Detach for Cause: Examining the Organizational and Cultural Influences on the Dismissal of Surface Warfare Commanding Officers

A Dissertation submitted
to the Graduate School
Valdosta State University

in partial fulfillment of requirements
for the degree of

DOCTOR OF PUBLIC ADMINISTRATION

in Public Administration

in the Department of Political Science
of the College of Arts and Sciences

May 2014

Michael John Higgs

MA, Naval War College, 1997
MPA, University of North Carolina at Charlotte, 1996
MA, Webster University, 1986
BBA, Armstrong State College, 1978

This dissertation, "Detach for Cause: Examining the Organizational and Cultural Influences on the Dismissal of Surface Warfare Commanding Officers," by Michael John Higgs, is approved by:

Dissertation Committee Chair

Gerald A. Merwin, Ph.D.
Professor of Public Administration

Committee Members

Carl M. Hand, Ph.D.
Professor of Sociology

Mary Eleanor Wickersham, D.P.A.
Assistant Professor of Public Affairs
College of Coastal Georgia

Dean of the College of Arts and Sciences

Connie L. Richards, Ph.D.
Professor of English

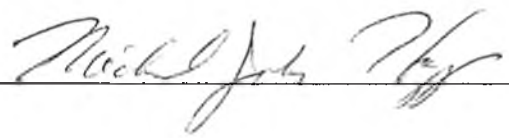
Interim Dean of the Graduate School

James T. LaPlant, Ph.D.
Professor of Political Science

FAIR USE

DUPLICATION

I authorize the Head of Interlibrary Loan or the Head of Archives at the Odum Library at Valdosta State University to arrange for duplication of this dissertation for educational or scholarly purposes when so requested by a library user. The duplication shall be at the user's expense.

Signature 

I refuse permission for this dissertation to be duplicated in whole or in part.

Signature _____

ABSTRACT

From 2000 through 2012, the Navy relieved 195 Commanding Officers (COs) for a variety of personal and professional failures under a procedure called "detach for cause." That seemingly low number is significant due to the associated damage to expensive weapon systems, the injury or deaths of Sailors, and damage to the organization's image as it competes for recruits from the American people and resources from Congress. These repercussions make the failures far more consequential than raw numbers might indicate. Of 195 dismissals, Surface Warfare Officers (SWOs) accounted for 74 or 38% of them, a larger percentage than the other communities in the Navy.

This research was conducted to ascertain what flaws in the surrounding culture or the training and selection process might create SWO COs who are more likely to fail. Documentation was reviewed on the causes and numbers of dismissals, the performance evaluation system, the process for qualifying and selecting COs, and ethics and leadership training. Literature was also reviewed to gain insight into the nature and impact of the SWO organizational culture on developing officers.

A survey was used to determine the prevalent type of Ethical Work Climate and the presence of toxic leadership, as contributory factors in the failures of COs. Data were compiled, scored, and tested using chi-square, Cramer's V, *Z*-score, and Pearson's *r* calculations to determine the strength of association or correlation between factors. This uncovered the widespread occurrence of toxic leadership behaviors including narcissism, unpredictability, and abusive supervision. An elevated occurrence of the instrumental EWC was also revealed. Finally, recommendations were provided to address the findings and potentially reduce the number of failures among SWO COs.

TABLE OF CONTENTS

I. INTRODUCTION 1

Problem Statement 1

Scope of the Research 2

Structure of this Work 3

Background 4

Detachment for Cause: The Process 4

Rationale for the Research 7

Civil-Military Relations 9

Colonial Origins 9

From Civil War to World War 12

World War II 14

The Cold War – An Uneasy Truce 15

II. LITERATURE REVIEW 23

Environment 23

Organizational Construct 23

Physical Environment 25

Training 30

Primary Training 30

Surface Warfare Qualification 34

Command Qualification 36

Organizational Culture 41

Organizational Culture Defined 41

Reconciling Civilian and Military Culture 43
Ethical and Moral Aspects 45
Navy Culture 53
Surface Warfare Subculture 57
The Practice of Leadership 68
Narcissism 71
Toxic Leadership 74
Selection Process 76
Performance Management 76
Selection Boards 81
Research Questions 85
Assumptions and Research Questions 86
III. METHODOLOGY 88
Research Method 89
Research Environment 89
Research Design 90
Research Phases 92
Research Questions and Hypotheses 93
Instrumentation 94
Data Collection 98
IV. RESULTS 100
DFCs: Numbers and Causes 100
Survey Data 108

Data Refinement 108

Respondent Demographics 108

Ethical Work Climate Data 111

Toxic Leadership Data 115

Unit Success Data 120

Summary of Findings 123

Limitation of the Study 124

Excursions 124

V. DISCUSSION 128

Assessing the System 128

The State of the Culture 130

Recommendations 136

Areas for Additional Study 146

BIBLIOGRAPHY 147

APPENDICES

Appendix A: Facebook Page 178

Appendix B: Ships Contacted Via Facebook 180

Appendix C: Ships Contacted Via Email 186

Appendix D: Ethical Climate Questionnaire (ECQ) 189

Appendix E: Scale Reliability and Correlation Calculation Results 192

Appendix F: Toxic Leadership Questionnaire 195

Appendix G: Battle Effectiveness, Command Excellence, and Readiness Questionnaire 198

Appendix H: Demographic Data Elements 201

Appendix 1: Institutional Review Board (IRB) Approval 204

LIST OF FIGURES

Figure 1. DFCs by Cause and Community 2000-2012 104

Figure 2. DFCs by Community and Cause 2000-2012 106

Figure 3. SWO DFC Occurrences by Cause 2000-2012 107

Figure 4. Respondent Gender 108

Figure 5. Respondent Ethnicity 109

Figure 6. Respondent Paygrade Distribution 109

Figure 7. Respondent Commissioning Source 110

Figure 8. Ship Types in which Respondents Are Serving or Served upon As Junior Officers 111

LIST OF ILLUSTRATIONS

Illustration 1. Surface Warfare Officer Breast Pin 35

Illustration 2. SWO Career Path 39

Illustration 3. SWO Work Ethic 64

Illustration 4. DOD Officer Promotion Parameters 83

LIST OF TABLES

Table 1. DFC Request Process....6

Table 2. Summary of DFCs 2000-2012....101

Table 3. DFC Rates by Major Warfare Community 2000-2012....103

Table 4. SWO Community EWC Percentages....112

Table 5. Summary of EWC Types Reported by Individual SWOs....114

Table 6. Percentage of Respondents Scoring Toxic Leadership Factors ≥ 3....115

Table 7. SWO Community Final Toxic Leadership Factor Scores....116

Table 8. Designated Toxic Individual SWO Average Toxic Leader Factor Scores....118

Table 9. Toxic Leadership Occurrences by EWC Type....118

Table 10. Toxic Leadership Occurrences by EWC Type: Testable Subset....119

Table 11. EWC Type & Toxic Leadership Factor Correlation (Pearson's *r*)....120

Table 12. Percentage of Successful Toxic Units by EWC....122

Table 13. Percentage of Successful Non-Toxic Units by EWC....122

Table 14. EWC Comparison SWO to U.S. Air Force (USAF) Combat Mission....125

Table 15 Toxic Leadership Reported by Respondent Paygrade....125

Table 16. Respondents Reporting Toxic Leadership Grouped by Commissioning Source....126

Table 17. Comparison of Factors Grouped by Gender....127

Table 18. Cronbach's Alpha for EWC Type Scales....193

Table 19. Cronbach's Alpha for Toxic Leadership Scales....193

Table 20. Pearson's Correlation for EWC Type Scales....194

Table 21. Pearson's Correlation for Toxic Leadership Factors....194

LIST OF ACRONYMS

Advanced Shiphandling and Tactics	ASAT
All Fully Qualified	AFQ
Basic Division Officer Course	BDOC
Bureau of Naval Personnel	BUPERS
Captain	CAPT
Chief of Naval Personnel	CNP
Command Climate	CC
Command Leadership Course	CLC
Command Master Chief	CMC
Command Performance	CP
Commander	CDR
Commander Naval Surface Force	COMNAVSURFOR
Commander Naval Surface Force Atlantic	COMNAVSURFLANT
Commander Naval Surface Force Pacific	COMNAVSURFPAC
Commanding Officer	CO
Community	COM
Community of Aviators	AIR
Community of Submarine Qualified Officers	SUB
Defense Officer Personnel Manning Act	DOPMA
Department Head	DH
Department of Defense	DOD
Department of the Navy	DON

Detached/Detachment for Cause	DFC
Division Officer	DIVO
Ensign	ENS
Ethical Climate Questionnaire	ECQ
Ethical Work Climate	EWC
Executive Officer	XO
Fitness Report	FITREP
General Military Training	GMT
Human Resources	HR
Information Technology	IT
Institutional Review Board	IRB
Joint Chiefs of Staff	JCS
Junior Officer	JO
Letter of Instruction	LOI
Lieutenant	LT
Lieutenant Commander	LCDR
Lieutenant (junior grade)	LTJG
Littoral Combat Ship	LCS
Military Personnel Manual	MILPERSMAN
Military Sealift	MSC
Mine Countermeasures	MCM
Narcissistic Personality Disorder	NPD
National Business Ethics Survey	NBES

Naval Reserve Officer Training Corps	NROTC
Navy Computer Adaptive Personality Scales	NCAPS
Navy Personnel	NAVPERS
Officer Candidate School	OCS
Officer of the Deck	OOD
Officer Personnel Information System	OPINS
Operations Navy	OPNAV
Organizational Citizenship Behavior	OCB
Personnel Behavior	PB
Personnel Qualification Standards	PQS
Pipeline	PL
Planning, Programming, and Budgeting System	PPBS
Post-Commander Command	PCC
Public Affairs Officer	PAO
Restricted Line/Staff Corps/Special Communities	RLSC
Secretary of the Navy	SECNAV
Secretary of the Navy Instruction	SECNAVINST
Significant Event	SE
Standard Organization and Regulations Manual	SORM
Statistical Package for the Social Services	SPSS
Surface Warfare Introduction	SWO INTRO
Surface Warfare Officer	SWO
Surface Warfare Officer Continuation Pay	SWOCP

Surface Warfare Officer School	SWOS
Surface Warfare Officer School Division Officer Course	SWOSDOC
Uniform Code of Military Justice	UCMJ
United States Air Force	USAF
United States Naval Academy	USNA

ACKNOWLEDGEMENTS

Despite what the title page indicates, this work is not mine alone. It would not have been possible without the support and collaboration of many talented people, to whom I am deeply indebted. I would like to thank the following for their vital contributions to this project:

Dr. Jerry Merwin, the chair of my committee, whose warmth, wit, and calm direction set me on this path and kept me moving forward.

Dr. Mary Eleanor Wickersham, for her kindness in staying with me on this project after departing VSU to start her own department, and for her superb suggestions that brought clarity to my occasionally murky writing.

Dr. Carl Hand, whose piercing insight and technical guidance shored up the structure of my arguments and strengthened the proof of my findings.

Dr. Jim Peterson, for his guidance and questions which helped refine a broad notion into a defendable project.

Dr. William Farmer, for his generous assistance in navigating the rocks and shoals of statistical analysis.

My children, Katie and Cameron and son-in-law John whose intelligence and drive challenge me to keep up.

And finally, my most sincere thanks to my dear wife Kathleen who was my determined research assistant, format guru, and sharp-eyed proof reader. Without her help this work might never have been completed.

Chapter I

INTRODUCTION

Problem Statement

During 2012, the United States Navy formally dismissed 17 Commanding Officers (COs) for failing to fulfill their responsibilities. This number of officers "detached for cause" (DFC) is part of a troubling situation that has inspired several internal reviews by the Navy. Prior research shows that the number dismissed stood at 25 in 2010, yet the decrease to 17 is not viewed positively. In fact, to the leaders of the Navy, this is still an unacceptably high level of dismissals and the continuation of an undesirable trend (Higgs 2010; Maltby 2010; Navy Inspector General 2004). The concern for this rate of dismissals is based in part on the Navy's desire and need to preserve its image of integrity and professional capability and in part on the extensive process required to create a Commanding Officer (CO). Unlike corporations, the Navy is far more constrained in managing its supervisory employees. Specifically, it cannot fire COs and replace them with qualified new hires off the street, but must "grow" them internally, at considerable expense in time and money.

The Navy's continued ability to execute its mission rests on the support and financial resources it receives from Congress, which could be affected by negative opinions resulting from the dismissal of COs. Negative publicity surrounding CO dismissals could also adversely affect public opinion among civilians likely to serve in the Navy. A Gallup poll taken in 2011 concerning the relative prestige of the major

branches of the armed forces revealed that only 8% of those surveyed considered the Navy to be the most prestigious among the branches, compared to 46% for the Marines (Newport 2011). All armed services rely on the ability to recruit prospective enlisted personnel and officers into their ranks, and the reputation of the services plays a role in the success of their recruiting efforts.

The position of CO is highly sought after and competition within the officer corps is fierce. The process of developing a CO entails years of specialized classroom and on-the-job training, and years of successful performance in a variety of technical and leadership roles. Throughout those years of development, officers are challenged by the difficulty of the work, the demands of the unique working environment, and direct head to head competition to outperform their peers and win selection to serve as a CO.

Scope of the Research

Prior research has shown that among the Navy's three major warfare communities of Air, Surface, and Submarine, the Surface Warfare community had the greatest number of dismissals for the 2000 to 2010 time period. During that time, the Surface Warfare Officer (SWO) community had 55, or 36%, of the total of 155 DFCs. In addition, the preponderance of those dismissals, 24 of the 55, were for illegal or immoral personal behavior which was considered "detrimental to the good order and discipline of the Navy" (Higgs 2010, 25).

This work will explore the possibility that there are identifiable factors within that community and the process of developing its leaders, which contribute to this rate of failure. Specifically, it will examine the Surface Warfare community's environment,

training, particularly in the area of leadership, organizational culture, and the CO selection process.

Structure of this Work

As befits a program for practicing public administrators, the requirements for this work do not confine it solely to the form of a traditional dissertation. Rather, in addition to increasing the existing body of knowledge of its subject, this work is intended to influence the situation being studied. Accordingly, its approach incorporates researching a problem being experienced by an organization for the purpose of identifying causative and contributory issues and developing recommendations for potential solutions.

Subsequent chapters lay the foundation for understanding the organization and the problem being studied. These chapters provide a review of the pertinent literature including Navy instructions and policies which govern the processes of developing, selecting, and dismissing COs, and academic writings that shed light on aspects of the subject processes and culture, potentially highlighting causative factors. The Methodology Chapter relates the execution of a plan to query the Surface Warfare community and "take a reading" on the prevailing organizational culture, to determine the presence of suspected causative and contributory factors identified in the preceding chapters. The following Results Chapter presents the data captured through the methodology, identifying significant trends and evidence of the presence of attitudes and practices that may relate to CO failures that lead to dismissals.

Finally, in the Discussion Chapter, all of the preceding information is integrated, and potential actions to address the conditions uncovered are evaluated. Based on this analysis, recommendations will be offered to amend current practices or adopt new

policies to promote improved outcomes in the creation of COs and reducing the number of DFCs.

Background

Detachment for Cause: The Process

A detachment for cause (DFC) is an "administrative removal of an officer . . . from the officer's duty assignment before the normal transfer or planned rotation date" (Hoewing 2007, 1). In 2012 17 COs were formally relieved of their duties as CO, and the news coverage surrounding these events told tales of misfortune and misjudgment: "Helo Squadron CO, CMC Fired After Mishaps;" "CO Fired Amid Investigation of Relationship;" "Navy Removes Command After Boozy Port Visit;" and "Destroyer CO Fired in Wake of Tanker Collision" (Faram 2012; Fellman 2012c; Stewart 2012; *USA TODAY* 2012). All those events led to the early end of a hard-won role.

The procedure surrounding these dismissals is as serious as the events that lead to them. The need for a DFC arises when an "officer's performance or conduct detracts from accomplishing the command mission, and the officer's continuance in the billet can only negatively impact the command" (Hoewing 2007, 1). This is one of the sternest, most detrimental actions that can be taken against an officer and is never taken lightly. DFCs are not specifically intended for COs alone but can apply to any officer. This paper examines only the dismissal of COs and primarily those formally detached for cause, not those simply relieved earlier than a planned rotation date. Formal records are maintained only for cases in which the magnitude of an incident or an officer's performance warrants a formal DFC.

The Naval Military Personnel Manual (MILPERSMAN) article 1611-020 *Officer Detachment for Cause* specifies and describes the causes which justify such an action:

1. Misconduct, either civil or military;
2. Substandard performance involving one or more significant events resulting from gross negligence or complete disregard for duty;
3. Substandard performance over an extended period of time;
4. Loss of confidence in an officer in command (Hoewing 2007, 2-3.)

In almost all these cases there is a stated expectation that officers nominated for a DFC have been previously counseled on their performance and given an opportunity to improve. Where appropriate, especially for those officers nominated for misconduct, disciplinary action is presumed to have been taken prior to the recommendation for a DFC. Due to the extremely serious nature of the events leading to a request for a DFC and the consequences of such a request, a formal letter requesting and justifying the action must be submitted in accordance with the steps in Table 1, and the subject officer is given 15 days to respond in writing.

Table 1. DFC Request Process

Step	Action
1	State the specific reason or reasons for the request.
2	Indicate the time the officer has been on board and the length of time in the position to which the DFC applies.
3	Provide a detailed statement describing the facts and circumstances, which support the basis for the request. For requests based on a significant event, describe the event involved, the officer's duties, and the disregard or gross negligence associated with the performance of those duties.
4	If the request is made on the basis of substandard performance of duty over an extended period of time, indicate what corrective actions were taken to improve or correct the officer's performance and the results of those actions. A special report of fitness is not required to support a DFC request; however, the request should document a chronology of precipitating events and evidence of command counseling and guidance.
5	Indicate whether or not the command has taken disciplinary action, explaining the rationale. If misconduct is not the sole basis for the DFC, do not forward the request until all disciplinary action is completed, including any appeals.
6	Include a statement that the request, if approved, will be filed in the officer's official record. NOTE: Nonpunitive censure may neither be mentioned in the request nor included as enclosures unless as surrebuttal to the officer's claim that adequate counseling was not provided. (The facts and circumstances that invoke nonpunitive censure, however, may be mentioned in the request.) By contrast, there is no restriction on the inclusion of LOIs in a DFC request to document command counseling and guidance.
7	Provide formal written notification to the officer, advising of the initiation of the DFC request and soliciting the officer's response thereto (usually within 15 days). State in the DFC request that the officer has been given written notification and an opportunity to respond.

Source: The Naval Military Personnel Manual (MILPERSMAN) article 1611-020 *Officer Detachment for Cause* 2007, 5.

Once the request has been endorsed by the chain of command above the officer being relieved, the officer's statement has been provided, and the officer has been interviewed by the superior above the level initiating the request, the request with its supporting documentation is sent to the Navy Personnel Command. The Commander of the Navy Personnel Command reviews all documentation and renders the decision on whether the detachment will be reflected in the officer's record as "for cause." A "for cause" decision essentially ends any career progression for that officer as it documents a striking failure in the most highly sought after position in the Navy: Commanding Officer.

Rationale for the Research

Training, promoting, and selecting COs is a critical and expensive function within the Navy. COs are entrusted with the vital mission of national defense, the lives of hundreds to thousands of personnel, and hundreds of millions of dollars' worth of sophisticated equipment. Failures on the part of these individuals are potentially deadly to the Sailors in their charge and costly to the American taxpayer. A single ship-grounding incident in Hawaii in 2009 resulted in an estimated $25 to $40 million in repairs to the vessel (Cole 2009). More recently, the August 2012 collision in the Strait of Hormuz resulted in mission-ending damage to the guided missile destroyer *USS Porter* and the relief of its CO (Fellman 2012c). Per the U.S. Navy online Fact File, a single F/A-18F Super Hornet Strike Fighter costs $57 million and an aircraft lost due to inadequate maintenance or improper operation would be the responsibility of the unit CO. Similarly, an Arleigh Burke class destroyer can cost between $500 million and $1.5 billion depending on the time it was acquired and the variant of the design (Barr Group Aerospace 2012; Global Security 2011). In a February 2013 interview, Admiral Gortney, Commander of Fleet Forces Command, stated that damages caused by operational mishaps during 2012, resulted in an unplanned, unfunded $850 million repair bill (Lombardo 2013a). Clearly, the Navy has a keen interest in the safe operation and preservation of these expensive assets.

The officers themselves are an expensive resource as well. A typical CO is a Commander (rank), also sometimes referred to as an O-5 (pay grade), with 17 years or more of experience, an undergraduate and usually a master's degree, and at least one cumulative year of dedicated upper level training. At this point in a career, the Navy has

invested over $1.4 million in salary and benefits for this officer. It has also invested approximately $97,000 to $215,000 in initial education and subsequent training for a SWO (Parcell 2008). This figure varies with the source of the officer's commission, obtained either through Officer Candidate School (OCS), a civilian university using a Naval Reserve Officer Training Corps (NROTC) scholarship, or through the United States Naval Academy (USNA), respectively.

For other communities, specific technical training, such as flight training, submarine school, or nuclear reactor training, also adds hundreds of thousands of dollars to the Navy's investment in an individual. Taking just these costs into account, the dismissal of a CO could represent the loss of an approximately $2 million investment, excluding possible damage repair costs (Higgs 2010). If an incident results in damage, it could mean a significant disruption to a unit's operating schedule as repairs are made, in addition to the repair costs. In turn, this impacts the training, maintenance, and operating schedules of similar units as these schedules must be adjusted to cover the gap left by the loss of the damaged unit, in order to meet mission requirements without it. Other personnel rotation and career schedules are also disrupted as a temporary CO will have to be appointed until a qualified relief is diverted from another assignment to assume command in the place of the dismissed officer. Depending on the circumstances surrounding the dismissal, there could be a considerable impact on the morale of the crew as well, representing a further degradation of a unit's combat readiness.

As the country seeks to end military operations in Afghanistan and faces a debt crisis of previously unseen proportions, the continued operation of the military in its current configuration is under scrutiny. The current economic conditions have placed the

national budget under severe duress, which poses a direct threat to the budgets of all branches of the Armed Forces. Consequently, the Navy cannot afford expensive losses of, or damage to, its material assets. Nor can it afford damage to its image and credibility as an effective fighting force resulting from displays of ineptitude, malfeasance, or lack of restraint and judgment on the part of a few commanding officers. A resultant loss of political support during budget formulation and approval processes could swing financial support away from the Navy and toward its competing sister services. Accordingly, the rate of dismissals must be reduced.

Civil-Military Relations

The importance of the situation being studied is determined in part by the relationship between the Navy and the civilian command authority which controls it. The degree of military professionalism and its influence on the development and execution of foreign policy have long been a topic of interest to American politicians and scholars. The military is a product of American society and its relationship with the American people shapes its role, its relevance, and its ability to function. Accordingly, it is appropriate to explore this relationship as a foundation of the situation being studied and the context it brings to the Navy's place in American society.

Colonial Origins.

Americans have always had a complex relationship with their military. As a nation the United States has always displayed an aversion to military power, beginning with its origin. Consider that many of the reasons for the Revolutionary War centered on the colonists chafing at the presence of George III's troops and the usurpation of civil authority by military force. Specific complaints were cited in the Declaration of

Independence: "He has kept among us, in times of peace, standing armies, without consent of our legislatures;" "He has affected to render the military independent of and superior to, the civil power;" and "for quartering large bodies of armed troops among us" (Pious 1986, 719). Thus the colonial leaders equated military power with tyranny. The provision for a standing army in the new constitution was highly controversial, requiring Alexander Hamilton's reassurance in Federalist Paper No. 28 that the national army would be employed only in the extreme cases of "seditions and insurrections" (Sanchez 1991, 113-115).

The Navy was born in 1775, inspired by the success of Colonel John Glover, a New England sea captain and a member of the Marble Head Regiment which later ferried Washington's troops across the Delaware (Fowler 2000, 13). Glover offered Washington the charter of his own sloop *Hannah* to interdict unarmed British supply vessels. His success in disrupting these supply lines spurred the chartering of additional vessels, but Congress resisted the creation of a Continental Navy at first, instead authorizing each colony to create and fund its own force of armed vessels. Shortly thereafter, due in part to the strong promotion by John Adams, Congress approved the formation of a Continental Navy. On October 13, 1775 Congress voted to approve the deployment of two ships "to cruise eastward" (Fowler 2000, 14). Despite this necessary growth in strength and capability, the aversion to the military remained. George Washington in his "Sentiments on a Peace Establishment" recognizes the anti-military prejudice while cautiously supporting the creation of a Regular Army: "Altho' [sic] a large standing Army in time of peace hath ever been considered dangerous to the liberties of a country, yet a few Troops

under certain circumstances are not only safe, but indispensably necessary" (Coffman 1992, 51).

Subsequently, Washington recommended a force of 2,631 officers and men. Congress responded with an authorization for only 80 officers and men to guard remaining war-stocks and a call-up of 700 militia troops for one year's service on the frontier (Coffman 1992, 51). In fact, from the 1780s to the 1890s the Regular Army functioned routinely, and in some periods primarily, as a frontier constabulary (Coffman 1992, 50). A member of Jefferson's cabinet remarked in 1802: "The distribution of our little army to distant garrisons where hardly any other inhabitant is to be found is the most eligible arrangement of that perhaps necessary evil that can be contrived" (Coffman 1986, 3). This same outlook is seen in the behavior of Congress and President Jefferson following the Navy's victories against the French in the Quasi War. Despite taking 80 French vessels with only the loss of one American vessel, Congress acted with haste to dismantle its squadrons following the convention that ended the war on September 30, 1800 (Fowler 2000, 18). Jefferson viewed the Navy as an unnecessary expense, preferring the use of gunboats to patrol home waters, to the expensive frigates that engaged the French in the Caribbean (Fowler 2000, 19).

This attitude supports what Coffman refers to as the "national ethos" which he cites as one controlling factor of the size of the army in peacetime. This same ethos can be more broadly applied to the size of the military as a whole and as a basis for American civil-military relations. Specifically, this ethos is composed of two factors: a traditional prejudice against professional soldiers and standing armies, and a belief that in the event

of war, civilians answering the call to arms, not regulars, would save the day (Coffman 1986, 8).

Empirical data supports Coffman in that during the 160 years between the Revolutionary War and World War II, America maintained a very small army relative to other nations. For example, in the 1840s Mexico's army was quadruple the size of the 10,000 man American army, and in the 1880s, America's 28,000 man force was less than half the size of Belgium's (Coffman 1992, 53).

From Civil War to World War.

The military grew enormously during the Civil War. The Navy at the outset possessed only 90 warships, only half of which were in active service, but by war's end it was operating 671 vessels (Symonds 2000, 47). However, in keeping with traditional practices, the military did not play an active role in developing national policy. Throughout the war, civilian control of the military was absolute, with the President, as well as Congress, playing active roles (Avant 1994, 24).

In the tumult following the assassination of Lincoln, the Army did capitalize on the divisions between the policies of Congress and the President to work with Congressional Republicans to achieve its desires in Reconstruction legislation. It succeeded in achieving a continuation of martial law, legal protection for Army personnel, and the disenfranchisement of most former rebels (Avant 1994, 26). Before the Civil War there had been no thought that there might be a uniquely military perspective on policy and strategy (Johnson and Metz 1995, 198). Now, such a perspective had influenced national legislation, but it was a transient event.

After the Civil War, the military was again reduced in size. The Navy was reduced to only 50 commissioned vessels and 8,500 personnel (Bradford 2000, 63). At the same time the military began a process of professionalization which it conducted in virtual isolation from civil influence. Congress' primary concern was budgetary; as long as no budget increases were requested, the military was free to set its own standards for education, training, promotions, and retirements (Avant 1994, 26).

It was at this time, possibly from the Prussian example the Army began to study, there arose a notion within the officer corps that political participation and military professionalism were incompatible (Johnson and Metz 1995, 198). According to Huntington "not one in five hundred military officers ever voted" (1957, 258).

It was also during this time the Navy embarked on a campaign of intellectual growth, creating the Naval Institute "as a forum for the advancement of professional, literary, and scientific knowledge in the Navy" (Bradford 2000, 63). Later, the Naval War College was founded as the world's first learning institution for senior officers which quickly added Captain Alfred Thayer Mahan to its faculty (Bradford 2000, 63). These were significant efforts to increase the level of professionalism among naval officers, raising them from merely proficient mariners to innovators in naval warfare. Mahan's writings on naval history, strategy, and the role of sea power influenced Assistant Secretary of the Navy Theodore Roosevelt. This was shown by the later creation and deployment of the Great White Fleet by then President Roosevelt (Bradford 2000, 69).

With this notable exception, when it came to the development of policy and strategy on a national scale, the military did not desire a role. By all accounts this attitude prevailed through the Spanish-American War and World War I, bringing the military to

the very edge of World War II where "the respect of the American Military for civil supremacy was perhaps at its highest, reaching a degree of self-denial that even ardent champions of the principle might, in retrospect, regard as excessive" (Weigley 1993, 41).

World War II.

The years 1939-1945 saw enormous changes in the character of civil-military relations in the country. One primary factor in the evolution was Franklin D. Roosevelt, who was widely regarded as one of the most astute, influential, and active Commanders-in-Chief in our history. The other factor was, of course, the war which expanded the military from 200,000 men in 1939 to more than 12,000,000 by war's end. This expansion was accompanied by tremendous growth in the power of the armed services' chiefs and an active role in national policy-making for the military.

Analysts differ widely on the conditions of relations between the military and civilian authority during this time. Hendrickson finds relations "though judged defective, were relatively harmonious and reasonably effective" (1988, 27). Weigley attributes the harmony to "remarkably silent military acquiescence" (1993, 43). Huntington (1957, 315-320) and Stoler (1991, 62-65) both find that the relative weakness or ineffectiveness of the civilian service secretaries and the State Department provided the military with this opportunity for playing a new and greater role. Stoler argues most convincingly that the effective relations resulted from Roosevelt's knowledge of the military, based on his service as Assistant Secretary of the Navy, the professionalism and skill of the service chiefs, and that the "total and global nature of the conflict fused political and military issues to an unprecedented degree, making separation impossible" (1991, 66).

This is not to say that the service chiefs dominated policy-making: Johnson and Metz (1995, 198) remark on the chiefs' opposition to the invasion of North Africa, and Stoler (1991, 65, 67) notes at least 20 disagreements on such topics as aid to allies, size of the armed forces, and global strategy. In most such cases Roosevelt's views prevailed, and in all cases his decisions were executed by a professional, loyal, and politically attuned military.

The Cold War - An Uneasy Truce.

For all the successes of the Service Chiefs, Roosevelt had been unwilling to institutionalize their existence or his relationship with them. It was not until the National Security Act of 1947, that the Joint Chiefs were officially sanctioned and simultaneously relegated to a purely "military" role. The act transferred the responsibility of advising the President on national security to the National Security Council, composed of civilians. It also placed the chiefs within the Department of Defense (DOD), with the Secretary of Defense as the primary advisor to the President.

This act was indicative of the tenuous equilibrium between the need for military input and the desire to control the military that marks the Cold War era. The Joint Chiefs had foreseen the possibility of future conflict with the Soviet Union and had pressed for a world-wide system of air and naval bases to ensure our national security. There would be no complete post-war demobilization but the maintenance of sufficient forces and bases to counter an enemy such as a resurgent Germany or Japan or possibly a hostile Soviet Union. The country entered a period of "perpetual semi-mobilization that transformed the traditional civil-military equation" (Bacevich 1994-1995, 78).

Many civilians, mainly a newly-risen community of civilian strategists in universities and think tanks, felt that the military was unable to accept the concept of a limited war or the subtle application of force in support of statecraft (Johnson and Metz 1995, 200). Others warned of the transformation of America into a "garrison state" in which the military's needs and dictates would erode democracy and civil rights (Huntington 1957, 346-354).

Countering the pressure to quarantine the military from policy-making were three factors: first, the Soviet military threat; second, the popularity and prestige of the military (Huntington 1957, 354); and third, the dramatic increase in military spending which made it a vital component of the economy (Johnson and Metz 1995, 200; Kohn 1994, 5).

It was during this time President Eisenhower warned the nation of the now-famous "military-industrial complex" and its impact on national policy (Bacevich 2011; Janiewski 2011; Kampmark 2011; Schlesinger 2011). In his January 17, 1961 farewell address, Eisenhower asserted that the government "must guard against the acquisition of unwarranted influence, whether sought or unsought, by the military industrial complex" (Kampmark 2011, 11; Schlesinger 2011). During his presidency, the Korean War and the rising power of the Soviet Union had resulted in Eisenhower engaging in "bruising battles to constrain military budgets" (Janiewski 2011, 681), as he struggled with the "unstated alliance of interested parties: generals, defense officials, military contractors, and members of Congress" (Bacevich 2011, 76).

Eisenhower's concern had been "to ensure our position of strength without bankrupting ourselves" (Janiewski 2011, 681). He viewed his successors as "two people who know practically nothing about these matters" and feared they, influenced by the

Democrat's claims of missile gaps, would increase the nuclear arsenal "to vindicate past judgments to which they have been party" (Janiewski 2011, 682). When Kennedy assumed power, the nuclear stockpile contained 24,000 warheads, and by the end of the decade, it had grown to 31,000 (Bacevich 2011, 76).

The 1960s was a period of great tension in civil-military relations. The factors behind the tension were numerous, but the primary concerns were nuclear weapons strategy and the Vietnam War. Johnson and Metz and Kohn see the maturing of the United States' strategic weapons policy and employment doctrine as a critical factor, though they differ on the implications. Johnson and Metz (1995, 200) see this factor as reducing the chances of conventional war, the military's forte. Kohn views the nuclear capability as threatening civilian control making it "imperative to take authority to use these weapons away from the military, lest operational commanders displace Congress and the President in determining whether the country would go to war" (1994, 5). Kohn also cites civilian concern over potential friction between United States (U.S.) and Soviet forces, during normal operations in patrolling various hot spots around the world, which required civilians to "invade" traditional military operational authority (1994).

Contributing significantly to the period of tension was Kennedy's Secretary of Defense, Robert McNamara. During the 1950s there had been an inordinate amount of inter-service discord and competition over roles and missions, such as the Air Force and Navy conflict over the procurement of B-36 bombers or "supercarriers," and the Air Force-Army conflict over control of an intermediate range ballistic missile (Hendrickson 1988, 39). Into this fray Secretary McNamara brought new planning and decision-making techniques including management by objectives, the Planning, Programming, and

Budgeting System (PPBS), and operations research analysis. The military resisted many of the changes and wholesale adoptions of programs it did not understand, but McNamara greatly centralized power, shifting it from the military to the Office of the Secretary of Defense.

Kohn terms these reforms "the re-imposition of civilian control through bureaucratic procedures and structures, the traditional method for exercising presidential authority over the military in peacetime" (1994, 5). He also remarks that McNamara "ignored or dismissed military advice, disparaged military experience and expertise, and circumvented or sacked generals and admirals who opposed him" (Kohn 1994, 6). Hendrickson is less supportive of the Secretary's unwillingness or inability to delegate responsibility, attributing it to "his distrust of - and at times even contempt for - the advice of the uniformed military, partly from excessive faith in his own powers" (1988, 49).

Regardless of opinion, McNamara's influence on the prosecution of the Vietnam War brought civil-military relations to its nadir. The civilians believed they were controlling military operations to achieve political objectives (Johnson and Metz 1995, 201; Kohn 1994, 6). The military believed "arrogant, uninformed, irresponsible politicians were not only preventing winning the war, but squandering American resources, and worse, lives" (Kohn 1994, 6). Hendrickson cites the "famous Tuesday luncheons" at which bomb targets were selected, without military personnel in attendance, giving some credence to Hendrickson's "military view" (1988, 48).

Faced with this precipitous loss of autonomy and power, the military turned to reform. The services formed a unified front reducing interservice discord, and established

alliances with supporters in Congress and the executive branch (Johnson and Metz 1995, 201; Kohn 1994, 7). Their reform efforts included upgrading internal political and strategic expertise through civilian graduate education for senior officers, and emphasizing world politics, strategy, and national security policy-making in the curricula of the four war colleges. According to former Chairman of the Joint Chiefs of Staff, Admiral William J. Crowe, few officers in the 1980s "made it into the higher ranks without a firm grasp of international relations, congressional politics, and public affairs" (Johnson and Metz 1995, 201).

Fortunately for the military, there were eight years in which the Republican control of the White House provided some relaxation of the previously restrictive civilian control. Defense management was largely again decentralized, and from 1969 to 1973 Melvin Laird, as Secretary of Defense, renewed the relations between civilians and the service chiefs (Hendrickson 1988, 44-45).

Despite the ongoing reforms, the 1970s were difficult years for the military. Still stinging from public sentiment on the Vietnam War and the humiliation of its conclusion, the armed forces had to contend with massive funding shortfalls (Cimbala 1995, 27; Hendrickson 1988, 45; Kohn 1994, 7), which severely affected readiness. Late in the decade these shortfalls gave rise, under Jimmy Carter, to what has come to be called "The Hollow Force," which emphasized force structure and weapons modernization over readiness issues, such as training and ammunition stocks (Hendrickson 1988, 106; Kohn 1994). It is during this period that Kohn contends the military abandoned its traditions of non-partisanship and, goaded by "Jimmy Carter's contemptuously anti-military administration," began "espousing Republicanism with a capital R" (1994, 7).

To be sure, the military flourished under Ronald Reagan's administration. According to Hendrickson, from 1981 to 1985 an increase in defense funding occurred, which totaled $329.5 billion (1988, 45). Secretary of Defense Casper Weinberger, the "chief cheerleader for Ronald Reagan's military buildup," (Kohn 1994, 8)

> showered money on the services and, in an effort to get it spent, gave them considerable authority over its use, frequently ignoring or circumventing his own office of Program Analysis and Evaluation, one of the chief tools McNamara had used to vet the recommendations of the military services (Kohn 1994, 8).

Derision aside, Kohn best summarizes one aspect of this era: "Weinberger rebuilt the military: the forces, the institution, and with President Reagan's help, the pride and the image in American consciousness" (1994, 8).

At the same time the forces were growing, reformers in Congress and the defense intellectual community were lobbying for change, not just for a coherent modern strategy but for alterations in the organization, doctrine, manpower policy, and weapons acquisition systems (Hendrickson 1988; Johnson and Metz 1995, 202). This was intended, in part, to correct the apparent lack of competence and joint operability evidenced by the *Mayaguez* rescue (1975) and the tragic Iranian hostage rescue attempt at Desert One (1980). The result of the reformers' efforts was the 1986 Department of Defense Reorganization Act (Public Law 99-433). The act, referred to as Goldwater-Nichols for its sponsors, Senator Barry Goldwater (R-Ariz.) and Congressman Bill Nichols (D-Ala.), has been called "the most important piece of military legislation in the last forty years . . . [and] the most dangerous" (Previdi 1988, 9).

Specifically, the act made the Chairman of the Joint Chiefs of Staff (JCS) the principal military advisor to the President, the Secretary of Defense, and the National

Security Council. It empowered the Chairman to offer cross-service advice without prior approval of the other service chiefs, and converted the joint staff from a corporate JCS staff to the Chairman's own. The act also modified the military personnel system, so that officers are trained and rewarded for service in joint positions (Hendrickson 1988, 111-112).

Critics of this act argued that by strengthening the Chairman, Congress dramatically increased the power of the military, and thus challenged the civilian control imposed by McNamara. John Lehman, former Secretary of the Navy, finds that "in their understandable quest for efficiency, the military reformers have . . . disenfranchised the civilian officials of each service, and created autocracy in the Joint Staff and arbitrary power in the person of the Chairman" (Powell et al. 1994, 24).

The debate on the effect of Goldwater-Nichols continued to burn and at the center of the controversy was General Colin Powell, the first post Goldwater-Nichols Chairman, called by Kohn "the most powerful military leader since George C. Marshall, the most popular since Dwight D. Eisenhower, and the most political since Douglas MacArthur" and under whom "civilian control eroded most since the rise of the military establishment in the 1940s and 1950s" (1994, 9). Powell and his philosophy on the employment of force, later called the "Powell Doctrine," continued to influence civil-military relations through his service as Secretary of State.

The debate continues to this day, though the long wars in Iraq and Afghanistan have changed the tone somewhat. There have been events that have reinforced U.S. citizens' and the government's confidence in the civilian control of the military. Such events include Army Chief of Staff General Shinseki retiring in 2003 after a clash with

Defense Secretary Rumsfeld over troop strength in Iraq; the 2009 retirement of Admiral Fallon, commander of the Central Command, due to apparent disagreement with the position of the Bush White House concerning the use of military force against Iran; and the June 2010 relief of General McChrystal, commander of U.S. and allied forces in Afghanistan following his published disparaging remarks about senior White House Officials and allies.

All of this which has gone before has shaped the American people's view of the military, its expectations of the military's service and professionalism, its tolerance for error and missteps, and its willingness to entrust its sons and daughters to the military. These preceding events, regardless of their other influences, show that the civilian government of the U.S. still exercises full authority over its military forces, and those forces adhere faithfully to their oath to "support and defend the Constitution of the United States against all enemies, foreign or domestic."

Chapter II

LITERATURE REVIEW

Environment

Organizational Construct

Organizationally, the Navy is a highly structured machine bureaucracy, hierarchical, defined by specialization of function, and a rigid system of rank-based authority. Ships are a microcosm of the larger design with crews organized in a hierarchical design driven by functions and technical specialization. Atop this hierarchy is the CO, charged with "the authority and responsibility for effectively using available resources and for planning the employment, organizing, directing, coordinating, and controlling of military forces for the accomplishment of assigned missions" (Bird 2012, 1-2). Under the concept of "unity of command," the CO is "ultimately responsible for the unit and the personnel assigned" (Bird 2012, 1-1).

Aboard ship, the crew is divided into departments by technical function such as Supply, Engineering, Operations, and Combat Systems. On most ships, the departments are led by Lieutenants (pay grade O-3) or Lieutenant Commanders (pay grade O-4) although the positions call for higher ranked officers on larger vessels such as large amphibious ships and aircraft carriers. Departments are subdivided into divisions also based on technical functions, for example Combat Systems would include divisions of Sailors whose technical specialties support the operations of gun and missile systems, fire control radars, and sonars. The Operations department would include navigation and

communication divisions. Divisions are led by Division Officers who typically are Ensigns (pay grade O-1) or Lieutenants (junior grade) (pay grade O-2). A division can number from 20 to 100 sailors depending on the ship type and the function of the division.

Officers oversee key aspects of all activities, from the firing of main weapon systems and operation of the engineering plant, to the conduct of routine maintenance and administrative functions, to ensure effective and safe execution of tactical and support functions. They do so by overseeing cross-functional teams in which most direct supervision and technical guidance is conducted by senior petty officers (non-commissioned officers). All of the major functions of a combatant vessel are team events, including navigation events such as departing or entering port, operating weapon systems, conducting damage control functions such as firefighting, and sustainment functions such as refueling and replenishing supplies while underway at sea.

With the exception of a very few specialized craft, the officer directing a ship's course, called the "conning officer" does not physically manipulate any controls, unlike an aircraft or a car. Instead, this officer gives verbal orders to enlisted watchstanders who actually handle the ship's controls. The officer maintains a sharp visual watch on the effects of the orders given and the situation around the vessel. Many routine events such as launching small craft, replenishing at sea, and even mooring the ship have elements of danger for the teams that conduct them.

As a bureaucracy, the Navy deals with the elements of danger by minimizing the risk of error with defined standardized procedures in the form of instructions, checklists, and manuals. A prime example is the *Standard Organization and Regulation Manual*

(SORM) which spells out the duties and responsibilities of all officer positions aboard ship and a multitude of organizational details down to the standard committees, their purpose, and the frequency of their meetings (Bird 2012). Training and inspections focus on the knowledge of and use of this and a multitude of other instructions, enforcing their use and promulgation.

Physical Environment

The physical environment of a warship is essentially that of an industrial plant operating in an inhospitable climate. These steel vessels, bearing sophisticated electronics and complex mechanical and hydraulic systems, operate in a corrosive and frequently physically jarring marine environment and require extensive continuous maintenance to sustain operability. Ships' crews employ heavy industrial machinery, toxic chemicals, flammable fuels, explosives, and high voltage electricity in activities that require around the clock operations in all types of weather. As described by Gunderson in a report for the Navy's Bureau of Medicine and Surgery,

> Shipboard living may involve excessive noise, crowding, heat stress and poor ventilation, unpleasant odors, lack of privacy, lack of recreational facilities, boredom, long or irregular hours with sleep deprivation, poor environmental design (for example, mazes of pipes, wiring, and ducts in living spaces), and arduous and incessant routine maintenance (cleaning, painting, and repair) (1976, 68).

Aboard ship the situation is not one of an intense, focused danger like that experienced by an infantry foot patrol facing a hostile opponent in Iraq or Afghanistan. Rather, it is one of a casual, ever-present danger needing only a moment of inattention or miscommunication for a heavy boat being hoisted for launching, or a cable or mooring line under heavy tension to inflict serious harm. The nature of these operations and the hazards of the environment demand competent teamwork. To be effective and safe, this

teamwork must incorporate skill, responsiveness to commands and changing situations, and clear communication. The communication is both within the team and with the CO or person entrusted to maintain proper awareness of the larger operational picture and the relative importance of an activity.

For example, conducting replenishment which is restocking food and materials at sea requires maneuvering vessels to within 100 feet of each other and passing and connecting heavy cargo-carrying rigs between the ships. This process can also involve simultaneously conducting flight operations to allow the delivery of cargo by helicopter. It would be dangerous to conduct any sort of training or maintenance that could affect the engineering plant's delivery of electricity or propulsion at that time. The CO, or the designated Officer of the Deck (OOD), who is charged with the safe operation of the ship as a watchstanding duty, must maintain and communicate that situational awareness to key personnel participating in the replenishment to minimize the danger of accidents during these events. The numbers of personnel employed, even in routine operations and the requirements of watchstanding to ensure safety and continuous readiness for emergency or hostile action, require very long days of most personnel, but particularly junior officers.

One of the primary tasks of Surface Warfare junior officers aboard ship is to fulfill the qualification requirements to be officially designated as Surface Warfare officers. This qualification requires extensive watchstanding in order to complete mandatory seamanship and engineering qualifications. These watches, also an essential part of operating the ship, occur around the clock.

Customarily, watchstanding and time spent studying the ship's capabilities are executed in addition to a full day's work. For a junior officer, this entails overseeing the operation of one of the ship's divisions, involving endless paperwork, and a host of additional administrative duties, some minor, such as Voting Officer, Morale Welfare and Recreation Officer, or Command Historian, and others, more vital, such as Security Manager or Legal Officer. This means that, until the warfare qualification is completed, 18 to 20 hour workdays at sea are common occurrences for junior officers.

Even after qualifications are completed and junior officers advance in rank and responsibility, due to the operational tempo and the requirements for significant officer presence in navigation, engineering, and safety of operation stations, sleep deprivation is a normal condition for most officers. During particularly intense training periods and in operations in company with an aircraft carrier battle group, it is common for officers, particularly Commanding Officers and Executive Officers (XOs), to work for several days continuously without sleep.

Dozens of studies have been conducted on the effects of sleep deprivation on mood, cognitive ability, risk taking, vigilance, decision making, communication, and impulsive behavior control (Acheson, Richards, and de Wit 2007; Harrison and Horne 2000; Kobbeltvedt, Brun, and Laberg 2005). There is broad acceptance that sleep deprivation causes delayed reactions to stimuli, slowness in certain cognitive processes, and increases in negative moods (Kobbeltvedt, Brun, and Laberg 2005). As a secondary effect, Harrison and Horne cite several studies that attribute greater risk-taking while affected by a negative mood (2000, 239).

Possibly the most relevant effect in this environment is decreased innovative thinking and communication ability. Most key shipboard evolutions such as mooring, anchoring, navigating restricted waters, and maneuvering alongside another ship are team events and are heavily reliant on communications. They are also the cause of many, though not the majority of, CO dismissals (Higgs 2010; Maltby 2010). In these evolutions, the precise location of the ship and its movements are monitored and controlled using information relayed verbally. If those communications and the responses to them are not clearly understood and the appropriate action taken, the result could be collisions or groundings.

Harrison and Horne cite several studies which document decreased ability to comprehend and assimilate incoming information, especially in large amounts (2000, 238), as would be the case in these situations as one monitors speed, course, the effects of wind, range and bearing to shore, navigation aids, and other vessels. In their study conducted in 1997, Harrison and Horne noted the marked degradation of an individual's ability to communicate clearly due to sleep deprivation. The condition led to increased mumbling, slurring, extended pauses, and incomplete messages. There was also an increase in editing information, leaving out new or changed information. Additionally, the deprived recipients of the communication experienced increased perserveration, which is continuing on a course of action that was no longer optimum in the face of new information (Harrison and Horne 2000, 238). Taken as a whole, the findings of these studies indicate that sleep deprivation could have a pronounced detrimental impact on the effectiveness of the communications-intense team activities that are essential to executing the Surface Warfare mission.

Miller, Matsangas, and Kenney chronicle a 10 year series of studies conducted by the Naval Post Graduate School on sleep deprivation, primarily focusing on Navy training commands, and Navy and Marine Corps operational units. These studies dealt mostly with attempts to accommodate and manage participants' sleep cycles and the effects of the operational environment and pace of activity on service members. The studies in surface warfare units showed consistent, widespread sleep deprivation. This is despite the Navy's implementation of the Navy Standard Work Week in 2007 in an attempt to staff units in such a way to sustain safe and combat effective operations, accounting for the need for rest (Miller, Matsangas, and Kenney 2012).

Another aspect of both the organizational and physical environment, particularly for the COs, is isolation. Ships spend a great deal of time at sea operating independently, patrolling, and providing military capabilities and American presence in remote locations. Deployments from homeport can range from six to nine months depending on mission requirements. Even when operating with a carrier strike group, ships are not in close proximity and interactions between COs are limited. Generally, the CO is the most senior officer onboard and has no peer. The CO may report to a squadron Commodore thousands of miles away or the Strike Group Commander tens of miles away, but there is no one immediately at hand to hold that officer accountable for behavior or decisions. The CO may confide in and consult with the XO, who is the second in command of the ship, and the Command Master Chief (CMC), the senior enlisted person on board. However, they are both the CO's subordinates and subject to the CO's evaluation of their performance. Their ability and willingness to address inappropriate behavior or questionable decisions on the CO's part could be affected by that relationship.

Junior officers have another stressor in the environment which is neither organizational nor physical, but emotional. Shipboard service for junior SWOs is a very competitive atmosphere. One is competing with one's colleagues for success as measured by performance evaluations and the accomplishment of qualifications. SWOs desiring to be truly successful in a career in that community must pursue qualifications and selection for CO. The selection criteria are very high, the positions are few relative to the number of SWOs seeking them, and every fitness report written comparing officers against their peers is part of the record by which they will be judged. It is in this intense, demanding, tradition bound, and dangerous environment that the Surface Warfare community train and develop the young men and women who will be its future leaders.

Training

Primary Training

The Navy has three primary training pipelines for personnel who enter the Navy to become officers: the United States Naval Academy (USNA), the Naval Reserve Officer Training Corps (NROTC), and the Officer Candidate School (OCS). Each of these programs provides roughly one quarter of all officer accessions into the Navy. The remaining quarter receive their commission through small specialized programs that directly commission specialists such as doctors and dentists and an enlisted-to-officer program called Seaman to Admiral-21.

These programs and institutions are all guided by the *Officer Professional Core Competencies Manual* which specifies the "knowledge, skills, and abilities basically trained Naval officers must possess upon graduation from an accession program" (Miller and Steindl 2011, Executive Summary). Within its Leadership and Management module

are the topics of honor, judgment, integrity, and moral courage. In addition to instruction in leadership and ethics, the midshipmen and officer candidates receive hands-on leadership training through a variety of leadership positions within their organizations. The student bodies in these institutions are organized in a typical military hierarchy with students performing leadership roles at multiple levels, with a wide range of responsibilities and authority over the performance and behavior of their classmates. These assignments ensure that the students receive a modicum of practical experience in leading before joining the fleet.

The Naval Academy was founded in 1845 and provides midshipmen an education in all aspects of naval operations, engineering, navigation, and military customs and tradition, as well as baccalaureate degrees in majors including naval architecture, electrical engineering, oceanography, computer science, quantitative economics, and history.

The Naval Academy has in place the Vice Admiral James Stockdale Center for Ethical Leadership, whose website displays the mission to "Empower leaders to make courageous ethical decisions." This center is a research and outreach adjunct to the Department of Leadership, Ethics, and Law. The department develops and provides the ethical and leadership training for the USNA midshipmen with a curriculum that spans the four year course of instruction. The topics covered include required courses in leadership theory and application, moral reasoning for naval leaders, naval law, and electives in psychology and human behavior.

The Stockdale Center augments the curriculum with seminars, speakers, and workshops, as well as conducting research in the field. This program, begun in 1998,

perhaps in response to a series of cheating scandals in the mid-1990s (McKay 2009), provides a structured curriculum stressing moral leadership. Unfortunately for the purpose of this study, the effects of this program on its graduates would not yet be observable among COs, as it has not been in place a sufficient period of time for its graduates to achieve command in appreciable numbers.

The Naval Reserve Officers Training Corps (NROTC) was established in 1926 and currently has programs on 150 college campuses nation-wide including such schools as Stanford, Massachusetts Institute of Technology, Cornell, Duke, University of North Carolina-Chapel Hill, and Notre Dame. In conjunction with their civilian baccalaureate studies, program participants are provided instruction similar to that of the USNA midshipmen. NROTC midshipmen receive training in ships' engineering plants, weapons systems, naval operations, navigation, and seapower and maritime affairs (Naval Reserve Officers Training Corps 2011).

More importantly to this study, they receive approximately 30 hours of courses in leadership, management, and leadership ethics (Stein 2005). These courses include extensive readings on the theory and practice of leadership as well as written and video case studies employing plausible scenarios to developing ethical leadership decision making skills.

The Officer Candidate School in Newport, Rhode Island hosts a number of schools for various groups within the Navy, but its primary mission is to provide a 12 week curriculum designed to equip the Officer Candidates with the basic knowledge of the naval profession, including military, nautical, and systems engineering topics. In addition, they receive instruction in leadership topics such as team-building,

decision-making, motivation, leadership qualities, and military law. As with the other institutions, OCS must meet the requirements set out by the *Officer Professional Competency Manual,* including those for leadership and ethics training.

Once the midshipmen or officer candidates are commissioned as naval officers with the rank of Ensign (O1), they spend roughly two years of additional study and on-the-job training to become qualified Surface Warfare Officers. They begin this process with a recently created eight week course, the Basic Division Officer Course (BDOC). This is the latest iteration in a long series of attempts to perfect a fundamentals course for all new SWOs that began in 1970 with the six week long Surface Warfare Officer Basic Course. By the 1980s the course had been lengthened to six months and became the Surface Warfare Officer School Division Officer Course (SWOSDOC) (Robinson 2008). However, the end of the Cold War, budget considerations, and changing attitudes toward classroom training and new learning technologies, first reduced classroom time and later ended SWOSDOC completely.

In 2003, SWO classroom instruction ended with the creation of the "SWOS at Sea" computer-based shipboard curriculum. This five compact disc set of lessons was to be completed completely at sea in conjunction with the young SWOs' regular duties (Eyer 2009). Retention surveys and observations from senior SWOs began the return to classroom training with the creation of Surface Warfare Introduction (SWO INTRO), a four week course initiated in 2008 by Vice Admiral D.C. Curtis, then Commander of Naval Surface Forces (Naval Surface Forces Public Affairs 2011). That course evolved into BDOC which began in October 2012 (Gonzalez 2012).

Despite the fluctuation in learning venues and course lengths, leadership has always been a component of the instruction. During the period SWO INTRO was in use, young SWOs attended the one week long Division Officer Leadership Course with instruction in leading change, resource stewardship, mission accomplishment, leading people, and working with people. This course is now incorporated into BDOC, where it is the first course in the Navy Officer Leadership Continuum. This continuum of training refreshes and reinforces leadership training at the outset of each major career milestone role, from Division Officer (DIVO) and Department Head (DH), through XO to CO and Major Command (Covell 2012).

Surface Warfare Qualification

The foremost duty for Ensigns is to achieve their Surface Warfare qualification. This is the foundational requirement for a career as a SWO and must be achieved within the first 22 months of shipboard service, generally during the first Division Officer tour. Officers normally spend the first three to three and a half years as Division Officers, which can include serving on two different ships and managing a division of Sailors in each.

The Surface Warfare qualification entails the previously described classroom training, and an extensive array of highly structured on-the-job training requirements using a structured system called Personnel Qualification Standards (PQS). The training includes (1) completion of the SWO BDOC; (2) completion of one or more modules of the computer based training program called Surface Warfare Officer Study Guide; and (3) completion of PQS for the following watchstations and duties: Inport Officer of the Deck, Underway Officer of the Deck, Division Officer Afloat, Small Boat Officer,

Combat Information Center Watch Officer, Basic Damage Control, Engineering Officer of the Watch, Division Officer Afloat, and Anti-terrorism Watch Officer. Once the preceding three requirements are done, (4) the officer must qualify and stand watch as an Officer of the Deck, a position that oversees the maneuvering of a ship through fleet operations and specific actions such as anchoring, and mooring (Gelinne 2011).

Once this process is completed, the officer attends the Advanced Shiphandling and Tactics (ASAT) course and must pass an exam on the nautical Rules of the Road with a score of 90% or above. When all the preceding has been accomplished, the officer must request an oral board to (5) evaluate the individual's ability to operate the ship in combat operations, employ all weapon systems, conduct damage control operations, and conduct all normal administrative and training functions to prepare a ship for all operations (Gelinne 2011). Once all this has been satisfactorily completed, the officer is designated as a SWO and is entitled to wear the SWO breast pin. See Illustration 1.

Illustration 1. Surface Warfare Officer Breast Pin

Source: Department of the Navy, *U.S. Navy Uniform Regulations* 1998, 279.

The SWO approach to qualifying in one's basic warfare skills is distinctly different than in the aviation community. Aviators spend their first two years in a dedicated training environment to develop their warfare skills and win their wings, prior to reporting to an operational command. Similarly, submariners undergo a year and a half of training on route to their first sea assignment, although they, too, must undergo significant hands-on training once onboard to qualify as designated submariners.

After completing the division officer tours and the SWO qualification, officers typically rotate ashore, for service on a headquarters staff or to attend a graduate education program. Once this is complete, the SWOs return to sea as department heads, overseeing the weapons, engineering, or operations department, for example. In preparation for this tour, the officers, now Lieutenants (O3), will attend the Surface Warfare Officers School Department Head course.

This course is the descendant of the Destroyer School established in 1966. The creation of the Destroyer School was a significant step toward professionalizing the SWO community, which had previously relied strictly on on-the-job training to equip its officers to fulfill their duties (Robinson 2008). Then, as in the Surface Warfare School today, prospective Department Heads were trained in all aspects of naval warfare and the administrative programs guiding the daily functions of the Navy. Attendance at the Department Head course is coupled with a leadership course much like the Division Officer's Leadership Course, which emphasizes the principles contained in the Navy Leadership Continuum Model.

Command Qualification

> Command of a surface ship is a challenging assignment which places extraordinary demands on professional skills in the area of seamanship, warfighting, tactics, resource management, judgment, endurance, and leadership. Qualification must be limited to those officers who have both met the requirements and who, by their outstanding performance over a breadth of sea tours, have clearly demonstrated the potential for command (Thomas and Hunt 2012, 2).

Having achieved SWO designations as Division Officers, SWO Department Heads embark on an extensive program of additional technical qualifications in order to be found qualified for command. This process includes further extensive watchstanding,

demonstrated and documented practical knowledge, a comprehensive examination, and oral examinations. Prospective COs must serve for 60 months on a ship or afloat staff, complete the SWO Department Head course, achieve qualification as an Engineering Officer of the Watch, capable of operating the engineering plant of a ship, and Tactical Action Officer, capable of "fighting the ship" or employing its weapons in combat. Officers must also demonstrate specific skills in shiphandling including mooring to and departing from a pier, anchoring, maneuvering through restricted waters, replenishing from another ship while underway, and recovering a simulated person lost over the side (Thomas and Hunt 2012).

Once all qualifications have been achieved, a comprehensive Command Qualification Examination covering all topics of naval operations and administration is administered. When that test has been satisfactorily completed, an officer may request a recommendation for the final oral review board. The application must include the officer's commanding officer's statement that he or she would be willing to have that individual assume command of his or her ship. This final review board is composed of current commanding officers (O5s) and chaired by a Squadron Commodore, a Captain (O6).

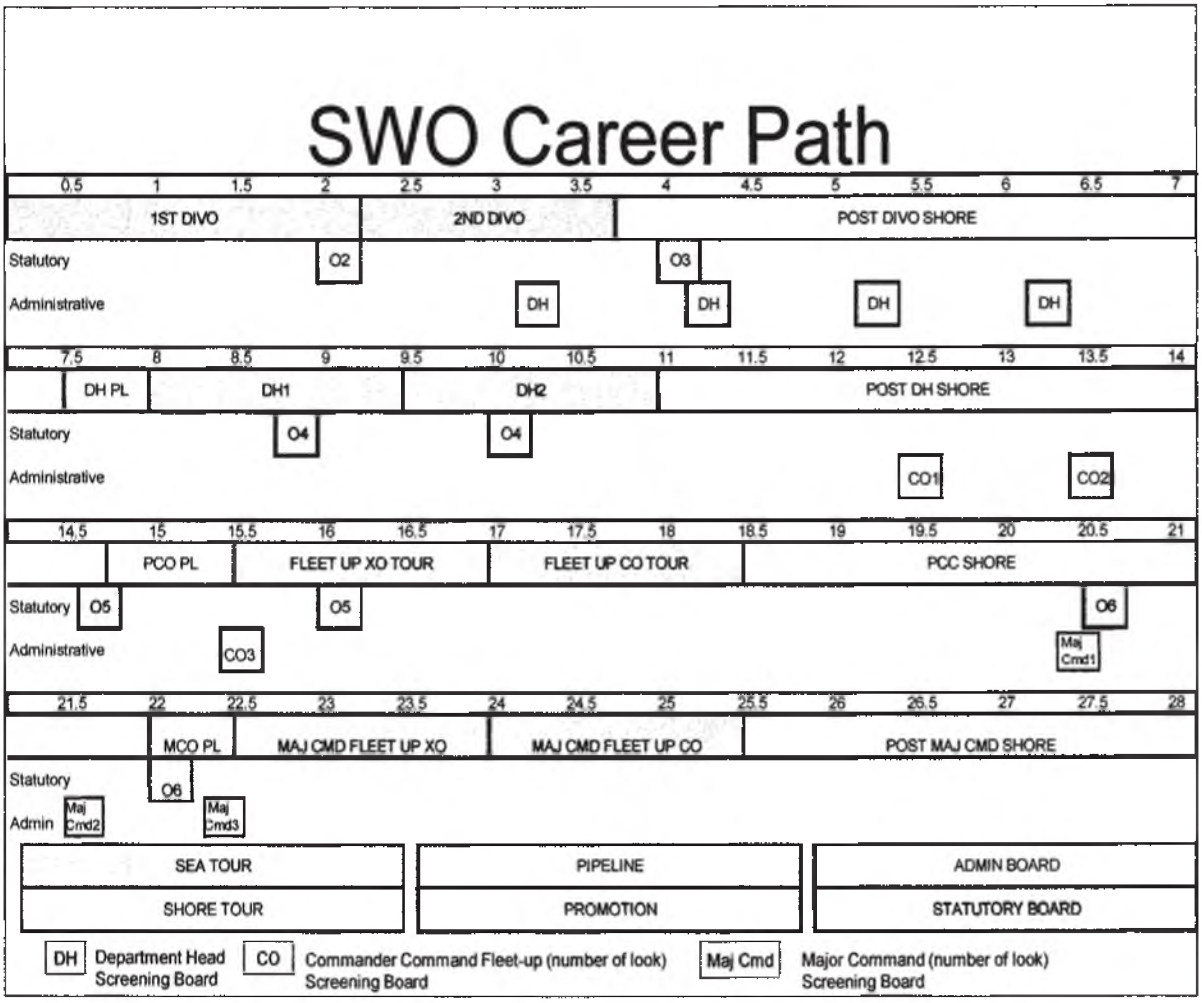
This board quizzes the officer on any and all aspects of naval service, stressing scenarios to challenge the individual's technical knowledge, judgment, and decision-making. A satisfactory finding by this board is forwarded up the officer's chain of command to the Surface Force Type Commander who designates the officer "qualified for command" and notifies the Navy Personnel Command. Navy Personnel Command annotates the officer's record, making him or her eligible to have his or her record

reviewed and compared with all other qualified officers for a CO position by an administrative selection board (Thomas and Hunt 2012). This process sets a very high standard for officers who achieve command.

However, selection for command does not mean an end to training. Once selected for command, officers from every community are required to attend the two week Command Leadership Course (CLC) at the Navy's Command Leadership School. While there they complete a 360 degree assessment and a written exam which covers leadership tenets, CO rights, responsibilities, and duties under *Navy Regulations* and the *Uniform Code of Military Justice* (UCMJ) (Thomas and Hunt 2012). Officers who are especially successful in their role as CO at the Commander (05) level may be selected for a Major Command which may be a larger, more capable ship, such as a cruiser, or a Destroyer Squadron, which oversees a group of four to seven destroyers and frigates. There is a specific leadership course for those officers as well.

The XO, CO, and Major Command courses focus on decision-making skills as well as the topics mentioned earlier. The required reading includes texts on ethics and principled leadership, and the course includes the review of 10 to 12 case studies on the relief of commanding officers for cause, for the value of lessons learned (Higgs 2010). An idealized depiction of the complete SWO career path including promotion windows and training periods is shown in Illustration 2. This conveys the duration of the process and some idea of the personal dedication and commitment involved on the part of those striving for successful careers in the SWO community.

Illustration 2. SWO Career Path



Source: Surface Warfare Career Planning Seminar Brief Fall 2012.

Explanation of terms and abbreviations:

Numerals running above the colored tour descriptions indicate the numbers of years in service coinciding with the events.

DIVO: Division Officer

DH: Department Head

PL: pipeline, the training period immediately prior to assuming a certain position.

PCC: post-commander command

Statutory: a selection board required by law

Administrative: a selection board required by Navy policy

Throughout a naval career, all personnel must also participate in a program of non-occupational training called "General Military Training (GMT)." This program provides lessons on a broad range of topics focused on promoting Navy values, reducing negative behavior, and providing individual skills to aid personnel in successfully dealing with the rigors of a Navy career and in living a responsible life. This training is conducted within each unit using standard curricula either in person by senior leaders or trained facilitators, or online. For 2014 the following topics for GMT requiring face-to-face instruction include alcohol abuse prevention and control, hazing policy and prevention, stress management, sexual assault prevention and response awareness, and personal financial management. Online course requirements for the year include anger management, combatting trafficking in persons, drug abuse prevention and control, and fraternization awareness and prevention. Attendance and completion of all such training is reported by the command at the individual level and tracked by the Navy at the highest levels (Moran 2013).

In addition to traditional training, junior officers can access the experience and knowledge of senior SWOs through the Commander Naval Surface Force online e-Mentor program. Begun in 2009, the program employs technology to assist junior officers to match themselves with mentors with compatible backgrounds. By April of 2010, the program boasted an enrollment of 650 officers including 100 COs.

Organizational Culture

Organizational Culture Defined

The Navy is an organization, which is "a consciously coordinated social entity, with a relatively identifiable boundary, that functions on a relatively continuous basis to achieve a common goal or set of goals" (Robbins 1990, 4). Simply put, the Navy is a collection of people, interacting and cooperating for a shared purpose. While doing so, the actions of the participants in the organization are guided in part by their organizational culture. This is the "personality of an organization that guides how employees think and act on the job" (Desson and Clouthier 2010, 1).

Organizational culture has been defined in many ways: "a system of shared meaning" (Robbins 1990, 438); "a negotiated order that emerges between actors . . . influenced in particular by people with symbolic power - the power to define a situation in which interactions take place" (Hallet 2003, 130); and, perhaps most definitively as, "a pattern of basic shared assumptions that was learned by a group as it solved problems of external adaption and internal integration, that has worked well enough to be considered valid and is therefore taught to new members as the correct way to perceive, think, and feel in relation to those problems" (Schein 1990, 111).

Organizational cultures develop over time, through shared experiences, and are begun based on the vision, beliefs, and values of the founders (Robbins 1990, 444; Schein 2010, 219). Robbins holds that cultures serve a number of functions, the first being to define one organization from another. The second is to create a sense of identity among its members. The third function is to facilitate commitment on the part of members to the goals or outcomes sought by the group. A culture's fourth function is to

provide stability, the "social glue that holds the group together," by establishing behavioral standards for the members, and fifth, it sets a "sense-making and control mechanism" of "assumptions, understandings, and implicit rules" that members employ in their interactions and activities to achieve the group's purposes (Robbins 1997, 240).

Schein asserts that there are three levels of an organization's culture, which range from the tangible to the conceptual: artifacts, espoused beliefs and values, and basic underlying assumptions. Artifacts are the tangible or overt symbols which in the case of the Navy would include uniforms and rank insignia and rituals, such as saluting, ceremonies, stories about the organization, as well as published statements of values. Espoused beliefs and values are the content of ethical standards, codes of conduct, and mission statements. Basic assumptions are deeper in the organization's unconscious, underlying and uncontested rules that shape the way members perceive situations and the way they behave in response (2010, 23-31). According to Schein, assumptions begin as values, but as they prove to be valid and "stand the test of time, gradually come to be taken for granted and then take on the characteristics of assumptions" (1990, 112).

These cultures are sustained through the selection of persons who fit the desired characteristics of members, the role-modeling behavior of senior management, and the socialization of members (Robbins 1990, 447). The process of socialization is one of adaptation to the "values, norms, and expected behavior patterns" of their organization (Robbins 1990, 97). This adaption involves learning which values are "operational and rewarded" in the organization (Victor and Cullen 1987, 51). Socialization or acculturation takes place throughout a member's association with an organization through the member learning stories, such as accounts of successes and historical events; rituals

such as awards ceremonies or the Navy's change of command ceremonies; material symbols which convey the image of the organization, for example the heraldic crests of ships and squadrons; and finally, language such as technical jargon or common phrases and acronyms used by the organization (Robbins 1990, 448-450).

Reconciling Civilian and Military Culture

A critical step in creating a Sailor or a CO is the adaption to military culture early in the career. That transition from civilian to military member is one with which most feel they have some familiarity, if not from personal or close family experience, from popular culture. Most have been exposed to images of basic military training through the media of television, film, and written accounts. It is a transition initially marked by the loss of independence and individuality.

The midshipman or officer candidate is removed from the comforts and familiar environment of home and placed in a highly structured environment that emphasizes obedience, teamwork, and discipline. According to Hollingshead, "From the viewpoint of the institution, the ideal soldier would be the one who had so identified himself with the military situation that all his personal, psychic, and emotional needs would be satisfied by the instrumentalities provided by the institution" (1946, 442). Such an individual would, theoretically, not be concerned about the issues which affected civilian life: not livelihood, not relationships, nor the possibility of death in action, apparently creating an ideal soldier. However, that is not possible, nor is it truly desirable.

As Rosen points out, a military too separated from its society may create distrust and be seen as an "alien element" by its own society (1995, 6). This separation may result in a society that is unwilling to entrust its defense to an entity that differs too greatly from

the society in terms of values. Rosen cites Max Weber's assertion that military discipline "would destroy the loyalties and habits of behavior that soldiers brought with them into the army from society" (Rosen 1995, 6). Huntington similarly stated that military effectiveness, that is "the management of violence," is diminished when the military is made to reflect competing elements of society, specifically citing examples of the service of French nobility (1957, 26-29). Kohn asserts most firmly that the Army has never represented the American society, "unless a centralized, stratified, cohesive, authoritarian institution that stressed obedience and sacrifice can reflect a decentralized, heterogeneous, individualistic, democratic, capitalist society" (1981, 563). These opinions highlight the divergence of military values and structures from the society it protects, but the military is a product of the society and, in the case of the United States, does the bidding of the society.

All those who enter the military profession must make the transition from a full participant in society to a protector of the society, with rights that are greatly constrained and responsibilities that exceed and defy the limitations of our laws and conventions. Aside from the obvious requirement that one is willing and able to wield violence and destruction as an instrument of the government, other conventions are also set aside. Consider for example the successful service of women in many militaries, including America's own. The protection of women from exposure to violence had for centuries been a cultural norm in Western society, yet women serve today with strong endorsement of their male colleagues (Titunik 2008, 146). Yet, while some conventions are set aside, others requiring adherence to values of integrity, courage, and honor are imposed to a degree rarely seen in society. Each individual joining an organization must reconcile the

differences between the values possessed upon entry and those values espoused by the organization.

Ethical and Moral Aspects

All officers entering the Navy bring with them a set of values and a moral perspective, and in some cases those values and perspectives may not match the expectations of their service. An important means of enculturation for a significant portion of the officer corps is the Naval Academy, which is steeped in tradition and naval lore and introduces midshipmen to the values of the Navy for the first time. Dornbusch, in recounting his experiences at the Coast Guard Academy, asserts that one of the things learned at the Academy is that "regulations are not considered of paramount importance when they conflict with informal codes" (1955, 317).

Granted that it is a different academy, but Karsten cites historical precedent for similar attitudes at the Naval Academy where there were committed "many offenses of a military nature . . . which would be severely punished by the authorities . . . yet at which most midshipmen would just smile" (1972, 39). The Naval Academy experienced a highly publicized cheating scandal in the mid-1990s, prior to the creation of the Stockdale Center, in which 134 seniors were implicated. Investigations led to 62 being found guilty of honor code violations, with 24 of these ordered expelled by Secretary of the Navy John Dalton (McKay 2009; Valentine 1994). This could be seen as the continued influence of attitudes and values like those remarked upon by Dornbusch and Karsten. It is also indicative of the difficulty of instilling and sustaining the formal values of an institution, by overwriting the values and ethical standards of its students with its own.

Dr. David Callahan, a Princeton–educated political scientist, makes a compelling case on the rise of unethical behavior in America in *The Cheating Culture*. It is his position that American society now values success far more than honesty, and as a result, the entire culture is rife with all manner of cheating. Callahan asserts that "individualism and self-reliance have morphed into selfishness and self-absorption; competitiveness has become social Darwinism; desire for the good life has turned into materialism; aspiration has become envy" (2004, 19-20).

Callahan offers an extensive array of examples of significant, newsworthy instances, cheating in business, academia, law, politics, medicine, journalism, and sports. Practically every facet of life is represented. Beyond the view of news cameras, Callahan paints a portrait of a society fully engaged in "trickle-down corruption" in which employee theft, low level tax evasion, theft of cable services, and lying to insurers are actions so common as to be generally socially acceptable (2004, 167-195). Callahan's premise is that inequities in our economic and political systems have created a "winning class" of the wealthy and powerful for whom cheating provides massive returns and whose positions greatly reduce the risk of punishment. Beneath this class is the "anxious class" of middle and lower income status for whom "[t]he message is not just that the world is unfair and the rich can get away with murder; it's that people who cut corners get ahead" (2004, 194).

One does not have to agree with Callahan's assessment of the causes behind this phenomenon to believe that the overall effect of being exposed to the constant media barrage of illegal and unethical activity could be to lessen an individual's commitment to ethical behavior. Several national surveys on ethics appear to support Callahan's

assessment of the national ethical climate. The Josephson Institute, Center for Youth Ethics, conducts a biennial survey of American high school students for its *Report Card on the Ethics of American Youth*. In the 2011 report, 59% of the 40,000 teenagers surveyed admitted to cheating on an exam in the past year, and 48% of the males said they sometimes lie to save money. This is an interesting contrast to the 92% of the students who said they were satisfied with their personal ethics and character (Josephson Institute Center for Youth Ethics 2011). Does that indicate an attitude toward cheating that no longer categorizes it as unethical behavior?

Similarly, the Ethics Resource Center's 2011 National Business Ethics Survey (NBES) revealed that 45% of U.S. workers observed misconduct on the job, and 42% of companies are perceived as having weak ethics cultures. This indicates a 13% rise in firms with poor ethics climates in the two years since the previous survey (2012, 12). Susan Meisinger, an expert in human resources (HR), commenting on the survey, points out that among the employees who feel a bond to their co-workers and the firm, 72% are willing to report misconduct, in contrast with 58% who do not feel that "their workplace is a close community" (2012, 2). Thus, a positive workplace environment inspires ethical behavior.

Dr. Michael Mumford has studied and written extensively on leadership and organizational integrity and their influence on ethical decision making. In a study of 105 doctoral students in scientific research fields, he found that the ethical climate of an organization, particularly the aspect of interpersonal conflict within an organization, had a significant impact on the making of ethical decisions (Mumford et al. 2007, 361). Students with more positive perceptions of the ethical climate were less likely to make

unethical decisions, while those with more negative perceptions were more likely to make unethical decisions.

Expanding on this work, Mumford conducted a subsequent study on the impact of exposure to unethical events on ethical decision making. This study determined that people exposed to unethical events in the workplace that are accepted by their peers or role models, tended to incorporate that knowledge into their model of workplace behavior to be used in decision making. This would lead, in turn, to a rise in unethical decisions (Mumford et al. 2009, 376).

Professor John Darley, in his work "The Cognitive and Social Psychology of Contagious Organizational Corruption," offers us further insight into the phenomena Mumford recorded. Darley asserts that the initiation of decisions with morally incorrect outcomes often begin with our tendency to make automatic intuitive decisions in cases where a more deliberate evaluation of the ethical circumstances is more appropriate. If those intuitive judgments have as their frame of reference the ethical example set by society as described by Callahan, then the outcome could be unethical or in an ethical gray area. If that erroneous decision is not detected and corrected by the organization, then a number of psychological theories would indicate that it will soon become acceptable to the group and may begin the growth of an unethical culture.

As individuals become members of an organization, social identity theory proposes that they alter their personality in an effort to become a "prototypical" member of it, fully reflecting its values and nature. Our personal identity is then tied by group loyalty and commitment to the actions and behaviors of the group. If members do not comment on an unethical action, though they think it is wrong "due to insecurity or their

lower position in the organizational hierarchy," then all the individuals in the group may engage in "pluralistic ignorance" and mistakenly assume it as appropriate because no one else challenges it (Darley 2005, 1186). This initial misstep may grow exponentially through a phenomenon Darley refers to as "entrainment." In this situation the group is drawn along into increasingly dubious or unethical actions as each new, imperceptibly larger action continues to change the ethical standard and raise the tolerance for unethical behavior (2005, 1185-1186).

This preceding information lends credence to the perceptions of Admiral Arleigh Burke. In a treatise on integrity, Admiral Burke wrote "The integrity of a society or group is approximately equal to the lowest common denominator of its people. When the standards are lowered for an individual, the standards of the group or society to which the individual belongs are lowered" (Montor et al. 1987, 27).

Those lowered standards, perhaps driven by Darley's entrainment, would shape the ethical work climate (EWC) of an organization. EWC is a concept developed by Bart Victor and John Cullen that describes a framework built of "the perceived prescriptions and proscriptions and permissions regarding moral obligations in organizations" (1988, 101). This framework helps an individual facing an ethical quandary to determine "what should I do?" (1988, 101). Their work was subsequently validated and employed by numerous researchers (Barnett and Schubert 2002; Cullen, Victor, and Bronson 1993; Peterson 2002; Trevino, Butterfield, and McCabe 1998; Vardi 2001; Weber 1995; Weber and Gerde 2011; Weber and Seger 2002).

The EWC is defined in two dimensions, the first being ethical criterion. This dimension defines the EWC by three classes of moral theory based on the basic

considerations used for moral judgments. They are egoism, which stresses self-interest; benevolence, which stresses joint interests; and principle, which stresses adherence to a moral code or principle (Victor and Cullen 1988, 104). The second dimension is the locus of analysis which is a referent group that is the "source of moral reasoning" (Victor and Cullen 1988, 105). Based on sociological theories of reference groups and their roles, this dimension has three components: individual, in which the source of reasoning is personal ethics or self-interest; local, in which the source is the immediate surrounding organization; and cosmopolitan, in which the source extends beyond the organization to include others such as members of a shared profession or an abstract influence such as a body of law or ethical code (Victor and Cullen 1988, 106).

To measure and identify EWCs, Victor and Cullen developed the Ethical Climate Questionnaire (ECQ) and administered it to 872 employees of four firms. Through factor analysis Victor and Cullen identified five EWC types: instrumental, caring, independence, rules and procedures, and law and codes (1988). In subsequent studies, an instrumental EWC, which is characterized by self-interest and a focus on utilitarian values, like mission accomplishment, has appeared to be the least desirable EWC. Barnett and Schubert (2002) and Weber and Seger (2002) demonstrated that, compared to other EWCs, instrumental was the least likely to promote ethical behavior. It was also found to be associated with unethical conduct (Peterson 2002; Trevino, Butterfield, and McCabe 1998), including theft and falsification of reports (Weber, Kurke, and Pentico 2003). In comparison, a caring EWC is characterized by concern for others, and is associated with commitment to the group/organization; an independence EWC is focused on the exercise of personal morality and decision-making; a rules and procedures EWC is driven by

compliance with organizational standards; and law and codes is most concerned with adherence to external law and professional practices (Armstrong and Francis 2008; Barnett and Schubert 2002; Trevino, Butterfield, and McCabe 1998; Victor and Cullen 1988; Weber and Seger 2002).

Additional research by Weber (1995) and Weber and Seger (2002) succeeded in associating EWCs to organizational unit functions, specifically using James Thompson's 1967 classifications of technical core, buffer, and boundary-spanning units. A technical core unit is a main line production unit; a buffer unit enables the technical core with logistical or human resources support; and a boundary-spanning unit provides the organization's interface with the external environment.

The previous research had all been business-focused, surveying savings and loans, printing firms, financial institutions, health care firms, and steel manufacturers, until Weber and Gerde's research into EWCs within military organizations. Their work validated its applicability to military organizations by surveying 10 different military work groups of U.S. Army and Air Force active duty, Reserve, and National Guard personnel (2011). They also determined that military units which were at greater risk or whose functions had greater military mission impact were more likely to have either an instrumental or caring EWC than other military units with a supporting role (2011).

It is possible that an organization's EWC and its informal culture or subculture are closely associated. Both are affected by the behavior and values of its members, perhaps more strongly so than by the formal values espoused by the larger, formal organization. This relationship could override the formal culture imposed by the

bureaucratic structure, supporting Admiral Burke's perspective on the lowering of standards.

In the fall of 2010, the Navy Personnel Command invited Michael Josephson of the Josephson Institute of Ethics to speak on the topic of ethics. As part of the seminar, senior and midgrade officers and civilian employees participated in a survey on ethics and values. Josephson queried 300 persons, and 100 responded which yielded a strong response rate of 33%. The survey participants were asked about a series of behaviors and whether in their opinion this conduct was so frequent or serious that it should be addressed more consistently by the Navy. The degrees of agreement with the conditions below were rather surprising:

1. Overly generous and/or misleading fitness reports - 60% agreement
2. Officers overlooking poor or mediocre performance of subordinates - 59% agreement
3. Unaccountability - 59% agreement
4. Looking the other way at improper conduct by high level officers - 55% agreement
5. Willingness to lie, deceive, or conceal for personal advantage or avoidance of negative consequences - 53% agreement
6. Arrogance or abuse of power with respect to subordinates - 52% agreement (Josephson 2010).

This is a rather harsh assessment of the ethical standards these officers have encountered and is indicative of an instrumental EWC as described by Weber and Gerde and of an environment Munford would find conducive to participants making unethical

decisions. Such an environment could contribute to unethical behavior on the part of COs, leading to DFCs.

In "The Bathsheba Syndrome: The Ethical Failure of Successful Leaders," Ludwig and Longenecker place the responsibility squarely on failed leaders. In their assessment, leaders are placed in danger of ethical failure due to four conditions produced by success. As they portray the situation, success creates complacency, allowing leaders to lose focus on their purpose; it provides leaders with "privileged access to information, people, or objects;" it is accompanied by "increasingly unrestrained control" of resources; and it inflates leaders' belief in their own ability to control the results and consequences of their actions (1993, 265). While there is merit in their observations of the freedom that accompanies achieving a pinnacle position, their perspective ignores the organizational culture and any values or expectations of leaders that it imposes, falling short by excluding this noteworthy aspect.

Navy Culture

The official organizational culture of the Navy, as defined by Jermier et al. (1991), would encompass the formal mission statement which is:

> Deter aggression and, if deterrence fails, win our Nation's wars. Employ the global reach and persistent presence of forward-stationed and rotational forces to secure the Nation from direct attack, assure Joint operational access and retain global freedom of action. With global partners, protect the maritime freedom that is the basis for global prosperity. Foster and sustain cooperative relationships with an expanding set of allies and international partners to enhance global security. (Greenert 2012b)

It would also include the standards of conduct as defined by multiple regulations and instructions, the core values of Honor, Courage, and Commitment, and the formal organization structure (Greenert 2012b). Jermier et al. define culture as "the basic,

taken-for-granted assumptions, and deep patterns of meaning shared by organizational participants *and* manifestations of these assumptions and patterns" (emphasis theirs) (1991, 170). They go on to describe manifestations of this culture as including "myths, values, ideologies; stories and heroes; slogans, rituals, rites, and ceremonies" (1991, 170). All these things are thoroughly embraced within the military, perhaps more so than other organizations due to the need to instill loyalty, *espirit de corps*, and discipline.

For example, the Navy reveres the heroes, "the hallowed dead," of its past (Karsten 1972, 27). Their heroic deeds and victories in battle are taught as lessons in leadership and service, and their names, such as John Paul Jones, Stephen Decatur, and Arleigh Burke, grace the hulls of modern warships. The Navy holds ceremonies full of pomp and martial music for the commissioning and decommissioning of ships and for changes of command.

It also observes a ritual going back hundreds of years: the crossing the line ceremony, when passing over the equator. In it, "polliwogs," Sailors who have never crossed the equator, earn their entry into the "Royal Order of Shellbacks," as veterans of a crossing are called, with comedic labors, skits and a ritual baptism (Lovette 1939, 42; Mack and Connell 1980, 192). This ritual also often involved a gauntlet of shellbacks with fire hose sections swatting the polliwogs, who were often made to crawl through troughs of garbage as well. All of this was to prove their worthiness of the Shellback title. That is until 2005, when these type actions were identified and prohibited as hazing (Navas 2005). These traditions, among others, set a particular environment for the practice of leadership and behavior in general that is significantly different than behavior in society.

While the military organizations have been in the vanguard of changes in some values and behaviors in advance of society in general, such as the integration of African-Americans, there are other aspects of the military that are heavily influenced by tradition and reflect customs no longer familiar to most members of American society. There are in current use official Navy instructions on etiquette, ceremonies, and social customs. These include such things as the proper forms of address for dignitaries, the proper form of toasting a monarch, and the use of calling cards when paying a formal call on one's CO for the first time (Talbot 2001).

While incongruous with the predominantly middle-class upbringing of most Naval Officers, these publications are not without purpose. Navy warships do visit ports of many small and distant nations where American diplomats are unlikely to ever visit. In these cases, the Navy practices statecraft and "small d" diplomacy, representing our national interests and our people to government and business leaders as goodwill ambassadors. Junior officers can find themselves in foreign locales, dining and associating with foreign government ministers, aristocracy, and the most senior officers of their militaries.

Accompanying the details of appropriate etiquette is the stated expectation for officers to conduct themselves as gentlemen and ladies with "chivalric demeanor," which implies an elevated social status that harkens back again to roots in the Royal Navy (Mack and Connell 1980, 83). At the time it served as the model for our Navy, officers of the British navy, as in most branches of the military, were from the gentry, the wealthy class, and this phenomenon was seen in the American Navy as well (Karsten 1972).

Karsten argues convincingly that the aspiring Naval Officers of the time were more urbane and prosperous than most of their peers. His analysis of the formative days of the U.S. Navy from 1847 to 1900 shows that while 10% of Americans lived in metropolitan areas, 30% of Midshipman came from urban settings. Furthermore, Midshipmen came predominantly from wealthier families. Specifically, while only 5.38% of males worked in the seven wealthiest occupations, including government officials, 66.2% of Midshipmen came from such families. Conversely, although 30% of men were employed as planters, ranchers, and farmers, only 10% of Midshipmen came from such families (Karsten 1972, 15). As in its British model, the association with gentlemanly behavior and values was incorporated into the culture of the American Navy as well. In fact, today's *Uniform Code of Military Justice* (UCMJ) still contains article 133 which cites as a punishable offense "conduct unbecoming an officer and a gentleman."

Another distinctive aspect of shipboard life that is at odds with civilian society is the officers' wardroom. While the Sailors have their meals served cafeteria style on trays on the large mess-deck, chief petty officers, and officers have private lounge-dining rooms for their use. It is understood that large corporate offices may have separate, nicely appointed dining rooms for the executives, but in the Navy, the junior enlisted personnel serve as mess attendants or waiters for the officers. This is a temporary duty assignment, called "mess cooking" for 30-90 days generally, for the most junior personnel, usually soon after reporting aboard the ship. These junior sailors augment the small number of Culinary Specialists, formerly called Mess Specialists, to provide needed manpower for food preparation and cleaning the food service areas. Their duties also include food service and cleaning the messing and berthing areas of the officers and chief petty

officers. This practice replaces, to an extent, the duties of enlisted personnel originally called stewards. Until the rate was disestablished in the mid-1970s, stewards' duties included serving meals, cleaning officer staterooms, and even shining officer's shoes (Karsten 1972; Szalay and Bryson 1977). These men were essentially servants, and the majority of who were Filipinos recruited specifically for these positions by special agreement with the Philippines (Szalay and Bryson 1977).

These conditions and roles seem at odds with our American democratic and egalitarian society, and surely affect relations between officers and the enlisted personnel they lead. Trappings of social class distinctions could affect the perspective of some individuals as to their role and station within the organization and the way they view themselves within society. These influences shape the perceptions and behavior of our Commanding-Officers-in-training.

Surface Warfare Subculture.

Within the Navy, as with any large organization, there are subcultures that influence the behaviors of their members. Organizational subcultures originate from many sources: members' personal characteristics such as race, age, gender, or ethnic background; personal/social history, such as family background, education, and social class position; and positional characteristics such as occupational specialty, assignment within the organization, or the time of day worked (Jermier et al. 1991, 172). Within the Navy, the effect can be seen in the slight variations of the manifestations within the various warfare communities and the smaller technical specialties and staff corps.

One obvious manifestation is the warfare insignia or breast pin. For over a hundred years of its history, the surface Navy *was* the Navy, but with the advent of

airplanes and submarines that began to change. The aviation community was the first to receive a distinctive breast pin to represent the specialization of its officers. Naval Aviator wings were approved for uniform wear in September of 1917 (Grossnick et al. 1997, 656). The submarine force was the next to receive a pin, the submariner's dolphin pin that was adopted in 1924 (Thornton 1997, 138). However, it was not until 1973 that the SWO community was recognized as having a distinct specialty, with a specific numeric designator, rather than being the "general pool" of Officers and Sailors from which specialists were created (Robinson 2008, 41). It would take until 1975 before the official SWO breast pin was approved (Tweedie 2012, 1). The desire for a counterpart for the aviator wings could reflect the common occurrence of competition between smaller groups within a larger organization. There is strong competition between the warfare communities, and this mostly good natured competition can be seen in the derisive nicknames used in referring to the communities: "black shoes" for SWOs, "airdales" for aviators, and "bubbleheads" for submariners (Walter 2011).

The breast pin was not the only distinctive identifying item the aviators possessed for which the SWOs had no counterpart. The iconic leather flight jacket was another uniform item authorized for and issued to aviators from before World War II through today. In October of 1985, the Navy's Uniform Board authorized the SWO community to wear its own distinctive item: a deep blue "wooly-pully" style sweater similar to those worn by British military personnel (Busey 1985). Originally authorized only for Surface Warfare qualified officers and chief petty officers, the sweater's use was slowly expanded to more communities and eventually replaced altogether by a less distinctive black sweater authorized for all Navy personnel (Department of the Navy 1991).

The desire for the breast pin, the nick names, and the sweater are indicative of a deeper level of competition by the SWOs which dates back to World War II and plays a role in defining the community's culture. Prior to the war, the battleship had been the preeminent naval weapon system, and the possession of these ships was the measure of a nation's naval might. The Battle of Midway, which has been cited as a turning point in the Pacific campaign (Potter and Nimitz 1960, 246), was an aircraft carrier duel, and the first naval battle in which the combatant vessels were never in visual range. Its outcome shifted the focus of naval strength to the aircraft carrier, and began the rise of aviators as a dominant force in the Navy. The Surface Warfare community lost its dominant role and saw it erode further during the Cold War. In that era, the role of aircraft carriers, with the mission of projecting American power ashore from the sea, and the ballistic missile submarines, a key part of the nuclear deterrent system, overshadowed the SWO mission of control of the seas.

As the relative importance of the SWO mission waned, there were empirical indicators of the shift in the standing of the SWO community within the Navy as well, pay being a particularly obvious one. According to Kostiuk, "military aviators have received extra pay for almost as long as they have been flying" (1985, 1). This may be true, though this researcher can only confirm such payments have been made since the issuance of Executive Order 1157 of June 1964 which included pay for "aerial flight" under a provision for incentive pays for hazardous duty.

Commonly called "flight pay," the hazardous duty pay was changed to Aviation Career Incentive Pay in 1974 (Kostiuk 1985, 1) and resulted in aviators earning thousands of dollars per year more than their SWO counterparts. In addition, in 1981 a

program of retention bonuses for aviators, the Aviation Officer Continuation Pay, was begun. This program made experienced aviators eligible for bonuses of up $12,000 per year for each year of additional service to which they committed. The program was discontinued from 1984 through 1988 and then re-authorized as Aviation Continuation Pay (Government Accountability Office 1994, 3). Today the program, now called Aviation Career Continuation Pay, offers bonuses of up to $25,000 per additional year of service, depending on the type of aircraft flown (Van Buskirk 2013b, 1).

Similarly, submariners have received additional compensation for submarine service dating back at least to 1905. Following a dive aboard *USS Plunger* (Submarine #2) in August of 1905, Theodore Roosevelt issued Executive Order 366-B on November 8 which authorized enlisted men "$1 additional pay for each day during any part of which they shall have been submerged in a submarine torpedo boat while under way" (Naval History and Heritage Command 2014; Roosevelt 1905). This payment was to be made, "[b]esides the $5 per month allowed them for submarine service" (Roosevelt 1905).

This program has continued, across a century, to today and has been expanded from enlisted personnel only to include submarine qualified officers increasing monthly pay for senior officers by as much as $835 (Comptroller General of the United States 1975; U. S. Code Title 37 section 301c 2010). In 1969 an additional bonus program was created to retain nuclear engineering trained and qualified officers, which also continues today as the Nuclear Career Incentive Bonus and authorizes annual bonus payments not to exceed $22,000 per year for service beyond their minimum obligated service (U. S. Code Title 37 section 312c 2010; Lorio 2006).

This is not to imply any unwarranted favoritism or discrimination against SWOs, as these financial incentives were legitimate responses to market pressures to successfully compete to retain officers with valuable, marketable skills in whom the Navy had made great investments. However, in contrast to the trend in special and incentive pays above, it was not until 1978 that a program was created to incentivize surface ship service, which was based on rank and years of duty at sea, not SWO qualification (U. S. Code Title 37 section 305a 2010). It was not until 1994 that retention concerns led to the creation of Surface Warfare Officer Continuation Pay, offering bonuses, now up to $50,000, for SWO lieutenants to remain on active duty beyond their minimum service requirement and to complete Department Head assignments (Stoker and Crawford 2008; U. S. Code Title 37 section 319 2010). A subsequent program announced in 2002, the Surface Warfare Officer Critical Skills Retention Bonus, created additional bonuses of up to $46,000 for lieutenant commanders to continue to serve in the SWO community through their 15th year of service (Henry 2002).

These programs represent targeted application of incentives for the purpose of retaining required expertise, not an attempt to achieve compensation parity among the communities. While the differences in compensation are rational and justified from a practical perspective, they could also serve to inspire a diminished feeling of worth within the SWO community. As the days of the battleships faded from the communal memory, the aviation and submarine communities continued to grow in importance, while their members' marketable training earned them greater financial rewards.

This was not the only policy which appeared to disprize the SWO community. For decades it was a practice to automatically transfer to the SWO community all officers

who failed, voluntarily dropped out, or were medically discharged from flight and submarine training. To be sure, by virtue of being admitted to these demanding programs, these officers, commonly referred to as "attrites," were intelligent and capable individuals with potential to become valuable members of the SWO community. However, service as SWOs had not been their first choice of careers. This was such a standard practice that accession planning to set recruiting goals for new SWOs even allowed for a percentage of accessions through aviation and submarine officer attrition. Given the attrites' lack of choice in the situation, and the circumstances surrounding their assignments as SWOs, it is understandable that a parochial view of this situation among SWOs was that their community was a dumping ground for the failures of other communities.

This practice continued late into the 1990s, but today attrites are not automatically retained or sent to another community. Instead, they must request to continue to serve and to transition to another community via a Probationary Officer Continuation and Redesignation Board, and most are not retained (Van Buskirk 2013c). This process requires attrites to request to enter the SWO ranks and allows the SWO community to manage its own accessions more closely and to select those who enter its ranks. While all of these past practices were rational responses on the part of the Navy to market conditions and the need to retain capable officers, the practices could be perceived as detrimental to the character of the SWO community. In view of these practices, it would be understandable for the SWOs to consider their community the least well-paid and the least highly regarded warfare community in a service founded by *their* organizational ancestors.

The image the Surface Warfare community strives to project is one of toughness, of valuing hard work and perseverance in the face of hardship, and of prizing mission accomplishment, practically at any cost. In a 2008 study on the retention of females in the SWO community, Stoker and Crawford described the community "having a traditional, relatively authoritarian leadership style, sea-duty intensive careers, strenuous at-sea work schedules, and a very competitive environment for JO's" (2008, 4). In similar study on SWO career dissatisfiers among female and male junior officers in 2006, Sharon Graham found that the focus group participants saw the community as one which had no pride in itself and was characterized by "incompetent leadership, leaders who do not respect or care about their subordinates, who micromanage the daily lives of the crew, and who do not want to mentor younger officers" (2006, 31). In the 2013 Surface Warfare Junior Officer Survey conducted by the Navy in the spring of 2013, respondents reported that workload, micromanagement, quality of leadership, and zero defects mentality were retention cons. Workload and quality of leadership were also factors in the same survey in 2008 (Copeman 2014, 5).

There has been much said in the Navy over the years about the zero-defect mentality that is unforgiving of mistakes, and its association with the SWO community, which was often described as "eating its young" (Graham 2006; Stoker and Crawford 2008; Higgs 2010; Horner 2009; Light 2011). This phrase means the community consumes the weak, extracting their labor and using them up, while driving them away after a short career. Sankowsky captures this practice well in describing a narcissistic leader who "pushes followers to the point of burnout while still reaping the benefits of their efforts" (1995, 61).

Participants in Graham's focus groups on factors leading to a decision to leave the SWO community highlighted a significant presence of leaders who "degrade and humiliate their subordinates in front of peers," and who make the "juniors feel unworthy" (2006, 32). The responses in Graham's facilitated sessions could lead to the conclusion that leaders in the community perpetuate a Darwinian, hyper-competitive environment, which includes abusive supervision and values only the work of subordinates, rather than the personnel. This is a culture that fosters and sustains an "eat their young" mentality (2006, 31-40). To some, the Surface Warfare community is viewed as a collection of dour workaholics at sea who become rowdy rake hells once ashore overseas. Illustration 3 illustrates a popular image of the community.

Illustration 3. SWO Work Ethic

Source: Jeff Bacon

Copyright: Jeff Bacon 2001. Used with permission.

Light's assessment of the community found it "stoic, business-like . . . always expected to be working" (2011, 15). The "work hard, play hard" outlook has also long been prevalent in the SWO community. Light remarks that "our history is steeped in tales of behavior which does not fit the model to which we aspire today: drunks, bar fights, gender biases" (2011, 13). The penchant for "hard steaming," excessive drinking ashore, has been perpetuated by the oral history of the clan: the "sea story." These are tales of adventure and misadventure in exotic ports, hair-raising dangers and near-mishaps at sea, and triumphs over balky gear, bureaucratic red tape, and "screamer" bosses. These stories portray a group of tough "hard chargers" overcoming barriers through wits, strength, and determination to "get the job done," then celebrating those victories with alcohol and sexual escapades ashore. Like other oral histories, these tales unify the community and portray its distinctive character. However, they may have also propagated acceptance of potentially unethical, destructive, or dangerous behavior.

In her study of dominant narratives in the Navy, which guide actions and aid understanding the culture, Reily found a narrative she labeled "some stories should not be told." These stories reflected the antics of Sailors, and officers, on liberty, but the senior enlisted leaders she interviewed shared them not for amusement or self-aggrandizement, but in a context of concern for the messages they might convey about acceptable behavior in the Navy (2009, 157-170).

The Navy and the Department of Defense (DOD) have not been blind to the conflict between espoused values and the occurrence of alcohol abuse and sexual promiscuity. The Navy has worked internally to downplay the role and use of alcohol in the lives of its personnel since 1996 with its "Right Spirit" campaign and has recently

initiated a new campaign to continue that effort, one which includes the use of Breathalyzers (Faram 2013a; 2013b). In January 2013 the Navy distributed Alcohol Detection Devices to every command for random sampling in the unit to educate personnel on the dangers of alcohol abuse and to "assist with identifying those who may need support before an incident places the member or unit readiness at risk" (Van Buskirk 2013a). For its part, the DOD criminalized the patronage of prostitutes in 2005, by adding it as a crime under the *Uniform Code of Military Justice* (UCMJ) (Batdorff 2006). This followed an executive order by President Bush setting a zero tolerance policy for human trafficking. Training in this topic is part of the Navy's GMT, previously described.

SWOs are the inheritors of the most traditional aspect of naval warfare, control of the sea, and it seems, a very traditional approach for conducting its operations. Lovette, in the 1939 version of *Naval Customs, Traditions, and Usage*, states that "[t]he Service must ever guard against becoming soft and permitting the material comforts of the age to weaken its fiber. Privations and a 'hard school' have produced our outstanding sailors" (5). Mack and Connell in the 1980 update to that work add "[t]he modern 'hard school' is a continuation of the old tradition of keeping the sea of daily drills, frequent target practices and maneuvers, without which our customary high standards of readiness could never have been realized" (7).

However, by retaining this "hard school," the Navy would seem to be training for the last war rather than the next. The U.S. Navy has engaged in no pitched naval battles since World War II. The last significant surface to surface engagement it fought was Operation Praying Mantis in 1988. This engagement, over Iranian naval mines in the

Arabian Gulf, pitted U.S. frigates, destroyers, and a cruiser against Iranian missile patrol boats (Perkins 1989).

Since then, unlike their aviator colleagues, SWOs have had few opportunities to strike an enemy during the wars in Iraq and Afghanistan. Perhaps to partially satisfy a need for a challenge in substitution for an opponent, SWOs subject themselves to grueling work schedules as proof of toughness and the ability to handle the stress of war at sea, should it come. In his study of hegemonic masculinity in the Navy, Barrett discovered that the SWO community judged its members through the endurance of hardship and the demonstration of competence under great pressure (1996, 136). This outlook helps define the SWOs as a distinct subculture. The attitude which may best reflect the Surface Warfare philosophy may be this statement by Chief of Naval Operations Admiral Robert B. Carney as quoted by Mack and Connell:

> War is highly competitive; we are trying to train people to endure the hardships and strain of war, and we would be doing ourselves and our country a disservice to adopt measures which would soften the fibre of the men in uniform. (1980, 7)

Reily identified a dominant narrative that supports this perspective that she labeled "suck it up." This narrative equates roughly to "life is hard, not fair, just get on with it and don't complain." It also contains an aspect of "subjugate personal needs to the needs of the organization" (2009, 126). This is consistent with the hard-bitten character of the SWO community.

Professor Horner of the Naval Academy's Department of Leadership, Ethics, and the Law conducted an informal survey of his SWO graduates and found sleep deprivation, bullying, and stress were common themes in descriptions of SWO culture (Horner 2009). Once at sea, going for days without sleep is something of a point of pride

among SWOs, as proof of toughness. Barrett found that SWOs regarded averaging four hours of sleep per night and often going without sleep for 48 hours as a valued sign of endurance and masculinity (1996, 136).

Higgins, aboard a U.S. warship during a NATO exercise at sea, observed that junior officers routinely got only three to four hours of sleep a night and that the XO considered it normal as "we train like we fight" (1999, 56). This was in sharp contrast to the crew of a Dutch frigate he visited, in which proper rest for all, even while engaged in the same exercise as the U.S. ships, was a firm requirement. To the Dutch Navy "sleep is a weapon" (Higgins 1999, 57). Proper rest is more conducive to clear thinking and effective operations than the rigid enforcement of daylight working hours in the American Navy, which, at that time, made no provision for rest by nighttime watchstanders. Some progress may be possible in this area in the foreseeable future as the Naval Post Graduate School expert on fatigue and human performance, Nita Miller Shattuck, had begun three new studies on adjusting watchstanding practices underway on ships at sea as of October 2013. This effort had the support of the "heads of the surface Navy, who called upon ship COs to embrace the concept of crew rest," as the aviation community and the Coast Guard have for years (Fellman 2013, 13). Shattuck reported that these efforts had to contend with the skepticism of the community which "long viewed sleeplessness as a badge of honor" (Fellman 2013, 12).

The Practice of Leadership

The Navy's attitude toward command of a ship is best captured by this quote by Admiral James Stavridis in *Command at Sea*: "The responsibility of the commanding officer for his or her command is absolute . . . the authority of the commanding officer is

commensurate with his or her responsibility" (Stavridis and Mack 1999, 2). This immense amount of authority and responsibility calls for highly skilled leadership, and this study deals with leaders who have failed to fulfill these leadership responsibilities.

A critical aspect of the situation being studied is the nature of the leadership approach and its effectiveness as exercised by the dismissed COs. Leadership is a tremendously popular topic in all professions, but one of particular importance within the military. One of the dominant concepts of leadership today is transformational leadership. Developed by Bernard Bass, this concept identifies effective leaders as emotionally, intellectually, and inspirationally engaging with the employees. These leaders provide vision and sense of mission, instill pride, set high performance expectations, promote rationality, and are considerate of their subordinates (Bass 1990; Bass and Steidlmeier 1999; Harms and Credé 2010; Pawar and Eastman 1997).

Transformational leadership can be described as "behaviors that transform and inspire followers to perform beyond expectations while transcending self-interest for the good of the organization" (Avolio, Walumbwa, and Weber 2009, 423). This style of leadership is in contrast to the transactional leaders whose practices are grounded in self-interest and based primarily on employee performance contingent upon the receipt of rewards or the fear of punishment (Bass 1990; Bass and Steidlmeier 1999). It is clear from reviewing components of the Navy's leadership curricula and seeing the inclusion of desirable traits such as motivation, honor, loyalty, compassion, and unselfishness, that the Navy is seeking to foster transformational leadership.

This is also indicated "on the deck plates" as good leaders are described by Sailors and chief petty officers as those who "take care of their people." This specific

leadership aspect was the second most dominant narrative in Reily's work and the stories reflecting this narrative "emphasized the importance of teamwork and sharing in the glory of a job well done" (2009, 119). The same theme was recurrent in a 1985 report by McBer and Company on behalf of the Navy. In its study of 21 units, divided between those objectively graded as "average" or "superior," it found that COs who demonstrated care for their crew, in a variety of ways, were more successful (McBer and Company 1985, 56, 63-66).

This is consistent with Bass's individualized consideration facet of a transformational leader. That person provides for employees with personal attention and mentoring (Bass 1990). Furthermore, as it relates to the ethical failures leading to DFCs, Bass and Steidlmeier assert that "for transformational leadership to be 'authentic' it must be incorporated with a central core of moral values" (1999, 210). "Those who do not possess underlying values . . . (that are) morally uplifting" are "pseudo-transformational" and are "the false messiahs and tyrants of history." These pseudo-transformational leaders "seek power and position even at the expense of their followers' achievements" (Bass and Steidlmeier 1999, 187).

The idea of a pseudo-transformational leader highlights the charismatic component of transformational leadership. Avolio, Bass, and Jung describe this aspect of transformational leadership as "provid[ing] followers with a clear sense of purpose that is energizing, is a role model for ethical conduct and builds identification with the leaders and his or her articulated vision" (1999, 444). However, there is a notable, highly debated, and not yet well-understood, connection between charisma and narcissism (Humphreys et al. 2010; Maccoby 2004; Rosenthal and Pittinsky 2006). A

pseudo-transformational leader is one who is charismatic but lacks underlying moral values which limit and guide a leader's use of power and authority over subordinates. Depending on the strength of this aspect of a leader's nature, such a person could be considered a narcissist.

Narcissism.

Charismatic leaders and narcissistic leaders both win the devotion of followers in part through charm and magnetism (Rosenthal and Pittinsky 2006). However, those with strong narcissistic traits tend to be self-centered, have an inflated sense of their own abilities, are prone to grandiose thinking, have a need for recognition and superiority, and lack empathy for others, all characteristics which could interfere with succeeding in a leadership role (Blair, Hoffman, and Helland 2008; Humphreys et al. 2010; Maccoby 2004; Rosenthal and Pittinsky 2006). However, narcissists are likely to achieve leadership positions because they are also extroverts and egotists who like and seek power (Blair, Hoffman, and Helland 2008; Grabmeier 2008; Rosenthal and Pittinsky 2006). In a combination of three studies led by Dr. Amy Brunell of Ohio State, 993 students were evaluated for the characteristics of narcissism, their desire to lead, and the likelihood of their selection as leaders by the group. There was a strong correlation between the students' scores on all of these factors: in other words, the narcissists were the most likely to be selected as leaders (Grabmeier 2008). Unfortunately, the study also showed they were not better equipped with the skills needed to succeed in those roles.

In a similar vein, a study conducted by Harms, Roberts, and Wood found that within informal group settings, those who thought highly of themselves, and believed they had more power and control of their lives and surroundings than others generally

achieved leadership roles (2007, 697). They also found that a higher degree of agreeableness was required to "offset the negative impressions peers often have of overtly ambitious individuals" (Harms, Roberts, and Wood 2007, 697).

Bass and Steidlmeir refer to leadership as a "many-headed hydra that alternately shows the faces of Saddam Hussein and Pol Pot as well as those of Nelson Mandela and Mother Teresa" (1999, 181). The negative aspect of narcissism could be the cause of those starkly contrasting visages. Narcissists have a plethora of characteristics that would complicate and impede their performance as leaders. Maccoby cites their discomfort with their own emotions and lack of empathy. This would interfere with developing trusting relationships that are critical to team work. They also have greater challenges to be successful leaders due to arrogance, inflexibility, amorality, and anger when dealing with subordinates (Grabmeier 2008; Harms, Roberts, and Wood 2007; Maccoby 2004; Rosenthal and Pittinsky 2006; Sankowsky 1995).

Being sensitive to criticism and subject to feelings of inferiority, they cannot tolerate dissent and prefer to hear only the sorts of information they seek out (Maccoby 2004; Rosenthal and Pittinsky 2006). In fact, narcissists can become so invested in their vision and perspective that they are "unwilling or unable to consider information to the contrary" (Rosenthal and Pittinsky 2006, 621). Inflexibility such as this was a recurring issue seen by Pois and Langer as they studied major historical failures of leaders at war, such as Robert E. Lee at Gettysburg (2004).

Investigating negative narcissistic traits, Hansen and Kahnweiler conducted a study into the "beliefs and perspectives that shape business executives as an occupational culture" (1997, 117). They found that in many cases the "villains" identified in the stories

of the subjects frequently displayed the shortcomings of narcissists such as self-centeredness and a lack of empathy (Hansen and Kahnweiler 1997, 128). In contrast, Dr. Peter Harms published the findings of a three year study of 900 cadets at West Point. In the study, Harms determined that a number of the Hogan Development Survey's 12 "dark side" traits including narcissism, can be present yet have no negative effect on the cadets' leadership development (Harms, Spain, and Hannah 2011). However, it was pointed out that the findings do not indicate anything about their performance under real-world leadership challenges after graduation.

Doctors Jean Twenge and Keith Campbell describe a growing epidemic of narcissism in America, based on their study of 85 samples covering 16,275 college students who had taken the Narcissistic Personality Inventory between 1979 and 2006 (2009, 30). They found there was a 30% increase in students scoring above the average observed in the 1979-85 timeframe. This is a surprisingly large increase in just less than 20 years. Twenge and Campbell report that "almost every trait related to narcissism rose between the 1950s and 1990s, including assertiveness, dominance, extraversion, self-esteem, and individualistic focus" (2009, 33). They also cited surprising results concerning the rise of narcissism found in a 2008 study by the National Institute of Health on the occurrence of Narcissistic Personality Disorder (NPD) nationwide. The study revealed that compared to only 3.2% of Americans age 65 and older, 9.4% of those in their 20s had experienced this disorder. More surprisingly, 11.5% of young men had experienced it (Twenge and Campbell 2009, 36). The authors' deepest concern was that, should the disorder continue to spread among the 20-29 age group at the rate observed,

1.3% per year, by the time those people reached 65, 54% would have experienced NPD (2009, 36).

Toxic Leadership.

In studying DFCs, one of the common problems seen is an abuse of authority in the form of abusive treatment of subordinates, which is consistent with narcissistic behavior. In a recent article in *Navy Times*, Sam Fellman highlighted the issue of toxic leaders employing abusive or harsh leadership in the Navy. Fellman pointed out that the cases of four of the fifteen COs relieved by that point in 2012 involved a poor command climate, which typically arises from harsh leadership. He also pointed to examples of egregious behavior on the parts of eight COs relieved for abusive, humiliating, and intimidating behavior. This type of behavior is a frequent cause of failure due to poor command climate or performance (Fellman 2012d; Light 2011; Maltby 2010). This behavior could be indicative of narcissism, which encompasses arrogance, anger, and amorality (Rosenthal and Pittinsky 2006).

The use of controlling behavior and harsh or toxic leadership has been found to be counter-productive. It has been seen as stifling innovation, creating resentment, destroying trust, and reducing collaborative behavior (Ferris et al. 2007; Reed and Olsen 2010; Rowe et al. 2012; Zellars, Tepper, and Duffy 2002). Bierly, in studying the high risk and high reliability organizations of the nuclear submarine community, found that the instillation of personal accountability and trust in the ability to communicate problems freely up and down the chain of command, regardless of rank, was vital to its outstanding safety record (1995). This relationship of trust and accountability fosters the effective teamwork so vital to operations at sea, whether on a submarine or a surface

ship. Teamwork is also fostered through the contributions of organizational citizenship behavior (OCB).

OCBs are those discretionary personal actions which, taken in the aggregate, facilitate organizational effectiveness, such as voluntarily aiding co-workers at work, overlooking rather than complaining about trivial issues, and treating co-workers respectfully (Zellars, Tepper, and Duffy 2002). In researching the effects of abusive supervision on OCB, Zellars, Tepper, and Duffy found that employees subjected to abuse performed fewer OCBs than non-abused counterparts (2002, 1073). For that study, abusive supervision was defined as "using derogatory names, engaging in explosive outbursts (e.g., yelling at someone for disagreeing), intimidating by use of threats of job loss, withholding needed information, making aggressive eye contact, giving the silent treatment, and humiliating or ridiculing someone in front of others" (1068).

Similar behaviors were cited by Reed in an article addressing the presence of toxic leadership in the Army. In 2009, Reed and Olsen sought further information on the presence and the effects of toxic leadership among the officers attending the Army Command and General Staff College course by administering Blake Ashforth's "Petty Tyranny in Organizations" survey. Although the sample was small with 167 respondents, 61% had experienced toxic leadership. That study also found that officers reporting toxic treatment were significantly more inclined to depart the service and were more dissatisfied with every aspect of the service condition such as pay and benefits, professional relationships, and the effectiveness of the Army's performance evaluation and command selection process (Reed and Olsen 2010, 61-62). It is also of interest that several of the most widely reported toxic behaviors, arrogance (49.7%), inflexibility

(44.9%), self-interest/promotion (40.1%), and anger/emotional outburst (35.9%) closely parallel negative attributes of narcissism.

Judging by the evidence seen in the works of Fellman, Graham, Horner, McBer and Company, Stoker and Crawford, and Reily, harsh or toxic leadership in the Navy is not uncommon, but it is not Navy policy or a practice promoted in its training. In fact, harsh or abusive leadership and behavior control, or micromanagement, are counter to the leadership methods in the Navy curricula (Stein 2005). As seen in the preceding information, use of these methods could undermine team effectiveness and be a contributing factor in situations leading to DFCs.

Selection Process

As previously mentioned, all officers who attain command have been subjected to multiple reviews of their performance by boards of senior officers to determine their fitness for advancement or service in a particular capacity. The performance management process or fitness report system provides the documentation of performance upon which selection decisions are based.

Performance Management

The performance of all Naval Officers below Flag rank, Rear Admiral through Admiral, is evaluated annually, using the same system. The fitness report form, or FITREP as it is commonly called, provides the means to grade officers on seven performance traits on a five point scale, one being the lowest and five the highest. Per the Bureau of Naval Personnel Instruction 1610.10C, which governs the performance evaluation system, a grade of three represents performance that fully meets the Navy standard (Ferguson 2011). The graded performance traits are "Professional Expertise,"

"Command or Organizational Climate/Equal Opportunity," "Military Bearing/Character," "Teamwork," "Mission Accomplishment and Initiative," "Leadership," and "Tactical Performance." There is also an area on the form for required remarks to elaborate on the ratee's performance and to justify high grades.

The FITREP also includes a five step scale for evaluating the officer's promotion potential. An officer is rated as "Significant Problems," "Progressing," "Promotable," "Must Promote," or "Early Promote." Because promotion and selection for positions of greater responsibility are competitive, promotion recommendations are subject to a forced distribution which is determined by the number of officers of the same rank and community (technical specialty) within a command. No more than 20% of any group of officers can receive the "early promote" recommendation, and the percentage of the "must" and "early promote" combined decreases as the officers in the competing group become more senior. For example, for Lieutenant Commanders (O4), no more than 40% of a group can receive either "must" or "early promote" recommendations. The most junior officers, Ensigns (O1) and Lieutenants (junior grade) (O2), can only receive recommendations of "promotable."

The number of officers in the comparison group is a required entry on the form as is the number of officers receiving each different type of promotion recommendation. As a means of discouraging grade inflation, a serious concern within the Navy, every rating official's "ratings awarded" average is tracked for every rank, and the average for the appropriate rank is entered on each officer's entered FITREP. This indicates to the individual officer, and to promotion boards, whether the rating officer is an "easy grader," giving additional information on the relative value of the ratee's grade. The

contents of these reports are summarized and used as the basis for promotion boards and selection boards which determine those who will advance to XO, CO, and Major Command positions.

Though considered key to aid promotion selections, the forced distribution of promotion recommendations is not without critics. Also called "stacking," "forced ranking," "stacked ranking," "rank or yank," and "the vitality curve," the method has been used by such corporate exemplars as General Electric, Microsoft, Pepsico, and Conoco, and extolled by CEO Jack Welch. Nevertheless, forced distribution or forced ranking is no longer as highly regarded as it once was (Hazels and Sasse 2008; Johnson 2004; Lipman 2012).

In 20-34% of corporate America, this method of evaluating performance against peers is used and is intended to motivate, reward (the top 20%), and identify employees for dismissal (the bottom 10%) (Grote 2005; Johnson 2004). Proponents of the practice consider it to be the best way to identify high performers for rewards, advancement, and professional development (Bates 2003; Grote 2005). According to Grote, it is "the antidote to the problem of inflated ratings and failure to differentiate" in many performance management systems (2005, 15). Sher, in support of the method, says the issue he sees is that employees "aren't evaluated with sufficient rigor, and low performers are tolerated" (2012, 1).

In contrast, the critics of the method condemn it as a "poor way to manage poor performers," (Johnson 2004) and say that it "promotes employee dissatisfaction and discontent" (Smith 2003). Brent Longnecker, an HR expert, noted that systems can inspire competition that results in "intense internal conflict [that] can destroy any

semblance of employee teamwork and cooperation" (*HRFocus* 2002a). Bates found it to be "arbitrary, unfair, illegal, a morale killer, and the death of teamwork" (2003). Furthermore, 200 HR professionals from large firms were surveyed concerning this methodology and reported that it lowered productivity, increased skepticism, damaged morale, decreased employee engagement, and increased mistrust of management (Pfeffer and Sutton 2006).

The Navy's use of this type system is consistent with the other services, as the military must be carefully managed in order to have the right number of officers at the right grade as required by the mission. As mentioned at the outset, unlike corporations, the Navy is far more constrained in managing its leadership positions. It cannot simply fire and rehire command qualified officers off the street, but must develop them through the long process described in the earlier section on training. However, using forced distribution during this process, particularly if it is not administered without bias or favoritism, could contribute to the aspect of intense competitiveness seen in the SWO community.

Even discounting forced distribution, there are a number of flaws in this system. The first is that, like all performance evaluation systems, it is reliant on rater objectivity. The Navy is concerned about inflated ratings because the officers making the policy have observed their peers at some point attempting to "game the system" in order to give their officers more favorable FITREPs to make them more likely to be promoted. As one way to introduce more objectivity, a previous Chief of Naval Personnel (CNP) directed a study be done on prevailing corporate evaluation systems and a comparison with other services rating systems (Higgs 2010).

The objective was to establish sufficient justification to implement the use of goals with measurable outcomes for each officer. The individual officer's success in achieving these goals would form the basis for his or her FITREP. However, prior to the study's completion the project was dropped, reportedly due to a lack of support for the concept from the highest levels of Navy leadership. Johnson, in her assessment of forced ranking systems and their use, emphasized that the use of written objectives or goals was key to being able to use a forced ranking system effectively (2004).

Another aspect viewed as a possible shortcoming is the usage of the "Teamwork" performance trait. Anecdotally, this trait has not been very highly valued, or accurately graded, despite the need for proficient teamwork in numerous hazardous activities as previously described. In a discussion on amending the FITREP form with a retired admiral and former CNP, the usefulness and validity of grading this trait was questioned. It was noted that the prevailing attitude was that teamwork was only viewed as important if the officer being graded was leading the team. The admiral responded "You're right. The Navy rewards leadership but punishes management" (Higgs 2010, 37).

Another flaw that has been noted is the combination of "Military Bearing" with "Character" into a single performance trait (Higgs 2010; Light 2011). Military bearing is essentially wearing the uniform properly, maintaining the required level of physical fitness, and observing military etiquette. This is in contrast to "Character" which is described as upholding the Navy's core values of Honor, Courage, and Commitment. Within the core value of Honor is the requirement to "[c]onduct ourselves in the highest ethical manner in all relationships with peers, superiors, and subordinates. Be honest and truthful in our dealings with each other and with those outside the Navy" (Higgs 2010,

37). Despite its seeming importance, the grade for that key aspect of an officer's performance is combined with one for appearance and demeanor.

During the 2000 to 2012 time frame, 43% of the SWO DFCs were based on behavior that failed to meet the standards defined for the character performance trait. It seems improbable that COs who failed so demonstrably in this area could have reached that position with no previous similar transgressions. Did those transgressions truly not occur or could they have been disregarded or downplayed in evaluating officer's otherwise superior performance? It seems clear that, in view of the number of DFCs related to personal behavior that are occurring, the "Character" trait should figure prominently in performance appraisals and its grading taken very seriously (Higgs 2010; Light 2011).

One of the Navy's foremost surface admirals, Admiral Arleigh Burke, conducted a study on discipline in the Navy that was then condensed and sent to the senior leaders of the Navy as a guide on leadership and discipline. One of his passages addressed the evaluation of performance very directly and succinctly:

> Commanders must distinguish between good and bad men and take action accordingly. This means that men who fail must be punished promptly at mast and that each man's record must reflect his conduct and ability. It means that commanding officers must tackle the onerous problem of the relative fitness of officers, so that officer's fitness reports reflect faithfully the worth of the officer. There must be a clear differentiation between the excellent and the poor, or again the conscientious man is penalized and the poor man is favored. (Burke 1972, 27)

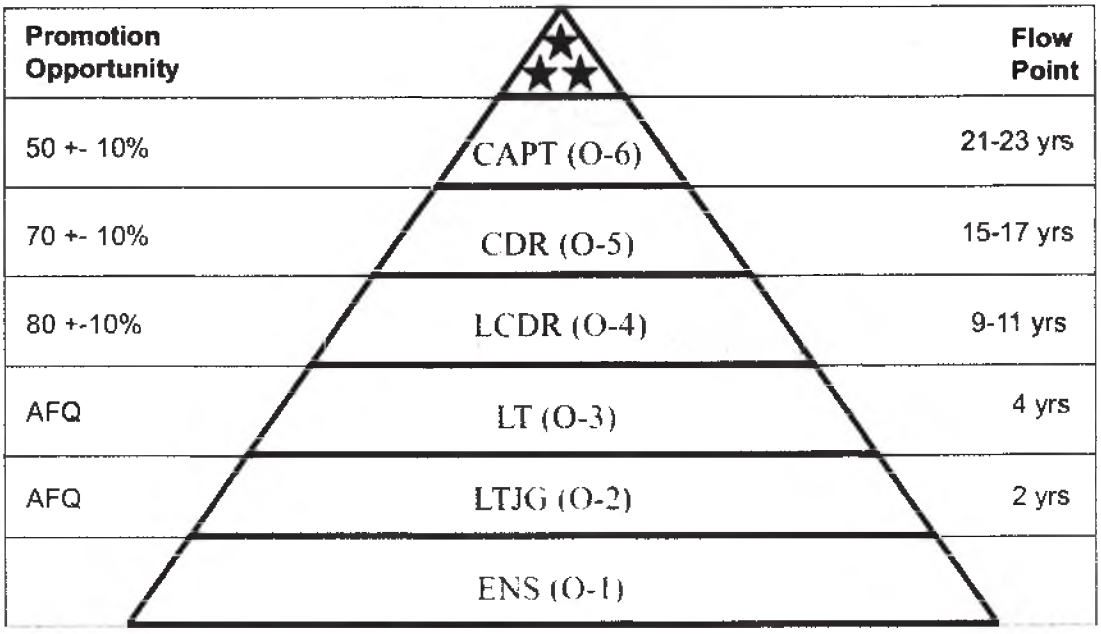
Selection Boards

Selections boards are formal, structured proceedings used to choose officers for promotion and a variety of critical positions. For promotions, boards are convened and operated under the Secretary of the Navy Instruction (SECNAVINST) 1420. IB

Promotion, Special Selection, Selective Early Retirement, and Selective Early Removal Boards for Commissioned Officers of the Navy and Marine Corps. This process is also governed by law, in particular the Defense Officer Personnel Manning Act (DOPMA) of 1980. This act established a common officer community framework for all services to guide officer training, appointment, promotion, separation, and retirement. It also provides for Congress to set the total authorized officer "end-strength" (number permitted to serve), and to set the allowable number of officers in each pay-grade above 03 (Lieutenant). Officers above 03 are referred to as "field grade."

For example, the Navy is authorized 750 new field grade officers in the ranks of 04-010 (Rostker et al. 1993, 8). These are legal limits, which cannot be exceeded, but need not be met if the numbers of officers are not required to meet the Navy's needs. This number serves as an entering argument for the promotion planners of the Assistant Chief of Naval Operations for Manpower, Personnel, Training, and Education. These planners create a five year promotion plan, estimating end strength requirements, and promotion opportunity as a percentage by pay grade and community. That plan is refined in the year of execution taking into account vacancies created through promotions, retirements, and separations to develop a promotion zone. This zone is the size of the population to be considered in order to fill the projected requirement. As seen in Illustration 4, the promotion opportunity is a percentage of the officers being considered, and the flow point is the average number of years of service when an officer is promoted to that grade. The abbreviation "AFQ" means "All Fully Qualified."

Illustration 4. DOD Officer Promotion Parameters



Source: Booker, Officer Promotions Brief July 2010, slide 8.

The selection board process begins with the creation of the board precept by the Commander of the Navy Personnel Command. The precept lays out the authority, function, goals, and standards of performance for conducting the board and any special aspects of performance the members should look for and including things that should not be considered. For example, some years ago, it was considered detrimental to have too many consecutive tours in one geographic location. The active process of selection begins with verifying the eligibility of the officers in zone, and then proceeds into an extensive manual validation of the officers' individual service and performance records.

Once the records are validated, a summary of the performance records is generated by the supporting information technology (IT) systems. This work is performed by "recorders," officers nominated for this temporary additional duty by their commands. The Secretary of the Navy's (SECNAV) instruction details how many officers from each

community are required for the promotion selection boards to ensure a diversity of experience and perspectives. The selection board process is highly confidential and the results carefully safeguarded until all required approvals are obtained. All participants in the board and the administrative personnel are sworn in with an oath affirming their commitment to the confidentiality, impartiality, and integrity of the process. These board members are assigned a certain number of records to review and brief to the entire board.

While the briefer displays and highlights pertinent career accomplishments and performance grades of a candidate for promotion, the summary performance record is displayed for the entire board to view and comment upon and question the briefer. Once the briefing is completed, the members cast an electronic vote on the record, and the IT system tallies the vote as a numerical score. This process continues until all eligible records have been reviewed, and the appropriate number of officers has been selected based on the board-determined scores. A report of the proceeding and the list of names of those selected are then generated and forwarded for endorsement to the Secretary of the Navy for approval and relayed to the Congress for final approval. Once all approvals have been received, the results of the board are announced.

Administrative boards are conducted by the individual warfare communities for the purpose of selecting officers for a number of different critical positions including Commanding Officer. In accordance with Bureau of Naval Personnel (BUPERS) Instruction 1401.5A, *Supplemental Guidance for U.S. Navy Selection Boards*, these boards are conducted using the same process as promotion boards, and though they are guided by Navy policy and regulation, they are not required by law. Such boards are conducted for selection for graduate education, redesignation (movement from one

community to another), and astronaut and test pilot assignments among others. For this study, the concern is the boards which move a SWO into the position of CO. These boards are convened by the senior sponsor of the community, within the office of the Chief of Naval Operations. The board members are all senior serving members of that community, led by a Vice Admiral (09) serving as the board president. SWOs have typically been subject to board screening for assignments to Department Head, Executive Officer, Commander Command, and Major Command (Quinn 2011).

Taking into consideration all of the information above, a typical Commander CO with 17 years of service, has had his or her performance evaluated and compared to peers in at least 17 fitness reports, been reviewed by two selection boards for promotion, and been reviewed by three administrative boards to achieve that position. This is an extensive degree of scrutiny.

Research Questions

At this point it is important to refine the scope of this study to identify an aspect of this situation that is contributory, definable, and manageable for the conduct of further research. In reviewing the information captured thus far, it appears that the training program that produces Surface Warfare COs is comprehensive, covering the technical and administrative aspects as well as pertinent areas in leadership and ethical topics, and is sustained through carefully targeted and focused reinforcement. Accordingly, it will not be pursued further. Similarly, the most troubling aspect of the physical environment, sleep deprivation, has been studied extensively elsewhere and the findings indicate adjustments in the Navy's acceptance of sleep deprivation would be prudent. As there are currently multiple studies underway on this issue, that aspect will not be the subject of

additional research here. In regards to the selection process, if one presumes that the information on an individual officer's performance is adequate and accurate, the combination of all the boards described constitutes an extensive and thorough process for identifying highly skilled officers capable of succeeding in the role of CO. Remaining then for further, deeper examination is the culture of the SWO community, the unwritten values and practices that shape the behavior and the performance of its members.

Assumptions and Research Questions

If one relies on the findings of Barnett and Schubert (2002), Peterson (2002), and Vardi (2001), Weber, Kurke, and Pentico (2003) on the negative implications of an instrumental EWC and on the influence of unethical acts by others as shown by Mumford and Darley, then the prevalence of the instrumental EWC could indicate a culture more intent on achieving its goals than adhering to espoused ethical values. Therefore, the first research question is "is the instrumental EWC prevalent in the SWO community?"

If one relies on the works of Fellman, Graham, Higgs, Homer, Light, McBer and Company, and Reily which present evidence of abusive leadership by Navy leaders, then one can conclude that toxic leadership is present in the Navy. If, in association with this assumption, one considers the work of Ashforth, Reed and Olsen, and Zellars, Tepper, and Duffy, one will conclude that toxic leadership, whether called harsh or abusive, is detrimental to organizational efficiency. As discussed, it creates stress, demoralizes the crew, stymies communication, and motivates the crew to withhold OCBs, degrading team cohesion. This leads to the second research question, "is toxic leadership significantly present in the SWO community?"

The third question considers the possible consequences of the combined presence of both the instrumental EWC and toxic leadership and asks, "are instrumental EWCs and toxic leadership occurring simultaneously in the same units?" The fourth and final question for further research goes to the heart of the matter, asking "Does the performance of individual units suffer from the occurrence of the instrumental EWC and toxic leadership?"

Chapter III

METHODOLOGY

As previously described, the requirements for this study do not confine it to the format of a traditional dissertation. It is an applied project, researching a problem being experienced by the Navy for the purpose of identifying causative and contributory issues and developing recommendations for potential solutions. It is based on action research methodology which is used to answer such questions as: "What are the nature and scope of the problem? What is it about the problem or its effects that justifies new, expanded, or modified . . . programs?" (Rossi, Lipsey, and Freeman 2004, 3)

The process of creating COs is a multi-faceted process, critical to the Navy's success, with a multitude of stakeholders including the American taxpayers. It is managed by a number of organizations which only control certain phases or aspects of the process. The organizational culture that surrounds that process has significant influence on the individuals undergoing the process and therefore on the outcome. In this case, it is proposed that the unacceptable rate of DFCs among COs is an outcome of defects in the culture and the process that creates them, specifically the presence of ethical work climates that do not value and support ethical behavior and the use of toxic leadership which degrades team cohesion and communication.

Research Method

Research Environment

While this project was begun with the cooperation of the Commander of the Navy Personnel Command and the Director of the Career Progression Department, the Navy as a larger organization was not approached at the next organizational level, which would be the Chief of Naval Operations, for an official endorsement. Nor was endorsement requested from the Commander, Naval Surface Forces, who acts as the senior sponsor for the Surface Warfare community. There were several concerns which dictated this course of action. The first concern was that the Navy limits the number of surveys of its personnel that can be conducted, and this project would have to compete for approval and a place within those limits. This would place this project in competition with studies commissioned by the Navy for its own purposes, as well as those from internal academic institutions such as the Naval Post Graduate School.

The second concern was for the participants' willingness to share potentially negative opinions of the organization to which they belong. It was thought that participants would be more open to a project that did not require their command leadership involvement and was conducted without Navy supervision. The final concern was that seeking formal Navy approval and endorsement would open the project to additional organizational oversight and scrutiny, to address any organizational sensitivity to negative publicity. Such sensitivity might have led to a requirement to submit data and findings for official review and approval for release, lengthening the time required to conduct this project and potentially affecting the interpretation of the findings. For these

reasons, it was decided to pursue participation in the study of the community by informal means.

While this approach maintained the ability to interact with the community freely, the absence of official endorsement and command cooperation, including encouraging or compelling participation, also meant that participation was totally voluntary. The informal approach also meant that direct communication through formal channels was not available. These factors meant that the sample of the population received could not be assured to be completely representative of its membership.

Research Design

In the terminology of Herr and Anderson, this project was conducted in pursuit of practical interests for a practitioner positioned as an insider with the collaboration of other insiders (2005). The approach and research instrument design for the study was shaped in part by personal experience and observations gathered over a 22 year career in the community of interest. However, care was taken to ensure objectivity was maintained through consultation with the guiding committee members and local colleagues in the academic and research fields.

The project was executed in a multi-phase process utilizing a mixed method approach, although it was primarily a qualitative effort. Patten asserts that a qualitative approach is preferred when "participants belong to a culture that is closed or secretive . . ." and when "potential participants are not available for extensive interaction or observation" and both situations could be considered to exist in this case (2009, 21). The work includes a qualitative analysis of Navy instructions, academic writings, and applied literature relevant to the situation and the culture of the SWO community within

the Navy. It is also comprised of quantitative analysis of data, gathered through the use of a survey, on the ethical work climate (EWC) and on the perceived presence and use of toxic leadership methods within the Surface Warfare community.

As previously stated, the survey was conducted without official Navy backing, which limited access to potential participants, which in turn means contact with each SWO cannot be assured. The absence of the assurance that each SWO has an equal probability of participating, means that the quantitative portion of this study could not be conducted using a probability sampling design (O'Sullivan and Rassel 1989). Instead, it relied on purposive sampling with participants being solicited generally, as members of the community rather than as individuals, but in venues where SWOs are heavily concentrated. Social media was selected as the most accessible, widely available, and potentially productive venue for participant solicitation.

Navy personnel have been observed to be widely engaged in social media and have affinity groups or communities on Linked In and blogs devoted to a multitude of military topics, technical specialties, and subgroups within the various branches of service. Within the Navy Personnel Command, the Surface Warfare detailers actively use social media to inform their constituents and interact with them. This is evidenced by the Surface Warfare Career Planning Seminar brief, hosted on the Navy Personnel Command's web page. This PowerPoint presentation from the Surface Warfare Officer detailers cites Twitter, Facebook, and Sailor Bob, a blog devoted to the SWO community, as means they use for informal communications. Detailers are the officers assigned to the Navy Personnel Command who execute the distribution of officers to the Fleet. They are in direct and regular contact with the officers they distribute and act as career advisors to

their constituents. Their use of social media as a routine means of communication validates its use as an appropriate means to access the SWO community.

Most Navy commands have command websites and Facebook pages. Command websites for warships are largely standardized and present an explanation of the heraldic unit crest, the vessel's history, the biography of the ship's namesake, and the biographies of the CO, XO, and Command Master Chief (CMC), the senior enlisted person and advisor to the CO. They usually present basic instructions for Sailors first reporting aboard, and perhaps, a photo gallery featuring the ship and crew in action. In most cases there are links to initiate an email to the Public Affairs Officer (PAO), CMC, or XO. Ships' Facebook pages are less standardized and are used to share unclassified news about the ships' activities and positive information about the personnel assigned onboard with their family members and any other interested parties. These pages also provide visitors with the opportunity to post messages to a ship's crew or to contact a page's administrator, often the PAO.

Research Phases

The initial phase was multi-faceted, including refreshing and updating the data on CO DFCs that have occurred between 2010 and 2012 and the search for patterns or trends within the dismissals for further examination. This stage also included the review of current instructions on the processes of training and selecting Commanding Officers and an assessment of the effectiveness of those processes.

The second phase was data collection which entailed surveying the target group of currently serving SWO junior officers seeking to determine the existence and strength of attitudes and behaviors, specifically the prevalence of instrumental EWCs and toxic

leadership, suspected to contribute to the cause of CO failures which lead to DFCs. The primary target was junior officers because they are still undergoing their development toward becoming COs, yet are less invested in the status quo of the community than more senior officers and, possibly, more willing to discuss its shortcomings without defensiveness. However, the collection instrument did accommodate the input of more senior, retired, and former officers. This served two purposes: one, to identify those not currently serving to allow their removal from certain measures; and two, to set them apart as a distinct group which could be examined for significant contrasts from the target group, if the number of respondents of these sorts warranted it.

The third and final analytical phase of the project entailed conducting descriptive and inferential statistical analysis of the data gathered through the survey to judge the presence and the strength of attitudes and behaviors which contribute to the failure of COs. The results of that survey and its analysis appear in Chapter 4.

Research Questions and Hypotheses.

Research Question 1: "What is the prevalent EWC in the SWO community?" Weber and Gerde (2011) found support for their hypothesis that military groups who are "closer to the tip of the spear," or whose operating environments entail more significant risk or magnitude of consequences than other military groups, are more likely to have an instrumental or caring EWC. Based on this work, those EWC types would be expected to be significant in the SWO community. Furthermore, based on preceding descriptions of the highly competitive and harsh SWO culture, it is theorized that the instrumental EWC would be the predominant type.

Hypothesis 1: Instrumental EWCs will be more prevalent than other EWCs within the SWO community.

Null Hypothesis 1: The instrumental EWC will be equal to or less present than the other EWCs.

Research Question 2: Is toxic leadership significantly present in the SWO community?

Hypothesis 2: Toxic leadership will prove to be significant in the SWO community.

Null Hypothesis 2: Toxic leadership presence will not be significant.

Research Question 3: Are instrumental EWCs and toxic leadership occurring simultaneously in the same units?

Hypothesis 3: There will be a positive correlation between the presence of the instrumental EWC and toxic leadership.

Null Hypothesis 3: There will be no relationship between the instrumental EWC and the presence of toxic leadership.

Research Question 4: Does performance of individual units reflect the occurrence of the presence of the instrumental EWC and toxic leadership?

Hypothesis 4: There will be a negative correlation between the presence of an instrumental EWC and toxic leadership and the objectively measured performance of individual ships.

Null Hypothesis 4: There will no relationship between the presence of the instrumental EWC and toxic leadership and the performance of individual ships.

Instrumentation

For the purposes of this study, three sets of questions were employed to capture participant input on EWC, the presence of toxic leadership, and the success of the ships

they served upon. For EWC and toxic leadership information, two previously proven survey instruments were used in combination. The first was the Ethical Climate Questionnaire (ECQ) developed by Bart Victor and John Cullen in order to measure the ethical work climate (EWC) (1987). In development, the questionnaire initially contained 36 questions testing nine theoretical ethical climate types and was submitted to 35 university professors. Following analysis, the questionnaire was revised and administered to 151 business, faculty, and military personnel. Following this second round of extensive analysis, the final instrument was reduced to 26 questions measuring the existence of five ethical work climates (Victor and Cullen 1987).

For this study, the instrument was modified slightly for use in the Navy environment. This was done by removing references to a "company" and substituting the word "organization" or "Navy" as appropriate. In addition, one question that measures the efficiency aspect of the EWC refers to the importance of "saving costs" which does not have the same consideration in military operations as it does in business. Therefore, this question was modified to read "ensure safe operations" as the nearest analog in the Navy sea-going environment. The actual survey questions are contained in Appendix D. To test the instrument for scale reliability, Cronbach's alpha was calculated using the Statistical Package for the Social Sciences (SPSS) through the assistance of the Navy's Personnel Research, Studies, and Technology Office. The calculation showed acceptable to good reliability with alpha's ranging from .69 to .87. The complete results are shown in Appendix E.

The second instrument used was Schmidt's Toxic Leadership scale, developed by Andrew A. Schmidt at the University of Maryland to measure "the dimensions of toxic

leadership" (Schmidt 2008, 5). This instrument was developed using 23 Navy and Marine Corps personnel, primarily officer candidates, in focus groups to capture the themes and descriptive statements of toxic leadership. The initial effort produced six factors to be defined with 189 items that included Tepper's measures of Abusive Leadership (2000) and the Authoritarian Leadership scale of Cheng et al. These were refined through the use of a Q-sort process into five factors defined by 108 items that comprise toxic leadership. The five factors were validated by a survey administered to 215 students that contained measures of positive and transformational leadership. These measures were taken from Avolio and Bass' Multifactor Leadership Questionnaire and the Leaders-Member Exchange Scale of Dansereau, Graen, and Haga. The final scale is now comprised of 30 items that measure the five factors of self-promotion, abusive supervision, unpredictability, narcissism, and authoritarian leadership (Schmidt 2008). As with the ECQ, the scale reliability of this instrument was tested using SPSS to calculate Cronbach's alpha. The results showed very high reliability with alpha's ranging from .95 to .98. The complete results are shown in Appendix E. The toxic leadership measures are included in Appendix F.

A third survey section measured the successfulness of the units in which the respondents serve or served, in order to test Hypothesis 4. Following the pattern of McBer and Company (1985, 77), respondents were asked about the success of their ship in completing a number of inspections and qualifications that make up the Annual Battle Effectiveness/Command Excellence Award program. This program is conducted as part of the overall Surface Force training process, governed by Commander Naval Surface Force Atlantic/Pacific instruction COMNAVSURFLANT/PACINST 3502.2E. This

program judges ships based on their achievement of required certifications and qualifications over a broad range of warfare, engineering, command and control, and logistical activities. The introductory question simply asked which of the listed inspections and certifications required in COMNAVSURFLANT/PACINST 3502.2E were accomplished during the time corresponding to the respondent's answers in the EWC and toxic leadership sections. The required inspections and certifications in this section are shown in Appendix G.

To establish the context for the survey questions, junior officers in the grades of 01 through 03 were asked to report on their current experiences, while the officers in the grades of 04, or lieutenant commander, and above were asked to refer back to their shipboard division officer tours where their leadership methods and ethical outlooks were shaped.

The survey was conducted using Survey Monkey and answers in the EWC and toxic leadership sections were submitted using a six level Likert scale. In the unit success section, answers were given on a three level Likert scale with "1" meaning yes, the unit had completed the named certification or qualification. Responses of "2" meant the unit had not completed the qualification, and "3" meant that the item was not applicable. In the EWC section respondents indicated the degree to which they found the statements to be true, with a score of "O" indicating the statement was completely false, and a "5" indicating the statement was completely true.

In the toxic leadership section, respondents indicated their level of agreement or disagreement with a statement of experiencing or witnessing toxic leadership behaviors. An answer of "0" indicated total disagreement while a "5" indicated total agreement with

the statement. In neither section was a neutral option given, requiring respondents to express a position, either positive or negative. The survey also captured multiple demographic data elements. This was to enable determining if the EWC and toxic leadership components were perceived to be more prevalent in some subsets, for example, such as aboard cruiser/destroyer type ships or among NROTC graduates. Depending upon the number of responses allowing differentiation between institutions, such information could facilitate more accurate analysis of solution options and the targeting of relevant solution proposals. The demographic data elements are described in Appendix H. The survey was reviewed and approved for use by the Valdosta State University Institutional Review Board (IRB). That approval appears in Appendix I.

Data Collection

A Facebook page was created specifically for the purpose of presenting this project and serving as the access point for data collection (see Appendix A). An overview of the project described its purpose in general terms to avoid injecting any bias by leading respondents to answer in a particular way, and access to the survey instrument was allowed from 1 May 2013 until 1 September 2013. Survey participation was solicited first by two requests posted in two different topic areas on the Sailor Bob blog, the same one used by the Surface Warfare detailers. Next, requests for participation were made by posts to 104 individual ships' official Facebook pages (see Appendix B). The ships, all surface warships, were identified for contact from the U.S. Navy's official website, www.navy.mil, where ship "fact files" describe the technical characteristics of each class of warship and listed the ships in commission as of November 2012. This provided the source of ships' names whose pages were then located in Facebook.

There were 33 cases in which ships either had no Facebook page, the page did not permit a solicitation to be posted, or the page did not appear to be kept current. In these cases the ship's official website was accessed by a link from www.navy.mil and used to email a participation request. Requests were made to either the PAO or XO, depending on who was listed as a point of contact, to relay the participation request to the officers onboard (see Appendix C). A participation request was also posted to the Surface Warrior Facebook page maintained by the Commander Naval Surface Forces. A discussion thread was also created in the Surface Warfare discussion group of LinkedIn, a professional social networking and discussion site.

Additional solicitations were made by an email request to the XO of the Surface Warfare Officer School which was shared with students and staff, by an email request to the Deputy Assistant Commanders of the Reserve Administration and Career Progression departments, and the Head of the Surface Warfare Officer Detailing Division of the Distribution department, all within the Navy Personnel Command. Finally, the PAOs of all Aircraft Carriers were emailed requests in the same fashion as the ships without Facebook pages, as a means of more effectively reaching the SWOs on ships where they are only one of many warfare and staff communities.

Chapter IV

RESULTS

DFCs: Numbers and Causes

The following is an overview of the numbers and causes for DFCs of COs in three community groupings for the time period January 2000 through December 2012. This data provides the context for the survey phase of the project, providing the extent of the DFC situation and the nature of the situations which result in DFCs. The categorization of DFC causes and their component criteria are as follows:

1. Significant event: a serious mishap such as a grounding, collision, aircraft mishap (loss or serious damage of an aircraft), or the accidental death of a crewmember.
2. Command performance: substandard performance in mission accomplishment, operational assignments, or command readiness. Also failure to improve upon such performance once noted.
3. Command climate: command displays satisfactory performance but markedly poor morale due to an abusive or unhealthy climate which is attributable to the CO's performance and leadership.
4. Personal behavior: commission of illegal or immoral acts which are detrimental to the good order and discipline of the Navy.
5. SWO: Surface Warfare Officer, a designation for those specializing in surface ship operations or the community.
6. SUB: abbreviation for the community of submarine qualified officers.

7. AIR: abbreviation for the community of aviators.
8. RLSC: abbreviation for Restricted Line/Staff Corps/Special Communities made up of a number of specialty communities such as Special Warfare, Civil Engineer Corps, Medical Corps, Dental Corps, Human Resources, and Limited Duty Officers. This categorization is not standard within the Navy and is used only in this paper.

Table 2. Summary of DFCs 2000-2012

COM	Category	00	01	02	03	04	05	06	07	08	09	10	11	12	TOTAL
SWO	SE	2	3	2	2	2	1	0	1	0	2	2	0	0	17
	CP	0	0	1	2	0	0	1	0	0	2	3	0	2	11
	CC	1	1	0	1	1	0	1	1	1	0	1	3	3	14
	PB	0	0	1	4	4	2	2	2	1	0	9	3	4	32
SUB	SE	0	2	1	3	0	2	1	1	0	1	0	1	0	12
	CP	1	0	1	0	0	0	1	1	1	1	3	1	2	12
	CC	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	PB	0	0	0	1	2	0	1	0	0	0	3	1	0	8
AIR	SE	0	1	0	2	1	0	0	0	0	1	0	0	1	6
	CP	0	3	1	0	0	0	0	0	0	1	2	2	1	10
	CC	0	1	0	1	0	1	0	0	0	0	0	0	0	3
	PB	1	0	1	5	3	3	0	1	5	2	1	3	1	26
RLSC	SE	0	0	0	0	0	0	0	0	0	0	0	0	1	1
	CP	0	0	0	1	0	2	1	1	0	1	3	3	1	13
	CC	1	0	1	4	0	0	2	0	0	2	1	0	0	11
	PB	0	1	3	0	2	1	1	3	4	1	1	1	1	19
TOTAL		6	12	12	26	15	12	11	11	12	14	29	18	17	195

SE = Significant Event CP = Command Performance COM = Community

CC = Command Climate PB = Personal Behavior

Source: Navy Personnel Command Career Progression Department.

As illustrated in Table 2, there were 195 DFCs among COs during the period 2000-2012. Calculations were done to determine the magnitude of this number relative to the numbers of commands within the Navy. There are approximately 1291 active and

reserve command billets for officers below the rank of admiral (Navy Inspector General 2004). At this point in the project, it was decided to focus further attention only on commands of the warfare communities. These communities are the focus for achieving the Navy's deterrent and war-fighting missions. These functions are executed by units at the greatest risk of members' death and damage due to the failure of COs. However, these commands are not all warships or aviation squadrons, but include all the various units, both tactical and administrative, afloat and ashore which are designated for COs from these specific communities.

Focusing on the main warfare communities provided a count of 245 surface commands, 133 submarine commands, and 262 aviation commands (Navy Inspector General 2004). All of these units do not change commanding officers simultaneously, of course, and lengths of tour can vary slightly, so one must also account for the flow through the command positions to determine how many commanding officers served during the evaluation period. This is estimated by multiplying the number of commands by 1.43 to account for the 43% of commands changing commanding officers in any given year. The resulting figure is multiplied by the number of years in the period of interest, in this case 13, for the period 2000-2012 to arrive at the total number of COs serving during the period. This sum is divided by the total number of DFCs in the community to determine the overall loss rate due to DFCs for the war-fighting communities. The results are shown in Table 3.

Table 3. DFC Rates by Major Warfare Community 2000-2012

Community	Number of Commands	Number of COs	Number of DFCs	DFC Rate
SWO	245	4,554	74	1.6%
SUB	133	2,472	32	1.3%
AIR	262	4,870	45	.9%

The overall DFC rates within communities have shown little change since this was first examined in 2010. The original rates for the SWO, SUB, and AIR communities at that time were 1.6%, 1.3%, and 1.0%, respectively. The variation between the communities has remained, although the difference between SWO and AIR has increased slightly. The variance between the SWO and AIR communities in 2010 was a factor that inspired this current project. This variance also begs the question of why one community suffers fewer losses to DFCs than another. The variation is also a possible motivator for examining differing community methods of training and operating, and differences in community cultures. Such an examination could reveal "best practices" in use which might be adopted by the other communities to reduce events leading to DFCs. Figure 1 provides a picture of the relative number of DFCs by cause, as a point of further discussion on this topic.

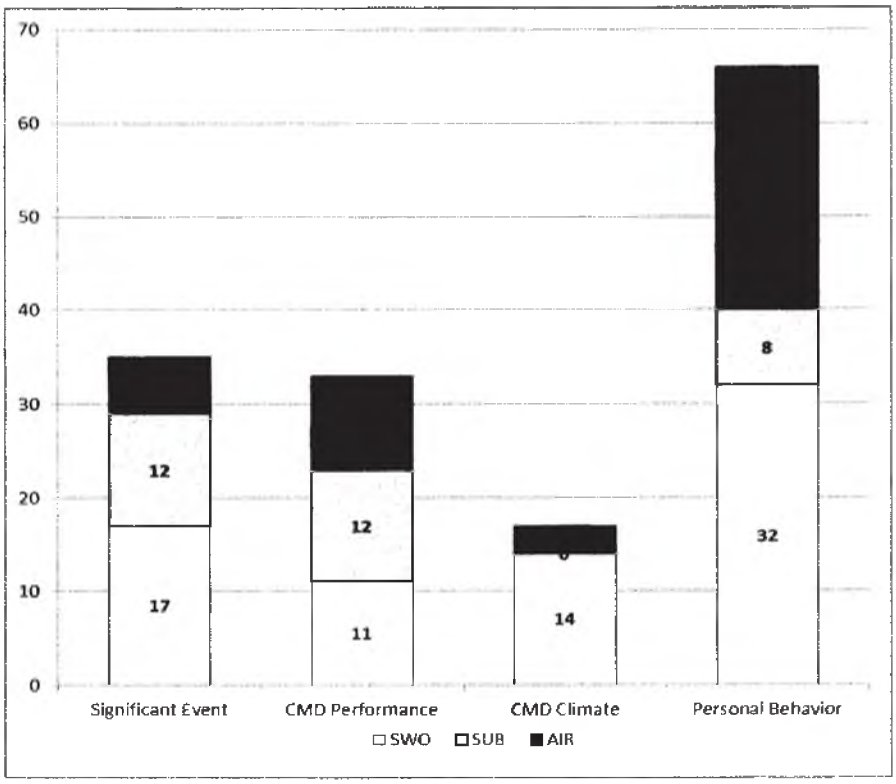


Figure 1. DFCs by Cause and Community 2000-2012

Two things are clear in the information contained in Figure 1. The first is the marked predominance of personal behavior as the primary cause of DFCs. In the definition provided earlier, personal behavior is spelled out as "illegal or immoral acts that are detrimental to good order and discipline." This general description covers a broad range of activities including fraternization, adultery, alcohol-related incidents, sexual harassment, misuse of government equipment, and theft. It is most telling that the Navy Inspector General report of 2004 and the subsequent study by Maltby both noted that their review of these cases led them to believe that the COs removed for personal behavior were well aware of the rules about the detrimental behavior but acted inappropriately regardless (Navy Inspector General 2004). It is also significant to note

that the perception of being above the rules, such as those governing appropriate behavior, is an aspect of narcissism (Rosenthal and Pittinsky 2006).

The data show that the AIR community has a dramatically lower number of significant events compared to the SWO and SUB communities. This is accurate but it can be misleading. In almost every case, the significant events undergone in the SWO and SUB communities are either groundings or collisions. These accidents usually involve COs directly and have a very different nature than aircraft mishaps which can more commonly be attributed to pilot error or mechanical failures which can attributed to the actions of a squadron CO.

Groundings and collisions most frequently occur in coastal waters in conjunction with entering or leaving port. Navigating and operating vessels in these areas requires highly skilled and thoroughly practiced teamwork to avoid dense traffic and navigational hazards. These skills and conditions, particularly strong teamwork, are usually found lacking when a grounding or collision occurs. It is also important to note that although the DFC instances shown in this work have been neatly characterized and placed in boxes, the reality is not always so clear cut.

The simultaneous existence of several conditions which could warrant a DFC is not uncommon, and they are often interrelated. For example, a grounding incident may be the climactic event leading to a DFC, but the event may have occurred because the CO created a hostile environment for the officers and crew by being abusive, which weakened the communications and teamwork within the crew.

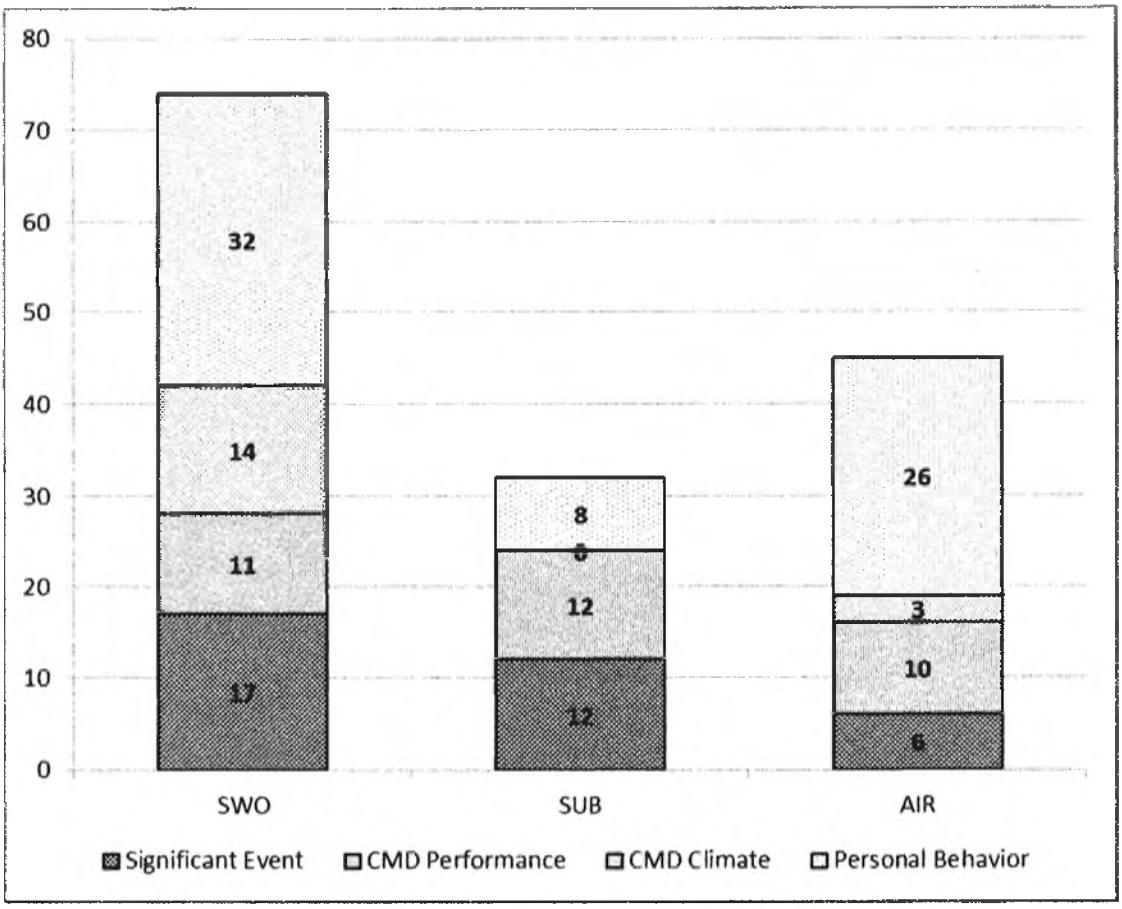


Figure 2. DFCs by Community and Cause 2000-2012

The presentation in Figure 2 illuminates the information shown in Tables 2 and 3 and Figure 1, making it obvious that the SWO community leads the others in DFCs during the period. The mathematical preponderance of dismissals cannot be attributed to a disproportionate number of command opportunities alone, as the number of designated SWO and AIR commands is very similar, as shown in Table 2. Not only does the SWO community lead in DFCs overall, it leads in three of the four categories: significant events, command climate, and personal behavior. As Figure 1 shows, personal behavior is the most common cause for a DFC, and the SWO community leads in that category and in the command climate and significant event categories as well.

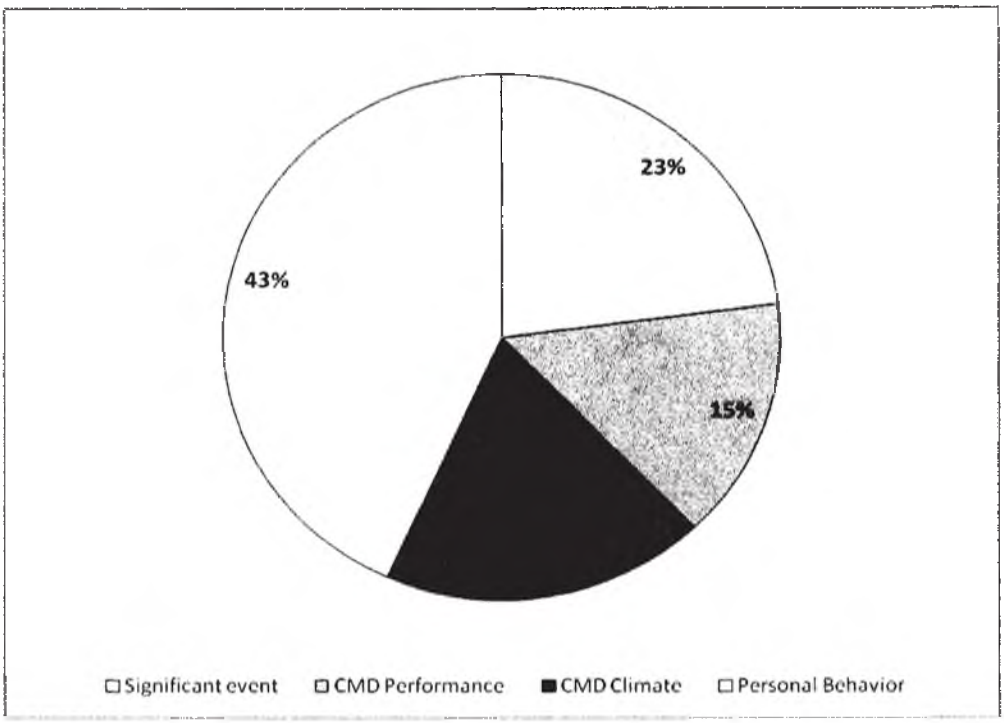


Figure 3. SWO DFC Occurrences by Cause 2000-2012

Figure 3 shows the causes of DFCs by percentage, based upon the numbers of occurrences shown in Figure 2. The high percentage of DFCs due to personal behavior, 43%, and command climate, 19%, as shown in Figure 3, relate directly to the issues of toxic leadership and ethical work climate (EWC) being researched through the survey. Having reviewed the fundamental data on the numbers and causes of DFCs within the warfare communities and established the SWO predominance relative to the other communities, from this point forward the analysis and discussion will focus on the results of the EWC and toxic leadership survey, in search of conditions in the SWO community which could be contributing to the number and type of DFCs observed.

Survey Data

Data Refinement

Prior to conducting analysis, the data received from the respondents had to be refined to remove partial responses and those from individuals outside of the target population. During the survey's period of availability from 1 May 2013 to 1 September 2013, 166 individuals accessed the survey. Of these, 34 abandoned the survey without providing more than demographic information. An additional 20 participants only partially completed the key portions of the survey on either the EWC or toxic leadership. Those incomplete responses were also excluded in the analysis as they did not convey an adequate picture of the respondent's experience. Finally, nine responses were submitted by either former or retired officers, outside the key target group of actively serving officers. As the number of these responses was not large enough to serve as a significant comparison group, these were also excluded from the analysis. This refining process left 103 responses suitable for the purpose of testing the previously described hypotheses.

Respondent Demographics

Figures 4 through 8 depict the key demographic data elements of the respondents.

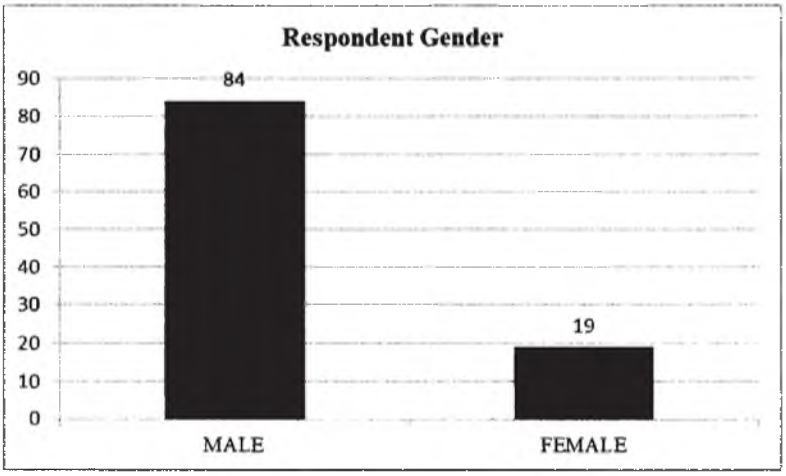


Figure 4. Respondent Gender

The survey respondents were predominantly male, nearly mirroring the community which is 81% male and 19% female per the Navy's Officer Personnel Information System (OPINS) as of 31 March 2013.

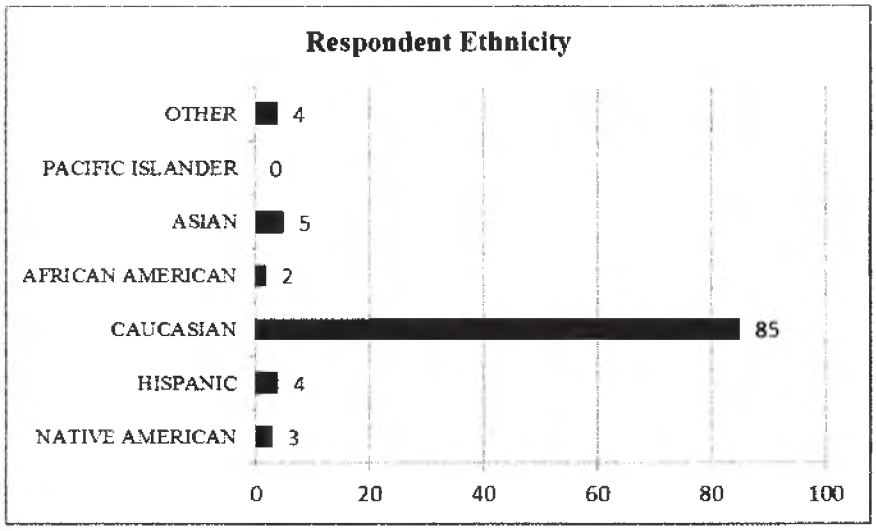


Figure 5. Respondent Ethnicity

Respondents were predominantly Caucasian, somewhat exceeding the community composition which is 72% white, 10% African American, 5% Hispanic, 1% Native American, 4% Asian, 1% Pacific Islander, and 7% multiple races or declined to provide the information, per OPINS as of 31 March 2013.

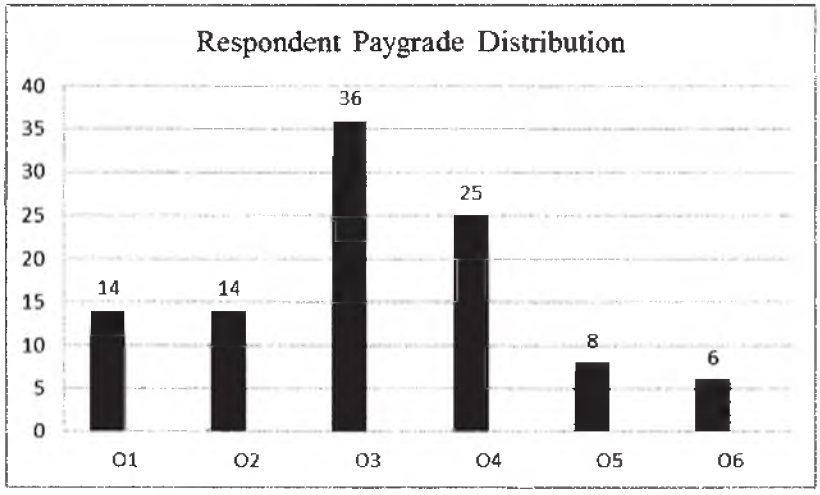


Figure 6. Respondent Paygrade Distribution

Figure 6 depicts the distribution of respondents by paygrade. The respondents were heavily clustered in the 03 and 04 paygrades, or the ranks of Lieutenant and Lieutenant Commander, who are in the midst of the Commanding Officer development process. Their experience through multiple shipboard tours and multiple COs by this stage in their careers serves as a basis for well-informed responses on the quality of leadership they have experienced. The percentage of respondents in each pay grade does not match the distribution of officers in the community exactly. In the SWO community the officers in the paygrades 01- 03 make up 71% of the community, while the same group makes up 62% of the respondents. Lieutenants or 03s responded in numbers more closely approximating their numbers in the community: 35% of respondents compared to 30% of the SWO community.

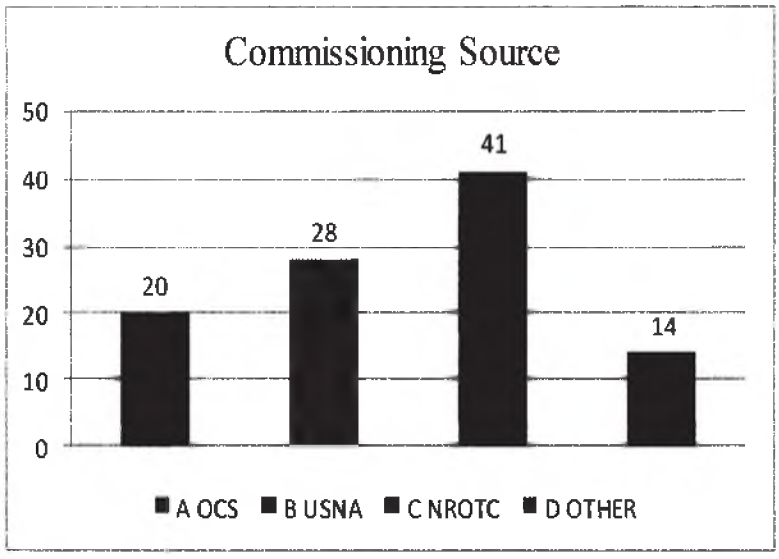


Figure 7. Respondent Commissioning Source

Figure 7 shows that the various institutions that commission officers were each well represented by the number of respondents. The 14 officers from "other" sources would be leaders who progressed up to their current positions from the enlisted ranks.

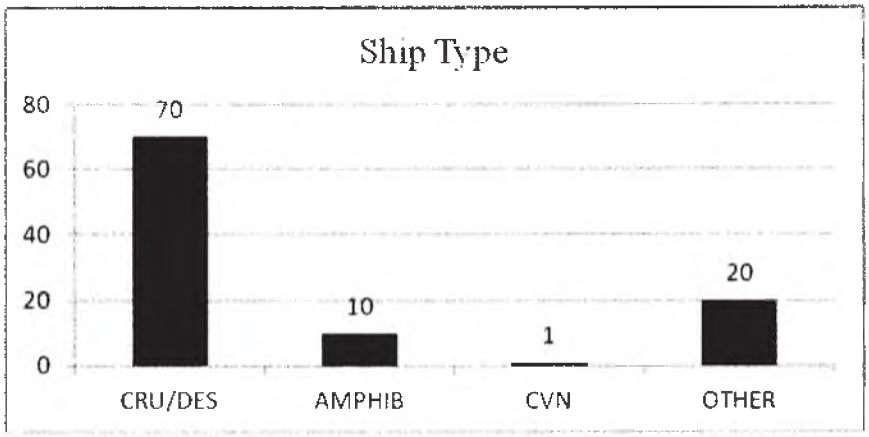


Figure 8. Ship Types in which Respondents Are Serving or Served upon As Junior Officers

Figure 8 provides the distribution of respondents across the different ship types. The cruiser/destroyer type ships are the most numerous ship-types in the Navy, so it is appropriate that most respondents report this ship type. The "other" category is a collection of less numerous units with smaller crews such as the Mine Countermeasures ship (MCM), the Littoral Combat Ship (LCS), and replenishment ships such as oilers, which resupply combatant ships with food, fuel, and ammunition at sea.

Ethical Work Climate Data

As previously described, the EWC portion respondents used a 6 point Likert scale in which points were assigned to responses in this fashion: 0 equated to "completely false," 1 "mostly false," 2 "somewhat false," 3 "somewhat true," 4 "mostly true," and 5 "completely true." In order to score these responses, the individual's responses were sorted into the cluster of statements which defined each EWC type. Then, following the grading procedure used by Weber and Gerde (2011) and Weber (1995), all the points for each of the EWC ethical statements generated by respondents were summed to arrive at the ethical statement total points.

The ethical statement total points for each EWC type were then summed to arrive at the EWC total points. In order to control for the varying number of statements associated with the different EWC types, the total for each type was divided by the number of statements that define that type. For example, the EWC total points for instrumental was divided by seven, the number of statements defining the instrumental type, and the caring EWC total points figure was divided by seven, as that number of statements defined the caring EWC. This step determined the EWC weighted score.

Once all weighted scores were calculated, the points of these scores were summed to determine the total EWC type weighted points, and each EWC weighted score was divided by that total. That division produced the percentage of the EWC total for each EWC type. This figure shows the relative level of support for each EWC type within the SWO community, as reported by the respondents.

Table 4. SWO Community EWC Percentages

EWC Type	SWO EWC % N = 103
Instrumental	18.3
Caring	17.7
Independence	16.6
Rules & Procedures	24.0
Law & Code	23.4

Table 4 presents the outcomes of the EWC calculations and the information required to test Hypothesis 1. The hypothesis asserted that instrumental EWCs would be the predominant EWC relative to the other EWCs. The table shows that the instrumental EWC is clearly not predominant, its components having received only 18.3% support by the respondents. Instead, it is the third most supported EWC after rules and procedures

supported by 24% of respondents, and law and code EWC representing 23.4%. Although the level of the instrumental EWC is noteworthy, the data do not support Hypothesis 1.

The preceding data was processed to inform us about the perceptions of EWCs by SWOs as a group, combining all individual inputs and averaging them to capture the EWC view of a community. However, in order to analyze the possible relationship between the EWC and toxic leadership, one must consider the individual SWO's perception of the EWC and any corresponding presence of toxic leadership. Accordingly, each individual SWO's EWC score must be determined. This was done by first grouping the ethical statements by the EWC type they define, and summing the numerical responses for each type. This figure was then divided by the number of questions that describe the EWC type, as was done for the entire community. This produced an average or weighted score for each of the five EWC types for each individual. This was done to account for the variation in the number of questions that define the types, as was done for the community assessment. Once these weighted numerical scores were calculated, the outcomes for each EWC type were compared and each respondent's EWC was determined by the highest score. The results of the individual EWC score analysis are shown in Table 5.

Table 5. Summary of EWC Types Reported by Individual SWOs

EWC Type	Individual EWC Count	Percent Of EWCs	*SWO Community Percent of EWCs
Instrumental	20	19.4	18.3
Caring	4	3.9	17.7
Independence	4	3.9	16.6
Rules & Procedures	36	35	24
Law & Code	21	20.4	23.4
Caring/Rules & Procedures	2	1.9	
Rule/Law & Code	13	12.6	
Independence/Rule	1	1	
Independence/Law & Code	2	1.9	
Total	103	100	

*Note: Community percentage shown for reference and contrast.

Observing the individual respondents' EWC scores in Table 5 reveals an anomalous situation. The table reflects four additional types of EWC in addition to those that were previously described. These additional types are hybrids of the five EWC's validated by Victor and Cullen (1988). In the case of these hybrids, the responses of the individuals were calculated to be exactly equal over two different EWC types, and therefore, could not be assigned to a single type. This situation was not seen in the preceding analysis as it considered the collective responses of all respondents. The survey asked for an opinion of the degree of truthfulness of a series of statements which define the different EWCs, but the statements were not all mutually exclusive. Therefore, individuals could provide responses showing equal belief in several different EWCs.

Scoring the community's responses entailed summing and averaging responses by EWC type rather than by individuals, and in doing so averaged all the values of the individual responses to each statement to make up the community view. By scoring and

averaging by groups, the relative support for the different ethical statements increased the differentiation between EWC types and prevented the "tie" situation seen in Table 5. Shown here to accurately account for responses, the hybrid responses will be excluded from further statistical analysis of the relationship between EWC and toxic leadership, due to the small number of occurrences in several cases and due to their ambiguous nature which prevents their fitting into a clearly defined type.

Toxic Leadership Data

The first simple assessment of the level of toxic leadership was conducted by counting the number of scores above a grade of 3 on the Likert scale in each of the descriptive factors for toxic leadership then dividing that count by 103, the total number of respondents. This gives the percentage of the respondents who "somewhat agree," "mostly agree," or "completely agree" with statements about toxic leadership behavior they have observed. This process provides the rather striking data in Table 6. This view of the data shows a widespread occurrence of toxic behavior across the community. The percentages show a significant presence of all the toxic leadership factors, but particularly the occurrence of narcissism, unpredictability, and abusive supervision.

Table 6. Percentage of Respondents Scoring Toxic Leadership Factors ≥ 3

Percentage Of Respondent Scores Above 3	Abusive Supervision	Authoritarian Leadership	Narcissism	Self-Promotion	Unpredictability
	50%	45%	59%	49%	57%

Next, the toxic leadership portion was scored in two ways, similarly to the EWC scores. To score the SWO community's level of experience with the behavior statements describing toxic leadership, responses were first grouped into the five factors composing

toxic leadership, and the numerical responses for each factor from all respondents were then summed. Those sums were divided by the number of statements that described the factor to achieve an average or weighted score for each factor. There were seven statements for abusive supervision and unpredictability, six for authoritarian leadership, and five for narcissism and self-promotion. For the community, these weighted scores for each factor were then divided by 103, the number of respondents, to determine the final toxic leadership factor's score. The weighted scores for each factor were then added and divided by five, the number of factors, to determine the final toxic leadership score for the SWO community. These results are shown in Table 7.

Table 7. SWO Community Final Toxic Leadership Factor Scores

Toxic Leadership Factor	Abusive Supervision	Authoritarian Leadership	Narcissism	Self-Promotion	Unpredictability	Average Score
Score	2.94	2.73	3.03	2.66	3.04	2.88

Using the description associated with our six level Likert scale, an average SWO community score of 2.88 is a slightly toxic score. A score of 2.88 is 57.6% of a score of 5 which equates to "completely agree" and is therefore a positive indicator across the community. Also noteworthy are the scores for the factors of narcissism and unpredictability, both scoring above 3 or 60% which indicates a more definitive endorsement of the presence of these factors, as well as abusive supervision scoring 2.94 or 58.8% agreement. Examining the information in Tables 6 and 7 shows an interesting situation. The factor of narcissism has the highest percentage of respondents who observed the factor at 59%, and the second highest score that reflects the degree of agreement with the descriptive factor, of 3.03. Meanwhile, unpredictability has the highest agreement score of 3.04 and the second highest percentage of observations at

57%. It would seem that, while more individuals observed narcissistic behavior, those that encountered unpredictability had a more intense experience.

Hypothesis 2 theorized that toxic leadership would prove to be significant in the SWO community. As Table 6 displayed, more than 50% of respondents reported significant occurrences of three aspects of toxic leadership: narcissism, unpredictability, and abusive supervision. As Table 7 showed, for the community, there was an overall average affirmative score of 2.88 or 57.6% of the maximum score for the presence of toxic leadership factors. Accordingly, Hypothesis 2 is considered supported.

In order to identify any relationship between the EWC and toxic leadership, additional analysis was needed to look deeper at the individual experience, and respondents had to be scored as individuals not just as participants in the community. For individual SWOs, responses were first grouped into the five factors composing toxic leadership (abusive supervision, authoritarian leadership, narcissism, self-promotion, and unpredictability), and the numerical responses for each factor were summed. Those sums were then divided by the number of statements that described the factor to achieve an average or weighted score for each factor, as they were for the community. Each individual's weighted scores for each factor were then added and divided by five, the number of factors, to determine the final toxic leadership score.

For individual SWOs, the final toxic leadership scores ranged from 0.069 to 5.00 on the 0 to 5.0 scale. All respondents with final toxic leadership scores above a 2.9 were classified as toxic. Of the 103 respondents, 54 or 52.43% were judged toxic. More specifically, this group reported sufficient experience with the negative behaviors queried to be considered having been subjected to toxic leadership. Scores for those designated

toxic ranged from 2.94 to 5.0. The average toxicity score among the toxic group was 4.04 compared to the average of 2.88 for the community, a 23% higher level of agreement.

Table 8 shows that among individual SWOs, as in the larger community, the

Table 8. Designated Toxic Individual SWO Average Toxic Leader Factor Scores

Toxic Leadership Factor	Abusive Supervision	Authoritarian Leadership	Narcissism	Self-Promotion	Unpredictability	Average
Score	4.08	3.84	4.10	3.93	4.28	4.04

factors that show the greatest agreement and, by extension, the widest occurrences are unpredictability, narcissism, and abusive supervision.

Hypothesis 3 theorized there would be a positive correlation between the presence of the instrumental EWC and toxic leadership. The distribution of toxic leadership among the EWC types, including the hybrids is shown in Table 9.

Table 9. Toxic Leadership Occurrences by EWC Type

EWC Type	EWC Count	# Toxic Leaders in EWC	% Toxic Leaders in EWC
Instrumental	20	15	75
Caring	4	1	25
Independence	4	3	75
Rules & Procedures	36	15	41.67
Law & Code	21	10	47.62
Caring/Rules & Procedures	2	1	50
Rules/Law & Code	13	7	53.85
Independence/Rules	1	1	100
Independence/Law & Code	2	1	50
Total	103	54	52.43

To determine if there is an association between the EWC type and toxic leadership, a contingency table was used to calculate the values of chi-square and Cramer's V for these variables. In order to obtain a valid response, the observed values of the hybrid EWCs and those of the caring and independence EWC were eliminated as the

small number of occurrences were detrimental to the validity of the calculation. The testable subset used for the calculations is shown in Table 10.

Table 10. Toxic Leadership Occurrences by EWC Type: Testable Subset

EWC Type	Instrumental	Rules & Procedures	Law & Code
Toxic	15	15	10
Non-Toxic	5	21	11
EWC Count	20	36	21

The results were a chi-square of 5.94, $p = 0.05$, for $df = 2$. This is sufficiently near the critical value of chi-square of 5.99 for $p < 0.05$ to reject the null hypothesis, and the Cramer's V of 0.2777 indicates a moderately strong relationship between EWC and toxic leadership. Furthermore, calculating Pearson's r as a measure of correlation using the average score of the EWC occurrences as the independent variable, and toxic leadership average scores as the dependent variable provided an r of 0.45091. This value indicates a strong positive relationship between the two factors. Therefore, all calculations support Hypothesis 3.

The difference in the strength of the positive indications among those three measures could be related to the observation of only five non-toxic leaders in the instrumental EWC. Due to the logical basis of the chi-square calculation, five is the lowest value considered valid for the calculation. This is a rule of thumb, not a mathematical requirement (Lowry 2013). Also, the chi-square calculation is sensitive to sample size, rising or falling with the numbers of the observations. These considerations could be the source of the differing values for the strength of the relationship.

With the support of the staff at the Navy Personnel Research, Studies, and Technology office, an additional calculation was done testing for correlation between

toxic leadership factors and the different EWC types. Pearson's *r* was calculated, utilizing the Statistical Package for the Social Sciences (SPSS) application and the entire data set of observations, rather than the average scores employed for the preceding calculations. Table 11 displays the results of this calculation, which shows a strong positive correlation

Table 11. EWC Type & Toxic Leadership Factor Correlation (Pearson's *r*)

EWC Type		Abusive Supervision	Authoritarian Leadership	Narcissism	Self-Promotion	Unpredictability
Instrumental	*r*	.449**	.464**	.476**	.516**	.439**
Caring	*r*	-.525**	-.593**	-.466**	-.503**	-.523**
Independence	*r*	-.248*	-.241*	-.159	-.174	-.182
Rules &Procedures	*r*	-.253**	-.239*	-.291**	-.288**	-.247*
Law &Code	*r*	-.258**	-.289**	-.271**	-.304**	-.280**

** Correlation is significant at $p \leq 0.01$ (N = 103)
* Correlation is significant at $p \leq 0.05$

between the instrumental EWC and all toxic leadership factors, providing further support for Hypothesis 3. It is interesting to note that the caring EWC has a contrasting strong negative correlation with toxic leadership, owing to its benevolent ethical criteria. It is also noteworthy that the rules and procedures and law and code EWCs have similar weak to moderately weak negative correlations to toxic leadership factors. This is logical as the toxic behaviors tend to have an egoistic focus while these EWC's have external reference groups as their ethical locus of analysis.

Unit Success Data

Hypothesis 4 states that there will be a negative correlation between the presence of an instrumental EWC and toxic leadership and the objectively measured performance of individual ships. To test this hypothesis the level of success by the units the respondents were serving upon during their observations had to be determined.

Respondents provided "yes," "no," and "not applicable" answers on the completion of 20 qualifications and certifications that comprise the surface force Battle Efficiency completion, equating to numerical scores of "1," "2," and "3" respectively. These scores were summed and averaged as a measure of unit success. Scores of 1.47 or less were considered "successful" and equated to an 88% success rate in completing the applicable qualifications and certifications. That allowed for units to have failed not more than three of the requirements and qualify as "successful."

The responses were also reviewed to ensure answers were appropriate to the ship type of the respondent. For example, no gas turbine powered destroyer could complete a nuclear engineering certification, nor would an amphibious ship complete a naval gunfire qualification. During this review it was decided to remove the inputs by Ensigns, officers of the 01 paygrade, from use in testing this hypothesis. This was due to the high number of "NA" grades in their inputs. It is possible that their short time in the Navy, less than two years, had not allowed them to see an entire completed competitive cycle for the award. The elimination of these responses and those with hybrid EWCs, as previously explained, reduced the number of useable responses from 103 to 75.

To test the hypothesis the first calculation was the success rates of all responses grouped by EWC. The responses were grouped into toxic and non-toxic sets, and the "NA" graded subset was identified to be subtracted as ineligible for this test. The percentage of eligible successful toxic and non-toxic units was then calculated and the results compared. Table 12 shows the results of this process for the toxic set.

Table 12. Percentage of Successful Toxic Units by EWC

EWC	# EWCs	# Toxic Leaders	NAs	Successful	Not successful	Percentage Successful
Instrumental	19	14	1	9	4	69
Caring	3	1	1	0	0	NA
Independence	2	2	0	2	0	100
Rules & Procedures	32	13	5	5	3	63
Law & Code	19	10	4	6	0	100
Totals	75	40	11	22	7	76

Table 13 shows the results of this process for the non-toxic subset. In comparing results in these two tables, it is apparent that the units with an instrumental EWC and toxic leadership were actually 19% *more successful* than the units with an instrumental EWC without toxic leadership. As this observation offers evidence in direct contradiction to Hypothesis 4, the hypothesis is not supported.

Table 13. Percentage of Successful Non-Toxic Units by EWC

EWC	# EWCs	# Non Toxic Leaders	NAs	Successful	Not Successful	Percentage Successful
Instrumental	19	5	3	1	1	50
Caring	3	2	1	1	0	100
Independence	2	0	0	0	0	NA
Rules & Procedures	32	19	4	13	2	87
Law & Code	19	9	4	3	2	60
Totals	75	35	12	18	5	78

It is also interesting to note the difference in the overall success rates between toxic and non-toxic units which were 76% and 78%, respectively. This minor 2% spread between the toxic and non-toxic units is a surprise that led to an additional calculation to determine if there is a correlation between toxic leadership and unit success. Pearson's *r* was calculated using individual respondent's average toxic leadership score and the

associated unit success scores, once the respondents who reported "NA" were removed. The calculation was done using the toxic leadership score as the independent variable and the unit success score as the dependent variable which resulted in $r = +0.08$. This indicates no relationship or a negligible positive relationship between the variables, which was not the expected outcome.

Summary of Findings

Testing of the hypotheses provided the following results:

Hypothesis 1: Instrumental EWCs will be the predominant EWC within the SWO community. Not supported; the rule and procedure EWC was predominant while the instrumental EWC was the third most widely observed.

Hypothesis 2: Toxic leadership will prove to be significant in the SWO community. Supported; there was 57.6% positive response on the presence of toxic leadership factors in the SWO community.

Hypothesis 3: There will be a positive correlation between the presence of the instrumental EWC and toxic leadership. Supported; statistical tests using chi-square, Cramer's V, and Pearson's *r* indicated a moderately strong positive relationship between the two factors.

Hypothesis 4: There will be a negative correlation between the presence of the instrumental EWC and toxic leadership, and unit success. Not supported; observations indicated that 69% of units experiencing both an instrumental EWC and toxic leadership were successful, compared to 50% for units experiencing an instrumental EWC and non-toxic leadership. Further analysis using Pearson's *r* produced $r = + 0.08$ indicating no or negligible correlation between toxic leadership and unit success.

Limitations of the study.

While the results of the survey are indicative of conditions in the community, it must be reiterated that the non-probability design of this study and the size of the sample from the SWO population does not permit the conclusions to be generalized across the community. There was also potential for the study to be biased by the social desirability of ethical behavior, but this was addressed by asking for observations on the behaviors of others rather than asking respondents to self-report and by maintaining the anonymity of the respondents.

Chapter 5 provides recommendations for addressing the conditions highlighted in findings and the information presented in previous chapters as well as areas for further study.

Excursions.

The following items depict areas of interest not related to the hypotheses that could offer interesting issues for subsequent study. The SWO EWC data brought to mind Weber and Gerde's work that contributed to the foundation for this analysis, and raises the question, "how widely do the SWO EWC results differ from those Weber and Gerde gathered from units with combat missions?" Table 14 contains a comparative view of the SWO EWC percentages and those of the combat mission units from Weber and Gerde's 2011 work. Here there is a difference between the SWO community and the U.S. Air Force combat mission units. Following Weber and Gerde's method, the Z score, or statistic, and a one-tailed test for significance were calculated to compare the two sets of observations. For both the instrumental EWC ($Z = 1.849$, $p = .0322$) and independence EWC ($Z = 1.885$, $p = .0297$), the differences between the two groups are statistically

significant. While the data did not support Hypothesis 1, that the instrumental EWC would be dominant in the SWO community, the higher occurrence of the instrumental EWC in the SWO community compared to the Air Force combat mission personnel could be indicative of an elevated occurrence along the lines of the hypothesis, but not at the magnitude expected. This poses an interesting situation for further comparative study between different communities in the Navy and between other services.

Table 14. EWC Comparison SWO to U.S. Air Force (USAF) Combat Mission

EWC Type	SWO EWC % N = 103	USAF Combat Mission EWC % N = 158	*Z* Statistic	One Tail Significance
Instrumental	18.3	15.63	1.849	0.0322
Caring	17.7	19.19	1.142	0.1267
Independence	16.6	13.43	1.885	0.0297
Rules & Procedures	24.0	26.02	1.371	0.0852
Law & Code	23.4	25.73	1.300	0.0968

Source: USAF EWC data from Weber and Gerde 2011, page 604, Table V.

Table 15. Toxic Leadership Reported by Respondent Paygrade

Paygrade	01	02	03	04	05	06	Total
Responses	14	14	36	25	8	6	103
# Toxic Leaders Reported	4	10	23	10	3	4	54
% Toxic Leaders Reported	28.57	71.43	63.89	40.00	37.50	66.67	52.43

Table 15 presents a summary of the toxic leadership responses grouped by respondent paygrade. It is interesting to note that the junior officers in paygrades 03 and below report toxic leadership at a far higher rate than their more senior colleagues. Calculation of chi-square and Cramer's V to test the significance of the relationship

between the paygrade and the report of toxic leadership produces a chi-square of 9.12, with $df = 4$ and $p = .0582$. While this is close to the critical value of chi-square of 9.49 for a $p < .05$, it is not sufficient to reject the null hypothesis that there is no relationship between the two. However, the Cramer's V calculation adjusts for small sample sizes, and its score of this observation is 0.3098 which indicates a moderately strong relationship between paygrade and the experience of toxic leadership. This could indicate a difference in the perceptions of toxic leadership between junior and more senior officers, or that toxic leadership is more prevalent now than when the more senior officers were serving as Division Officers. This could be an area for additional study.

Table 16. Respondents Reporting Toxic Leadership Grouped by Commissioning Source

Source	OCS	USNA	NROTC	Other
Graduates	20	28	41	14
Report Toxic	11	13	22	8
Report Non-Toxic	9	15	19	6
Toxic Percentage	55	46	54	57

Table 16 presents another view of the respondents, grouped by their commissioning source. As with the disparity in paygrade perceptions, the difference between the reporting rates among these subgroups might appear to be an interesting aspect to explore, to determine if there are different attitudes toward the behaviors that comprise toxic leadership based upon experiences or training received at the commissioning source. However, calculating chi-square and Cramer's V score finds a chi-square of 0.61, $p = 0.8941$, for $df = 3$. This strongly indicates the *absence* of a meaningful association and is confirmed by the Cramer's V score of 0.077, a very weak relationship between the variables.

The final excursion is an examination of responses by the different genders. Table 17 shows a comparison of pertinent factors grouped by gender.

Table 17. Comparison of Factors Grouped by Gender

Gender	Gender Count	Toxic Leader Count	Percentage of Toxic Leaders	Average Toxic Leadership Score
Male	84	44	52.38	2.90
Female	19	10	52.63	2.81

The table shows that there is little appreciable difference between the genders. To test for a correlation between gender and toxic leadership scores, Pearson's r was calculated. The test was conducted using gender as the independent variable and toxic leadership score as the dependent variable, producing $r = -0.02469$. This is a very weak negative correlation indicating nearly complete independence of the two variables.

Chapter V

DISCUSSION

Assessing the System

In many occupations a dismissal rate of 1.6% of its leadership might not be a matter of concern. In fact, it might be remarkably low. However, in the Navy's field of Surface Warfare, it represents the occurrence of an unacceptable number of failures. These failures of COs incur expensive damage to vessels and the Navy's image among key constituencies, not to mention inflicting physical and emotional injury to its most expensive resource, its people. This research sought information on organizational and cultural influences contributing to this dismissal rate and found that the process of creating a SWO CO is comprehensive, addressing all aspects of skills, abilities, and values needed for success.

The mechanics of the systems the Navy uses to create Commanding Officers are sound. In reviewing the results of the qualitative assessment of the organizational procedures in place for training and selecting COs, it is clear that the Navy employs proven, objective policies and practices. The training and qualification regimen for SWOs is rigorous, thorough, and demanding. From the initial stages as a midshipman or officer candidate through the Command Leadership Course and the associated CO technical refresher training, the current combination of classroom and practical on the job training provides not just the technical foundation, but covers all facets of leadership, accountability, and ethical behavior as well.

Of greatest interest here is that key ethics and leadership aspects are repeated at multiple points in an officer's development. The additional refreshers on the prohibitions against inappropriate behaviors such as alcohol abuse and sexual misconduct provided in the GMT program serve to reinforce adherence to basic moral and ethical values promoted by the Navy. Additional GMT training on topics such as stress management, anger management, and physical readiness provides additional tools for coping with the pressures of the shipboard environment.

The process of selecting COs, built upon the basis of the performance evaluation and qualification systems, is also an extensive, purposefully objective, and, by reputation, a zero-error-allowed process. A process of extreme thoroughness and exacting standards, it entails multiple reviews of an officer's complete record of service and performance, for decades in some cases, to achieve the rank to be eligible to command. A demanding, comprehensive set of qualification criteria and a final selection board that reviews the totality of these preceding steps is conducted by experienced senior SWO leaders who have been previously qualified and selected by the process themselves. A key consideration is whether the selection board members have the correct and complete information as a basis for their selection decisions.

Despite all of the training provided on the moral and ethical expectations placed on COs, and the care taken in selecting them, a number of officers succeed in attaining the position who prove to be ill-suited for the associated responsibilities. As seen in Chapter 4 Figure 3, 43% of SWO DFCs are due to personal behavior failures, often due to inappropriate sexual conduct. In the face of all the training provided on how to be a leader, another 19% are relieved due to command climate issues involving poor

leadership. The officers who commit the acts leading to DFCs do not suddenly develop those behaviors overnight; they are developed and tolerated, if not fostered, within the SWO culture throughout their careers.

The State of the Culture

While the mechanics of the processes for creating COs are well-planned, scrutinized closely by experts and senior leadership, and effective, there are aspects of the culture which sustain the creation of some flawed and failure prone COs. The patterns of beliefs, symbols, rituals, myths, and practices that compose organizational cultures develop over time, through shared experiences, and are begun based on the vision, beliefs, and values of the founders (Robbins 1990, 444; Schein 2010, 219). The Navy was begun and its patterns set in a simpler, far less technological, and more socially stratified era. In some respects, it has been slow to evolve. As Robbins warns, "[m]any large and historically successful organizations have learned the hard way that cultures can become obsolete and create serious impediments for responding to a changing environment" (1997, 263).

The "hard school" from the days of sail, which incorporated abusive supervision, including corporal punishment, is as outdated on modern warships as sails themselves. Yet, experiences by the SWO community following World War II seem to have strengthened its attachment to the "hard school," to its detriment. The loss of prestige, due to the rising importance of the aviation and submarine communities diminished the community's image. The use of special pays and bonuses for the competing communities left the SWOs feeling undervalued. The manning policy of sending "fallen angels" and "nuclear waste," aviation and submarine training attrites respectively, to the surface force

left the community feeling like "second class citizens" and a "dumping ground" (Robinson 2008, 47, 41). Although the community's striving for its own unique identifying items like the SWO pin and SWO sweater may seem trivial or petty, it is indicative of a culture seeking to define itself, to regain lost respect, and to overcome a post-World War II reputation for being "almost like a lower class . . ." composed of ". . . runts that weren't good enough for the others" (Graham 2006, 65).

Evidence suggests that its changing fortunes after World War II left the SWO community harboring a low level of anger and bitterness about its status in the Navy, which it has turned inward on itself. This attitude now drives a rather harsh pursuit of toughness as a definitive character of the community, which carries with it a de facto tolerance of a degree of toxic leadership within its ranks. Those toxic leaders who succeed as COs propagate their toxic patterns by serving as role models for developing officers. They also aid in promoting toxic leaders through a natural tendency to look favorably on those like themselves for performance evaluation purposes. In contrast, the CO development and selection processes, as they currently operate, are not provided by the performance evaluation system with the information needed to completely winnow out toxic, ethically deficient prospective COs.

There are additional aspects of the culture which also contribute to an environment that fosters poor leadership performance. As in any military organization, the structure is hierarchical and the culture bears many artifacts, such as uniforms and insignia, which emphasize this structure and contribute to defining roles within it. In the case of the Navy, its traditions also have elitist overtones, rooted in its origins and propagated by the ceremonies, attitudes, and etiquette. This culture appeals to individuals

with narcissistic traits. The trappings of the lifestyle, including the automatic respect due to seniors, the ranks, the pomp and ceremony, and the existence of wardrooms and staterooms, feed narcissists' desire for the grandiose and the feelings of entitlement. These aspects also contribute to a strain of elitism, long noted in the Navy that fosters a condescending, dismissive attitude toward subordinates.

Strict behavior control, commonly called micromanagement, and authoritarian leadership *may* have a role in the military training environment, primarily for the creation of stress to test the adaptability and endurance of trainees, but it has little place in the day to day operations of ships at sea. Those who adopt that approach in the Fleet are not preforming in accordance with the Navy's leadership philosophy and training. Instead, they are undermining all the Navy's efforts to create an effective, principled leadership cohort. In modern America, officers cannot treat subordinates, either junior officers or enlisted personnel, as inferior simply because of their subordinate roles. In today's Navy, the technological requirements for superior intelligence and training give these roles a vital aspect that belies their lower position in a military hierarchy.

Yet, this research has shown the significant presence of toxic leadership, which includes authoritarian leadership and abusive supervision, and an elevated occurrence of the instrumental EWC which contribute a variety of negative behaviors and attitudes that are counterproductive to developing rising officers into successful, ethical leaders. The survey portion of this project provided data that furthers the understanding of the climate and culture surrounding the leadership development in the SWO community. Survey results, as shown in Table 6, indicated that 59% of respondents encountered narcissistic behavior among their leaders, 57% encountered unpredictability, and 50% observed

abusive supervision. The results show a wide spread occurrence of toxic leadership, with 52% of the respondents having been exposed to *demonstrably* toxic leaders as junior officers. While not generalizable across the entire community, the results are meaningful. These observations likely indicate that there are far more toxic leaders in the community than the few who are actually relieved and receive a DFC.

This apparent disparity between the occurrence of toxic leadership and the rate of dismissal may be due to the comparable level of success achieved by these toxic leaders, as seen in the unit success scores. The data in Table 12 shows the units experiencing toxic leadership are only slightly less successful with a 76% success rate compared to 78% for the non-toxic units as seen in Table 13. What the survey cannot show is the cost to the Navy for that achievement, particularly in the area of attrition among Junior Officers. It was insufficient SWO Junior Officer attrition rates that led to the creation of the Surface Warfare Officer Continuation Pay and Surface Warfare Officer Critical Skills Retention Bonus programs.

Abetting a cultural tolerance for toxic leadership is the performance evaluation system which enables documenting success but does not provide adequate tools for addressing how accomplishments were achieved. If an officer is effective in accomplishing the duties assigned to him or her, but does so employing either toxic leadership or unethical methods, is that properly reflected in performance evaluations, or might the ends justify the means to the CO? If the CO determines that the toxic or unethical behavior is noteworthy, though the outcomes of the officer's efforts are satisfactory, does the current fitness report system provide the tools needed for a complete and accurate assessment? The combination of military bearing and character

into a single grading factor diminishes the importance of character and ethical behavior and essentially precludes accuracy in this case, and the culture found in this research seems to embrace rather than discourage the behavior. Both of these factors contribute to propagating an environment that emphasizes success and will accept some toxic behavior being used to achieve it.

Similar to the case of a Junior Officer, a CO may achieve the short term goal of creating an operationally proficient unit by employing toxic leadership methods that, if not reported to his superiors, may go unnoticed and unaddressed. This short term success may suit the individual goals of the toxic CO, and meet the Navy's immediate term need for a capable combatant unit, but it is done at the expense of creating an environment that drives young officers and Sailors from the Navy. As a consequence of the SWO tolerance of the toxic behavior, that readiness is achieved at a price that understates the long term costs to the Navy.

This research should raise concern over the prevalence of abusive supervision, narcissism, and unpredictability among the leaders observed by the respondents. Other research has shown that abusive supervision diminishes OCBs by those subjected to it. Those OCBs contribute to fostering positive work place relationships and teamwork. Instead, toxic leadership undermines trust and creativity and stifles communication, all factors critical to the highly interdependent tasks involved in safely operating a warship.

Similarly, the aspects of narcissism which adversely affect the safe operation are inflexibility and the inability to accept dissent or contradictory information. The inability to accept information contrary to one's perception of a situation at sea could lead to a

collision, or worse. Furthermore, narcissists lack empathy which inhibits creating trusting relationships which in turn interferes with the creation of cohesive teams.

Finally, the notable presence of unpredictability, as described in the survey as relating to moodiness, explosive anger, and general volatility negatively complements both abusive supervision and narcissism. Like those two other factors, it also stifles communication by diminishing a subordinate's willingness to communicate, to share information and ideas, or to bring forth bad, though critical, news out of a fear of backlash. Generally, unpredictability on the part of a leader results in shutting down communications when it could be most vital.

The findings on the EWC within the SWO community were somewhat more positive. It would be appropriate for the SWO community to have a predominantly rules and procedures EWC. It is a culture known for perfectionism, but which has logical roots in an environment where the risk of physical danger can be mitigated through the use of rigidly enforced standardized processes. However, the significant presence of the instrumental EWC is a potentially detrimental situation, especially in view of the strong positive correlation with toxic leadership, as seen in Table 11. For individuals who function within the frame of an instrumental EWC, if their locus of analysis is egotistical, the decisions they will make would consider their personal interests above all, even to the detriment of colleagues or the organization. If the locus of analysis is local, their decisions would put mission accomplishment above all else, possibly to the detriment of others in the organization or in violation of law or policy. In either situation, a CO with this ethical framework would be less inclined to make ethical decisions and more inclined to place the best interests of the crew or the Navy second, if considered at all.

Recommendations

The current rates of DFCs and the extent of toxic leadership pose serious challenges for the SWO community today, but there is potential for conditions to worsen. Consider that the current rate of DFCs, the extent of the instrumental EWC, and the observed presence of toxic leadership are indicators of an inherent susceptibility to detrimental values and behaviors. Callahan's conclusions on the nation's state of ethical decline, and Twenge and Campbell's prediction of an epidemic of narcissism could mean that the Navy will be recruiting increasing numbers of ethically challenged, narcissistic, potentially toxic officers into its ranks. This situation places the SWO community at greater risk for the continuation of, or even increase in, the presence of toxic leadership and its detrimental consequences. This possibility makes it even more imperative to take affirmative action to alter the process and the culture that produces COs.

The time would seem right to address the presence of toxic leadership and the culture that supports it. Over the past decade a number of retention-related studies by staff and students of the Naval Post Graduate School have pointed to components of toxic leadership contributing to the decisions of those who depart the Navy. The 2013 SWO Junior Officer Survey points to similar characteristics as demotivating or dissatisfying aspects of the community. During the time of this project, the Navy has taken action to strengthen and standardize the CO qualification process to improve the quality of selectees and reduce the number of failures (Greenert 2012a). Even as this is being written, the Chief of Naval Operations has a blog post, "Focus on Ethics," discussing the critical role integrity plays in the Navy.

To fully address this cultural flaw of tolerance for toxic leadership and compromised ethics will take an extended period of time, due to the enduring nature of cultures. It will also require a concerted effort, employing a number of aspects of organizational development. In this case, these aspects would include change management, leadership development, performance management, coaching, and team building initiatives. To do so the Navy should commission an action research project leveraging the faculties, students and staffs of the Naval Post Graduate School, Naval War College, the U.S. Naval Academy's Stockdale Center for Ethical Leadership, and the staff of the Navy Personnel Research, Studies, and Technology office. Unlike traditional research, an action research project does not focus on knowledge generation, but on actions to be taken by insiders of an organization or community to address a particular identifiable problem (Herr and Anderson 2005). Such a team could conduct cultural assessments and develop a plan for cultural change, employing the methods of Schein (2010) who defines a three stage process consisting of the following:

> "Stage 1 - unfreezing - creating the motivation to change,
>
> Stage 2 - Learning new concepts, new meanings for old concepts, and new standards for judgment, and
>
> Stage 3 - internalizing new concepts, meanings, and standards." (2010, 300)

Whatever method or process is chosen, the target for change and the reasons for the change must be clearly identified and communicated. There will be considerable resistance to such change based on a variety of fears and anxieties in the community, among these being: fear of the loss of power among senior members facing new practices for exercising authority; fear of temporary incompetence related to learning new skills

and attitudes; fear of loss of personal identity for those whose leadership style incorporates elements that are now being condemned; and fear of loss of group membership by those who question the validity of the assumptions behind the change (Schein 2010, 303-304).

Some natural resistance to the change could be reduced by incorporating the inputs of a broad sample of community members, through the use of cultural assessments, possibly including the use of the ECQ to determine the EWC in participating units. This would capture information on the extent of the instrumental EWC and by association, the extent of toxic leadership. Participation by junior personnel, both officer and enlisted, would be key to the development of relevant communications and achieving buy-in on remediating actions. As Schein asserts in one of his principles of culture change, "[o]ld cultural elements can be destroyed by eliminating those who 'carry' these elements, but new cultural elements can only be learned if the new behavior leads to success and satisfaction" (2010, 312). Satisfaction could be increased by broad participation in the creation of the "to be" culture.

As part of the process, the Navy could develop an anti-toxic leadership communications campaign, perhaps likening it to bullying, a cultural phenomenon currently receiving great attention, and citing its detrimental effects on operational effectiveness. Leadership curricula, which already contain values and aspects consistent with transformational leadership, would require amendments to specifically identify and define it as well as transactional and toxic leadership. The purpose would be to foster the application of transformational principles and eliminate toxic practices. Another task within the plan should be the review of materials providing leadership lessons from naval

heroes and leaders of the past to identify and stress those who exercised transformational leadership. For example Stephen Decatur, famed for his actions against the Barbary pirates, was ". . . proverbial among sailors, for the good treatment of his men" (Leiner 2001, 31). In contrast, his contemporary fellow hero William Bainbridge was cited as "an accurate navigator, a good ship handler," but had "a reputation as a hard taskmaster and a rigid disciplinarian - in return his men feared and loathed him" (Leiner 2001, 32). There is likely much material available for use in stressing the type of leadership being sought and multiple examples of what should be avoided.

As a component of the larger culture change effort, there are a number of near-term corrective actions that can be taken to address some flaws in the process of developing and promoting COs. As remarked previously, the mechanics of the system are basically sound, but some adjustments are required. First, in the performance management area of organization development, the fitness report system must be modified to provide more complete and accurate information for selection board use. As previously recommended by Higgs (2010) and Light (2011), the character grade must be separated from military bearing into a separate grade dealing exclusively with moral and ethical behavior and treatment of subordinate personnel. This score should be vital, if used judiciously, in identifying those exhibiting toxic leadership behaviors and preventing their selection for CO.

Second, to provide additional input on developing leaders' skills in collaboration and cooperation, the teamwork grade should be determined through the use of a 360 degree review process. This review could incorporate Bruce Bass' Multi-Factor Leadership questionnaire which captures data on the presence and strength of the factors

which describe transformational and transactional leadership (Avolio, Bass, and Jung 1999). These reviews would be conducted at the end of the division officer and department head tours, incorporating inputs from subordinates, particularly senior enlisted personnel, peers, and senior leadership. Guidance would be needed to define who within an officer's chain of command, both above and below, would participate as raters. Other raters outside an officer's chain of command, such as fellow watchstanders from other departments, would also be required for the broadest view of an officer. This broader, more complete look at an individual's skills, abilities, and temperament would yield a more objective and useful grade of a key, and previously undervalued, leadership skill.

Third, forced ranking for promotion recommendations by the CO, as the reporting senior, should be eliminated. They are widely considered to be detrimental to team cohesion, promoting strife among those competing for advancement, and have been denounced as counterproductive and ineffective. Forced ranking, similar to the team work grade would be replaced by a score that combines two grades of the officer's potential to succeed in executing greater responsibilities. The first would be awarded by the CO, as the senior technical expert, and the second, of equal weight, would be from the previously described 360 degree reviews at the end of the division officer and department head tours. These combined scores would provide a more in-depth assessment of an officer's potential for succeeding as a leader in a dynamic and demanding environment. It should be possible to have this method yield a numerical score, rather than the present descriptive recommendations of "promotable, must promote, and early promote," which

could be averaged with the scores of other tours across the career to produce that key promotion score for selection board use.

Ending the forced distribution of promotion recommendations would free COs from any temptation to game the system to equally reward similarly well-performing officers. It would eliminate the responsibility of a single individual for altering the path of a subordinate's career by accurately documenting negative behavior. It would diminish an officer's ability to hide shortcomings, errors, and negative traits by increasing significantly the number of those observing them in a wider number of circumstances and situations. It would also eliminate the possible effect of favoritism on the part of COs.

To have any real effect, the 360 degree reviews must be incorporated into the performance evaluation system rather than being used as a personal growth and counseling tool. As currently employed at the Command Leadership Course, there is no real effect on the recipients. Once those who have narcissistic or other toxic leadership tendencies have been selected for CO and sent to this training, it is too late for the feedback to have any effect. According to Maccoby, "narcissists don't want to change and as long as they are successful, they don't think they have to" (2004, 98).

In order to avoid promoting flawed officers, such as toxic leaders, to command positions, additional information on officers' personalities must be gathered and included in their professional records. Personality has been shown to be a key factor in an individual's ability to succeed in a variety of roles, especially in leadership. For currently serving officers, this should be done using the Navy Computer Adaptive Personality Scales (NCAPS) created by the Navy Personnel Science, Research, and Technology office. This system tests for traits specifically related to the issues studied here including

dutifulness and integrity, leadership orientation, empathy, stress tolerance, adaptability and flexibility, and self-control. It tests for 19 total traits proven to be associated with success across most Navy jobs, and its predictive capability is currently being validated in 13 Navy and Marine Corps training and learning centers (Farmer and Walker 2012).

A potential CO's personality fit with the requirements for the role of commanding officer is another vital fact that should be available to CO selection boards. Initially, this information could be used for counseling and coaching individual officers to enhance the influence of their positive traits and minimize the effect of negative ones on their performance. However, once the application is in wide use and its predictive accuracy objectively established, this information could be used to administratively eliminate candidates from consideration before going before a selection board. Should the NCAPS results show individual officers to be notably unsuitable for command, they could be removed from consideration, and designated counselors could inform the officers on the findings from the survey and advise them of career alternatives to CO tours. NCAPS could also be used at the outset of a career, during the recruiting process. It could be administered as an officer recruit qualification test, similar to the Aviation Selection Test Battery. Its use in this fashion could eliminate candidates not well-suited to naval service, eliminating the expense of training them and the risk of any potential negative consequences arising from their service.

Next, a new means of assisting COs to enhance their personal accountability and self-regulation is needed to offset the solitary nature of their assignment. As has been stated previously, once officers become COs, they are usually the most senior and experienced officer onboard a vessel. They have no peers, other than competitors

commanding other ships, and they may have no one to confide in concerning misgivings, errors, or temptations. It may be that a CO has a protégé-to-mentor relationship with the rating officer, but if not, or if there is fear of an impact on the performance evaluation due to the expression of concerns, what resource is available? Some may have a religious counselor, others a spouse or close friend, but all could use a confidential advisor who has been in similar circumstances to those they face.

The Navy has had mixed success with mandatory mentorship programs in the past, due to the complexities of managing participation and the nature of the relationship. The relationship between protégé and mentor is substantially personality driven and incompatible with an assignment by a third party (Johnson and Andersen 2009). The solution would be a volunteer mentor who is not part of the CO's reporting chain.

This could be provided by establishing a Navy-sponsored informal mentor program relying on volunteer retired senior officers to mentor COs. In any Navy homeport, there are almost certainly a significant number of retired former COs, squadron commodores, and flag officers who would be willing to be a CO's mentor. By virtue of their experience, most have likely been mentors to many officers in the past, and they have had experiences very like those facing COs today. Their participation could be solicited via such organizations as the Surface Navy Association, Naval War College Foundation publications, and the U.S. Naval Academy Alumni Association, to name a few. The program could be started as a pilot in one of the primary surface ship homeports, such as San Diego, California or Norfolk, Virginia, and incorporated into the existing Commander Naval Surface Force online e-Mentor program. Naturally, volunteers would have to be screened to exclude those whose personalities might

reinforce toxic aspects of their protégé COs. This could be done, possibly with the NCAPS survey. These experienced mentors could help guide the COs through their solitary tours, offering guidance and helping them to adhere to the Navy's core principles of Honor, Integrity, and Courage.

Finally, while much has been done by the Navy to change the worst aspects of its sea-going heritage, by discouraging the excessive use of alcohol, supporting efforts to combat trafficking in persons, and prohibiting hazing, there still exist remnants of its past more appropriate to the *HMS Victory* than to a modern warship. The continued existence of shipboard wardrooms and the counterpart chief petty officer messes, with the concomitant employment of junior enlisted personnel as serving persons, creates unnecessary stratification and barriers between the officers and crew, fostering an elitist perspective among officers, and making communication and teamwork more difficult.

The use of these separate messes should be minimized, though not eliminated. Their use should be restricted to evening meals and all meals on Sundays only, with cafeteria-style service. Officers and chief petty officers should be required to dine on the mess decks with the crew for all other meals. This would serve to humanize the senior leaders of the ship and clarify that the superior/subordinate roles are based on the education, training, and responsibilities of each group, not due to a perceived elevated social status. Table service in the wardroom and chief petty officer mess should be limited to special events in port, where U.S. warships represent the interests of the United States and dignitaries are being hosted.

All of the preceding recommendations will likely be considered controversial in the SWO Community. Stopping forced ranking, which has served the selection *process*

well, and removing the CO as the final authority over an officer's promotion recommendation will be seen as usurping a legitimate responsibility of the most experienced officers. Allowing personality information to take precedence over performance is contrary to long held practices and accepted reasoning. The creation of a new mentoring program will not be as controversial, as mentoring programs have been and are currently being used, but it may be seen as unnecessary. The changes to the wardroom, however, will be highly controversial as this changes long-accepted customs and cannot be tied directly to obvious negative conditions as was the case in the effort to eliminate hazing and alcohol abuse.

Nevertheless, without such changes the flaws in the SWO culture and its process for creating COs will continue to cultivate a small number of brittle and toxic leaders whose shortcomings lead to their eventual failure and dismissal as Commanding Officers. Although their positive attributes and the accomplishments they can achieve may propel them to higher positions under the current system, they lack the ability to sustain superior performance in the solitary role of CO.

Along their path to dismissal, these flawed leaders create strife among their colleagues, stress among their subordinates, and cost the Navy through the attrition they cause and the damage they inflict on ships. It is for these reasons and these costs that the recommended changes must be made.

The SWO community is the inheritor of a rich history and of tradition established hundreds of years ago, and it is filled with dedicated professionals devoted to upholding the Constitution and defending this country. However, this history and tradition have contributed to aspects of a culture that pose impediments to the community's success. It

is hoped the preceding recommendations can contribute to improving the culture of the SWO community and the success of its COs.

Areas for Additional Study

Benefit could be obtained by seeking official backing for applying the same survey to a larger portion of the SWO community to confirm or refute the findings thus far, strengthening the case for implementing the preceding recommendations. A complementary study of the Surface Warfare chief petty officer community would provide additional insight into the EWC onboard ships and the extent of toxic leadership from their perspective, potentially strengthening the case for the recommendations.

Comparison studies of the aviation and submarine communities could determine if the EWC and toxic leadership findings are peculiar to the SWO community or pervasive throughout the warfare communities, which could lead to recommendations of a larger scale. Finally, further comparison studies of other branches of the Armed Forces might aid in determining if these findings are applicable to all services, and if other services have developed the means for dealing with the consequences of the instrumental EWC and toxic leadership.

BIBLIOGRAPHY

Acheson, Ashley, Jerry B. Richards, and Harriet de Wit. 2007. "Effects of Sleep Deprivation on Impulsive Behaviors in Men and Women." *Physiology & Behavior* 91 (August): 579-587.

Ames, Genevieve M., et al. 2009. "The Impact of Occupational Culture on Drinking Behavior of Young Adults in the U.S. Navy." *Journal of Mixed Methods Research* 3 (April): 129-150.

Andersen, Erika. 2012. "The Management Approach Guaranteed to Wreck Your Best People." *Forbes*, July 6. http://www.forbes.com/sites/erikaandersen/2012/07/06/the-management-approach-guaranteed-to-wreck-your-best-people/ (Accessed August 9, 2012).

Armstrong, Anona, and Ronald Francis. 2008. "An Ethical Climate Is a Duty of Care." *Journal of Business Systems, Governance and Ethics* 3 (3): 15-20.

Ashforth, Blake. 1994. "Petty Tyranny in Organizations." *Human Relations* 47 (July): 755-778.

Ashforth, Blake E. 1997. "Petty Tyranny in Organizations: A Preliminary Examination of Antecedents and Consequences." *Canadian Journal of Administrative Sciences* 14 (June): 126-140.

Avant, Deborah D. 1994. *Political Institutions and Military Change: Lessons from Peripheral Wars*. Ithaca, NY: Cornell University Press.

Avolio, Bruce J., Bernard M. Bass, and Dong I. Jung. 1999. "Re-examining the Components of Transformational and Transactional Leadership Using the

Multifactor Leadership Questionnaire." *Journal of Occupational and Organizational Psychology* 72 (December): 441-462.

Avolio, Bruce J., Fred O. Walumbwa, and Todd J. Weber. 2009. "Leadership: Current Theories, Research, and Future Directions." *Annual Review of Psychology* 60: 421-449.

Bacevich, A. J. 1994-1995. "Civilian Control: A Useful Fiction?" *Joint Force Quarterly* 6 (Autumn/Winter): 76-79.

Bacevich, Andrew J. 2011. "The Tyranny of Defense Inc." *Atlantic Monthly* 307 (January/February): 74-79.

Baldor, Lolita C. 2013. "Sex is Major Reason Military Commanders Are Fired." *Commercial Appeal (Memphis, TN),* January 21.

Baran, Benjamin E., and Cliff W. Scott. 2010. "Organizing Ambiguity: A Grounded Theory of Leadership and Sensemaking within Dangerous Contexts." *Military Psychology* 22 (January S1): S42-S69.

Barksdale, Nathaniel. 2008. "Evaluating Effects of Forced Ranking on Employee Performance and Productivity." Ph.D. diss. Northcentral University.

Barnett, Tim, and Elizabeth Schubert. 2002. "Perceptions of the Ethical Work Climate and Covenantal Relationships." *Journal of Business Ethics* 36 (March): 279-290.

Barr Group Aerospace. 2012. "DDG-51 AEGIS Destroyer, Weapon System Cost Analysis (Exhibit P-5) FY 2013 President's Budget February 2012." February. http://www.bga-aeroweb.com/Defense/DoD-Budget/DDG-51-DoD-Shipbuilding-Budget.html (Accessed December 27, 2012).

Barrett, Frank J. 1996. "The Organizational Construction of Hegemonic Masculinity: The Case of the U.S. Navy." *Gender, Work & Organization* 3 (July): 129-142.

Bass, Bernard M. 1990. "From Transactional to Transformational Leadership: Learning to Share the Vision." *Organizational Dynamics* 18 (Winter): 19-31.

Bass, Bernard M., and Paul Steidlmeier. 1999. "Ethics, Character, and Authentic Transformational Leadership Behavior." *Leadership Quarterly* 10 (Summer): 181-217.

Batdorff, Allison. 2006. "Lawmakers: DOD Needs Tougher Prostitution Enforcement." *Stars and Stripes* October 22. http://www.stripes.com/news/lawmakers-dod-needs-tougher-prostitution-enforcement-1.55735 (Accessed January 24, 2014).

Bates, Steve. 2003. "Forced Rankling." *HRMagazine* 48 (June): 63-68.

Bierly, Paul E., and J. C. Spender. 1995. "Culture and High Reliability Organizations: The Case of the Nuclear Submarine." *Journal of Management* 21 (August): 639-656.

Bird, J. M. 2012. *Standard Organization and Regulations Manual* (SORM). OPNAV INSTRUCTION 3120.32D July 16. Washington, DC: Department of the Navy.

Blackwell, Robert R. 2008. "United States Navy Officer Leader Development: An Analysis of Surface Warfare Officer Training." Master's thesis. Army Command and General Staff College Fort Leavenworth, KS.

Blair, Carrie A., Brian J. Hoffman, and Katherine R. Helland. 2008. "Narcissism in Organizations: A Multisource Appraisal Reflects Different Perspectives." *Human Performance* 21 (3): 254-276.

Boehle, Sarah. 2008. "Keeping Forced Ranking Out of Court." *Training* 45 (June): 40-46.

Booker, Voresa. 2010. "Officer Promotions." July. Brief presented at Navy Personnel Command, Millington, Tennessee.

Bradford, James C. 2000. "You May Fire When Ready, Gridley 1865-1922." In *The Navy*, ed. W. J. Holland. Westport, CT: Hugh Lauter Levin Associates, 62-73.

Burke, Arleigh A. 1972. "The Art of Command." *Naval War College Review* 24 (June): 24-28.

Busch, S. J., and R. P. Perry. 1999. *Surface Force Training Manual*. COMNAVSURFLANT/PAC INSTRUCTION 3502.2E December 17. Norfolk, VA: Department of the Navy.

Busey, J. B. 1985. *Surface Warfare Sweater*. OPNAVNOTE 1020. Washington, DC: Department of the Navy.

Business Wire. 2004. "Novations Group Survey Uncovers Growing Disenchantment with Forced Ranking Performance Management Systems." August 9. http://www.lexisnexis.com.proxygsu-val1.galileo.usg.edu/hottopics/lnacademic/ (Accessed November 19, 2012).

Byrne, Edmund F. 2010. "The U.S. Military-Industrial Complex Is Circumstantially Unethical." *Journal of Business Ethics* 95 (2): 153-165.

Callahan, David. 2004. *The Cheating Culture: Why More Americans Are Doing Wrong to Get Ahead*. Orlando, FL: Harcourt.

Campbell, Donald J., Sean T. Hannah, and Michael D. Matthews. 2010. "Leadership in Military and Other Dangerous Contexts: Introduction to the Special Topic Issue." *Military Psychology* 22 (January Supplement. 1): S1-S14.

Cimbala, Stephen J. 1995. *U.S. Military Strategy and the Cold War Endgame*. Essex, England: Frank Cass Publishers.

Coffman, Edward M. 1986. *The Old Army: A Portrait of the American Army in Peacetime, 1784-1898*. New York: Oxford University Press.

Coffman, Edward M. 1992. "The American Army in Peacetime." *Military Review* 72 (March): 49-59.

Cole, William. 2009. "Hawaii-based Ship's Grounding Detailed." *Honolulu Advertiser*, July 7. http://the.honoluluadvertiser.com/article/2009/Jul/07/ln/hawaii907070350.html (Accessed July 10, 2012).

Collins, Joseph J. 1998. "The Complex Context of American Military Culture: A Practitioner's View." *Washington Quarterly* 21 (Autumn): 213-228.

Comptroller General of the United States. 1975. *DOD Military Pay and Allowance Committee Action No. 508 - Submarine Duty Pay*. Washington, DC: Comptroller General of the United States.

Copeman, Tom. 2014. "Surface Warfare Junior Officer Survey Results Released." *NAVY LIVE: The Official Blog of the United States Navy*. January 2. http://navylive.dodlive.mil/2014/01/02/surface-warfare-junior-officer-survey-results-released/ (Accessed January 26, 2014).

Covell, C. A. 2012. *Navy Officer Leadership Continuum Training* MILPERSMAN 1301-906. Military Personnel Manual NAVPERS 15560 D CH-42 14 December. Millington, TN: Department of the Navy.

Crawford, Michael J. 2000. "Whose Flag Has Displayed in Distant Climes 1816-1860." In *The Navy*, ed. W. J. Holland. Westport, CT: Hugh Lauter Levin Associates, 28-43.

Cullen, John B., Bart Victor, and James W. Bronson. 1993. "The Ethical Climate Questionnaire: An Assessment of Its Development and Validity." *Psychological Reports* 73 (October): 667-674.

Curtis, D. C. 2010. *SWO E-Mentor Update*. DTG 011200Z April. Washington, DC: Department of the Navy.

da Rocha, Alexandre S. 2001. "The Ethical Problem in Pluralistic Societies and Dr. Toner's 'Mistakes'." *Aerospace Power Journal* 15 (Spring): 81-94.

Darley, John M. 2005. "The Cognitive and Social Psychology of Contagious Organizational Corruption." *Brooklyn Law Review* 70 (Summer): 1177-1194.

Department of the Navy. 1991. *United States Navy Uniform Regulations Summary of Revisions Change 1*. Washington, DC: Department of the Navy.

Department of the Navy. 1998. *United States Navy Uniform Regulations NAVPERS 15665I*. Washington, DC: Department of the Navy. http://timemilitary.files.wordpress.com/2011/07/unif-navy.pdf (Accessed February 4, 2014).

Desson, Kenneth, and Joseph Clouthier. 2010. "Organizational Culture-Why Does It Matter?" Presented to the Symposium on International Safeguards, International Atomic Energy Agency, Vienna, Austria, November 3, 2010.

Dornbusch, Sanford M. 1955. "The Military Academy as an Assimilating Institution." *Social Forces* 33 (May): 316-321.

Eid, Jarle, et al. 2004. "Situational Awareness and Transformational Leadership in Senior Military Leaders: An Exploratory Study." *Military Psychology* 16 (July): 203-209.

Ethics Resource Center. 2012. "2011 National Business Ethics Survey: Workplace Ethics in Transition." http://www.ethics.org/nbes (Accessed November 6, 2012).

Executive Order no. 11157, *Code of Federal Regulations*, title 3, sec. 101 (1964-1965).

Eyer, Kevin S. J. 2009. "On the Care and Feeding of Young SWOs." *Proceedings* 135 (January): 50-54.

Faram, Mark D. 2012. "CO Fired Amid Investigation of Relationship." *Navy Times*, September 16. http://www.navytimes.com/news/2012/09/navy-commander-fired-amid-investigation-relationship-091612/ (Accessed November 5, 2012).

Faram, Mark D. 2013a. "Breathalyzers to Start Hitting Fleet February 4." *Navy Times*, January 22. http://www.navytimes.com/article/20130122/NEWS/301220323/Breathalyzers-start-hitting-fleet-Feb-4 (Accessed January 24, 2014).

Faram, Mark D. 2013b. "Navy Revamps Anti-Alcohol Campaign." *Navy Times*, April 25. http://www.navytimes.com/article/20130425/NEWS/304250008/Navy-revamps-anti-alcohol-campaign (Accessed January 24, 2014).

Faram, Mark D. 2013c. "Navy: Most Sailors Missed Anti-Prostitution Training." *Navy Times*, October 28.

Farmer, William L., and Karen Walker. 2012. "Navy Computer Adaptive Personality Scales (NCAPS)." Presented to the Naval War College, Newport, Rhode Island, May 3, 2012.

Fellman, Sam. 2012a. "Higher Standards for Command." *Navy Times,* June 18.

Fellman, Sam. 2012b. "Destroyer Porter Collides with Japanese Tanker." *Navy Times,* August 12. http://www.navytimes.com/news/2012/08/navy-porter-destroyer-collides-japanese-tanker-081212w/ (Accessed September 25, 2012).

Fellman, Sam. 2012c. "Destroyer CO Fired in Wake of Tanker Collision." *Navy Times,* August 30. http://www.navytimes.com/news/2012/08/navy-porter-co-arriola-fired-collision-083012 (Accessed September 25, 2012).

Fellman, Sam. 2012d. "Toxic Leaders." *Navy Times,* September 24.

Fellman, Sam. 2013. "Sleep for the Night Shift." *Navy Times*, October 28.

Ferguson, M. E. 2011. *Navy Performance Evaluation System.* BUPERS INSTRUCTION 1610.10C April 20. Millington, TN: Department of the Navy.

Ferris, Gerald R., et al. 2007. "Strategic Bullying As a Supplementary, Balanced Perspective on Destructive Leadership." *Leadership Quarterly* 18 (June): 195-206.

Fowler, William M. 2000. "We Have Met the Enemy and They Are Ours 1775-1815." In *The Navy*, ed. W. J. Holland. Westport, CT: Hugh Lauter Levin Associates, 12-27.

Fuentes, Gidget. 2012. "New Course Aims to Better Prepare Rising SWOs." *Navy Times*, October 15.

Galinsky, Adam D., Jennifer Jordan, and Niro Sivanathan. 2008. "Harnessing Power to Capture Leadership." In *Leadership and Psychology*, eds. Crystal L. Hoyt, George R. Goethals, and Donelson R. Forsyth. Vol. 1 of *Leadership at the Crossroads*, ed. Joanne B. Ciulla. Westport, CT: Praeger Publishers, 283-299.

Gallup. 2012. "Military and National Defense." http://www.gallup.com/poll/1666/military-national-defense.aspx (Accessed July 9, 2012).

Gelinne, J. P. 2011. *Surface Warfare Officer Qualification and Designation.* COMNAVSURFOR INSTRUCTION 1412.1C April 11. San Diego, CA: Department of the Navy.

Global Security. 2011. "DDG-51 Arleigh Burke-Shipbuilding." http://www.globalsecurity.org/military/systems/ship/ddg-51-build.htm (Accessed December 27, 2012).

Gonzalez, Steven. 2012. "SWOS Launches New Basic Division Officer Course." October 3. http://www.navy.mil/submit/display.asp?story_id=69949 (Accessed November 12, 2012).

Government Accountability Office. 1994. *Aviation Continuation Pay: Some Bonuses Are Inappropriate Because of Prior Service Obligations NSIAD-95-30.* Washington, DC: Government Accountability Office.

Grabmeier, Jeff. 2008. "Narcissistic People Most Likely to Emerge as Leaders." October 6. http://researchnews.osu.edu/archive/narcissism.htm (Accessed July 9, 2012).

Graham, Sharon L. 2006. "An Exploratory Study: Female Surface Warfare Officers' Decisions to Leave Their Community." Master's thesis. Naval Post Graduate School.

Green, Daryl D. 2007. "Leading a Postmodern Workforce." *Academy of Strategic Management Journal* 6: 15-26.

Greenert, Jonathan W. 2012a. "Command Qualification Program." *OPNAVINST 1412.14* June 4. Washington, DC: Department of the Navy.

Greenert, Jonathan W. 2012b. "CNO's Sailing Directions." http://www.navy.mil/cno/cno_sailing_direction_final-lowres.pdf (Accessed December 9, 2012).

Grossnick, Roy A., et al. 1997. "Evolution of Naval Wings: Breast Insignia." In *United States Naval Aviation 1910-1995*. 4th ed. Washington, DC: Naval Historical Center.

Grote, Dick. 2005. *Forced Ranking: Making Performance Management Work*. Boston: Harvard Business School Press.

Groysberg, Boris, Andrew Hill, and Toby Johnson. 2010. "Which of These People Is Your Future CEO?" *Harvard Business Review* 88 (November): 80-85.

Gunderson, E. K. Eric. 1976. "Health and Adjustment of Men at Sea." In *The Social Psychology of Military Service*, eds. Nancy L. Goldman and David R. Segal. Vol. 6 of *Sage Research Progress Series on War, Revolution, and Peacekeeping*, eds. Charles C. Moskos and Sam C. Sarkesian. Beverly Hills, CA: Sage Publications.

Gurbuz, Sait. 2009. "Some Possible Antecedents of Military Personnel Organizational Citizenship Behavior." *Military Psychology* 21 (April-June): 200-215.

Hallett, Tim. 2003. "Symbolic Power and Organizational Culture." *Sociological Theory* 21 (June): 128-149.

Hannah, Sean T. 2012. "Leadership in the Profession of Arms." http://www.defence.gov.au/ADC/docs/cdle2012/CDLE_120329_Hannah2010LeadershipintheProfessionofArms.pdf (Accessed July 8, 2012).

Hannah, Sean T., et al. 2008. "Leadership Efficacy: Review and Future Directions." *Leadership Quarterly* 19 (December): 669-692.

Hannah, Sean T., and Bruce J. Avolio. 2010. "Moral Potency: Building the Capacity for Character-Based Leadership." *Consulting Psychology Journal: Practice and Research* 62 (December): 291-310.

Hansen, Carol D., and William M. Kahnweiler. 1997. "Executive Managers: Cultural Expectations Through Stories About Work." *Journal of Applied Management Studies* 6 (December): 117-138.

Harms, Peter D., and Marcus Credé. 2010. "Emotional Intelligence and Transformational and Transactional Leadership: A Meta-Analysis." *Journal of Leadership & Organizational Studies* 17 (February): 5-17.

Harms, Peter D., Brent W. Roberts, and Dustin Wood. 2007. "Who Shall Lead? An Integrative Personality Approach to the Study of the Antecedents of Status in Informal Social Organizations." *Journal of Research in Personality* 41 (June): 689-699.

Harms Peter D., Seth M. Spain, and Sean T. Hannah. 2011. "Leader Development and the Dark Side of Personality." *Leadership Quarterly* 22 (June): 495-509.

Harrison, Yvonne, and James A. Horne. 2000. "The Impact of Sleep Deprivation on Decision Making: A Review." *Journal of Experimental Psychology: Applied* 6 (September): 236-249.

Harvey, J. C. 2006. *Junior Surface Warfare Officer Critical Skills Retention Bonus*. NAVADIM 012/06. Washington, DC: Department of the Navy.

Hase, Christopher A. 2007. "First-Line Leadership Development: Its Impact on Organizational Performance Aboard United States Navy Ships." Ph.D. diss. Capella University.

Hazels, Beth, and Craig M. Sasse. 2008. "Forced Ranking: A Review." *SAM Advanced Management Journal* 73 (Spring): 35-39.

Hendrickson, David C. 1988. *Reforming Defense: The State of American Civil-Military Relations*. Baltimore: John Hopkins University Press.

Henry, Matthew G. 2002. *Surface Warfare Officer Critical Skills Bonus*. NAVADMIN 326/02. Washington, DC: Department of the Navy.

Herr, Kathryn, and Gary L. Anderson. 2005. *The Action Research Dissertation.* Thousand Oaks, CA: Sage Publications.

Higgins, W. Boothe. 1999. "Quality of Life at Sea." *U.S. Naval Institute Proceedings* 125 (January): 54-57. http://ehis.ebscohost.com/eds/detail?sid=26fb6dd0-def6-4d7d-8abc-dbbd44e77794%40sessionmgr113&vid=7&hid=116&bdata=JnNpdGU9ZWRzLWxpdmUmc2NvcGU9c2l0ZQ%3d%3d#db=aqh&AN=1757977 (Accessed December 27, 2012).

Higgs, Michael J. 2010. "Detach for Cause." Valdosta State University. Typescript.

Hill, Andrew. 2012. "Forced Ranking Is a Relic of an HR Tool." *FT.com* July 16. http://search.proquest.com.lp.hscl.ufl.edU/docview/l 026547818 (Accessed November 18,2012).

Hoewing, G. L. 2007. *Officer Detachmentfor Cause* MILPERSMAN 1611-020. Naval Military Personnel Manual NAVPERS 15560 D March 30. Millington, TN: Department of the Navy.

Hollingshead, August B. 1946. "Adjustment to Military Life." *American Journal of Sociology* 51 (March): 439-447.

Homer, Donnie. 2009. "Challenges Facing Surface Fleet." *Navy Times,* March 15. http://www.navytimes.eom/news/2009/03/navy_homer_swoculture_031509/ (Accessed January 24, 2013).

HRFocus. 2002a. "Forced Rankings: Tough Love or Overkill?" Performance Management. 79 (February): 11,13.

HRFocus. 2002b. "Kinder, Gentler Reviews: A Forced Ranking Backlash?" Performance. 79 (April): 7,10.

HRFocus. 2004. "Why HR Professionals Are Worried about Forced Rankings." HR Focus News Briefs. 81 (October): 8-9.

Humphreys, John, et al. 2010. "Situational Narcissism and Charismatic Leadership: A Conceptual Framework." *Journal of Behavioral and Applied Management* 11 (January): 118-136.

Huntington, Samuel P. 1957. *The Soldier and the State: The Theory and Politics of Civil-Military Relations.* Cambridge: Belknap Press of Harvard University Press.

Janiewski, Dolores E. 2011. "Eisenhower's Paradoxical Relationship with the 'Military-Industrial Complex.' " *Presidential Studies Quarterly* 41 (December): 667-692.

Jermier, John M., et al. 1991. "Organizational Subcultures in a Soft Bureaucracy: Resistance Behind the Myth and Façade of an Official Culture." *Organization Science* 2 (May): 170-194.

Johnsen, Bjorn Helge, et al. 2009. "Predicting Transformational Leadership in Naval Cadets: Effects of Personality Hardiness and Training." *Journal of Applied Social Psychology* 39 (September): 2213-2235.

Johnson, Douglas V., and Stephen Metz. 1995. "American Civil-Military Relations: New Issues, Enduring Problems." April 24. http://www.strategicstudiesinstitute.army.mil/Pubs/display.cfm?pubid=287 (Accessed July 9, 2012).

Johnson, Gail. 2004. "Forced Ranking: The Good, the Bad, and the Alternative." *Training* 41 (May): 24-34.

Johnson, W. Brad, and Gene Andersen. 2009. "How to Make Mentoring Work." *U.S. Naval Institute* 135 (April). http://www.usni.org/magazines/proceedings/2009-04/how-make-mentoring-work (Accessed January 26, 2014).

Jones, Jeffrey M. 2011. "Americans Most Confident in Military, Least in Congress." June 23. http://www.gallup.com/poll/148163/Americans-Confident-Military-Least-Congress.aspx (Accessed January 6, 2013).

Josephson Institute Center for Youth Ethics. 2011. "Josephson Institute's 2010 Report Card on the Ethics of American Youth." February 10.

http://charactercounts.org/pdf/reportcard/2010/press-release_honesty-integrity.pdf (Accessed November 15, 2012).

Josephson, Michael. 2010. "Building Character in the Fleet." November 4. Presented to the Navy Personnel Command, Bureau of Naval Personnel, Millington, TN.

Kampmark, Binoy. 2011. "Science and War: Remembering the Military Industrial Complex." *New Zealand International Review* 36 (July/August): 11-14.

Karsten, Peter. 1972. *The Naval Aristocracy*. New York: Free Press.

Khoo, Hwee S., and Giles St. J. Burch. 2008. "The 'Dark Side' of Leadership Personality and Transformational Leadership: An Exploratory Study." *Personality and Individual Differences* 44 (January): 86-97.

Kirke, Charles. 2009. "Group Cohesion, Culture, and Practice." *Armed Forces and Society* 35 (July): 745-753.

Kobbeltvedt, Therese, Wibecke Brun, and Jon Christian Laberg. 2005. "Cognitive Processes in Planning and Judgments under Sleep Deprivation and Time Pressure. *Organizational Behavior and Human Decision Processes* 98 (September): 1-14.

Kohn, Richard H. 1981. "The Social History of the American Soldier: A Review and Prospectus for Research." *American Historical Review* 86 (June): 553-567.

Kohn, Richard H. 1994. "Out of Control: The Crisis in Civil-Military Relations." *National Interest* (March): 3-17.

Kostiuk, Peter F. 1985. "Pay and Retention of Marine Corps Aviators." Alexandria, VA: Center for Naval Analysis.

Leiner, Frederick C. 2001." '...The Greater the Honor': Decatur and Naval Leadership." *Naval History* 15 (5).

http://search.proquest.com/docview/203515527?accountid=14800 (Accessed July 9, 2012).

Lester, Paul B., et al. 2011. "Mentoring Impact on Leader Efficacy Development: A Field Experiment." *Academy of Management Learning & Education* 10 (September): 409-429.

Light, Mark F. 2011. "The Navy's Moral Compass: Commanding Officers and Personal Misconduct." Master's thesis. U.S. Army War College Carlisle Barracks, PA.

Lindsay, Douglas R., David V. Day, and Stanley M. Halpin. 2011. "Shared Leadership in the Military: Reality, Possibility, or Pipedream?" *Military Psychology* 23 (5): 528-549.

Lipman, Victor. 2012. "The Pros and Cons of Forced Rankings: A Manager's Perspective." *Forbes*, July 19. http://www.forbes.com/sites/victorlipman/2012/07/19/the-pros-and-cons-of-forced-rankings-a-managers-perspective/ (Accessed November 18, 2012).

Lombardo, Tony. 2013a. "Fleet 4-Star Talks Top Issues." *Navy Times,* February 7. http://www.navytimes.com/prime/2013/02/PRIME-navy-fleet-4-star-bill-gortney-talks-uniforms-more-020413/ (Accessed February 10, 2013).

Lombardo, Tony. 2013b. "Tradition: Dead or Alive?" *Navy Times*, October 28.

Lopes, Paulo N., and Peter Salovey. 2008. "Emotional Intelligence and Leadership: Implications for Leader Development." In *Leadership and Psychology*, eds. Crystal L. Hoyt, George R. Goethals, and Donelson R. Forsyth. Vol. 1 of *Leadership at the Crossroads*, ed. Joanne B. Ciulla. Westport, CT: Praeger Publishers, 78-98.

Lorio, Jennifer L. 2006. "An Analysis of the Effect of Surface Warfare Officer Continuation Pay (SWOCP) on the Retention of Quality Officers." Master's thesis. Naval Post Graduate School.

Lovette, Leland P. 1939. *Naval Customs, Traditions, and Usage*. Annapolis, MD: United States Naval Institute.

Lowry, Richard. 2013. "VassarStats: Website for Statistical Computation." http://vassarstats.net/ (Accessed January 11, 2014).

Ludwig, Dean C., and Clinton O. Longenecker. 1993. "The Bathsheba Syndrome: The Ethical Failure of Successful Leaders." *Journal of Business Ethics* 12 (April): 265-273.

Maccoby, Michael. 2004. "Narcissistic Leaders: The Incredible Pros, the Inevitable Cons." *Harvard Business Review* 82 (January): 92-101.

Machine Design. 2007. "Forced Rankings of Employees Bad for Business." In the News: Careers 79 (18): 30.

Mack, William P., and Royal W. Connell. 1980. *Naval Ceremonies, Customs, and Traditions*. Annapolis, MD: Naval Institute Press.

Maltby, Dan. 2010. "Commanding Officer Detach for Cause Study." Navy Personnel Command Millington, TN. Typescript.

McBer and Company. 1985. "Navigating a New Course to Command Excellence." https://www.netc.navy.mil/centers/cppd/cls/Command.aspx?ID=5 (Accessed January 15, 2013).

McIlvaine, Andrew R. 2012. "There's Got to Be a Better Way." *Human Resource Executive* July/August: 14-18.

McKay, Mary-Jayne. 2009. "Truth and Consequences: A Navy Scandal." http://www.cbsnews.com/2102-18559_162-510629.html (Accessed December 9, 2012).

Meisinger, Susan R. 2012. "Examining Organizational Ethics." *Human Resource Executive Online* June 11. http://www.hreonline.com/HRE/view/story.jhtml?id=533348507 (Accessed November 13, 2012).

Miewald, Robert D. 1970. "Weberian Bureaucracy and the Military Model." *Public Administration Review* 30 (March/April): 129-133.

Militarytimes.com. 2009. "Port Royal Repairs Nearly Done." July 29. http://militarytimes.com/news.com/news/2009/07/ap_port_royal_repairs_072909/ (Accessed October 18, 2010).

Miller, M. H., and David F. Steindl. 2011. *Officer Professional Core Competencies Manual*. Great Lakes, IL: United States Naval Academy/Commander, Naval Service Training Command.

Miller, Nita Lewis, Panagiotis Matsangas, and Aileen Kenney. 2012. "The Role of Sleep in the Military: Implications for Training and Operational Effectiveness." In *The Oxford Handbook of Military Psychology*, eds. Janice H. Laurence and Michael D. Matthews. New York: Oxford University Press, 262-281.

Montor, Karel, et al., eds. 1987. *Naval Leadership: Voices of Experience*. Annapolis, MD: Naval Institute Press.

Moran, W. F. 2013. *FY-14 General Military Training Schedule*. NAVADMIN 264/13. Washington, DC: Department of the Navy.

Mumford, Michael D., et al. 2007. "Environmental Influences on Ethical Decision Making: Climate and Environmental Predictors of Research Integrity." *Ethics & Behavior* 17 (4): 337-366.

Mumford, Michael D., et al. 2009. "Exposure to Unethical Career Events: Effects on Decision Making, Climate, and Socialization." *Ethics & Behavior* 19 (5): 351-378.

Murphy, Susan Elaine, Rebecca J. Reichard, and Stefanie K. Johnson. 2008. "Self-Regulation and Leadership: Implications for Leader Performance and Leader Development." In *Leadership and Psychology*, eds. Crystal L. Hoyt, George R. Goethals, and Donelson R. Forsyth. Vol. 1 of *Leadership at the Crossroads*, ed. Joanne B. Ciulla. Westport, CT: Praeger Publishers, 250-64.

Naval History and Heritage Command. 2012. "Biographies in Naval History: Admiral Robert Bostwick Carney, U.S. Navy 1895-1990." http://www.history.navy.mil/bios/carney_robertb.htm (Accessed November 4, 2012).

Naval History and Heritage Command. 2014. "Online Library of Selected Images - U. S. Navy Ships: USS Plunger (Submarine #2), 1903-1922. Later Renamed A-1." http://www.history.navy.mil/photos//sh-usn/usnsh-p/ss2.htm (Accessed February 8, 2014).

Naval Reserve Officers Training Corps. 2011. "Naval Reserve Officers Training Corps: History." http://www.nrotc.navy.mil/history.aspx (Accessed January 26, 2013).

Naval Surface Forces Public Affairs. 2011. "One Thousand Graduates Complete SWO Introduction Course." *Navy.Mil/M*, May 20.

http://www.navy.mil/submit/display.asp?story_id=60538 (Accessed January 26, 2013).

Navas, William A. 2005. *Department of the Navy (DON) Policy on Hazing*. SECNAV Instruction 1610.2A July 15. Washington, DC: Department of the Navy.

Navy Inspector General. 2004. *Commanding Officer Detach for Cause Study: Executive Summary*. Washington, DC: Navy Inspector General.

Navy Personnel Command. 2012. "Surface Warfare Career Planning Seminar Brief." http://www.public.navy.mil/bupers-npc/officer/Detailing/surfacewarfare/Documents/Community%20Brief%20(1311).pdf (Accessed October 13, 2012).

Navy Times. 2012. "Commanding Officer, XO, and Senior Enlisted Firings." September 20. http://www.navytimes.com/news/2012/09/navy-2012-co-xo-cmc-firings-list/ (Accessed September 25, 2012).

Newport, Frank. 2011. "Americans See Army, Marines as Most Important to Defense." June 21. http://www.gallup.com/poll/148127/americans-army-marines-important-defense.aspx (Accessed January 6, 2013).

Official Website of the U.S. Navy. 2013. "U.S. Navy Ships." http://www.navy.mil/navydata/our_ships.asp (Accessed June 21, 2013).

Olson, James M., and Graeme A. Haynes. 2008. "Persuasion and Leadership." In *Leadership and Psychology*, eds. Crystal L. Hoyt, George R. Goethals, and Donelson R. Forsyth. Vol. 1 of *Leadership at the Crossroads*, ed. Joanne B. Ciulla. Westport, CT: Praeger Publishers, 199-212.

O'Sullivan, Elizabethann, and Gary R. Rassel. 1989. *Research Methods for Public Administrators*. White Plains, NY: Longman.

Ouchi, William G., and Alan L. Wilkins. 1985. "Organizational Culture." *Annual Review of Sociology* 11 (August): 457-483.

Palmer, Benjamin, et al. 2000. "Emotional Intelligence and Effective Leadership." *Leadership & Organization Development Journal* 22 (1): 5-10.

Parcell, Ann D. 2008. "An Evaluation of URL Officer Accession Programs." Alexandria, VA: Center for Naval Analyses.

Patten, Mildred L. 2009. *Understanding Research Methods*. 7th ed. Glendale, CA: Pyrczak Publishing.

Pawar, Badrinarayan Shankar, and Kenneth K. Eastman. 1997. "The Nature and Implications of Contextual Influences on Transformational Leadership: A Conceptual Examination." *The Academy of Management Review* 22 (January): 80-109.

Pay and Allowances of the Uniformed Services. 2010. *Incentive Pay: Submarine Duty. U. S. Code*. Title 37, section 301c.

Pay and Allowances of the Uniformed Services. 2010. *Special Pay: Career Sea Pay. U. S. Code*. Title 37, section 305a.

Pay and Allowances of the Uniformed Services. 2010. *Special Pay: Nuclear Career Annual Incentive Bonus. U. S. Code*. Title 37, section 312c.

Pay and Allowances of the Uniformed Services. 2010. *Special Pay: Surface Warfare Officer Continuation Pay*. U. S. Code. Title 37, section 319.

Payne, Ed. 2010. "Could Your Boss Be Managing From the 'Dark Side?' " http://cnn.com/2010/LIVING/10/12/dark.side.managment/index.html?hpt=Sbin (Accessed October 12, 2010).

Perkins, J. B. 1989. "Operation Praying Mantis: The Surface View." *U.S. Naval Institute* 115 (May). http://www.usni.org/magazines/proceedings/1989-05/operation-praying-mantis-surface-view (Accessed January 24, 2014).

Peterson, Dane K. 2002. "The Relationship between Unethical Behavior and the Dimensions of the Ethical Climate Questionnaire." *Journal of Business Ethics* 41 (December): 313-326.

Pfeffer, Jeffrey, and Robert I. Sutton. 2006. "Evidence-Based Management." *Harvard Business Review* 84 (January): 62-74.

Phillips, A. C. 2011. *Surface Warfare Training Strategy*. OPNAV INSTRUCTION 1500.57B September 26. Washington, DC: Department of the Navy.

Pious, Richard M. 1986. *American Politics and Government*. New York: McGraw Hill.

Pois, Robert, and Philip Langer. 2004. *Command Failure in War: Psychology and Leadership*. Bloomington, IN: Indiana University Press.

Popper, Micha, et al. 2004. "The Capacity to Lead: Major Psychological Differences Between Leaders and Nonleaders." *Military Psychology* 16 (4): 245-63.

Potter, E. B., and Chester W. Nimitz. 1960. *The Great Sea War: The Dramatic Story of Naval Action in World War II*. Englewood Cliffs, NJ: Prentice-Hall.

Powell, Colin L., et al. 1994. "An Exchange on Civil-Military Relations: Four Reactions to Richard H. Kohn's Article in Our Spring 1994 Issue, Together with a Response from the Author." *National Interest* (Summer): 23-31.

Previdi, Robert. 1988. *Civilian Control Versus Military Rule*. New York: Hippocrene Books.

Quinn, D. P. 2011. *Supplemental Guidance for U.S. Navy Selection Boards.* BUPERS INSTRUCTION 1401.5A March 3. Millington, TN: Department of the Navy.

Ramirez, Julie Cook. 2013. "Waking Up the Workplace." *Human Resource Executive* (May): 16-20.

Reed, George E. 2004. "Toxic Leadership." *Military Review* 84 (July/August): 67-71.

Reed, George E., and Richard A. Olsen. 2010. "Toxic Leadership: Part Deux." *Military Review* 90 (November/December): 58-64.

Reily, Patricia. 2009. " 'So There We Were…' The Stories Told by Chief Petty Officers in the United States Navy, Explored Through a Complexity Lens." Ph.D. diss. University of San Francisco.

Robbins, Stephen P. 1990. *Organization Theory: Structure, Design, and Applications*. 3rd ed. Englewood Cliffs, NJ: Prentice Hall.

Robbins, Stephen P. 1997. *Essentials of Organizational Behavior*. 5th ed. Upper Saddle River, NJ: Prentice Hall.

Robinson, James T. 2008. "Initial Training of Surface Warfare Officers: A Historical Perspective from World War II to 2008." Master's thesis. Army Command and General Staff College Fort Leavenworth, KS.

Roosevelt, Theodore. 1905. Executive Order 366-B. *Authorizing Additional Compensation for Enlisted Men of the Navy Serving With Submarine Torpedo Boats*. http://en.wikisource.org/wiki/Executive_Order_366-B (Accessed February 12, 2014).

Rosen, Stephen Peter. 1995. "Military Effectiveness: Why Society Matters." *International Security* 19 (Spring): 5-31.

Rosenthal, Seth A., and Todd L. Pittinsky. 2006. "Narcissistic Leadership." *Leadership Quarterly* 17 (December): 617-633.

Rossi, Peter H., Mark W. Lipsey, and Howard E. Freeman. 2004. *Evaluation: A Systematic Approach*. 7th ed. Thousand Oaks, CA: Sage Publications.

Rostker, Bernard, et al. 1993. "The Defense Officer Personnel Management Act of 1980: A Retroactive Assessment." Santa Monica, CA: RAND.

Rowe, W. Glenn, et al. 2012. "Navy Stories: Behavior Versus Professional Control." *Journal of Management Inquiry* 21 (January): 61-77.

Salkind, Neil J. 2009. *Exploring Research*. 7th ed. Upper Saddle River, NJ: Pearson Prentice Hall.

Sanchez, Peter M. 1991. "Drug War: The U.S. Military and National Security." *Air Force Law Review* 34: 109-152.

Sankowsky, Daniel. 1995. "The Charismatic Leader as Narcissist: Understanding the Abuse of Power." *Organizational Dynamics* 23 (Spring): 57-71.

Sarkesian, Sam C. 1981. "Military Professionalism and Civil-Military Relations in the West." *International Political Science Review* 2 (3): 283-297.

Schein, Edgar H. 1986. "What You Need to Know About Organizational Culture." *Training and Development Journal* 40 (January): 30-33.

Schein, Edgar H. 1990. "Organizational Culture." *American Psychologist* 45 (February): 109-119.

Schein, Edgar H. 1999. *The Corporate Culture Survival Guide: Sense and Nonsense about Culture Change*. San Francisco: Jossey-Bass Publishers.

Schein, Edgar H. 2010. *Organizational Culture and Leadership*. 4th ed. San Francisco: Jossey-Bass Publishers.

Schein, Edgar H. 2011. "Humble Inquiry." *Leadership Excellence* 28 (April): 4.

Schlesinger, Robert. 2011. "Eisenhower's 'Military-Industrial Complex' and JFK's Inaugural." *U.S. News and World Report,* January 12. http://www.usnews.com/opinion/articles/2011/01/12/eisenhowers-military-industrial-complex-and-jfks-inaugural (Accessed January 11, 2013).

Schmidt, Andrew A. 2008. "Development and Validation of the Toxic Leadership Scale." Master's thesis. University of Maryland.

Sher, Robert. 2012. "The Case for Stack Ranking of Employees." *Forbes*, July 10. http://www.forbes.com/sites/robertsher/2012/07/10/the-case-for-stack-ranking-of-employees/ (Accessed November 18, 2012).

Sherman, F. 1985. "Contemporary Challenges to Traditional Limits on the Role of the Military in American Society." In *Military Intervention in Democratic Societies*, eds. Peter R. Rowe and Christopher J. Whelan. London: Croon Helm.

Skitka, Linda J., Christopher W. Bauman, and Brad L. Lytle. 2008. "Morality as a Foundation of Leadership and a Constraint on Deference to Authority." In *Leadership and Psychology*, eds. Crystal L. Hoyt, George R. Goethals, and Donelson R. Forsyth. Vol. 1 of *Leadership at the Crossroads*, ed. Joanne B. Ciulla. Westport, CT: Praeger Publishers, 300-314.

Smith, Stephen. 2003. "Ranking and Yanking." *Plant* 62 (15). http://search.proquest.com.proxygsu-val1.galileo.usg.edu/docview/232091058/13A7A6966A77C38AA25/1?accountid=14800 (Accessed November 18, 2012).

Soeters, Joseph L., Donna J. Winslow, and Alise Weibull. 2006. "Military Culture." *In Handbook of the Sociology of the Military*, ed. Giuseppe Caforio. New York: Springer, 237-254.

Solomon, Sheldon, et al. 2008. "Knocking on Heaven's Door: The Social Psychological Dynamics of Charismatic Leadership." In *Leadership and Psychology*, eds. Crystal L. Hoyt, George R. Goethals, and Donelson R. Forsyth. Vol. 1 of *Leadership at the Crossroads*, ed. Joanne B. Ciulla. Westport, CT: Praeger Publishers, 45-61.

Spreier, Scott W., Mary H. Fontaine, and Ruth L. Malloy. 2006. "Leadership Run Amok: The Destructive Potential of Overachievers." *Harvard Business Review* 84 (June): 72-82.

Stavridis, James, and William P. Mack. 1999. *Command at Sea*. 5th ed. Annapolis, MD: Naval Institute Press.

Stein, C. J., comp. 2005. *Naval Reserve Officers Training Corps Introduction to Naval Science SF 100505*. Great Lakes, IL: Naval Service Training Command.

Stewart, Joshua. 2012. "Helo Squadron CO, CMC Fired After Mishaps." *Navy Times*, September 1. http://www.navytimes.com/mobile/news/2012/09/navy-helicopter-mine-countermeasures-squadron-15-commanding-officer-cmc-fired-090112w (Accessed November 5, 2012).

Stoker, Carol, and Alice Crawford. 2008. "Surface Warfare Officer Retention: Analysis of Individual Ready Reserve Survey Data." Monterey, CA: Graduate School of Business and Public Policy, Naval Postgraduate School.

Stoler, Mark A. 1991. "U.S. Civil-Military Relations in World War II." *Parameters* 21 (Autumn): 60-73.

Sweetnam, John P. 2000. "When Stars Do Not Align." *Military Review* 80 (March/April): 61-65.

Symonds, Craig L. 2000. "Damn the Torpedoes! Full Speed Ahead! The Civil War." In *The Navy*, ed. W. J. Holland. Westport, CT: Hugh Lauter Levin Associates, 44-59.

Szalay, Lorand B., and Jean A. Bryson. 1977. "Filipinos in the Navy: Service, Interpersonal Relations, and Cultural Adaption." Washington, DC: American Institutes for Research.

Talbot, G. L. 2001. *Department of the Navy Social Usage and Protocol Handbook.* OPNAV INSTRUCTION 1710.7A June 15. Washington, DC: Department of the Navy.

Tepper, Bennet J. 2000. "Consequences of Abusive Supervision." *Academy of Management Journal* 43 (April): 178-190.

Thomas, D. M., and R. W. Hunt. 2012. *Surface Warfare Officer (111X) Requirements for Command of Surface Ships*. COMNAVSURFPAC INSTRUCTION 1412.2A/COMNAVSURFLANT INSTRUCTION 1412.2A June 29. San Diego, CA and Norfolk, VA: Department of the Navy.

Thompson, James D. 1967. *Organizations in Action: Social Science Bases of Administrative Theory*. New York: McGraw-Hill.

Thornton, W. M. 1997. *Submarine Insignia & Submarine Services of the World*. Annapolis, MD: Naval Institute Press.

Titunik, Regina F. 2008. "The Myth of the Macho Military." *Polity* 40 (April): 137-163.

Trevino, Linda Klebe, Kenneth D. Butterfield, and Donald L. McCabe. 1998. "The Ethical Context in Organizations: Influences on Employee Attitudes and Behaviors." *Business Ethics Quarterly* 8 (July): 447-476.

Turner, Nick, et al. 2002. "Transformational Leadership and Moral Reasoning." *Journal of Applied Psychology* 87 (April): 304-311.

Tweedie, Alan. 2012. "Sign of a Surface Warrior." *Surface Warfare Magazine Web Exclusive*. http://surfwarmag.ahf.nmci.navy.mil/swo_pin.html (Accessed January 24, 2013).

Twenge, Jean M., and W. Keith Campbell. 2009. *The Narcissism Epidemic: Living in the Age of Entitlement*. New York: Free Press.

USA Today. 2012. "Navy Removes Ship's Command after Boozy Port Visit." November 4. http://www.usatoday.com/story/news/nation/2012/11/04/navy-vandegrift-alcohol-russia/1680039/ (Accessed November 12, 2012).

Valentine, Paul. 1994. "Two Dozen Expelled in Naval Academy Cheating Scandal." *Washington Post,* April 29.

Van Buskirk, S. R. 2012. *FY-12 Revisions to Surface Warfare Officer Critical Skills Retention Bonus and Surface Warfare Officer Continuation Pay Programs*. NAVADMIN 156/12. Washington, DC: Department of the Navy.

Van Buskirk, S. R. 2013a. *Use of Hand-Held Alcohol Detection Devices*. NAVADMIN 012/13. Washington, DC: Department of the Navy.

Van Buskirk, S. R. 2013b. *FY–13 Aviation Career Continuation Pay*. NAVADMIN 047/13. Washington, DC: Department of the Navy.

Van Buskirk, S. R. 2013c. *Probationary Officer Continuation and Redesignation Board Business Rules*. Arlington, VA: Department of the Navy.

van Wijk, Charles H., and Gillian Finchilescu. 2008. "Symbols of Organisational Culture: Describing and Prescribing Gender Integration of Navy Ships." *Journal of Gender Studies* 17 (September): 237-249.

Vardi, Yoav. 2001. "The Effects of Organizational and Ethical Climates on Misconduct at Work." *Journal of Business Ethics* 29 (February): 325-337.

Victor, Bart, and John B. Cullen. 1987. "A Theory and Measure of Ethical Climate in Organizations." In *Empirical Studies of Business Ethics and Values*, ed. William C. Frederick. Vol. 9 of *Research in Corporate Social Performance and Policy*, ed. Lee E. Preston. Greenwich, CT: Jai Press, 51-71.

Victor, Bart, and John B. Cullen. 1988. "The Organizational Bases of Ethical Work Climates." *Administrative Science Quarterly* 33 (March): 101-125.

Wall Street Journal. 2009. "Should I Rank My Employees?" April 7. http://guides.wsj.com/management/recruiting-hiring-and-firing/should-i-rank-my-employees/ (Accessed November 19, 2012).

Walter, Timothy. 2011. "Welcome to Black Shoe Country: The Surface Navy in a World of Aviation." *Surface Warfare Magazine Web Exclusive*.

http://surfwarmag.ahf.nmci.navy.mil/black_shoe.html (Accessed January 24, 2013).

Washington Post. 2012. "Putting Naval Leadership on Solid Ground." April 4. http://www.washingtonpost.com/local/dc-politics/putting-naval-leadership-on-solid-ground/2012/04/03/gIQAi7HKuS_story.html (Accessed July 8, 2012).

Watson, Julie. 2012. "Essex Captain Relieved After Collision." *Military.com* June 20. http://www.military.com/daily-news/2012/06/20/essex-captain-relieved-following-collision.html (Accessed July 10, 2012).

Webber, Thomas B. 2002. "Navy Core Values: Curriculum for Transformation." Master's thesis. Candler School of Theology.

Weber, James. 1995. "Influences Upon Organizational Ethical Subclimates: A Multi-departmental Analysis of a Single Firm." *Organization Science* 6 (September/October): 509-523.

Weber, James, and Virginia W. Gerde. 2011. "Organizational Role and Environmental Uncertainty as Influences on Ethical Work Climate in Military Units." *Journal of Business Ethics* 100 (4): 595-612.

Weber, James, Lance B. Kurke, and David W. Pentico. 2003. "Why Do Employees Steal?: Assessing Differences in Ethical and Unethical Employee Behavior Using Ethical Work Climates." *Business & Society* 42 (September): 359-380.

Weber, James, and Julie E. Seger. 2002. "Influences Upon Organizational Ethical Subclimates: A Replication Study of a Single Firm at Two Points in Time." *Journal of Business Ethics* 41 (November/December): 69-84.

Weigley, Russell F. 1993. "The American Military and the Principle of Civilian Control from McClellan to Powell." *Journal of Military History* 57 (October): 27-58.

Winter, Donald C. 2006. *Promotion, Special Selection, Selective Early Retirement, and Selective Early Removal Boards for Commissioned Officers of the Navy and Marine Corps*. SECNAV INSTRUCTION 1420.1B March 28. Washington, DC: Department of the Navy.

Yammarino, Francis J., et al. 2010. "Leadership and Team Dynamics for Dangerous Military Contexts." *Military Psychology* 22 (January S1): S15-S41.

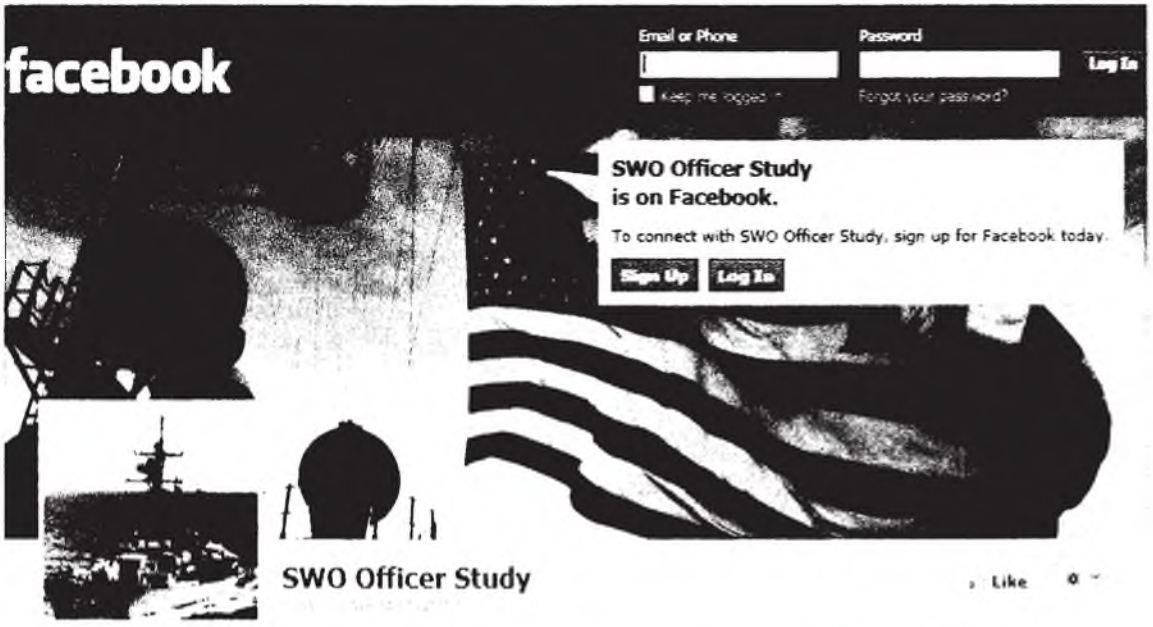
Zaccaro, Stephen J., Lisa M. V. Gulick, and Vivek P. Khare. 2008. "Personality and Leadership." In *Leadership and Psychology*, eds. Crystal L. Hoyt, George R. Goethals, and Donelson R. Forsyth. Vol. 1 of *Leadership at the Crossroads*, ed. Joanne B. Ciulla. Westport, CT: Praeger Publishers, 13-29.

Zellars, Kelly L., Bennett J. Tepper, and Michelle K. Duffy. 2002. "Abusive Supervision and Subordinates' Organizational Citizenship Behavior." *Journal of Applied Psychology* 87 (December): 1068-1076.

Zimbardo, Philip. 2007. *The Lucifer Effect: Understanding How Good People Turn Evil*. New York: Random House.

Appendix A

Facebook Page



SWO Officer Study

The window for completing the survey on ethics and leadership is closing, however an additional survey with a different focus may be replacing it soon. Watch this space for additional information.

Like · Comment

SWO Officer Study

Looking for more study participants. Those taking the survey, please spread the word.

Like · Comment

SWO Officer Study

Like · Comment · Share

SWO Officer Study

Response to the survey has been good this week. Hope it continues

Like · Comment

Appendix B

Ships Contacted Via Facebook

Ships Contacted Via Facebook

USS Blue Ridge (LCC 19), Yokosuka, Japan

USS Mount Whitney (LCC 20), Gaeta, Italy

USS Wasp (LHD 1), Norfolk, VA

USS Essex (LHD 2), Sasebo, Japan

USS Kearsarge (LHD 3), Norfolk, VA

USS Boxer (LHD 4), San Diego, CA

USS Bataan (LHD 5), Norfolk, VA

USS Bonhomme Richard (LHD 6), San Diego, CA

USS Iwo Jima (LHD 7), Norfolk, VA

USS Makin Island (LHD 8), San Diego, CA

USS Peleliu (LHA 5), San Diego, CA

USS Denver (LPD 9), Sasebo, Japan

USS San Antonio (LPD 17), Norfolk, VA

USS New Orleans (LPD 18), San Diego, CA

USS Mesa Verde (LPD 19), Norfolk, VA

USS Green Bay (LPD 20), San Diego, CA

USS New York (LPD 21), Norfolk, VA

USS San Diego (LPD 22), San Diego, CA

USS Anchorage (LPD 23), San Diego, CA

USS Arlington (LPD 24), Norfolk, VA

USS Whidbey Island (LSD 41), Little Creek, VA

USS Germantown (LSD 42), Sasebo, Japan

USS Fort McHenry (LSD 43), Little Creek, VA

USS Gunston Hall (LSD 44), Little Creek, VA

USS Comstock (LSD 45), San Diego, CA

USS Tortuga (LSD 46), Sasebo, Japan

USS Rushmore (LSD 47), San Diego, CA

USS Ashland (LSD 48), Little Creek, VA

USS Harpers Ferry (LSD 49), San Diego, CA

USS Carter Hall (LSD 50), Little Creek, VA

USS Oak Hill (LSD 51), Little Creek, VA

USS Bunker Hill (CG 52), San Diego, CA

USS Mobile Bay (CG 53), San Diego, CA

USS Antietam (CG 54), San Diego, CA

USS Leyte Gulf (CG 55), Norfolk, VA

USS San Jacinto (CG 56), Norfolk, VA

USS Lake Champlain (CG 57), San Diego, CA

USS Philippine Sea (CG 58), Mayport, FL

USS Princeton (CG 59), San Diego, CA

USS Normandy (CG 60), Norfolk, VA

USS Monterey (CG 61), Norfolk, VA

USS Chancellorsville (CG 62), San Diego, CA

USS Cowpens (CG 63), Yokosuka, Japan

USS Gettysburg (CG 64), Mayport, FL

USS Anzio (CG 68), Norfolk, VA

USS Arleigh Burke (DDG 51), Norfolk, VA

USS John Paul Jones (DDG 53), San Diego, CA

USS Curtis Wilbur (DDG 54), Yokosuka, Japan

USS Stout (DDG 55), Norfolk, VA

USS John S McCain (DDG 56), Yokosuka, Japan

USS Laboon (DDG 58), Norfolk, VA

USS Russell (DDG 59), Pearl Harbor, HI

USS Paul Hamilton (DDG 60), Pearl Harbor, HI

USS Ramage (DDG 61), Norfolk, VA

USS Fitzgerald (DDG 62), Yokosuka, Japan

USS Carney (DDG 64), Mayport, FL

USS Benfold (DDG 65), San Diego, CA

USS Cole (DDG 67), Norfolk, VA

USS Milius (DDG 69), San Diego, CA

USS Hopper (DDG 70), Pearl Harbor, HI

USS Ross (DDG 71), Norfolk, VA

USS Mahan (DDG 72), Norfolk, VA

USS Decatur (DDG 73), San Diego, CA

USS Higgins (DDG 76), San Diego, CA

USS O'Kane (DDG 77), Pearl Harbor, HI

USS Porter (DDG 78), Norfolk, VA

USS Oscar Austin (DDG 79), Norfolk, VA

USS Roosevelt (DDG 80), Mayport, FL

USS Winston S Churchill (DDG 81), Norfolk, VA

USS Howard (DDG 83), San Diego, CA

USS Bulkeley (DDG 84), Norfolk, VA

USS McCampbell (DDG 85), Yokosuka, Japan

USS Shoup (DDG 86), Everett, WA

USS Mason (DDG 87), Norfolk, VA

USS Preble (DDG 88), San Diego, CA

USS Mustin (DDG 89), Yokosuka, Japan

USS Chafee (DDG 90), Pearl Harbor, HI

USS Pinckney (DDG 91), San Diego, CA

USS Chung-Hoon (DDG 93), Pearl Harbor, HI

USS Nitze (DDG 94), Norfolk, VA

USS Forrest Sherman (DDG 98), Norfolk, VA

USS Farragut (DDG 99), Mayport, FL

USS Kidd (DDG 100), San Diego, CA

USS Gridley (DDG 101), San Diego, CA

USS Sampson (DDG 102), San Diego, CA

USS Truxtun (DDG 103), Norfolk, VA

USS Sterett (DDG 104), San Diego, CA

USS Dewey (DDG 105), San Diego, CA

USS Stockdale (DDG 106), San Diego, CA

USS Wayne E. Meyer (DDG 108), San Diego, CA

USS William P. Lawrence (DDG 110), San Diego, CA

USS Michael Murphy (DDG 112), Pearl Harbor, HI

USS Nicholas (FFG 47), Norfolk, VA

USS Robert G. Bradley (FFG 49), Mayport, FL

USS Elrod (FFG 55), Norfolk, VA

USS Samuel B. Roberts (FFG 58), Mayport, FL

USS Kauffman (FFG 59), Norfolk, VA

USS Rodney M. Davis (FFG 60), Everett, WA

USS Ingraham (FFG 61), Everett, WA

USS Freedom (LCS 1), San Diego, CA

USS Independence (LCS 2), San Diego, CA

USS Avenger (MCM 1), Sasebo, Japan

USS Defender (MCM 2), Sasebo, Japan

USS Patriot (MCM 7), Sasebo, Japan

Appendix C

Ships Contacted Via Email

Ships Contacted Via Email

USS Chosin (CG 65), Pearl Harbor, HI

USS Hue City (CG 66), Mayport, FL

USS Shiloh (CG 67), Yokosuka, Japan

USS Vicksburg (CG 69), Mayport, FL

USS Lake Erie (CG 70), Pearl Harbor, HI

USS Cape St. George (CG 71), San Diego, CA

USS Vella Gulf (CG 72), Norfolk, VA

USS Port Royal (CG 73), Pearl Harbor, HI

USS Mitscher (DDG 57), Norfolk, VA

USS Stethem (DDG 63), Yokosuka, Japan

USS The Sullivans (DDG 68), Mayport, FL

USS Donald Cook (DDG 75), Norfolk, VA

USS Lassen (DDG 82), Yokosuka, Japan

USS Momsen (DDG 92), Everett, WA

USS James E Williams (DDG 95), Norfolk, VA

USS Halsey (DDG 97), San Diego, CA

USS Gravely (DDG 107), Norfolk, VA

USS Jason Dunham (DDG 109), Norfolk, VA

USS Spruance (DDG 111), San Diego, CA

USS Rentz (FFG 46), San Diego, CA

USS Vandegrift (FFG 48), San Diego, CA

USS Taylor (FFG 50), Mayport, FL

USS Gary (FFG 51), San Diego, CA

USS Ford (FFG 54), Everett, WA

USS Reuben James (FFG 57), Pearl Harbor, HI

USS Nimitz (CVN 68), Everett, WA

USS Dwight D. Eisenhower (CVN 69), Norfolk, VA

USS Carl Vinson (CVN 70), San Diego, CA

USS George Washington (CVN 73), Yokosuka, Japan

USS John C. Stennis (CVN 74), Bremerton, WA

USS Harry S. Truman (CVN 75), Norfolk, VA

USS Ronald Reagan (CVN 76), San Diego, CA

USS George H.W. Bush (CVN 77), Norfolk, VA

Appendix D

Ethical Climate Questionnaire (ECQ)

Ethical Climate Questionnaire (ECQ)

All officers O-3 and below please answer the following questions based on your current command. All officers O-4 and above, former officers, and retired officers please respond based on your Division Officer afloat tour(s).

1. In this organization, people protect their own interests above all else.
2. What is best for everyone in the organization is the major consideration here.
3. In this organization, people are mostly out for themselves.
4. In this organization, people are expected to follow their own personal and moral beliefs.
5. In this organization, people look out for each other's good.
6. People are expected to do anything to further the organization's interests, regardless of the consequences.
7. Each person in this organization decides for themselves what is right and wrong.
8. People here are concerned with the organization's interest – to the exclusion of all else.
9. It is very important to follow the organization's rules and procedures here.
10. The most important concern in this organization is each person's own sense of right and wrong.
11. Successful people in this organization go by the book.
12. Work is considered substandard only when it hurts the organization's interests.
13. In this organization, people are guided by their own personal ethics.
14. In this organization, it is expected that you will always do what is right for the country and the public.

15. People in this organization strictly obey the organization policies.
16. The most important concern is the good of all people in the organization as a whole.
17. In this organization, the law or ethical code of their profession is the major consideration.
18. The major responsibility of people in the organization is to ensure safe operations.
19. People are expected to comply with the law and professional standards over and above other considerations.
20. There is no room for one's personal morals or ethics in this organization.
21. The most efficient way is always the right way in this organization.
22. In this organization, people are expected to strictly follow legal or professional standards.
23. In this organization, each person is expected above all to work efficiently.
24. In this organization, the first consideration is whether a decision violates any law or regulation.
25. Our major concern is always what is best for the other person.
26. Everyone is expected to stick by Navy rules and procedures.

(Adapted from Appendix A: Ethical Climate Questionnaire (ECQ) Weber and Gerde 2011, 610)

Appendix E

Scale Reliability and Correlation Calculation Results

Table 18. Cronbach's Alpha for EWC Type Scales

Scale Name	# Items	Mean	sd	α
Instrumental	7	18.24	4.96	0.69
Caring	7	17.47	6.46	0.87
Independence	4	9.40	3.23	0.75
Rules & Procedures	4	13.50	3.28	0.78
Law & Code	4	13.24	3.00	0.76

These are the results of Cronbach's alpha calculation for the EWC scales, showing acceptable to strong scale reliability. This indicates the scales test for discrete characteristics. (N = 103)

Table 19. Cronbach's Alpha for Toxic Leadership Scales

Scale Name	# Items	Mean	sd	α
Abusive Supervision	7	20.51	10.59	0.95
Authoritarian Leadership	6	16.37	8.66	0.95
Narcissism	5	15.25	7.34	0.95
Self-Promotion	5	13.78	8.01	0.97
Unpredictability	7	21.25	11.39	0.98

These are the results of Cronbach's alpha calculation for the toxic leadership scales, showing very strong scale reliability. This indicates the scales test for discrete characteristics. (N = 103)

Table 20. Pearson's Correlation for EWC Type Scales

Scale Name	Instrumental	Caring	Independence	Rules & Procedures	Law & Code
Instrumental	1	-0.47*	-0.15	-0.36*	-0.36*
Caring		1	.40*	.42*	.59*
Independence			1	0.12	0.13
Rules & Procedures				1	0.73*
Law & Code					1

Table 20 shows the correlation between the different EWC types. The negative correlation is strongest between instrumental and caring EWCs due to their opposing locus of analysis. Instrumental is most focused on the consequence for the individual making the ethical decisions, while caring is most focused on the consequences to others. (N = 103)

Table 21. Pearson's Correlation for Toxic Leadership Factors

Scale Name	Abusive Supervision	Authoritarian Leadership	Narcissism	Self-Promotion	Unpred.
Abusive Supervision	1	.87*	.79*	.77*	.88*
Authoritarian Leadership		1	.85*	.84*	.84*
Narcissism			1	.87*	.82*
Self-Promotion				1	.82*
Unpredictability					1

This table shows the correlation between the different scales that measure the presence of different behaviors that compose toxic leadership. The results show very strong positive correlations between the behaviors, which is consistent with the design and purpose of the instrument. (N = 103)

Appendix F

Toxic Leadership Questionnaire

Toxic Leadership Questionnaire

Active, drilling, and mobilized officers in the grades O-3 and below, in the past year were you under the authority of or did you observe an officer who displayed the following behaviors:

Former officers, retired officers and all those in grades O-4 and above please respond based on your experiences during your Division Officer afloat tour(s). During that tour, were you under the authority of or observe an officer who displayed the following behaviors:

1. Ridicules subordinates?
2. Holds subordinates responsible for things outside their job descriptions?
3. Is not considerate about subordinates' commitments outside of work?
4. Speaks poorly about subordinates to other people in the workplace?
5. Publicly belittles subordinates?
6. Reminds subordinates of their past mistakes and failures?
7. Tells subordinates they are incompetent?
8. Controls how subordinates complete their tasks?
9. Invades the privacy of subordinates?
10. Does not permit subordinates to approach goals in new ways?
11. Will ignore ideas that are contrary to his/her own?
12. Is inflexible when it comes to organizational policies, even in special circumstances?
13. Determines all decisions in the unit whether they are important or not?
14. Has a sense of personal entitlement?
15. Assumes that he/she is destined to enter the highest ranks of my organization?

16. Thinks that he/she is more capable than others?

17. Believes that he/she is an extraordinary person?

18. Thrives on compliments and personal accolades?

19. Dramatically changes his/her demeanor when his/her supervisor is present?

20. Denies responsibility for mistakes made in his/her unit?

21. Will only offer assistance to people who can help him/her ahead?

22. Accepts credit for successes that do not belong to him/her?

23. Acts only in the best interest of his/her next promotion?

24. Has explosive outbursts?

25. Allows his/her current mood to define the climate of the workplace?

26. Expresses anger at subordinates for unknown reasons?

27. Allows his/her mood to affect his/her vocal tone and volume?

28. Varies in his/her degree of approachability?

29. Causes subordinates to try and "read" his/her mood?

30. Affects the emotions of subordinates when impassioned?

(Adapted from Appendix E-Final Scales Schmidt 2008, 116.)

Appendix G

Battle Effectiveness, Command Excellence, and Readiness Questionnaire

Battle Effectiveness, Command Excellence,
and Readiness Questionnaire

Active, drilling, and mobilized officers in the grades O-3 and below, during your current shipboard tour (or your Division Officer tour for officers in the grades O-4 and above as well as former, Selected Reserve, or retired officers) did your ship win the following awards or satisfactorily complete the flowing certifications/qualifications?

[Response will be Yes, No, or Not Applicable (NA)]

1. Battle E?

2. Maritime Warfare?

3. Missile/Torpedo firing?

4. Cruise Missile Tactical Qualification?

5. NSFS gunnery qualification?

6. Aviation Certification?

7. Aviation Readiness Evaluation?

8. AIMD inspection?

9. Engineering/Survivability Excellence Award?

10. Engineering Certification?

11. Safety program evaluation?

12. ORSE?

13. PORSE/RSE?

14. Command and Control Excellence Award?

15. CMS inspection?

16. Communications Readiness Certification?

17. Logistics Management Excellence Award?

18. Logistics Management Assessment (LMA)?

19. Supply portion of LMA?

20. 3M inspection?

(Adapted from Chapter 5 Unit Competitions, Busch and Perry 1999)

Appendix H

Demographic Data Elements

Demographic Data Elements

Year group: For promotion eligibility determination, all officers are grouped and tracked by the year in which they are commissioned. It also serves as an indicator of relative seniority within pay grades.

Position: This will indicate the role a participant is presently playing, or the perspective from which a senior, former, or retired officer is viewing the experiences which formed his or her outlook. The focus of the project is on sea-going junior to mid-grade officers and the roles they play at sea. However, categories are included to capture information from personnel who are (1) currently serving in positions ashore; (2) have progressed beyond these levels, such as Flag Officers; (3) have departed active service for the Navy Reserve; (4) have retired; or (5) have separated from the Navy completely and returned to civilian life. Specific categories include Current Division Officer, Current Department Head, and Current XO. The body of former, Reserve, and retired officers are considered a secondary population whose input does not necessarily capture current conditions but may contribute context to the input provided by the primary target group. Position descriptions for these personnel include Former Division Officer, Former Department Head, Former Executive Officer, and Former Commanding Officer. A final "Other" category captured input from those serving at sea in positions which do not fit neatly into the earlier categories such as a post-command O-5 serving as the Chief Engineer of a large amphibious ship.

Pay Grade: O-1 through O-10. Another possible interesting phenomenon would be a significant difference in attitudes between certain pay grades or range of pay grades.

Gender: Male or Female. Any significant variation in responses between genders could inform solution recommendations and the means of implementation.

Status: These terms which capture whether a participant is currently serving as a full time service member, as a Reservist, or has ceased serving or has retired. The descriptive terms are Active/currently serving, drilling Reservist, former, and retired.

Ship Type: These are terms for the different collective types of vessels where SWOs serve at sea. The groupings are commonly used terms in the SWO community. These are CRU/DES, which includes cruisers, destroyers, and frigates; AMPHIB which includes the amphibious ships: LHAs, LHDs, LCCs, LPDs and LSDs; CVN for aircraft carriers; and OTHER, which is not a standard grouping, but for these purposes includes Littoral Combat Ship (LCS), Mine Countermeasures (MCM), Military Sealift (MSC), and riverine units as well as sea-going staffs such a Destroyer Squadrons.

Commissioning Source: These are the programs or institutions through which officers are commissioned, specifically United States Naval Academy (USNA), Naval Reserve Officer Training Corps (NROTC), Officer Candidate School (OCS), and Other which would capture limited duty officers.

Appendix I

Institutional Review Board (IRB) Approval

Institutional Review Board (IRB)
for the Protection of Human Research Participants

PROTOCOL EXEMPTION REPORT

PROTOCOL NUMBER: IRB-02921-2013 **INVESTIGATOR:** Michael Higgs

PROJECT TITLE: Surface Warfare Officer Survey

INSTITUTIONAL REVIEW BOARD DETERMINATION:

This research protocol is **exempt** from Institutional Review Board oversight under Exemption Category(ies) 2. You may begin your study immediately. If the nature of the research project changes such that exemption criteria may no longer apply, please consult with the IRB Administrator (irb@valdosta.edu) before continuing your research.

ADDITIONAL COMMENTS/SUGGESTIONS:

Although not a requirement for exemption, the following suggestions are offered by the IRB Administrator to enhance the protection of participants and/or strengthen the research proposal:

The IRB suggest that you precede the survey with a brief consent statement. Suggested wording is as follows:

You are being asked to participate in a survey research project entitled ***"Title of Project,"*** which is being conducted by ***name of researcher,*** a ***faculty member/staff member/student*** at Valdosta State University. This research focuses on institutional practices; personal private information is not being sought. Your participation is voluntary. You may choose not to take the survey, to stop responding at any time, or to skip any questions that you do not want to answer. You must be at least 18 years of age to participate in this study. Your completion of the survey serves as your voluntary agreement to participate in this research project and your certification that you are 18 or older.

Questions regarding the purpose or procedures of the research should be directed to ***name of researcher*** at ***telephone number*** or ***e-mail address***. This study has been exempted from Institutional Review Board (IRB) review in accordance with Federal regulations. The IRB, a university committee established by Federal law, is responsible for protecting the rights and welfare of research participants. If you have concerns or questions about your rights as a research participant, you may contact the IRB Administrator at 229-259-5045 or irb@valdosta.edu.

☐ If this box is checked, please submit any documents you revise to the IRB Administrator at irb@valdosta.edu to ensure an updated record of your exemption.

Barbara Gray *3/28/13*

Barbara H. Gray, IRB Administrator Date

Thank you for submitting an IRB application.
Please direct questions to irb@valdosta.edu or 229-259-5045.

Revised 08.02.2012