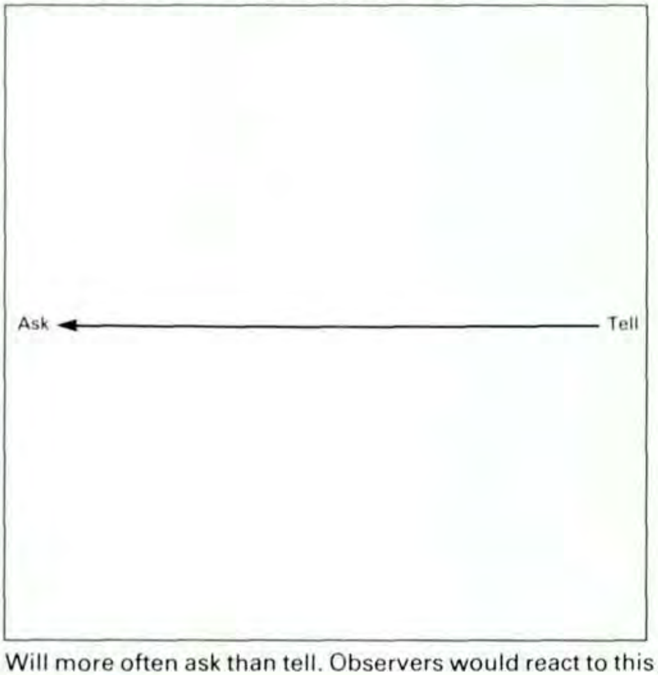
Figure 1

Diagram of Assertive Behaviour



Will more often tell than ask. Observers would react to this person as more assertive.

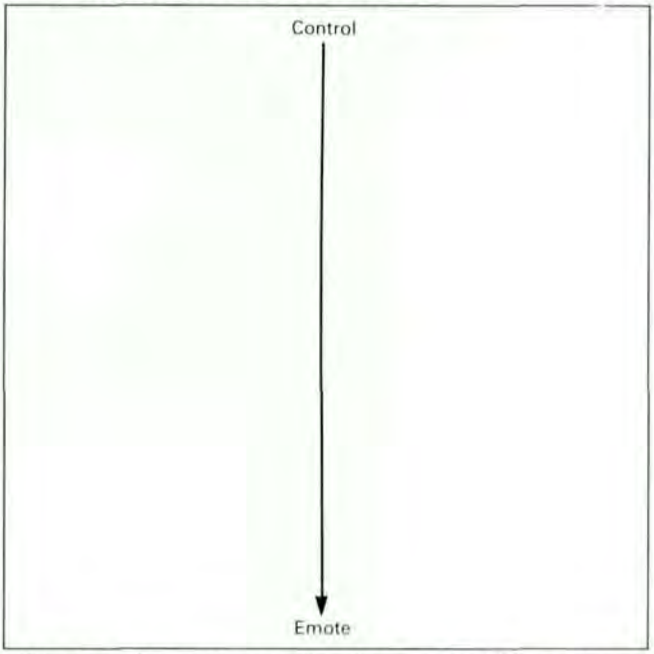
Diagram of Less Assertive Behaviour



Will more often ask than tell. Observers would react to this person as less assertive.

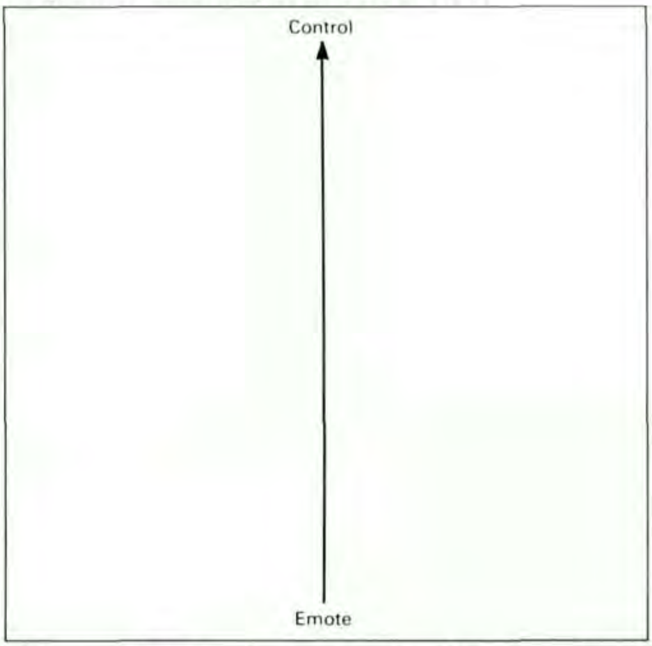
Figure 2

Diagram of Responsive Behaviour



Will more often show emotion than control. Observers would react to this person as more responsive.

Diagram of Less Responsive Behaviour



Will more often show less expression of feelings and more control. Observers would react to this person as less responsive, more controlled.

Figure 3

Social Style Profile

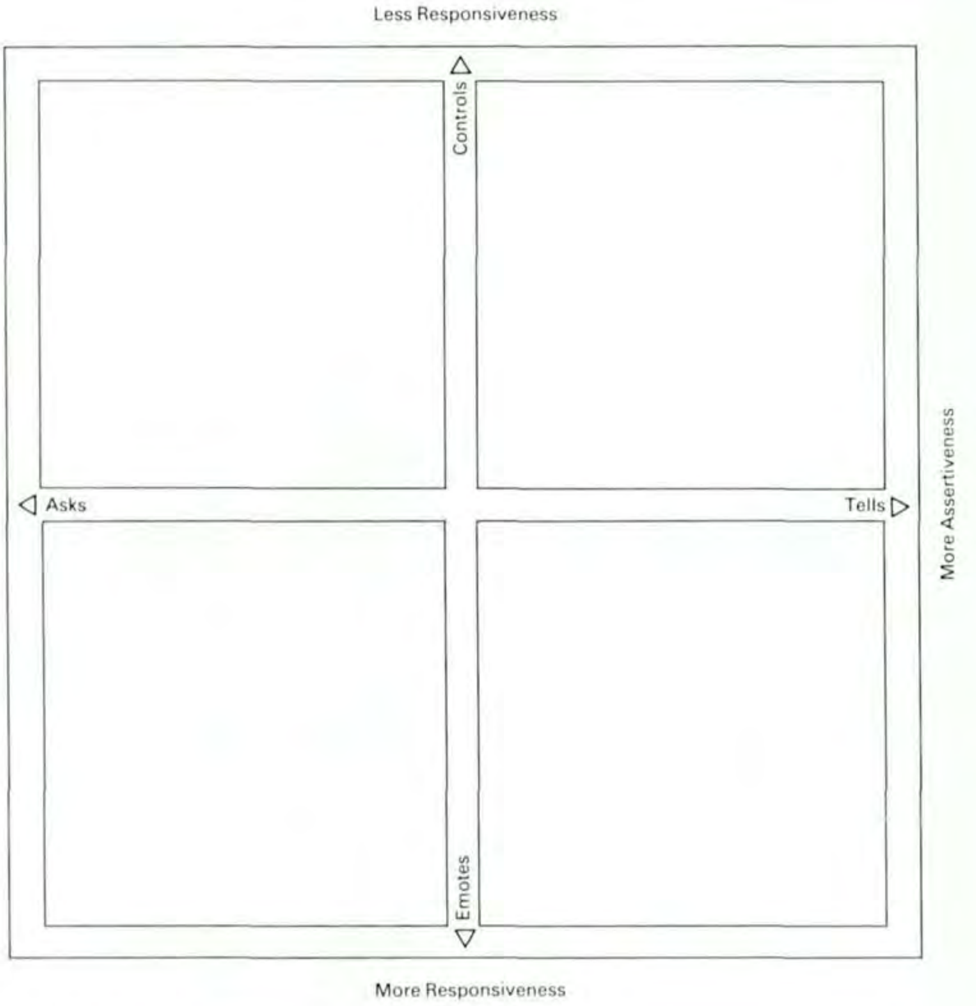
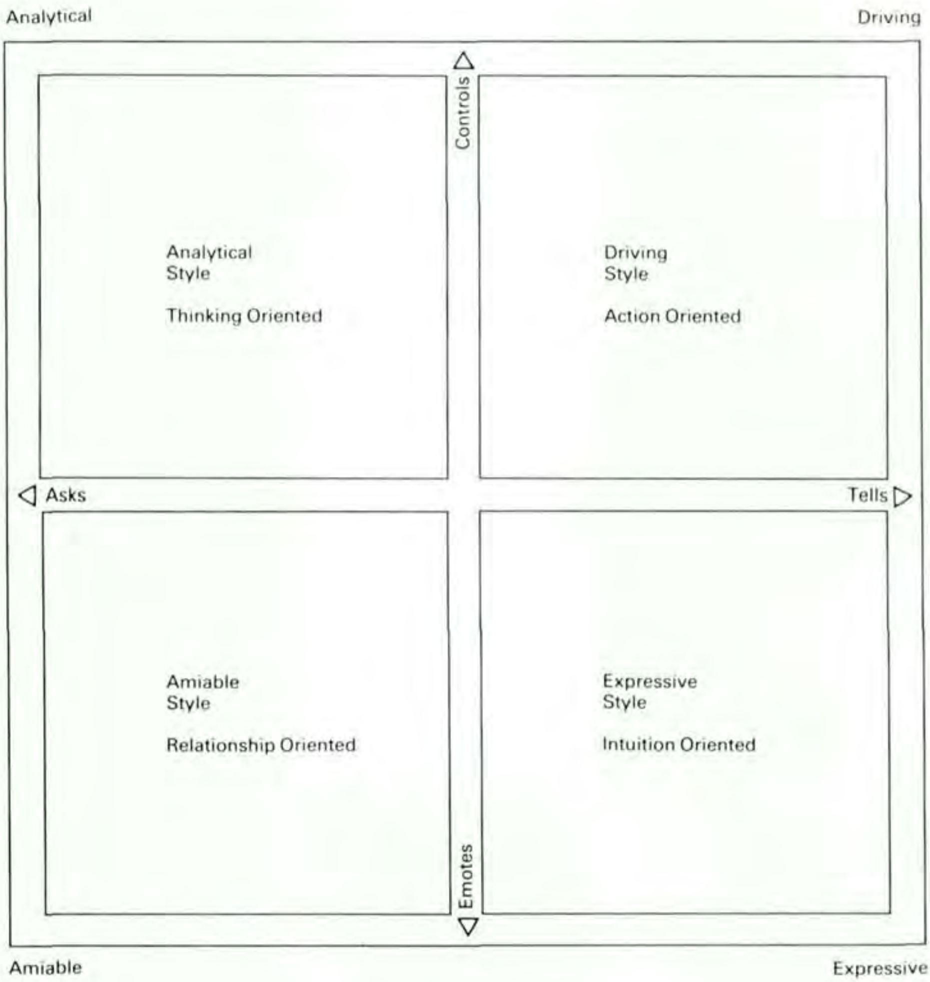


Figure 4

Four Basic Social Styles



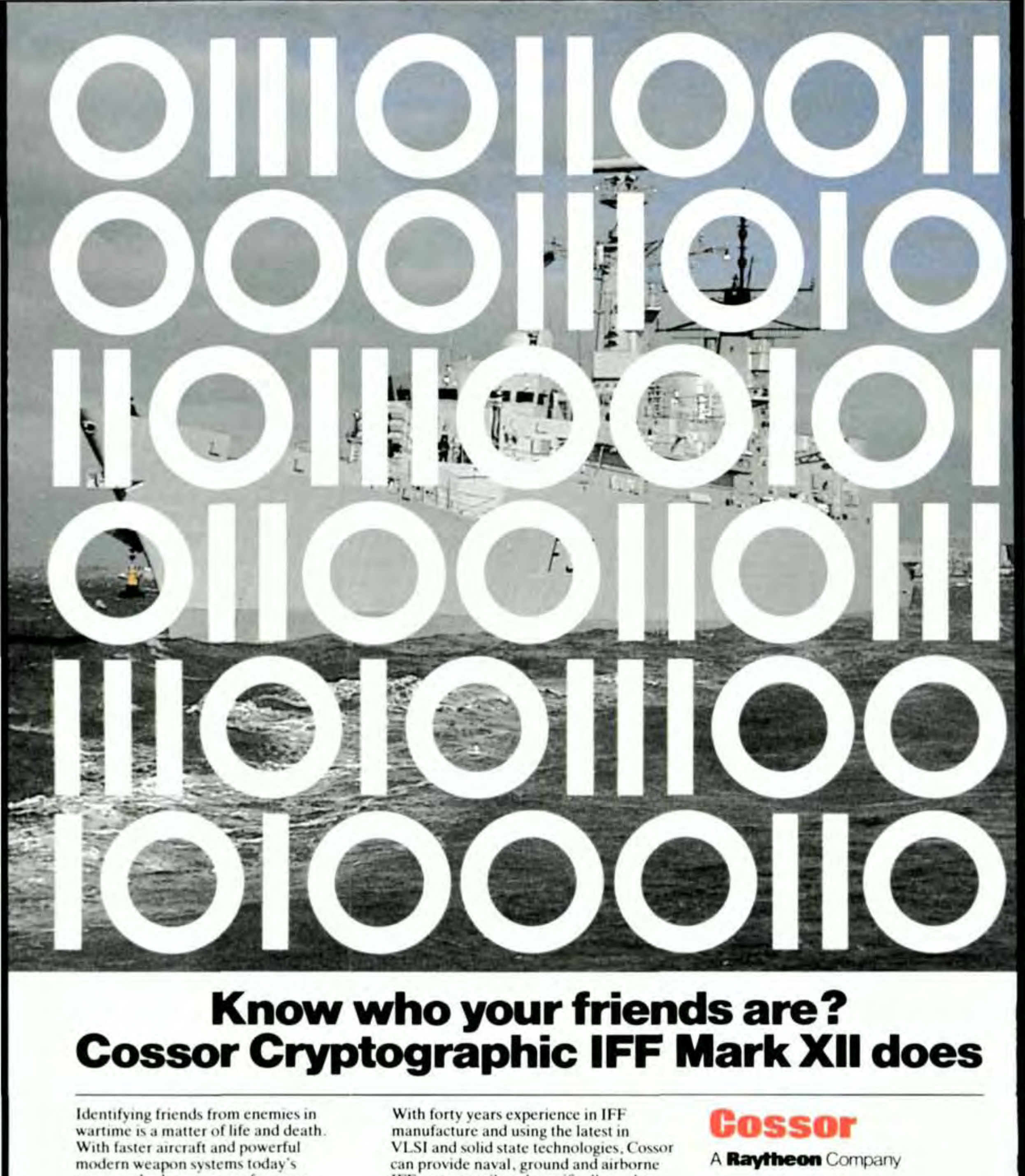


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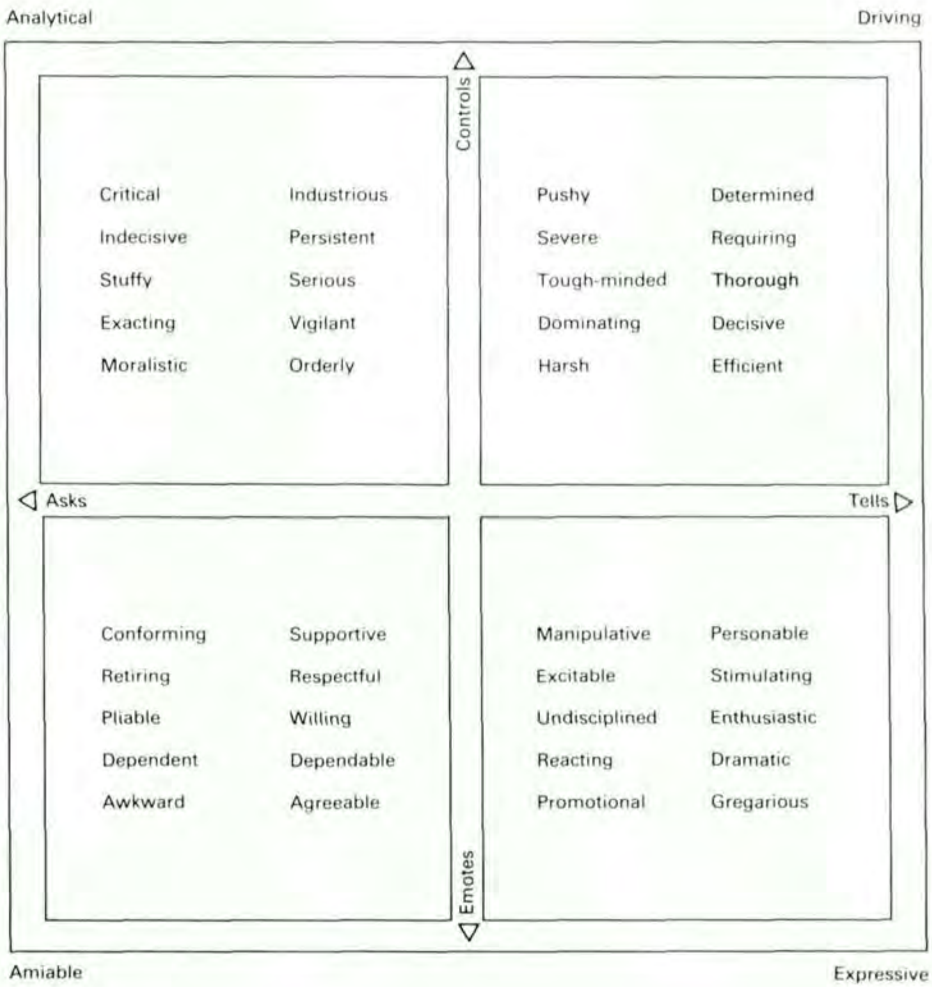
Figure 5

Shorthand Descriptions of the Basic Social Styles



MANAGEMENT INFORMATION SYSTEMS

by Lieutenant V.B. Hyam, RAN

Introduction

1. Sometimes it is useful to approach the development of an Office Automation system from a communication perspective. Each individual within any organisation has an interdependence on all other members of that organization for the successful implementation of corporate objectives. Feedback of information through the organization provides the basis for future development. Efficient communication of information to access corporate health forms the basis of good management practice.

Assessment of Functional Links

2. In determining the appropriateness of an office automation it is necessary to consider the functional links within the organization. These links provide the information that each member is contributing or needs in the decision making process for organizational development. A diagrammatic representation of the functional links of this organizations are at Annex A.

Objective Definition

3. The corporate structure is designed and staffed to meet defined objectives. Each member of the organizations may be assigned a series of sub-objectives to meet the corporate objectives. The case study organization has as its objective the sale of commodities. The company must determine a method of performance assessment and methods of communication to successfully achieve the defined objectives. Individually defined sub-objectives of each member of the organization are at Annex B. Having defined the individual sub-objectives and the functional links of the organization, the information that must be transferred through the individual link may be defined. These information flows may be either one or two way communication. The information flows are at Annex C.

Development of the Management Matrix

4. Having determined the functional links of the organization and the information to be transferred through each of these links and the objectives that are to be achieved a management matrix may be developed, (at Annex D). Three additional pieces of information may then be assessed:

a. the percentage of time that will be spent satisfying each functional link,
b. the priority of each of the functional links,
c. and the Office Automation techniques applicable to each functional link.

If this approach were implemented in the organization the process would be iterative until a true picture of corporate objective and functional links has been established.

Implementation of Office Automation:

5. Lewin suggested that any change effort be viewed as a three phase process: unfreezing, chaning and refreezing.[1]

Unfreezing

6. This stage involves establishing within the organization a belief that there is a necessary for change, and that work may be carried out more efficiently.

Changing

7. This process is the actual modification of work practices. It may be suggested that if the organization is not sufficiently unfrozen before change is implemented the people within the organisation will react adversely to the change.

Phase I: Unfreezing	Phase II: Changing	Phase III: Refreezing
Creating a felt need for change Minimizing resistance to change	Changing people (Individuals and groups); tasks structure technology	Reinforcing outcomes evaluating results, makin constructive modifications.

Refreezing

8. This stage is designed to maintain the momentum of the change and should include the enforcing design outcomes and providing extra support when difficulties are encountered. The evaluation process is a key element in this final step, providing information on the costs and benefits of the change. Improper refreezing results in changes being abandoned or incompletely implemented.

The time period required to implement the office automation for this organisation would be 12 to 18 months to unfreeze and change the system and a further 1 to 2 years for refreezing.[2]

9. The training phase should be slow and progressive. Firstly a policy paper and public relations exercise should be undertaken to explain the necessity and advantages of the proposed change. Secondly, volunteers should be selected to undertake the proposed courses and, upon completion, partially installed into the new system. In order to build near confidence in the new system and maintain a steady output of effective results, a period of parallel running of both systems must occur. Whilst this period of duplicate production temporarily doubles the workload, it is a vital phase in the successful implementations of a proposed change. A proposed plan is at Annex E.

Annexes:

A. Organization Communication Links;
B. Functional objectives of Organisation Members;
C. Information flows between Functional Links;
D. Management Matrixes of Organization Members;
E. Proposed implementation plan, and

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ANNEX A

ORGANIZATION COMMUNICATION LINKS

Manager

Counter work and Administrator

OFFICE 2

Consumption
re supply

Clerk

Order Clerk

External

Supply Officer

Manager Branch

Secretary

Typists

O.I.C.

Ext

Manager Branch 2

Supply Officer

Accountant

External

Clerk

Clerk

Clerk

Office Administration

Manager

Office 1

ANNEX B

FUNCTIONAL OBJECTIVES OF ORGANISATION MEMBERS

1. Officer in Charge:

1. Budget assessment.
2. External communication.
3. Staff supervision.
4. Selection of new product.
5. Performance assessment (staff/company).
6. Communication.
7. Policy direction.
8. Corporate objectives.
9. Decisions — liaison.

2. Supply Officers:

1. Assessment of stock information.
2. Assessment of stock requirement.
3. Inventory manager.
4. Performance assessment.
5. External communication.

3. Accountant:

1. Budget management: Managerial advice.
2. Financial management advice.
3. Future planning.
4. Profitability.
5. Planning of acquisitions and sales.
6. Inventory assessment.
7. Purchasing.

4. Clerks:

1. Stock information.
2. Ordering Stock — keeping order Clerk informed.
3. Record maintenance.
4. Filing Storage & retrieval.
5. Information Base.
6. Distribution of Stock.

5. Order Clerk:

1. New Stock info.
2. Ordering of stock.
3. Market Awareness.
4. Usage assessment.

6. Secretary:

1. Appointments of manager.
2. Management of typists.
3. Telephone calls.
4. Information distribution.
5. Organization awareness.

ANNEX C

Officer-in-Charge
(Line Management)

Information	Functional Link
Products for Future development	Supply Officer 1 & 2
Problems Profitability	Branch Managers 1 & 2
Financial Information performance	Accountant
Appointments	Secretary
External information.	

Branch Manager
(Line Management)

Information	Functional Link
Policy requirement.	OIC
Production availability.	Supply Officer
Product usage.	Clerk
Financial advice.	Accountant
Feedback.	Branch Managers 1 & 2
Secretarial support.	Officer Administrator

Supply Officer
(Line Management)

Information	Functional Link
Policy/Objectives.	OIC
Requirements to be set.	Branch Manager
Feedback/share responsibility/policy.	Supply Officer
Financial advice.	Accountant
Appointments/support-typing	Secretary
Execution of requirements.	Order Clerk
Usage/problems/developments/feedback	Clerks

Accountant
(Staff Management)

Information	Functional Link
Policy	OIC
Information/Advice	Supply Officers
Information/Advice	Branch Managers
Support	Secretary

ANNEX D

MANAGEMENT MATRICES

MANAGEMENT MATRIX — OFFICE-IN-CHARGE

Communicators	Information	Objective	% allocation of time	Management Priority	Office Automation Techniques
Supply Officer	Product advice. *Staff management.*	Market awareness. *Staff supervision.*	15 30	5 1	Databases.
Branch Managers	Advice. Staff management.	Management. Staff supervision.	15	3	Telephone.
Accountant	*Financial information.*	*Budget.*	*20*	4 spreadsheet.	*Databases/*
Secretary	Appointments. *Typing.* Administrative. filing.	External communication. *Communication.* Communication. Information.	20	2 Mail. Database/Filing.	Diary *Word processor.*

Job Description: The Officer-In-Charge is responsible for the development and implementation of *corporate policy. This policy should be in response to the demands of the market* place. He will also be responsible for the development of his staff.

ANNEX E

PROPOSED IMPLEMENTATION PLAN

0 — 2	2 — 4	4 — 6
1. Public Relations. 2. Staff acceptance/ discussion	Initial staff training. Exchange jobs with other organizations.	Partial implementation: 1. Workprocessing 2. Spreadsheet 3. Database

6 — 8	8 — 10	10 — 12
Parallel processing.	*full automation.*	*Refinement.* Improvement.

12 — 14	14 — 16	16 — 18
	Refreezing.	

A PERSONAL COMMENT ON PERSONNEL APPRAISALS

by Commander G. Cutts, BA, PGCE, GradDipLib, RANR

Performance appraisal is one of the most important tasks any manager has, yet it is one that most managers freely admit they have difficultly handling adequately. It is not always easy to appraise a subordinate's performance accurately, and it is often even more difficult to convey that assessment to the subordinate in a constructive and painless manner.

One of the jobs I had in the Navy just before I resigned a couple of years ago, was secretary of the Services' Personnel Policy Committee (SPPC) — a committee consisting of the three Chiefs of Personnel and their civilian equivalent, a First Assistant Secretary. A matter of some concern to the committee was the varying attitudes the Services had to confidential reports, a matter of equal concern to the Administrative Affairs Tribunal when some ex-Service members applied to see their previously undisclosed reports. The RAN successfully argued that such reports were exempt, under the Freedom of Information Act, because their revelation would seriously impair the management of the Service.

I was not surprised two months ago to receive a telephone call from another ex-RAN officer who said that there had been a change — I still know not what — and that I could apply to Director Naval Officers' Postings (DNOP) for photocopies of the contents of my *bluejacket*, the Navy Office file containing the secrets of my Naval life. A serving Naval officer confirmed that this was the case (adding that a certain admiral had quickly acquired the nickname of *the smiling assassin!*), but that I could not expect the contents to arrive for many months until DNOP acquired a dedicated photocopier. However, the contents arrived within a couple of weeks, and I must congratulate DNOP on the efficiency of his staff.

The Naval member of the SPPC was not only concerned about the possible impairment to the management of the RAN, but also, unofficially, about the possible court cases arising when ex-members sued reporting officers for loss of income due to allegedly libellous statements causing them not to be promoted. Whether this was a legal possibility or not, I did not ask the Director of Naval Legal Services: suffice to say, I am not inclined to pursue any of my detractors. The reason I am writing this article is to provide my current students with an illustration of a performance appraisal system in action, and secondly to allow readers of this journal the opportunity to analyse a system with which most will be familiar.

I teach students who are undertaking an Associate Diploma in Business (Management), and subjects include *An Introduction to Management*, *Human Resource Management*, and *Leadership*: all of them delve at varying lengths into performance appraisals. My difficulty has not been in showing the students the forms used by organisations, and discussing the relevant pros and cons of the principles underlying such forms, but illustrating the results of a performance appraisals by reference to some *actual* scores and comments. Perhaps obviously, textbooks do not include specific case studies. However, if anyone is to assess effectively, the relative strengths and weaknesses of a system or systems, he or she needs to be able to see how it works in practice.

Consequently, the revelation of my secrets has provided me with an ideal opportunity. In lectures, I would rather use actual cases than hypothetical ones because students can then relate the written with the reality. One of the regular comments in my Naval reports has been my lack of tact, and no doubt there will be some who will say that I have not changed: fancy publishing such personal comments which would be better left hidden away!

This article falls into two parts: to start with, there is an analysis of performance appraisal as it should be in theory, and then there is the detailing of my confidential reports. I have tried to be objective in the latter, in that I have not included any self-justification, or even self-defence, although I have filled out a couple of instances, without comment as to the validity of remarks, or scores, applying them. I hope my students and readers of this journal will apply constructive analysis to the contents, and that those who are appraising others will learn something from them. Those who feel that they know all there is to know about the principles of appraisal, may care to skip the first part.

I have no objections to anyone using the contents in any place of learning, subject to the usual acknowledgement of source required by the Australian Naval Institute.

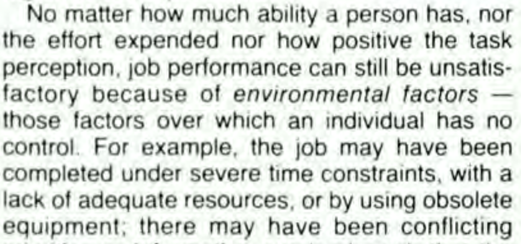
The Theory Behind Personnel Appraisals

The Factors Affecting Performance

The factors which affect a person's job performance are *ability, effort and task perception.* Ability consists of character traits, skills and knowledge which are used in the performance; it is always present and will not vary widely over short periods of time. Effort is the amount of manual or mental energy that a person is prepared to expend on a job to reach a certain level of performance. Task, or role, perception refers to the direction in which the person wishes to channel his or her effort and ability; it varies according to such factors as whether or not the job is seen to be important or of value (in itself, to the organisation, to workmates, to the individual), or whether or not there is an end in sight — ie, is what I do simply lost in the larger organisation or can I see it as a finished entity in its own right, no matter how small? Effort and task perception are constituents of motivation; many people who are not motivated keep their performance to an acceptable level by expending only 20–30% of their ability — managers who know how to motivate their employees can achieve 80–90% ability levels and consequently *higher levels of performance.*[2]

No matter how much ability a person has, nor the effort expended nor how positive the task perception, job performance can still be unsatisfactory because of *environmental factors* — those factors over which an individual has no control. For example, the job may have been completed under severe time constraints, with a lack of adequate resources, or by using obsolete equipment; there may have been conflicting priorities or information overload, such that the individual was confused and under stress; other staff and departments may have been less than cooperative; the restrictive policies of the organisation may have prevented the individual from using his initiative and imigination to the extent that he wished; the quality of the supervision

Figure 1. Determinants of Performance.[3]



exercised may have been defective — some people need encouragement and support, others like to be left to get on with the job.

Environmental factors do not *determine* performance, ie they cannot be used as excuses for poor performance, but they do have a *modifying* effect. Assessors of job performance should always consider the possible effect before jumping to conclusions. Similarly, they should be aware that effort is not the be-all and end-all of job performance; results are what count, not the activity engendered. Some organisations encourage managers to produce constant reports of activity without worrying too much about what is actually happening — the "look busy" syndrome. Top management can lose sight of its purpose and start to enforce activity controls which become increasingly unrelated to any useful purpose.

Reasons for Measuring Job Performance

I suspect that most people will say that the only reason for measuring job performance is so that higher management can decide which people are best deserving of promotion. But there are many other advantages to be gained from an effective personnel appraisal system, some of which are (in no particular order of merit):

a) helping set objectives and planning work schedules,
b) rewarding efficient and effective workers,
c) promoting, separating or transferring as appropriate,
d) evaluating different work methods, tools or equipment,
e) assessing or modifying working conditions,
f) estimating and allocating costs,
g) determining when and if a problem arises,
h) assessing employee's attitudes,
i. increasing supervisor's understanding of staff needs, or
j. improving and strengthening supervisor/subordinate relationships.

Any ony system may well cover a variety of these; the important point is that assessors, and assessed, should know *the aim* of the assessment, for comments and evaluations may well be different for different purposes. Accepting that assessors are human and subject to a natural degree of bias, comments made when a person's promotion and future career is at stake are *likely to be very different from comments made* about job performance when the aim of the exercise is to see if a new piece of equipment or a new work method is increasing efficiency or not.

In particular, recognising the most common use of appraisal systems, assessors must be aware of the Peter Principle:

> *It is important for managers to differentiate between the current performance and the promotability (potential performance). . . they assume that a person with skills and ability to perform well in one job will automatically perform well in a different or more responsible position. For this reason, people are often promoted to positions in which they cannot perform adequately.*[4]

Criteria for Measuring Job Performances

Before attempting to assess anyone's job performance, one has to set standards and make sure that they are agreed and understood by all concerned. The criteria to be used should be as objectives as possible; the problem is that many jobs do not lend themselves to such criteria, especially those concerning managerial and supervisory positions.

Relevance means that each criterion must be specifically related to the job of the individual being assessed; if the job does not have obviously measurable characteristics, then the assessment system has to use substitutes. For example, a supervisor may be assessed on the productivity of her section, because she herself produces no end-product; what must be avoided are substitutes which are irrelevant to performance, eg, the supervisor's standard of dress. Such a criterion could be relevant to the job of a receptionist, constantly dealing with the public and representative of the company image. The answer is that assessment systems should examine, wherever possible, that which is measurable; alternatives should be directly related to the job — there should be no room for varying interpretations.

Criteria should also be *free from bias*, meaning that all those being assessed should be given equal opportunity to score well. This entails giving everybody equal conditions in which to operate — time, resources, materials and so on. Allowances have to be made for those operating under adverse conditions; you should not compare the abilities of instructors teaching the same subject to students of different capabilities by comparing the examination results of their students. Environmental factors have a lot to answer for.

Reliability means that, the same person should receive the same assessments at different times all other things being equal. If the conditions remain the same, but the assessor changes, then a different assessment implies the criterion is unreliable. In another example, the number of letters written is not a reliable criterion for measuring the performance of a staff officer because no two letters require the same imput from her. Reliability can perhaps be equated with consistency.

The most practical quality of a criterion is its *availabilty*. With the best will in the world, organisations have to face the effects of time and cost — the chosen system will probably have to be relatively quick to implement, cost effective and reproducible, from year to year and job to job.

Whatever the implications of the last point, assessors should aim to their criteria as objective as possible, for the use of subjective measures increases the likelihood that subordinates will *not* accept that rewards are based on performance *unless a high degree of trust exists* between them and the supervisor. Subordinates' moral and motivation will be low if they have little trust in, and respect for, a supervisor who operates a subjective evaluation system; for ready accpetance of even the most objective of measures, there still needs to be a modicum of trust.[5]

Performing Well on the Job

Managers who have worked out some adequate criteria for measuring job performance, then have to ensure that employees attain those standards. The five generally recognised functions of management include staffing, which consists of recruiting and selecting the right people, inducting and training them, appraising non-approved behaviour.

Performance appraisal, the subject of this article, can only be fair and objective if it is directly to adequate and current *job descriptions*. Unfortunately, where they exist, they are often out of date and sadly abused; a skilfully worded job description can make anyone sound like superman or superwoman, and it is also useful for helping said superperson get out of difficult corners — *That's not in my duty statement!* To be of any real use, job descriptions should be drawn up and regularly reviewed by both subordinate and supervisor; they must reflect, in simple language, what is actually done by the person concerned; they must cover *every* task performed — not just those which are *supposed* to be done by the incumbent — and they must be current. One of the many tasks of a supervisor is to ensure that every member of staff has such a job statement: only then can he or she hope to assess staff fairly and objectively.

As stated earlier, the end result of an appraisal is reward or "punishment". However, I would like to think that sensible supervisors look on *discipline* as a means of *education* rather than a system of revenge or deterrence; employees who do not perform to expected standards are going to cost the organisation a great deal of time and money unless their behaviour is corrected — simply punishing recalcitrants will not necessarily prevent them, or others, from performing below par in the future. With performance standards based on reasonable criteria, well-explained and understood, and with adequate descriptions of the task to be completed, then *continuous counselling* as to successful or unsuccessful performance should go a long way towards improving that performance. How many of you have been praised regularly, once a week or once a month, for doing particularly well at whatever you were doing? How many had no idea how they were performing until the annual performance appraisal? How many are never praised? *(After all, you are only doing what you are paid to do!)*

The bit in the middle between adequate standards/job descriptions, and reward/correction, is the *performance appraisal* itself. As with discipline, an appraisal system should be a learning process for both parties — an opportunity to communicate and develop, to change existing practices on both sides. Lack of objectivity leads to an emphasis on personal characteristics — the fallacious belief is that they can be isolated and evaluated, so that approved ones can be rewarded. *The difficulties of a performance appraisal system based on personal characteristics are numerous.* [6] For one, managers resist the process because they have an innate dislike to acting as judge over a defenceless defendant; secondly, there is a temptation to favour friends, close associates, ones you like, the ones like you — no matter how unconscious this may be. Norman F Dixon comments that all large organisations, be it IBM or the military, tend to promote company images:

> *. . . those sorts of behaviour — conformity, obedience and physical bravery — which earn social approval and increased self-esteem are the very ones rewarded by steady advancement in military organisations. Conversely, many of the traits associated with the more entrepreneurial aspects of need-achievement — unconventionality and scant regard for the approval of others — are not welcomed in military circles.* [7]

Systems for Measuring Performance

There are many ways of measuring performance — some good, some not worth the paper they are written on, if paper is indeed used. For readers have to realise that *every* organisation operates an appraisal system whether it acknowledges it or not. Many of my students say that they work for companies that have no system — but when I ask them how senior management chooses someone to fill an acting position, they realise that a quick appraisal is put into effect. Not much intelligence is required to work out that the resulting choice is not necessarily, nor even likely to be, the fairest not the best.

For ease of discussion, I have divided typical systems into three:

* those relying on absolute standards, which means that individuals are measured in isolation, with no comparisons to other workers;
* those relying on relative standards, where individuals are compared and ranked against their peers; and
* management by objectives, which is a form of absolute appraisal but deserving of separate mention.

Systems Using Absolute Standards

(1) Essay appraisal — the assessor writes a series of statements concerning an individual's strengths and weaknesses, past performance, and potential for promotion; the length and quality of the content varies with the evaluator so there can be no consistency throughout an individual's career. It has the advantage of forcing the assessor to think seriously about the performance in question.

(2) Graphic Rating Scale — assessment of initiative, dependability, cooperation, attitude etc by awarding a score on a sliding scale, either very bad to very good, or 1–9. Although the individual is supposedly assessed in isolation, it does give comparative data and is relatively inexpensive; unfortunately most raters evaluate round about the average mark and very few systems indicate use of the whole range of available marks.

(3) Field Review — moderation of the two above: an appraisal specialist, from the personnel department or a higher section of the organisation, meets regularly with small groups of assessors in their departments (ships or establishments) and discusses assessments. The aim is to reach consensus on standards and interpretations; however effective, this form of quality control is expensive and time consuming.

(4) Checklist — the evaluator answers yes or no to a series of simple questions; there is no requirement for interpretation, and the system provides an accurate recording of *behaviour*. Scoring is completed by specialists away from the area, so the assessor does not know associated values for each question, ie, he or she does not know which are the "right" answers. Unfortunately, it is time

consuming and expensive, needing separate questions for each job category; as a result, it makes broad comparisons across job categories difficult if not impossible.

(5) Forced Choice Rating — several seemingly equal statements are presented and the assessor chooses the most appropriate; as with the checklist system, weighting and scoring systems are not known to the assessor — but, unfortunately, it has the same disadvantages.

(6) Critical Incident — the assessor keeps a log of good and bad activities; the aim is to assess *behaviour* and not personality traits; individuals should be allowed to give their interpretation of incidents. The danger is that recorders only record bad incidents and even forget relative scales when they review the incidents (just *how* good/bad was it?); they also forget to record items and make them up from memory at the time for appraisal — need I ask which ones are most likely to be recalled?

(7) Work Standards — the assessor records work completed according to objective and measurable standards: a fair day's pay for a fair day's work. I quote *the darg* to my students — an expression given to me by an old friend, which refers to coalminers sharing the week's wages with the other members of their team; they were paid according to how much coal each team had cut, and they trusted their mates to work as hard as much as each other even though they were on different shifts. Unfortunately, the darg is not measurable in many occupations, and is rarely applicable to professional and managerial tasks.

(8) Behaviourally Anchored Rating Scales (BARS) — the assessor marks along a scale which lists examples of definite, observable and measureable job behaviour — eg, he or she anticipates, executes, plans, solves, carries out. . . he or she prevaricates, questions every instruction, needs close supervision. Effective behaviours are rated higher than ineffective, and each behaviour is job specific rather than general, as in the examples I have quoted. Problems lie in the development of BARS for each job, though this can be turned to advantage by asking employees to make out the scales.[8]

Systems Using Relative Standards

(1) Alternatives — the evaluator writes a list of those being assessed on the left hand side of a sheet of paper — crosses off the best and puts that name at the top on the right; crosses off the worst and puts it at the bottom on the right. . .

(2) Pairs — the evaluator writes down a list of criteria; then compares person No 1 with person No 2 and awards ticks for superior performance against each criterion; he then compares No 1 with No 3, and so on. The individual with most ticks, wins; it is the same system that consumer affairs magazines use to decide which fridge to buy. This is not meant as a deprecatory comment. The system is unwieldy for large numbers.

(3) Group Order — the assessor is forced to rank employees in the top 5%, next 5% (or whatever) and so on: it prevents the sort of inflation which makes everyone look good — however, the mediocre can seem good by being the best of a bad lunch, and good individuals can score seemingly badly if up against excellent peer competition.

(4) Individuals — the assessor lists employees in order 1 to whatever; no draws are allowed. It has the same advantages and disadvantages as the group system.

Management By Objectives

MBO has had whole books written about it, and I do not intend to even summarise it here. Suffice to say that objectives are set jointly by subordinates and superiors, and individuals are periodically and regularly evaluated (two or three times a year). Evaluations have to be constructive, not punitive, with mutual benefit arising for the individual and the supervisor.

What concerns me here is that it is suitable for professional and managerial occupations in that it can be used to measure:

(1) ability to handle routine responsibilities and duties,
(2) ability to solve problems — achieve results in good time,
(3) ability to originate innovative projects, and
(4) ability to improve personal skills — of the four, this really reflects the responsibility of, and interest shown by, the organisation. (On-the-job training, internal and external courses, etc. For example, I had some 9 months training during a 3 year short service commission in the RN. On joining the RAN, I was not given an orientation course, because I had been in the RN; subsequently, I underwent a 2 day security course, a 5 day training administration course, and received assistance with my librarianship course.)

MBO is *not* effective in organisations that have little trust in subordinates, nor those that are autocratic, for it relies on self-control rather than external checks. *Leadership and the One Minute Manager* is a cheap book that proposes a simple but effective system. (See the bibliography for details.)

Your System?

You should now examine the system that operates where you work — is it absolute or relative; a bit of one and a bit of the other; performed by the immediate supervisor alone, or by several people in different places, some of whom may not know you well or at all? Is is a formal system, regularly applied and understood by all, or an ad hoc system applied as occasion warrants it? For what reason or reasons is the system in being? What degree of trust exists between employees and assessors? Is the system one where you are allowed to comment on your performance?

Whatever your answers, as a current or prospective assessor, you need to be constructive. Your system may not be perfect but it may be the best which is avaiable, bearing in mind the resources of cost and time. As a responsible and conscientious supervisor, you need to examine its possible faults and seek ways to improve it.

Distortions and Improvements

Criteria require a lack of prejudice and bias, but developing hard performance standards is most difficult in many jobs. Consequently, evaluators use subjective criteria and non-performance related standards which can easily give rise to the following distortions:

(1) Leniency Error — there are high and low markers, which would not matter if all staff were always assessed by the one individual; to be fair, some remote third party should work out an assessment index for each assessor. (This is *not* the same thing as the index error applied in the Naval system.)

(2) Halo Error — assessments may be influenced by one particular characteristc or incident which overshadows all others.

(3) Similarity Error — otherwise known as imputation — supervisors assess others by their own standards, often forgetting that if others were as good as the supervisors, they would be supervisors too. Those with similar traits get higher marks.

(4) Low Differentiation — inability to use the whole marking scale:

> *The ability to differentiate when appraising, and thereby to impart variability to the resulting distribution of scores, has been said to be the most fundamental quality that must be possessed by evaluators. This conclusion indicates that it may be valuable to test evaluators in advance to identifying those who are low differentiators and either ignore or place little credence in their appraisals.*[9]

I have quoted to my students, an experience with a Naval selection board, when I was sitting in temporarily for a permanent member called away on duty; I allocated one candidate a score of 39 out of 100 from ten areas of assessment similar to the confidential reports in the latter part of this article — I was informed by the Chairman that the permanent member would probably have awarded 48 so he was adjusting my score accordingly! I then began to take more interest in the scores and discovered that no candidate seemed to get less than 48, and no one scored more than 54. The details may have been changed slightly in the telling over the years, but I swear that the extent of the variation was not far from what I quote.

(5) Forcing — locking the stable door after the horse has bolted — awarding marks on the basis of preconceived opinions eg, seniority is more important than actual performance so seniors get higher marks; deciding someone merits promotion and awarding marks to match. Evaluators are not assessing individuals on the basis of job performance.

(6) Inflation — everybody is getting, and expecting, higher marks. There is evidence that although inflationary pressures have always existed, they have been more in evidence since the 1960s, with the growth in "equality" values in society and a greater fear of repercussions from negative assessments. This amounts to low differentiation in the higher ranges; all students now expect to pass — in fact, they are disappointed if they do not get credits![10]

(7) Inappropriate substitutes for performance — because objective measures are not available, or appropriate, evaluators are tempted to play God or The Psychoanalyst; usually, the resulting sweeping generalisations are incorrect, and often offensive. No doubt that crude but well-known Naval expression that someone *gets right up my left nostril* is an effective piece of communication — but it is not satisfactory as a descriptor of job performance.

> *It is not unusual, for example, to find organistions using criteria such as enthusiasm, neatness, positive attitudes conscientiousness, promptness and congeniality as substitute for peformance. In some jobs. . . (these) are part of performance. . . However, enthusiasm may in no way be relevant to effective performance for many accountants, watch repairers or copy editors. So what may be an appropriate substitute for performance in one job may be totally inappropriate in another.*[11]

In general, performance appraisal is not a widespread practice, and even where it is practised, it is often considered to be too difficult or a bind. The perfect system is not available to any organisation in terms of the criteria previously discussed, and taking into the account the vastly differing needs of individuals. However, many organisations without a formal system would do well to institute one, and those which do have one would do well to make some adjustments.

There needs to be a much greater emphasis on behaviourally related measures — traits may be prized by the organisation as *desirable,* but they do not necessarily indicate *performance.* The words themselves ("loyalty", "enthusiasm", for example) are subject to interpretation by different assessors — and the chances are that their interprestations will not match those of the people being assessed.

Feedback needs to be on a continuous, or more regular, basis, so that the pitfalls, stresses and strains of the annual interview are avoided. Appraisal should be a learning and constructive process for both parties, and employees should always be given plenty of opportunity to discuss their performances.

Increasing the number of assessors increases the probability of a fair assessment, particularly if the assessors have specialist knowledge ofhte person concerned. The use of peer assessments and individuals assessing themselves (especially with MBO) could be part of this system; subordinates assessing superiors is also relevant — it is a common feature in training institutions where students are asked for comments on their courses and instructors. Used sensibly, it need not be a threat to established lines of authority.

I cannot recall ever being given any advice, let alone *training, as an assessor;* I can recall once asking a senior officer for advice and being given a motley collection of notes, memos and handouts that he had assembled over the years from a variety of sources. *The Captain will send it back if he doesn't like what you have written* he said — shades of the score of 39 being arbitrarily upgraded to 48! Assessment of staff is a vital personnel function; the current term, *human resources management,* reflects the importance of people.

Low morale and motivation, and poor job satisfaction, can be avoided to a large extent by an effective evaluation system. Such a system requires assessors to be trained in the purpose, functions and implications of assessment; the training does not have to be lengthy, but it must be refreshed regularly — and not by memo from head office. The field review system, mentioned previously, could be used to effect in this regard.

Organisations should *experiment with several methods or a combination of methods,* to see which is most appropriate. We are all creatures of habit, but there is no excuse to continue doing what we have always done simply because that is the way we have always done it. I suggest thought could be given to a system which is a combination of narrative, critical incident and graphic rating scale; one in which those evaluated were allowed to *add* their own written comments if they wished; a copy would be given to the individual and a copy put on the personnel file — if the next assessment were no different, no additional report would be written, but both parties would be given an opportunity to say why there was no change.

I have heard of a system, used by a civilian contractor with the RAN, where each individual is assessed briefly on job performance, but extra detailed assessments are made on only those who actively seek promotion; this cuts down on a deal of time and offort and possible hostility. If the organisation wishes to promote someone who has opted not to be reported on for promotion potential, it can always discuss the matter with him or her and arrange for special reports by mutual consent.

Current Practice in Australia

Performance appraisal in Australia is not as widespread as it is in the United States, although most managers seem to recognise the value of it — they just do not have the time or facility to implement it.[12] A survey of 84 large West Australian firms in 1979 found that only 48% had any kind of system; of these, only 75% appraised regularly on a yearly basis, and only 50% of these had a completely open system whereby employees were allowed to see and discuss their appraisals.

A 1983 survey of 300 of the largest companies in Australia found that only 46% had a formal system; of these, 66% were irregular or conducted only when the need arose, and only 21% had a completely open system. (These figures may well have changed with the advent of Freedom of Information legislation, *vide* the RAN system.)

MBO is used in Australia, but mostly as a management training technique rather than for appraisal purposes. In one company that does use MBO for promotion, Hastings Deering Queensland Pty Ltd, 62% of staff indicated that they were in favour of the scheme, though it was time-consuming.

The conclusion about recent practice in Australia is that those systems in use tend to be for white-collar, low and middle management, and favour personality characteristics rather than specific job behaviours. **(to be continued)**

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BOOK REVIEWS

AUSTRALIAN INDEPENDENCE: COLONY TO RELUCTANT KINGDOM

W.J. Hudson and M.P. Sharp

Melbourne University Press, 1988. 153pp.

Revised by Lieutenant R.M.O. Hawke, RAN

This book deals with a subject which, surprisingly, most Australians have little knowledge, and when prompted for an opinion, either express ignorance or complete misunderstanding. The central argument of the authors, both members of the Department of Foreign Affairs and Trade, is that independence came to Australia with the passing of the Statute of Westminster in December 1931.

Although 1901 saw Federation and the Constitution brought into being, Australia was still dependent upon the United Kingdom. Whilst this dependence had a definite legal status, Australian political leaders were content to ignore this legal status and rely upon more tangible, and, to their mind, realistic bases for continuing dependence. Quite simply, Australia looked to the United Kingdom for economic prosperity and defence. Independence was neither wanted nor needed.

It was supposedly always a future goal for our early leaders that Australia would become independent. Nevertheless, it was never actively sought and was indeed thrust upon us. Independence was given in three phases between 1917 and 1931; with the United Kingdom surrendering control over dominion diplomacy, their executive governments and finally legislative control. The authors show that it wa a combination of the efforts of three "radical" dominions, Canada, South Africa and the Irish Free State, which gave independence to all dominions, including a reluctant Australia. Together with this examination of the process of independence, this book also focuses upon the role of numerous Australian political figures and their efforts to stem, or at least slow down, the process.

In retrospect, it is hard to understand why this subject has not received closer attention in the past. Be that as it may, this work fills a noticeable gap in Australian historical and legal study, and does it well.

Recent Developments in Information Technology

MANAGEMENT INFORMATION SYSTEMS

by Lieutenant V.B. Hyam, RAN

Introduction

1. The solution to the Management Information System (MIS) problem lies with the effectiveness of an organization's communications.

2. A MIS is a reflection of the communication, and processing of information, within an organization. Communication within the organization is the responsibility of management. The MIS designer has other responsibilities he must; interpret what is required, apply technological tools to achieve the objective and then ensure that communication from the system to management is effective. Effective communication may be defined as sufficient, clearly expressed timely information, satisfying user requirements.

3. For an organization, four important communication links exist:

a. organization to individual;
b. individual to individual;
c. individual to machine; and,
d. machine to machine.

Each communication is dependent on three factors; the information to be transmitted, the medium of transmission and the receiver of that information. An effective MIS requires every level of communication to be effective. With the degradation of any communication link there will be a decrease in the health of the organization. The MIS designer must be aware of all communication links and model these effectively, to be successful.

4. A clear definition of information requirements is essential for the successful implementation of a MIS. An individual within an organization has three roles, he is;

a. an information accumulator;
b. an information processor; and
c. an information provider.

These roles define the integral function the individual plays in achieving the corporate objective. The individual must be aware of who are his information providers, what assessments of the information are necessary and who this information is to be provided to. A clear definition of each role is required for the successful implementation of a MIS. If one of these roles is not clearly defined or understood the organizational health will be degraded.

5. In organizations where the information role is not clearly defined the design of a MIS becomes difficult, if not impossible. The failure of a MIS is not necessarily a result of the computer based MIS, it is more likely to be the result of failing of the organizations health (assuming that the MIS designer has executed his job properly). What we are seeing with the success or failure of a MIS is a measure of how well an organization was performing before the MIS was contemplated. The MIS highlights communication breakdown, poor role definition, ill defined corporate and management objectives and so on. When considering a MIS people are forced to consider the political issues effecting the organization. The MIS removes human frailties of ego, power bases and empire building as these cannot be built into a MIS and it would be preferable that they weren't present in the organization. In cases where implementation of a MIS has failed there will have been some benefit, the organization has been forced to assess the hidden agenda which affect the organization's health.

6. Successful implementation of a MIS is dependent on:

a. clearly defined corporate objectives and goals;
b. clear definition of the individuals role as an information accumulator, processor and provider;
c. person to person communication;
d. person to machine communication;
e. machine to machine communication;
f. corporation to MIS designer communication;
g. MIS designer to corporation communication; and,
h. effective implementation of MIS tools for information processing.

If all these criteria have been satisfied then the organization's health may be described as excellent, and the MIS may be expected to be a success.

Technical Factors In Designing A MIS

7. The designer of a MIS must consider the technical factors which will effect communication in the designed system. The way in which hardware may be required to communicate, the design of the software to allow updates and system modification and the speed of reponse of the system must be considered. It is good design practice to design the system using a particular software standard. This allows other modular software to be added to the system if required. A good technical approach by the designer allows for system flexibility, communication, updating and system maintenance resulting in a useful system that may be modified to suit the perceived needs of the organization.

8. The machine to machine communication management is dependent on the protocols of a system and the architecture of the system. If systems are incompatible, at best no communication will be executed between computers and peripherals and at worst partial communication will occur resulting in spurious data transfers which may be dangerous to a user.

9. The man-machine interface is the critical link in the acceptance of a MIS as it provides the way in which the machine and the user will interact. In cases where this interface has not been carefully designed the system may be rejected. Characteristics of good user interface are referred to as user-friendliness. A user-friendly system prompts the user as to alternative action that may be executed from where he is in the program. Prompts should be designed with the user in mind to allow a user to select a variety of options likely to be required by the user.

10. Increasing demands of a MIS is resulting in complicated code in large programs to be written. The structure of these programs is important for future modification. An ad-hoc approach to software design maybe acceptable in small programs but as the complexity to the program increases logical structuring of the program becomes essential to allow future modification. The design of the software should be similar to a book: a contents page, chapters covering individual tasks and paragraphs covering individual processes. A well designed system allows ease of maintenance and modification by the removal or replacement of "chapters" of the "book", during the maintenance of the software. It is easier to read a 2500 word essay than a 2500 word paragraph.

Human-Technical Factors In Designing A MIS

11. Essential for the maximum utilization of information technology is the communication between the designer and the user. The user must fully understand the technology that is available and the designer must understand the problems that are to be solved. This process must, by its nature, must be iterative. The initial design may be a prototype to allow the user to assess what uses may be made of the system, user interface design and his general attitude to the system. Requirements may then be modified as the clarification of user requirements and designer capability for further refined.

12. In the design of a system, for a user, a delicate balance must be struck between accommodating the development of the organization and constraining the organization to operate in accordance with the MIS. As an organization evolves the requirements of the MIS may alter. It is important that the designer determines what the future expectations of the MIS are. A poorly designed MIS may reduce the organization ability to respond to a change in the working environment, as the organization evolves the MIS must evolve with it or eventually the MIS will require complete re-design or fall into disuse.

Characteristics Of Ideal MIS

13. There are a number of characteristics which would seem desirable in a MIS.[1]

a. be geared to the setting and monitoring of corporate and management objectives, and performance targets;

b. be focussed on regular presentation of a small number of key indicators, relevant to the respective level of management, which portray the agency's overall performance against short-term budget oriented and standards oriented targets; and against longer term strategic plans;

c. be able to provide information on both resource usage and on outputs or outcomes, measured against historical trends and future targets, by program, region etc.
   — reporting on both trend and actual performance in sufficient detail to give a broad picture of corporate health;

d. flagging the need for senior management intervention in particular areas where trends or performance move outside specified tolerance limits;

e. be able to answer "what if" questions about broad demand for the agency's services, or about the implications for outputs/outcomes based on alternative "futures"; and,

f. incorporate estimates of forward looking information on broad environment variables, which impact significantly on the demand for the agency's services or are likely to affect the level of resources available to it.

SOURCE OF RESISTANCE	SUGGESTED RESPONSE
Fear of the Unknown	Information and encouragement
Need for Security	Clarification of intentions and methods
No felt need to change	Demonstrate problem or opportunity
Vested interests threatened	Enlist key people in change planning
Contrasting interpretations	Disemminate valid information
Poor timing	Await better time
Lack of resources	Provide better resources/reduce performance expectations[3]

14. Reference 1 also goes on to discuss three broad phases in the implementation of a MIS:

a. *Phase 1 — MIS Strategic Planning:* where the relationship between the corporate goals and objectives of the organization and the MIS policies, objectives and strategies are established;
b. *Phase 2 — Corporate Information Nees Analysis:* where the overall information architecture is defined on the basis of current and projected information needs and a MIS development schedule is prepared taking into account priorities and resource constraints; and,
c. *Phase 3 — MIS Resource Allocation:* where staff and financial resources are allocated to hardware and software installation, MIS operation and management in a multi-year project.

Implementation of a MIS

15. Having designed a MIS the next phase is to execute its implementation, this could in fact be the greatest problem yet faced by the designer and the executive. The problems of implementation may be minimized if active consultation has been undertakn during the design of the system. The impact on the organization implementing a MIS should not be underestimated, as a change agent the system is threatening the whole social structure of the work environment. This may generate significant inertia and the rejection of the MIS.

16. Resistance to change is generally viewed as something to be over come so that a better system may be implemented. Consider the alternative view point; that resistance to change is really feedback which can be used constructively by an astute change agent.[2] The essence of this notion is to recognize that when people resist change, they are defending something important and which appears threatened by the change attempt.

17. Shown in Table 1 are examples of why people might resist the introduction of new management practice, also shown are techniques that may be used to reduce resistance.

18. People may resist a change because it is something which does not appear to be worth their time, effort or attention. To minimise this resistance:

a. maintain a positive advantage of the proposed change;
b. ensure that the change is compatible with existing values and experiences;
c. ensure that the change is not too complex, easy to understand and to learn how to use; and,
d. that the MIS is usable on an incremental or experimental basis before a total commitment is made.[3]

Conclusion

18. A computer based MIS in its design should be capable of automating the information requirements of an organization to achieve the corporate objective. A MIS provides a powerful tool if designed and implemented effectively, but may easily fall into missuse if it has even the slightest blemish.

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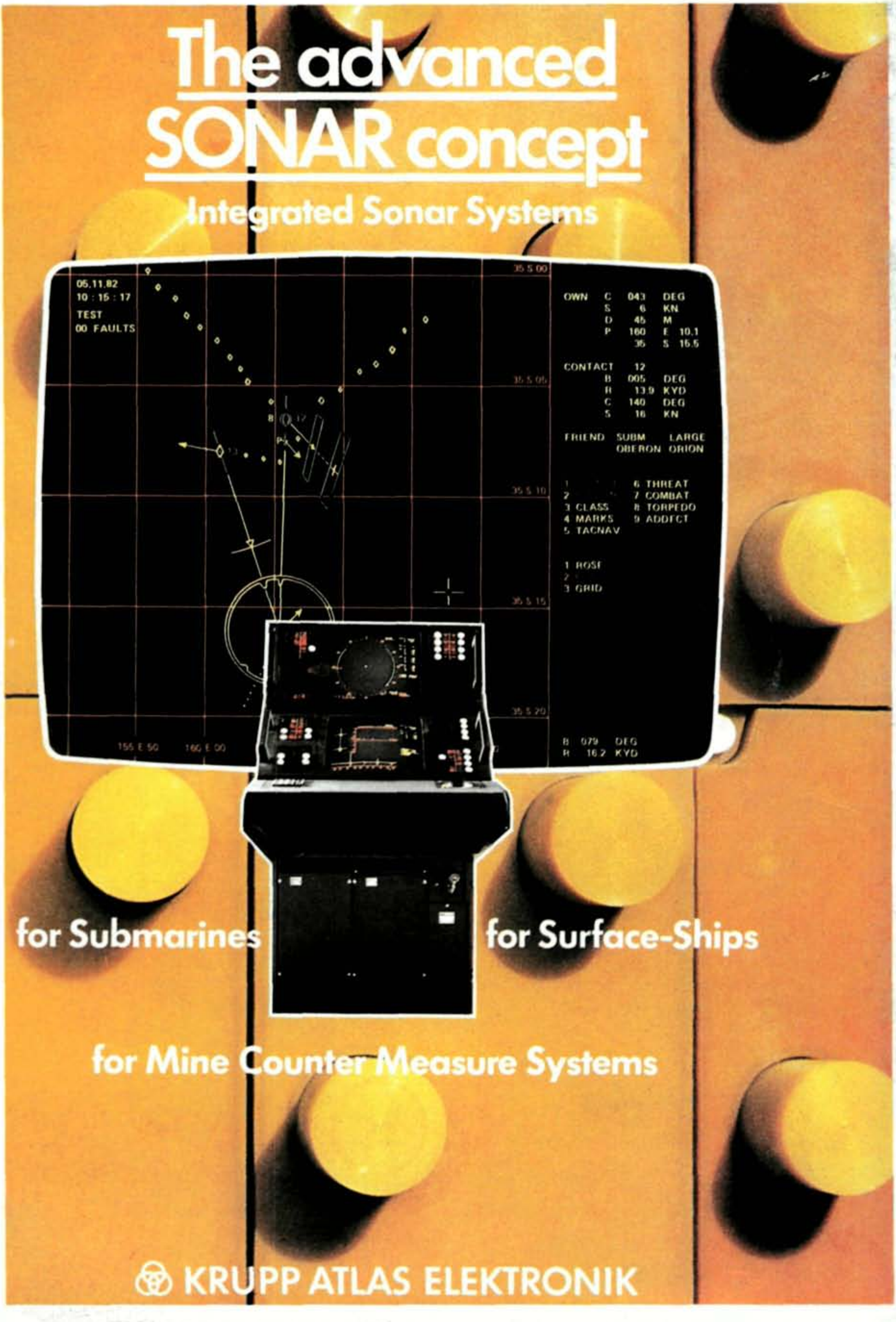
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