# JCLI

## JOURNAL OF CHARACTER & LEADERSHIP INTEGRATION

## IN THIS ISSUE:

## CENTER FOR CHARACTER & LEADERSHIP DEVELOPMENT
## US AIR FORCE ACADEMY

# Table of Contents

## The Purpose of the *Journal of Character and Leadership Integration*

The vision of the JCLI is to be the premier venue for advancing the integrative study and development of character and leadership. We aim to become the world's preferred medium for scholarly and practical discourse on the constructs, concepts, and contexts of character and leadership development. Although many sources purport to examine the different aspects of this multi-dimensional puzzle, currently there is no single source to which both researchers and practitioners can go to find a coherent and synergistic treatment of the relationship and attendant contextual factors of character and leadership. The JCLI aims to fill this void, and promises rigorous advancement in the midst of unprecedented global challenges.

# The Consistent Importance of Character and Leadership In Action

Kevin Basik
David Keller

It is almost cliché to suggest that today's environment for leadership is complex and dynamic. Indeed, there has likely never been a moment when that was not the case, whether the context is business, education, military, parenting, politics, or countless other domains. However, it seems like the rate of change and complexity is on an exponential curve, increasingly elevated by rapid globalization, financial constraints, technological advances, and an ever diversifying population. Despite this, we can find comfort and challenge in the fact that some things hold constant – leadership is critical, and the character of those leading (and being led) has tremendous impact on both processes and outcomes.

Our intent with the JCLI is to offer a collection of thoughts and perspectives that can help moor us to the important insights regarding leading with character in these turbulent seas of change. Theodore Roosevelt reminds us, "To educate a man in mind and not morals is to educate a menace to society." Conversely, to have a man or woman of character who cannot exercise effective leadership when the moment calls is, arguably, a wasted resource. We hope to foster understanding, reflection, and discussion that advance both of these important capacities. Indeed, character and competence are 2 sides of the same coin.

Lt Col Kevin Basik, PhD, is a 1993 graduate of the United States Air Force Academy, and is currently the Assistant Director of Scholarship at the Center for Character and Leadership Development. In his time in the Air Force, he has served as a process design consultant, manager of leadership programs, an award-winning instructor of leadership development at the Air Force Academy and the Citadel, Chief of National Training for Air Force Reserve Officer Training Corps (AFROTC), and executive officer to the Air University Commander. He received his Masters in Industrial/Organizational Psychology from Virginia Tech, and his PhD in Organizational Behavior from Florida State University. His areas of focus are behavioral integrity, leadership development, and accountability.

Lt Col Dave Keller, PhD, is currently the Assistant Director of Cadet Character & Leadership Development for the United States Air Force Academy. He is a Behavioral Scientist for the Air Force, and recently returned from a deployment to Iraq where he was the senior U.S. advisor to the Iraqi Air Force Academy. He later served as a deployed Deputy Group Commander, where he helped guide the efforts of military personnel in 8 locations across Iraq. He holds a Bachelor's Degree in Human Behavior & Leadership from the United States Air Force Academy and a Master' Degree in Industrial/ Organizational Psychology from St Mary's University in San Antonio. He earned his doctorate from Texas A&M, where his primary research focused on moral and ethical development of leaders through transformational teaching methodologies.

So often, a simple glance at the news and world events offers far too many examples of leaders at all levels who, in those critical, testable moments of character, acted in ways that leave us to wonder, "Can we expect better?" Luckily, there are also, on occasion, examples that reinforce the power and potential of people who live and lead with character-- despite all the pressures to not do so. Without a doubt, we can learn from both. This issue of the JCLI presents a collection of articles that, individually and collectively, remind us that both leadership and character are manifested through decisions and actions. These articles capture the opportunities and challenges associated with the "as lived" experience of leading with character (or not).

In the opening article, Matthew Valle and David Levy remind us that there is value in the study of bad, as well as good leadership and virtues. Their examination of the antecedents and consequences associated with abusive supervision extends the work of Tepper and others to further explore the factors that contribute to the multi-stage consequences of such bad leadership in the military context. Indeed, it is important for us to acknowledge that abusive supervision is still character and leadership "in action," and that such destructive action has consequences for the individuals and organizations involved. Interestingly, the model they offer teases apart the actual abusive behaviors from the subordinates' perceptions of abusive supervision. In doing so, they offer propositions regarding individual differences and environmental factors that might moderate whether leader behaviors are interpreted as abusive.

In the second article, Jack Clarcq, Richard DeMartino and Michael Palanski present a remarkable perspective on the man Winston Churchill described as the "Architect of Victory": General George C. Marshall. This expose', profiling interview data from individuals who worked directly for General Marshall, is a first-of-its-kind examination of the leadership and character from those who saw him "in action." These accounts create a unique and informative glimpse into the personal and organizational effectiveness of a remarkable leader, and the qualities of his character that brought that effectiveness to life.

Both of the previous models also demonstrate the impact that a leader can have on an organization's culture – positive and negative. The third article, by Matthew Davidson, Vladimir Khmelkov and Kyle Baker, provides a compelling practitioner-based approach to intentionally developing a culture of character and leadership in an organization. They describe in detail the Institute for Excellence & Ethics' "Culture of Excellence and Ethics" framework and approach for fostering a sustainable environment of norms and reinforced behaviors that develop character habits through learning, practice and support. This approach is grounded in the "belief in the power of character and culture as an essential catalytic force in the realization of organizational goals – regardless of the organization's specific mission or focus" (p. 38, this publication).

In an extension of the practitioner-grounded discussion, we are excited to showcase our interview with Dennis Muilenburg, CEO of

Boeing Defense, Space and Security. In this article, Mr. Muilenburg describes his views on how an intentional commitment to character virtues and the Boeing values translates into a significant competitive advantage for his company. In addition, he recognizes the challenges with being in a global environment with significant pressures to disconnect with those values, and describes the organizations' and his personal approach for ethically confronting those challenges in a way that protects the organization's bottom line, as well as its integrity.    Finally, Mr. Muilenburg discusses the role of feedback from subordinates, "reverse mentoring," and learning through failure.

A critical element in many leadership or ethical decision-making models is an awareness of the importance of the situation at hand (e.g., Center for Character & Leadership Development model, 2011; Jones, 1991; Rest, 1986).  Joe Doty presents an interesting qualitative analysis, based on interviews of students who have violated their school's honor code, about the necessity for self-awareness as a precursor for moral awareness. Specifically, he examines his proposition through the lens of many moral and cognitive decision making theories to ultimately recommend strategies for individuals and character development programs to expand capacity for self-awareness as a necessary antecedent to moral awareness.

Finally, our Student Leader Perspective is provided by 2nd Lieutenant Megan Hoskins, U.S. Air Force Academy class of 2011 graduate, and the recipients of the 2011 Air Force Academy Schulte Award for Outstanding Character and Leadership, as well as the 2011 Colorado Leadership Alliance's Student Leader of the Year. In her reflection piece, Lt. Hoskins discusses the essential steps for pursuing inspiration in leadership and life. She highlights the roles of exploration, connecting with your commitment and purpose, and the responsibility of connecting those you lead with their commitments and purpose.

Again, the articles in this issue of the JCLI cast a broad net, from interviews to theoretical frameworks, from case studies to practitioner-based approaches, from corporate contexts to the military. But despite this range of topics, approaches and domains, we find ourselves, yet again, moored to the fundamental truth: character and leadership matter.  We hope that you find something in this issue that sets you on a successful course through the changing and dynamic path that lay ahead.

## References

*Conceptual Framework for Developing Leaders of Character* (2011). Guiding document, Center for Character & Leadership Development, United States Air Force Academy, CO.

Jones, T. M. 1991. Ethical decision making by individuals in organizations: An issue-contingent model. *Academy of Management Review, 16:* 366-395.

Rest, J. R. 1986. *Moral development: advances in research and theory.* New York: Praeger.
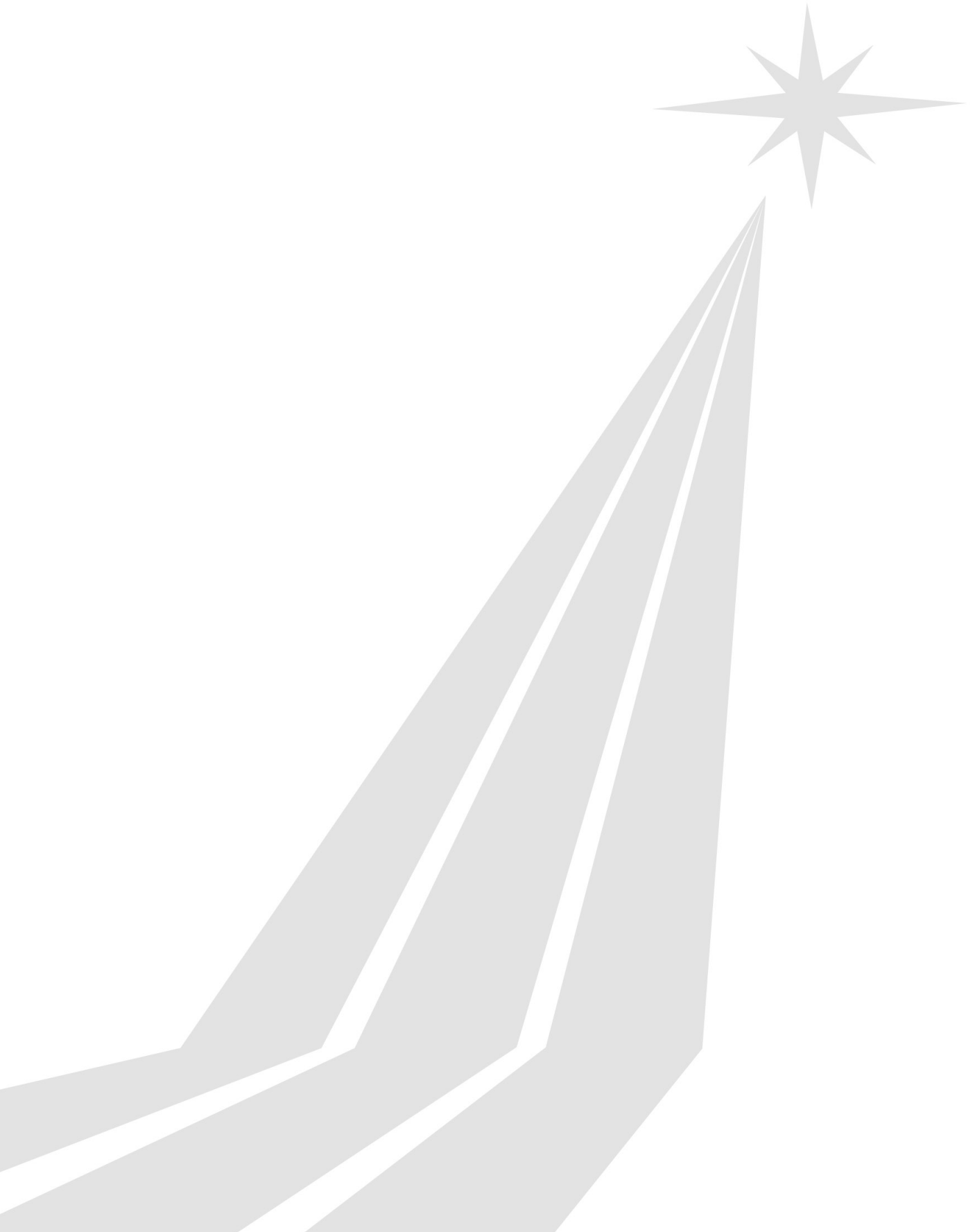
# Abusive Supervision in the Armed Forces
## Bad Character and Leadership: Exploring the Consequences of Abusive Supervision in the Armed Forces

Matthew Valle
David Levy

## Abstract

Leaders have the potential to be the agents of virtue or vice in organizations because they shape and influence the collective moral character of the organization. As such, we believe that the study of bad character, as a complement to the study of virtue, has value for leadership education and development. This research presents a causal model which lists the factors necessary for the perception of abusive supervision by military subordinates and the likely consequences of those perceptions and discusses the factors which might lead to outcomes for subordinates exposed to this form of destructive leader behavior.

> "*Waste no more time arguing what a good man should be. Be one.*"

This quote from the *Meditations* of Roman Emperor Marcus Aurelius Antoninus seems to suggest that the essential elements of good character were known nearly 2000 years ago; all that remained for those who aspired to leadership was to develop the habits of behavior necessary to act accordingly. Leadership programs today, including those in use in the armed forces, continue to emphasize the development of leaders of (good) character (e.g., Avolio, 2005; Bass, 1990; Bass & Steidlmeier, 1999; Berkowitz, 2002; Day, 2009; Day, Harrison, & Halpin, 2009; McCauley &Van Velsor, 2005; Wakin, 2009). Though debate about the elements necessary for the formation of good character extends at least as far back as Aristotle's *Nichomacean Ethics* and Plato's *Meno* (Huitt, 2004), character development education has traditionally focused on learning and doing the *right* things (Nucci, 1989; Wright & Huang, 2008). Is there anything to be learned, then, from leaders who exhibit bad character and do the wrong things?

Leaders have the potential to be the agents of virtue or vice in organizations (Nuebert, Carlson, Kacmar, Roberts, & Chonko, 2009) because they shape and influence the collective moral character of the organization (Wright & Goodstein, 2007). Ultimately, their choices, good or bad, have consequences for organizational participants and stakeholders. As such, we believe that the study of bad character, as a complement to the study of virtue, has value for leadership education and development. During the past two decades, there has been ample evidence of bad character, as continuing revelations of wrongdoing by high-profile and once trusted business and governmental leaders demonstrate (Conroy & Emerson, 2008). Perhaps

as a consequence, researchers have increasingly turned their attention to the negative aspects of leadership behavior and influence in organizations (e.g., Harvey, Stoner, Hochwarter, & Kacmar, 2007; Nuebert, et al., 2009). Of all the paths that this focus might lead to, one prominent stream of research is devoted to examining destructive leader behavior within the supervisor–subordinate dyad: abusive supervision (Ashforth, 1997; Duffy, Ganster, & Pagon, 2002; Schat, Desmarais, & Kelloway, 2006; Powell, 1998; Tepper, 2000; 2007). We frame this discussion within the unique context of leadership in the armed forces to explore the differential effects that this, or any other high-power differentiated context, may hold for affected individuals and organizations.

## A Model of Abusive Supervision in the Armed Forces

It is possible that some leaders operating in our organizations (including leaders in the armed forces) are not only ineffective, but also harmful to their organizations and participants. A growing body of literature explores the causes and consequences of nonphysical destructive supervisor behaviors, and although they do not share the same labels, they all involve various forms of workplace hostility. These destructive supervisor behaviors have been called "petty tyranny" (Ashforth, 1994, 1997; Bies & Tripp, 1998), "emotional abuse" (Keashly, 1998), "abusive behavior" (Keashly, Trott, & MacLean, 1994), "social undermining" (Duffy, Ganster, & Pagon, 2002), negative mentoring experiences (Eby, McManus, Simon, & Russell, 2000) and "bullying" (Harvey, Treadway, Heames, & Duke, 2009; Hoel & Cooper, 2001; Hoel, Rayner, & Cooper, 1999),

among other things. In an attempt to provide a greater degree of conceptual clarity, Tepper (2000) synthesized the various construct definitions to arrive at a more distinct description of this class of behaviors.

Tepper (2000, 2007) defines abusive supervision as "subordinates' perceptions of the extent to which supervisors engage in the sustained display of hostile verbal and nonverbal behaviors, excluding physical contact" (178). This construct is distinct from other forms of workplace deviant behavior (e.g., sexual harassment, supervisor physical aggression) in that it 1) concerns behavior that is directed toward subordinates over a long term, 2) excludes physical hostility, and 3) does not include reference to intended outcomes (Tepper, 2000, 2007). Keashly, Trott, and MacLean (1994) described abusive supervisor behavior as angry outbursts, public ridiculing, taking credit for subordinate successes, and scapegoating subordinates. Bies (2000) described abusive supervision as consisting of public criticism, loud and angry tantrums, rudeness, inconsiderate actions, and coercion. Ashforth (1994) described the tyranny of abusive supervision as managers using authority or position for personal gain, belittling subordinates, acting rudely toward them, and administering organizational policies unfairly. Tepper, Duffy, Henle, and Lambert (2006) estimated the cost of abusive supervision in U.S. corporations at $23.8 billion annually. Clearly, bad character, in the form of abusive supervision, is associated with significant negative consequences.

In order to understand the consequences of abusive supervision in the armed forces, it is first necessary to present a theoretical model which lists the factors

necessary for the perception of abusive supervision by military subordinates and the likely consequences of those perceptions and discusses the factors which might lead to outcomes for subordinates exposed to this form of destructive leader behavior. Our model of abusive supervision in the armed forces is presented as Figure 1.

This model builds on the emergent model of abusive supervision presented by Tepper (2007, p. 279) by offering a number of theoretical adjustments. At the present time, there have been only three empirical examinations of abusive supervision antecedents (Aryee, Chen, Sun, & Debrah, 2007; Hoobler & Brass, 2006; Tepper et al., 2006), and Tepper (2007) suggests that all three support the concept of displaced aggression as the proximate cause of abusive supervision. We disagree with this rather narrow explanation of causality. We do agree with Tepper (2007) that more research is needed to explore the individual difference factors

(e.g., personality variables), work context factors, and industry factors that are the likely causes of supervisor abusive behavior. In the present context, we would argue that work environment and "industry" norms may lead to the increased incidence of abusive behaviors in military organizations. For example, the use of abusive language and behaviors in front-line units may be ubiquitous, while the unique processes associated with recruit training and socialization (Van Maanen & Schein, 1979) may cause mission-focused military professionals to resort to abusive behaviors more readily than do their organizational counterparts in business and government. Divestiture socialization (Van Maanen & Schein, 1979), as practiced in basic training in the armed forces, attempts to tear down the individual and rebuild that person into a socialized ideal. It is well suited to the military service, as it can foster commitment, teamwork, and solidarity. Such training should not be confused with abusive behavior. Training can be challenging
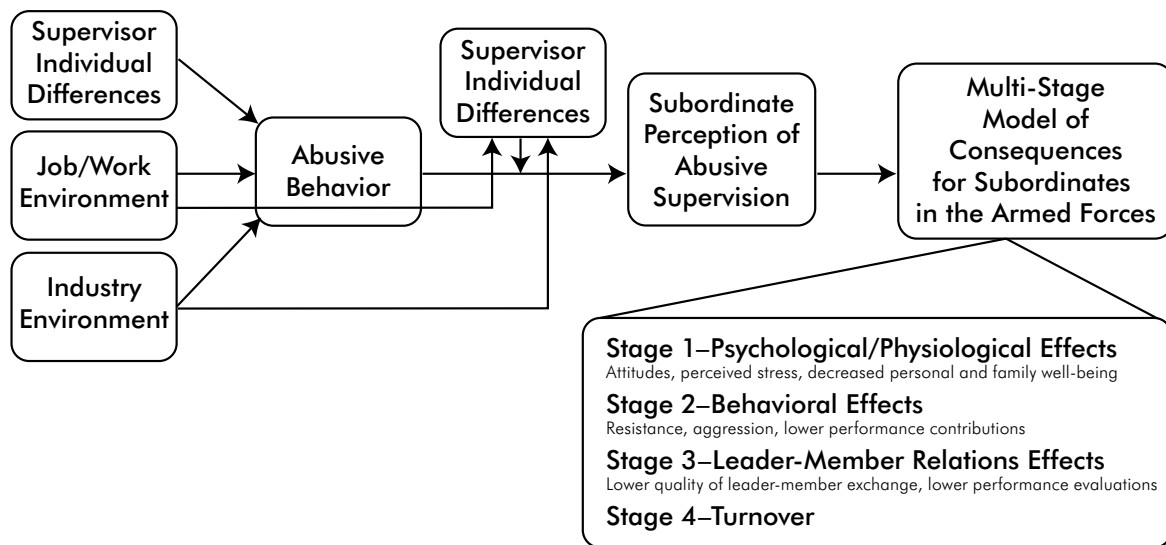


*Figure 1*
*Model of Abusive Supervision in the Armed Forces*

and stressful without necessitating abusive language or behaviors. However, Hunter and Bandow (2009) suggest that poor treatment of subordinates may be seen as acceptable in organizations characterized by high power distance between supervisors and subordinates (such as military organizations).

We believe that some individuals may perceive a higher incidence of abusive supervision than others because, like other forms of social influence in organizations (e.g., Lewin, 1951), the experience of abusive supervision is subjective and personal (Tepper, 2000). While individual differences, work environment, and industry factors might influence supervisor abusive behavior, we also believe that these factors could serve as moderators of subordinate perceptions of abusive behavior. Therefore, we expect perceptions of abusive supervision to mediate the relationship between abusive behaviors and outcomes. Said another way, absent the belief by the subordinate that the supervisor has engaged in "a sustained display of hostile verbal and nonverbal behaviors," the negative outcomes suggested by Tepper's (2007) emergent model of abusive supervision would be less probable.

## A Multi-Stage Model of Consequences for Subordinates in the Armed Forces

Tepper (2007) presents a number of likely consequences of abusive supervision, and previous research confirms the general linkages presented in that model. Ashforth (1997) found that tyrannical supervision led to frustration, helplessness, and alienation from the work. Tepper (2000) found that abusive supervision was associated with lower job and life satisfaction, lower normative and affective

commitment, work–family conflict, and increased job stress. Richman, Flaherty, Rospenda, and Christensen (1992) found that abusive supervision led to increased dissatisfaction and increased job stress. Duffy et al. (2002) found that social undermining (a form of abusive supervision) led to negative outcomes for individuals, including unfavorable attitudes toward the job and aggressive behavior. We believe that the outcomes associated with perceptions of abusive supervision can best be viewed as a multi-stage causal sequence of reactions and behaviors. In doing so, we implicitly incorporate a temporal dimension to account for the progressive development of more severe outcomes over time.

Stage one outcomes (psychological/physiological effects) include changes in attitudes following the experience of abusive supervision and subsequent effects on personal and family psychological/physiological well-being. Tepper (2000) suggested that the injustices associated with the perception of abusive supervision would lead to changes in work attitudes, including job dissatisfaction and reduced affective and normative organizational commitment (Schat et al., 2006; Tepper, 2000; Tepper et al., 2004). Additionally, abusive supervision is considered to be a very substantial workplace stressor (Burton & Hoobler, 2006), and stressors have been shown to lead to negative psychological (Beehr, 1995), physiological (Beehr and Glazer, 2001), and behavioral outcomes (Beehr, 1995; Jackson and Schuler, 1985). Francis and Barling (2005) found that perceptions of workplace injustice were associated with significant occupational strain (felt stress), and Giacalone and Promislo (2010) suggested that repeated episodes of procedural injustice, such as those associated with prolonged

verbal and nonverbal hostility, were associated with increased stress responses and deleterious effects on morbidity and mortality. Bryant, Buttigieg, and Hanley (2009) documented substantial negative effects on personal as well as family well-being (psychological and physiological). Tepper (2000) found that the increased stress and unfavorable attitudes associated with abusive supervision could be mitigated by subordinate perceptions of job mobility; in the case of military subordinates, the lack of mobility would increase the degree of strain felt by abused subordinates and exacerbate the effects on job attitudes. In summary, the experience of abusive supervision is associated with anxiety (Harris, Kacmar, & Boonthanum, 2005; Keashly et al., 1994), depression (Tepper, 2000), diminished self-efficacy (Duffy et al., 2002), poor health and well-being (Giacalone & Promislo, 2010; Schat et al., 2006), and negative work attitudes (Duffy et al., 2002; Schat et al., 2006; Tepper et al., 2004).

Stage two outcomes (behavioral effects) are purported to be the result of stage one effects. Tepper, Duffy, and Shaw (2001) found that the experience of abusive supervision was associated with subordinate resistance to supervisor requests. Bamberger and Bacharach (2006) found that abusive supervision was associated with increased problem drinking. Bies and Tripp (1998) and Duffy et al. (2002) found that abused subordinates would often undermine their bosses in private and would occasionally ridicule or challenge them in public. Hunter and Bandow (2009) suggested that abusive behavior by supervisors encouraged subordinates to retaliate, and Schat et al. (2006) found that abusive supervision was associated with increased subordinate aggressive behaviors. Zellars,

Tepper, and Duffy (2002) and Aryee, Chen, Sun, and Debrah (2007) found that abusive supervision was associated with lower levels of subordinate organizational citizenship behaviors (OCBs). Harris, Kacmar, and Zivnuska (2007) found that abusive supervision was associated with lower self- and leader-rated job performance. Finally, Bryant et al. (2009) found that abusive supervision was associated with increased absenteeism. Clearly, the experience of abusive supervision causes subordinates to react and behave in a number of ways that detract from effective organizational functioning.

It is in stage three that we feel the consequences of abusive supervision are most keenly felt in military organizations. Burton and Hoobler (2006) summed up the circumstances this way: "Because bosses are commonly the gatekeepers to employee advancement, compensation, and feedback, when this relationship is a dysfunctional one, it stands to have particularly salient and devastating consequences for employees" (341). We believe that the consequences of abusive supervision (the subsequent psychological/physiological and behavioral effects) damage the quality of leader member exchange and dramatically alter supervisor subordinate relationships. Ashforth (1997) found that leader support for, and endorsement of, subordinates was substantially reduced in abusive relationships. In a military environment, the supervisor is the primary gatekeeper to employee advancement in that yearly performance evaluation reports have significant effects on promotions and continuation, assignment choice, and a number of other salient career-related outcomes. If the quality of leader–member relations is low, it is likely that

the abusive supervisor will use this as the rationale for lower performance ratings.

The multi-stage model ends with a discussion of turnover. Tepper (2000) found that abusive supervision was associated with increased intentions to quit. Such a result is not particularly surprising, as turnover intentions are widely understood to be associated with negative workplace phenomena (Tett & Meyer, 2006). Typically, however, the turnover intentions are a result of the subordinate's perception that the job or work environment no longer meets their needs. In most organizations, the decision to leave is a personal decision based on an assessment of many factors. In the case of military subordinates, the considerations include all of the above, but also include the notion that decreased leader–member relations that lead to lower performance evaluations create the conditions wherein the subordinate may have little choice but to leave the armed forces. In other words, since the military employs an "up or out" promotion system, individuals do not have the opportunity to wait for another supervisor to replace the abusive supervisor; performance reports are part of the permanent record and affect promotions and assignment choices. An individual with a less than stellar performance report may realize that his/her longevity in the armed forces is in jeopardy and, given the opportunity, will leave the service before being dismissed for non-promotion. To make matters worse, military members are not usually in a position to give their employer the typical two weeks' notice before leaving the organization. Instead, they are required to serve out the remainder of their enlistment or active duty service commitment. This may entail staying with the organization for several additional years before

departing. It is likely that the inability to leave once the decision is made will have a negative spillover effect in the other areas mentioned.

## Discussion and Implications

Powell (1998) coined the term "the abusive organization" to describe environments where abusive supervisors reside, and while we do not expect that characterization to apply to many organizations, we believe that there are leaders of bad character operating in many organizations today. The experience of abusive supervision may result in what Cropanzano, Howes, Grandey, and Toth (1997) refer to as a break in the social contract between employer and employee. Such a break often leads to negative psychological, physiological, and behavioral outcomes.

Applying the model to the military highlights the uniqueness of its environment and mission. Although Tepper (2000, 2007) considers abusive behavior a consequence of the environment experienced by the abusive supervisor, we shift the focus of interest to individual perceptual processes, wherein the work and industry context matter as well. For example, one reason movies such as *Stripes* and *Private Benjamin* are funny to the general public is because these movies depict the experiences of individuals who would not normally self-select being placed in an intense military environment, with a general perception that abusive behavior in the military is commonplace and accepted. To individuals in the military, the experiences of these individuals may be familiar and may or may not be evidence of abusive supervision.

We therefore suggest that members of the military have a different perspective on what is considered abuse than their civilian counterparts do. A certain level of emotional abuse and negative mentoring experiences are typical in basic military training. Anecdotal evidence suggests that many military supervisors use what many would consider to be abusive behaviors as part of rites of passage. It is not uncommon for a military leader to engage in angry outbursts or use foul language in order to encourage a subordinate to "toughen up" or "get with the program." In fact, those individuals who do so are generally considered *good* troops who are ready for increased responsibility. Those who complain or demonstrate negative emotional or behavioral reactions may find themselves marginalized and/or given positions with fewer opportunities for promotion. In this sense, it matters not whether the behavior is abusive per se, but whether or not the subordinate experiences the behavior as abusive.

The model suggests that military leaders should pay close attention to the norms of the military work environment as well as the individual differences of subordinates. There is little doubt that abusive behavior occurs in the military, either by custom or as normatively engendered sets of experiences believed to be part of the military milieu. It may also be a widely shared belief that abusive behavior is tacitly rewarded. If subordinates are rewarded for responding to abusive behavior well, supervisors may well be encouraged to enact abusive behaviors. Reputations precede military leaders, and most military members can easily list several *exemplary* and widely-known abusive leaders. One such individual earned his nickname ("Magic Mike") for making people who displeased him disappear. Word got around that if

you upset him and could not handle his abuse, he would get you fired and reassigned to a different military base at *magical* speed.

As the model suggests, abusive supervision has the potential to greatly impact the military mission in negative ways. It bears repeating that leaders shape and influence the collective moral character of the organization. Ultimately, the choice of whether to engage in abusive behaviors or not (e.g., angry outbursts, public ridiculing, loud and angry tantrums, rudeness, inconsiderate actions, coercion, and/or administering organizational policies unfairly) rests with each military leader. Engaged as we are with the global war on terror and its impact on recruiting and retention issues, perhaps it is time for the military to reconsider its approach to the training and development of leaders of character. Understanding abusive behavior and its consequences may help military leaders avoid these behaviors and the correspondingly corrosive environment they engender. Such a perspective might enhance the development of programs that improve the retention of military professionals (Wright & Goodstein, 2007). Ultimately, choices, both good and bad, have consequences for organizational participants and stakeholders. In the present context, we argue that work environment and "industry" norms which lead to the increased incidence of abusive behaviors in military organizations should be revisited, and that each military supervisor should reconsider his or her approach to leadership and the effect they are having on their subordinates. Again, the challenge of Marcus Aurelius rings true: "*Waste no more time arguing what a good leader should be. Be one.*"

# References

Aryee, S., Chen, Z. X., Sun, L., & Debrah, Y. A. (2007). Antecedents and outcomes of abusive supervision: Test of a trickle-down model. Journal of Applied Psychology, 92, 191-201.

Ashforth, B. E. (1994). Petty tyranny in organizations. Human Relations, 47, 755-778.

Ashforth, B. E. (1997). Petty tyranny in organizations: A preliminary examination of antecedents and consequences. Canadian Journal of Administrative Sciences, 14, 126-140.

Avolio, B. (2005). Leadership development in balance. Mahwah, New Jersey: Lawrence Earlbaum Associates.

Bamberger, P., & Bacharach, S. (2006). Abusive supervision and subordinate problem drinking: Resistance, distress and the moderating effect of personality. Human Relations, 59, 723-752.

Bass, B. (1990). Bass & Stogdill's handbook of leadership: Theory, research and managerial applications. New York: The Free Press.

Bass, B. & Steidlmeier, P. (1999). Ethics, character, and authentic transformational leadership behavior. Leadership Quarterly, 10 (2), 181-217.

Beehr, T. A. (1995), Psychological stress in the workplace. London, UK: Routledge.

Beehr, T. A. and Glazer, S. (2001), A cultural perspective of social support in relation to occupational stress. New York: Elsevier.

Berkowitz, M. W. (2002). The science of character education. In W. Damon (Ed), Bringing in a new era in character education (pp. 43-63). Stanford, CA: Hoover Institution Press.

Bies, R. J. (2000). Interactional (in)justice: The sacred and the profane. In J. Greenberg & R. Cropanzano (Eds.), Advances in Organizational Behavior. Stanford, CA: Stanford University Press.

Bies, R. J., & Tripp, T. M. (1998). Two faces of the powerless: Coping with tyranny. In R. M. Kramer & M. A. Neale (Eds.), Power and influence in organizations: 203-219. Thousand Oaks, CA: Sage.

Bryant, M., Buttigieg, D. & Hanley, G. (2009). The implications of poor bullying management on employee health. International Journal of Workplace Health Management. 2 (1), 48-62.

Burton, J., & Hoobler, J. M. (2006). Subordinate self-esteem and abusive supervision. Journal of Managerial Issues, 18 (3), 340-355.

Conroy, S. J., & Emerson, T. L. (2008). Ethical cycles and trends: Evidence and implications. Journal of Business Ethics, 81, 905-911.

Cropanzano, R., Howes, J. C., Grandey, A. A., & Toth, H, P. (1997). The relationship of organizational politics and support to work behaviors, attitudes, and stress. Journal of Organizational Behavior, 18, 159-180.

Day, D. V. (2009). Perspectives on character and leadership. Journal of Character and Leader Scholarship, 1, 18-21.

Day, D. V., Harrison, M. M., & Halpin, S. M. (2009). An integrative approach to leader development: Connecting adult development, identity, and expertise. New York: Routledge.

Duffy, M. K., Ganster, D., & Pagon, M. (2002). Social undermining in the workplace. Academy of Management Journal, 45, 331-351.

Eby, L. T., McManus, S. E., Simon, S. A., & Russell, J. E. A. (2000). The protégé's perspective regarding negative mentoring experiences: The development of a taxonomy. Journal of Vocational Behavior, 57, 1-21.

Francis, L., & Barling, J. (2005). Organizational injustice and psychological strain. Canadian Journal of Behavioral Science, 37, 250-261.

Giacalone, R. A., & Promislo, M. D. (2010). Unethical and unwell: Decrements in well-being and unethical activity at work. Journal of Business Ethics 91 (2), 275-298.

Harris, K. J., Kacmar, K. M., & Boonthanum, R. (2005). The interrelationship between abusive supervision, leader-member exchange, and various outcomes. Paper presented at the annual meeting of the Society for Industrial/Organizational Psychology, Los Angeles.

Harris, K. J., Kacmar, K. M., Zivnuska, S., & Shaw, J. D. (2007). The impact of political skill on impression management effectiveness. Journal of Applied Psychology, 92, 278-285.

Harvey, P., Stoner, J., & Hochwarter, W., & Kacmar, C. (2007). Dealing with bad bosses: The neutralizing effects of self-presentation and positive affect on the negative consequences of abusive supervision. Leadership Quarterly, 18, 264-280.

Harvey, M., Treadway, D.C., Heames, J.T. & Duke, A.B. (2009). Bullying in the 21st century global organization: An ethical perspective. Journal of Business Ethics, 81, 27–40.

Hoel, H., & Cooper, C. L. (2001). Origins of bullying: Theoretical

frameworks for explaining workplace bullying. In N. Tehrani (Ed.), Building a culture of respect: Managing bullying at work; pp 3-19. London: Taylor & Francis.

Hoel, H., Rayner, C., & Cooper, C. L. (1999). Workplace bullying. In C. L. Cooper & I.

T. Robertson (Eds.), International review of industrial and organizational psychology, 14: 195-230. London: Wiley.

Hoobler, J. M., & Brass, D. J. (2006). Abusive supervision and family undermining as displaced aggression. Journal of Applied Psychology, 91 (5), 1125-1133.

Huitt, W. (2004). Moral and character development. Educational Psychology Interactive. Valdosta, GA. Available: http://www.edpsycinteractive.org/morchr/morchr.html

Hunter, D. Y., & Bandow, D. (2009). Abusive managers and variables impacting retaliation in organizations. The Business Review, 12 (1), 32-39.

Jackson, S. E. & Schuler, R. S. (1985). A meta-analysis and conceptual critique of research on role ambiguity and role conflict in work settings. Organizational Behavior and Human Decision Processes, 36 (1), 16-78.

Keashly, L. (1998). Emotional abuse in the workplace: conceptual and empirical issues. Journal of Emotional Abuse, 1, 85-99.

Keashly, L, Trott, V., & MacLean, L. M. (1994). Abusive behavior in the workplace: A preliminary investigation. Violence and Victims, 9, 341-357.

Lewin, K. (1951). Field theory in social science. New York, NY: Harper and Row.

McCauley, C. D. & Van Velsor, E. (Eds.). (2005). The center for creative leadership handbook of leadership development. San Francisco: Jossey-Bass.

Nucci, L. (1989). Moral development and character education: A dialogue. Berkley, CA: McCutchan.

Nuebert, M.J., Carlson, D. S., Kacmar, K. M., Roberts, J. A., & Chonko, L. B. (2009).The virtuous influence of ethical leadership behavior: Evidence from the field. Journal of Business Ethics, 90,157–170.

Powell, G. N. (1998). The abusive organization. Academy of Management Executive, 12, 84-86.

Richman, J. A., Flaherty, J. A., Rospenda, K. M., & Christensen, M. L. (1992). Mental health consequences and correlates of medical student abuse. Journal of the American Medical Association, 267, 692-694.

Schat, A. C. H, Desmarais, S., & Kelloway, E. K. (2006). Exposure

to workplace aggression from multiple sources: Validation of a measure and test of a model. Unpublished manuscript, McMaster University, Hamilton, Canada.

Tepper, B. J. (2000). Consequence of abusive supervision. Academy of Management Journal, 43 (2), 178-190.

Tepper, B. J. (2007). Abusive supervision in work organizations: Review, synthesis, and research agenda. Journal of Management, 33 (3), 261-289.

Tepper, B. J., Duffy, M. K., Henle, C. A., & Lambert, L. S. (2006). Procedural justice, victim precipitation, and abusive supervision. Personnel Psychology, 59, 101-123.

Tepper, B. J., Duffy, M. K., Hoobler, J. M., & Ensley, M. D. (2004). Moderators of the relationship between coworkers' organizational citizenship behavior and fellow employees' attitudes. Journal of Applied Psychology, 89, 455-465.

Tepper, B. J., Duffy, M. K., & Shaw, J. (2001). Personality moderators of the relationship between abusive supervision and subordinates' resistance. Journal of Applied Psychology, 86, 974-983.

Tett, R. P. & Meyer, J. P. (2006). Job satisfaction, organizational commitment, turnover intention, and turnover: Path analyses based on meta-analytic findings. Personnel Psychology, 46 (2), 259-293.

Van Maanen, J., & Schein, E. H. (1979). Toward a theory of organizational socialization. In Research in Organizational Behavior, Barry Straw (Ed):. 1, 209–264.

Wakin, M. M. (2009). Does good leadership require good character? Journal of Character and Leader Scholarship, 1, 43-46.

Wright, T. A. & Goodstein, J. (2007). Character is not "dead" in management research: A review of individual character and organizational-level virtue. Journal of Management, 33 (6), 928–958.

Wright, T. A., & Huang, C. (2008). Character in organizational research: past directions and future prospective. Journal of Organizational Behavior, 29, 981-987.

Zellars, K., Tepper, B. J., & Duffy, M. K. (2002). Abusive supervision and subordinates' organizational citizenship behavior. Journal of Applied Psychology, 87, 1068-1076.
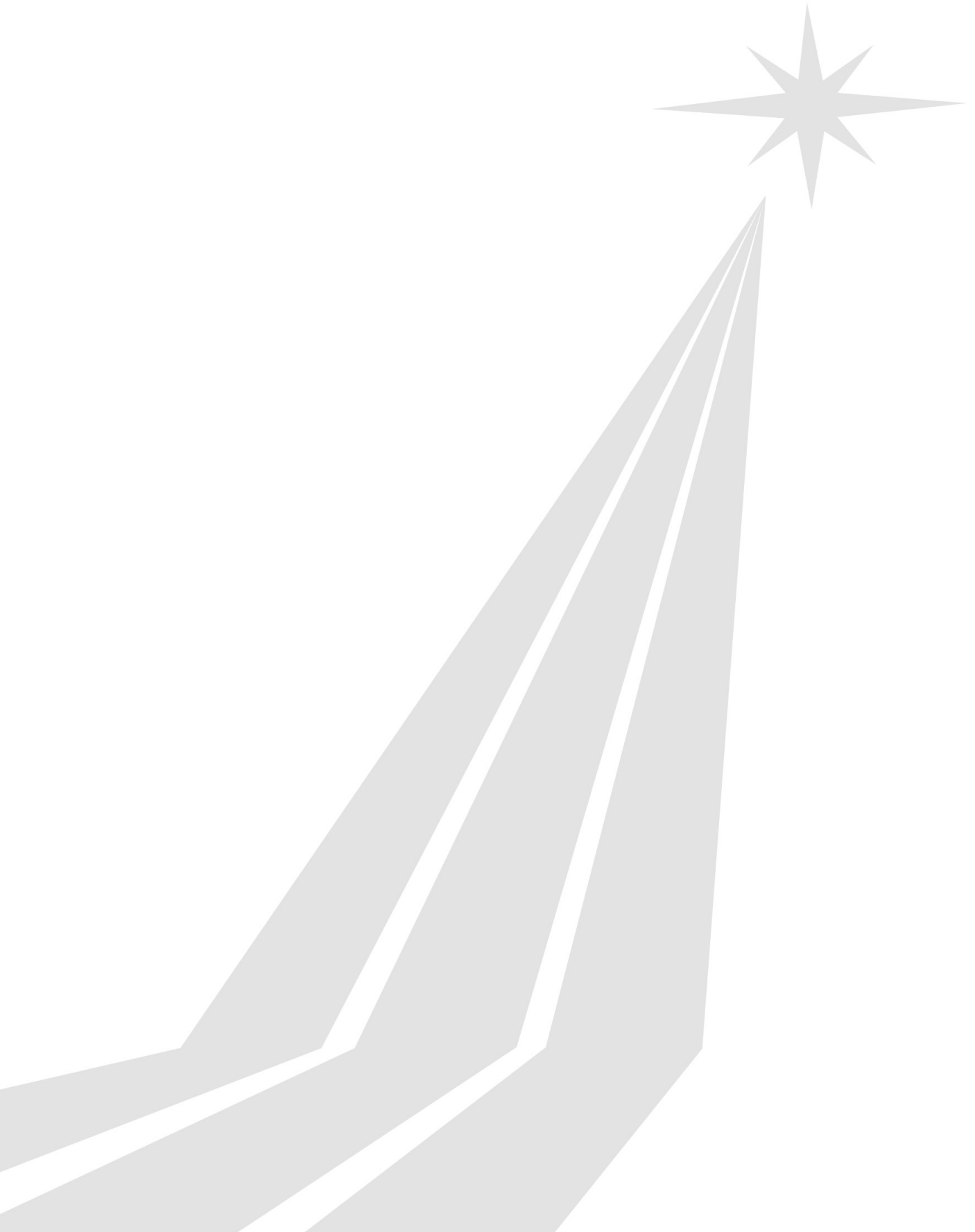
# George  C. Marshall:
# An Enduring Model of Leadership Effectiveness

Jack Clarcq
Richard DeMartino
Michael E. Palanski

## Abstract

General George C. Marshall is universally recognized as a paragon of leadership. Marshall's effectiveness as the leader of the U.S. Army during World War II, the State Department during the early post-war era, and the Defense Department during the Korean War are well known and documented. As a result of his many accomplishments, a number of researchers and historians have explored traits and factors that underlie Marshall's success. While many of these efforts provide insight into Marshall's leadership style, none employ original data (interviews) specifically focused on leadership, management, and character. This paper is based on interviews conducted in 1998 of the last remaining Marshall subordinates. These individuals—Brigadier General Erle Cocke, Jr., General Andrew J. Goodpaster, General Walter T. Kerwin, Ambassador George F. Kennan, and Mr. H. Merrill Pasco—were interviewed specifically pertaining to Marshall's management and leadership approach. The findings, depicted in this article, outline and map Marshall's effectiveness in both personal and organizational leadership.

## Introduction

The early 21$^{st}$ century is a period of rapid and pervasive economic and political changes. Organizations—both public and private—are struggling to adapt to these changes and complex environments with various levels of success. Exceptional leadership is critical to effectively address complex organizational challenges.

Today's political, economic, and business environments are not unique for their rapid and pervasive change and associated opportunities and challenges. The Second World War and the challenges of the early Cold War period reflect such times. The challenges faced by the U.S. government and military were extraordinary. A parochial and undertrained U.S. Army would grow from 190,000 to over 8,000,000—entailing profound organizational, cultural, and logistical challenges (U.S. Center for Military History, 2009a, 2009b). Similarly, governmental organizations capable of developing and implementing a robust foreign policy would have to emerge, which required a

dramatic transformation.

This article explores the origins and foundations of General George C. Marshall's effective leadership during the pivotal period of WWII and the ensuing Cold War. George Marshall served as the U.S. Army chief of staff during WWII and led the rapid expansion, professionalization, and modernization of the U.S. Army. During the period after WWII, Marshall served as secretary of state and later as secretary of defense, leading the U.S. response to the expansionist Soviet threat and the rebuilding of Western Europe. These challenges required innovative public policy strategies, creative and innovative organizational development, and above all, exceptional leadership.

The leadership and accomplishments of General Marshall, who was referred to by Winston Churchill as "*the architect of victory*" and by others as "*the rebuilder of Europe,*" were profound and enduring. Marshall was referred to by renowned management expert Peter Drucker as one of the greatest leaders and industrial managers of the twentieth century (Drucker, 1967, p. 64). Undoubtedly, General Marshall was an extraordinary individual with a combination of unique personal qualities that made him a highly revered and effective leader. The George C. Marshall Foundation, created at the suggestion of President Harry S. Truman in 1953, organized and documented Marshall's accomplishments. The foundation's research library is replete with an impressive array of information documenting the general's life and activities. Research materials include interviews of Marshall and his contemporaries, supporting government, and other data. Drawing on this documentation,

a number of books and articles have defined and explored General Marshall's leadership. These efforts, however, did not employ data (particularly interviews) that specifically sought to understand his leadership and character as a public servant. This paper is based on original unpublished data collected exclusively to explore the effective leadership of General Marshall.

One pervasive theme that emerged from these interviews pertained to the extraordinary character of General Marshall as exemplified by the virtues of prudence, a type of practical wisdom which is farsighted, goal-oriented, and focused on the greater good, and temperance, a virtue marked by humility and self-regulation (Peterson & Seligman, 2004). Perhaps the most interesting and instructive aspect of Marshall's virtue was his ability to display it in a variety of settings: in personal situations, in leading large organizations, and in dealing with external stakeholders. Insights from the interviews show that Marshall was able to act as the polite gentleman, the stern commander, and the consummate salesman, all the while maintaining a sense of consistency and integrity, which are the hallmarks of strong character (Palanski & Yammarino, 2007).

## Interviews

In 1997, the foundation sponsored a research project to conduct interviews with individuals who had served with General Marshall during his time as Army chief of staff, secretary of state, and later, secretary of defense. Five surviving individuals who had directly worked with General Marshall were identified—all have since passed on. The interviewees, extremely accomplished and distinguished in their own right, were

interviewed regarding Marshall's leadership and management characteristics.

The five interviewees interacted with Marshall early in their careers; two served as direct reports. The remainder interacted directly with him but reported to higher-level Marshall subordinates. The group was diverse: two interviewees were career military officers who later achieved the status of four-star general (General Andrew J. Goodpaster and General Walter T. Kerwin); one became a successful corporate attorney (Mr. H. Merrill Pasco); another was a renowned diplomat, historian, and political scientist (Ambassador George F. Kennan); and one was a prominent public and private consultant (Brigadier General Erle Cocke, Jr.). Each interviewee enjoyed a unique relationship with General Marshall during his tenures as Army chief of staff, secretary of state, and secretary of defense. (An outline of the interviewees' background and interactions with General Marshall are provided in Appendix 1.)

Prior to conducting the study, a literature review was conducted based on previous Marshall-related interviews, documents, and research located in the Marshall Foundation archives. Next, a semi-structured questionnaire was developed exploring the nature of such factors as management style, delegation, leadership characteristics, character traits, and approaches to alliances. This approach was consistent with Draft and Lewin (1990), who drew attention to the need to reorient research away from a tendency to incrementally develop conclusions footnote by footnote. The interviews were conducted from November 1997 to April 1998. The data, insights and stories gleaned from those interviewed, were derived from a retrospective understanding of General Marshall. For example, Generals Goodpaster and Kerwin were four-star generals and not only remembered their service with General Marshall, but also recalled how his leadership philosophy, wisdom, and organizational insights influenced the Army and military throughout the remainder of the twentieth century. In many ways this paper serves as a celebration of the insights and stories of the extraordinary men and heroes involved in this study. For this reason, and to avoid repeating previous analysis, this paper emphasizes the insights developed from the original interview data. This paper's findings, while guided by previous Marshall research, are not intended to be comprehensive, but are original in exploring the nature of Marshall's leadership and character.

## Findings

Two major themes emerged from the data related to Marshall's unique leadership style—his personal leadership effectiveness and organizational leadership effectiveness. These themes were based on a combination of attributes not aligned with a specific trait or context, but are more reflective of overall character.

## Theme I: Personal Effectiveness

*Marshall's personal effectiveness was grounded in his basic understanding of the role of leadership, a highly structured work environment, and his ability to make quick yet informed decisions. Marshall was unique because he stayed out of most tactical decisions. He created "structured environments" within his organizations that were complementary to his work routines and that facilitated speedy and informed*

*decision making. Marshall's personal effectiveness was also magnified by a persona that enabled him to control his emotions and display high levels of personal integrity, placing the public good over personal aspirations.*

One powerful message extracted from the interviews concerned General Marshall's unique ability to remove himself from the temptation to micromanage or become involved in non-essential decisions. Retired Generals Andrew Goodpaster and Walter Kerwin, accustomed to the challenges of command, independently identified Marshall's ability to remove himself from non-command decisions. When asked how General Marshall differed from other successful generals and leaders, Andrew Goodpaster paused for a moment and observed, "Marshall differed from other generals in that he kept himself out of most [tactical] decisions. It was not that he was uninterested; it was that he was disinterested in the sense of having no special interests" (A. Goodpaster, personal communication, February 10, 1998). General Kerwin supported this example of prudence:

> He focused on the big-picture issues and problems and left the details to others. I've known quite a few other [high-level] officers who got caught up in details, and they lost the big-picture focus of their objectives…. He mainly wanted to know what the [big-picture] problems were, that is, what's going on. He always asked [about] major issues and questions [that were related to such issues]. (W. Kerwin, personal communication, March 20, 1998)

George Kennan observed that Marshall's efforts as secretary of state were focused almost exclusively on large-picture issues associated with surveying the new world situation, developing recommendations and building political support.

> He asked them [senior-level subordinates] to refrain from bothering him beyond the minimal unavoidable degree with demands that would distract his attention from the major diplomatic problems… which he had been appointed [to address]. In the major matters that preoccupied him, he had a limited amount of time at his disposal. And he was very good and very firm in deciding what was of first importance and what was not. (G. Kennan, personal communication, January 29, 1998)

Earl Cocke (personal communication, April 29, 1998) also observed that Marshall wanted most [nonstrategic] issues handled at lower levels.

Freed from lower-level decision making, Marshall could build his personal effectiveness around structured environments that allowed for strict personal work routines, concise and direct information flows, limited internal access, and accelerated decision making, which were appropriate to the war and early Cold War eras. As an example of self-regulation, Merrill Pasco noted Marshall's highly structured daily routine:

> He got to the office at 8:00, he had a presentation from the Operations Division of the activities of the night before—very well done, very articulate officers—and then he had whatever appointments with staff heads that had been requested. Then, about 11:00, he had a period of time when he could see people outside, but you didn't make any appointments without his

approval. And they ranged from all sorts of people in the Congress and in industry, from Mr. Bernard Baruch to John Martin, who was president of Pennsylvania Railroad. He left at lunch to go to Fort Myers, had lunch with Mrs. Marshall—took five minutes to get there—he was back after a short nap, which he could always take very easily, and then he worked until about 4:30. He spent a lot of time reviewing the requests from the field and reviewing staff studies that were presented to him. He had a very strict schedule, and he had a lot of balls in the air. (M. Pasco, personal communication, November 11, 1997)

George Kennan described a similar work routine while Marshall served at the Department of State. He added that he did not work weekends, which were reserved for his wife and family, and as a result "it was very difficult to engage him during weekends" (G. Kennan, personal communication, January 29, 1998). Kennan further hypothesized that Marshall's work-hour limitations were largely influenced by his advanced age, but this analysis was not noted by Pasco (who worked with Marshall several years earlier). Pasco observed that Marshall made great distinctions between work and off times—implicitly for effectiveness. Marshall had a familiar saying that "nobody had an original thought after 2:00" (M. Pasco, personal communication, November 11, 1997).

Marshall's daily routines were tightly controlled by his chief of staff, who limited internal access. Both Pasco and Kennan noted that only very senior-level subordinates had open access to Marshall, a privilege they did not abuse. Kennan recalled,

Access to him… was very closely controlled, largely in the tactful and highly competent hands of custodian of his outer office… Colonel (later General) Carter. He always was prepared, I think, to receive officials of the department when they asked to see him. But he did not like anyone coming to see him to pass the day or to expose him to problems that people had been unable to agree upon at lower levels. (G. Kennan, personal communication, January 29, 1998)

Pasco observed a similar process, noting, "You had access and came to discuss an issue or you didn't come in" (M. Pasco, personal communication, November 11, 1997). Kennan, analyzing the role of Marshall's gatekeepers, continued, "I personally thought at the time, and remain of that opinion today, that the restraints on access to him were… wise ones. In the major matters… he had limited time at his disposal, and he was very good and very firm in deciding what was of first importance and what was not" (G. Kennan, personal communication).

Marshall was particularly galled when valuable time and energy were wasted on internal bureaucratic or petty issues. Goodpaster recalled,

Colonel Lincoln [Goodpaster's supervising officer] came back and said that he had never seen General Marshall so upset—red in the face and very tense. Marshall apparently told a small group, "I want to tell you what I've been doing for the last hour. I've been deciding which lieutenant general's wife lives in which lieutenant general's quarters." That type of political busy work disturbed him very much. (A. Goodpaster, personal communication, February 10, 1998)

Marshall sought to be well informed of major changes and events, but also sought to keep all meetings and communications as brief and concise as possible. The interviews revealed a number of mechanisms and routines to achieve this objective. Kerwin described his operational briefings to Marshall as very short, between 15 and 20 minutes:

> In essence, what he wanted was to know what happened, and what went wrong and the problems that existed. He didn't want a dog and pony show… I'll always remember how the general would question people in briefings and other discussions…. He would ask, "Why do you say that?" many times during the meeting. (W. Kerwin, personal communication, March 20, 1998)

In another example of prudence, Pasco also noted Marshall's well-known and invariable rule that all memos and reports had to contain a one-page summary. "He said if you can't place the situation or solution in one page you hadn't thought it out" (M. Pasco, personal communications, November 11, 1997). Most activities that were not productive were avoided. Pasco (personal communication) observed that outside of the joint chiefs of staff meetings, he never recalled Marshall participating in roundtable meetings. Marshall felt these types of activities were a waste of time.

Marshall structured meetings and reports to quickly access information and analysis. He also demanded that his staff possess a thorough understanding of the underlying issues related to the situations. Marshall used this information to make quick and effective decisions. Goodpaster recounted an experience with Colonel Maxwell Taylor which involved two major generals in disagreement:

> Marshall read through this and finally said, "Well,…Taylor, what do you think I should do?" And Taylor said, "Well sir, I haven't thought about it." Marshall handed it back to him and said, "Please do so." Taylor said, "He never had to say that to me again." (A. Goodpaster, personal communication, February 10, 1998)

At times, Kerwin noted, "[Marshall] would review a summary… he would send it back to the group and say, 'Find out A, B, and C for me.' And then when it came back he would make a decision and move on to the next issue" (W. Kerwin, personal communication, March 20, 1998).

While Marshall's personal effectiveness was positively impacted by his routines and structured environment, much was also based on his personal wisdom. His ability to make effective decisions and retain large amounts of information, along with his self-confidence, formed the core of his success. Goodpaster stated succinctly,

> [He was able to] get to the heart of a problem to comprehend complex issues and put them in an orderly fashion. He had the ability and guts to make hard decisions and to carry good decisions to fruition, even in the face of strong opposition. He also had a unique [personal] ability to balance and prioritize complex issues in order to respond to them. (A. Goodpaster, personal communications, February 10, 1998)

Goodpaster recounted a story shared with him by Eisenhower while he was president. Eisenhower was tasked with providing overall strategic recommendations for winning the war.

He determined, through detailed analysis, that Germany would be our first strategic target because with additional time, the Germans could both defeat the Soviet Union and capture the Suez Canal. From this analysis, and other analysis, Marshall quickly concluded that the US should defeat Germany first. Even there, though Marshall faced political repercussion for this plan, he moved to implement.

In major decisions, Marshall listened to all sides of an issue but sought to avoid protracted debate. The interviews suggest he was critical of too many issues reaching his office without a consensus from his senior leadership staff. Kerwin noted that "He wanted to know what they recommended, and [for important command issues] he would make the decision" (W. Kerwin, personal communications, March, 20, 1998). Summarizing the structure of Marshall's policy meetings, Cocke observed, He would… start the meeting with "We're here to make a decision on this [issue]. I'd like to hear from the opposition here and the proponents here." And he'd let each one talk three to five minutes. Then the decision would be made. (E. Cocke, personal communication, April 29, 1998)

Cocke later observed that Marshall was "[critical of] Roosevelt during the war for allowing too many things [lower level issues] to come to him without a consensus" (E. Cocke, personal communication, April 29, 1998). Once Marshall made a decision, all of his subordinates were required to support that decision, but he carefully reflected on the competing opinions prior to making a decision.

Marshall respected subordinates who could provide advice and even dissent prior to a decision. In this manner, he appreciated subordinates who could

disagree with his analysis—reminiscent of some of Marshall's earlier military experiences. Marshall's admonishment of General Omar Bradley and other junior officers in 1939 was well known. After joining the Army secretariat in 1939, Bradley and his cohort were called into Marshall's office, where they heard his displeasure for their lack of insight and independent thinking: "You haven't disagreed with a single thing I had done all week…. Unless I hear all the arguments against something I am not sure whether I've made the right decision or not" (Bradley and Blair, 1983, pp. 83-84). Marshall is also recorded as having admonished Eisenhower for not disagreeing with him more forcefully: "When you disagree with my point of view, say so, without an apologetic approach" (Pogue, 1993b, p. 410).

The interviews suggest a strong relationship between Marshall's professional style—widely viewed as austere and impersonal—and his personal productivity. Pasco noted that Marshall intentionally created a firewall between his professional and personal lives:

> On trips and on many other occasions, he would ask about families, but only during off-duty times. Whenever you were with him away from when he was performing his duties, he was interested in your family and children and what they were doing. When he made tours, however, he would focus on military training and the adequacy of supplies…. He did not mix [personal interest in others]; he did that separately. (M. Pasco, personal communication, November 11, 1997)

While this approach is widely credited as a "command face" by many, it was viewed by the

interviewees as, in part, a productivity mechanism. Younger officers interacting with Marshall were both in awe and "scared as hell" of him. As Kerwin, Pasco, and Goodpastor described, no one wanted to displease him. Marshall's time and energy were dedicated to high-level efforts during WWII and later at the State and Defense Departments. Kennan said, "I cannot recall ever seeing him go very far from his office [at] the Department of State. He stayed there, by himself, and dealt with the people he thought it his duty to deal with" (personal communication, January 29, 1998). Kennan (personal communication, January 29, 1998) further mentioned a story where Department of State officials were chasing after Marshall as he was leaving for the day. Marshall completely ignored them.

General Marshall's personal effectiveness was based in large part on his temperament, that is, his ability to be in control of his feelings, moods, and impulses. He viewed anger as fatal and exhausting. Pasco noted continually throughout the interview Marshall's self-control and paraphrased the comments he heard firsthand:

> He would say, "I cannot allow myself to get angry, it would be fatal; it is too exhausting and too time consuming," [and he] recognized the [potentially] adverse impact of emotions on decision making… "Don't be a deep feeler and poor thinker," that sort of thing. He'd just say, "Don't let the emotions wrangle and whirl in you. Get to the bottom of it and make a decision." (M. Pasco, personal communication, November 11, 1997)

Cocke added that he had witnessed Marshall unhappy with subordinates' work, but noted that Marshall was sensitive to them, "never admonishing anyone in front of somebody else" (E. Cock, personal communication, April 29, 1998). Kerwin recalled that

> He didn't overly react. I never saw him get mad in a briefing or meeting. I could tell when he wasn't pleased by his steely blue eyes and body language. He got mad when you didn't give him what he wanted. I never saw him overly mad, just irritated. The general… didn't get mad in the sense that a lot of people do when they get frustrated, sort of shooting off, pounding the desk, or something like that. He never got exasperated, and he never used any bad language, always polite. (W. Kerwin, personal communication, March 20, 1998)

Pasco observed a number of other things, besides poor performance, that frustrated General Marshall:

> [Marshall got mad at verbosity, people talking too much… long-winded reports, anything that wasn't concise and right to the point. And people that were unjustly critical of what the Army was doing—that used to outrage him a great deal. Of course he saw a lot of that, and he'd often write a Congressman and inquire about something that he read in the paper that he disagreed with. Those sorts of things made him mad. (M. Pasco, personal communication, November 11, 1997)

An essential aspect of General Marshall's personal productivity was the quality of placing the public good above any personal interest, thus exemplifying prudence and integrity. His selflessness, combined

with his demand for excellence, motivated and sometimes frightened those around him. As Pasco observed, "We wanted to please him" (M. Pasco, personal communication, November 11, 1997). Each of the interviewees hinted at being in awe of General Marshall—awe based on his superior judgment, demeanor, and selflessness. Paul Hoffman, head of the European Cooperation Administration, observed, "I have never known anyone who in my opinion was as completely selfless as George Marshall was in the handling of any problem. I don't think he ever gave it any thought as to how this would affect George Marshall" (Nitze, 1993, p. 8). Sexton stated, "I feel that George Marshall is just one notch below Jesus Christ" (Pogue, 1958c).

## Theme II: Organizational Effectiveness

*Marshall viewed organizational effectiveness through a holistic lens. Organizational effectiveness was facilitated by decentralized organizational structures and outstanding subordinates. He set overall strategy and priorities and allowed his subordinates to carry out those activities. Marshall provided subordinates with both authority and autonomy, but in return demanded clarity of thought, calculated risk-taking, and accountability. His organizational effectiveness was also related to his concern for building morale and keen ability to sum up political situations with important stakeholders and act accordingly.*

Marshall possessed a holistic view of an effective organization. For Marshall, well-organized structures and competent and empowered subordinates were required for effective operations. As General Kerwin observed toward the beginning of his interview, "If you're looking for a real management forte, he reorganized the Army so that

it could respond quickly and he picked the best and brightest for leadership roles" (W. Kerwin, personal communication, March 20, 1998). Effective and responsive command/organizational structures and people management skills were the themes that emerged throughout the interviews. Marshall clearly understood the importance of clear reporting lines. He also strongly emphasized delegation and accountability among subordinates. In all cases he expected and demanded that all members of his organizations put forth their best efforts. Given the complex realities of the milieu in which he served, these actions were exceptionally prudent.

Generals Kerwin and Goodpaster, both accomplished and experienced military leaders, provided the greatest insights into Marshall's organizational effectiveness. Marshall's well-documented Army re-organization of 1939 was central to their views on how he approached organizational effectiveness. As an insider, he was painfully aware of the difficulties associated with process and people and how these factors could adversely impact the U.S. Army during a critical period in history. When asked about Marshall's abilities, General Kerwin's observation was about his understanding how to organize. "He was a great organizer. I think the most important change he made when he became chief of staff right before the war was to reorganize the Army. He realized that the existing Army structure was not conducive to fast work" (W. Kerwin, personal communication, March 20, 1998). Goodpaster added, "The whole place was ossified before the reorganization, and that is why the restructuring had to occur" (personal communication, February 10, 1998). Marshall's long Army career provided ample evidence

that organizational fiefdoms and ineffective commanders created an organization that could plan voluminously but not act. Marshall served as a reformer and innovator, breaking up bureaucratic fiefdoms that sought authority and influence for the sake of personal power.

Marshall's view of organization effectiveness, however, was more than just the organization and process. He was renowned as a master manager of subordinates. The interviews revealed both Marshall's vision of command and his ability to implement that vision within a large, complex organization. Regarding the military context, Kerwin stated it very succinctly: "He was an outstanding commander and leader" (W. Kerwin, personal communication, March 20, 1998).

While history notes Marshall's mastery over delegation and people, what is less certain is what exactly this means. Interviews suggest that Marshall's approach was unique, not so much because of its objectives, but due to his ability to implement them. He identified the most talented individuals for critical roles, granted them authority, and then held them accountable for their success and failures. Goodpaster, speaking from the perspective of military history, observed that "Marshall had a reputation in the Army of being a free thinker and internal reformer" (personal communication, February 10, 1998). He was deadly opposed to the highly documented decision making that was currently employed by the U.S. Army. Goodpaster continued, "[Marshall] conducted a running battle with the commanders of the general staff school in Leavenworth, which was addicted to voluminous and ponderous plans and techniques" (personal communication, February 10, 1998).

In another example of wisdom, Marshall's ability to identify and advance talented young officers in the Army is well known. When asked what Marshall did best as a leader, Pasco, without hesitation, stated, "judge people's abilities" (personal communication, November 11, 1997).

The people equation was essential for Marshall. He identified and selected talented subordinates. Equally significant was Marshall's willingness to remove those subordinates who were not performing up to expectations. Once he became secretary of the Army, Marshall began a painful replacement of older officers with younger, highly talented officers. These older officers were Marshall's contemporaries, and such removals and retirements were personally painful. Pasco described the situation as "difficult and painful for Marshall" (personal communication, November 11, 1997). Marshall's willingness to remove subordinates, however, was not limited to officers of his generation. Any officer or subordinate who was not achieving his objectives would be removed. Pasco describes several of these circumstances:

> I saw him relieve three officers at Fort Jackson one day. He just saw the condition of those divisions, and he knew how long they'd been there and he thought it ought to be better, and somebody else would just have to get this corps in shape. He thought, they're going overseas soon, and they're not ready. He just saw that. Other times he'd get reports from the head of the armored force or whoever was handling the infantry divisions. They'd ask to have people

reassigned and relieved, and of course, if they were of general officer level and in command of a division, the chief of staff had to approve the change. So he did it himself, but he got a lot of information too. And he could tell from the reports, efficiency reports and from the maneuver reports, which divisions were moving along and which weren't. He'd find out why and order their relief real quick. (personal communication, November 11, 1997)

Supporting this philosophy, Goodpaster noted that Eisenhower often mentioned that Marshall had "encouraged him to cut the deadwood" (personal communication, February 10, 1998). Interestingly, Marshall assigned authority based upon performance. Pasco's interview, in particular, was replete with his perspectives on those subordinates who the general personally enjoyed and those he did not. In all cases he treated his subordinates with respect and gave authority to those with the greatest ability. Pasco noted,

> There was no great love lost, but General Marshall respected MacArthur. He always called every officer by their last name, including McNair… you name them all, except George Patton… But whenever he referred to MacArthur, he always said "that fellow MacArthur." McCarthy always told me that that's the code word for "SOB." (personal communications, November 11, 1997)

There were close subordinates with whom Marshall would occasionally socialize, and others with whom he would not. Even so, his personal likes and dislikes did not count within the office—he found and promoted the best and brightest.

While Marshall was a taskmaster by any standard, he delegated significant authority and autonomy to subordinates, especially to theatre commanders. Marshall's view of tying authority to accountability was the essence of his leadership philosophy. Goodpaster said, "I used to speak with Eisenhower, often late in the afternoon, when he was President and I was working with him as staff secretary. On a number of occasions he stated that Marshall taught him the finer points of how to decentralize and delegate" (personal communication, February 10, 1998). Based on his broad experience as a general and commander, Kerwin observed that it is often difficult for a commander not to get caught up in details; however, Marshall did not do this (W. Kerwin, personal communication, March 20, 1998). At the Department of State, Kennan also observed a similar pattern of Marshall granting authority to subordinates but holding them accountable (G. Kennan, personal communication, January 29, 1998).

The interviews provided a number of examples of General Marshall's granting of support and authority to subordinates. Goodpaster observed that

> The earliest point of guidance provided to me was that General Marshall did not try to conduct military operations out of Washington, DC. He did not attempt to run the operational aspects of the war, but rather, he looked to the theatre commanders to do that. I was told if an officer took a proposed directive in to the General Marshall that told Eisenhower or MacArthur just what to do, he would ask, "What does General Eisenhower [or MacArthur] say about this?" And if he was told, "I don't know,"

then he would say, "Well, I think you had better find out." And if the same man did it twice, he would say, "Get rid of that man" (personal communication, February 10, 1998).

He later provided a number of examples, two of which are cited below. The first was told to him by Eisenhower, the second he witnessed when Marshall served as secretary of defense under President Truman.

> Eisenhower told me a story about Marshall visiting him during the North Africa campaign. When the operations in North Africa had been successfully completed, Marshall made a trip over to speak to Eisenhower… to congratulate him on his accomplishment.… Eisenhower said that one thing that he wanted to tell Marshall was that he was very much appreciative of an instruction that Marshall had sent him… that no American officer who served under Eisenhower's command was sent unless he wanted them there. And Eisenhower said, "I appreciated that greatly." General Marshall then stood back a moment, thought about it, and said, "Yes, Eisenhower, but it was more than that. If you had failed, you would not have had that as an excuse." (A. Goodpaster, personal communication, February 10, 1998)

And [Marshall's propensity to delegate and empower] was not just limited to his role as the Army's chief of staff during the war. I remember when Marshall served as secretary of defense near the end of his career. At the time, I was working on Eisenhower's staff, which was attempting to establish NATO's nuclear command. General Gunther, Eisenhower's chief of staff, was the man

charged with making that happen. In order to get the operation established as soon as possible, we tended to staff the command with individuals who had performed similar duties during the war. There was this one individual we desperately needed for the Military Assistance Program (a program that provided military equipment to NATO allies needing to build up their arms). We asked [Brigadier General Frank] Bogart and later his chief, Major General Stanley Scott, to have this man reassigned. Bogart, however, didn't want to give him up. So as reported to me, Major General Stanley Scott wrote a memo to General Marshall… a very good memo, stating the case really well… Marshall sent back with one line: "It is my policy at this time to give General Eisenhower anyone he needs—GCM." (A. Goodpaster, personal communication, February 10, 1998)

Another time, Goodpaster recalled Lincoln returning from a meeting with Marshall where he stated, "General Marshall reminded us again that man is made for action. He asked what action we recommend that we should take" (personal communication, February 10, 1998). Kerwin, a young Lieutenant Colonel at the time, repeated throughout the interview that one of Marshall's distinguishing characteristics was how intensely he would question subordinates as to their thought process and facts. He described the events in a meeting during the war that he remembered vividly. It was the only time he witnessed any hint of General Marshall not receiving the insights he expected.

I sat in on the first series of briefings for [potential] military landings in Japan. I was mainly there because my boss was unavailable, and there were always some important questions about landing craft availability. During that meeting, I was sitting with all the generals and junior officers. General Marshall asked a whole series of questions on landing crafts. After about the third or fourth question, it was quite obvious that the group (General Hull, six to eight other generals, and a host of lesser ranking officers) didn't have the answers. I will always remember that meeting: General Marshall looked around the room, and everyone got up and filed out. It was like a death knell. When we [the lower ranking officers] left the meeting, I was pretty sure that all hell broke loose because he was very unhappy with the outcome of the meeting. (W. Kerwin, personal communications, March 20, 1998)

Kerwin and Goodpaster also remarked on the latitude they possessed when working in the Operational Division during the war. While neither was directly supervised by Marshall, their efforts were no more than two levels from Marshall's watchful eye. Kerwin joked that "I had more [real] power as a lieutenant colonel in the operation division than as vice chairman [of the joint chiefs of staff]" (personal communication, March 20, 1998). He recounted various stories where he led initiatives, including the establishment of a UK Command and leading an international training initiative involving radar equipment. Each initiative went to Marshall for review. Goodpaster also described projects where he and his group received high levels of authority and autonomy. One was the release of the deadly variable-timed (VT) fuse anti-aircraft weapon for land-based operations. The VT

fuse had been employed on water during the war with deadly effects to destroy enemy aircraft, but it had never been used where the Germans could pick up the VT fuse and reproduce it. Goodpaster played a major role in the study and the later release of this weapon for land-based operations.

Perhaps the most important aspect of Marshall's leadership was to unlock the potential of subordinates to thrive in uncertain environments. This insight was identified by Goodpaster, Kerwin, and Pasco—those who interacted with him during the complex and uncertain years following Pearl Harbor. Goodpaster was most explicit in explaining what Marshall sought from his subordinates:

> Marshall didn't expect perfection from his subordinates. He knew that in times of war both sides were going to be caught by surprise. He was unique because he demanded that his people prepare for and quickly respond to surprises so that no event or series of events would be catastrophic. He demanded commanders take calculated and well thought out risks. MacArthur going into Leyte without air cover was a good example of the type of risks that Marshall encouraged. The whole operation was a big risk but probably shortened the war by six months to a year. (personal communication, March 10, 1998)

The observations of the interviewees, referencing Marshall's frequent quizzing and demand for intricate and complex decision making, also fit in this portrait of Marshall's view of an effective organization. Creative and dynamic thinking was expected from the entire organization.

Marshall's perception of people in the organization, however, was much broader than subordinate performance. He placed great emphasis on morale—especially when serving as Army chief of staff. At a student graduation in 1941, he said, "Where there is high morale… all things are possible; without it, everything else—planning, preparation, production—count for naught" (Hambro, 1953). Pasco, who frequently travelled with Marshall, said, "The general kept his finger on the Army's pulse by frequently visiting Army posts. [Whenever he] had any break in time he immediately wanted to see the troops being trained at Fort Jackson and Fort Bragg" (personal communication, November 11, 1997). On these trips, he questioned soldiers about what was on their minds. Pasco adds that he "was interested in the details of the soldier's life because that was the basis of good morale. And good morale was what the Army fought on" (personal communication, November 11, 1997). Marshall "was a great believer in doing the right things for the morale of troops" (personal communication, November 11, 1997).

Pasco also observed Marshall's creation of the Army morale officer, with the rank of brigadier general. The position was not a career graveyard. Pasco observed,

> It was supposed to be an important job. And he was very insistent on that. He thought that it was very important [to have people] who were articulate and capable… not people who were put there because they couldn't do anything else. (personal communication, November 11, 1997)

Much has been written about the success of General Marshall in his interactions with Presidents Franklin D. Roosevelt and Harry S. Truman, Congress, the press, and the U.S. Navy. The interviews

suggest a more complex explanation for Marshall's effectiveness in working with external stakeholders: his keen ability to sum up political situations and nuances and act accordingly. Within these political environments, he placed great emphasis on forming and maintaining alliances. In these settings, his personal embodiment of integrity, public service, and non-partisanship served him well. Marshall, as a holistic leader, possessed a strategic vision of what actions would be most effective and acted within the existing political environment to achieve the best outcome. He did so with candor and integrity in the context in which he operated, but he displayed considerable savvy and salesmanship where appropriate. Pasco observed that Marshall was "one of the greatest salesmen who ever lived and knew exactly how to approach people… [but] he rarely used this sales ability inside the Army" (personal communication, November 11, 1997). This observation provides considerable insight into how Marshall interacted with external stakeholders.

The interviews provided a number of stories and insights on Marshall's modus operandi with various external stakeholders while serving as Army chief of staff and in the Department of Defense. Given that three of the interviewees worked within the Operations Division during WWII, the majority of examples were related to that period and context.

Goodpaster and Pasco described interactions between Marshall and the U.S. Navy during WWII. Collaboration and information sharing between the Army and Navy was of paramount importance for the war effort, both for effective campaigns and to present a united front to the president. Pasco (personal communication, November 11,

1997) observed that Marshall was keenly aware that President Roosevelt, an ex-Navy man and former under-secretary of the Navy, was reputed to have a bias towards his branch of the military. While Marshall possessed strategic and tactical differences with the Navy leadership on waging the war (especially with prioritizing the German over the Japanese fronts), he placed great emphasis on effectively collaborating with Admiral King, the commander of the U.S. fleet and chief of naval operations in WWII. Pasco continued,

> He made it a point of getting along with the Navy, made it a point of getting along with Admiral King. When anything came up, he would always get up and go to Admiral King's office. He "stroked his fur" that way quite often. And he recognized the importance of the Marines and the Navy and wanted to cultivate them, but it was very difficult with King because King was a very rigid, indoctrinating officer, with not a lot of small talk and personality, either… but a very good Naval officer. (personal communication, November 11, 1997)

Marshall was also well known for his effective interaction with presidents, Congress, and the press. He was also known for influencing public opinion. He clearly understood the unique dynamics of interacting with these external stakeholders. Clearly, part of Marshall's ability to affect outcomes was based upon the trust he engendered through the traits/characteristics of competency, strategic insights, integrity, faithful service, submission to civilian authority, and his apolitical nature.

In an exercise of practical wisdom, while Marshall always displayed candor and loyalty to the president,

he also sought to adjust his methods in a way that would lead to his intended policy objective. For example, a staff officer came away impressed after witnessing a method Marshall employed to gain the president's support for the Army's reorganization and professionalization. FDR always declared himself a sailor, so Marshall ordered the creation of a visual consisting of a large cardboard diagram representing a ship: "Comprising the forward section, or bow, of the ship was a newly designated regular army triangular division. Back of that were two or three square National Guard divisions, and at the stern were the service elements to support the forward divisions" (Rosenblum, 1998). By encasing these organizational facts in a nautical container, however unrelated the two subjects may have been, Marshall succeeded in catching FDR's eye.

Marshall also placed great emphasis on his relationship with Congress. Pasco noted the significant effort Marshall dedicated to serving and effectively interacting with Congress. Pasco, who handled many Congressional requests, would continually interact with General Marshall on these requests with a summation of the request and a proposed solution. These were issues that Marshall was keenly interested in personally addressing. History reveals Congress's great respect for General Marshall. Pasco continued,

> Congress had great respect for him because of the way he performed when he went up there… they were willing to leave him alone. When he got called to the Congress, he'd get a staff study that told it all—its outstanding problems and solutions. He'd read it, but he wouldn't take it with him. And he'd arrive up there, always got

there about two minutes late, so there'd be a… bit of suspense. He'd say, "You gentlemen want to talk to me? What do you want to know?" And after about the fifth question, he'd unload the staff study on them out of his head. He didn't memorize it, but he just had it in his head, and he had the ability to put it all in a logical way. He could make a case in the most amazing way you ever saw. If he believed in something, he knew how to sell it. And his character just sold itself.… Congress never doubted his integrity.… There was no question about whether what he said was right. If Marshall said it, it was true. (personal communication, November 11, 1997)

Marshall demonstrated great skill, loyalty, and integrity in dealing with Congress. As Pasco described, "When a request [from Congress] was submitted to Marshall, if it had merit they got it, if it didn't he told them no and why" (personal communication, November 11, 1997). There was no question that General Marshall's insight and analysis were correct. Congress accepted it. Like in his relationship with the president, Marshall was always gentlemanly and respectful. Goodpaster added that Marshall's persona in Congress was that of a "straight shooter" who never lied or wasted anyone's time (personal communication, February 10, 1998).

## Summary

General George C. Marshall stands out as one of the most effective public servants of the twentieth century. This paper reported the results of conversations with the last remaining individuals who had served and directly interacted with General Marshall. This cadre provided their stories and perceptions of Marshall as a leader, stories that

can be categorized into personal and organizational effectiveness that derived from Marshall's character. Marshall clearly behaved differently within alternative contextual environments while still enjoying universal respect as a man of integrity.

Marshall understood the importance of people, reporting relationships, and organizational structures that were necessary for an effective organization. He knew that the power of individual initiative could be undermined by a bureaucratic and ossified organizational culture. To change this, he both radically re-organized the old Army and empowered his subordinates. Empowered subordinates, however, are not always competent and effective subordinates. He provided great authority, but also great responsibility. Those who were not effective were removed quickly. Marshall established structured but flexible environments, with the delegation of decision making and adherence to an organization's mission.

One of the more interesting aspects of General Marshall was his ability to remove emotion from his decision-making process while still empathizing and respecting subordinates. History reveals that among the most difficult tasks for Marshall were removing his peer generation from command positions or passing them over for promotion, but still he did these things. He removed junior officers who were not performing. Marshall was also well known for employing talented and flamboyant individuals, such as Douglas MacArthur, who he may not have liked personally but respected. Marshall treated individuals with honor and respect. The leadership literature often describes this attribute as "emotional intelligence" (Goleman, 1995). One could argue

that Marshall could command others because he could command himself.

The interviews also suggest that Marshall was a master at balancing the somewhat contradictory forces of principle vs. pragmatism. Marshall was a man of great principle. History reveals his unique mixture of traits and characteristics, which include honesty, selflessness, intelligence and a keen ability to understand complex issues, reverence for the US constitutional system, and general leadership. On the other hand, Marshall's ability to articulate stories and "sell" his visions as the best policy outcomes is legendary. Gardner and Laskin (1995) observe that Marshall's messages were geared toward and sensitive to different audiences, but his personal ethos as a person of integrity and non-partisanship served him well. Cocke clearly notes that Marshall's speeches were related to specific outcomes. In fact, he was a master at simultaneously demonstrating integrity and non-partisanship while advancing his preferred solutions—he was in essence a non-partisan with strong political skills. He clearly perceived the intricate complexities of the political environment. He understood what he could achieve and what he could not achieve. As his actions with the Navy demonstrated, he would lose little battles to gain positive overall outcomes.

Marshall stands out among the full ensemble of American leaders in the excellence of his direct leadership in a military institution, in the larger society, and as a cabinet member with two portfolios. He assumed power because of his position in an institution, but he helped redefine that institution and others by the way he filled his role.

## References

Bradley, O. N. & Blair, C. (1983) *A General's Life: An Autobiography*. NY: Simon & Schuster.

Daft, R. L. & Lein A. Y. (1990) Can organization studies begin to break out of the normal science straight jacket? *Organizational Science,* 1, 1-9.

Drucker, P. F. (2005) Managing Oneself. *Harvard Business Review,* 83, 100-109.

Drucker, P. F. (1967) *The Effective Executive*. NY: Harper and Row.

Gardener, H. E. & Laskin E. (1995) *Leading Minds: An Anatomy of Leadership*. NY: Basic.

Goleman, D. (1995) *Emotional Intelligence*. NY: Bantam Press.

Hambro, C. J. (1953, December). *Noble Prize Award Ceremony*. Presentation Speech. Retrieved from http://nobelprize.org/nobel_prizes/peace/laureates/1953/press.html?print=1.

Pogue, F. C. (1993). *George Marshall: The Education of a General 1880-1939.* NY: Penguin.

Pogue, F. C. (1993) *George Marshall: Ordeal and Hope 1939-1945.* NY: Penguin Press.

Palanski, M.E., & Yammarino, F.J. (2007). Integrity and leadership: Clearing the conceptual confusion. *European Management Journal, 25,* 171-184.

Peterson, C., & Seligman, M.E.P. (2004). C*haracter strengths and virtues*. New York: Oxford University Press.

Rosenblum, J. W. (1998). Marshall at State. Unpublished Manuscript.

US Army Center of Military History, *The U.S. Army in World War II- The 50th Anniversary*. Retrieved from http://www.history.army.mil/documents/mobpam.htm

US Army Center of Military History, *Highlights of Mobilization, World War II, 1938-1942*. Retrieved from http://www.history.army.mil/documents/WWII/ww2mob.htm.

## Appendix 1:
## Interview Participant Background

*Brigadier General Erle, Cocke, Jr. (1921-2000).* Erle Cocke, Jr. was a renowned WWII hero and public servant. He collaborated with General Marshall as national commander of the American Legion (1950) and later served as a consultant and civilian aide to General Marshall and the Defense Department. He maintained a relationship with General Marshall after Marshall's retirement from government service.

*General Andrew J. Goodpaster (1915-2005).* General Goodpaster, a well-known and leading general and public servant of the twentieth century, served under General Marshall during WWII and later during his tenure as secretary of defense. He was assigned to the Operations Division (formally the War Plans Division) after being wounded during WWII. There he served under Colonel G. A. Lincoln and regularly interacted and observed General Marshall. Later, he worked on special projects for General Marshall during his tenure as secretary of defense, most notably on Study 360, which explored the US's role in Greece and Turkey. General Goodpaster also assisted Marshall in writing his now famous 1953 Nobel Peace Prize acceptance speech. General Goodpaster's close relationship with President Eisenhower also serves as a source of rich insights into Marshall's management and leadership. Goodpaster served as President Eisenhower's staff secretary and defense liaison officer from 1954 until 1961. During this time, Eisenhower shared with Goodpaster a variety of details about serving under General Marshall. General Goodpaster retired from the Army with the rank of four-star general.

# Sustainability and Enduring Impact: Shaping an Intentional Culture of Excellence and Ethics

Matthew Davidson
Vladimir Khmelkov
Kyle Baker

## Abstract

This article describes the Culture of Excellence and Ethics approach developed by the Institute for Excellence & Ethics (IEE). It lays out the principles of the framework and the rationale for how the approach achieves sustainability and enduring impact in the development of character, leadership, and culture through a balance of theoretical and practical fidelity with theoretical and practical convenience.

Matthew L. Davidson, Ph.D., President and Director of Education. Dr. Davidson has dedicated nearly 15 years to character education research, program development, and dissemination serving on staff at the Family Life Development Center at Cornell University, the Values Program at LeMoyne College, and the Mendelson Center for Sport, Character, and Culture at the University of Notre Dame, where he was also an Adjunct Professor of Education. Before founding IEE, Dr. Davidson was Research Director at the Center for the 4th and 5th Rs (SUNY Cortland). A frequent national presenter, Dr. Davidson is a past member of the Blue Ribbon Panel for the National Schools of Character Awards Program. His publications include *Smart & Good High Schools: Integrating Excellence and Ethics for Success in School, Work, and Beyond.* He has served as co-principal investigator or external evaluator on federal and private foundation grants, totaling over $8 million.

Vladimir T. Khmelkov, Ph.D., Vice-President and Director of Research and Technology. Before co-founding IEE, he was a senior research analyst at the University of Notre Dame and served as research consultant for the Notre Dame Center for Ethical Education. He has been engaged in research projects and published on socio-moral development of youth, teacher education, social organizational characteristics of schools and higher education institutions for over 15 years. He has served as co-principal investigator or external evaluator on federal and private foundation grants, totaling over $8 million.

Kyle Baker, Power2Achieve™ Coordinator. Kyle graduated with a Master's Degree in Education from the University of Notre Dame through the Alliance for Catholic Education. He taught at St. Joseph's School in Missoula, Montana before joining ACE. During his Master's program he taught 5th grade at St. Paul's School in San Antonio, Texas for two years while also coaching Varsity Football at Antonian College Preparatory High School. As a collegiate student-athlete Kyle earned first team All-American football honors twice and earned Academic All-American honors three times while attending Carroll College. He also was awarded the Dave Rimington Award as the nation's top center and a National Football Foundation Scholar Athlete of the Year award.

## Background

We start with a brief background on the Institute for Excellence & Ethics and the theoretical and historical location of our work to help the reader better understand our framework, and to facilitate connections of our approach to the reader's particular setting. The Institute for Excellence & Ethics (IEE) is a nonprofit organization dedicated to the development and dissemination of research-based tools and strategies for building intentional cultures of excellence and ethics. We develop teaching and learning resources, conduct professional development, design and deliver assessment tools and services, and provide organizational consulting. To date we have primarily worked work with administrators, educators, students, and parents in K-12 schools (including public, private, Catholic, & charter; urban, rural, and suburban, large and small). We have also increasingly used our knowledge and tools to assist teams, businesses, and other organizations outside the field of education interested in enhanced realization of their goals through the creation of a more intense and intentional culture of excellence and ethics.

The work described in this article is an outgrowth of more than a decade of prior work, primarily rooted in the fields of moral psychology, human ecology and sociology, and evaluation. Our work builds on the work of Lickona (1991), which integrates applied theory and social science into practical and accessible strategies for implementation. The Smart & Good Schools research (Lickona and Davidson, 2005) reflected our evolving quest to synthesize theory and research with sound recommendations for implementation—especially in contexts where intentional development of character and culture is not widely practiced, like high schools. The *Culture of Excellence & Ethics* framework that we describe in this article reflects three years of field testing with over 50 schools and other clients of an approach to developing character and culture that balances theoretical and practical fidelity with theoretical and practical convenience. Drawing upon the work of Maney (2009), we argue that sustainable implementation and enduring impact on culture and character results from implementation approaches that present a viable convenience-fidelity proposition. We describe our attempts to build rigorous, but flexible approaches to intervention capable of having demonstrable impact, within the many constraints and challenges of real world implementation. We acknowledge here at the outset—and reiterate at the close—that we share in this article is based on what we consider to be small-scale implementation with promising evidence of success. What we present is simply offered as description of our experiences, our assumptions, worldview, and theoretical orientation, leaving the reader to determine the trustworthiness and utility of what we share.

The evolution of our approach has been driven by a belief in the power of character and culture as an essential catalytic force in the realization of organizational goals—regardless of the organization's specific mission or focus. However, our unfaltering belief in the power of character and culture does not mean that the individuals within the organizations we serve see or believe in the power of character and culture. On the contrary, we are often working with individuals that are stretched, stressed, and skeptical. Thus, in a journal committed

to the integration of leadership and character, we share our ideas and insights as meant for other leaders *of* character who, like us, are not preaching to the proverbial "choir," but are instead charged with initiating or improving the development of character and culture with individuals who may need to be convinced.

The development of character and leadership is hindered by a cult of misperceptions, misunderstandings, and inaccurate assumptions, which likely results from superficial familiarity with the general idea and importance of the concepts. From this general understanding and acceptance of the power of character emanate extraordinary misperceptions (these are the soft skills, you can't measure any of this, the best organizations just have better strategy and talent), misunderstandings (you're born with it, it can't be taught, it's too late to develop it), and inaccurate assumptions (we already do this, our people have these skills, we don't have time or resources for this). These misperceptions, misunderstandings, and inaccurate assumptions undermine sustainability and enduring impact. We view our pragmatic pitch, which taps out a steady message touting the strategic utility and benefits of intentional efforts to shape character and culture, as essential to gaining converts, as well as reconverting the converted to the essential power of intentional culture.

Our framework is built on a "first understand, then be understood" approach. Rather than offering an additional set of goals and objectives, the *Culture of Excellence and Ethics* framework aligns itself to assist organizations in meeting their existing policies and initiatives, thus demonstrating a value-added

proposition—as opposed to a net-loss proposition. The question thus moves from "do we have time and money to spend on developing character and culture?" to "is there a more time- and cost-effective strategy for building the culture and competencies of excellence and ethics needed for reaching our mission, goals, and prevailing policies?" As part of our applied work with organizations, we have refined and revised our "8 Strengths of Character" (Lickona & Davidson, 2005) into the following eight areas of focus (Figure 1), which in our experience most closely align with the areas of greatest interest and need for most organizations we serve:



*Figure 1*
*Culture of Excellence & Ethics Competencies*

The eight focus areas are not used as specific developmental outcomes, but rather as a heuristic mapping of the areas drawn from our applied research and most often identified in policy initiatives as contributing to or detracting from success in school, work, and beyond.

## Culture of Excellence and Ethics Overview

What follows is a very simple distillation of our *Culture of Excellence and Ethics* theory of impact, which we'll then elaborate upon at

length: Leadership is the act of influencing people by providing vision, strategy, standards and accountability. Leaders influence others most significantly through the shaping of culture. Culture is generally defined as the shared values, beliefs, and operational norms of a group or organization. Leaders shape culture by establishing and reinforcing the shared norms and organizational habits. Through their words and actions leaders are communicating to those in their charge: "This is how we will interact and conduct our business; this is how we will operationalize our values and realize our goals." Leadership is about getting others to commit to shared goals and the collective good; it's about motivating and empowering others; it's about holding self and others accountable. Within the ecology of an organization, shaping culture through leadership takes place at macro- and micro-levels—from the leader of the organization per se, to any person in responsible for shaping the norms and practices of smaller sub-groups. Culture—the shared norms and reinforced behaviors of a group—in turn develops the character habits of individuals. Character competencies—or values in action—become automated habits when they are consistently and pervasively learned, practiced, refined, and reinforced.

A concrete example to demonstrate this more complex process: in one school we observed (Lickona and Davidson, 2005), the leadership held a deep belief in the power and importance of revision in the cultivation of excellence. The leaders of the school saw the values of work ethic, continuous improvement, grit, and perseverance as indispensable in the pursuit of excellence. These values and beliefs informed their specific

approach to grading, which was based on mastery learning (Bloom, 1981) and was articulated in local parlance as: "A, B, and You Ain't Done yet." In other words, all students were expected to revise as often as needed to meet the standards for an A or B. Unless or until that standard was met, students were expected to continue revising, which often required multiple revisions to meet the standard of A or B. It's fair to say that in almost every school revision and grading are a featured practice. But, given the commitment of the leaders to a particular set of values and beliefs and desired outcomes, *how* they implemented the practice of revision was essential. Their intentional organizational habit regarding revision and grading (i.e., their culture) in turn developed a specific set of competencies in students—giving and receiving feedback, persevering in the face of difficulty, finding ways to go beyond a basic mastery, and others. In summary: the leaders shaped the norms; the norms shaped the practices; the practices shaped the character competencies of the individuals in this culture. In our observations of this school, it wasn't just that they had organizational outcomes to justify their approach (accomplishments, recognition, etc.)—which they clearly did. It was the pervasiveness of their organization way, and its transference to the mindset and habits to its members. There wasn't a "we just do it this way because they make us"; it was a deeply shared conviction "we do it this way because that's who we are and how we have been taught."

Compare the intensity and intentionality of this school's approach to the character competencies shaped by a school culture operating according to a different norm, say for example, "a one and done,

breadth over depth" approach that requires little or no revision. We believe that positive character and strong leadership habits develop in response to the culture that is intentionally shaped, where every cultural practice and norm is carefully evaluated and practiced with intensity and consistency. This is a subtle but critical contention because too often leadership and character are approached as genetic. Obviously individuals are clearly born with character and leadership strengths, and not all possess the same strengths, or the same level of strengths. However, whatever predisposition to leadership and character you bring to an organization or group, participating in that organization or group according to their norms enforces (or reinforces) individual habits. Thus, if you enter a monastery and live according to their norms and habits, you develop beliefs and habits shaped by that experience; when you enter the military, similar mechanism different outcomes. Bottom line: culture shapes character—either for good or for ill. Organizations can either spend time intentionally shaping the culture to develop the positive habits needed for the realization of core mission, or spend time reactively responding to the negative behaviors shaped by the unintentional de facto culture—what Dewey (1938, 1998) called "mis-education" or "collateral learning."

This, in essence, represents the foundational belief of our *Culture of Excellence and Ethics* framework. We start by seeking to understand the core mission and objectives of an organization, and then look for ways of enhancing them through an intentional culture. In a case like the school described above, we would work to enhance their mission and goals of mastery learning. Mastery learning, from our perspective, is not better or worse than any other

philosophy or organizational approach. However, whatever the mission and objectives are, we seek to create or enhance the organizational norms so that they are implemented with intentionality and intensity sufficient for developing the requisite character competencies. In this case, a school dedicated to mastery learning must be intentional regarding revision and grading in order to develop the character needed for mastery learning (e.g., grit, perseverance, work ethic, etc.).

We believe in the notion that "character is power"— the catalytic power needed for realization of the core organizational mission. Thus, organizations must maintain an ongoing audit to determine which organizational practices are creating power in support of—and which practices are stealing power from—their core mission. Too often organizations operate under the "it's-just-a" mindset: it's just a uniform, it's just a program, it's just a banquet, it's just an assignment, etc. However, when it comes to developing excellence and ethics there are no universally benign practices—all have the potential to turn into an organizational malignancy. Every ritual and organizational practice must be implemented with care, consideration, and monitored faithfully, since every ritual and practice in the life of the organization either contributes to or detracts from the power needed for the core mission. And it's often the seemingly little but insidious unintentional beliefs and habits, acting at odds or in tension with the stated mission and core practices, which breed institutional cynicism and disunity.

## Culture of Excellence and Ethics Framework

The *Culture of Excellence and Ethics* framework is based on the belief that the development of character and

leadership competencies occurs through the impact of an intentional organizational culture, which is facilitated by teaching and learning standards and strategies that target important aspects of the core organizational mission, have theoretical fidelity, and are convenient to implement with fidelity. Herein lies what we see as essential conditions needed for scaleable interventions: finding the ideal balance between fidelity and convenience. Drawing on the work of Maney (2009), we recognize that organizations we serve are forced to make a tradeoff between fidelity and convenience. At the simplest level fidelity refers to the rigor, depth, and overall quality; which often operates in tension with convenience, expediency, speed, and usability to operators. Based on the work of Maney (2009), the following graphic (Figure 2) represents four types of convenience-fidelity propositions. Sustainability and enduring impact are derived from a balance of implementation convenience and implementation fidelity that matches organizational need and capacity.
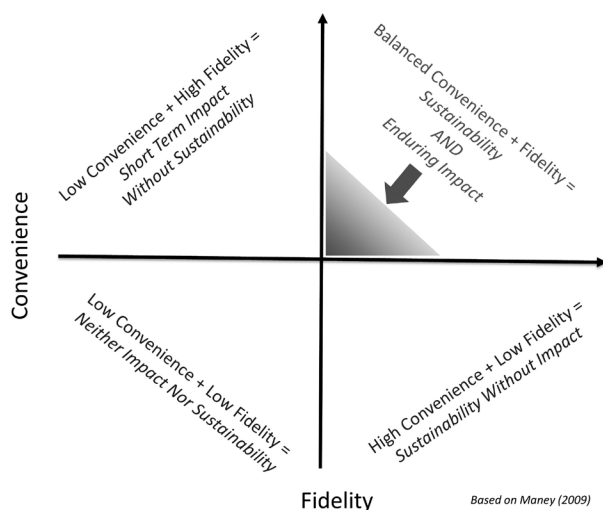


*Figure 2*
*Convenience–Fidelity Proposition*

The *Culture of Excellence and Ethics* approach seeks to achieve a balance of implementation convenience and implementation fidelity that matches organizational need and capacity. What follows are five operating principles behind the approach.

**1. Identify and develop discrete competencies.** A culture of excellence and ethics must by definition include a focus on *both* excellence and ethics, on doing our work well *and* operating according to the norms of justice and care. Developing a "conscience of craft" (Green, 1984) becomes as essential for organizational thriving as developing an ethical conscience about issues of right and wrong. What we presented to the field of education was a paradigm shift (c.f., Lickona & Davidson, 2005, Davidson, Lickona, and, Khmelkov, 2008) from an exclusive focus on moral character (ethics) to a focus on both performance character *and* moral character (excellence *and* ethics) (Figure 3). We define performance character as a mastery orientation. Performance character values such as diligence, work ethic, positive attitude, perseverance, grit, etc. are needed to realize one's potential for excellence. Moral character is a relational orientation. Moral character values such as integrity, justice, caring, respect, and responsibility are needed for successful interpersonal relationships and ethical behavior. We argue that both moral and performance character are needed for human and organizational flourishing (Lickona & Davidson, 2005). These two dimensions of character operate in integrated and interconnected ways in individuals or organizations defined by excellence and ethics.

The notion of moral and performance character, excellence and ethics, as integrated and equally

important was a breakthrough in our own work and attracted attention and interest in particular from organizations interested in the bottom line of performance. However, the practical development of moral and performance character in organizations required us to distill complex and multifaceted moral and performance character values into their more discrete competencies. Competencies are process skills that bridge awareness and sensitivity to reasoning and judgment to behavior. For positive behavior to take place, one must recognize the need for specific positive action, to process the contextual requirements, to reason about what action to take, and finally to take action. When skills for each of these processes are fully developed and become automatic, cognition and action become intertwined and an individual consistently engages in positive behavior (see, for example, review of related research in Narvaez, 2006).

Our ability to contextualize and align our work in each organization's context and according to their goals and requirements is dependent upon our ability to identify, and then develop and measure the demonstration of values in terms of lived behaviors. Our operational definition of character as values in action plays out in the real world context as a set of competencies or habits: "*individuals who are able to …*"—give and receive feedback, give others their due, be fair to all involved, continue trying in the face of difficulty, etc. As such, values and competencies are not entirely separate or incompatible, but it's the competencies that we have found allow for better contextualization and alignment of leaders' practices to the organization's mission.

Figure 3 *"Culture of Excellence & Ethics Competencies"* represents units of competencies clustered around our eight areas of focus for which we have built teaching and learning tools, professional development, and curricular materials that we continue to field-test in over 50 schools and athletic teams (drawn primarily from the educational environment, we have begun translating and



*Figure 3*

From *Smart & Good High Schools* (Lickona & Davidson, 2005)

expanding them for application in other contexts). The focus on identifying and developing discrete competencies has allowed for a more pragmatic implementation approach and a more integrated theoretical approach.

**2. Establish an organizational culture characterized by intentional and pervasive teaching and learning norms, rituals, procedures, and habits.** Berger (2003) argues that "excellence is born from a culture."   But how, exactly, does that happen?   Pick a classroom, family, team, or organization that stands out to you for its exceptionality, and you will invariably find great intentionality regarding their organizational habits—they do things a very specific way, for a very specific reason. There is also intensity: deliberate guided education and practice promotes fidelity; organizational leadership, commitment of resources (especially time), and strong accountability leads to widespread  buy-in ensuring that the shared norms are pervasive throughout the organization—not relegated to "pockets of excellence."

In our experience there are precious few homes, schools, teams, or organizations that are intense and intentional about the development of character and culture. Few are able to identify and describe their "signature practices"—those strategies, norms, or organizational habits that render on its members the "distinguishing marks" (i.e., character) of the organization.  Organizations may provide a list of things *they do* (we eat together, we have an awards ceremony, we go away together, etc.), but they often struggle to identify *the* practices that are practiced with intensity and consistency that result in a set of shared ideas, beliefs, and habits that define the organization—no clear sense that "doing this, this way, is what makes us who we are."  More often we encounter haphazard approaches lacking intentionality and intensity. For example, they may implement some form of goal setting. But few in the organization can link it to a set of organizational beliefs (e.g., talent is important but it's developed by striving for daily improvement; everybody here is a work in progress; nobody is exempt from continuous improvement), or habits (e.g., the first thing I do when I face a challenge is to identify the overall goal and to break into as many smaller sub-steps as possible; it's just a personal habit now, born out of the consistent experience of an organizational habit or norm of behavior).

Intense and intentional cultures leave a mark on the individual; as the sociologist Gerald Grant (1985) described it, these are cultures that "imprint." It's not just *that* they technically or functionally fulfill their core mission, but rather that the organizational habits—*how* they fulfill their core mission—are done with such intensity and intentionality that a distinctive organization mark is transferred onto the individual, which is evident in their personal habits (i.e., character).  For example, a school culture that imprints certainly fulfills its core mission to transfer knowledge from teachers to students; but, in an intentional culture of excellence and ethics there is significant attention paid to developing the character and culture needed for the general philosophy and specific pedagogy, paying as much attention to *how* we do things, as to *what* we do.  Individual knowledge surrounding the what, how, and why of organizational norms will obviously vary and have an ebb and flow to it (e.g., newcomers may know that we do things, yet not

fully understand why; senior staff may understand more fully subordinates the deeper rationale for certain practices). However, around the most important organizational practices (the defining or "signature practices" of an organization) there must intentional and ongoing communication, study, and reflection what, why, and how. How will an organization know when they need to be more explicit and intentional about an existing practice or improve our intentionality in a new area? When they are routinely expending resources to reactively respond to problems, inefficiencies, and inconsistencies; when the execution of a practice begins to detract from its intended purpose and the core organizational philosophy and goals; when the lived habits and behaviors conflict with or are in tension with their espoused value.

An effective culture does not happen by chance, it happens by intentional design. The *Culture of Excellence and Ethics* framework is built on the belief that character is shaped by the culture we create: this is how we articulate the mechanism for the impact of our approach. To have an impact, the culture needs to be direct and intentional: it needs to be focused on worthy goals (e.g., pursuit of excellence and ethics), evident in shared norms about how we do business (e.g., use of consistent tools and practices linked to moral and performance character), and continuously lived through actions (e.g., frequent and pervasive leadership/teaching practices and member/learning behaviors). In other words, an intentional culture of excellence and ethics is comprised of teaching practices and learning behaviors that develop the targeted skills and competencies, which all stake-holders use consistently over time, which will require communication, education, assessment, and accountability.

**3. Facilitate intentional culture through explicit implementation standards, tools, and "good enough rubrics."** Fans of the classic do-it-yourself show, *This Old House,* will no doubt recall the time and painstaking detail devoted by host and master carpenter Norm Abrams to the design and construction of jigs, templates, and tools for his projects. The tools were used to improve accuracy and consistency of a repeated process. How often viewers look on in amazement as the master carpenter spent entire shows building a tool, thinking, "Must be nice. We don't have time or money for our project, let alone to build a tool for *doing* the project." What did Norm know that we missed? Was it simply that he had the luxury of time and money to invest in the construction of these tools? More likely he knew that the most efficient and effective way to achieve a clearly defined goal was through repeated implementation of a process that produced results matching a consistent standard. Put differently, he knew that the only way to efficiently cut pieces that met the project goals for quality and scale was to develop an automated process. He knew that a freestyle approach, one not guided by a consistent implementation standard would cost more time and money and produce inconsistent results. Thus, his cedar shakes lined up better; his crown molding fit together more tightly; his furniture was stronger and more mechanically efficient.

Norm Abrams, unlike the rest of us do-it-yourselfers, is a master carpenter. So in theory, he probably could have used a freestyle approach with more success than us. But, as a craftsman, he also no doubt realizes that while he *could* pull it off, it is more efficient and effective to

go for a more automated approach, capable of duplication with accuracy and consistency. So whereas a novice like me might think, "I don't need the assistance of a tool," experts like Norm think, "this will save me time and money and improve the consistency of my results." Thus, tools represent a standard procedure to guide implementation, thereby ensuring a consistent standard of output—true for an individual craftsman, but indispensable for any efforts to scale the process to many individuals representing a range of expertise. The end-game is ultimately about saving time and money and improving consistency of results.

In the *Smart & Good High Schools* report (Lickona & Davidson, 2005) we gathered and synthesized existing research, highlighting important theory and research findings and highlighting "promising practices." Our experience in the last three years has shown that establishing a convenience-fidelity proposition for enduring impact requires tools, strategies, and delivery methods that are much more specific, replicable, and tightly aligned to policy and mission, while still linked to a rigorous research base. The *Culture of Excellence and Ethics* tools and resources seek to bridge the gap between theory and research on the one hand and the reality of actual day-to-day implementation practices on the other hand. This discovery in our own work is supported in the work of Heath and Heath (2010) who argue that "what looks like resistance is often lack of



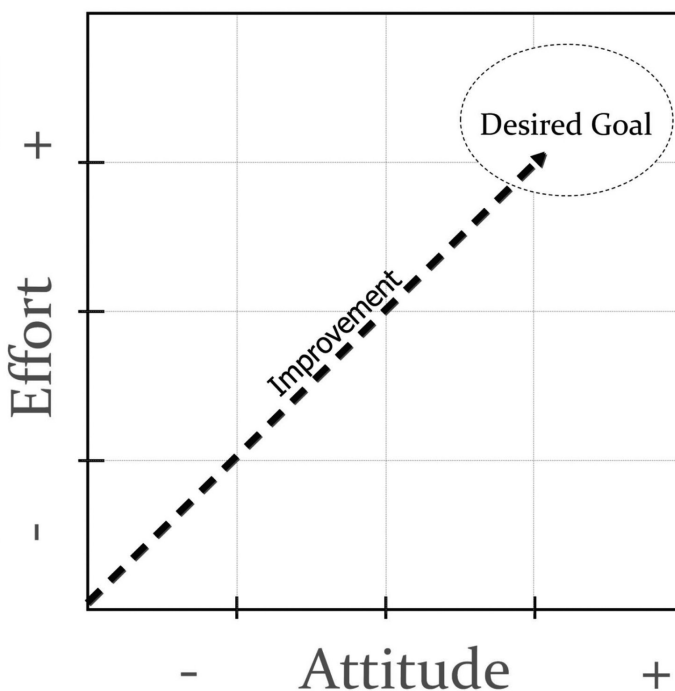© 2010-2011 Institute for Excellence & Ethics (IEE)

*Figure 4*

*Attitude–Effort–Improvement Rubric*

clarity" and that to get past so-called "resistance" or failure to change "crystal-clear direction" must be provided (p. 16-17). Theory and research must be distilled into teaching and learning tools that can be understood, remembered, and used—not exactly surprising. What was surprising was how much further refinement our tools needed to provide the "crystal-clear direction" required for sustainable, impactful implementation.

This lead to the creation of a battery of *Culture of Excellence & Ethics* Tools that compress the theoretical fidelity of the existing research into convenient (i.e., simple, concrete, memorable, action-oriented) norms for behavior. They provide "good enough heuristics" to guide behavior (Narvaez, 2006). For example, through our field research process we created a *Culture of Excellence & Ethics Attitude–Effort–Improvement rubric* (Figure 4).

Developed in alignment with the research base on achievement motivation and talent development (e.g., Dweck, 2006; Pink, 2009; Colvin, 2008; Ericsson et al., 2006), it provides what is simple (improvement in attitude + improvement in effort = improvement toward your desired goal) and memorable (defining the attitude and effort anchors in concrete, observable terms). It is simple, but not simplistic—and certainly not easy. Faithful use of this tool over time is required for it to become an operational cultural norm, and for those operating in that culture to develop the actual competencies. How long it takes for changes in character and culture obviously depends on the frequency, pervasiveness, and overall quality of the implementation practices. These "tools" provide implementation standards, intentional norms guiding action and reflection; consistent and pervasive operation according to these norms define a school's way (i.e., culture),

| Would my decision pass each of these tests? | Yes | No |
|---|---|---|
| **Golden Rule Test**: If the situation was reversed, is this how I would want to be treated? | | |
| **Fairness Test**: Is this fair to everybody involved in and affected by my actions? | | |
| **Truth Test**: Does this represent the whole truth—no distortions, omissions, or spin? | | |
| **Conscience Test**: Will I feel good about this afterwards (no regrets, no guilt)? | | |
| **Parent Test**: Will my parents be proud of this? | | |
| **Front-Page Test**: Would I want this reported on the front-page of the newspaper? | | |
| **Consequences Test**: Will this lead to positive consequences and avoid negative consequences now or in the future? | | |
| **What-If-Everybody-Did-This Test**: Would I want to live in a world where everybody did this? | | |
| **Guiding Beliefs Test**: Would this be supported by the philosophical, religious, political, and/or ideological worldviews guiding my life? | | |

*Figure 5*
*Integrity–in–Action Checklist*

which in term shapes the character of those operating according to that way. Or, as Narvaez states: "heuristics are intuitions built from repeated experiences which are retained in implicit memory systems" (2006, p. 12).

Our *Culture of Excellence & Ethics Integrity–in–Action Checklist* (Figure 5) is a second example demonstrating another tools for the intentional shaping of culture and character, this time focusing on ethical decision making—an important topic given the prevalence of cheating (c.f., McCabe, 2001; Callahan, 2004) and the pernicious way that cheating undermines the culture of excellence and ethics. Our *Culture of Excellence &*

*Ethics Integrity-in-Action Checklist* features nine dichotomous tests that provide a template for putting integrity in action.

In this case it required turning nine things to consider into nine dichotomous tests, and providing clear instructions about how to interpret the response set. This rubric provides another "good enough" heuristic to guide thinking and behavior, such that with consistent and pervasive use it becomes the organizational way, which shapes individual habits and behavior. It's simple and memorable; however, it's feasibility features don't guarantee organizational buy-in or impact. These come from pervasive delivery through stand-alone lessons/classes, and when integrated throughout the life of the organization (buy-in and impact also result from the balance of convenience and fidelity described below). These are just two of the more than fifty tools for building the culture of excellence and ethics that we have built and field-tested (including, for example, tools on constructive criticism, collaboration, communication, negotiation, leadership, and life-goals and purpose).

Scaffold now from the previous discussion of the role of tools for saving time, money, and ensuring the consistency of result to the challenge of helping organizations as they build an intentional culture of excellence and ethics. The *Culture of Excellence & Ethics* approach facilitates the shaping of the culture, as well as teaching and learning experiences, by providing teaching and learning tools and strategies that 1) help introduce the required skills in (a) stand-alone course and/or (b) integrated into normal activities; 2) allow instructors/leaders to continuously return to the practice of the skill/competency in an ongoing way (repeated practice over time) or in new and different contexts (repeated practice through application to different situations); 3) allow for continuous practice of the skill/competency; 4) can also be used by others in the organization to reinforce the practice of the skill/competency (guidance of practice by others). The *Culture of Excellence & Ethics* tools are designed to be used multiple times in multiple contexts by multiple stake-holders, resulting in intentional and pervasive practices that over time begin to characterize the school culture. For a teaching/learning framework to be adopted and sustained over time, it needs, in turn, to balance *convenience* and *fidelity* to match organizational need and capacity.

**4. Initiation, maintenance, and overall sustainability of intervention must be convenient.** Regardless of our belief in its overall importance to achieving an organization's goals, the development of character and culture must be understood as the catalyst to the core mission, not the core mission. To put it even more directly: the military does not exist to develop character and leadership; businesses don't exist to develop creativity and ingenuity; schools don't exist to develop ethical citizens. Implementation fidelity, sustainability, and enduring impact of efforts to develop character, leadership and culture are predicated on enhancing the core mission (i.e., they are instrumental for the mission, not the mission in themselves). Simply put, organizations that we serve want to know: how does the time and money spent on developing character and culture enhance the realization of performance goals? Do our students learn better if we teach them how to set

goals, communicate, collaborate, and demonstrate integrity and emotional intelligence? Will I spend less time stamping out problem behaviors, reactively responding to distractions, and improve my bottom line? Will we have stronger collegiality, trust, and respect? Will we outperform our resources? Will our teams perform better and win more? The essential buy-in results when individuals believe that the benefits of doing things a particular way outweigh cost of doing them another way (or not doing it at all).

Developing the culture and competencies of excellence and ethics needed for teaching and learning thus becomes our overriding focus when we work in the school context. Cooperation, communication, collaboration, negotiation, integrity, grit, work ethic, effort and attitude—these are needed for learning today, this afternoon, for this particular activity or context. A contextualized view allows us to approach each situation as having its own challenges and requisite skills. We simulate for the most common situations you will face in this specific context. Training you for good character and leadership generally is too amorphous to teach or learn—certainly to assess. A math teacher or science teacher must understand that teaching math well involves habits for learning—work ethic, attitude, effort, willingness to revise, give and receive feedback, etc. There is content knowledge to be gained, but also *how* you learn math develops habits of the mind, or character habits. You need both *for* learning; you will develop both *from* learning. A business leader must understand the context of their business as a challenge course and understand and develop the culture and competencies needed for success: communication,

coordination, negotiation, ability to balance short- and long-term goals. Organizations may recruit for ability matched to needs, but the culture must be designed to identify and develop organizational habits that in turn shape individual character and leadership habits. How do you get a well-rounded leader, or person of character? It's developed through situational experience in many different contexts. But pragmatically speaking the buy-in for the teacher, coach, or manager to spend time and attention on these habits is that it enhances the ease and consistency for meeting performance standards.

There are two important dimensions within our notion of convenience: theoretical convenience and practical convenience. *Theoretical convenience* is the extent to which programming is designed to support the core mission of the organization. The theoretical convenience of our approach in the school context is the programming's utility for meeting pressing student challenges (e.g., discipline problems, hard to reach students, etc.) and for addressing pressing policy requirements. For example, in a K-12 public school context, school administrators face acute pressure to link their school improvement plans to alignment and adherence with federal, state, and/or district policy requirements. These are priority issues for school administrators that are deemed worthy of time and money, since failure to demonstrate alignment and adherence to these requirements will result in lost economic support and other sanctions or consequences. School administrators, staff, students, and families are jointly impacted by the acute challenges that detract from teaching and learning: cheating, bullying, unsafe climate, disciplinary problems; lack of collegiality, trust, and professionalism; lack of parent participation and

support of learning at home and school. Focus on building shared norms and practices that combat these acute challenges is at the core of theoretical convenience of the tools and strategies we deliver. What makes it convenient is simply that energy and resources focused on developing character and culture has the potential to eradicate or diminish core organizational challenges, paving the way for enhanced realization of mission, goals, and objectives.

*Implementation convenience* means the total feasibility with which programming can be acquired and used. Implementation convenience represents a ratio of the following major elements: (a) financial cost and human/time cost, (e.g., to be trained, to prepare for delivery of lessons/materials, for actual delivery of lessons/materials, including management, etc.), relative to (b) time recovered (e.g., from better strategies for handling persistent problems, from better strategies and implementation guidance, etc.) and ease and satisfaction for stake-holders (e.g., easy to teach, useful and effective by implementers).

Adding, changing or revising organizational initiatives is commonplace in any organization. Every change, addition, or revision is initiated for its presumed value-add; however, as important for consideration is the associated (but often hidden) cost. This is especially true of new programs or mandates. There is often organizational cynicism around new initiatives, since they often arrive with great fanfare and at great cost of time and money, only to be replaced shortly thereafter with a new program or priority. New mandates and initiatives are also often viewed as knee-jerk, as motivated by

public relations, and response to crisis. On the other hand, new initiatives and mandates are often doomed before they begin due to insufficient conditions for success: insufficient money, time, leadership support and accountability, and stakeholder buy-in, to name a few. It has been said that every goal has a margin. Implementation convenience takes this truism to heart. It will take precious resources to build an intense and intentional culture of excellence and ethics—resources that come with a real cost to the organization. Therefore, efforts to develop the culture and competencies must not duplicate, distract, or conflict with core programs, goals, and objectives. The time and money proactively spent must be time and money saved from reactive response and from collateral damage to and/or distraction from the core organizational mission.

**5. Convenience must be balanced with theoretical & implementation fidelity.** Whereas convenience is often the prevailing concern at the implementation level (is it fast, flexible and easy to implement), concerns for fidelity are no less important. Who cares whether it's fast, flexible, and easy, if it's ineffective. Thus, concerns with convenience must be balanced with concerns for fidelity. *Theoretical fidelity* means that there is theoretical and empirical depth and rigor behind the approach, as well as behind each teaching and learning standard and strategy. Does a poster on the wall have theoretical fidelity? Not if it's a pretty picture and an inspirational motto, since there is no theoretical or empirical basis to suggest that slogans, mantras, and inspirational posters define culture or change character. But there is theoretical fidelity if that poster is a tool that, similar to the Attitude-Effort-Improvement Rubric, is linked to

the theory and science of achievement motivation and the development of expertise, and if that poster promotes replicable strategies that become consistently and pervasively used. Theoretical fidelity of our approach is enhanced through ongoing collection of formative feedback and a continuous cycle of continuous improvement to build tools that connect the most persistent challenges to the most effective research-based intervention strategies.

*Implementation fidelity* refers to the consistent and effective use of programming, including the following major elements: (1) frequency of use (e.g., how frequently are the tools used—generally, and in relation to the situations where the tool should/could be used); (2) pervasiveness (e.g., what percentage of stakeholders are using the tools and strategies); (3) quality (e.g., how close to its recommended or intended use is the tool actually being used). The framework strives to offer a convenience-fidelity proposition that leads to sustainability and enduring impact. The convenience-fidelity balance is achieved through flexible implementation approaches for delivery of the concrete teaching and learning tools.

## Summary

What does a balance of convenience-fidelity look like in action? A brief example: This past year a school contacted us and was looking for a professional development training day. Our plans for the day took shape by learning about their school improvement plan goals, and based on benchmark data they gathered from teachers and students using our *Culture of Excellence & Ethics Assessment* (Khmelkov et al., 2009). We then prepared and delivered a *Culture or Excellence Professional Development Toolkit* training built around several

of our research-based tools specifically targeted to their goals. According to the evaluations from the training, the participants really enjoyed the experience. While nice to hear positive response to the training itself, what truly matters is how often, in what situations, and with what frequency, quality and impact the participants use the tools and strategies on which they have been trained.

We returned several times throughout the year to this particular school and observed the tools and strategies being put in action, including the Effort-Attitude-Improvement rubric described above. "This school is on fire with the Attitude & Effort Rubric," said one administrator. Teachers across all grades are using the tools—with gifted students and struggling students; with students struggling socially and academically; with students but also with parents. And teachers are changing how they do business revisiting curriculum, assessment, grading, report cards and many other aspects of the culture. The staff are also using other culture shaping tools from their initial training (the Compact for Excellence Tool for shaping group norms and accountability, the Win-Win Negotiation Tool for more intentional conflict resolution, and the Two-Way Communication Tool for improved interpersonal communication, collaboration, and conflict management). So, a more helpful evaluation of the training day has emerged over time: most of the teachers are using nearly all of the tools they were trained on with nearly all of their students and parents. In short, they have changed how their organizational habits or norms, which in turn will begin to impact the individual character of those they serve. (The school currently has anecdotal evidence of impact on discipline

and academic enhancement; they also gathered formative data on implementation that will guide fidelity of implantation, and they have begun to gather outcome data that in the future will provide more rigorous over-time evidence of impact.) They also added additional professional development to add to their toolbox of intentional strategies and standards for strengthening other aspects of their organizational habits, and will continue to collect data to guide their organizational growth. In the spring following the professional development they collected data to bench.

A single day training is not a panacea. What really matters and has impact is what those trained do after the training and how intense, intentional, and pervasive those practices become. We recognize developing character and culture takes time and money and is not quick or easy. We recognize that more intense training, curriculum, coaching, and assessment would often be required. However, a framework that uses specific tools and strategies (i.e., implementation standards) to shape culture and develop competencies with conviction and intensity, intentionality, and consistency as described above, represents a "tech effect" (Maney, 2009) that makes the shaping of character and culture more efficient and effective than once believed possible. We are

in the process of developing more advanced use metrics, which will assist greatly in quantifying process of changing organizational habits (culture) and the resulting change in character and leadership competencies.

At this point in our work we believe we have built the framework and tools and have conducted a small-scale implementation with promising evidence of success indicating that individuals and organizations can successfully use the *Culture of Excellence & Ethics* framework, tools, and strategies toward the realization of a more intense and intentional culture of excellence and ethics. In the next phase of our work we will look to embark on a validation project featuring a medium-to-large scale implementation with more rigorous assessment to establish strong evidence of success. Having completed the validation phase, we will use the strong evidence of established success to undertake large-scale implementation. The completion of these three phases of work will signify the true realization of our goals of sustainability and enduring impact.

## References

Berger, R. (2003). *An ethic of excellence.* Portsmouth, NH: Heinemann.

Bloom, B. (1981). *All our children learning.* New York: McGraw-Hill.

Callahan, D. (2004). *The cheating culture: Why more Americans are doing wrong to get ahead.* New York: Harcourt.

Colvin, G. (2008). *Talent is overrated: what really separates world-class performers from everybody else.* New York, NY: Penguin.

Davidson, M.L., Lickona, T., & Khmelkov, V. (2008). Smart and good schools: a new paradigm for high school character education. In L. Nucci (Ed.), *Handbook of Moral and Character Education* (pp. 370-390). New York, NY: Routledge.

Dewey, J. (1938, 1998). *Experience and education: The 60th anniversary edition.* Indianapolis, IN: Kappa Delta Pi.

Dweck, C.S. (2006). *Mindset: the new psychology of success.* New York, NY: Ballantine Books.

Ericsson, K.A., Charness, N., Feltovich, P.J., & Hoffman, R.R. (2006). *The Cambridge handbook of expertise and expert performance.* New York, NY: Cambridge University Press.

Grant, G., (1985). "Schools that make an imprint: Creating a strong positive ethos" in J.H. Bunzel (Ed.), *Challenge to American Schools: The case for standards and values.* New York: Oxford University Press.

Green, T.F., (1984). *The formation of conscience in an age of technology.* NY: Syracuse University.

Heath, C., & Heath, D. (2010). *Switch: how to change things when change is hard.* New York, NY: Broadway Books.

Khmelkov, V.T., Davidson, M.L. & Lickona, T. (2009). *Culture of Excellence & Ethics Assessment (CEEA) survey for educators and students: version 4.2.*

Lickona, T. (1991). *Educating for character: how our schools can teach respect and responsibility.* New York, NY: Bantam.

Lickona, T, & Davidson, M.L. (2005). *Smart and good high schools: Integrating excellence and ethics for success in school, work, and beyond.* Cortland, NY: Center for the 4th & 5th Rs (Respect & Responsibility/Washington DC: Character Education Partnership.

K. (2009) *Trade-off: why some things catch on, and others don't.* New York, NY: Broadway Books.

McCabe, D. (2001). "Cheating: why students do it and how we can help them stop." *American Educator.*

Narvaez, D. (2006). Integrative Ethical Education. In M. Killen & J. Smetana (Eds.), Handbook of

Pink, D.H. (2009). *Drive: the surprising truth about what motivates us.* New York, NY: Riverhead Books.
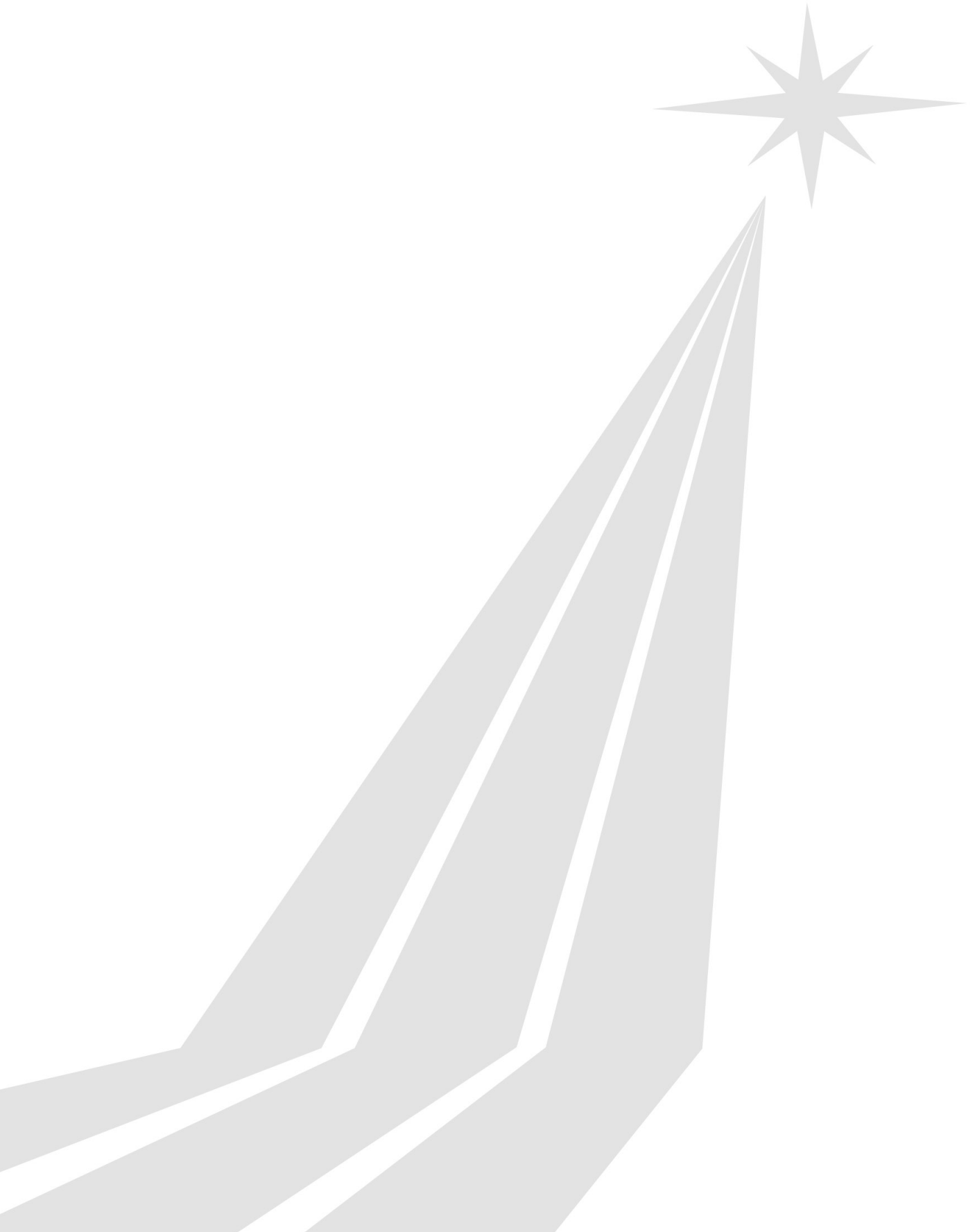
# Interview: Mr. Dennis Muilenburg

## CEO of Boeing Defense, Space and Security

The integration of character and leadership can be explored from an array of perspectives, including but not limited to military, academic, non-profit and business organizations. However, salient questions still remain: What is the intersection of character and leadership? How does the pressure to produce impact being a leader of character in the business world? Can character and leadership standards serve as a competitive advantage/disadvantage in business? Interviews with high-level leaders from a range of industries and fields may help to illuminate the practical implications of character and leadership. The following interview with Mr. Dennis Muilenburg, President and CEO of Boeing Defense, Space & Security, underscores his belief regarding the connection between character, leadership and business.

**JCLI INTERVIEWER:** First, can you describe Boeing's philosophy for how it develops value-based leaders?

**MR. MUILENBURG:** I would start by saying leadership is fundamental to everything that we do. It's engrained in how we do business, how we engage with our customers and it's an expectation we have of our people. As a part of that effort, we have established what we call six "leadership attributes" that apply across Boeing. One of those leadership attributes is "Lives the Boeing values." During training at our Boeing Leadership Center, we give particular emphasis to operating with integrity in everything we do. It speaks to creating an open and inclusive environment for our employees, one that promotes the right kind of dialogue, and it speaks to how we expect to engage with our customers. That's at the very core of what we are as a company. As a part of that effort we have annual Ethics Recommitment training when we, as an organization, recommit ourselves to integrity in our business and how we do our work. The effort also includes a Code of Conduct signing for all employees, which re-enforces the value-based approach to doing our jobs. If you take it to the bottom line, what resonates for me is we know we work on things that really matter, and, frankly, it's an honor for us to be able to work on things that

Dennis Muilenburg is president and chief executive officer of Boeing Defense, Space & Security and serves on the company's Executive Council. He has led this $32 billion, 66,000 person business unit — a provider of integrated solutions for defense, government, space, intelligence and security customers in the United States and around the world — since September 2009. Previously, Muilenburg, 47, served as president of Global Services & Support; vice president and general manager of Boeing Combat Systems; vice president of Programs & Engineering, Boeing Air Traffic Management; and director of Weapon Systems for the Boeing Joint Strike Fighter program. Born in Iowa, Muilenburg earned a bachelor's degree in aerospace engineering from Iowa State University and a master's degree in aeronautics and astronautics from the University of Washington. He is an Associate Fellow of the American Institute of Aeronautics and Astronautics (AIAA) and a Fellow of the Royal Aeronautical Society.

affect the globe, things that affect national security. We know our customers' lives depend on what we do, and that demands a certain level of excellence in how we do our business. So, to me, that link is really important. That's what drives us. That's what motivates our work force. That's what drives excellence in how we do our work, and it all ties back to values-based leadership.

JCLI: The idea of integrity is one that's obviously very important to us as well. Given the enormous political and financial pressures your company experiences in order to compete in the world marketplace, how do you ensure that your employees actually walk the values that you talk?

MR. MUILENBURG: We have high expectations for our team in terms of performance and what we deliver. We operate in a competitive marketplace. So first we have to be very open and honest with the fact that we do face a lot of competitive pressures, and that's something that can weigh on the minds of our employees. But there is a clear message that we give all of our employees: There is no compromise between performance and values. In other words, we don't expect performance at the sacrifice of values. Rather, it should be the other way around. We focus on values first and our commitment to leadership and in the end, that produces better results. It's very important that we communicate and demonstrate that message because you can imagine how, down on the factory floor or out in the field supporting products, our employees may be faced with decisions that imply, "If I could just gain a little bit of efficiency here or maybe just cut a small corner there, I can gain some competitive advantage."

JCLI: So how do you deal with that?

MR. MUILENBURG: Our clear message is that is not the way we operate. We have made high integrity in decision-making a top priority, and we believe that produces better results in the long run. Ultimately, operating with the utmost integrity will help us perform better and make us better competitors. We promote the idea that performance and competitive progress follows high-integrity decisions, rather than being a compromise between the two. I think that's the key. We try to be consistent no matter where we are. We have a set of values that always apply; there is never a substitute for making the right decision. This idea goes to the a core of how we operate; no matter how the environment might be changing, no matter how many pressures we face, that there is simply no substitute for operating with the utmost integrity. Given where technology has gone and the connectedness of our work force, plus the fact that as changes occur around the world they are instantaneously known, we are faced with an even more complex set of decisions and environmental factors that influence our business in more complicated ways than ever before. As a consequence, this dynamic has caused us to redouble our investment in leadership and integrity in how we do our business. Over time, as complexity, information and technology continue to play a central role in our business, this puts a higher premium on making good decisions. Given these factors, making decisions that compromise our organizational integrity would have negative long-lasting effects on our bottom line.

**JCLI:** Your comment is consistent with a book entitled Integrity Divided, by Tony Simons, that addresses the issue to which you are referring. He has actually measured those negative effects in certain environments and the literal cost of people perceiving that you don't live according to your values.

**MR. MUILENBURG:** When you have a reputation for operating with integrity, it can turn into a competitive advantage in the market place. I believe that reinforces the right kind of behavior. Conversely, if you are not exhibiting that integrity, you could very quickly lose your reputation. As we all know, it takes much longer to rebuild a lost reputation, so that further reinforces the advantage of working with the utmost integrity. When you combine that with the nature of our business, where lives depend on what we do, that's a mutually re-enforcing point about the value of integrity.

**JCLI:** Shifting gears a little bit into you engaging with your people. If you were to mentor a young, rising manager or leader, what character or values-related guidance would you pass on to him or her?

**MR. MUILENBURG:** I have the opportunity to have those discussions frequently. One of the business strategies that we talk about a lot is what I call "people first," which recognizes that the most important thing leaders can do – the area of greatest multiplying effect – is to invest in our people. That speaks to how we invest in leadership, how we mentor, how we encourage the right kind of development, and ultimately, how we hope they engage in the right kind of value system among our leaders. I remind the folks I'm mentoring of that very point; just as someone has invested in them, they need to think about what they are doing to invest in their teams. As a leader, that's a very important responsibility. Also as a leader, the one thing you have that's more valuable than any other is your integrity. Your character – and being able to lead with character and integrity – is fundamentally important because it's what builds trust in an organization. Especially in a business that's as tough as ours: we face a lot of decisions that have significant consequences.

It is important that the trust factor is present if you want to operate in a global business, You may not be face-to-face with your people, so you are going to have to rely on their reputation and the fact that regardless of where you are your people are going to act with integrity. So, as a leader, you need to set that standard, you need to demonstrate integrity in how you work every day, and that's what allows you to build the trust factor in these large global organizations. Fundamental success as a leader is to have that reputation of integrity.

**JCLI:** In that mentorship relationship, feedback is obviously critical. Yet, there is a term in the management literature called "The CEO Disease" whereby the higher up you get, the less likely you are to get honest feedback. How do you ensure that you receive honest and critical feedback?

**MR. MUILENBURG:** You know, I've noticed that particular phenomenon or the opportunity for that to occur. So the other thing that I find really refreshing – in addition to mentoring direct-reports and people at a higher level of the organization -- is mentoring our first-line leaders and, in some cases, high-potential individuals who are just coming into the company. These are what I

call "multiple-skip-level" mentoring relationships. At least some part of the answer to your question is embedded in your leadership style. Just to give you one example, a couple of years ago, I started a blog as a communication tool within my organization. Not at that point a very traditional thing for a CEO to do, and perhaps becoming more en vogue today, but it was still somewhat unusual at that time. The reason I started the blog was because of some reverse-mentoring that I had gotten from a recent entry to our company on how we could improve communications. That blog mechanism has turned out to be a wonderful tool for getting open and honest feedback from across the work force. The ability to engage in a social network seems to provide a level of additional honesty where people are willing to share thoughts and ideas regardless of whether those ideas are positive or negative, and there's really no substitute for getting open and honest feedback. And that goes back to this "integrity" topic. As a CEO or leader at any level, are you creating an environment where people are willing to raise issues and ask for help? Are you creating an environment where people are willing to say, "I don't think that's right," or, "I think there is a better way of doing this"? There is a lot of power in an organization that's willing to be honest with itself and willing to offer better ways of doing things and creating an environment where that kind of open conversation happens.

JCLI: With regard to honest feedback, at your recent speech at the National Character & Leadership Symposium, you mentioned a six-year project for which you were the lead , that did not turn out as you had hoped, despite all the time and emotion that had been invested. Obviously, you have done very well since that time; therefore, you've responded in a way that was note-worthy and positive. So, what do you think it takes for someone to bounce back or be resilient from a setback like that in a way that demonstrates character and leadership potential?
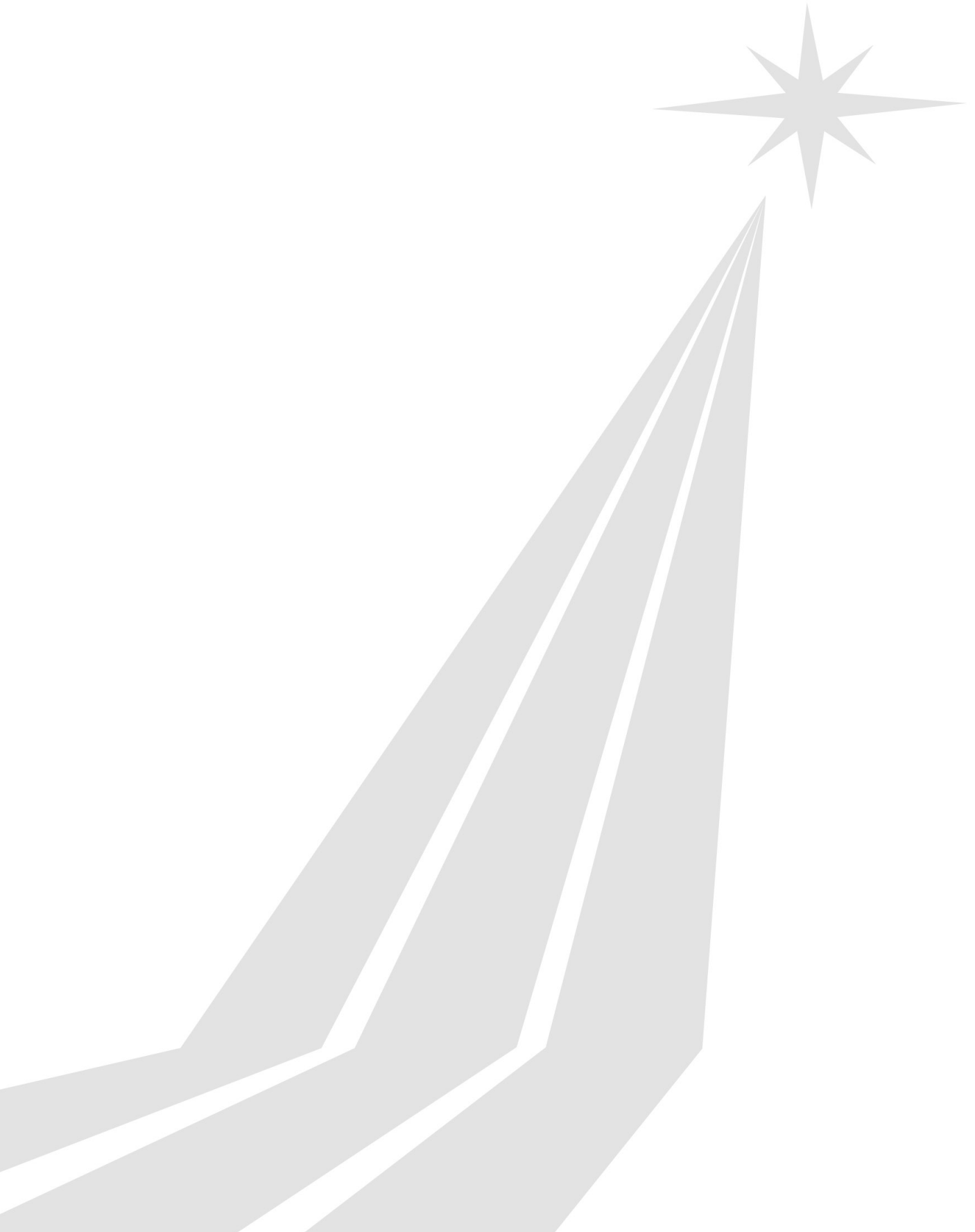
MR. MUILENBURG: I think part of it is that we learn a lot from our failures. It's important, as a leader, that you be willing to stretch far enough that you will at times fail. Of course, as we all know, it's difficult to be a leader and to advance if you are continuously failing. But I think it's good to stretch as a leader and as an individual so that you find and then expand your boundaries. That includes the willingness to take some appropriate risk and at times fail, as long as you are willing to learn from those failures and, as a result, change your approach. That's something I've enjoyed throughout my career. It requires a certain level of balance, but it also gets to the point of how you coach your team -- setting your teams up so that they can exceed expectations, they can achieve more than what they originally thought they might be able to achieve, and creating an environment where appropriate risk-taking is encouraged. When it doesn't turn out as planned, you have an approach for capturing lessons learned and using that to grow as a team and leader, and you build in honest feedback cycles. So part of it gets back to one's leadership approach and the idea that we shouldn't assume we know everything or that we are going to do everything perfectly. Part of being a good leader and is being a good learner.

## Conclusion/Future Considerations

*This interview suggests that not only are character and leadership important elements of business success, but they may actually become a potential source of competitive advantage. This interview both connects the topics of character, leadership and business, while clearly addressing some areas where there are possible conflicts.*

*No one interview, research study, or article can conclusively or comprehensively answer all the questions relevant to character and leadership. It is important that the effort to understand and the discourse continuously move forward in a way that is open, critical, and relevant. Mr. Muilenburg's interview simultaneously extends our conception, while also raising questions for future consideration. How are character and leadership internally developed? Furthermore, is this something that can be nurtured by supportive environmental factors? If so, what are they, and how do we manage and develop them?*

# A 'Chance' Study in Moral Reasoning and Moral Development ▯ A Case for Self▯Aware▯ness

Joe Doty

## Abstract

Individuals cannot morally reason if they are not morally aware, and they will not be morally aware if they are not self-aware. Self-awareness is the conscious ability to habitually monitor one's thoughts, feelings, and emotions. Practicing self-awareness is an intentional and conscious process—it does not just happen. Therefore, character development programs need to first focus on self-awareness and meta-cognition to improve the ability of students to morally reason.

As a member of the faculty at a leading ethical and leader development college in the United States, I had the opportunity to mentor five students (all male, ages ranging from 19 to 24) who had been caught violating the school's honor code or had been disciplined for gross misconduct. Two of the students had each been caught copying another student's paper or lab report, one had been caught lying to cover up misconduct, and two were disciplined for misconduct in terms of gross disrespect for others. Each of the five had been remanded to the college's honor/respect mentorship program. The results and outcomes from these mentorship experiences provide valuable insights and lessons for ethical and leader developers and programs; the most important being that initial focus must be on self-awareness.

For the purpose of this study, self-awareness is defined as intentionally and habitually monitoring one's thoughts, feelings, and emotions. Meta-cognition (thinking about what you are thinking about and why you are thinking that way) is the thinking part of self-awareness, as opposed to the affective and emotional aspects of self-awareness. Also, for the purpose of this study, if an individual is being "cognitively aware," they are practicing the thinking part of self-awareness.

Joe Doty, PhD, is a retired Army officer currently working as leadership and ethics consultant. Joe is a graduate of the U.S. Military Academy, West Point NY, and served in both educational and leadership positions during his 28 years in the Army ▯ to include battalion level command. Prior to his military retirement he served as the Deputy Director of the Center for the Army Profession and Ethic (CAPE).

## Background

In the mid-1990s, this college, which over the past few years has been ranked as one of the top schools in America by *U.S. News and World Report* and *Forbes*, instituted a developmental mentor program to remediate students who have committed ethical transgressions (as defined by the institution). The remedial program is a four- to six-month immersion experience, requires one-on-one mentoring with a faculty member, and mandates that the student complete several written and/or oral requirements requiring reflection and service as they relate to the student's transgression (i.e., integrity, respect, drugs/alcohol). This program has been quite successful, with 80% of the students participating reporting a higher level of understanding of the importance of ethics, ethical reasoning, and a commitment to act ethically (Office of Institutional Research, 2010). Additionally and anecdotally, the mentors reported qualitative developmental changes in the students in personal conversations from 2007-2010.

Besides approaching my mentorship responsibilities from a solely rehabilitative standpoint, I decided to approach my duty from an educational and learning perspective to better understand the why and how in each student's case: why they did what they did, what they were thinking, and what their decision-making process was. Interestingly, three of the five students were seniors (and a freshman and a sophomore) and therefore had been exposed to and experienced the institution's ethical leadership development program for at least three years. Of note, when considering disciplinary consequences for ethical transgressions, in most cases the college's administration is harder on seniors than on freshmen because the seniors are expected to have matured, learned, developed, and internalized the values of the institution more holistically than have freshmen or sophomores. However, each case is adjudicated on its own merits, and students from all years can be, and often are, dismissed from the college.

The goal from these five mentorship experiences was to understand for each student "*What were you thinking (or what was your reasoning) when your actions resulted in unethical behavior?*"—the research question.

After several months, challenging, reflective, and emotional sessions with each student revealed that the surprising answer in each of the five cases was the same—"I was not thinking, I was just doing." This is a powerful statement (result) and one that those interested in character and leader development should not take lightly. An analysis of this reflective statement, which, interestingly, came from all five students, provides important insights for research in character and leader development and moral reasoning.

## Methodology

The methodology used to analyze each case included

1. Initially, get to know the students on a personal level and slowly develop trust. Non-attribution was the key to developing trust and the initial goal of each mentoring session. Complete trust was accomplished by creating a non-threatening, almost "peer-to-peer" relationship with each mentee. Each session was a conversation rather than a dialogue or lecture. At times the language and topics were raw, but they were real, emotional, and significant in

the lives of the students. Additionally, I shared my own weaknesses and vulnerabilities with the students to help develop a trusting and collaborative environment. Each session was a "we" session, not an "I" (superior) and "you" (subordinate) session. It was important that the student and mentor were learning from each other, which we were.

2. At times, long bouts of silence were okay. Quiet reflections are invaluable and often successful for development and learning (Schön, 1983).

3. After establishing a high level of trust—I knew I had it when the students started sharing things with me that they clearly would not share with other faculty members—I methodically had each student go back in time and visualize the who, what, where, and (most importantly) why of their ethical failure. This included having each student create on a white-board a decision flow-chart to visualize exactly what they were thinking and when they were thinking it. In each case, I also had the students go back and talk to any students who were with them at the time of the incident to help them re-create and re-live what they were thinking, feeling, and doing.

In all five cases, the result was the same: "I was not thinking about it, I was just doing it." The rightness and/or wrongness of what they were doing was never an issue because a conscious and cognitive decision-making process did not occur. They simply were not thinking in those terms. In each case, there was a complete lack of moral awareness. Arguably, the students did not make unethical decisions because, in their minds, they were not making any decisions; they were just doing (or as

one of the five said, "It is simply what we do"). Their behaviors were unethical, and yet accountability and responsibility for those behaviors was totally ignored or not considered. Each student showed deep remorse for their actions subsequent to being caught and throughout the mentoring sessions. A common saying among them was "How could I have been so stupid? I just wasn't thinking."

The conclusion in each of the five cases from the perspective of the students was "I [the student] was not thinking there was a moral component to what I was doing because I was not thinking about what I was doing. I was just doing it."

Many at this point may say this conclusion ("I wasn't thinking") is really just a "cop-out" or an avoidance response by each student. Or perhaps each student did not want to admit they intentionally and consciously made the wrong choice because it would cast a negative light on their character. Perhaps. This appears to be a case of one of the following:

• "I wasn't thinking,"

• "I simply can't remember,"

• "I don't want to remember,"

• "I don't want you to think about how bad my actions were" (it is too embarrassing),

• "I don't want to own this decision or the process I used to make it," or

• The students were simply lying to me during the mentoring sessions.

In four of the five cases it is possible that the students simply could not remember what they were thinking at that time. It is not possible in one of the cases because this incident had literally just ended and had been going on for a few months. However, if it were really true that they could not remember what they were thinking at the time of the transgression, then that is an argument for the conclusion that they were not thinking about it at the time. A person cannot remember something that did not happen (if I did not go to the store yesterday, then I cannot remember going).

This analysis of students' thought processes may not be as dichotomous as it appears to be—either the students were completely morally aware of what they were doing or completely unaware morally. The reality is probably somewhere between these two extremes. However, in all five cases, the students did not remember any thoughts (being morally aware) or even being conscious of ethical decision-making or consequences of their decisions (they were not practicing self-awareness or being self-aware). They simply did not remember thinking about what they were doing when they were doing it.

Another plausible hypothesis to explain these students' lack of thinking (or remembering what they were thinking) is that they have placed this painful and emotional event in the deep recesses of their memory or have selectively forgotten. The experience is too painful to remember, so they have removed it from their consciousness. While this explanation is certainly possible, it is doubtful (in all five cases) because of the trust and non-attribution climate established between each student and me. As noted earlier, all five of the students shared vignettes and experiences (some ethical, some unethical) with me that they clearly would not have shared with other faculty members who they could not completely trust.

*When and how do individuals operate in moral vacuums?*

Are these five students simply outliers, and should the results of this study be discarded? That would not be wise. After working with these five young adults and reflecting over the past few years, it appears that character and leadership education programs need to focus more on teaching and developing self-awareness and meta-cognition. People cannot be morally aware or morally reason if they are not self-aware or cognitively aware.

## Literature Review and Analysis in relation to this Study

Much of the literature in this area focuses on moral reasoning, moral development, ethical/moral decision-making, and the moral self. Psychological constructs such as moral efficacy, moral identity, moral agency, and moral ownership help to describe the cognitive and affective processes that lead to and influence moral reasoning and moral behavior (Aquino & Reed, 2002; Avolio, 2005; Bandura, 1997; Butterfield, Trevino, & Weaver, 2000; Zhu, 2008). For example, moral ownership and moral identity are linked to moral behavior because individuals own their behaviors and own who they are (Kohlberg & Candee, 1984). If individuals have a high sense of their moral being and take ownership of their moral self, they are more likely to behave morally. When individuals possess and/or use these psychological processes,

it is hypothesized that they have some level of habitual consciousness of their moral selves. However, using these cognitive moral resources and constructs presupposes that individuals have a certain level of self-awareness and are conscious of and think about their moral self and moral decision-making. In some cases that may be true; in others it may not be (Godwin, 2008; Jordan, 2005, 2009; Langer, 1978). Most people are not born being self-aware.

The research on moral awareness is informed by social cognition theory (Bandura, 1986; Fiske & Taylor, 1991), which suggests that individuals encode and process stimuli and information based on what they pay attention to and are consciously aware of. Individuals may or may not use (process) incoming information based on its contextual relevance, novelty, accessibility, and understanding. For example, if I were thinking about how to plagiarize portions of a term paper (a moral/ethical decision) and heard on the radio that it was going to snow tomorrow or that Spain won the World Cup, I would not pay attention to that information because it is not relevant to my plan. However, if I found out from my teammate (whose paper I plan to copy) that he received a failing grade on his paper, that information would be relevant to my decision.

James Rest's model (Rest, 1986; Rest, Narvaez, Bebeau, & Thoma; 2000), which begins with moral awareness, appears to be applicable, due to what appears to be a complete lack of moral awareness in each of these students.

**Moral Awareness**
↓
**Moral Evaluation**
↓
**Moral Intention**
↓
**Moral Behavior**
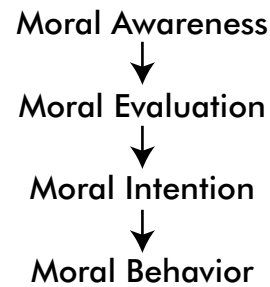
Rest's Four-Component Model of Moral Action addresses the decision-making process involved in moral actions. His components are processes, not traits, and his model serves as a way to analyze how a course of action was produced:

- Interpretation (moral sensitivity): analyze courses of action and the outcomes,

- Judgment (moral reasoning/judgment): formulation of a moral course of action,

- Choice (moral motivation): situational influences and cost–benefit analysis, and

- Implementation (character): the choice in action.

Rest's work on moral awareness and moral sensitivity describe an individual's ability to detect whether a decision involves moral stimuli (Bebeau, 1994; Clarkburn, 2002). However, here I argue that many more decisions have a moral component (thus priming or requiring moral stimuli) than most people realize—even when we do not think they do. *For the purpose of this paper, moral and ethical situations include both universally accepted and appropriate behaviors and values/virtues, as well as cultural norms as to what is "the right or wrong thing to do."* Am I courteous to a waiter? How attentively do I listen to others? Do I say "thank you" when someone helps me? Is it okay to cheat in a friendly

card game or board game? How do I respond to road rage? How do I respond if someone cuts me off in the grocery checkout line? Is trash-talking okay in a sporting context? How one responds to any of these decisions (and many others) is not black-and-white or necessarily right or wrong. If one takes a more holistic view of the moral components that can be associated with many seemingly mundane decisions and tasks, they can and will find some moral components to them.

Being cognizant of moral aspects in day-to-day life requires a level of consciousness and cognition leading to moral complexity, moral imagination (Pardales, 2002; Werhane, 1999), and moral sensitivity (Bebeau, 1994; Sparks & Hunt, 1998). These constructs describe the ability to analyze or see events from many different perspectives or lenses (e.g. rules, outcomes, and values). Butterfield, Trevino, and Weaver (2000) examined "whether an individual in an organization would recognize the moral nature of an ethically ambiguous situation" (p. 982). This was an attempt to measure moral complexity, moral imagination, or moral sensitivity, with the hypothesis being that individuals would think differently if they recognized the moral components in different vignettes. They found that when *ethically primed*, individuals have an increased level of moral awareness. Conversely, Jordan's (2009) results showed that often when individuals are immersed in the day-to-day reality of work, they have a decreased level of moral awareness. Additionally, the moral intensity (issue framing, magnitude of consequences, competitive context, temporal immediacy, proximity, probability of effect, and concentration of effect) of an event has been found to increase one's moral awareness (Jones, 1991)—assuming the individual is conscious of and attends to the components of moral intensity.

The key point is that people, old and young, often do not realize (are not consciously aware) that there is a moral component to many of the more mundane aspects of life, as opposed to the clearly unethical behaviors of these students (cheating on exams, plagiarism, and gross disrespect to others). Therefore, to increase moral sensitivity and moral awareness, we must first increase self-awareness. To accomplish this, individuals must be taught how to develop habits to consciously think about what they are thinking about and reflectively reason about what they are doing. *Individuals cannot be morally aware if they are not cognizant of what they are thinking and doing (they are simply "going through the motions")—they are not self-aware.* However, individuals can be self-aware (cognizant of what they are thinking and doing) and *not* be morally aware (stage one of the Rest model). It appears that a step (self-awareness) may be missing from Rest's model:



*Figure 1*

*Rest's Model with Self-Awareness as an Antecedent to Moral Awareness*

Other research has challenged ethical decision-making models and assumptions and acknowledged that people often do not recognize a moral issue when faced with one (Reynolds, 2006). Even driving a car has a moral component to it because of the dangers associated with car accidents both for oneself and for others. We certainly want drivers to be thinking about what they are doing (e.g. monitoring their speed and monitoring what is to their front and sides and behind them) and not thinking about something other than driving (e.g. day dreaming, thinking about their weekend plans, or thinking about problems at work). Again, simply being self-aware is necessary but not sufficient for having moral awareness. As the Rest model suggests, being morally aware is necessary but not sufficient to behaving morally.

From a developmental perspective, the historical works of Piaget, Kohlberg, and Kegan inform the research on moral reasoning. Piaget (1965) concluded that children go through a step-by-step process of subconscious and cognitive progression in their moral development. They pass through different hierarchical stages of moral reasoning/development, each building on previous knowledge and experiences and thereby becoming more morally complex.

Kohlberg's (1981) cognitive developmental approach to moral reasoning built on the work of Piaget. Kohlberg also described individuals as passing from one developmental stage to the next and viewed children as little developing philosophers who constructed meaning in their own world based on their knowledge and experiences. As with Piaget, Kohlberg saw moral behavior in terms of justice, or

attempting to discover what was most fair.

The starting point for Kohlberg's and Rest's research (Rest's was primarily with the Defining Issues Test) was cognition (Rest, Narvaez, Bebeau, & Thoma, 2000). In reality, all research on moral reasoning starts with cognition. To reason (morally or otherwise) requires thought. The depth, complexity, and completeness of the thought determine the quality of the reasoning process.

Kegan, (1982) as did Piaget and Kohlberg, saw individuals moving from one stage to another but also moving in and out of stages. As individuals develop, they become more sophisticated in their cognitive processes and can challenge their own perspectives and assumptions. Developmentally, their focus can shift from themselves to others (relationships), and eventually to some level of self-authoring who they really are. Kegan's theory operates on the basis of what he describes as a "subject–object distinction." He uses this term to describe one's increasing ability to take more sophisticated and holistic perspectives on *one's own thinking*.

Piaget's, Kohlberg's, and Kegan's work focused on development from a cognitive perspective. As individuals move through stages of development, they can become more objective and sophisticated about perceptions, assumptions (challenging mental models), feelings, or attitudes—they are becoming wiser. It is important for this study, however, when, how, and *even if* an individual is using this newly developed wisdom. For example, an individual can *possess* the cognitive resources to morally analyze a situation, but if they are not self-aware (or morally aware), they may never use the

capacity. In the case of these five students, this may have been the case.

Bandura's (1999, 1997, 1986) work is also applicable to this study, as he purports that individuals who view themselves as strong moral actors will then behave accordingly. But what if individuals do not view themselves this way or, more simplistically, do not even think about such things? Scholars and educators often assume that other people are as sophisticated in their thinking as they are ("mirror imaging"). Again, this may not be the case.

Bandura's construct of moral disengagement (Bandura, 1999) may inform and help explain the "non-thinking" of these students. Moral disengagement describes how an individual disengages from moral reasoning (stops thinking about it) and can act immorally without hurting their self-image—a classic case of self-deception. Moral disengagement is often a by-product of a person being physically, mentally, and emotionally exhausted. High performing and competitive students in highly competitive colleges (for example, Ivy League colleges) could fall into this category. These five students, all very competitive, appear to be classic cases, as described by Bandura, of having a complete lack of psychological ownership. But the question remains whether they consciously and intentionally disengaged (or self-deceived) or simply lacked self-awareness and thus moral awareness.

The self-deception or self-distraction (Bandura, 1997) literature indicates that individuals may use different strategies to rationalize their unethical behavior while still seeing themselves as upholding moral principles (Tenbrunsel, Diekmann, Wade-

Benzoni, & Bazerman, 2010; Tenbrunsel & Messick, 2004). Some of these strategies include

- "This is just a short-term issue/problem I need to solve,"

- "There is no other way,"

- "The ends justify the means,"

- "I am not the main player in this situation," and

- Misremembering.

The self-deception literature is also informed by research on moral hypocrisy (Batson, Thompson, & Chen, 2002; Naso, 2007). Moral hypocrisy is a form of rationalization where individuals explain to themselves (through self-talk) why they are doing something unethical (or wrong). This explanation makes them feel good about themselves and often suppresses feelings of guilt or shame. "In hypocrisy, discrepancies are disavowed and rationalized, and beliefs altered to accommodate immoral action" (Naso, 2007, p. 123). The individual's positive self-image remains intact as a result of the self-deception or their "memory revision" (Tenbrunsel et al., 2010, p. 163). Again, each of these self-deception strategies *assumes* the actor is making a conscious decision.

Research also suggests that individuals may disassociate themselves from their behaviors by cognitively comparing what they are going to do with what would happen if they did not do it—a cost/benefit analysis (Aquino & Reed, 2002; Aquino, Reed, Thau, & Freeman, 2007). This research shows that if an individual has a high moral concept, or if their moral self is cognitively

primed, they are less likely to morally disengage. However, as mentioned earlier, priming a subject's moral awareness for research or assuming an individual has, or even thinks about having, a high moral concept is much different than expecting a 24-year-old college student to *think about their moral self* while stressing about a term paper due in four hours or trying not to succumb to peer pressure about unethical behavior at 3:00 AM while at a fraternity party. A student can see himself or herself as a morally sound person (possessing moral identity and moral efficacy), but if he or she does not *think before acting (by being self-aware)*, he or she may act in an unethical way.

Haidt's (2001) social intuition approach to moral decision making challenges cognitive and conscious approaches by purporting that individuals often just go with their "gut feeling" on whether something is right or wrong and then try to explain or rationalize why they had that feeling. Haidt believes that "moral intuition is a kind of cognition but not a kind of reasoning" (p. 814) and that reasoning and explanation take place after the behavior, rather than influencing the behavior. Seiler, Fischer, and Ooi (2010) concur with Haidt and present a moral decision-making model that starts with "once a moral conflict is perceived" (p. 493); this appears to be synonymous with moral awareness. The model includes moral perception, intuition, and reason. One's moral intuition results from a combination of cultural and social developmental experiences that inform the moral self, moral identity, and moral framework. Important for this study is that the cognitive, conscious or unconscious, and intentional aspects of intuition require some level of self-awareness.

The construct of routinization may also help to explain the "non-thinking." If certain behaviors become routine (habitual), like a professional athlete taking performance-enhancing drugs, young people "sexting," or teenagers sneaking into four movies at the theater after paying for only one, then one's thoughts of the ethicality of the behaviors are no longer conscious thoughts. "It is just what we do," as some students have said. Additionally, if a person has already decided he or she is going to do something, the thought simply matches the deed.

Langer and colleagues (1978) described a lack of conscious awareness as "mindlessness": not using all available information in decision making. They argue that some behaviors become so routine that they are "performed automatically" (p. 36). Individuals may cognitively *possess* the capability for moral awareness but may not use this capability in a current (and perhaps stressful) situation. Or as summarized by Bargh (1984), "when people exert little conscious effort in examining their environment, they are at the mercy of automatically produced interpretations" (p. 35). This "mindlessness" and automaticity of behaviors is the most probable explanation for these students' lack of consciousness and behaviors.

## Discussion, Limitations, and Recommendations

If students have not been taught how to be self-aware, can they be expected to be self-aware? The same point applies to self-control, self-management, and self-regulation. People cannot effectively and habitually manage their emotions if they are not taught how to do it (what it "feels" like) and given the time to practice. These are learned skills; in most cases, they do not just happen.

More research and pedagogy needs to focus on the gap between thinking, knowing, and doing—which centers on the constructs of self-awareness, meta-cognition, self-regulation, moral awareness, moral intention, moral courage, moral agency, moral ownership, and moral behavior. One recommendation for future research is to focus *less* on the psychological *moral* constructs and more on generic cognition ("What are/were you thinking?"), as this will more effectively inform leader/character development programs in terms of self-awareness. For example:

- Ask students in a fast food or grocery checkout line what they are thinking about and why they are thinking that way,

- Ask an athlete sitting on the sidelines during a game what they are thinking about and why,

- Ask students at fraternity/sorority parties what they are thinking about and why,

- Ask a student walking (not staggering) out of a pub at 3:00 AM what they are thinking about and why, or

- Ask a student who their favorite sports team is and then ask them to explain why.

All these examples seem mundane because they *are purposefully mundane*. However, the answers to these questions, especially the "why" portion, will result in a deeper thought process (thinking about what one is thinking about), which can inform the individual's self-awareness. Of course, it is not as simple as this. Much more time, practice, and guided reflection are required with a goal of making the monitoring of one's thoughts, feelings, and emotions habitual and intentional (self-awareness). A pattern of practicing reflective thinking will be a starting point for building curriculum and pedagogy in self-awareness, which can then help to inform moral awareness and moral development pedagogy. Additionally, and depending on the research question, *any* kind of moral priming in moral/ethical research should be considered a limitation to the research.

Another recommendation of how to develop or enhance self-awareness is based on the ongoing Comprehensive Soldier Fitness (CSF) project between the University of Pennsylvania and the U.S. Army (Casey, 2011; Cornum, Matthews, & Seligman, 2011). These two organizations have synergized to build a program to enhance resilience in soldiers and their families. A significant portion of the project stems from UPENN's positive psychology department and attempts to teach emotion regulation, impulse control, and causal analysis. These three skills are classic examples of self-awareness and self-regulation. For example, the "ABC" (activation event, belief, and consequences), "avoid thinking traps" (errors in thinking), and "detect icebergs" (deep seeded mental models) skills literally teach a student how to practice self-awareness and self-regulation (Reivich & Shatte, 2002).

Recently, some colleges have initiated programs to help students think about and develop their "spirit"—who they are as a person and what they truly value (Chickering, Dalton, & Stamm, 2006; Pargament & Sweeney, 2011). Programs such as these encourage students to keep daily journals and to think and write about constructs (sense of agency,

self-awareness, social awareness, self-regulation, self-motivation, values, beliefs, and vision) that they purport to develop their "spirit" (Sweeney, Hannah, Snider, 2008). For example:

- What is your purpose in life?

- What provides your life with purpose and meaning?

- What are your priorities in life?

Answering questions such as these is a step in the right direction in teaching and developing self-awareness. Again, the goal must be for these practices to be *intentional and habitual*.

The exploratory methodology used with these five students presents limitations and challenges. Firstly, a sample size of five presents issues of reliability and whether the results ("non-thinking") can be generalized across other age groups and populations. What is unique about the sample size is that the result was *not* hypothesized—it was discovered. As noted earlier, this surprising result (all five students recalling that they were not thinking about what they were doing, they were just "doing it") materialized during the process. *Numerous* alternative possibilities and explanations were available, as discussed in the review of literature section, but none surfaced. Additionally, the potential for selective perception, inferences, and assumptions, resulting in researcher bias, was present—although arguably, there was little bias, as each mentoring session was "discovery learning" (I did not know what I did not know, and I did not have an educated guess as to what the answers to my research questions were).

Although the five students in this study may (if asked) view themselves as moral people, clearly their moral codes or senses of moral selves did not guide them at the time they were doing wrong. If these students had taken a "moral identity test" asking them to rate themselves, they surely would have rated themselves highly because most students, especially at this college, view themselves as having high moral character. In fact, the college's office of institutional research annually conducts studies, which show that the vast majority of its students consider themselves to be of high character and morally sound (Office of Institutional Research, 2010).

## Conclusion

The research (Bandura, 1999, 1997; Batson, Thompson, & Chen; 2002; Naso, 2007; Tenbrunsel et al., 2010) suggests that individuals often psychologically and morally disassociate themselves from their behaviors or are simply not morally aware (Bargh, 1984; Godwin, 2008; Jordan, 2009, 2005; Langer, Blank, & Chanowitz, 1978). Therefore, how can those who help develop character and ethical leadership use this research to inform their curriculum, pedagogy, and programs? The results from this study suggest that those involved in character development programs (especially for young adults) may need to initially emphasize *self-awareness and meta-cognition before moral reasoning, moral education, and moral decision making*.

Perhaps in this age of incredible opportunities to multi-task—Facebook, Instant Messaging, texting, tweeting, YouTube, iPods, iPads, homework, cell phones, etc. —our young people are being socialized to not be cognizant of what they are

doing (lacking in self-awareness). As purported by William Deresiewicz in October 2009 in a speech at the United States Military Academy, "multitasking, in short, is not only not thinking, it impairs your ability to think." Some young adults may be acting unethically without consequences and without thinking for extended periods of time, and therefore, the habit of acting without thinking just continues (Seiler, Fisher, & Ooi, 2010). *They are not thinking they are doing something wrong because they are not thinking.*

Clearly, there are many levels of moral awareness and/or moral complexity, ranging from a complete lack of moral awareness to hypersensitivity and complex understanding of issues of rightness and wrongness. Moral awareness and moral complexity can be taught and improved, especially with a focus on understanding and internalization of the moral self, moral identity, moral courage, and moral efficacy. All of these constructs build on the starting point of self-awareness and meta-cognition. Put more simply,

*One can only be conscious of their moral self if they are first conscious of their self.*

Those who help develop leaders cannot assume or take for granted where people (young and old) are in terms of their self-awareness. There are numerous high-profile examples of adults acting as if they lack holistic self-awareness (such as Tiger Woods, Mel Gibson, former Governors Eliot Spitzer and Mark Sanford, and former Senator John Edwards), which may have resulted in a lack of or flawed moral reasoning.

Arguably, from a pedagogical perspective and as recommended earlier, the starting point for teaching moral reasoning should be to identify where students are in terms of self-awareness and meta-cognition. Many leader development programs are primarily focused on the *importance* of self-awareness or *having* self-awareness, *but not what it is; nor do they actually teach it, develop it, or practice it.* This same point applies to meta-cognition. As Avolio (2005) notes, development begins with the self.

To improve their ability to morally reason, students must first understand and be *taught how* to habitually be self-aware and to meta-cognate, not only taught what it is. Practicing self-awareness is an intentional and conscious process; it does not just happen. Both self-awareness and meta-cognition are habitual practices that can be taught and learned and should be the starting point to becoming more morally aware and improving moral reasoning.

## References

Aquino, K., & Reed, A. (2002). The self-importance of moral identity. *Journal of Personality and Social Psychology, 83*(6), 1423 -1430.

Aquino, K., Reed, A., Thau, S., & Freeman, D. (2007). A grotesque and dark beauty: How moral identity and mechanisms of moral disengagement influence cognitive and emotional reactions to war. *Journal of Experimental Social Psychology, 43*(3), 385-392.

Avolio, B. (2005). *Leadership development in balance: Made/ Born*. Mahwah, NJ: Erlbaum.

Bandura, A. (1999). Moral disengagement in the perpetration of inhumanities. *Personality and Social Psychology Review, 3*(3), 193-209.

Bandura, A. (1997). *Self-efficacy: The exercise of control*. New York, NY: Freeman.

Bandura, A. (1986). *Social foundations of thought and action: A social cognition theory*. Englewood Cliffs, NH: Prentice Hall.

Bargh, J. (1984). Automatic and conscious process of social information. In R. S. Wyer & T. K. Stull (Eds.), *Handbook of social cognition*, (Vol. 3, pp. 1-44). Hillsdale, NJ: Erlbaum.

Batson, C., Thompson, E., & Chen, H. (2002). Moral hypocrisy: Addressing some alternatives. *Journal of Personality and Social Psychology, 88*, 330-339.

Bebeau, M. (1994). Influencing the dimensions of moral practices. In J. R. Rest & D. Narvaez (Eds.), *Moral development in the professions: Psychology and applied ethics* (pp. 121-146). Hillsdale, NJ: Lawrence Erlbaum Associates.

Butterfield, K., Trevino, L., & Weaver, G. (2000). Moral awareness in business organizations: Influences of issue-related and social context factors. *Human Relations, 53*(7), 981-1018.

Casey, G. (2011). Comprehensive soldier fitness: A vision for psychological resilience in the United States Army. *American Psychologist, 66(1),* 1-3.

Chickering, A., Dalton, C., & Stamm, L. (2006). *Encouraging authenticity and spirituality in higher education*. San Francisco, CA: Jossey-Bass.

Clarkburn, H. (2002). A test for ethical sensitivity in science. *Journal of Moral Education, 31*(4), 439-453.

Cornum, R., Matthews, M., & Seligman, M. (2011). Comprehensive soldier fitness: Building resilience in a challenging institutional contest. *American Psychologist, 66*(1), 4-9.

Fiske, S., & Taylor, S. (1991). *Social cognition*. New York, NY: Random House.

Godwin, L. (2008). *Examining the impact of moral imagination on organizational decision making*. Unpublished doctoral dissertation, Case Western University.

Haidt, J. (2001). The emotional dog and its rational tail: A social intuitionist approach to moral judgment. *Psychology Review, 108*(4), 814-834.

Jones, T. (1991). Ethical decision making by individuals in organizations: An issue contingent model. *Academy of Management Review, 16*(2), 366-395.

Jordan, J. (2009). A social cognition framework for examining moral awareness in managers and academics. *Journal of Business Ethics, 84*(2), 237-258.

Jordan, J. (2005). *Business experiences and moral awareness: When less may be more*. Unpublished doctoral dissertation, Yale University.

Kegan, R. (1982). *The evolving self*. Cambridge, MA; Harvard University Press.

Kohlberg, L. (1981*). Essays on moral development: The philosophy of moral development* (Vols. 1-2). San Francisco, CA: Harper and Row.

Kohlberg, L., & Candee, D. (1984). The relationship of moral judgment to moral action. In W. M. Kurtines & J. L. Gerwitz (Eds.), *Morality, moral behavior and moral development* (pp. 52-73). New York, NY: John Wiley and Sons.

Langer, E., Blank, A., & Chanowitz, B. (1978). The mindlessness of ostensibly thoughtful action: The role of "placebic" information in interpersonal interaction. *Journal of Personality and Social Psychology, 36*, 635-642.

Naso, R. (2007). Beneath the mask: Hypocrisy and the pathology of shame. *Psychoanalytic Psychology, 24*(1), 113-125.

Office of Institutional Research. (2010). Anonymous college.

Pargament, K., & Sweeney, P. (2011). Building spiritual fitness in the Army: An innovative approach to a vital aspect of human development, In M. Seligman and M. Matthews (Eds.). *American Psychologist (Special Issue on Comprehensive Soldier Fitness), 66*(1), 58-64.

Parledas, M. (2002). "So, how did you arrive at that decision?" Connecting moral imagination and moral judgment. *Journal of Moral Education, 32*(4), 423-437.

Piaget, J. (1965). *The moral judgment of the child*. New York: Free Press.

Reivich, K., & Shatte, A. (2002). *The resilience factor: Seven essential skills for overcoming life's inevitable obstacles*. New York, NY: Broadway Books.

Rest, J. (1986). *Moral development: – advances in research and theory*. New York: Praeger.

Rest, J., Narvaez, D., Bebeau, M., & Thomas, S. (1999*). Post-conventional moral thinking: A neo-Kohlbergian approach.* Mahwah, NJ: Lawrence Erlbaum Associates.

Rest, J., Narvaez, D., Thomas, S., & Bebeau, M. (2000). A neo-Kohlbergian approach to morality research. *Journal of Moral Education, 29*(4), 381-395.

Reynolds, S. (2006). Moral awareness and ethical predispositions: Investigating the role of Individual differences in the recognition of moral issues. *Journal of Applied Psychology, 91*(1), 233-243.

Schön, D. (1983). *The reflective practitioner – How professionals think in action*. Basic Books.

Seiler, S., Fisher, A., & Ooi, Y. (2010). An interactional dual-process model of moral decision making to guide military training. *Military Psychology, 22*, 490–509.

Sparks, J., & Hunt, S. (1998). Marketing researcher ethical sensitivity: Conceptualization, measurement, and exploratory investigation. *Journal of Marketing, 62*(2), 92-109.

Sweeney, P., Hannah, S., & Snider, D. (2008). Domain of the human spirit, In D. Snider (PM) and L. Matthews. (Ed.), (pp 23-50). *Forging the Warrior Character*, Boston, MA: McGraw Hill.

Tenbrunsel, A., Diekmann, K., Wade-Benzoni, K., & Bazerman, M. (2010). The ethical mirage: A temporal explanation as to why we aren't as ethical as we think we are. *Research in Organizational Behavior, 30*, 153-173.

Tenbrunsel, A., & Messick, D. (2004). Ethical fading: The role of self-deception in unethical behavior. *Social Justice Research, 17*, 223-236.

Werhane, P. (1999). *Moral imagination and decision-making*. New York, NY: Oxford University Press.

Zhu, W. (2008). The effect of leadership on follower moral identity: the mediating role of psychological empowerment. *Leadership Review, 8*, 62-73.

# JCLI Review: Inspired Leadership

**2nd Lt Megan Hoskins**
**U.S. Air Force Academy class of 2011**

*"Caution: Without genuine concern, this is all worthless."* –Col Bryan P. McCoy, USMC

I used to think that it would take a lifetime to figure out how my life would turn out. I thought that I would wake up one morning, several years into the future, and my routine, my job, my family would all magically fall into place. As long as I was still alive, life would keep happening to me and I would naturally figure it out. I wondered, on that course, how much of my life would I have spent without really living? Establishing a deliberate purpose or a passion is the first step in pursuing inspiration.

The second step begins with exploration: traveling, discussions, keeping an open mind – gaining experience wherever opportunity presents. Without really knowing it, I have been searching for inspiration by seizing every opportunity that has been presented to me to learn something

new or to gain fresh experience. I have gone on international trips to immerse myself in new cultures, listened to my friends talk about their interests and projects, and attended every intriguing invitational, conference, seminar or lecture that has been available to me. It's admittedly not always fun to step outside of your comfort zone in order to speak to someone unknown or to give up free time to attend an unfamiliar event, but the conversations and perspectives that often spawn from those events are what catapults you on your way to discovering your passions. A word, a quote, a topic-- or even an audience member's question-- could spark an idea. Someone could one day be a die-hard fanatic about something he or she doesn't even know exists yet. Engaging in conversations with other people

Megan Hoskins is a recent graduate of the US Air Force Academy and, since graduation, has returned to Texas to train to be an Intelligence officer. Her mother and brother are the most important people in her life and she attributes all of her drive and successes in life to their love and support. Megan believes in the importance of empowering others to turn motivation into action and the impact a group of dedicated individuals can have on the world. She also recently discovered the power that finding your passion has in staying positive and motivated and she hopes to inspire others to identify their own passions. In her spare time, she's committed to her work with the Africa Redefined Foundation, as well as seeking other ways to assist and get involved in the community around her. In general, she firmly believes in having character and integrity in everything you do and hopes to change the world and inspire others to reach their potential to do the same.

presents the potential to be exposed to new ideas, perspectives, and experiences that are essential to gaining access and understanding to your deeply held passion. Pinpointing your passion is the key to unlocking inspiration in life and, furthermore, feeling a sense of purpose and direction. That's the third step.

Once the inspiration is set free, life gets a lot brighter. I found my passion by hosting a leadership event at the Air Force Academy for college students. The curriculum for the seminar had not been set and someone suggested teaching the attendees about ontological leadership. The material, which I had never seen or heard before, enraptured me and the positive feedback about the invitational from the students inspired me to commit to learning more about the material and spreading it to as many other people as possible. I wanted to host another seminar for more college students, one for high school students, even to try to bring the material to Africa. The idea evolved further to creating other ways of making the material accessible to anyone and everyone who would listen. I wanted to educate people, to help them grow and mature as leaders, and to empower everyone to achieve their goals. I was inspired to change the world.

This inspiration penetrated all elements of my life, mind, body, and spirit. It can be incorporated into education, career, and family. Being inspired is a total body experience. It gets you out of bed in the morning, puts bounce in your step, and spreads to others like an epidemic. Having passion in my life made me feel like a better person and opened my mind to helping others. Going to class, attending mandatory events, even interacting with my

peers took on a new context for me because I was interacting with my life from an inspired place. I wasn't just drifting, but I was taking control of my future and actively shaping it to be what I envisioned it being. My conversations changed, my attitude transformed, and my perspective became more flexible. And all of this was visible to others as they inquired about my newfound positivity and energy. Speaking from an inspired place, I was able to excite them to find their passion, their inspiration. Some even shared my interests and wanted to collaborate.

Whether it is sparked by a conversation with a passionate person or through an inspiring event, the urge to get involved spreads, like the video "The First Follower, people often see something cool going on, they get excited and want to be a part of it. Watching this excitement unfold, either as a bystander or the instigator is even more inspiring and automatically places you in the position to be a leader. Furthermore, this sense of rejuvenation from incorporating passion and inspiration into your routine makes the mundane or tedious parts of life have new meaning. Whether that renewed sense of purpose serves as motivation to do well in all aspects of life or simply puts a smile on your face. It matters because you've found your passion, being involved in something bigger than you frequently serves as a positive and powerful motivation in your daily life.

This inspiration is an entry point for leadership. It is the breath that sustains the energy required for good leadership. Without inspiration, leadership can border on management, as you are not necessarily motivated to look for new or innovative ways of executing tasks or working with subordinates, but

merely going through the motions and maintaining the status quo. Through inspiration, leaders of character readily emerge as it is easier to be positive, to be genuine in your actions and expressions, and to exude optimism towards those with whom you interact. Inspired leadership, though not absolutely necessary to be a good leader, produces more creative, driven, and committed people, both in the leaders themselves and in those with whom that leader works.

The final step towards inspired leadership is probably the most challenging – turning inspired ideas into tangible products. Whether it's a project, a trip, a modification to a policy or the start of a world-changing organization, the inspiration is useless if nothing is done with it. People are inspired *to do something*, so inspired leaders should seek to make waves. Leadership can be defined in so many different ways, one of which being creating a future that would not otherwise exist, which requires action. This is not to say that uninspired people or those who have not discovered what they are truly passionate about cannot be good leaders.

The ability to turn this innovation into action requires a certain amount of empowerment, whether it's inherent or imparted by another. The ability to see endless possibilities is significant in leadership, as it is difficult to empower others when you, yourself, are not empowered. As a leader, it is important not to limit yourself or others with psychological constraints we often subconsciously place on ourselves every day that keep us from chasing our dreams: "Everyone would laugh at me." "Nobody would take me seriously." "I could never do something like that." These constraints hinder

our capacity to dream, our visions of the future, and our visions of ourselves, our possibilities, and our potential to impact the world. Sometime, these limitations can be inadvertently transferred to others. We all have our own list of constraints that are holding us back from something and most of the time these constraints are all self-imposed. You are truly the only barrier to your future. So, don't limit yourself. Allow the world to be at your disposal. Don't think outside the box – think without one.

The great leaders of the past did not limit themselves – they saw possibilities and envisioned their involvement within those possibilities. These leaders were inspired, saw a place for change, and let their passion drive them to impact the world. They got involved in their communities and didn't let anyone derail them from their goals. For everyone, a "community" can be interpreted differently, but it's important to be cognizant of whatever happens to be your interpretation of the word. For some, "community" is the office and co-workers. For others, it's the neighborhood, the district, the city, state, nation, or the globe. It doesn't matter what your interpretation of your community is; it only matters that you get involved in it. Help someone in your community, talk to those around you, and identify with those whom you share your life, however indirectly. Whatever part of your community you relate best to or are passionate about, get involved.

The energy that accumulates from living passionately seems to almost feed off of pessimism and negative feelings, consuming the negative and regurgitating it as positive optimism and excitement. The steps to finding that passion are not always easy or comfortable, but, once discovered, inspiration can

change your life and you should use it to change someone else's.

As a cadet at the Air Force Academy, the concept of 'cynicism' is our kryptonite. It's easy for our opportunities and successes to get mired by our cynicism. I found myself in a situation that made me incredibly pessimistic, for the first time, about being a cadet and all I wanted to do was complain and be negative because that was the easy way to handle my anger. It consumed me and impacted my ability to interact with others. Fortunately, I had a group of friends who are true visionaries. Every conversation with them was inspiring and forward-thinking, about changing the world in some way or another. I left their company consistently feeling upbeat – not just less negative, but actually so excited and motivated that I sometimes found myself clapping. Yes, clapping. I realized that those emotions, that energy, did not have to be an occasional experience for me, but could be felt all the time, every day. I sat down and made a list of all the projects and ideas that my friends and I had talked about. The mere conversations had transformed me so I wondered what the actual actions would produce. It changed my world as every day I woke up taking steps towards bringing those ideas to fruition. There just was not time to dwell over what had happened to me, to even remember it. Without me realizing it, these cadets' passion and commitment led me to where I am today. Providing in me the inspiration to develop my own leadership skills and make a difference.

Everyone has the potential to be a leader. For many, that potential is laying dormant within them, untapped and, in some cases, unknown to the individual. It is the responsibility of leaders to activate those individuals, to get them involved, and to believe in them, just as my friends identified it in me. Their potential is not just for the future, but for the present – to be leaders right now. They just need someone to believe in them, call them a leader, and watch them run with their newfound empowerment. Just as excellence knows no race, gender, or creed, everyone has the capability to lead from an inspired place and touch the lives of others.

Whether in the military or the civilian sector, a student or a CEO, many aspects of leadership are the same across the board. Though the following advice came from an Air Force Lieutenant Colonel about my time spent at the United States Air Force Academy, it is universally applicable, regardless of scale or institution: *"If you're not tired by the time you leave here, you did something wrong."* The same words can be said of anyone in any capacity. The point is the same: to seize every opportunity and make the most of every opportunity to grow. As part of finding your passion and purpose in life, seeking new opportunities and expanding your comfort zone whenever possible are critical. In the words of retired Vice Admiral Dirk J. Debbink, *"What the hell, let's go see what the world's like."* Get out there and take risks, make mistakes, and see what failure feels like. Those experiences are invaluable and serve to help you grow and become more audacious in your actions. Would you rather be led by someone who shies away from the unknown or by an individual who confidently stares uncertainty head-on and searches for new challenges? Beyond that, getting involved in the world and aspiring to enrich your life will change your living. Either way, life will

happen to you, but you can choose to happen to your life. You only get one shot at living, so why not make the most of it? And, while you're at it, why not make a positive change in the world?

Seek the opportunities that enrich and enable you to make the change you want to see, if for no other reason than to gain perspective because, as a leader, those perspectives can save you from great struggle and conflict. Having the ability to recognize when it's necessary to see a situation from another's viewpoint, to see their context, is a critical component of leadership in any realm. It is also important to realize that everyone comes from different backgrounds, upbringings, and beliefs and to remember that those experiences have shaped who we all are and influences how we react to situations. The ability to remember and recognize that is also a very difficult skill to acquire and then even more difficulty to employ. Obura Tongoi, founder of Africa Redefined, said, "Before you try to walk a mile in someone else's shoes, don't forget to take yours off."

So, with passion, inspiration, and perspective on your side, how do you then engage others to take an active interest in their futures? Or just in their current state of being? Give them something to be proud of and believe in them and call them a leader. If your people are inspired and motivated, following your lead, they'll want to be in the *"right place, at the right time, in the right uniform, with the right attitude,"* as Brigadier General Richard Clark frequently tells the Air Force Academy Cadet Wing. If people are proud of what they're doing and are committed to the mission, getting them to do what you want them to should follow easily.

Above all, nobody is going to listen to someone they do not find to be credible. This credibility is gained in many ways, through your own personal commitment, accountability, and respect for the rules and expectations you set out for your own people. Many service members include an additional key quality of leadership: never ask your troops to do something you're not willing to do yourself. This element of character in leadership can be applied universally, but is critical to remember. Just as USNA Men's Soccer Coach, Dave Brandt, said, "Leadership is in attitude and <u>action</u> rather than title and position." Leadership doesn't get easier or more convenient as years roll on or as one is promoted, you can not expect people to follow you just because you order them. Maintaining a solid character throughout is important, not only for your personal integrity, but also for that credibility.

Character in leadership is challenging, especially depending on how you define success as a leader. Regardless, you cannot divorce choices with character. Character is about choices, not competencies, as our abilities do not make us who we are; our choices do. Someone can be an effective leader without having character, as can be said of Adolf Hitler. But to be a leader of character, with integrity in choices and in action, is truly an accomplishment. As a leader, you are responsible for your actions and the actions of those around you, regardless of the circumstances. Leading with character and inspiration is contagious, making the responsibility for others' actions less of a burden, as others see and want to emulate that manner of leadership. The option of cutting corners and barking orders is always available, but it is those who lead with character

and inspiration, and go the extra mile are often presented with more opportunity to make positive change.

I have quoted several people who have had an impact on my life, and I feel I have been smart enough to listen to when they spoke about leadership. Now, it is my turn to leave some of my own thoughts. The bottom line for inspired leadership is to find your passion, get involved, be committed, seek knowledge constantly and then pay it forward. Remember that gratitude is the cheapest currency and to use it often, because many people appreciate being acknowledged for their efforts. Always challenge others to look at the world in a different way, from a new perspective.

Finally, remember the "Three P's" of success in inspired leadership: Post-It's, People, and Possibilities. Be someone people can rely on and who they want on their team. For me, that means making lists of things to do on post-it notes to stay in integrity with my commitments. Surround yourself with good people who will keep you motivated, accountable, and on your toes. If you can find people who have similar motivations, not necessarily like-minded, but who are driven and committed like you, keep them around. Through them, expose yourself to new ideas and interests. Finally, see endless possibilities. Be empowered to change the world and do not let anyone or anything stand in your way. See yourself as a leader and inspire others to do the same of themselves. Do it all with passion and commitment. Be an inspired leader.

## CALL FOR REVIEWS

JCLI is currently accepting reviewers.  The purpose of JCLI is to foster a field of study related to the integration of character and leadership.  To that end, we need experts in various fields to help fulfill that purpose.  Therefore, we are looking for reviewers with the following minimum qualifications:

- Hold an advanced degree in an area related to character or leadership.

- Demonstrate a past record of publishing and presenting on topics related to character and/or leadership,

- Willing to review between 1 to 3 manuscripts in a given year.

- Willingness to review articles with 30 days of receipt.

## If you are interested in becoming a reviewer for the JCLI, please provide the following information:

- Name

- Organizational Affiliation

- Current Position/Title

- AreaI(s) of particular expertise

- Current Vita listing publications and presentations

- List of Editorial Boards on which you currently serve (or have served)

- List of Journals for which you currently review (or have reviewed)

This information should be submitted to the journal editors at:  JCLI@usafa.edu

## CALL FOR PROPOSALS

The purpose of the JCLI is to foster a field of study related to the integration of character and leadership. JCLI is published twice a year (February & August).  Specifically manuscripts should align with one of the following categories: Educational Methods & Techniques, Theory Development, Individual Development, Organizational Development, Empirical Research, Student Perspectives and Senior Leader Perspectives.  Submissions are welcome from military and non-military sources, and can primarily address academic or practitioner-based audiences.

## Submission Details
### *Any manuscript without all these submission details will be returned to author without review.*

- Abstract 150 – 200 words
- Article word length 2,000 – 6,000
- All submissions must be in a word document
- Cover letter indicating the article is not under review anywhere else
- Title page – Name, Institution, Short Bio (for each author and no identifying info anywhere else)
- Key words (Three words or less)
- APA format
- Double spaced, 12 point font, with page numbers (with running headers)

## Essential Guiding questions (guidance for authors' submissions. Each article should consider some of these questions (even if done so broadly)

- In what areas are character and leadership similar? In what areas are character and leadership different?
- What are important considerations in the institutional development of leaders of character?
- To what extent are implications of the integration of character and leadership relevant to other fields of study?
- What are some practical applications for the integration of character and leadership?
- Why does the integration of character and leadership matter?
- Are there tensions between character and leadership? If so, what should be done about it?
- How do leaders demonstrate the integration of character and leadership in their decision making process?
- How can the development process of character and/or leadership be measured or assessed?
- What role, if any, do issues of difference (such as cultural, social, demographic, and individual background) play in a discourse about character and leadership? Moreover, what part does difference play in the implementation, conceptualization, and evaluation of character and leadership?

Manuscripts or any questions regarding the submission process should be sent electronically to: JCLI@usafa.edu

**USAFA's Center for Character & Leadership Development** is a dynamic organization, under the Commandant of Cadets, which synergistically focuses on the core of the Academy's mission of educating, training, and inspiring men and women to become officers of character, motivated to lead. Fully developing a leader of character requires addressing all three facets of a whole person: mind, body, and spirit. The Center's approach is to integrate its own programs and the overall USAFA curriculum to that the entire Academy experience develops cadets as character-based leaders.

**CENTER FOR CHARACTER & LEADERSHIP DEVELOPMENT**
**US AIR FORCE ACADEMY**