Leadership and Ethics

Naval Science 4

Selected Readings for NJROTC Students
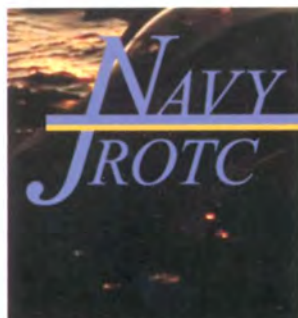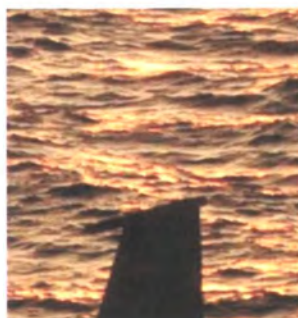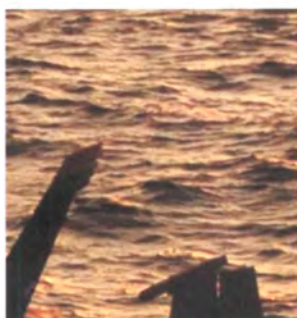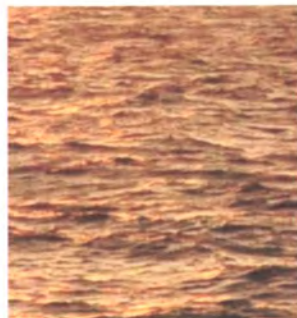
NAVY JROTC
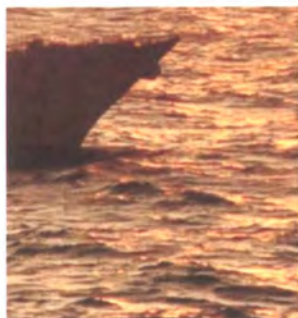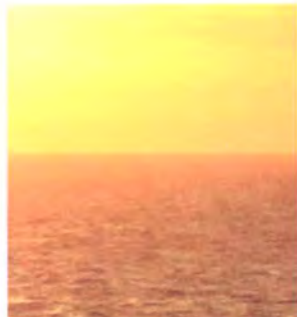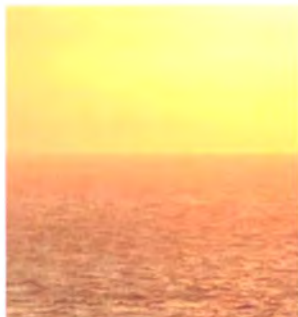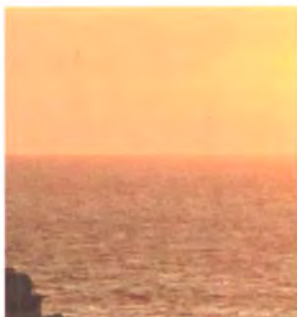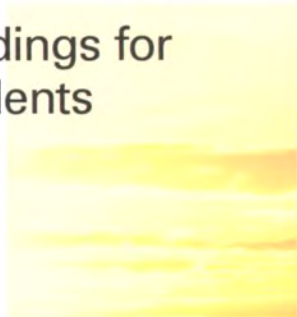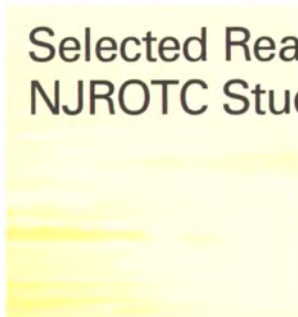
TABLE OF CONTENTS

THINKING ETHICALLY: AN INTRODUCTION

From Ethics for the Junior Officer: Selected Cases from Current Military Experience

Leaders are challenged to exercise an **ethical code**. In practice, ethical dilemmas generally fall into one of the following categories:

- Pressure
- Seek the Truth
- Subordinates
- Organization
- Know the Rules
- Additional Points

Each of these topics is briefly explored in this introduction. Later, you will be presented with real world ethical issues. You will then critically evaluate each case.

Key Term
ethical code – *a principle of right or good conduct, or a body of such principles.*

Pressure

At times leaders will be presented with a difficult decision because of pressure from others to do something that the leaders might not otherwise be willing to do themselves. Whether it is a senior, peer, or subordinate who is making the request, the leader must keep in mind that in the long run, things that are done improperly are eventually found out, with resultant distrust of all future efforts by the person who committed a wrong in the first place.

Keep the following in mind when considering ethical problems that involve pressure:

- Your reputation depends on you not giving in to pressure.

- A leader who comes to realize that a given act was unethical must then question what to do.

- There is no place to hide when the truth is finally found out.

- Usually, doing the right thing the first time requires more time to consider all the alternatives and why it is, in fact, the right thing to do.

- The rewards for doing what is right are threefold:

    1. You can live with yourself.

    2. You do not loose a lot of precious time later making up stories, trying to remember what you told to whom, etc.

    3. Your **integrity** is never questioned.

Key Term
integrity – *honesty, sincerity, wholeness.*

Seek the Truth

One of the special responsibilities leaders have is to preserve the practice of telling the truth. If you suspect a subordinate is lying, it is your responsibility to ask for clarification. It is also your responsibility to set an example and to encourage others to be truthful. If you do not, you send the message that it is okay to lie to a senior. You also send the message that the senior really wants to be lied to; that is, he or she approves of improper conduct but doesn't want to formally okay the **transgression**.

Key Term
transgression – *a broken law, a wrongdoing, disobedience.*

The responsibility of seeking the truth goes beyond your dealings with subordinates. If you think you are being lied to by a peer or senior, you have the responsibility to question what you are being told. Of course, good judgment and diplomacy are good habits to practice with peers, seniors, and subordinates.

Here are some reasons why it is important to ask for clarification:

- You may not have understood what was said to you.

- Your own information may be faulty and so your interpretation of what was said may also be faulty.

- You must not assume that a peer or senior would deliberately lie to you. They may actually believe what they say to you.

Subordinates

There should not be a lower sense of **accountability** for leaders and consequences for **infractions** should be fair, if not equal. The reason for this is that leaders are *expected* to conform to the rules and regulations with little or no supervision. Leaders are role models for subordinates.

Leaders are not only required to act properly in accordance with "Standards of Conduct" regulation, they are expected to know them *so well* they can recognize unethical behavior in others. When the subordinate is seen acting unethically, and the leader appears to know what is going on, the assumption is made that the officer both **condones** the unethical act *and* is deliberately looking the other way so as to allow the improper behavior to continue.

One contributor to unethical behavior by subordinates is their belief that they are being treated unethically and thus may give back treatment in kind. If leaders are fair, compassionate, and straightforward with their subordinates, then those subordinates will positively respond to demands, for they want to return that loyalty.

Avoid treating subordinates unethically, not because they will report you, but because treating them fairly is the right thing to do.

Organization

Managerial competence is needed for leaders to make sure an ethical work environment can exist. Ethical conduct is facilitated by good organization. When disorganization is evident, ethical behavior is also affected— individuals often begin to take shortcuts to get things done, perceiving themselves as part of a hollow, disorganized force with a thin infrastructure.

The bottom line is that when channels of communication and movement of materiel are not facilitated properly, then nonstandard, possible unethical ways to accomplish mission objectives often result.

Know the Rules

Leaders are expected to know as much as possible about the laws governing the actions of their personnel, but they cannot be expected to know *all* the laws governing the actions of personnel; consequently, it is the responsibility of each leader to seek proper guidance in all instances when he or she is not positive that what he or she is doing is ethically correct.

Key Term
accountability – *responsible; explainable; the responsibility and obligation imposed by law on military personnel for their management of personnel, property, or funds assigned to them.*

Key Term
infraction – *a violation or transgression.*

Key Term
condone – *forgive or overlook.*

Additional Points

Here are some additional points worthy of remembering:

- Carelessness and inefficiency can easily give the appearance of **impropriety**.

- **Soliciting** gifts to auction for your organization is unethical because it carries with the suggestion that if one "cooperates" with the organization then in some extra way the organization will give something back. Certain services, such as military service to one's country, are to be given freely.

- When you leave an organization, leave the organization-provided property behind.

- Try to use the chain of command to resolve problems.

- An indifferent attitude by leaders toward alcohol and drug abuse cannot be tolerated. Adequate education and training must be conducted.

- The organization's climate can adversely affect all aspects of operations and spill over into member's personal lives.

- Religious, racial, sexual, and ethnic biases are not ethical whether they are the basis for positive or negative personnel action.

- Treat other as you would like to be treated.

- The *perception* of wrongdoing will have the same effect on the organization as is there actually *is* proven or confirmed wrongdoing.

- Don't talk negatively about anyone in front of his or her peers, especially when they are not present.

The rewards of an ethical approach to service are many, including the self-satisfaction of having exercised leadership in a positive manner, knowing that one is contributing to the job satisfaction of others.

Key Term
impropriety – *an improper act.*

Key Term
solicit – *to ask for something.*

Thinking Ethically: Things to Consider

Consider these factors in determining the proper actions to take when trying to solve ethics issues.

Pressure
• Does the leader attempt to delegate accountability when he or she is the one who is accountable?
• Is there pressure upon the leader from seniors, peers, subordinates, an organization, or the community, to behave unethically?
• Does the leader do the right thing from the very beginning?

Seek the Truth
• Be it senior, subordinate, or other, do you suspect someone is lying to the leader?
• Does the leader ask for clarification?
• Does the leader validate the facts?
• Does the leader encourage others to be truthful?
• Is someone actually lying to the leader; if so, does the leader confront the liar?
• Does the leader fail to act when necessary?

Subordinates
• How might the leader's actions be perceived by subordinates?
• Does the leader allow unethical action by one of his or her subordinates?
• Is the leader slow to react to unethical action by one of his or her subordinates?
• Do the subordinates believe they are being treated unethically?
• Does the leader act fairly, compassionately, and straight forward with his or her subordinates?
• Is someone assumed to be acting ethically simply because he or she seems to be an outstanding performer?
• Does the leader apply a double standard?
• Is the leader a good role model for his or her subordinates?

Organization
• Is an ethical work environment being maintained?
• Does the leader demonstrate managerial competence?
• Are the channels of communication and the movement of materiel properly facilitated?

Know the Rules
• Has a code or rule been violated?
• Does the leader know how to enforce the rules, regulations, or policies?
• Does the leader seek proper counsel if he or she does not know the rules, regulations or policies?
• Is there the appearance of impropriety?

Additional Points
• Are there any additional points to consider?

LEADERSHIP GROUP DYNAMICS

By Reserve Liaison and Training Branch, Education Center, Marine Corps Development and Education Command

In recent years social scientists have done more and more research in the area of group behavior. This research is aimed at learning how and why groups behave as they do. When individuals are brought together in a group situation, those individual needs take on a **new dimension**. Each person in the group is no longer influenced only by personal and private needs; he or she is also influenced by the needs and behavior of others in the group. This mixture of needs and behavior in the group creates a complex and dynamic force. Because leadership functions in a group situation (if only a group of two), the leader must have a working knowledge of group dynamics in order to effectively and positively influence the group. In this chapter we discuss the nature of groups, their behavior, and how the leader can use group dynamics to mold an effective group. There are no set rules or formulas to be applied to a group of individuals that will immediately result in effective group effort. Not all groups have the same objectives. Neither are they composed of individuals with the same ideas, aptitudes, likes, or dislikes.

> ### Key Term
>
> **new dimension** –
> *a new extent, size, or scope of something.*

Scientific study of the **psychological factors** of group behavior is relatively new, but already the results of such study are being used by leaders in influencing subordinates in many areas of business, government, and the military and even sports. Such questions are being asked as "What factors cause better teamwork?" and "What makes a mediocre team defeat a much higher-rated team on a given day?" Coaches being interviewed prior to a game are always asked, "Is your team ready for this game?" The question does not refer to the physical strength of the individual members of the team, but to the mental attitude of each member and the team as a whole. Coaches being interviewed following the loss of a game often say that their team was not "up" for the game-that is, they were not sufficiently motivated to give their best effort. Leaders in every field are looking for ways to motivate workers, salespeople, students, athletes, and soldiers. The study of group dynamics is aimed at helping the leader to discover new ways not only to motivate people, but to do it in a way that will provide satisfaction and happiness to those being led.

> ### Key Term
>
> **psychological factors** –
> *factors pertaining to or derived from the mind or emotions.*

The Nature of Groups

Master-at-Arms 1st Class Jessica Reyna marches with her division at Recruit Training Command (RTC). Reyna, who has a daughter, has been juggling single parenthood and going to school while training recruits for three years. She is training her 11th division at the Navy's only boot camp.

The word "group" when used in reference to people means two or more individuals who have common purposes or characteristics. It implies that the specific members interact and affect each other. Through interaction the members of the group become acquainted with each other, and the group develops a personality of its own. The use of the word "I" gradually changes to "we," and the group starts functioning more as a team with a common purpose.

What actually takes place in this gradual process? True functioning groups are found only when each member gains satisfaction from membership in the group. The use of the word "we" indicates that satisfaction is being gained and the individual is identifying with the group. Thus, in understanding the nature of a group, we must refer to our knowledge of human behavior to find out which individual needs can be satisfied by belonging to a group.

Security through Belonging. It is difficult for an individual to objectively analyze and explain his or her actions. If a man wears his hair long, it might be difficult for him to tell why. He might just like it that way, or perhaps his girlfriend likes it that way. But more than likely, it is because of the influence of the group with which he associates. Group thinking influences social behavior and plays an important role in controlling the general way of life for most of us. It is one of the main controls of social behavior.

Individuals have a desire to be identified with others. This desire could be caused by common interests or goals, or by a person's gregarious nature. Individuals seem to gain a certain amount of security through having a set relationship with others. An individual may belong to several groups at once-the family, a lodge, a fraternity, and a social club. The reason a person belongs to all these organizations is that membership in each group promises to satisfy some needs.

Belonging gives us a feeling of having **status**, of having a definite purpose or role in the group. It may be a major role or a minor role, but this does not seem to matter. The important thing is that there is a defined place or role in the group. Who is who? What is one's place? How long will the place last? How can one rise in the group? The answers to these questions are important aspects of belonging. They let us know where we stand in relation to those around us. This defined place or role gives us the security of having something stable to work from.

Key Term
status – *the position or standing, especially social standing, of an individual or group.*

Fulfills the Need for Recognition. All individuals seek status; for this status to be of value it must be recognized by others. Through membership in various groups the individual is seeking a means of gaining some recognition.

Master Chief Petty Officer of the Navy (MCPON) Joe R. Campa Jr. presents a Sailor with a certificate of educational achievement during the Naval Air Facility Atsugi's 2008 Recognition Ceremony. MCPON presented certificates to more than 60 Atsugi Sailors who earned a college degree.

The status of an individual is actually a matter of how one feels about one's place in the group. This does not mean that everyone, to have status, wants to be boss, the president, or the supervisor. Status depends on what individuals think about their role or place in the group and on how they define success for themselves in this role. Some individuals prefer a place that is in the limelight, while others prefer the obscure or insignificant role. In other words, each individual has a certain preferred place, status, or role that he or she wants other people to accept and recognize.

An individual may gain feelings of esteem from the status of the group. If the group is well thought of, accomplishes many worthwhile goals, and is looked upon as a group with merit, it brings credit to its members. The Marine Corps has long used this means of satisfying individual esteem needs through the prestige of the group. There is nothing wrong with this method, for it serves as a strong motivating force. Unit citations, honors, and commendations all accomplish the same things, for individuals like to belong to groups they are proud of.

Satisfaction of Other Needs. The belonging and recognition needs are not the only needs that may be satisfied through group activities. The individual may join a group for several reasons. The physician may join a medical society to have access to the latest medical information. The laborer may join a union because he believes his economic status will be improved. The owner of a downtown business may join one of the city's civic organizations in order to have more contact with the public and other businesspeople. Some groups exist solely

because individual needs can best be satisfied through united effort. The group that promises satisfaction of more than one need is going to be more attractive than one which offers satisfaction of only a single need.

The group and its activities are very important to the individual in the military service. The change from civilian to military life means learning to and get along in a new society. The needs that satisfied through a variety of civilian activities suddenly blocked because those activities are longer available. The avenue that is open for individual to gain some satisfaction is through association with the other members of the military service this association can be much than in civilian life, for a military unit may thrown together with no other contacts for an tended time.

Identification with the Group. This is probably the secret of building successful teams. We know that individuals join or identify with a group because the association promises to payoff in satisfying some deep-rooted needs. These needs must be satisfied by and through the group to cause the individual to wholeheartedly identify with it. On the other hand, the group must benefit from the identification of its members. This means that accomplishing the group's mission is a responsibility of all group members. Another important aspect is that group identification must be satisfying to all members rather than just a selected few. There is no surer way of losing group members and the effectiveness of the group than by favoring a selected few. The group is not a team until *all* members start identifying themselves with it.

Individuals who are effectively identified with the group and its objectives will show this identification by boasting about or showing pride in belonging to the group. Individuals who show this feeling for the group are accepting group success or failure as their own success or failure. On the other hand, some individuals become so strongly identified with the group that they think the group can do no wrong. In this case the individual may become overly dependent on the group and look on those outside as being its enemies. A healthy degree of identification with the group is essential, but not to the extent that the individual loses his or her own identity.

Group Dynamics

Group dynamics are those forces that result from the interaction of group members among themselves and between the group and the environment in which the group exists. Those forces within the group may be called *internal dynamics*. Those forces arising from interaction of the group with its environment may be called ***external dynamics***.

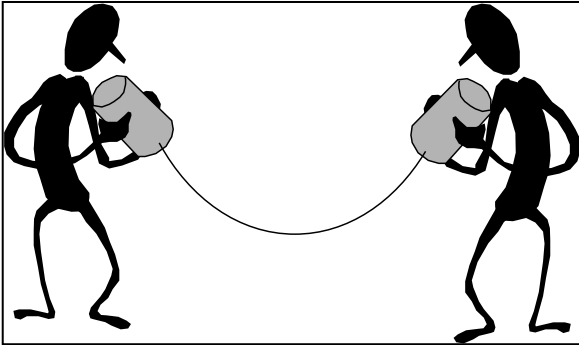| Key Term |
|---|
| **group dynamics** – *the factors and relationships that govern behavior of a group of people.* |

Key Term
external dynamics – *the changing relationships between or among individuals comprising a group and individuals outside the group.*

Internal Dynamics

The **internal dynamics** of a group includes those actions resulting from the communication and participation patterns within the group. The behavior and performance of the group is also influenced by such factors as group atmosphere, group standards, group identity, and group spirit.

Communication Patterns. Communication within the group is absolutely essential for effective group functioning. Communication is necessary to provide the information needed to accomplish the group task. Without communication there can be no coordination or cooperation, and there would be no means to develop group attitudes and spirit. Communication is the primary process of group dynamics.

Key Term
internal dynamics – *the changing nature of a relationship between or among individuals within a group.*

There are many ways by which people in a group communicate. In a formal group there may be established channels of communication, such as the "chain of command" in a military organization. In a democratic group the patterns of communication are more informal. In either case the leader of a group must be at the center of the group communications network. The leader must be in a position not only to direct communications downward to members of the group, but also to receive communication coming up from the group. This two-way communication between the leader and the group is necessary for a number of reasons. First, the two way exchange of communication enables the leader to determine from the "feedback" from the group whether ideas or instructions have been clearly received and understood by the group. It also provides a means for group members to contribute their ideas and suggestions to the leader. If this upward channel of communication is left open and subordinates are encouraged to use it, many good ideas will originate from the people who are in the best position to recommend changes that will increase efficiency at the working level of the group process. This upward communication also provides a means for subordinates to "let off steam" or to get problems and gripes off their chest. It is not enough, however, to merely leave the door open to upward communication. Leaders must actively encourage and solicit ideas, suggestions, and gripes from members of the group. They can do this through informal discussions with subordinates or by more formal means such as suggestion boxes, or incentives or rewards systems. However they do it, they must create an atmosphere wherein members of the group are encouraged and will feel free to make their ideas known.

Another important communication pattern that exists in all groups is what is known as the "**grapevine**:" This is a term that originated during the Civil War when telegraph wires were often laid in tangled, crisscross patterns that somewhat resembled grapevines. Infantrymen would often tap these telegraph lines in an attempt to get some information about what was going on at the upper echelons of command. This unofficial information was, of course, widely disseminated and was said to come from the "grapevine." The expression today has come to mean any unofficial information that is passed among the members of a group. This information consists of a combination of facts and rumors, but studies of the grapevines of major organizations have shown the information to be highly accurate and reliable. In some cases this information has proven to be 80 to 90 percent accurate. The reason for the reliability of such communication between group members is due in part to the informal atmosphere in which it is transmitted. Since the information is usually passed among friends, it is received in an atmosphere of trust and confidence. This informality helps to

Key Term
grapevine – *an informal means of transmitting information, gossip, or rumor from person to person within a group.*

avoid some of the psychological blocks that interfere with communication between subordinates and seniors. Because this information is usually something of specific interest to the group, members tend to be receptive to the information and are more likely to remember it and pass it on just as they heard it. Problems arise, however, when the grapevine starts to circulate rumors. Rumors tend to spring up any time there is a lack of factual information about things that are of vital interest to the group. To prevent the spread of rumors, the leader must keep the grapevine supplied with facts. When the group knows the truth about a situation of interest to them, they have no need or desire to spread rumors.

Rather than look at the grapevine as a nuisance, leaders should use it to the advantage of effective group communication. They can learn through the grapevine who the informal leaders of various subgroups are, and through them, leaders can use the grapevine to gain information that might not be available through other means. A leader can also use it to disseminate messages that might be better received in the informal atmosphere of the grapevine.

Participation Patterns. In the group situation it is impossible for every member to participate to the same degree. The varying interests, aptitudes, and talents of the individual members will largely dictate the participation pattern of a particular group. If the group is left to find its own pattern without direction from group leadership, some unfavorable patterns may develop. Some members will tend to over participate and dominate the group. Others may fail to participate at all without some stimulus from within the group. In a group discussion, for example, a few members might try to do all the talking, thus depriving others of an opportunity to contribute to the discussion. Frequently a discussion will not

bring out what various members might be able to contribute. It is the leader's duty to draw out ideas and opinions from the entire group. The leader must realize that all members have something to contribute, but it is sometimes necessary to encourage participation by those who are shy or reluctant to speak for fear of ridicule.

The leader's participation will also have a considerable influence on the participation pattern of the group. If the leader is autocratic and authoritarian to the degree of making all decisions without seeking the advice and assistance of others, the other members will soon cease to participate in the decision- making process at all. This could also affect their attitude toward the group and its goals. A much better situation is created within the group when the leader draws upon the varied talents that are available in the group. This makes the group aware of its talents, skills, and other resources, and enhances the feelings of worth of individual members.

Group Standards. A common characteristic of all groups is the adoption of group standards. That is the code of operation or behavior that the group adopts in a particular situation. It is a collective sense of responsibility that the group has about how it carries out its work. Sometimes a group's stated standards may not agree with what *is* the actual practice. For instance, new cadets join the unit and are told that they must maintain a neat appearance, with shined shoes, a proper uniform, and a neat haircut. For a few weeks they come to school that way, but they notice that other cadets have unshined shoes and unpressed uniforms, and nothing is said about it. Soon the new cadets are coming to school with unshined shoes and an otherwise unkempt appearance. They have adapted themselves to the true group standards, which are different from what the new cadets were told when they joined the unit.

It is the responsibility of the leader to help the group to set standards for acceptable performance. It is not enough just to aim for high standards. Group standards should be well defined so that each member knows what is expected. They should also be realistic. If stated standards are so high that they are impossible for the majority of the group to maintain, they will lead only to frustration and dissatisfaction. Group standards should also be consistent and not change at the whim of group leaders, and they should apply to all members of the group. The example that is set by leaders of the group will in the long run have a greater influence on setting the true standards of the group than any formal statement of ideals or aims.

Group Solidarity. Another characteristic of a group is that of group solidarity or cohesion. This is the tendency for members of a group to stick together. This tendency may be very strong, or it may exist only as a fragile bond, but every group exhibits this characteristic to some degree.

Commanding Officer Expeditionary Medical Facility (EMF) Kuwait, Capt. C. Forrest Faison, leads his personnel through the final mile of the Hospital Corps 108th birthday run. The One hundred eight mile run, in honor of the corps birthday, lasted 24 hours and involved dozens of EMF Sailors and Soldiers, each running individual mile. In a show of solidarity and pride, Faison and his EMF team finished the 108th mile together in formation.

Group solidarity is achieved through a variety of motivations. Some groups may stick together for security or protection. If a group is attacked from outside, it comes together more strongly to defend itself from these attacks. An example of this is the story of the Jewish people in Germany under the persecution of Hitler's policy of extermination. As a result of their treatment they developed a solidarity of spirit and determination that had not existed previously among that group.

The goal of the group leader is to develop the kind of group solidarity that will enable members to work together in a cooperative situation in which all members have specific responsibilities and are at the same time interdependent on each other. This kind of solidarity is developed in a number of ways. The first factor in the development of group cohesion is the simple matter of close association. To develop strong emotional ties people have to know each other well and this can be done only through close association. Close association over a long period of time can develop very strong bonds between group members. The longer a group stays together in an organization, the stronger their feelings of solidarity become. But close association alone is not enough to develop strong bonds among people. It is also necessary for them to have a common purpose. Group purpose and teamwork are essential in building group solidarity.

Another factor that promotes group cohesiveness is common experiences. People who share common experiences develop close identity with each other based on those experiences. These experiences, however, must be satisfying to group members. The sharing of frustrating experiences or failures can break up group solidarity as members leave the group to disassociate themselves from unpleasant experiences. The leader of a group can promote solidarity by providing situations that promote close association through common experiences with a sense of common purpose.

Esprit de Corps. When an organization has a high degree of solidarity and group identity, it is said to have esprit de corps. Esprit de corps has a meaning that transcends the literal translation of the words. It is a quality that is found in formal organizations with a strong sense of history, tradition, and heritage, and which offer its Members opportunities for recognition and **prestige** through membership. It is characterized by enthusiastic pride and loyalty of members, including the display and use of symbols and slogans that are identified with the group. When a group has high esprit, it is often capable of performance that far surpasses what would be normally expected. If this quality is highly developed in an organization, it is possible to pass it on from generation to generation in the same organization even though the entire membership will change over a period of years.

> **Key Term**
>
> **prestige –**
> *prominence or influence achieved through success, renown, or wealth.*

External Dynamics

In addition to the internal forces that affect group action and behavior, there are external forces that also have an important influence on the group. These external forces are the factors that affect the group as a whole. Every group exists in some kind of environment. Your Marine Corps Junior ROTC unit exists in the school environment, which in turn is part of a larger community. The attitude of your school and community toward your unit will have an effect on the way your unit performs. Your parent organization, the Marine Corps, is another external force that influences your unit. All of these external groups have a certain image of your unit, and they have certain expectations about how you should perform as a group. The Marine Corps expects you to uphold the same high standards of behavior and performance that are expected of all Marines. The school expects you to represent the ethics, standards, and values of the school.

Sometimes there may be conflicts between the expectations of some of these outside influences. For example, the standards of dress, haircuts, and appearances may differ between what the school population expects and what your Marine Instructors expect. Such influence will have an effect on the behavior of the unit and must be considered in understanding its functioning.

Another factor of external group dynamics is the membership of group members in other groups . Members of a group may belong to a number of groups, all of which are competing for the individual's time and energy. Since time is a limited commodity, the individual must make a choice of which group is most important. Usually the individual will choose the group that offers the greatest opportunity to achieve security, acceptance, recognition, and the other basic needs.

No group exists in a vacuum, and group behavior cannot be considered without reference to external forces. The group leader must be aware of these external forces and see that group goals are kept in harmony with the goals of the community in which the group exists.

The Group Leader

The overall objective of a leader is to motivate the group toward the achievement of its mission or goals. To do this the leader must create within the group a satisfying social structure. There are a number of techniques that can be used to achieve this kind of group situation.

Identify Goals. The leader must help the group members to identify specific goals so that they will have a clear picture of what they are about to accomplish. If it is a democratic group with goals that are derived by consensus, it may be necessary for the group leader to distill some concrete and well-defined goals out of the generalized objectives of the group. If it is an **autocratic** group with goals or missions assigned by higher authority, the leader must define those

> **Key Term**
>
> **autocratic –**
> *pertaining to rule by a person having absolute or unrestricted power.*

goals or missions so that they may be clearly understood by the group and in such a way that the group members can identify with the goals and accept them as their own. In either case the achievement of group goals must provide for satisfaction of needs of individual group members. Once the leader has identified the group's goals, the task may be more than half done. Once these goals are defined, the internal forces and energies of a responsive group will move toward their accomplishment.
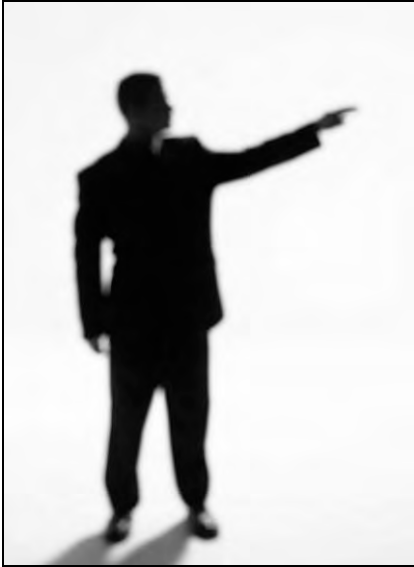
Give Direction. The leader must give direction to the group effort. A planned procedure is essential for efficient group functioning. This involves management and means establishing an effective and satisfying framework for group action. The plan must be meaningfully communicated to all members for best results. This means letting everyone in on the plan, for individuals need to feel that they are involved in and are an important part of the plan. Even greater satisfaction may be achieved if group members are allowed to participate in the actual planning itself. This participation in the planning enables individual members to select suitable and satisfying roles for themselves and leads to closer identification with the group goals.

Give Consistent 'Treatment. Consistent treatment of group members creates a secure environment for group members. This means being just and giving to others what they are due in your honest opinion. This is especially important in an autocratic organization like the military. When subordinates know the standard of behavior that is expected of them and the respective rewards and punishments, they will want to abide by that standard, especially when it applies to all members alike. They will feel more secure if they know that their rewards and punishments are awarded objectively, based on their behavior, rather than on the leader's whims, moods, or pet preferences. On the other hand, if their treatment is inconsistent, the group members do not know how to behave, and they question their security. Subordinates do not like for the group to be punished for the behavior of the few. It doesn't make sense to upset the whole group to punish a few offenders. The leader who is consistent in his or her treatment of subordinates will have a minimum of discipline problems.

Create Status. Creating status for the group as well as for the individual is necessary for effective leadership. Recognized successes add great prestige to any group. It makes group members feel proud of their affiliation, and they show this pride in their behavior. All jobs or roles in the group should be considered important, and all group members should be made to see how their efforts, through the group, help to achieve the goals of the group.

As a cadet leader you will have a certain status in your unit. You will be working with cadets of various ranks. Each individual, no matter what rank or grade, deserves status in the group. No one wants to be looked upon as a nobody, as unimportant, or as a number. You can help individual cadets to gain and maintain their status by giving recognition for accomplishments, looking after their welfare, and showing genuine interest.

The long-recommended technique of "praise in public, reprimand in private" still holds true. Public praise gives an individual status, while public reprimand takes away status. However, praise should be deserved and warranted. Undeserved praise may be worse than no praise at all. A good rule to follow is: When praise comes from without, pass it on to the group or individual, minimizing your part. When the group or a subordinate is censured, accept it as your own responsibility. Shoulder the blame for any group failure. In all military services the leader of a military unit is responsible for everything the unit does or fails to do.

Summary

Scientific study of group behavior is a relatively new field, but results from such studies are being used by present-day leaders. The word "group" refers to two or more individuals who have common purposes or characteristics. The behavior of the group is influenced by the interests of its members.

In studying the nature of the group we need to find out which individual needs can be satisfied by belonging to a group. Individuals have a desire to be identified with others, and they like to belong to groups through which they can gain feelings of security, recognition, and status.

There are many internal and external forces working in a group. Some of these forces may work against leadership. It is the leader's responsibility to influence these forces to work in achieving the goals of the group.

Getting all members to identify with the group and its objectives is probably the secret of building successful teams. This identification with the group must show promise of paying off by satisfying of the needs of the individual. The more needs satisfied by and through the group, the stronger identification will be.

To make group dynamics work in achieving group goals, the leader must create a satisfying social structure within the group. The leader can promote this kind of motivation by identifying goals and giving direction to group activities. The leader must also give consistent treatment to all group members alike, and create status for individuals and the group as a whole.

Review Questions

1. What influences people in a group?

2. What membership condition characterizes true functioning groups?

3. What are some of the effects of a group on individuals within the group?

4. Upon what does an individual's perceived status within a group depend?

5. What must a leader do to guard against losing group members and lessening the effectiveness of the group?

6. What are the main factors that influence the internal dynamics of a group?

7. What formal and informal factors regarding communications within a group must an effective leader keep in mind?

8. What will largely determine the participation patterns of a particular group?

9. What are group standards?

10. What is group solidarity?

11. How is group solidarity achieved?

12. What characterizes an organization with high esprit de corps?

13. What are the external group dynamics factors that can influence a group?

14. What are four things a leader can do to motivate group members toward the achievement of their mission or goals?

15. What is a long-recommended technique for giving praise and reprimands?

Thinking Ethically: Billet Assignments
From Ethics for the Junior Officer: Selected Cases from Current Military Experience

You have only been on board for 15 days as the ship's executive officer when two new seamen report aboard. One is a minority member and the other is not. Your task is to assign them to a working billet. Most of the minorities on board are in the supply department as cooks, stock control, etc. Most non-minority members of the crew are in operations. In the best interest of the Navy, the ship's crew, and each individual sailor—

What assignment should you give to these two men and why?

Being new on board and realizing that a decision needed to be made fairly soon, you might follow the example of the previous executive officer and assign the new personnel in accordance with their racial makeup so that they would be comfortable on board.

This approach perpetuates the Navy's past discrimination practices, however, further eroding the morale of minority members of the crew who see themselves in dead-end jobs. By handling the case this way, you would send a message to the rest of the officers, as well as to the crew, that certain people have to be kept in their place.

Culinary Specialist 3rd Class Corey Hartfield, assigned to the guided-missile frigate USS Halyburton (FFG 40), prepares a filet of farm-raised pacific steelhead salmon during a Galley Wars competition at Hugh's Catering. Galley Wars is a competition between teams of cooks from participating military ships attending Fleet Week Port Everglades.

Assignment:

1. Complete the "Critical Case Evaluation."

2. Decide what you would do and record your response on the "Case Evaluation Response" form.

3. Review what actually happened in this real scenario.

A Critical Case Evaluation

Case Title: _____

Directions: Use the questions from the *Thinking Ethically: Things to Consider* chart (on page 6) to help you evaluate the case.

Pressure

Is there pressure from peers, subordinates, seniors, or other sources to behave in an unethical manner? ☐ No ☐ Yes

If yes, who or what is the source of the pressure?

_____

_____

_____

_____

Seek the Truth

Does the leader validate the facts and obtain clarification? ☐ No ☐ Yes

If no, what actions does the leader need to take?

_____

_____

_____

_____

Subordinates

Do the factors in the case affect subordinates and their perception of their leader? ☐ No ☐ Yes

If yes, what effect is caused, or *might* be caused, to the subordinates?

_____

_____

_____

_____

Organization

Is an ethical work environment being maintained?   ☐ No ☐ Yes

If no, what action does the leader need to take?

_____

_____

_____

_____

Know the Rules

Does the leader properly enforce the rules, regulations, or policies?   ☐ No ☐ Yes

If no, what action does the leader need to take?

_____

_____

_____

_____

Additional Points

Are there any additional points to consider?

_____

_____

_____

_____

_____

_____

_____

_____

Case Evaluation Response

Case Title: _____

What would you do and why?

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

What Actually Happened in this Real Scenario?

Recognizing the imbalance of previous crew assignments and the need for the Navy to have a balanced force, and assuming that both of the new people were trainable, the XO assigned the minority crew member to operations and the non-minority to supply.

This sent a clear message that segregation was over, and the assignments would henceforth be made on the basis of merit in the case of equally qualified personnel, that every effort would be taken to ensure the obtaining of a homogenous crew.

Additionally, the XO met with the operations officer and all division officers to point out his expectations of their working out harmoniously and fairly the integration of these two seamen into their sections.

POSITIVE LEADERSHIP TECHNIQUES

By Department of Leadership and Law, U.S. Naval Academy

A great number of leadership techniques, all based on well-established principles, can be employed in motivating personnel. These have been thoroughly tried out through **generations** of Navy and Marine Corps leadership and have proven to be highly effective. **The leader's problem frequently is not so much knowing what leadership techniques are available as it is knowing which of them to employ in a specific situation.** Only a careful analysis of the techniques and their underlying principles will eliminate this uncertainty.

Leadership Techniques for Leadership Responsibilities

Every act of leadership should make followers feel that as long as they are doing their best to follow, they will be secure and their efforts will receive recognition. There are a great many techniques that the leader can use to encourage these feelings, and an attempt will be made here to list these techniques according to the nature of the leadership act. For instance, a leader who forms the habit of giving indefinite commands will soon discover that the resulting confusion in the minds of subordinates will make them lose confidence in that leader. Thus one technique in the giving of commands is that a command must be definite.

Though no all-inclusive list can be made, the techniques of leadership can be grouped into the following categories:

1. Giving commands

2. Giving orders

3. Getting cooperation

4. Establishing discipline

5. Improving morale that is low because of feelings of insecurity

6. Improving morale that is low because of feelings of lack of recognition

7. Properly using organization and administration

The lists that follow should never be considered to be completed or established, and student may have occasion to add techniques that they find through experience to be workable and to fit to individual personalities. Additional techniques may become evident when various leadership situations arise, and they will be learned by repeated use.

Key Term

generations –
offspring having a common parent or parents and constituting a single stage of descent.

Leadership Techniques Involved in Giving Commands

1. A command must be definite.

2. A command must be positive. It must be given in a tone of voice that leaves no doubt that it is to be executed.

3. The leader must look at subordinates when giving them a command.

4. A command must be **concise**. It must not be so long or involved that it cannot be remembered.

> **Key Term**
>
> **concise** –
> *expressing much in few words.*

Unquestioning obedience to a command is the basic concept of military life. A command given by proper authority demands the follower's immediate response to do the will of the leader. The objective of the disciplined way of life of any military school, such as the Naval Academy, is to **indoctrinate** the student with this concept. When a command is issued, there can be no question on the part of the follower as to whether the command is correct or whether there is any option other than carrying it out. Subordinates must be so trained that they immediately carry out the instruction contained in the command to the very best of their ability.

> **Key Term**
>
> **indoctrinate** –
> *to instruct in a body of doctrine, or system of thought.*

A command does not permit any question or discussion. Some of the familiar commands used in Naval Service are "Forward, March!" "Right Full Rudder!" "All Engines Ahead Full!" and "Commence Firing!" Immediate and instinctive obedience is the only reaction possible to a properly worded and properly delivered command.

Commands become familiar as the result of constant usage. However, a command is not necessarily **stereotyped**. Situations that require commands often develop quickly and perhaps without precedent. For example, a junior officer inspecting a paint locker might discover a fire. In this situation the officer would immediately issue commands to personnel in the vicinity. One command, to the nearest enlisted person, might be "Report to the officer of the deck that there is a fire in the paint locker. Another command, to a second enlisted person, might be "Get the fire extinguisher from the next compartment." In a situation such as this, command may be expected to follow command until the fire is extinguished. Every person receiving one of these commands has no alternative but to do exactly as told, immediately and without question. The combination of the leadership ability of commanders and the disciplined obedience of followers produces the team that wins competition in peacetime and victory in battle.

> **Key Term**
>
> **stereotype** –
> *a preconceived perception, opinion, or belief, usually not conforming with the true nature of something.*

Leadership Techniques Involved in Giving Orders

1. Explain what is to be done. Discourage the tendency of the junior to ask how to do it, but leave an opening for questions of confused subordinates.

2. Don't talk down to the enlisted in giving instructions.

3. Give orders to the person in charge, and not to the group. The chain of command must be followed.

4. Encourage and coach the enlisted when they encounter difficulties.

5. Remember that the personnel are serving their country, not the officer as an individual.

6. In giving an order, try to get across the feeling of "Let's go!" instead of "Get going!"

7. Avoid an **overbearing** attitude.

8. Show confidence in the ability of subordinates.

9. Don't use a senior's name or rank to lend weight to your own order.

10. Give a reason for your order if time permits, or if it appears that the order will be clearer if subordinates understand the reason behind it.

Key Term
overbearing – *dominating or arrogant.*

Leadership Techniques Involved in Getting Cooperation

1. Stimulate unit or organization pride by showing your own pride and enthusiasm for the service.

2. Don't criticize another officer or another organization in the presence of subordinates.

3. Keep your subordinates informed so that they may have an intelligent sense of participation.

4. Use the word *we* instead of the word *I* whenever appropriate and possible.

5. Accept responsibility for corrections from higher authority, and take remedial action.

6. Give full credit to members of the organization whose work and ideas have brought progress.

7. Let your enlisted know that you think they are good, and maintain high standards through alert supervision.

8. Make sure that all subordinates know your policy.

9. Don't be **sarcastic**.

10. Don't threaten punishment to make an order effective.

11. Don't invent jobs just to keep subordinates busy.

Key Term
sarcastic – *sharply mocking or contemptuous.*

Leadership Techniques Involved in Establishing Discipline

1. Praise in public, **censure** in private.

2. Give subordinates the benefit of the doubt.

3. Punish the individual concerned, not the group.

4. Take into account whether or not an **infraction** of rule or regulations was intentional.

5. Consider a person's record.

6. Be impartial, consistent, and **humane** in giving rewards and punishment.

7. Never use severe punishment for minor offenses.

8. As soon as possible, remove senior subordinates who have demonstrated their unfitness.

9. Teach understanding of discipline rather than fear of it: punish the guilty promptly, and defend the innocent stoutly.

10. Support the correct actions of subordinates.

Key Term
censure – *to express blame or disapproval.*

Key Term
infraction – *a violation or transgression.*

Key Term
humane – *having the good qualities of human beings, as kindness, mercy, or compassion.*

Leadership Techniques Involved in Improving Feelings of Security

1. Let subordinates know what is expected of them.

2. If you are pleases with their work, tell them so.

3. If possible, keep subordinates informed of what is in store for them.

4. Don't make promises you cannot keep.

5. Grant deserved favors willingly.

6. Know the state of the morale of your personnel.

7. Never "pick on" an individual.

8. Be certain that a subordinate understands why he or she is being disciplined.

9. Evaluate your own performance in terms of the individual morale and group **esprit de corps** that exists in your organization.

Key Term
esprit de corps – *a spirit of enthusiasm among members of a group for one another, their group, and its purposes.*
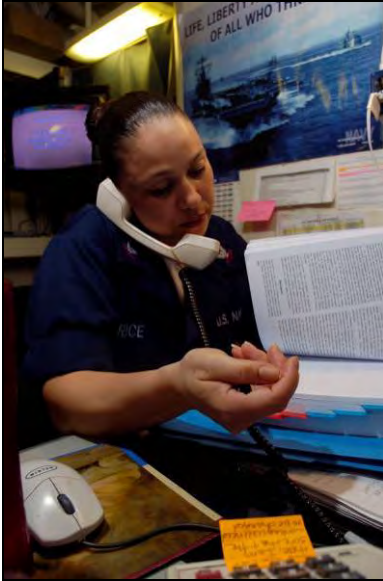
Legalman 2nd Class Jessica Bruce assists a customer while manning the non-judicial punishment desk aboard the nuclear-powered aircraft carrier USS Nimitz (CVN 68).

Task Force 79 Commanding General, Maj. Gen. Thomas L. Moore, right, Task Force 76 Commander, Rear Adm. Gary R. Jones, left, and a Republic of Korea (ROK) naval officer, center, attended the Ulchi Focus Lens (UFL) Icebreaker Social at the White Beach Naval Facility. The social allowed UFL participants to enjoy time together outside the confines of the exercise, building camaraderie and esprit de corps.

Leadership Techniques Involved in Giving Recognition

1. Praise when praise is due. Don't flatter.

2. Be on the job whenever your subordinates are working.

3. Be interested in the promotion of your personnel. Encourage them to prepare for advancement.

4. See to it that you are the first person to whom a subordinate turns in case of trouble.

5. Express interest in ideas even though you might disagree with them.

6. Take a keen interest in the quarters and mess. Insist that these be the best available.

Rear Adm. Michael McLaughlin, right, commander of Submarine Group (COMSUBGRU) 2, pins the Bronze Star Medal on Lt. Cmdr. Colin McGuire in Bledsoe Hall at Navy Submarine School in Groton, Conn.

7. Study your personnel. Learn all about them: where they come from, their problems and interests, etc.

Leadership Techniques Involved in Improving Organization and Administration

1. Require use of the chain of command.

2. Conform to the rules of the organization.

3. Discover weaknesses of the organization by observing and questioning.

4. Never issue an order that is not going to be enforced.

5. Be fair about promotions.

6. Demote incompetents.

Self Evaluation: Positive Leadership Techniques

Directions: Evaluate the techniques you currently use as a leader. Note ways in which to improve your performance. Use a 1 to 4 scale in which 1 is *Never* and 4 is *Always*.

Techniques Involved in Giving Commands		Never	Rarely	Sometimes	Always
		1	2	3	4
1	When I give a command it is definite.				
2	When I give a command it is positive and delivered in a tone of voice that leaves no doubt that it is to be executed.				
3	I look at subordinates when I give a command.				
4	When I give a command, it is concise.				

Choose two (2) techniques related to giving commands to work on and list ways to improve your skills:

Technique #1: _____

Ways to Improve: _____

_____

_____

_____

Technique #2: _____

Ways to Improve: _____

_____

_____

_____

_____

Techniques Involved in Giving Orders	Never	Rarely	Sometimes	Always
	1	2	3	4
1 When I give an order I explain what is to be done.				
2 I don't talk down to others when giving instructions.				
3 I give orders to the person in charge and not to the group.				
4 I encourage and coach others when they encounter difficulty.				
5 I remember the person is serving the group and not me as an individual.				
6 I try to get across the feeling of "Let's go!" instead of "Get going!"				
7 I avoid an overbearing attitude.				
8 I show confidence in the ability of subordinates.				
9 I don't use a senior's name or rank to lend weight to my orders.				
10 If time permits, I give a reason for my order.				

Choose two (2) techniques related to giving orders to work on and list ways to improve your skills:

Technique #1: _____

Ways to Improve: _____

_____

_____

_____

Technique #2: _____

Ways to Improve: _____

_____

_____

_____

_____

Techniques Involved in Getting Cooperation	Never	Rarely	Sometimes	Always
	1	2	3	4
1 I stimulate unit or organizational pride by showing pride and enthusiasm.				
2 I don't criticize another officer or organization in front of subordinates.				
3 I keep my subordinates informed.				
4 Whenever appropriate and possible, I use the word *we* instead of *I*.				
5 I accept responsibility for corrections from higher authority and take remedial action.				
6 I give full credit to the members of the organization whose work has brought progress.				
7 I let subordinates know when I think they are good and maintain high standards through alert supervision.				
8 I make sure all subordinates know my policy.				
9 I am not sarcastic.				
10 I don't threaten punishment to make an order effective.				
11 I don't invent jobs just to keep subordinates busy.				

Choose two (2) techniques related to getting cooperation to work on and list ways to improve your skills:

Technique #1: _____

Ways to Improve: _____

_____

_____

_____

Technique #2: _____

Ways to Improve: _____

_____

_____

_____

_____

Techniques Involved in Establishing Discipline	Never	Rarely	Sometimes	Always
	1	2	3	4
1 I praise in public and censure in private.				
2 I give subordinates the benefit of the doubt.				
3 I punish the individual concerned, not the group.				
4 I take into account whether or not an infraction of rules or regulations was intentional.				
5 I consider a person's record.				
6 I am impartial, consistent, and human in giving rewards and punishment.				
7 I never use severe punishment for minor offenses.				
8 When applicable, I immediately remove senior subordinates who have demonstrated unfitness.				
9 I teach understanding of discipline rather than a fear of it; I punish the guilty promptly and defend the innocent stoutly.				
10 I support the correct actions of subordinates.				

Choose two (2) techniques related to establishing discipline to work on and list ways to improve your skills:

Technique #1: _____

Ways to Improve: _____

_____

_____

_____

Technique #2: _____

Ways to Improve: _____

_____

_____

_____

_____

Techniques Involved in Improving Feelings of Security	Never	Rarely	Sometimes	Always
	1	2	3	4
1 I let subordinates know what is expected of them.				
2 When I'm pleased with their work, I tell them so.				
3 When possible, I keep subordinates informed of what's in store for them.				
4 I don't make promises I cannot keep.				
5 I willingly grant deserved favors.				
6 I know the state of the morale of my subordinates.				
7 I never "pick on" an individual.				
8 I make certain that a subordinate understands why he or she is being disciplined.				
9 I evaluate my own performance in terms of the individual morale and group esprit de corps that exists in my organization.				

Choose two (2) techniques related to improving feelings of security to work on and list ways to improve your skills:

Technique #1: _____

Ways to Improve: _____

_____

_____

_____

Technique #2: _____

Ways to Improve: _____

_____

_____

_____

_____

Techniques Involved in Giving Recognition	Never	Rarely	Sometimes	Always
	1	2	3	4
1 I praise when praise is due and I don't flatter.				
2 I am on the job whenever my subordinates are working.				
3 I am interested in the promotion of my personnel and I encourage them to prepare for advancement.				
4 I see to it that I am the first person to whom a subordinate turns in case of trouble.				
5 I express interest in ideas even when I disagree with them.				
6 I take a keen interest in the environment of my subordinates and insist that it is the best available.				
7 I study my personnel to learn about them, where they are from, their problems and interests, etc.				

Choose two (2) techniques related to giving recognition to work on and list ways to improve your skills:

Technique #1: _____

Ways to Improve: _____

_____

_____

_____

Technique #2: _____

Ways to Improve: _____

_____

_____

_____

_____

Techniques Involved in Improving Organization and Administration	Never	Rarely	Sometimes	Always
	1	2	3	4
1 I require use of the chain of command.				
2 I conform to the rules of the organization.				
3 I discover the weaknesses of the organization by observing and questioning.				
4 I never issue an order that is not going to be enforced.				
5 I am fair about promotions.				
6 I demote incompetents.				

Choose two (2) techniques related to improving organization and administration to work on and list ways to improve your skills:

Technique #1: _____

Ways to Improve: _____

_____

_____

_____

Technique #2: _____

Ways to Improve: _____

_____

_____

_____

_____

Thinking Ethically: The Drug Test
From Ethics for the Junior Officer: Selected Cases from Current Military Experience

An E-5 nuclear submarine technician who has been a good solid performer comes to his division officer following random unit-sweep urinalysis. He claims stress at home caused him to use cocaine for the first and only time in his life, and he deeply regrets it. The results of the urinalysis subsequently turned out to be negative.

There is sufficient evidence here of drug use. Maybe he didn't do cocaine, but is really asking for help. On the other hand, what signal does inaction give to other sailors? If the sailor did use drugs but wasn't "caught," might he try drugs again?

The division officer has to consider the E-5's job as it relates to security and safety. He also has to realize that if sailors can't trust their officers with their problems, they may not open up at all.

As hard as we all try, we all make mistakes. Maybe this individual will be scared enough by this close call to avoid any drug use in the future. But the zero-tolerance policy should have been enough of a scare to signal that drugs are not the answer to *any* problem.

What should the division officer do?

Afloat Training Group Western Pacific's assistant command urinalysis coordinator Master-at-Arms 1st Class Robert Rokeach receives a urine sample from Operations Specialist 1st Class Damiean Williams during a random urinalysis held at the command. Education along with drug screening help to support the U.S. Navy's "zero tolerance" policy towards drug use.

Assignment:

1. Complete the "Critical Case Evaluation."

2. Decide what you would do and record your response on the "Case Evaluation Response" form.

3. Review what actually happened in this real scenario.

A Critical Case Evaluation

Case Title: _____

Directions: Use the questions from the *Thinking Ethically: Things to Consider* chart (on page 6) to help you evaluate the case.

Pressure

Is there pressure from peers, subordinates, seniors, or other sources to behave in an unethical manner?   ☐ No ☐ Yes

If yes, who or what is the source of the pressure?

_____

_____

_____

_____

Seek the Truth

Does the leader validate the facts and obtain clarification?   ☐ No ☐ Yes

If no, what actions does the leader need to take?

_____

_____

_____

_____

Subordinates

Do the factors in the case affect subordinates and their perception of their leader?   ☐ No ☐ Yes

If yes, what effect is caused, or *might* be caused, to the subordinates?

_____

_____

_____

_____

Organization

Is an ethical work environment being maintained?　　　　　☐ No ☐ Yes

If no, what action does the leader need to take?

_____

_____

_____

_____

Know the Rules

Does the leader properly enforce the rules, regulations, or policies?　　☐ No ☐ Yes

If no, what action does the leader need to take?

_____

_____

_____

_____

Additional Points

Are there any additional points to consider?

_____

_____

_____

_____

_____

_____

_____

_____

Case Evaluation Response

Case Title: _____

What would you do and why?

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

What Actually Happened in this Real Scenario?

No matter how good a performer this person may be, his behavior must not be tolerated. It is a bad precedent to establish.

Action must be taken. Perhaps not a discharge, because you only have his word (maybe he just wants to quit the Navy because of an upcoming deployment), but certainly counseling and removal from personal reliability programs would be in order.

The appropriate action is not always taken, and in this instance it wasn't. The division officer let it go by, though he did counsel the sailor, who has been a good solid performer since then, without any reported or evidenced problem with drugs.

This case simultaneously challenged both the ethics and compassion of the division officer. We would maintain that the officer made a bad decision because he did not have the authority to decide not to report the E-5; he did not have the authority to decide that the Navy's zero-tolerance policy did not apply in this case; and he endangered his crew, because the E-5 had demonstrated weakness under stress.

The division officer should have reported the E-5 for further investigation, which might have determined that this wasn't the first usage, and second, that one-time use of cocaine has been shown to be addictive, so a disaster was tentatively waiting to happen. While reporting the E-5 should have been done, it would also have been appropriate to testify on his behalf as to his performance.

The point is that officers must support the rules, for by not doing so, they also send a message that each member of the armed forces has the right, at times, to decide which rules are to be obeyed and which are not. A division officer's inaction can adversely affect the morale of his division. Most members of the military do not want to serve alongside an individual who is irresponsible and unreliable. Such an individual is "an accident waiting to happen," plus a morale buster.

LEADING BY EXAMPLE

Adapted from Chapter 2 of Karel Montor et al., eds.
Naval Leadership: Voices of Experience. Annapolis: Naval Institute Press, 1987

There is a phrase describing the essence of a naval officer which has fallen into disuse. That phrase is "**service reputation**," the unwritten, unspoken, unlisted net assessment of an officer's pluses and minuses. When naval officers were less numerous than they are today, an officer knew most of the other officers and privately ranked them according to their service reputation. Perhaps the size and complexity of today's Navy and Marine Corps prevent a "familiar" appraisal of and by each member of the officer corps. Perhaps modern management information systems distract officers from what truly matters to them about other officers, whether they be junior, senior, or peer. But, in their hearts, all officers know that their behavior and attitude have a profound effect on everyone they work with. Adm: Kazuomi Uchida agrees that

> "…an officer's behavior considerably influences other individuals, particularly his subordinates. Regardless of an officer's personality or style, he must be always unselfish and fair to subordinates so that they never lose their reliance on him. An officer's humanity is perceived through his behavior, and it is this which moves others."

Key Term
service reputation – *the general estimation of the effectiveness or worth of a person working in a military environment.*

The Power of Positive Relationships

The relationship between officers and their people has an effect on everyone's performance. When crew members of a ship that has been deployed too long complain proudly about the hardships they are undergoing and develop a kind of Spartan pride, they probably have a good relationship with their commander. The morale of a less well led crew can be expected to deteriorate progressively under exactly the same circumstances.

An officer can develop a great deal of camaraderie with subordinates without destroying the discipline that is so essential in any kind of an evolution, particularly in wartime. Adm. Elmo Zumwalt recounted this episode of his career:

> "…I had the honor of commanding the world's first guided missile frigate, the USS *Dewey,* and because it was the first of the class, I was given the cream of the crop from the Bureau of Naval Personnel. The heads of departments were superb, and because they were superb and very sure of themselves, they were not the least bit hesitant to come up and discuss with me in very vigorous terms things that they thought could be done differently. But when the chips were down in any evolution and I gave the directive, there was instant and total obedience. The fun was always recognized as just part of the business of having a good team spirit.

> In order to do an optimal job, an officer needs to believe that the Navy is worthwhile, that the service is something of which he is proud. He need not view the institution as something sacred and unchangeable, nor should he assume that every cog in that vast institution works with anything like perfection. He can be positively critical of those areas that need fixing, but he must have a dedication to the overall mission of the Navy and to the concept of the life of service in readiness to defend his country and be a good officer.

> In the wardroom or in the staff, an officer should do his best to be a good corporate citizen of that unit. Where there are personality clashes, he should do his best to understand what makes the other fellow tick. There are compromises that need to be made in order for an officer to be a good overall team member, but there is also a very clear line beyond which he should retire when he runs into the occasional "bad apple." There may be someone on the ship or in a unit who has a

very negative attitude and who can be extremely disruptive, and counseling and corrective action regarding this individual is the responsibility of the officer next higher in that individual's chain of command."

The Power of a Positive Attitude

In discussing the importance of a positive attitude, Adm. Thomas Hayward related this story:

"…There's a great story about Admiral Red Ramage and how he won his Medal of Honor with the *Parche*. He wouldn't stop and think about, "Gee, what will happen if we get hit or get sunk?" He kept in mind what he had to do, and that was to sink the enemy. It may have been in his mind sometimes in his tactical decisions about what is the risk he's taking, but if caution is the character of a person, that person's probably going to be too cautious for a fast-moving Navy tactical engagement. The way you overcome that, if you are an individual with a cautious nature (because you can be born that way), is to force yourself into training situations, and the Navy tries to do that, tries to expose you to enough training encounters that you develop self-confidence. Through meeting somebody, you want to help them arrive at that point, so in the debriefings you don't dwell on the person's negatives, except in the constructive way, and you help them accentuate what they did right, so they will get back out and do it again and keep working on it.

Now a few people washout of flight training, you know, it's just going to happen. Some of them wash out because there's a physical inability to perform that particular kind of a mission, others wash out because they don't have the motivation; there's a lot of difference between whether you succeeded or didn't succeed in that sense. So it seems to me as though a TACCO (Tactical Coordinator in a P-3) has one and only one responsibility, and that's to learn his job so well he's got the confidence that he's going to hang in there, and if he loses a few, okay, but he makes the most of them and keeps a good reputation for pressing on.

An individual cannot be effective in any way or successful in any way at any level in the Navy if he does not have the capacity to take on the task of setting the example, and behavior is a basic element of setting the example. The crew has a right to look upon their leader with respect, but the leader has to earn their respect and work to keep it. The quickest way to lose respect is to set a bad example through gross behavior. This includes doing the kinds of things that some may think are macho or funny, but that in the long run are going to undermine the morale of the command and the leader's pride."

Machinist's Mate 2nd Class Benjamin Allbaugh, an auxillaryman assigned to the ballistic missile submarine USS Kentucky (SSBN 737) (Gold), is presented the Navy Achievement Medal by former Chief of Naval Operations, Adm. (Ret) Thomas B. Hayward. Allbaugh discovered rising refrigerant levels in the ship's combined atmospheric monitoring system, and due to his immediate response, the ship was able to recover from the rising levels, ensuring the safety of the crew.

Setting the Example

An officer's behavior, both on and off duty, is noticed by shipmates and helps define their perception of him or her as an officer and a leader. The famous naval officer Adm. Marc Mitscher is a prime example of a man who led by example. So great was Mitscher's concern for the training and welfare of his men that he was able to retain their final ounce of effort and loyalty. He was "a bulldog of a fighter, a strategist, and a seeker of truth: Similarly, officers cannot help but note the behavior of their people on and off the job, whether they are full-time personnel or drilling reservists. The old adage "an officer is on duty 24 hours a day" has even more significance in the era of the total force.

Working with and through others to further the mission of the command and, consequently, the mission of the Navy and Marine Corps is a vital aspect of an officer's job. Self-serving actions must be secondary. For example, although cooperating with other individuals and other organizations may be desirable to accomplish specific tasks, cooperation should not be an end in itself. That is, peer pressure to "go along" or "get along" with a situation that is ethically or morally wrong must be resisted. To yield to such pressure is to do a disservice to the Naval Service and to the service reputation of the officers involved. Admiral Hayward cautions that

> "…whatever his position of leadership, an individual who believes that he can conduct himself in a way that is not gentlemanly is making a significant error of judgment. Senior officers whose personal behavior was not "up to snuff' have never progressed very far in the Naval Service.

> A leader needs to work at getting along with people without compromising his beliefs. He can stand firm on an issue he feels strongly about without creating a problem, however. The boisterous, loud, tough actor is not the "right kind of guy" to follow. Generally speaking, while there are some who become very good officers who chew people up and spit them out with ease, the finest officers learn how to deal with every human being as a human being and can dress a person down properly, up in the right circumstances, and congratulate a person correctly under other circumstances. In short, the successful officer learns how to deal with difficult situations without ever compromising his principles in the process."

Recognizing the difficulty of reconciling the principles and ideals of the Naval Service with the reality of car payments and sick children is part of being a leader. A successful leader understands the personal history of each subordinate, knows from what segment of society each person is drawn, and understands the job of each person. A naval officer cannot begin to earn respect unless he or she possesses that kind of knowledge, and cannot expect to keep it unless his or her behavior is impeccable.

To Admiral Zumwalt, the episode that might be most useful in demonstrating the painful choices that an individual has to make in complex situations where duty is not necessarily clear transpired during the 1973 Arab-Israeli Yom Kippur war, when

> "…it became clear very early on that the Israelis were likely to be overrun because they were not able to count on the replacement of their equipment by us-we weren't moving the equipment forward fast enough. I went to see the Secretary of Defense [James Schlesinger], and told him that my judgment was that this was likely to happen. He said, "I agree, but my hands are tied." This seemed to me to be playing at war without being aware of how difficult it is to change the momentum of a battle. The President [Richard Nixon] had become quite unavailable to the chiefs by that time, and I therefore concluded that something had to be done and that I'd better do it.

> I went to see Senator [Henry] Jackson and gave him this information and urged him to call the President, which he did. The President directed that the equipment be immediately sent forward, which in my judgment made it possible to turn that war around. In what I did, I took action that the Secretary of Defense had not taken, and yet my conscience at the time led me to believe that it

was the necessary action, and even in retrospect I believe that it was an appropriate thing to do, even though in so doing I certainly ran the risk that the judgment would be made that I would be dismissed from office. [Editor's note: It should be understood by the reader that this represents a decision made by an officer with decades of experience.]"

Admiral Zumwalt tells of his experience as commander of our naval forces in Vietnam, when he presided over the command of the brown-water navy, coastal surveillance forces and the craft that were involved, and the rivers and canals and the aircraft assigned thereto.

"…As one would expect on board ship, I found that in order really to be able to understand the situations that my very young brand-new naval officers, commanding officers, were experiencing in their small craft, and to be able to understand how effectively to use them, I had to get out and be with them. So I spent a number of evenings in ambushes with them patrolling the rivers and canals. In discussions with them when we were out in ambush, I came to understand the limitations both of the equipment and of the people, and the very great capabilities of both, and I was able to visualize a lot more of the possibly otherwise unforeseeable contingencies with which we might have to deal in major campaigns operating out of Saigon.

Based on the knowledge that one gains from those operational inputs, it was possible to have detailed discussions with the personnel on my staff in Saigon and to prepare ourselves mentally for the fast decisions that we would have to make. Fast-breaking events took place when we took a new blockade along the Cambodian border and other places. I think that it's fair to say that we were able to foresee the general nature of almost every action or counteraction that the enemy might take. Incidentally, one of the things that we proved to ourselves was the age-old principle that you can get away with almost anything by surprise, and you can probably do the same thing a second time, but you better not try it the third, because by that time a wise enemy has pretty well learned to adapt to it.

The key to being a good staff officer is to have had the operational experience that makes it possible to understand the problems of the commander's subordinate operating units. The officer who goes to the staff of the admiral of a cruiser-destroyer flotilla is far more competent to help that admiral carry out his responsibilities if he has served on one of those cruisers or destroyers or a similar type. This is also true for those who are more logistics oriented, such as supply officers. A staff officer must also make frequent visits to the operating units and have a meticulous sense for those details that are essential to operational efficiency. He must be able to distinguish them from those details that could be categorized as simply minuscule.

A requirement for anyone who aspires to high rank is to read beyond the literature required for him to do well in his own particular job."

Instilling a Positive Attitude in Subordinates

After the Vietnam War, enlistment and reenlistment rates were way down. Admiral Zumwalt, who had been asked to address the problem, decided to approach it from the standpoint of morale.

"…I concluded that things were so bad, and the **social fabric** of the country that was supporting our armed services was so bad, that one had to take a revolutionary approach. I had for many years been waiting for my opportunity to strike a major blow in behalf of equal opportunity, and I was also a firm believer in the fact that women have as much capability as their male counterparts. I had just come from 20 months in command

Key Term
social fabric – *the social environment in which a person or society operates.*

of our forces in Vietnam, where I had found that the most ruthless and cunning enemy I had ever had to face were the Vietcong women, and I concluded that dealing with the sexual differences in the Navy was timely."


Chief of Naval Operations (CNO) Adm. Gary Roughead delivers remarks and answers questions from Sailors attending the 23rd annual Sea Service Leadership Association Women's Leadership Symposium.

"…It was also clear that to me, again as a result of my wartime exposure to the wonderful young men who were fighting in Vietnam, that there were some other very serious problems in the Navy. We were in the brown-water Navy when I was in command, at one time taking casualties at the rate of 6 percent a month, which meant that in any given year's tour your typical officer or sailor had nearly a three-quarters chance of being killed or wounded. I visited with 10 to 15 thousand of them in the Delta, and I visited with hundreds of the wounded in the hospitals, and I don't ever recall being taken to task about the war, but I recall many times being asked, "Why is it that I, who volunteered to join the Navy and volunteered to fight in Vietnam, am not permitted to look like my peers with a beard or a mustache or with sideburns?" It seemed to me, in 100kiIlg into this needed revolution, that it was a small thing to give those patriotic individuals that privilege. Indeed, upon being reminded that Navy regulations had always authorized neatly trimmed beards and mustaches, it suddenly dawned on me that senior commanders were violating Navy regulations, and the Z-Gram in that regard merely said "Obey Navy Regulations."

Such things as beer in the barracks, black beauty aids in the Navy Exchange, the requirement that nobody be kept in line for longer than 15 minutes (instead of those very long lines that we used to have to wait through), were all designed to give our men and women, in the midst of a very unpopular war and surrounded by a hostile society, the feeling that they were needed and wanted and were the kind of individuals who deserved to be treated that way. And the bottom line, I think, is quite clear. By the end of four years our reenlistment rates were above 30 percent, nearly quadrupled."

MCPON Billy Sanders (editorial comment): *A positive attitude toward the Naval Service* is *so important. I don't believe that I have ever served with an officer who badmouthed the Naval Service and also was a success. Ninety-nine percent of them were poor performers and they had serious flaws. The good officers take responsibility for the things they have to maintain and the orders they follow. I've heard junior officers say, "Well, the reason we've got to do it* is *because the captain says so." Or "The skipper wants us to stay late." They are not taking the attitude that the reason they are doing this* is *because the job needs to be done and they are making a decision to get it done. A few junior officers are poor leaders because they act embarrassed, as if the Naval Service* is *making them do something that they would not normally do. When an officer does that, he or she has lost the respect of the troops.*
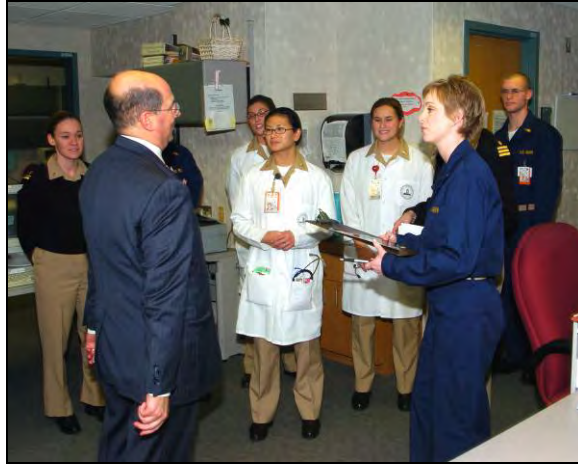
Secretary of the Navy, the Honorable Dr. Donald Winter meets with staff members at the National Naval Medical Center, during a visit with wounded Sailors and Marines. Winter thanked the hospital staff for their efforts, saying their positive attitude and personal care for the wounded troops is clearly making a big difference.

Review Questions

1. What is the difference between a leader and a manager?

2. What is a leader's "service reputation"?

3. According to Admiral Uchida, how is an officer's humanity perceived?

4. According to Admiral Hayward, what ability must an individual have in order to be effective and successful in the Navy?

5. What does Admiral Zumwalt have to say about the element of surprise?

6. According to MCPON Sanders, how can an officer lose respect of his or her troops?

Thinking Ethically: The Classified Inventory
From Ethics for the Junior Officer: Selected Cases from Current Military Experience

An officer monitored two individuals conducting a classified material inventory. Later that same day a document from that inventory could not be found. A search located the document in a two-person controlled safe that had been opened once since the inventory, but no material had been placed in it.

The officer doing the monitor was the department head of the individuals conducting the inventory. The department head was responsible for ensuring that the inventories and monitors were performed.

What might have gone wrong?

The monitoring officer has the basic responsibility to set the right example for the juniors by ensuring a complete and accurate inventory. The handling of classified material is a sensitive issue. It is interesting to note that a proper monitor, and thus a proper inventory, takes only minutes.

In addition to this duty the department head had other "paper" responsibilities, and was required to initial the monitor check-off sheet to ensure the inventory requirements had been met.

No one but the monitor and the persons doing the inventory is likely to find out if an improper inventory was done. The officer is trusted to conduct the inventory correctly. There is not enough money to pay to have a team watch every officer to make sure that they do their job correctly.

At sea aboard USS Kitty Hawk (CV 63) Oct. 16, 2002 -- Protecting sensitive information is critical to the success of Kitty Hawk's mission. Operational Security (OPSEC) operates under the principle that one or more pieces of unclassified material, when put together, can damage security by revealing classified information.

Assignment:

4. Complete the "Critical Case Evaluation."

5. Decide what you would do and record your response on the "Case Evaluation Response" form.

6. Review what actually happened in this real scenario.

A Critical Case Evaluation

Case Title: _____

Directions: Use the questions from the *Thinking Ethically: Things to Consider* chart (on page 6) to help you evaluate the case.

Pressure

Is there pressure from peers, subordinates, seniors, or other sources to behave in an unethical manner?   ☐ No ☐ Yes

If yes, who or what is the source of the pressure?

_____

_____

_____

_____

Seek the Truth

Does the leader validate the facts and obtain clarification?   ☐ No ☐ Yes

If no, what actions does the leader need to take?

_____

_____

_____

_____

Subordinates

Do the factors in the case affect subordinates and their perception of their leader?   ☐ No ☐ Yes

If yes, what effect is caused, or *might* be caused, to the subordinates?

_____

_____

_____

_____

Organization

Is an ethical work environment being maintained?   ☐ No ☐ Yes

If no, what action does the leader need to take?

_____

_____

_____

Know the Rules

Does the leader properly enforce the rules, regulations, or policies?   ☐ No ☐ Yes

If no, what action does the leader need to take?

_____

_____

_____

_____

Additional Points

Are there any additional points to consider?

_____

_____

_____

_____

_____

_____

_____

_____

Case Evaluation Response

Case Title: _____

What would you do and why?

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

What Actually Happened in this Real Scenario?

Although it takes only fifteen minutes to do the inventory, the department head conducted the check while doing other paperwork. Consequently, full attention to all details did not occur.

While monitoring of the daily inventories was required by the command, they would only happen occasionally. The program had not been running the way it should.

The answer to what happened is that no one knows because the department head failed to carry out this simplest of assignments in a professional manner. The officer's lax attitude sets a poor example for all subordinates and thus was the weak link in a chain designed to make the unit operate successfully.

Improper monitoring operations set a bad example and are counterproductive to the proper conduct of business. The monitor is meant to find problems, identify causes, and correct them in order to make the system run better.

It isn't enough to understand the theory of ethics and know what the great philosophers have said. Officers are rarely watched in the conduct of their duties; their seniors have too many other requirements for successful completion of their responsibilities.

If you are going to be an officer, then do it right, every time, not just when others are watching. The officer corps of the Armed Forces is one of the great strengths of this nation, but if some of our most trusted personnel fail to meet their obligation, then we will eventually have a paper tiger to defend our nation because our leaders will think that our reports are right when they aren't. Honor and integrity are the hallmarks of our profession. Don't let yourself or others fail to meet those standards, for it hurts us all when individual members of the team decide for themselves whether and to what extent they are going to obey the rules. Failing to act ethically is not a victimless crime. Others, as well as yourself, know what is going on and thus all members of the team are tempted to do less than their best. Your oath as an officer requires more than a perfunctory meeting of standards.

CRITICISM AND THE NAVAL OFFICER

By Commander Richard R. Hobbs, USNR (Ret.)

It is not possible for perfect officers to work for perfect leaders and lead perfect followers, because no one is perfect. For this reason, **constructive criticism**—the ability of one person in a naval hierarchy to improve the performance of another through objective, corrective comment-is a vital element of a leader's work. The ability to deliver criticism smoothly, to receive criticism with **equanimity**, and to elicit criticism where it would be helpful is a leadership skill that must be cultivated.

Gen. W. H. Rice points out that

> "…many successful naval officers consider seeking responsibility and taking responsibility to be a key of successful leadership. Young officers should not be afraid to take responsibility because they are afraid of making a mistake. Some young officers put off making a decision because they are afraid they will make the wrong decision. But it is far better that they do *something,* even if it is wrong, than do nothing. If their decision is based on the facts as they know them at the time, if they have taken all this information and used their judgment and knowledge to make a decision, then their seniors will almost always back them up 100 percent.

This does not mean that officers should make a decision out of nowhere just to do something. They must address the facts before making a decision. But if they have done so and they still make a wrong decision, the seniors will likely support them. In addition, the officer who makes a mistake will learn from it and is unlikely to make the same mistake again. That is the value of experience. No one expects an ensign or a second lieutenant to have vast experience, so ensigns and second lieutenants will very often make mistakes. But their seniors will back them up, because their seniors recognize that the only way young officers can gain experience is to be allowed to take responsibility and make decisions.

Seniors get to be seniors not because they're nice guys, but because they were selected to the rank they hold through a conscientious program. They have been selected by a senior board of officers who have the experience and the knowledge to choose tactically and technically proficient people. A staff officer's responsibility is to use his judgment and his experience to provide advice to the senior officer. But once the decision is made, the staff officer's position is to do his part to execute it. Seniors will listen to subordinates who are known for having common sense and good judgment, but seniors look at problems from a different perspective. Seniors look at a larger picture than young officers are able to look at, so young officers cannot expect the senior to accept their recommendations every time. When they have the time, seniors should explain their rationale for their decision, for these explanations are part of the education and experience that young officers need to gain."

Key Term

constructive criticism – *a judgment or evaluation delivered to an individual with the purpose of improving that individual or his or her performance.*

Key Term

equanimity – *the quality or characteristic of being even-tempered or well composed..*

Accepting Constructive Criticism from Above

Everyone in the Naval Service has a boss—bosses, in fact. Bosses can be expected to have more experience and broader responsibilities than those who work for them. Critical comments passed down the chain of command to the individual officer and leader are the mechanism by which leaders both exercise their responsibility and try to help their subordinates past rough spots.

An officer must pay attention to what the boss says. The officer must pay attention, even if the comments are phrased in the nicest way, are barely critical, or are only slightly corrective. A pleasant civility in delivering course corrections is often displayed by senior naval officers (and this approach is worthy of imitation by their juniors), but course corrections they are, nonetheless, and the boss certainly will note and correct a failure to respond to what was intended to be critical comment. An officer must pay attention, even if criticism from above is a constant diet. Some commanding officers are screamers, some are nitpickers, some occasionally attempt to revisit scenes of former glory by doing a junior's job (a junior will get a lot of help from these types). But that does not change either the junior's relationship with seniors or the responsibility to respond to their comments. An officer should stay tuned to the leader who talks softly, and not tune out the one who talks incessantly.

Finally, officers should not rely solely on a report of fitness for a clear picture of how they are doing and where they need to improve. Far more useful than the fitness report itself is the chat that goes with it. An officer should ask the boss how he or she is doing and what areas should be concentrated on—and the officer should be responsive to the answers.

Offering Constructive Criticism to Subordinates

Setting standards is an integral part of the naval leader's job. Standards of readiness, standards of appearance, standards of training, standards of safety—standards, standards, standards. And having established how things should be, the leader must use courage, forehandedness, and zeal in holding the high line. That means effectively passing critical corrections to subordinates.

Having passed them, an officer must make them stick. It takes tenacity and patience to lead most people. The young officer must understand that there are subordinates who have neither the ability nor the dedication to perform as directed, and this can lead to frustration in attempting to effect change through criticism. One of the characteristics of poor listeners is that they are usually good bluffers. Seldom willing to admit that they haven't listened, they will fake understanding and take a chance-often with disastrous consequences. An officer can impose great pressure on a subordinate, but the young leader must keep in mind that it is the outcome that is important, and so his or her actions should be aimed at achieving the goal, not just exercising authority.

Plebes transport a simulated causality through an obstacle course on Farragut Field at the U.S. Naval Academy during Sea Trials, a rite of passage for plebes, marking the end of their freshman year at the academy. Sea Trials is divided into six phases and provides physical and mental challenges to the plebes to test their teamwork and mental stamina through shared adversities and offers upper classes the leadership responsibly to inspire their subordinates.

Effectively criticizing junior enlisted personnel is by no means as challenging as delivering criticism to the chief by a young division officer or to the staff NCO by a platoon commander. Chiefs and staff NCOs are easy people to be afraid of, and even if that dimension is not present, a young officer often thinks that criticizing the chief or staff NCO is presumptuous. Nonsense. The chief is pleased to have the help of a young officer. If there is something the chief needs to be told, then the junior should speak up.

In all this, courage, confidence, a strong sense of responsibility, and a keen awareness of the sensitivity of all persons to criticism are absolutely necessary. In short, an officer should set standards, monitor performance, and-through effective leadership, including critical comment-make the right things happen.

Corrective criticism usually means fixing problems on a case-by-case basis. Beyond this, however, a leader is responsible for regularly reviewing the performance of individuals.

Sometimes in the Naval Service a career enlisted person or officer falls short of being the best performer he or she can be. The sailor or marine has talent and seems motivated but does not seem to be able to "get it together." The good leader will try to improve this person's contribution, but it is a frustrating task, often causing leaders to wish they had had a good shot at various sailors or marines in their formative years.

The fact is that many below-par performers continue to be promoted, yet they remain ignorant of the fact that their performance is not (and may never have been) up to snuff. They were not monitored, counseled, and steered properly early in their careers. Their leaders were too busy or too uncaring or too uncourageous to hold up their end of the leadership burden and regularly review performance. *Regularly* means *as necessary,* but, at a minimum, at least monthly.

Key Term
performance review – *a formal or informal assessment of an individual's actions during a set period of time.*

Sailors assigned to the "World Watchers" of Fleet Air Reconnaissance Squadron One (VQ-1) recite the Petty Officer's Creed after being promoted to their next highest rank in one of many advancement ceremonies taking place throughout the U.S. Navy in May. Sailors are promoted twice annually, following two exam cycles in March and September. An individual Sailor's test score, performance evaluation and personal awards are combined to determine eligibility for advancement.

Performance review may be very challenging for a leader and, frankly, it takes guts to do it right. Some followers may prove to be impossible to help, but most respond to guidance. Many of the prospective "unfixables" will respond to early, fair, and firm counseling. Sound leaders will regularly review the performance of the individuals in their charge and take action to make these individuals as capable and competent as they can be.

Accepting and Offering Constructive Criticism up the Chain of Command
Admiral Uchida notes that

> "…in principle, an officer should welcome any suggestion made in the spirit of good will and honesty. By so doing, the officer will foster better cooperation and submission, thus enhancing his corps' morale.

There will, however, be occasions when he cannot adopt those suggestions, for various reasons that are difficult to make public. An apologetic attitude harms the officer's dignity and authority, so he should be straightforward at all times.

It is best if others, by observing the officer's daily work, come to believe that he is always the superb decision maker whom everyone can fully trust."

Wise leaders quietly solicit comments from the subordinates whose opinion they value and also regularly sample the organization to obtain knowledge of what the troops are saying and doing and worrying about. A certain openness to criticism from below can be very helpful here; the inputs serve both as valuable corrective comments and as a measurement of how well or how poorly various policies are understood. All too often the word passed from above either never gets to the nonrated personnel or has been significantly altered on the way down the chain of command. General Barrow points out that

"…when a junior officer speaks forthrightly and confidently, his seniors will almost always consider his suggestions. The junior who is taking part in a discussion and sees that a decision is about to be made can usually find the right moment to say, "May I make a suggestion, Sir?" Then he must convey his confidence in his ideas by speaking effectively.

The officer can also put his suggestions in writing. Seniors are more likely to spend time considering ideas that are expressed in readable and persuasive prose. Even if the senior officer does not implement the junior's idea, he will make a note of how effectively he presented it. In addition, the junior who writes his ideas down has a record of them and thus can pass them on to others."

To make sure these nuggets passed up from the troops are useful, leaders must do two things. First, leaders need to accept that the comments may have a low validity factor. That's okay. If the problem is one of misperception in the ranks rather than less-than- perfect leadership above, the inputs from below can serve as valuable intelligence on how well the message is being transmitted and received. Second, leaders must maintain an even composure as the comments come in, at least to the extent of keeping the conduit open. It takes courage to tell the boss he or she is mistaken; close that conduit once and it is closed forever.

Adm. David McDonald, wanting to emphasize that it is appropriate for an officer to speak up, gives this example.

"In later years, but long before I'd become CNO, a flag officer I was working for said to me: "I will probably seldom ask you for your advice, but if I do, I want to know what you are thinking, not what you think I'd like for you to think." Subsequently, as a commander, I was attending a conference of high-ranking officers, one of whom (not the one mentioned above) I was working for. Many views were being expressed on the subject at hand and not all were in agreement. Ultimately the vice admiral who was chairing the meeting asked for my views. I expressed them, rather vociferously and in direct opposition to the previously expressed views of the vice admiral. Following the meeting, the flag officer for whom I was working chided me a bit and said I shouldn't have talked to the vice admiral the way I did. Shortly thereafter I left my job and went out to the Pacific as air officer and later executive officer of the *Essex*. Upon being detached some time later (after I had been selected to captain), I was advised that I was being sent to Ford Island on the staff of the vice admiral to whom I had talked so rudely, and at his specific request."

Young officers should also be prepared to make appropriate critical comments to their seniors. Tactfully, sensitively, but courageously, junior officers in a command relationship owe the senior officer their best judgment, opinion, and advice. Indeed, in certain situations, a principal responsibility for the junior is careful second judgment. Executive officers have this relationship with their commanding officers. Division officers do

well to see that their department heads get their best advice, and platoon commanders should do the same for their company commanders. A simple fact in the Naval Service is that "good followers give their best judgment to their leaders-and good leaders listen." However, it must be remembered that there is such a thing as subordinate power and authority, which is the ability to make decisions based on one's own thoughts, which mayor may not be in favor of the senior. An excellent example is when Gen. Theodore Roosevelt, Jr., discovered that his troops had been landed on the wrong beach on 6 June 1944, D-Day, World War II. There was little opposition, but the only way they could move inland was by a narrow road cutting through swampy ground. If the enemy attacked while his soldiers were on this road, the result would be disastrous. On the other hand, if he waited until a faraway superior told him what to do, it might be too late. "We'll start fighting the war right here;' Roosevelt told his subordinates. His divisions moved forward, and their success contributed tremendously to the Allied cause. Had Roosevelt been a weaker man, a tremendous opportunity for victory would have been lost.

Destructive Criticism

Officers of the Naval Service, even ensigns and second lieutenants, occupy powerful positions. Irresponsible criticism from a unit's officers can destroy unit integrity and the effectiveness of the individuals in the unit. The conscientious young officer will dampen wardroom "bitch sessions" wherein the Navy or the Marine Corps, the command, or the commanding officer are being harshly criticized, and will attempt to stifle a mean putdown of a fellow officer or an enlisted person of the command.

To be useful, criticism must be pointed somewhere, toward some corrective improvement. Constant, idle complaint is a **pernicious habit** that an occasional wardroom will inflict on itself. Kill it in the crib. Kill also the urge to hammer some poor sailor or marine in public. Matters of safety and primary operational urgency require immediate corrective action by a leader, but most times and most circumstances permit operation of the classic rule "Praise in public, censure in private." Unless it is your purpose to destroy forever the effectiveness of the person you are correcting, regard the rule as sacred.

Key Term
pernicious habit – *a repeated behavior causing moral injury or harm.*

Success through Cooperation

Admiral Burke describes how he learned that success is most often achieved through cooperation.

> "I was very fortunate, because I entered the Naval Academy completely unprepared, as I only went two years to high school. When I got into the Naval Academy there were a lot of little things that I should have known that I didn't, so I stood way down in the bottom of the class, and I had a rough time, barely making it. Well, I got through because classmates helped me. They would spend the time on me in teaching me things that I should have known, and everyone helped me, including professors sometimes. I learned that no man can do very much by himself, that a man does a job and 90 percent of what he's credited for doing is done by someone else. It's either done before him or after him.
>
> Now this happened over and over again, everyone knows it's true, but it takes a long time to realize that any job that is done, is done by a group of people, so you've got to be careful not to think that an individual by himself is all that good. A lot of it is, you happen to have a good chief

The Class of 2011 Plebes, or midshipmen 4th class, must use teamwork, strategy and communication to climb the 21-foot-tall monument and replace the traditional plebe cover at the top with a midshipman's cover.

boatswain's mate, you happen to have a good vice chief, you happen to have a well-trained crew that you inherited from someone else, or you happen to have a kid with bright eyes who could see very well and he saw something that no one else could see and reported it.

I was on many boards [after 1 I retired from the Navy, and one time I objected to a movement of a plant in England of one of the companies I was with. I objected because I didn't know enough about it. Well, I didn't know enough to say no, but I put in my reservations just the same. They went ahead and moved the plant from the outskirts of London up to the east coast of England. They spent a lot of money, they had to build a plant up there. About a year after they got the plant built, people wouldn't move. Since I had objected, they asked if I would mind going over to England and taking a look, so I went over and talked to a few people. In two days I found out what was wrong. What they hadn't considered was that the British people don't move. They liked their job where they had it, and they wanted to live there. Their grandfathers lived there, and they were not going to move up the east coast. So they had to get new people.

This new young fellow who had put this superior plan in was a brilliant man, but I called up and said, "I've made the decision. You've got to fire this young fellow and get him out of here because he can't run things, no matter how good he is technically, he can't run it because he doesn't know people. You've got to call that old guy back who is retired for age and get him to come back." Well, he came back on a contract for two years at the same salary that he had before, but the important thing is that at the end of two years he would retire. If he had made a success, he would get a big sum of money, I think a half-million dollars or something like that. If he didn't make a success, he didn't get anything more than his pay. The company jumped at that, and of course he made a success. This whole thing hinged on a very minor thing: they had forgotten that they weren't dealing with Americans in the moving thing."

MCPON Sanders: *It is recognized that it may be difficult for a junior officer not to show resentment when a senior enlisted is making a suggestion about a plan that the officer had put together. While they may not speak from the same educational view as the officer, senior enlisted do speak from experience, and sometimes the experience is a little bit better than the booklearning the officer has received. While you don't have to follow the suggestions, do listen to them, and at least recognize that the suggestions and comments were given in good faith, and weren't made to make fun* or *put down your thoughts and ideas.*

Review Questions

1. What does General Rice consider to be a key of successful leadership?

2. What is the mechanism by which leaders exercise their responsibility to help subordinates past rough spots?

3. What concerning standards is an integral part of the naval leader's job?

4. How often should a senior review subordinates' performance with them?

5. According to General Barrow, what phrase can be used to good effect by juniors who wish to make their views on an issue known to their senior?

6. What is a characteristic of good followers and leaders in the Naval Service regarding advice?

7. What rule should always be followed regarding the delivery of criticism?

8. To be useful, what characteristic must criticism have?

9. According to MCPON Sanders, what attitude should junior officers take toward suggestions given by subordinate enlisted personnel?

Thinking Ethically: The Weak Lieutenant
From Ethics for the Junior Officer: Selected Cases from Current Military Experience

A newly promoted Marine Corps first lieutenant was freshly assigned to deploy overseas on a Navy ship with a small complement of Navy and Marine officers who had been working with one another during routine training events over the previous six months. As the newest member of the well-established team, he was subject to close observation by other officers in the team.

The CO of the Rifle Company, a Marine captain, was a well-intentioned individual who lacked a definitive rapport with his subordinates. This was possibly because the company XO, a Marine first lieutenant, lacked confidence in his own leadership abilities, and was unduly influenced by a sincere desire to have his peers and subordinates respect and like him. In time, the XO lost the ability to discipline the other lieutenants. In order to appease the common gripes and complaints of his peers, he began to bad-mouth his commander.

Another of the Marine lieutenants in the Rifle Company, a picture-perfect Marine who was big, athletic, and imposing, had a truly impressive presence and bearing that afforded him an immediate good first impression on those he met. As time progressed, it became apparent that this lieutenant's fundamental professional knowledge was weak at best, but over time he had begun to manipulate the XO in a variety of way to suit himself.

As the deployment continued, the unethical and weak lieutenant, who told stories of "college pranks" (criminal episodes) and taking advantage of women, split the Marines into three groups: (1) those who were opposed to whatever he said; (2) others who simply condoned it; and (3) those officers who found it easier to not get involved.

Finally, the unethical and weak lieutenant confided that when he stood duty in garrison, he would sort through his commander's personal files and belongings in order to see what the captain was "up to." He had found the personal notebook used by the CO to track his subordinates' performance. Thus, the weak lieutenant knew every event and personal reflection and decision made by the CO regarding his subordinates' fitness reports.

As the newly assigned junior first lieutenant, what do you do?

Whenever you criticize or accuse anyone, you run the risk of having your own deficiencies brought out into the open. Young officers often have an unwritten code by which they "stick together." This is a fine concept, for it adds to morale, esprit-de-corps, and camaraderie.

In the Marine Corps, it is called the LPA (Lieutenants' Protective Association). It is a philosophy whereby young officers who are inexperienced will work together and try to help or aid a fellow officer who may find himself lacking in a few areas. Yet such a system should not be used to hide, mask, or condone poor performance, judgment, or behavior. Such actions make all parties equally as guilty as the actual offender.

The lesson here is that we must police our own ranks, and simply because you are not perfect does not mean you do not have the right and duty to police your peers and subordinates. Small lapses in judgment or performance do not equate to another person's criminal behavior.

Interestingly, a least one officer did try to approach the weak lieutenant and confront him with the many problems on the ship that were due to his poor performance. He would not hear of any criticism, however, and immediately tried to verbally and physically intimidate the other lieutenant. He also immediately began to try to wreck the other officer's reputation and credibility by making snide remarks at opportune times to selected individuals to try and ostracize the other officer from his peers.

Many young people in the military view friendship and loyalty as two of the most important values they can hold. How many times would one say, "He's my friend; I'd do anything for him"? Or, that someone might cover for a friend out of loyalty. There is no friendship or loyalty when one considers behavior or performance that may endanger the collective unit.

So where does one draw the line, determining to abandon loyalty and friendship for great imperatives? This is up to the individual and the situation, but someone imbued with a good ethical and moral set of values will be able to arrive at an appropriate solution.

U.S. Marine Corps Lance Cpl. Eric T. Pittman, a rifleman assigned to Company L, 3rd Battalion, 4th Marine Regiment, 3rd Marine Division, uses the new Multiple Integrated Laser Engagement System (MILES) 2000 gear during a training evolution aboard Camp Schwab. The MILES-2000 gear is an updated version of the old MILES gear which the Marine Corps has used for training purposes for more than 20 years. MILES gear provides tactical engagement simulation for direct fire force-on-force training using eye safe laser "bullets."

Assignment:

1. Complete the "Critical Case Evaluation."

2. Decide what you would do and record your response on the "Case Evaluation Response" form.

3. Review what actually happened in this real scenario.

A Critical Case Evaluation

Case Title: _____

Directions: Use the questions from the *Thinking Ethically: Things to Consider* chart (on page 6) to help you evaluate the case.

Pressure

Is there pressure from peers, subordinates, seniors, or other sources to behave in an unethical manner?   ☐ No ☐ Yes

If yes, who or what is the source of the pressure?

_____

_____

_____

_____

Seek the Truth

Does the leader validate the facts and obtain clarification?   ☐ No ☐ Yes

If no, what actions does the leader need to take?

_____

_____

_____

_____

Subordinates

Do the factors in the case affect subordinates and their perception of their leader?   ☐ No ☐ Yes

If yes, what effect is caused, or *might* be caused, to the subordinates?

_____

_____

_____

_____

Organization

Is an ethical work environment being maintained? ☐ No ☐ Yes

If no, what action does the leader need to take?

_____

_____

_____

_____

Know the Rules

Does the leader properly enforce the rules, regulations, or policies? ☐ No ☐ Yes

If no, what action does the leader need to take?

_____

_____

_____

_____

Additional Points

Are there any additional points to consider?

_____

_____

_____

_____

_____

_____

_____

_____

_____

Case Evaluation Response

Case Title: _____

What would you do and why?

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

What Actually Happened in this Real Scenario?

Although there are several competing courses of action, one must understand the fundamental issue at hand. In this case, the integrity, morale, and functioning of the unit were in jeopardy due to the behavior of one of its most important leaders: a commissioned officer. This one individual could not be trusted in daily life.

That is what drove the decision of the new first lieutenant to confront the CO and divulge all the activities of the *weak* lieutenant. The CO was shocked at this revelation and began to call his officer in for personal interviews. All at once, battle lines were drawn as officers hoped either to distance themselves from the event (cowardice), to support the weak lieutenant (poor judgment and misplaced loyalty), or to corroborate the accusations made against the *weak* lieutenant (the morally and ethically correct thing to do).

The matter culminated when the CO called all the officers into his stateroom. Verbal accusations were made. Officers nearly resorted to blows, and one individual began to cry when realizing the scope, severity, and ramifications of such behavior amongst officers.

There were painful consequences for this delay in bringing the matter to the attention of the CO. Offices chose not to be in the same room with one another for the remainder of the deployment. Officers began to routinely lock up all their personal belongings at all times, in fear of retribution from the weak lieutenant. The event was well-known throughout the rest of the Marine and Navy personnel aboard other vessels, and the Marine CO suffered as a result of such publicity. Officers requested transfers to other vessels to finish out their deployment, and an environment of suspicion permeated the small group of officers on the ship. The *weak* lieutenant was discharged from active duty.

In reviewing this matter it will be clear that loyalty to shipmates before loyalty to ship caused the matter to continue when it should have been resolved prior to the new first lieutenant coming on board, that is, before the unit went on deployment. It is never easy to tackle such matters, but good officers don't just do the kinds of things the weak lieutenant did, and the failure of other officers eventually led to the destruction of esprit-de-corps on one of our ships—an avoidable consequence.

THE BASICS OF EFFECTIVE COMMUNICATIONS

By Commander Richard R. Hobbs, USNR (Ret.)

People cannot be led, save on the end of a rope, if they cannot understand what the leader says, means, or expects. Clear direction is a critical dimension of organizational climate. When people understand the mission, values, standards, and expectations of the organization, they can do what needs to be done. Lack of such understanding leads to false starts, ineptness, and discontent. Admiral Holloway suggests that

"…in communicating with seniors, the officer should try to let them know what his plans are, but only up to the point where his plans are relatively firm. The officer should not continue into an area where he is not on firm ground, because **conjecture** is not helpful to the leadership. If he does discuss the distant future, where conjecture comes into play, the officer should offer rational appraisals of what his probable future course of action will be.

Key Term
conjecture – *an inference or guess based on inconclusive or incomplete evidence.*

An officer should tell his subordinates what the missions of the organization and his particular groups are and, in general, how the officer plans to accomplish them. Subordinates usually are very bright, concerned, and interested, and they should be kept informed.

Generally speaking, however, in communications, the further down the chain of command, the closer to the front line, and the more the troops are involved, the less security a message has. First, the communication systems that are used in front-line units tend to be more vulnerable to code breaking and listening-in by the enemy. Second, junior people tend to talk more than senior people because they do not understand as well the need for security. So, in deciding what to pass down the line, the officer should remember to tell people what they need to know to do the job and what is important for their morale purposes, but he should avoid providing information that, if it got outside the command, could impair his ability or be a detriment to his plans or do harm to his country.

The officer should not communicate his plans for the future laterally to anyone except those individuals who must know. How guarded he must be depends on the officer's assignment. For example, the leader on a mine sweeper must be more guarded in communicating to those in charge of other mine sweepers than a task force commander at headquarters who is communicating to other headquartered task force commanders.

There are many kinds of communications, but the same rules do not necessarily apply in electronic communications and in person-to-person communications. The officer who is talking to his troops at quarters for muster and sort of pumping them up and telling them what a great bunch they are can be more wordy and innovative than a strike leader who is calling back to say that five SAMs have just lifted off. In the first case the officer can afford to use a better rhetoric; in the second case he just wants to get that message out quickly. The same idea applies when a four-star admiral writes a message to the Chief of Naval Operations or the Joint Chiefs of Staff. His communication will be more philosophical than the message of a destroyer skipper to his task group commander telling him what he is and is not going to be able to do in the projected operations over the next 48 hours because of a problem with his number-one fuel pump. The number of people in the chain of command for communication should be reduced to its absolute minimum, but not one less than the absolute minimum. Arbitrarily saying that there can be no more than five people in the chain of command, for example, is not sound policy, because the

number of people in the chain of command has to be based on the circumstances. For example, if only five people were allowed in the chain of command, the individual who has the helicopter air-sea rescue unit and may be called into play at any minute to extricate people might be left out.

There should not be anyone unnecessarily included in the chain of command, however. Because someone is a nice person and is interested does not mean he needs to know. He should not be in the chain just for that reason."

Many basics are involved in effective communication, among them audibility, articulation, spelling, and grammar. A long-standing naval tradition is for officers to exceed minimum requirements. Refinement is expected. The way an officer speaks, writes, and thinks should convey an image of an educated person. Much of this striving for excellence stems from a concern for image and credibility, and it is an entirely practical and fine tradition, alive and well among outstanding officers.

Explaining Decisions and Sharing Information

When power is effectively used, people do not feel like pawns. Rather, they understand and **subscribe** to the goals and values of the organization and feel **empowered**, not dominated. When the reasons for orders are not apparent, the likelihood of the orders being disregarded increases. A steady diet of such orders breeds resentment.

> **Key Term**
>
> **subscribe –**
> *to express approval, assent, or agreement with..*

Emergencies, when there is no time for explanations and officers must rely on trust, do arise. Trust is usually built through people's discovery over time that officers have good reasons for what they require. For example, there are compelling reasons for the insistence on obedience, respect for the chain of command, cleanliness, and order. These are not arbitrary personal preferences, but if these requirements are viewed as such, personnel will be little concerned about slipups as long as they avoid being caught. When the standards are seen as being vital to the health and survival of the organization,

> **Key Term**
>
> **empower –**
> *to enable, permit, or authorize.*

people will work at upholding them without constant prodding. Outstanding officers seem to understand the principle of providing reasons for orders quite well, as the following example of communications illustrates.

"Okay, the ship is going to sail over the horizon with twelve airplanes on it. The only defense that ship has in its battle group, in its cruisers, in its destroyers, is the F-14s. So if we're ready, we can protect that battle group. If we're not ready, then the battle group might as well just go back to port and tie up. Now, the Chief of Naval Operations won't hear tell of that. The President, the Joint Chiefs of Staff, nobody would allow that to happen. So it comes down to you. You've got to be on your toes. You've got to be ready."

And they got ready because they understood the mission's importance.

Officers can share information with department heads through regularly scheduled meetings. They can inform their personnel of upcoming events so people can plan ahead. COs and XOs can also make certain that the crew is briefed on what to expect during special evolutions. Even trivial rumors must be squelched, as the transmission of *accurate* information is vital.

Sometimes COs personally brief the crew at quarters in preparation for inspections. Members of the crew are told what is going to happen and how they are expected to behave, generally in words similar to these: "No need for you to be nervous. The house is in order. You are well prepared for this inspection. Try to relax and give honest answers to any questions the inspectors have."

Making Sure People Absorb What is Communicated to Them

When they talk to people, outstanding officers watch the expressions of those in the audience to be sure they are taking in what is being said. Where there is any doubt, officers ensure understanding by making a clearer restatement or requesting that an individual repeat the message in his or her own words. Important oral communications are sometimes followed up in writing, or vice versa, all to ensure uptake and understanding.

The importance of making sure that oral communications are understood is illustrated by the example of an air squadron that was out for muster in a noisy open hangar at the airfield. To make sure that everyone in the squadron could hear him, the commanding officer pulled everyone in close around him, in football-huddle fashion, instead of leaving them spread out and neatly lined up.

Tailoring Communications to the Audience's Level of Understanding

Many factors are involved in tailoring communications to people's level of understanding, an advanced skill of leaders and teachers. If a leader wishes to have people understand a message fully, he or she must think about what they need to have in order to do so. A few techniques related to tailoring communications to people's level of understanding for solving communications problems are listed below.

Problem	Solution
1. Insufficient background information.	Provision of background information. He [DHJ was new to the ship. He launched into the Supply DH about the way he was handling configuration management. He didn't understand the logic of the procedures and wasn't listening to the senior officer. The CO decided to intervene and take him aside and tell him some sea stories about fiascos that led to the SupO's current procedures. Once he understood the background, the DH saw the procedures' merit.
2. Idea too abstract or too theoretical to grasp.	Provision of a concrete example that connects with the person's experience. In high-stress conditions, people regress [theory J. Take Steven and Tom, for example. They are rocks of Gibraltar. Ordinarily, they wouldn't dream of blaming their mistakes on anyone else. But here was pressure like they'd never seen, and they babbled incessantly about how stupid the other one and everyone else was but themselves. They were behaving like kids [concrete example].
3. Idea too strange or too complex to grasp, or too pedestrian and commonplace to remember.	Use of a metaphor or an analogy. The lady [the ship J [metaphor J is suffering the usual maladies of middle age. She requires an extra dose of tender, loving care [analogy].
4. Vocabulary and phraseology too exalted.	Assistance of an editor.
5. Vocabulary strange.	Avoidance of the use of Navy or Marine Corps jargon with non-Navy or non-Marine Corps audiences.

In summary, outstanding officers make sure that people "hear" them, understand the message, and understand its import. In doing so, they uphold a long-standing naval tradition.

Making Sure Personnel are Continuously Informed

In superior units, plans of the day (POD) are viewed as a major vehicle of communication. They are always thorough, and they include the long range view. Through plans of the day, personnel are alerted to upcoming events and to what they are expected to do. Their attention is drawn to important issues. One plan of the day reported that a man had fallen down and broken his leg because a hatch had not been properly secured. The POD did not point out where the accident had happened, so that all hands would be careful.

Another aspect of keeping the troops informed is the indoctrination program for new troops. All units must have these programs, and the effort and time put forth to make them effective is worthwhile. In an effective indoctrination program, commanding and executive officers get directly involved and talk to all new personnel, individually and as a group. Indoctrination programs must be timely; only in average units does the indoctrination program take place three or four months late. In one poorly organized program, the instructor had to ask people in the room for the latest information, and the commanding officer who was supposed to attend had gone flying instead.

Cross-Compartmental Communication

Cross-compartmental communication is essential. Operations officers must talk to maintenance people; the engineering department head must coordinate with the other heads of departments; Marine Corps battalion staff members must coordinate effectively with company commanders. Without telling anyone, one engineering department head arbitrarily cut off a communications line to the commanding officer. After considerable inconvenience to the commanding officer, the operations officer finally tracked down the problem and restored the cross-compartmental communications.

Maintaining Contact with Personnel

As part of their emphasis on communication up and down the chain of command, leaders should regularly walk around their units to learn what is going on. This is a *planned* activity, not something that is squeezed in during spare moments. In this way, leaders gain a sense of their unit as a whole, instead of focusing excessively on details. An officer on a ship who spends too much time below deck, focusing on individual activities such as the installation of a pump (which will only make the crew nervous and impede progress), is missing the opportunity to monitor all activities in an unobtrusive way.

Officers should emphasize the importance of communication up the chain of command. During tours of the unit or spaces, officers are alert to working conditions, individual performance, and opportunities for individuals to say how they think things are going. This approach is not an invitation for circumvention of the chain of command or confrontation; rather, it allows individuals to communicate directly, and it also provides a chance for officers to express their interest in the welfare of their troops.

Remaining Available and Visible

Outstanding officers "manage by walking about." Yet they do this only partly to keep informed and monitor what is happening. Another very important part of walking about is to show interest, concern, or appreciation. Many senior officers make an effort to get to know people's names and something about them. On their rounds, these officers can make statements such as: "Seaman Jones, how's your mom doing? Has she recovered from her operation?" or "Private Smith, I hear you're getting ready to ace the essential subjects test," Overall, the walking about is upbeat; it is not a fault-finding mission. Officers can show interest by sitting in on training, observing drills, and stopping on a stroll to watch an evolution: "Carryon; I'm just watching. Never saw it done quite like that before," During preinspection drills, one ship's CO stood up on the bridge spotting people putting out extra effort or doing an especially good job. The CO would get on the speaker and single them out: "Nice job, Jane Smith .... Can't see Tommy Jones, he's moving so fast ... ,'. Several officers noted that they genuinely enjoyed these strolls and that the strolls paid off considerably.

MCPON Sanders: *When communicating with the crew, I would first recommend that the officer discuss what is going to be said with the senior enlisted, and let that individual provide some of his own thinking and arrange the meeting with the troops. In this way you will know that what is being communicated is consistent with the ideas of the senior enlisted, or, if there is disagreement, that can be worked out ahead of time so that you provide a unified front to your unit. Going through the chief serves several purposes. First of all,* it *gets his confidence; he understands that you are working through him, and it builds him up a little bit; second, if you just walk into an area and call all hands up to let them know what you want to talk about, you may be disrupting previously scheduled work. Thus, it's a lot easier to go through that senior enlisted and then speak directly to the crew.*

Review Questions

1. What is critical to the accomplishment of a unit's mission?

2. What does Admiral Holloway say about the security of a message?

3. What are the basics involved in effective communication?

4. What occurs when power is effectively used?

5. What are five techniques for tailoring communication to people's level of understanding?

6. What does MCPON Sanders recommend an officer do prior to communicating with the crew?

Thinking Ethically: The Party
From Ethics for the Junior Officer: Selected Cases from Current Military Experience

At a party hosted by military personnel, an excess of alcohol consumption led to some personnel acting in a criminal fashion, to the annoyance and anger of some of the guests.

A subordinate of a senior military official at the party complained the next day, without further elaboration, that there had been a wild affair the night before.

The senior, who had a great deal on his mind, listened to the brief remark but took no action until three days later, when the subordinate went into further detail, which indicated that matters had gotten out of hand and that further action was required.

Was there a senior or subordinate communications failure?

The first question to be considered is: Who is responsible for one person receiving a communication from another? It is generally held that the sender is responsible to see that the message is sent in terms that the receiver will understand, and that the sender should look for feedback to ensure that, in fact, the message was received as intended.

In a military organization the completeness and accuracy of communications lie with seniors and subordinates. On the one hand, the senior needs to create a climate so that all subordinates feel free to speak, even though they know that the senior may not like or want to hear what they have to say.

If the boss (or "Emperor") isn't wearing any clothes, as in the case of the children's fairy tale, the junior must speak up. It is the responsibility of the senior to ensure that all subordinates know that they will not be "shot" just because they are the messenger bringing bad news.

Conversely, subordinates have a responsibility to their seniors to ensure that the latter understand what is going on and to recognize that a busy senior may not be paying full attention to nor understand the significance of their remarks.

 If a senior is extremely busy, then it is necessary for the subordinate to find an alternate way to ensure that the senior is paying attention and understands what they are being told, along with the implications and expectations that derive from that knowledge.

A senior is expected to be responsible and reasonably prudent enough to recognize the significance of violations of the UCMJ and not look the other way. In addition, the senior should attempt to draw out details and not be distracted by other matters.

SECNAVINST 5520.3A requires immediate reporting of major criminal offenses to the Naval Criminal Investigative Service. Thus officers need to consult the JAG to define, identify the nature of, and determine the degree of an offense so that proper handling can be determined.

When a subordinate is trying to reach a senior and is put off, they should *demand* to get through if the situation is critical enough.

Communication is also an ethical responsibility of both seniors and subordinates, with the former making the command climate possible and the latter insisting, as necessary, to be heard.
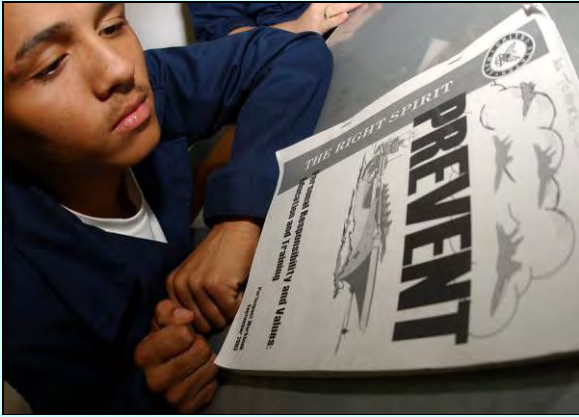
Airman Camilo Torres, of Brooklyn, N.Y., participates in a scheduled "Prevent" course aboard aircraft carrier USS Nimitz (CVN 68). The Prevent course gives Sailors a forum to talk with fellow shipmates about destructive behaviors such as: tobacco, alcohol, financial habits, and drugs. Instructors for the Prevent course are brought aboard Nimitz during underway periods as well as in port.

Assignment:

1. Complete the "Critical Case Evaluation."

2. Decide what you would do and record your response on the "Case Evaluation Response" form.

3. Review what actually happened in this real scenario.

A Critical Case Evaluation

Case Title: _____

Directions: Use the questions from the *Thinking Ethically: Things to Consider* chart (on page 6) to help you evaluate the case.

Pressure

Is there pressure from peers, subordinates, seniors, or other sources to behave in an unethical manner? ☐ No ☐ Yes

If yes, who or what is the source of the pressure?

_____

_____

_____

_____

Seek the Truth

Does the leader validate the facts and obtain clarification? ☐ No ☐ Yes

If no, what actions does the leader need to take?

_____

_____

_____

_____

Subordinates

Do the factors in the case affect subordinates and their perception of their leader? ☐ No ☐ Yes

If yes, what effect is caused, or *might* be caused, to the subordinates?

_____

_____

_____

_____

Organization

Is an ethical work environment being maintained?   ☐ No ☐ Yes

If no, what action does the leader need to take?

_____

_____

_____

_____

Know the Rules

Does the leader properly enforce the rules, regulations, or policies?   ☐ No ☐ Yes

If no, what action does the leader need to take?

_____

_____

_____

_____

Additional Points

Are there any additional points to consider?

_____

_____

_____

_____

_____

_____

_____

Case Evaluation Response

Case Title: _____

What would you do and why?

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

What Actually Happened in this Real Scenario?

Both the senior and the subordinate lived to regret their mutual lack of communication.

When a subordinate thinks something is wrong, then it is the responsibility of the junior to ensure that the senior is fully apprised in a timely fashion as to what has gone on. It is, of course, also the responsibility of the senior to listen, with the junior applying as much bravery and directness in talking to a senior as they are expected to show in dealing with an enemy.

COMMUNICATION: A TWO-WAY EXCHANGE OF INFORMATION

By Commander Richard R. Hobbs, USNR (Ret.)

By definition, communication can take place only if there is a two-way exchange of information. This implies the existence of a system in which senders and receivers are able to exchange roles. A good leader must be a good listener, and he or she can be, simply by applying the principle of do unto others as you would have others do unto you. Sending and receiving functions are not used equally by all parts of the system. The amount of time spent in sending or receiving is a function of the purpose of the level in the chain of command that is being served by the communications system. If any **component** of the communications system is unable or unwilling to transmit, communication will not occur. Conversely, if any component is unable or unwilling to receive, communication with that component becomes impossible.

> **Key Term**
>
> **component** –
> *a part of a greater whole.*

To help ensure that the listener will want to take on board the message given, Admiral Larson suggests that

> **Key Term**
>
> **pontificate** –
> *to speak or behave with pompous authority.*

"…the first thing is to understand your audience. You have to understand their knowledge base and their interests and you have to talk right to them. Communicate with them honestly, openly, frankly, as if you were just talking to them one on one. Don't **pontificate**, don't strategize, don't talk in the lofty clouds, but speak to them and speak in a way that builds their knowledge base and involves them in what you're trying to do. Have a common frame of reference, have common interests. Now this will get difficult sometimes, when you're talking to an audience about things that may be controversial, that may not be easily accepted. On my ship and in my division, when I was a division officer, I used to involve my troops in the planning process. Before policy was formulated I would allow the dissenting views and all of the opinions to be gathered together. We would debate during policy formulation and then, once policy was formalized, I expected everybody to get on board once I had made my decision as a division or as a commanding officer. I expected them to get on board and support me firmly as we carried out our mission. If you are going to have to go before the whole crew or the whole division, it is useful to have that private policy planning session first, give that private explanation to some of the senior petty officers and junior officers, so that, when you go into that public forum with a controversial item, you will have their support immediately because they will understand where you're coming from, and then that support will capture the whole crew. But I think the important thing, I guess the bottom line, is just honest communication, as if you were talking to a friend or a contemporary, and talk to them, not down to them."

"Communications" is usually discussed in the context of communication between individuals: one-on-one, one-an-several, or one-an-many. Different techniques or approaches are effective in each of these three situations. For example, although a one-on- one private meeting and a one-on-many public oration both employ oral communication, complex ideas and problems are best discussed in detail in small groups. The spoken word becomes less useful, in a classic communications sense, as groups grow larger, such as when a general announcing system is used to address an entire organization. In this instance, communication exists only in a special sense, and only in one direction, because the receivers are not permitted to become senders except after the fact.

The Communications Climate

The midshipman or young officer who understands the factors affecting the communications environment has an advantage over those who do not understand them. It is important for an officer to recognize and compensate for the fact that the chain of command in many instances impedes the flow of communications. Giving orders, sending directives, and establishing policy are easy-too easy. The inexperienced officer in the command structure can get trapped by assuming that communication is occurring because someone in the upper echelons of the organization hierarchy is transmitting frequently. Put another way, those in command are almost always the last to realize that the organization's communications needs are not being served well because the system lacks a well-exercised bottom-to-top communications capability. The ability to receive feedback is an essential ingredient in any unit or control system. The attentiveness of someone in conversation is an indication of how well a speaker is getting ideas across.

Organizations in which certain elements are always senders and other elements always receivers have allowed their communications system to become **subverted**. Variations on the "I know it all, I don't have to (and won't) listen" and the "You are too low in the organization to understand the problem, you don't know what you're talking about" **syndromes** abound in almost all organizations. Where the balance is struck between sending and receiving will govern the effectiveness of the organization's communications. The organization's leaders can enhance or degrade the communications environment by their apparent receptivity, by their response to legitimate stimuli, and by the climate of mutual trust and respect they help—or fail to help—develop.

Left to their own devices, bureaucracies tend to control and stifle rather than enhance or facilitate communications. "No, you can't talk to the division officer" or "The XO is too busy" are heard all too frequently. Turnoffs such as these convey the message that the command is not interested in what is happening on the other end of the totem pole. A positive communications "climate" can be turned off easily, while a negative climate is very difficult to turn around.

Key Term
subvert – *to undermine the character, morale, or allegiance of a target group.*

Key Term
syndrome – *a group of signs or symptoms that collectively indicate some abnormal condition.*

Sharing Information Means Giving Power

The chain of command concept provides a discipline that regularizes communications, but it also can isolate upper echelons from important information sources. Unregulated or unrecognized bureaucratic filtering deprives leadership of information that is frequently valuable, and the organization must remain sensitive to this possibility.

Knowledge is power, and while knowledge can be acquired from a variety of sources, that which is most valuable (and vital to the leader in an operating environment) is usually found among the subordinates in the organization. What kind of environment causes a person to want to tell the supervisor what is happening? What is it that makes that person want to share information and knowledge (and thereby power) with seniors? Not surprisingly, the Golden Rule operates in the internal communications world, too. What motivates an officer to keep the boss informed will also motivate subordinates to keep the officer informed. This motivation is provided by the knowledge or belief that seniors are interested in learning, that they will appreciate what the subordinate has to offer, and that they will act appropriately on the information passed to them.

General Rice suggests that

> "…to make sure that he is in fact receiving the intended message, a listener should, first of all,
> listen very carefully. And in order to make sure that people will listen carefully, a speaker must
> have something to say. Someone who holds meetings for the sake of holding meetings or hearing

himself talk will find that people will not listen; they will come and they will take notes, but they will not really listen, because they will be thinking of other things.

An officer must use his judgment to determine whether it is better to ask a question during a briefing, in front of the group, or to wait and ask the question privately, after the briefing. It depends on the individual who is giving the briefing and on the circumstances. When I was in the U.S. Strike Command as a lieutenant colonel, the Commander in Chiefs comments were taped. One time I happened to be sitting in there when he talked, and I went back to my office and the major general called me in and gave me direction on what the CINC wanted. I just couldn't believe it, because I had sat there and listened to the CINC, and I knew what he wanted, and it wasn't close to what the major general said the CINC wanted. So, rather than counter the general, I went back and got the tape from the command center and played it back, and I heard what the CINC said, and it reinforced what I thought he said. So I went back to the general, an hour or so went by, and he said, "Well, maybe you're right. Go ahead and do it your way." I did it my way, and it happened to be right. So, you've just got to play it by ear.

I had the time and the opportunity to check my facts before I asked a question, but there are times, particularly in a combat situation, when a face-to-face immediate question is unquestionably necessary. An officer had better understand and know up front what the commander intends, and any commander worth his salt will either reinforce what he said or give the answer that is required. The worst thing an officer can do is just sit and mull. If he does not understand what is going on, he can get himself or someone else killed, simply because he was embarrassed to, or didn't want to, ask a question."

Every organizational level must be able to start the communications process, and while transmitting is usually the first step, receiving and listening to feedback is the second and more important step. The person who cuts off the head of the messenger bringing bad news will also miss out on a lot of "good" bad news. On the other hand, if the organization can see that the command puts feedback to good use, information sources flourish.

Understanding and Evaluating

Listening is not a trivial task. It requires sensitivity, intelligence, understanding, and common sense. Aside from being sensitive, the listener must also be an astute judge who is able to evaluate the information received. A listener must either know the source of the information or have great faith in the reporter. It is essential to know the reporter's biases and special interests and how well the reporter evaluates the information acquired. Harold J. O'Brien and Harold P. Zelko, professors of speech and communications, offer the following criteria for being an effective listener:

1. Attune yourself to the sender. An attitude of waiting to be sold or convinced may keep you in the dark. You must have a positive attitude of wanting to learn or understand.

2. Try to receive, no matter how poorly a message may be sent. Although a poorly organized talk, a rambling speech, a disjointed conversation, make listening difficult, try to understand.

3. Evaluate and analyze as you receive. People normally send what they want you to hear or they believe you want to hear.

4. Receive objectively. People tend to select senders who offer compliments or make life pleasant. This discourages the sender who has valuable though unpleasant information. Try to see the message from the sender's point of view.

5. Take appropriate action on what you receive. Receiving implies action.

The leader must know if the reporter is reporting facts acquired firsthand or is reporting "processed" data. If the latter, the leader must determine the **attenuation factor**. Does each successive layer in the chain put an increasingly benign face on bad news? Sometimes by the time the "problem" gets to a level in which people are capable of providing a solution, it does not seem to be a problem at all. This is a major source of frustration to subordinates who see and report real problems and have to live with these real problems on a daily basis.

Admiral Burke notes that

> "…a subordinate generally will not volunteer very much unless he believes his opinion is wanted. I did a lot of little things to obtain information from my people. For one thing, I had a Navy dinner, a mess dinner, every two weeks. I'd have some junior people, and the people who were connected with surface-to-air missiles, for example, and, if I could get them, one or two people who were opposed to surface-to-air missiles. I started off the dinner with drinks all the way round, and I went back to the old, old customs where the junior man speaks first. So the junior lieutenant would get up and he would make a proclamation of what he thought ought to be done, and he told this before anyone else said anything. No one would ever criticize him or any of the other subordinates directly. They would just talk about the subject. It was remarkable how well this always happened. The seniors leaned over backward to make sure they didn't cut the junior down just because they thought he was wrong.

> Another thing I did was, sometimes when I put out an order, I got a flock of junior people, senior people, all the way up and down the line, and I said, "Let me know what happens, what is really done on this thing." So when I put out an order, I checked, maybe a couple of weeks later, as to what was happening here. I called lieutenants in, commanders in: "What about this work that's being done?" When my orders were not followed, it usually was not deliberate. The order was modified a little bit, or they interpreted it a little, or it just wasn't that important. In other words, things didn't happen the way you thought they were going to happen. I never did anything, I never took corrective action, except through the chain of command, but the information I got every way I could get it. I got information from wives, from secretaries, but I never used it except to check the thing officially.

> For example, while I was commander of destroyers in the Atlantic before I became CN 0, we were in Newport. Newport's a very easy harbor to get into, it's not bad, though sometimes it gets foggy. But I had a destroyer coming into port with a new captain aboard, and I guess he came from Norfolk or someplace. Anyway, he requested a pilot. Well, I had a rule on the staff and it was that I was the only one who could say no. If anyone asked for permission to do anything, asked for anything, no one else could tell them no, I would tell them no. If the answer was yes, they'd go ahead and do it, but only I said no.

> Well, that rule worked as this thing came up. I said, "He shouldn't need a pilot and I'm going out and bring his ship in." "You can't do that;' the staff said. I said, "The hell I can't;' and so I went and met the ship with a barge and I climbed aboard and said, "I'll take over the ship." The captain said, "Admiral, I can take her in." I said, "No, Captain, you asked for a pilot, you got one. I'll take your ship in." And I took her in. I only had to do that once. I never had anyone ask for a pilot again. That went to the fleet in nothing flat.

> A third thing I did was, every night when I was in destroyers, I drove my own car. No one in those days had quarters afloat, you lived on the economy. So on the way home I would pick up

officers or blue jackets or whoever on the dock and talk to them on the way home. I kept a notebook in my pocket, and I always asked them certain questions. What ship are you on? How is she? And what's she doing? Everything about her. I caught the name of each man, the ship and the captain's name, and maybe one line. Well, after two or three months I got a pretty good line on my ships, on the gripes. They wouldn't always tell me the truth, though they would sometimes, but I could get an awful lot of truth even when they weren't telling me all the truth. No one would ever say "My captain's a louse" or anything like that, but I'd get a half-damn praise.

I got a lot of dope about captains, so much so that when I was called out to be CNO, I had that book in my pocket, and they said, "You've got to have a flag lieutenant." I said, "I've got one, a junior lieutenant:' They said, "You've got to have a commander." I said, "This boy's a good boy." They said, "No, he can't handle it, you've got to have more experience than this youngster has." Well, I looked in my book to find out what captain of what ship was best-I had these things by ship-and I went down and found a man, whom I did not know. I'd never seen him, but he had the best reputation from my own book. Everyone liked that ship, liked the skipper and what he had done. So I called his wife at Newport and said, "Is your husband in?" She said, "No, Sir, he's on the golf course." I said, "Would he like to be flag lieutenant to me?" And she said he would. "How do you know?" I asked. "I'll tell him to," she said. I said, "Can he be down here tomorrow morning?" "He'll be there." He was a hell of a good flag lieutenant, still is a very good friend, very fine man. But this came about strictly from asking anyone I found a lot of questions. You could ask other questions: What did you think about this ordeal? What do you think went wrong? Well, they'd tell you something, and mostly it didn't matter much. Once in a while you'd get a pointer and it was damn good, though. What it does do is start people to think a little bit, and they would have something on their mind next time you talked to them, or the word spread that the commander asks his people questions, and so they would be interested in some things. Interest is one thing you've got to get."

The officer must be a perceptive listener, because frequently what is not said is more important than what is said. As they practice and gain experience, young officers will develop a facility for asking "the right question."

Admiral de Cazanove suggests that

"…it is best if the officer can lead others to draw for themselves the conclusion that is his. The principal way this can be achieved is by ensuring that your people know your thinking and approaches to problem solution. The perfect command is not to give any command, because if your people know exactly what you are going to give as a command, they will take the necessary action without further directives having to be given. Sometimes I used to be asked to ask the admiral what he would say, and I would reply that there was no need to ask him that, and when asked why, I replied that I knew perfectly well what he would say, so why ask him? There is no need to ask the boss whether he wants the job done in the way that will give the best results, for that is obviously what he will want. In wartime this is particularly important, and officers must know both the desires and reasons therefore of their senior, as well as what action should be taken to gain the senior's objectives. You do this because you love your country and your boss. When you have the privilege of feeling this way about your boss, it is extraordinary, for you obey not only because he is your boss but also because you "like" him very much-you respect him, and know that you are being well led. Especially in action this is a great benefit and gives all a great feeling, but even if you do not feel this way about your boss, you will do what he wants because you are disciplined."

MCPON Sanders: *To be a successful officer you must work at being a good listener. As a leader, you should not only listen to your crew but, while giving them your message, see the nonverbal feedback that you are getting and determine whether they are listening and understand what you are saying. When they speak to you, direct your attention to them, for if you don't, they will automatically cut you off. Unless you are ready to listen, you will have fewer people coming to you, and speaking to you only when they have to. Be a good listener, take notes, mental notes at least.*

Master Chief Petty Officer of the Navy (MCPON) Terry Scott speaks to a group of more than 200 Boston-area Naval Reserve Officers Training Corps (ROTC) students at the Massachusetts Institute of Technology (MIT). Scott offered advice on leadership aspects the Sailors can concentrate on once they reach the Fleet, as well as the relationship they can expect to have with their Division Chief Petty Officer. The group of future Naval Officers was from six different area schools, including MIT.

Review Questions

1. What principle should a good leader and listener apply?

2. What governs the effectiveness of an organization's communications?

3. What is the best setting in which to discuss complex ideas and problems?

4. What does a good listener require?

5. What are five criteria for effective listening?

6. According to MCPON Sanders, what must a person do to be a successful leader?

Thinking Ethically: Communication
From Ethics for the Junior Officer: Selected Cases from Current Military Experience

A strong lack of communication and distrust existed between an O-3 and an immediate senior enlisted E-8. This realization made the chain-of-command difficult for subordinates to use. While the O-3 was aware of the problem and actually often exacerbated already uneasy feelings between the two, no action was taken to ameliorate this tension.

The inaction of the O-3 encouraged the E-8 to also do nothing to resolve the problem. The lack of communication between the senior enlisted and junior officer resulted in routine fiascoes and a breakdown in control.

The ethical climate lacked the element of leadership by example, which was required for this training command – as it is for all military units. You are the commanding officer of the unit and know what is going on and are concerned about the message that is being sent to officer candidates who are training with the unit.

What do you do?

Communication between individuals who work closely together is necessary and should be automatic. The need for the services to work with the minimum numbers of personnel needed to do the job is important because national defense resources are limited and there is a general need to maximize both the expenditure of dollars and the accomplishment of personnel.

Teamwork in the military is the key to all that is done; each member of the team is expected not only to know their own job but also to keep an eye out for others so that they may be helped when the need arises.

In the final analysis, ultimate responsibility for activity, or inactivity, as the case may be, rests with the CO. Trouble in an organization is generally considered to be from the top down as opposed to the bottom up. At every level of command, it is the responsibility of those senior in the chain-of-command to know what is going on below them and to take steps for improvement where necessary.

Although the probably didn't really know each other and didn't try to understand one another, the CO did determine that the O-3 and the E-8 had feelings toward each other that bordered on hatred.

Assignment:

1. Complete the "Critical Case Evaluation."

2. Decide what you would do and record your response on the "Case Evaluation Response" form.

3. Review what actually happened in this real scenario.

A Critical Case Evaluation

Case Title: _____

Directions: Use the questions from the *Thinking Ethically: Things to Consider* chart (on page 6) to help you evaluate the case.

Pressure

Is there pressure from peers, subordinates, seniors, or other sources to behave in an unethical manner?　　☐ No ☐ Yes

If yes, who or what is the source of the pressure?

_____

_____

_____

_____

Seek the Truth

Does the leader validate the facts and obtain clarification?　　☐ No ☐ Yes

If no, what actions does the leader need to take?

_____

_____

_____

_____

Subordinates

Do the factors in the case affect subordinates and their perception of their leader?　　☐ No ☐ Yes

If yes, what effect is caused, or *might* be caused, to the subordinates?

_____

_____

_____

_____

Organization

Is an ethical work environment being maintained? ☐ No ☐ Yes

If no, what action does the leader need to take?

_____

_____

_____

_____

Know the Rules

Does the leader properly enforce the rules, regulations, or policies? ☐ No ☐ Yes

If no, what action does the leader need to take?

_____

_____

_____

_____

Additional Points

Are there any additional points to consider?

_____

_____

_____

_____

_____

_____

_____

Case Evaluation Response

Case Title: _____

What would you do and why?

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

What Actually Happened in this Real Scenario?

In the end, the officer candidates who were training with the unit were the ones hurt by the situation. Their interpretation of the standards of proper chain-of-command communications and conduct was confused.

Unfortunately, the CO did nothing, believing it was up to the O-3 to work out a method of improving the relationship. The fallacy in this approach is that the O-3 had shown by the poor communications that prevailed in the unit that the JO didn't have the knowledge and/or desire to straighten the situation out.

There is more to being an officer, no matter what the grade, than doing one's own job and ensuring that immediate subordinates do theirs. The position of commanding officer – whether you be an O-1, O-4, or O-7 – includes responsibility for everything that happens in the unit from your level down to the lowest rated enlisted in the ranks.

The ethical failure in this case is partially the responsibility of the O-3 and the E-8 for not trying to work out their differences, but mainly it is a failure on the part of the CO for not intervening and alleviating the lack of communication existing within the command. The organizational benefit derived from an involved commander of a unit is often underestimated. The CO should have stepped in to encourage and promote better communication by helping the two individuals better understand each other and the importance of their working/communicating together for the benefit of the organization.

Since both the O-3 and the E-8 wanted the vey best for their unit, but did not know how to go about resolving their differences, the CO should have spent time with these two, which would have benefited the entire unit. The officer candidates who were training with the unit would have also benefited from the CO's involvement as well.

AVOIDING COMMUNICATION PITFALLS

By Commander Richard R. Hobbs, USNR (Ret.)

Orders are absolutely necessary; they tell individuals how to act in their formal positions. When giving an order to subordinates, the leader must use a **straightforward** approach and the simplest of terms to convey what he or she wants them to accomplish. Orders should leave no room for interpretation and should contain no words with a hidden or "double" meaning. Too often the word *should* is used in orders when the officer really means *must* or *will.* Before issuing an order, an officer must always consider whether or not the order is explicit.

As Admiral Holloway points out,

> "…orders are most likely to be misunderstood either when the senior who drafts them does not take the time or care to make them clear, concise, and **unambiguous**, or when a subordinate is unable, for some reason, to understand what he is being told. Very often an order is unclear because an officer relies on his aide or assistant to convey his wishes. The officer who writes his own orders can be sure they are worded so they can be understood. An officer should instruct his staff to check with him if an order is unclear, because sometimes assistants are reluctant to disturb their boss for that purpose. On the receiving end, subordinates sometimes have difficulty understanding the intentions of their leaders, so officers must eliminate ambiguity from their messages, both written and oral."

If an explanation or background information is necessary for the proper execution of an order, and time permits, the officer should provide this information prior to issuing the order. Then he or she should issue the order as a checklist. Sea stories or superfluous materials are not required, and they will only create diversions and confusion for the crew or the troops. An order should not be entwined with an explanation or overview.

People work better when they understand the purpose of their efforts, so a leader can often achieve better results by providing subordinates with an overview. Giving subordinates sufficient background material will make them feel that they are involved and are taking an active part in the exercise or work effort. Subordinates who understand the reasons for an assignment are also better able to exercise their judgment and make adjustments as

the situation changes or as problems arise. Officers who keep everything to themselves and practice the "mushroom" theory with subordinates only create problems. A leader cannot keep people in the dark and expect them to function effectively and to their full potential or to feel that they are a part of the "team."

Leaders must know what they are going to say. Unorganized thoughts result in an unorganized effort, so the leader should consider whether the ideas are clear and concise and, if there is time, should bounce them off a roommate or colleague before expressing them to subordinates.

From the top on down, orders are sometimes given without thought to priority of accomplishment, redundancy, or consistency. Feedback and rapport up and down the entire chain of command are required if orders of this nature are to be avoided. Following the chain of command may act to slow down transmission. Despite the dangers of such a delay, important communications should nevertheless pass through every level

Key Term

straightforward – *honest, frank, candid.*

Key Term

unambiguous – *not lacking in clarity; having only one meaning.*

of the chain of command, from top to bottom. Subordinates in the chain must continually discuss problems and priorities among themselves and with their commanding officer. Rapport among people will preclude their issuing conflicting orders and will permit an effective and coordinated effort.

Before issuing routine orders, a leader should discuss priorities with others. He or she must keep in mind that the desires of the commanding officer receive top priority, even though the commanding officer may not have made the task a top-priority item.

Leaders must not take the drive out of subordinates by chipping away at their egos. A leader has to avoid threatening the status or ego of a subordinate at all costs, and he or she must recognize a situation where this is likely to happen before getting into the middle of it.

Giving false expectations, such as early liberty, a day off, or basket leave, for the accomplishment of a task that cannot be accomplished within the time frame or is beyond the subordinates' capabilities is damaging to the morale and cohesiveness of the unit. Goals have to be attainable, and a consistent policy, such as permitting the chief petty officer or staff noncommissioned officer to control leave or early liberty based on job accomplishment, promotes high morale within the division or unit. Work that has been done correctly and in a timely manner can always be rewarded with special privileges. This tends to keep the unit in a high state of readiness.

To avoid having orders distorted as they pass through the chain of command, a leader should make sure the leading petty officers or noncommissioned officers use wheel books or notebooks at quarters. After quarters, the leader can observe and listen to the LPO/NCO putting out the same information the leader just provided. If there is a distortion or other problem, the leader should call the LPO/NCO aside and settle the matter as soon as possible. Many administrative failures can be traced to seemingly discretionary orders to which absolutely strict compliance was expected.

A leader must establish a rapport with subordinates that permits them to ask questions without fear of receiving a sarcastic reply or a foul look. The leader must provide the LPO/NCO the opportunity to ask questions, either during a meeting or afterward in private.

If the leader must criticize or correct someone, it should be done in private, and the leader should always finish up the meeting by reminding the individual of some of his or her good points and recent accomplishments. Leaders have to treat subordinates as competent individuals until they prove otherwise. Additionally, leaders must respect someone who is honest and sincere. Everyone wants to do well and to please the senior, and the senior should keep that in mind and treat subordinates as he or she would like to be treated.

Review Questions

1. According to Admiral Holloway, when are orders most likely to be misunderstood?

2. What is accomplished by giving subordinates sufficient background material?

3. What should a leader avoid doing to a subordinate at all costs?

Thinking Ethically: Inflated Readiness Levels
From Ethics for the Junior Officer: Selected Cases from Current Military Experience

During flight school and subsequent assignment to a flying billet, officers are educated as to the requirements for attaining training proficiency. An O-3, newly assigned to a squadron, found that more senior officers were inflating individual aircrew readiness levels so as to reflect high squadron readiness levels.

Both short- and long-term effects were felt at the aircrew squadron levels. The individual aircrews suffered from lack of adequate training and the squadron's performance levels were poor. The ethical climate of the command was such that the result was wholesale acceptance of the concept "that's the way it is."

What do you do?

This ethics issue deals with false reporting of aircrew readiness levels. Instead of bringing aircrews up to standards, effective training of aircrews was sacrificed by failure to perform numerous basic training evolutions, while recording that they had been accomplished. This was done to reflect high squadron readiness levels.

Senior and intermediate-level personnel further compounded the situation by accepting certain readiness levels regardless of completion of required events. This set an example that was followed by all in the command.

With their seniors accepting less-than-required results, junior officers succumbed to the seniors' influence. They followed their examples all allowed this situation to continue. It is noted that there were written instruction governing what the required training should have been.

U.S. Marine Corps Maj. Michael Dehner, right, points out an item on the preflight checklist to student, Navy Lt. Christopher Dotson, prior to a flight from Naval Air Station Patuxent River, Md. The flight was a systems evaluation on the F/A-18B Hornet. Both Maj. Dehner and Lt. Dotson are assigned to the U.S. Naval Test Pilot School, stationed on board Naval Air Station Patuxent River, Md.

Assignment:

1. Complete the "Critical Case Evaluation."

2. Decide what you would do and record your response on the "Case Evaluation Response" form.

3. Review what actually happened in this real scenario.

A Critical Case Evaluation

Case Title: _____

Directions: Use the questions from the *Thinking Ethically: Things to Consider* chart (on page 6) to help you evaluate the case.

Pressure

Is there pressure from peers, subordinates, seniors, or other sources to behave in an unethical manner? ☐ No ☐ Yes

If yes, who or what is the source of the pressure?

_____

_____

_____

_____

Seek the Truth

Does the leader validate the facts and obtain clarification? ☐ No ☐ Yes

If no, what actions does the leader need to take?

_____

_____

_____

_____

Subordinates

Do the factors in the case affect subordinates and their perception of their leader? ☐ No ☐ Yes

If yes, what effect is caused, or *might* be caused, to the subordinates?

_____

_____

_____

_____

Organization

Is an ethical work environment being maintained?   ☐ No ☐ Yes

If no, what action does the leader need to take?

_____

_____

_____

_____

Know the Rules

Does the leader properly enforce the rules, regulations, or policies?   ☐ No ☐ Yes

If no, what action does the leader need to take?

_____

_____

_____

_____

Additional Points

Are there any additional points to consider?

_____

_____

_____

_____

_____

_____

_____

Case Evaluation Response

Case Title: _____

What would you do and why?

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

What Actually Happened in this Real Scenario?

The most suitable course of action would have been to follow the required training as per the instructions versus inflating readiness levels in order to look good.

During the course of meetings between junior and more senior officers, a great deal of conflict was generated between the O-3 aviator, assigned to a Fleet Maritime Patrol Squadron, and the O-4 Training and Operations department heads.

Sadly, we report that the pressure was too much; while the JO should have insisted upon sticking to the specific requirements governed by instructions, such was not the case.

There is every likelihood that the seniors would have felt pressured to do it right if the JO had insisted. Again, we have the instance of an officer willing to die for the nation but not willing to lose a career to fight for doing what is right and appropriate.