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FROM THE EDITORS

Reflections on Leadership, Teamwork & Organizational Management

Dr. Mark Anarumo, Managing Editor, *JCLD*

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Colonel Mark Anarumo is a Permanent Professor and Director of the Center for Character Leadership Development at the United States Air Force Academy. Prior to his current role, he was the Vice Commander of the 39th Air Base Wing at Incirlik Air Base, Turkey. His previous assignments include command of 3 squadrons, a National Security Fellowship at Harvard University, Chief of Programming for Headquarters U.S. Air Force Directorate of Security Forces, Deputy Chief of Force Development at Air Combat Command, Executive Officer to the Air Combat Command Director of Security Forces, Chair of Homeland Security and Terrorism Studies, and Operations Officer for the largest deployed Security Forces Squadron in the world. Prior to entering the Air Force through ROTC, he served in the US Army as an M-1 Abrams tank crewman, reaching the rank of Corporal and tank commander. Colonel Anarumo is a graduate of the Federal Bureau of Investigations National Academy, U.S. Army Pathfinder School, the U.S. Army Air Assault School and earned a Bachelor of Science degree in Administration of Justice, a Master's Degree in Criminal Justice and a PhD in Criminal Justice all from Rutgers University.

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The Journal of Character and Leadership Development (JCLD) exists to facilitate scholarship and dialogue around the development of character and leadership. On the surface, that may seem a relatively straightforward endeavor. In fact, there are many publications that claim to operate in different parts of that domain. The challenge, and why we have launched this journal, is sorting through the vast amounts of work that are published every year on both character and leadership as independent concepts. As an example, a simple search through an academic search engine like Google Scholar produces over 4 million results for the search term “leadership” and over 4.7 million results for “character.” That is an overwhelming number of publications to sort through. A leader focused on their own development would face an arduous battle trying to identify which information is most relevant to their own personal development and circumstance. As a result, many rely on recommendations from others or what catches their attention online or as they peruse a bookstore. While this casual approach has the benefit of exposing one to different thoughts about leadership, it is far from an intentional developmental strategy that aligns with personal goals and accountability. The key word in the previous sentence is intentional.

As highlighted in the previous issue of the JCLD, development can occur without any intentionality; however, as we approach a complicated construct like character and leadership and the complex interplay between the two, we should be keenly aware of what development we are trying to achieve and not simply leave it to chance. In fact, this is what the military service academies (as well as other organizations with a focus on character development) are designed to do: Bring intentional experiences at the appropriate time to produce growth in a certain area. This is where the Center for Character and Leadership Development (CCLD), and by extension this journal, has its role.

CCLD provides intentional education, training, and development for USAFA with respect to character AND leadership development. While the mission of USAFA may be at the cadet level, there are numerous opportunities for all faculty and staff to benefit from a “tour” at USAFA. This could be as a faculty member teaching a course, a program lead responsible for cadet development, mentoring a cadet, or adding to the body of scholarly research. All of those elements have developmental effects for cadets, but should also be part of an intentional developmental plan for faculty and staff.

When we think about development, it shouldn’t just be for one segment of our institution as we all have an impact on and are impacted by what is going on around us at USAFA. The focus of CCLD is to serve as the integrative function for the institution. In order to succeed in that function, we must be willing to engage in dialogue that not only expands our thinking but is based in science and state of the art conceptual understanding of key concepts. That means we will often come into contact with information that causes us to think about challenges and process in ways that we have not previously experienced. It is that nexus where learning and development can occur. It is also, fortunately, where the JCLD is positioned.

In This Issue

Every year, since 1993, the United States Air Force Academy has hosted the National Character & Leadership Symposium (NCLS). This world-class, multi-day event brings together thought leaders, experts, students, military members, and many others to intentionally focus on character and leadership development. This is accomplished through panels, speeches and guided group discussions. It is the largest event of its kind, attracting over 5,000 attendees annually.

The theme for this year's NCLS is Leadership, Teamwork, & Organizational Management (LTOM) which also happens to be one of USAFA's Institutional Outcomes. Due to the impact and scope of NCLS, as well as the previous discussion on intentional development, we thought it would be impactful to align this issue of the JCLD with NCLS. As a result, we have collected a series of articles from thought leaders on various aspects of the LTOM outcome.

The first article is by Gary Packard who is the Vice Dean for Curriculum and Strategy at USAFA. He draws on his experience working with outcomes at USAFA to describe LTOM, the challenges associated with such a broad outcome at a large university, and finishes with some recommendations on how one can lead at different levels. This article is a great set up for NCLS and those who plan to attend as he gives practical advice on how we can grow as leaders. He also discusses how we as an institution can use the LTOM outcome to continue to improve our processes and leadership.

With this focus on LTOM, the rest of the JCLD is broken into three sections: Leadership, Teamwork, and Organizational Management. While an exhaustive coverage of these three topics are beyond the scope of any single issue of a journal, we have chosen articles that not only show the breadth of scholarship that is occurring at each of these levels, but will also expand our thinking on the topics.

Leadership

We begin our discussion with five articles that describe different approaches to the study of leadership and character. The first is an interview with Mr. Max James (USAFA Class of 1964), an ardent and early supporter of this Journal and CCLD. In the interview, Mr. James describes the substantial investments he has made over the years to focus on adolescent character development,

his involvement with the building of Polaris Hall (the home of the Center for Character and Leadership Development), and shares his thoughts on character development. Mr. James describes on how one can show character and leadership through their actions.

The discussion on leadership continues with an article by Elise Murray, Marvin Berkowitz, and Richard Lerner. They offer a compelling discussion around character education and how it can be utilized to help individuals to lead with character. They do this through describing the value of character education and offering suggestions on how to create and sustain character education programs. While this is done through the lens of military leadership, they write in such a way that all organizations can benefit from their advice.

Next, we move to a topic that has received significant attention over the past few years: Emotional Intelligence. While much has been written, there are conflicting narratives about what Emotional Intelligence is and how it should be measured. David Caruso and Lisa Rees adeptly step through not only what intelligence is (and what it isn't), they provide advice about the role of emotions in leadership and how Emotional Intelligence may be used to develop leaders of character. This thought provoking piece will certainly expand the reader's thoughts on this topic.

Scholarship can take many forms. It can be an empirical examination of a particular topic or it could also be a description of what we know about a particular subject area (i.e., a meta-analysis). In fact, there are many ways to approach scholarship. The fourth article in this section is a perfect example of a scholarly dialogue between professionals. In the last issue of the JCLD, Dr. George Reed wrote a compelling piece titled "The Rhetoric of Character and Implications for

Leadership.” It was an insightful examination of the power of the situation and how that can impact the presence of character for individuals, military members in particular. In this issue, George Mastroianni furthers that discussion by challenging several assumptions made by Dr. Reed through an adept discussion of human behavior. This is an excellent example of how two professionals can have different points of view on a topic, value each other’s perspectives, and walk away with a deeper understanding of each other’s points of view. All are hallmarks of effective leadership and demonstrate high character.

In leadership and character literature today, there is often a focus on new theories, skills, and approaches that mark the potential “next best thing” for leaders. While this approach certainly has some merit, what is often missing is an intentional tie back to previous work done on different constructs. Dana Born and Christopher Megone challenge us to consider that there is much to learn from looking back as we look forward. They do an excellent job of referencing early philosophers to describe how some of those early works still have relevance today in the discussion around character and leadership development. This educational approach is a superb example of why education in the broader Social Sciences & Humanities, as well as Engineering and Basic Sciences, can provide a necessary foundation in our development of leaders of character.

Teamwork

The second part of the LTOM outcome deals with teamwork. Clearly, it is evident why this would be an important component to effective leadership within an organization like the military; however, teams and teamwork are present at some level in every major organization, university, and other occupational domains. Being able to understand teams, what makes them effective, and how to successfully complete work

within teams is critical to the workplace of today. In order to shed some light on aspects of effective teamwork, we are proud to present two articles that describe different components of teams. The first article, by Denise Reyes, Julie Dinh, and Eduardo Salas describe what is meant by the leadership of teams. They follow with a review of team literature and identify several insights that can be taken from examining that scholarship, in other words, what we currently know. They wrap up the article with recommendations for future research, a.k.a. what we still need to know, on team leadership. This article does an excellent job pulling together what we know to help inform where we need to go regarding the science of teams and leadership of teams.

The next article by Melissa Norcross discusses the role that humility can have on teams. The article begins with a discussion of humility and what it looks like in a team setting. She introduces four components of a humble team culture - attitude of inquiry, kinship, extraordinary collaboration, and professional excellence - and then describes the leader’s role in creating and modeling humility for the team. While the first team article talks about the leadership of teams, this article does more of a deep dive into a component of effective team leadership. Both perspectives are critical and important for the effective leadership of teams.

Organizational Management

The third component of the LTOM outcome is organizational management. This portion of the outcome looks at the leadership of organizations and the leader’s role in achieving effectiveness. This not only applies to what the individual leader does (their actions) but also the policies, procedures, and culture that the leader puts into place. Since organizations are made up of individuals, leaders, teams, departments, etc., leadership at the organizational level can have a

cascading effect throughout the rest of the organization and therefore impacts leader effectiveness at all levels. For organizational leadership, we have a range of topics that relate to different aspects of this part of the outcome.

The first article is an interview with Vice Admiral Walter Carter, the Superintendent of the United States Naval Academy. In this interview he covers the challenges and the rewards of leading a military service academy, which he has done for nearly five years. He discusses his experiences and the leadership implications for leading such a diverse organization. As Lt Gen Jay Silveria pointed out in the previous issue of JCLD, leading a military organization as well as a university poses unique challenges. Through the interview, Vice Admiral Carter provides some practical advice to those who lead at the organizational level.

The next article by John Abbatiello and Ervin Rokke describes some of the current challenges that military leaders face, and allude to those which they will face in the future. This examination of current and future challenges is used to frame a discussion of how we need to think more deeply about some of the moral challenges our future leaders will face. If we don't thoughtfully consider how this will impact our educational and training pipelines, we will be ill prepared to effectively wage future warfare.

The third article by Matthew Valle and David Levy is a thoughtful discussion of how we need to be organizationally thinking about character and leadership development in the future. They introduce the concept of polyarchy, which is "collaboration and decision-making in dynamic environments by bringing the necessary resources to bear quickly and efficiently so that focal individuals can sense and shape opportunities quickly and make decisions proficiently"

as a mechanism to help leaders be more effective in the changing future environment. Through this approach they offer several suggestions of how it can be leveraged to build more dynamic capability among the leaders in our organizations.

The final article, by David Murphy, offers a more focused definition of character (referred to as character conflation) and how it can be applied to the broad range of operations that militaries face. He discusses how the Just War Tradition should be expanded to include Just Peacemaking Theory. This theoretical discussion expands the discussion of what character looks like in the different roles in which we are asking our military members to serve.

As evidenced by the broad spectrum of articles that have been included in this issue of the JCLD, it is clear we are just scratching the surface of these topics. Our hope is that this diverse look at the LTOM topic will spur discussions not only after reading this issue, but also as a compliment to experiences gained through this year's NCLS speaker series whether live or through our continuing discussion modules available online. Our challenge to you is to see how this information can help inform your own character and leadership development regardless of what level of leadership you currently find yourself.

Book Reviews

In this issue of the JCLD, we are introducing a section for book reviews. Our Book Review Editor, Dr. John Abbatiello, has expertly developed this section for the JCLD. We are adding this section to provide a venue through which relevant scholarship can be highlighted. We will be focusing on books that have distinct application for the development of leadership and character. There are two books reviewed in this issue of the JCLD: *Professionalizing Leadership* by

Barbara Kellerman, and How Good People Make Tough Choices: Resolving the Dilemmas of Ethical Living by Rushworth Kidder. Brief synopses of the books are provide to give some insights on content and application for development.

Looking Ahead

Three issues of JCLD will be published per year aimed at highlighting scholarship relevant to the core mission of the Center for Character and Leadership Development: Developing leaders of character for our Air Force and our nation. This scholarship will take many forms and will come from diverse sources. We hope you see it as an important tool for your own development. While reading is a necessary component to effective development, it is not sufficient. We hope that you see the JCLD as a starting point for reflection, dialogue, and the practice of leadership, and welcome partnerships that lead to success in this most noble and critical pursuit.

NATIONAL CHARACTER & LEADERSHIP SYMPOSIUM

Moving Beyond the Status Quo: Leveraging the “Leadership, Teamwork, & Organizational Management” Outcome at the U.S. Air Force Academy to Improve Leadership Education and Training

Gary Packard, United States Air Force Academy

Walk into any organization at the U. S. Air Force Academy (USAFA) and you will see an earnest commitment to the Academy’s mission to “To educate, train and inspire men and women to become officers of character motivated to lead the United States Air Force in service to our Nation” (United States Air Force Academy, 2015, p. 1). In the physics classroom, civilian and military professors are teaching lessons that develop scientific thinking while mentoring students on why scientific thinking is an important part of their leadership toolkit. At the hockey rink, players learn that teamwork, as Wayne Gretzky might say, is about being where the puck will be, not where it has been. They also learn about how teamwork on the ice will translate to teamwork in combat from the Air Force officers who volunteer to work as mentors with that team. In the Cadet Squadron, the active duty officer assigned as Air Officer

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Commanding (AOC) might work with her Cadet Squadron Commander to design a major training event for the squadron and also use that as an opportunity to talk about why organizational management is critical to the success of an operational Air Force Security Forces Squadron. There is a constant emphasis in curricular, co-curricular, and extra-curricular activities at the Academy on the development of proficiencies related to leadership, teamwork, and organizational management (LTOM).

This focus on LTOM is so important to the mission that the Academy has identified it as one of the nine Academy Outcomes that shape and align our curriculum. Our Curriculum Handbook states the importance of these outcomes this way, “Future Air Force leaders must demonstrate a sophisticated combination of qualities that define the character of members of a modern profession of arms. At the Academy, we operationally define these professional characteristics in nine Academy Outcomes. Every faculty and staff member serving at the Academy – regardless of their specific role – plays an important part in building Air Force leaders of character by developing the proficiencies articulated in the following nine outcomes. (United States Air Force Academy, 2018, p. 77)” Each of the Academy’s nine outcomes are guided by an outcome team populated with faculty and staff from core courses and programs committed to aligning curriculum to develop specific outcome related proficiencies. In addition, each outcome team has written a white paper describing these proficiencies (United States Air Force Academy, 2019a; 2019b). This focus on outcomes in support of the Academy mission is a model of how organizations can build alignment to an organizational mission statement. While this paper will discuss organizational processes that are specific to the LTOM outcome, the concepts discussed could easily be applied to any of the nine outcomes at the Academy or to similar work at other higher education institutions, government entities, or corporations.

The LTOM team is charged with approving, designing, and assessing integrated, developmental programming to improve desired proficiencies. However, this charge is more difficult than one might think. As is common in most organizations, we do not always agree on how to get to the goal. As a result, the good intentions of one part of the organization do not always support the good intentions of other parts of the organization. For example, a specific leadership lesson in an academic course may not support or align with a major military training event in a cadet squadron even though both may have been approved by the same outcome team. When this happens, well-meaning teachers, commanders, and coaches can disenfranchise cadets when one approach to developing LTOM proficiencies conflicts with the work of another approach in a different venue at the Academy. Despite the Academy’s dedication to the proficiencies of LTOM and our other eight outcomes, there are competing policies, ways of communicating, and uncoordinated institutional practices that impede our ability to fully develop these proficiencies.

In this paper, I will explore why an organization’s culture can impede the organization’s ability to fully pursue its mission. I specifically focus on what I see as the greatest organizational impediments to developing fully integrated, developmental, and sustainable approaches to LTOM curriculum and training at the Air Force Academy. I believe the root cause can be found in a 1968 economic theory proposed by Garrett Hardin, called the Tragedy of the Commons. Based Hardin’s theory, I will explore how the LTOM process is designed to overcome the Tragedy of the Commons and why it has struggled to do so. Finally, I will offer some ideas on how to overcome these barriers in order to develop truly integrated, developmental, and sustainable courses and programs in support of developing LTOM proficiencies.

The Tragedy of the Commons

Most cadets, faculty, and staff arrive at the Academy

with a belief that the various aspects of cadet development are integrated and purposefully designed. In many ways this is true. As described above, we have developed processes designed to integrate and assess our programs. Within specific programs, the commitment of individual staff members to their programs and courses is phenomenal. In addition, most faculty and staff across the many aspects of cadet life truly enjoy working with each other. For example, it is common to find academic faculty and military training staff serving as athletic team mentors. Each summer, faculty can be found assisting with basic training or down at the airfield serving as instructor pilots. Newly arrived members to the team frequently comment on how well everyone gets along. For example, our new faculty orientation program invites newly arrived academic faculty, coaches, military trainers, and instructor pilots to join together to learn about the Academy and effective educational practice. At a recent orientation, a new coach who came to the Academy from a civilian university mentioned how different the culture at the Academy was toward the athletic programming. He commented that at his prior university, athletics were not considered a part of the university mission but here he genuinely felt a part of the team.

Overall, it seems like an ideal environment for integration. However, it is hard to sustain these interdependent feelings in the grind of day-to-day work. Demands in one's department consume large amounts of time that challenge the ability to put in to practice the ideals of integrated, developmental programming. Limited staff and financial resources combined with frequent competition for cadet time often create a focus on the success of a specific program, often at a cost to another program in the system. In addition, institutional incentives and rewards often celebrate individual program success over integrated program development. This can lead to stove-piped programming, redundancy, and inefficiency. This pursuit of quality, but stove-piped, programming over integrated programming is the status quo in

most organizations, to include the Academy. This is not all bad. In fact, there are good things happening across the institution every day within each program and course offered. However, if the Academy were to develop a culture that valued integrated development over stove-piped programming, cadet development could be even better. The status quo might be good, but it is not sustainable in the long run. Stove-piped programming often leads to unconstrained growth and redundant processes.

Garrett Hardin described a similar competition for limited resources by well-meaning, stove-piped actors in a seminal 1968 article in the journal *Science* called "The Tragedy of the Commons." Hardin based his thesis on an obscure 1833 pamphlet by William Forster Lloyd on the impact of overgrazing too many cattle on open range land. Lloyd observed that when multiple ranchers shared a plot of public, common ground, there was little incentive to regulate the size of the herd that shared the land. A single rancher had much to gain in adding to his herd and his addition of a few more animals was perceived to have a minor impact on the ecosystem. However, as each rancher continued to grow the size of their herd, the common resource was impacted until the growth was unsustainable. Without a commitment to cooperative land management, all ranchers stood to suffer from this unfettered growth in the long run.

In essence, the theory states that people typically expend resources in a way that is to their advantage without fully attending to the overall impact on others or the system. This is not typically done maliciously. In fact, people often say that group needs are important and that they support the idea that others should also succeed. However, their behaviors frequently support individual gain over group success. As Hardin notes, people often want to maximize good but often lack common agreement on how to cooperate in a way that maximizes the good for everyone. Applied to the mission of the Academy, there is common agreement

that developing leaders of character is a common good. We have created outcomes, proficiencies, and teams committed to the common good. Yet, we lack a common commitment to an integrated process that develops that common good in a disciplined manner. To one person, the common good might be best served by an emphasis on academic education, to another it is motivational guest speakers, and to another it is played out in friendly competition on the athletic field. All are fine activities designed to promote the common good and it is difficult to measure if one activity has greater impact than another. How does one measure the value of participating in intercollegiate athletics as compared to the benefit of jumping out of airplanes or minoring in Russian to the development leaders? Creating a culture where all these activities are valued as equitable components of a highly complex and interdependent system is difficult to sustain. Only by keeping the programming integrated and sustainable can an organization hope to avoid the Tragedy of the Commons. This type of integrated outcome depends on temperance on the part of program owners to not overwhelm the system or create unnecessary inequities. But, as Hardin notes, “How do we legislate temperance?”

Temperance and the LTOM Outcome

In 2016, the Academy approved a major update to the core curriculum that established the current set of nine outcomes and identified the courses and programs aligned with each outcome. The stated purpose of this alignment was to create the institutional processes and practices that would support integrated curriculum development. As a part of this alignment, outcome teams were envisioned to be a critical part of the integration process. They were envisioned to be the group that tempers the system for the benefit of the common good.

For example, the LTOM outcome team has members from the Department of Behavioral Sciences and Leadership and the Department of Management who

offer academic coursework; from the Commandant of Cadets Training Staff who oversee commissioning education and major military training activities; from the Athletic Department who offer team-based physical education and intramural sports activity; and from the Center for Character and Leadership Development who provide character education and conduct signature programming such as the annual National Character and Leadership Symposium. The team is led by a member from one of these areas who is vetted and approved by the Academy’s curriculum governance process. All changes to curriculum and programming require the coordination of the outcome team and the approval of the institutional curriculum governance process. This process is designed to “legislate temperance” as described by Hardin. Their charter is to ensure integrated, developmental, and sustainable progress of LTOM proficiencies at the Academy.

Despite establishing the organizational structure that has the ability to temper the behaviors that lead to the Tragedy of the Commons, the Academy still struggles at creating integrated, developmental, and sustainable programming. We have created effective administrative processes that are capable of legislating temperance but lack the accountability and incentives that ensure compliance with the decisions of the outcome team. How can this happen at an organization where these processes exist and practically everyone is committed to the development of leaders of character through their individual courses and programs? One possible explanation to this dilemma was highlighted during our final discussions of the new core curriculum before it was approved in 2016.

During the final months of work that led to the approval of the new core curriculum and outcome processes in 2016, the committee leading the design of the new curriculum held a series of town hall meetings. At the final town hall meeting before the vote was taken, the committee asked this question,

“What will we need to do differently at the Academy if this new curriculum is to be successful?” A senior faculty member, who had been very active in the process and had frequently expressed criticism of the use of outcomes to organize courses and programs, gave one of the most insightful answers. He expressed this sentiment (paraphrased), “Success means that I am equally supportive and interested in the success of other courses and programs in the curriculum as I am in the success of my own course.” Unfortunately, the Academy has not fully embraced this concept in the initial years of the new curriculum. A review of curriculum change proposals in the 2 ½ years since passing this new curriculum shows a continuation of independent program growth with only cursory involvement of the outcome teams tasked to be the integrative function at the institution. Even though we created processes to facilitate integration, we hold on to old processes that perpetuate independent program and course development.

This struggle to execute interdependent LTOM programming seems to lie in how we think about the word “we.” “We” under the outcome construct should refer to the combined efforts all members of the Academy to obtain our outcome proficiency goals in an integrated fashion. However, a review of the curriculum change proposals reveals that “we” is rarely defined in this manner. During the curriculum approval process, the outcome team lead must sign a coordination document that indicates their concurrence of the change. However, once that proposal has been approved, “we” quickly reverts to the department or unit working in isolation to execute the content of the program or course. Beyond coordinating proposals, many outcome teams struggle to enforce integration ideals in a way that truly connects one program or course to another.

An example may help illustrate this dilemma. In the spring of 2017, the Academy approved a new Officership course designed to “align three previously existing

courses to meet the foundational level of the Leadership, Teamwork, and Organizational Management (LTOM)” outcome proficiencies (USAFA, 2017). The proposal stated that the new course was to be “executed in a purposefully integrated, aligned, and synergistic manner.” Further, the proposal indicated that faculty and staff involved in the course would “link learning objectives, content delivery, and assessments to provide a seamless learning experience for cadets.” The course was supposed to be designed to take several distinct but related LTOM courses taught across the Academy and link them together in an integrated, developmental program of training and instruction.

So how has it gone in the first two years of execution of the new core curriculum? To a large degree, execution of the elements of the core remain highly independent and stove-piped. While the creation of the outcome process has created an uptick in the number of times faculty and staff from different parts of the organization meet and discuss LTOM related content and assessment, the delivery of content remains only superficially connected. To be fair, this improvement in communication across competing parts of the Academy is not to be understated. There was a time in our not too distant past when we would rarely have these conversations. The creation of the LTOM outcome and team is creating a much needed opportunity for better de-confliction of competing programs and courses. However, the power of the Tragedy of the Commons still stifles the ability to create the truly integrated, developmental, sustainable course of instruction we all hope to achieve. Which leaves us with the question, how do we overcome the resistance to integration inherent in the Tragedy of the Commons as it relates to LTOM proficiencies at the Academy?

Moving from Status Quo to Integration

The question of “How?” is best approached by starting with an understanding of the system at the Academy that supports the Tragedy of the Commons. In the

Academy system, autonomy at the level of the Dean, the Commandant, and the Athletic Director is understandably strong. This culture of autonomy seeps in to all levels of the organization. For example, in over a decade as the Permanent Professor and Head of the Department of Behavioral Sciences and Leadership, I was responsible for two core courses taught to over 2,000 cadets each year. One course was a traditional behavioral sciences introductory course taught to freshman and the other was a leadership course taught to juniors. Both courses contained content that was directly applicable to other courses and programs at the Academy. Despite this applicability, I was rarely asked about the content or educational approaches of these courses from any other department or unit at the Academy. The department could increase or decrease workload, change assessments, or change lesson content without coordinating with any other part of the organization. As long as we didn't ask for more time or change the course substantially from the course description in the Academy's Curriculum Handbook, we made changes without scrutiny. This was not done in a spirit of ill-will. These changes were made out of a passionate commitment to our courses and academic discipline. When attempts to integrate were made, they were often met with lukewarm interest at best and there was little commitment to fundamentally changing how we do business. We talked about integration often, we pursued it rarely. Like many other departments and units, our "we" only referred to internal department teams working on specific department curriculum. We talked about the system, but we acted as an independent rancher. We was not the big "WE" of the entire Academy system.

Developing systems thinking that focuses on the big "WE" is an enormous challenge to most organizations. Systems thinkers take a long view of problems facing the organization and work to understand the interdependent nature of that future. Unlike typical behavior under the Tragedy of the Commons that focuses on individual, short-term gain over long-term

community good, systems thinkers work to develop community effectiveness that leads to gains for all. This practice requires self-discipline on the part of members of the organization and, most importantly, a commitment by the organization to incentivize integrated work over individual gain. An organization that lacks discipline in its processes often accepts the unconstrained growth the plagues the Tragedy of the Commons.

Jim Collins (2009) highlights the threat of undisciplined growth in his book *How the Mighty Fall*. Collins describes five stages of decline that he and his research team have found to be common when great companies fail. Stage 2 in this model is "the undisciplined pursuit of more." In 2, companies typically have solid numbers and are aggressively pursuing rapid growth. However, they are doing so with a lack of discipline resulting in a focus on short-term gain over long-term, sustainable growth. Each new product, program, or idea becomes an obsession to the exclusion of the corporate values that made the company great in the first place. Like cattle on the common grazing land, undisciplined pursuit of new ideas in the moment without concern for integrated sustainability can quickly create stove-piped program development and competition between units that keeps the Tragedy of the Commons alive and well.

Tempering the Tragedy of the Commons is done by applying practical, systems thinking tools to the goal of integrated, developmental, and sustainable program and curriculum development. The LTOM framework includes a helpful, developmental model known as the PITO Model (United States Air Force Academy, 2014) that can be used to turn systems thinking in to systems action. PITO stands for four interconnected stages of leadership development – Personal, Interpersonal, Team, and Organizational Leadership. Personal Leadership refers to how one leads oneself in ways that enhance mission accomplishment. Interpersonal Leadership is the ability to lead one or more other

people. Team Leadership is the ability to lead an interdependent group toward accomplishment of a common goal. Finally, Organizational Leadership is guiding an organization of many teams within a larger institution and environment (United States Air Force Academy, 2019).

All levels of the PITO framework can help us knock down the barriers to integrated, developmental, and sustainable education and training. All leaders and followers have some role to play at all of the PITO levels. However, each individual likely sees themselves as operating mostly in one of the four levels. For example, if you are an entry level leader, you may see limited ability to influence your organization's struggles with the Tragedy of the Commons. But there are several ways you can practice personal and interpersonal leadership to change the conversation in your sphere of influence. Likewise, leaders at the team and organizational levels can also put in to practice helpful behaviors and attitudes that can move the organization to a new future. In fact the LTOM and PITO frameworks were designed specifically for these purposes. They are not models simply to be used in classroom or training simulations. They are practical concepts that can be applied to build integrated, developmental, and sustainable curriculum. Therefore, let's explore how we can use the PITO concept in the LTOM outcome to temper the Tragedy of the Commons.

Leadership (Personal and Interpersonal)

In the summer and fall of 2010, I was assigned to the Pentagon as the Air Force's lead writer on the Department of Defense (DoD) study that preceded the repeal of Don't Ask, Don't Tell (DADT). The Secretary of Defense, The Honorable Robert Gates, directed us to write two reports. The first was a study of how repeal might affect morale, cohesion, effectiveness, recruiting, and retention of units within the DoD. The second report was a plan that would lay out how we would implement the repeal in the DoD

should the law change. I was tasked to lead the writing effort for this second report. As part of that process, we wanted an effective bumper sticker that would aptly summarize the key implementation message of successful repeal. We decided on these three factors: Leadership – Professionalism – Respect. Of these, we wrote "leadership matters most" (Department of Defense, 2010).

This concept that leadership matters most may be the most important first step in overcoming the Tragedy of the Commons. Leadership does not exclusively apply to the senior leaders of the organization. In fact, the most important work must be done within the relationships that exist at all levels of the organization. Leadership matters most in the professional relationships leaders establish. These personal and interpersonal relationships must be built to create the foundation needed for effective team and organizational change. If you are ready to take on the challenge of being an integrator, here are a few personal and interpersonal leadership ideas to get you started.

1. A good place to start is with this Journal and the Air Force Academy's National Character and Leadership Symposium (NCLS) to be held at the Air Force Academy February 21 – 22, 2019. The articles in this journal will improve your understanding of LTOM and provide new ideas you can implement in your sphere of influence. If you are attending NCLS, choose speakers that will provide you with tools you can use to develop culture changing relationships. If you have already attended or did not attend NCLS, you can access video on demand after the event.
2. Set aside time on a recurring basis to define what integrated, development, sustainable work looks like from your point of view. Make a list who you would need to have on your team

in order for your programs to go beyond your discipline or niche in the organization. Make an appointment to meet with the people on your list. Who are your allies and who do you need to grow as allies?

3. When you meet with people on your list, ask them, "Who else should we add?" Build your network and have regular time together. Talk about how integration happens at your level. The dialogues that happen at this level, if sustained and developed, often are critical to organizational change. It is this type of dialogue that started my journey toward leadership integration over 20 years ago. As a brand new instructor at the Academy in 1994, I struck up a conversation with a new civilian philosophy professor at the Academy. During our first year, we decided we wanted to team teach an integrated class that combined my Behavioral Science Department's leadership class with his Philosophy Department's ethics class. A bold move for two brand new faculty members, but we were able to get approval to teach the class in our second year on the faculty. I learned a lot of philosophy, he learned a lot of social science, and our students learned how these two courses supported each other. Over the years, several of those students have reached back to me and thanked me for the experience. One even became a faculty member. More importantly, it still fuels my passion today.

4. Read. At this level of leadership, there are two books that have been most influential to me at the personal and interpersonal leadership level. Both works contain many practical ways to gently provoke organizational change.

a. The book I turn to most often is Debra Myerson's (2008) *Rocking the Boat: How*

Tempered Radicals Effect Change Without Making Trouble.

b. A second helpful book is Carol Dweck's (2011) *Mindset: The New Psychology of Success.*

Teamwork (Team Leadership)

Perhaps one of the biggest impediments to overcoming the Tragedy of the Commons is prioritizing time to understand and appreciate the challenges and successes of other parts of our organization. To see other teams as allies and not as competition. In a system that is built on an outcomes based model such as the nine outcomes at the Academy, there is perhaps no more important team leader than the outcome team leader. How this individual approaches integrated development is vital to the work and attitude of the outcome team. The members of the outcome team also serve as team leaders for their program or course making the outcome team a team of teams. Coordinating the work of a band of team leaders is hard. Success means bringing together multiple perspectives and negotiating difficult compromises amongst colleagues who have a big investment in their personal programming. Here are a few ideas on how to be successful at the team leader level.

1. Time management may be the biggest challenge to outcome team leaders. Not only are team leaders responsible for the success of their own programs and courses, they are responsible to assist other team members with their program successes. They also need to be in tune with these programs in order to facilitate conversations on creating opportunities for integration.
2. Team leaders at this level should work to improve skills such as effective communication and delegation. In addition,

they need to routinely communicate both the successes and challenges of their team to more senior leaders. They advocate for all members of the team and are truly guardians of the ideal that “your success is my success.”

3. Team leaders are sandwich leaders who are trying to influence organizational management up the chain while nurturing the productive relationships needed for the work of the team at their level and below. Burnout can be high. To stay the course, build an effective network of supporters who can empathize with your challenges while holding you accountable to your goals. Team leaders cannot afford to be lone wolves.
4. For team leaders, I recommend three books. Each of these books do a wonderful job of breaking down the barriers to effective team work and provide helpful suggestions to help team leaders be more successful.
 - a. L. David Marquet’s (2012) *Turn the Ship Around!: A True Story of Turning Followers Into Leaders*. His leader to leader concept is a powerful approach to empowering your team.
 - b. McChrystal, Collins, Silverman and Fussell’s (2015) *Team of Team: New Rules of Engagement for a Complex World*. The team of teams concept is tailor made to the challenges of outcome team leadership.
 - c. Patrick Lencioni’s (2002) book *The Five Dysfunctions of a Team: A Leadership Fable*. Written in a very accessible style, this work is an excellent reference for starting conversations on effective team dynamics with your teammates.

Organizational Management

At no place does leadership have the greatest potential for change than at the organizational level. Organizational level leaders influence incentive programs, manage discipline to process, decide how resources are allocated, and assess progress toward institutional goals. Unless organizational leaders have practiced collaborative, systems thinking at lower levels of the organization, they are unlikely to effectively manage as a senior leader unless they take the time to learn these concepts. Organizational leaders must be the systems thinkers who reward discipline to process and commitment to integration. Without institutional commitment to align processes, resources, accountability, and incentives to the desired outcome of integrated, developmental, and sustainable LTOM courses and programs, the Tragedy of the Commons is likely to flourish and the organizational leader may not even be aware it is happening.

1. Ask more questions and give fewer directions. If there is one thing I have learned as a senior leader, it is the importance of asking questions that help other leaders carefully consider their positions and beliefs. I am not saying I practice it as well as I would like, but I am working on it. One of my favorite questions is, “Whose voice is missing from this conversation?” Challenge stove-piped thinking by asking effective questions.
2. Accountability and Incentives – If there is one theme that I think is most important to fighting the underlying causes of the Tragedy of the Commons it is the ability to align organization practice with the desired outcome of the organization. A good place to start with understanding the criticality of this concept is with Steven Kerr’s (1975) classic article *On the Folly of Rewarding A, While Hoping for B*. Senior leaders should

meet regularly and ask themselves, “Are our reward structures and accountability methods truly aligned with our desired goals? What evidence do we have to support our beliefs?” For example, if the organization values interdisciplinary work but uses its resources to exclusively hire disciplinary experts then leaders should not be surprised when integration is slow to develop. If integrated development is truly the top goal of the organization, then resources should be allocated to the interdisciplinary work of the outcome team over stove-piped programming.

3. Assessment. If alignment is the most important influence on organizational culture then reliable assessment is the most important tool in the organizational manager’s tool kit. Sustainable and useful assessment is one of the most difficult challenges to organizational management. Without evidence, conversations are driven by belief systems which tend to sustain stove-piped structure over boundary crossing innovation. If change is to happen institutionally, then reliable evidence needs to be collected, discussed, and, most importantly, used to make decisions.

4. A helpful technique to assist with integrated development is the use of program reviews. Program reviews at the outcome team level, give outcome teams the opportunity to brief how they are using resources to drive integrated programming. During these reviews, senior leaders should listen carefully for opportunities to provide resources and guidance that support integrated innovation. The Higher Learning Commission, the accrediting organization for the Academy,

offers helpful information on how program reviews and strategic planning can be used to support institutional outcome development (2015).

5. For organizational managers and leaders, I have the longest reading list. This is appropriate since leaders at this level have the biggest role to play in establishing a corporate culture that tempers the commons with integrated practice.

a. The most influential body of work for my personal development has been the work of Jim Collins and his colleagues. Certainly his classic *Good to Great* (2001) is one I think should be on every leader’s bookshelf. That said, I actually find myself going to two of his other books more frequently. *Great by Choice* (2011), written with Martin Hansen, describes the attributes of successful, change-oriented leaders, whom he calls “10x leaders” because they lead companies that outperform the competition at least tenfold. But, *How the Mighty Fall* (2009), is the book I turn to most. It is his most reflective book and his five stages of organizational decline are very helpful guideposts for any senior leader looking to combat the Tragedy of the Commons.

b. Edgar Schein’s (2017) *Organizational Culture and Leadership*, written with his son Peter Schein is a classic and invaluable to the understanding of systems, change, and leading.

c. John Doerr’s (2018) book *Measure What Matters: How Google, Bono, and the Gates Foundation Rock the World with*

OKRs, is one of the best books on assessment on my shelf.

Final Thoughts

We have covered a lot of ground over the pages of this article. But, in reality, we have only scratched the surface. The Tragedy of the Commons is a strong force and overcoming it requires the unified efforts of PITO leaders across the LTOM spectrum. To be successful, “we” needs to be big “WE” much more often than it is little “we”. Assessment must provide us with useful information and we must have the institutional courage to act on the evidence we have collected. We must deliver rigorous and purposefully developed content, but we must do so in partnership with other members of our team. The team’s success must outweigh personal success. Simply put, we must take the Air Force’s Core Values of “Integrity First, Service before Self, and Excellence in All We Do” and make them more than words on the wall. We must get comfortable with being uncomfortable. We don’t need more sayings or new programs or stove-piped effort. Only systems thinking, dogged persistence, and boundary spanning relationships will get us there. I hope you will roll up your sleeves and jump in. WE will all be better if you do.

♦ ♦ ♦

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LEADERSHIP

My Investment in Character

Max James, American Kiosk Management

Interviewed By: Douglas Lindsay

Mr. James Background: After graduating with honors from the United States Air Force Academy (USAFA), Mr. James flew with the astronauts in the Astronaut Recovery Program at Cape Canaveral. He then volunteered for Combat Air Rescue duty with the Jolly Green Giants in the Vietnam War, followed by an assignment as a combat instructor pilot. After his time in the military, Mr. James earned an MBA from Stanford University's Graduate School of Business. He then started his business career in the real estate industry as an international investment analyst, which led to a lucrative stint as a real estate sales executive and eventually a real estate developer. Along with a corporate partner, Mr. James' company built, owned, and operated eighteen hotels in California and Nevada. He became an Executive Vice President of Days Inns of America, CEO of Days of the West, and served on the Board of Directors of the California Hotel Association and the California Governor's California Tourism Corporation. Mr. James later returned to the world of real estate and developed several RE/MAX Real Estate territories in Northern California. The retail industry beckoned and Mr. James developed the world's largest chain of owner-operated kiosk retail stores. This involvement in the Specialty Retail Industry led Mr. James and his wife, Linda, into numerous product lines, ranging from his American Yoyo Company to the cosmetic world of Avon, Revlon, and Proactiv Solutions. Many other company product lines followed such as: Solar City, Hess Energy, ABCmouse, Harry & David, and others. Total revenues in just one of those ventures exceeded \$1.8 billion. Mr. James was selected as the first inductee into the Specialty Retail Hall of Fame. Currently, Mr. James who is attempting retirement, retains his position as the Executive Chairman of American Kiosk Management, LLC, which operates over a thousand retail kiosks in the US, Canada, Australia, and New Zealand. He is the Founder of Camp Soaring Eagle, a camp for chronically and terminally ill children, now having served over 7,000 campers. Mr. James, a 1964 graduate of the United States Air Force Academy, received the Academy's Distinguished Graduate Award in 2010.

JCLD: Thank you for your time to talk about your involvement with the Academy, the Journal of Character & Leadership Development (JCLD), and the Center for Character & Leadership Development (CCLD). Could you share a little bit about that involvement over the past few years?

James: In August 2007, Mark Hille, from the development office of the USAF Academy's Endowment Foundation, contacted me about making a major donation to the Academy. He didn't talk about an amount, but he very smartly asked, "If you were to make a major donation to the Academy, where would you want that money to go?" I told him that, in my view, the Academy had not invested enough in public relations funding to demonstrate to the general public, the graduate community, cadets and the Academy staff that character development was a major program at the Academy. The Academy had received bad press as a result of cheating scandals, sexual abuse reports, and other incidents that reflected poor character and morality among a few individuals in the cadet wing. Because of an increased emphasis on religious diversity, the chapel, which had been the primary place for morality instruction and training during the first decade of the Academy's existence, was no longer the beacon of good character that it had once been. New facilities were needed to house and emphasize character development programs, activities, and events.

I asked Mark the hypothetical question, "What is the most iconic building that you always see in photographs of the Academy?" Before he could respond, I said, "It's the chapel and its spires. It was under construction when I was there and opened in 1962. We were required to attend Sunday morning church service, stay awake and listen to morality teachings, and so forth. But today the cadets don't have to go to chapel. There is little or no morality teaching, and the only subject taught about ethics and character development is the honor code and classes in philosophy and ethics with a sprinkling of character issues presented in other academic classes."

I then explained that, based on the results, the honor code alone seemed not to be sufficient. Any honor scandal at the Academy makes the national headlines and many people will simply pounce on any character issue at the Academy and beat it to death. In my

opinion, the Academy isn't putting enough emphasis on teaching character *development*.

Then Mark asked, "Do you know Erv Rokke?"

I told him that I didn't, so Mark suggested that I come to the Academy, meet Erv and share my thoughts with him. I agreed to do so. I also told Mark that I wanted to know more about the Air Force Academy Endowment Foundation.

Mark said, "The Endowment Board includes some people I think you might know—Harry Pearce, Bart Holaday, and Bill Wecker. And there are other Founding Members of the Board who have had successful professional and military careers."

I said, "Mark, I'd be happy and honored just to sit at the table with those accomplished guys and learn something from them. So yes, I'd be willing to make a trip out to the Academy to find out more about the Endowment Foundation and to meet with Erv Rokke."

Eventually, I became one of the first twelve members of the Founding Board of Directors of the USAF Academy's Endowment Foundation. My interest in character development up to that point had all been words and no action. But now, my commitment to act needed to be a leadership gift to start the ball rolling. I was blessed to be able to make the first seven-figure donation that the Endowment had received. My first gift was a restricted gift to be used only for the construction of a building for character and leadership development.

Soon, I was introduced to Lieutenant General (retired) Erv Rokke, a former Dean of the Faculty at the Academy. When we met in his office, we talked about the need for expanded facilities for character and leadership development, and it didn't take long to realize that we were on the same page. He showed me a very attractive brochure that had been produced and

presented to the Board of Visitors at their last meeting. It contained the mission statement that he envisioned for the Center for Character and Leadership Development. It was both a strategic and implementation plan for character and leadership development, one that would conduct research and share that research with Cadets and the Academy staff, as well as the greater Air Force and beyond. Erv explained that John viewed the home for character and leadership development programs much like the Kennedy Center, with a serious national and international appeal.

When I looked it over, I was very impressed. Erv asked me what I thought about it. I suggested creating a new structure at the Academy, one that people could relate to and appreciate, especially the cadets of course. It would be an important and relevant place where cadets would talk and learn about character and leadership development, instead of having the programs and the CCLD staff stealthily buried in Vandenberg Hall dormitories.

Erv said, “Max, that’s very interesting. John Regni’s office is right next door.” (John, a Lieutenant General, was then the Superintendent of the Air Force Academy.) “He’s already initiated plans for such a building.” Erv stepped next door into the Superintendent’s office and asked John if he had time for a brief conversation. The Superintendent came into Erv’s office and after a brief introduction, he confirmed that plans were underway and that the civil engineers had already preliminarily designed a building that would be located between Arnold Hall and Vandenberg Hall.

I said, “If you have an artist rendering of the building, I’d love to see it.”

He went back to his office and brought out the rendering of the building. It was a rectangular box, constructed with steel, glass and aluminum that looked like all the other buildings in the cadet area. I thought it was one of the ugliest buildings I’d ever seen,

it certainly didn’t represent the building’s purpose and significance, and I thought it was located in a terrible site. Probably in a somewhat unprofessional military manner, I said something to that effect.

John put his head back and said, “Really?” I could tell that he didn’t appreciate what I had said after all the work that had been done so far. He shrugged and sharply asked, “So what would you do?” I told him that I thought the building needed to make a strong statement. I added that architectural firms all over the world would be enthusiastically interested in designing the first new major building in the cadet area at the United States Air Force Academy. There should be a solicitation for design, a worldwide architectural contest. The building should be an *iconic structure*, one that would architecturally rival, but not overshadow, the Chapel. This new building would demonstrate that the Air Force Academy had a major focus and commitment to the development of character for the cadets.

John Regni decided the idea of an architectural contest was a good one. But he ingeniously modified that idea and presented it to Skidmore, Owings, and Merrill, LLC (SOM), the architectural firm that designed and master-planned USAFA in 1954. Skidmore said that to insure that the design of a new building would complement the original plan for the Academy, the contest should be internal to SOM. The firm’s regional offices in Chicago, San Francisco, and New York City, were selected to produce competitive conceptual drawings for review by the Academy and presentation to a jury composed of members hand selected by the Superintendent.

A few weeks after the meetings with Mark Hille, Erv Rokke and John Regni, Gen Regni called me to ask if I would serve on the jury to choose the best design submitted from the architectural contest for the Center for Character and Leadership Development. I was truly honored to accept that role. Each juror was

given an advisory group to help choose the design. One of those on my advisory group was my classmate Terry Isaacson, who then chaired the Congressional Board of Visitor's Character and Leadership Subcommittee.

The design chosen was especially unique. It was selected for its iconic shape (a trapezoidal structure) which was unlike the other two competitive structures, one being a glass cube and the other a glass cylinder. The unique element was the glass trapezoid structure pointed directly to the North Star, better known as Polaris. Polaris appears to stand almost motionless in the sky, because its axis is virtually perfectly aligned with the earth's axis. All the other stars in the night sky seem to revolve around Polaris. Thus, it has been used for navigation by adventurers for centuries, often called the Compass in the Sky. For purposes of the CCLD building, it was presented as a symbol of a "moral compass" for character. When a cadet stands in front of the Honor Board, a panel of his cadet peers who have the responsibility of judging his honor violation, the North Star is visible up through the apex of the building. The symbolism is significant because one's moral compass must be consistent and ever present. Right is always right. The integrity of one's actions should never waver, just as the Earth and Polaris are never wavering in their relationship with each other. Character and one's actions should always be connected without variance.

There's a very important point to make when reflecting upon the need for the Academy's increased emphasis on character development. When my class entered in 1960, what the Academy and the Air Force expected and demanded of us was not far from the character culture that we came from. Who were our heroes? John Wayne, Chuck Yeager, Douglas MacArthur, Dwight Eisenhower, even Roy Rogers, Flash Gordon and Steve Canyon.

However, many of today's young adults have heroes who are sports and entertainment celebrities who make

as much or more than \$50 million a year but think it's acceptable to assault their fiancées in an elevator or watch animals fight for fun and profit. Some of these kids come from an environment where cheating is acceptable even encouraged. For others, ratting on a friend for lying, cheating, or stealing is not judged as wrong. The gap between the culture in today's society and the culture needed at the Academy to prepare cadets to become "Leaders of Character" in the Air Force is wider than it has ever been. Most recently, as I write this, there have been numerous suspensions of members of the lacrosse team for improper conduct by some toward their team members for "hazing."

I've heard graduates complain that the Academy has changed and that the old standards from when they were cadets have been compromised. In my opinion, the Academy has changed out of necessity. The Air Force and the military, in general, had to change what they were focusing on in terms of character development. Those entering the Academies today come from a society with very different norms of ethics and morality than when I entered as a cadet.

Today there is a much greater need to focus on character development. The new, and very much *iconic* building—The Center for Character and Leadership Development—has made a significant impact at the Academy, not only on the physical landscape, but also on the Academy's ability to accomplish its mission as stated today:

The mission of the United States Air Force Academy is to educate, train, and inspire men and women to become Leaders of Character, motivated to lead the United States Air Force in service to our nation.

I'm fortunate to have been able to make contributions to improving the Academy's emphasis on character development. I have also been fortunate to be able to

continue to donate to several other programmatic initiatives such as the Journal for Character and Leadership Integration (now titled the Journal of Character and Leadership Development), the Editor-in-Chief for this journal, and an individual “character researcher” position.

Every nickel of the millions that I’ve given to the Air Force Academy has been donated for the improvement of character development. So, I’m proud to say, *“I’ve put my money where my heart is.”*

JCLD: That’s quite the investment. Thank you for sharing that background and context. You have had a lot of experience both in the military and outside of the military, why is character important when we start thinking about developing leaders?

James: The old expression is “Character counts.” And it counts both ways. Bad character creates destruction and good character creates success. If you have someone in a leadership position that makes decisions without thinking of what is right or wrong, what is good or bad, you are going to end up damaging whatever it is that they are leading. They don’t just damage themselves. I truly believe in a moral compass. There are grey areas always, but right is right and wrong is wrong. My experience in the military, when bad decisions are made – be it falsehoods or outright lies, even trimming the truth – can lead to death especially in a war. You just really need to know that the character of the people you are working with, and working for in particular, is not going to get you killed because they are going to trim the truth. In the business world, you can destroy a company in a hurry and you can certainly destroy departments. It can all be destroyed by someone who says, “You know, if I cut this corner, I don’t think anyone will find out. I think we can take a shortcut here.” It will blow up in your face and the next thing you know, you have lost the war, the job, the project, or the money. If you are in

a philanthropic area you have damaged the people you are trying to help. It’s rare, in my opinion that you get away with character flaws in action for very long. And even if you do, there’s guilt spread all around the area

where you have committed the flaw. Guilt, then causes all kinds of personal problems even if you aren’t the one who created the initial effort. If you were guilty by not saying something, then you are going to hurt. I don’t know how you can get away with becoming a good leader without having a solid base of good character.

JCLD: We seem to see a lot of leader failure now. Some of that is due to social media as we have access to videos of people doing things, both good and bad. Do you think it has gotten worse over time or has it always been there and we are better at recognizing it now?

James: I actually think it has gotten better. I’m not sure how far you want to go back. If you look at war, the reason we fought some wars was because of bad characters in leadership positions in the enemy organizations. There is also the bad character of our history inside this country...discrimination, lack of civil rights, prohibition, etc. One of my favorite authors is Zane Grey. He writes about how cowboys killed each other and rustlers. That was kind of the norm. So, for lots of reasons, I think that certainly for this country, the display and action of character has improved dramatically. I think it has improved at our Air Force Academy. We found ways to improve character within the cadet ranks as well as in the other professionals there...academic, athletic and so forth. We have found ways to harness bad character and eliminate it in many cases which is a positive result for the cadets. So, I would say, character in the United States has gotten better over the decades. However, there are notable and very public (because of social media) examples of bad character, whether it is in the entertainment

industry, the political environment, the business world or the military, but I think there is less bad character than there used to be.

JCLD: You brought up the Air Force Academy. How would you describe the value of the Air Force Academy?

James: First of all, I think there are a lot of advantages that the military academies, and the prep schools, contribute to our nation. Let me share a story. When I was selected, as an alternate by the way, to attend the Academy, there were three things that made me choose to accept the appointment. Number one was the honor. No one from my little home town of Humboldt, Tennessee had ever gone to a military academy. To be chosen to go to a brand new military academy with all of the spires and all of that, was a tremendous honor. Number two, it was an education. It was clear that the other military academies produced tremendous academic programs for their students and the presumption was that the same thing would occur and I would get a great education by going to the United States Air Force Academy. Thirdly, the reason for going was that flying jets sounded pretty cool and I could become a jet pilot like Steve Canyon in the comic strips. Those were my reasons, in that priority. In truth, they are totally upside down. If you are going to a military service academy, you should first want a military career to serve your country. Lots of schools have good academic programs and for lots of schools, it is an honor to go there. So, that's the first reason one should have for going to a military service academy. Secondly, it's because you get a great education. It's proven. Look at the stats every year when university rankings are published, they are always near the top in all the categories. That's the second reason you should choose to go. The third reason you should choose is that it is an honor to be selected to prepare you to serve

your country. You get a free education and in fact, they pay you.

Now, what convinced me was there was an article in *Life Magazine* when I was a senior in high school. There was a cover story about the United States Air Force Academy. There were all these pictures of airplanes, of the spires on the chapel, and it was modern and in the mountains. It just looked fantastic. But the one picture that really convinced me was the social center – Arnold Hall. They had a spiral staircase. They had these cadets in these stunning dress uniforms and sabers and beautiful women standing by their sides. I said, “I need some of that.” So, I went for all the wrong reasons to the Air Force Academy. But why is it important? There isn't an educational institution in the United States comparable to the military service academies that gives you the opportunity to experience growth, character growth, and an honor code. Where you can trust those around you to be truthful, and loyal and a chance to be a leader. You don't have to be the best at the Academy to get leadership experience. You can be an Element Leader, Squadron Exec, on an intercollegiate team, or an intramural team. It was a chance to experience growth in a controlled environment where character was critically important and you could trust that those around you wouldn't be taking advantage of this little farm boy coming out of Humboldt, Tennessee. There's a reason to take some of America's best, attract them into a military environment where they learn through experience as well as teachings and a professional education.

JCLD: With that in mind, how did your time at the Academy influence your trajectory over your life? What did you take away from that experience that has endured over time?

James: We have an expression that I have used in my companies that is, “Hire for Character...Train for Skills.” The predominant reason for hiring one qualified person over another is, what do you think about their character? If they are a little short on the skill levels, we ought to be able to teach them and they can learn through experience. But, character counts. We hire for character. People we could trust to do the things that we would ask them to do. The most successful business that we developed had remote locations without significant oversight. They weren’t on the manufacturing floor. They weren’t in an office building. They were out by themselves, a staff of three. There was one manager and two part-time people. We needed to be able to trust that manager. So, we hired for character and then we could train them to operate their particular retail unit. That was also true in the hotel business that I was in. There are 10,000 ways to take money out of the cash register. You need to be able to trust your people. Hire for character...train for skills. The Academy taught me that character, in people you had to depend upon whether it was a superior or subordinate, character counted, and you needed to know that it was going to work because they had solid character. I took that into the business world with me. If I couldn’t trust them, I didn’t want to work for them and I didn’t want them working for me.

JCLD: Is that a common approach in the business world?

James: No.

JCLD: At the Academy, our mission is to develop leaders of character. In order to do that, we have things like the Air Force Core Values. What were your experiences like regarding character in the business world? Was that a novel approach in the environment you were in or was it pretty common?

James: Both, actually. Which probably isn’t a surprise. Fortunately, most were good character environments, but some were not. In corporate America, you can find the same percentages that I found in my business world. There are large corporations that are hugely successful where the CEO goes to jail. It is destructive to employees, shareholders, all stakeholders. The guy may have gotten away with it for a time, but the whole thing implodes and hurts everyone. There are also companies out there where character is at the top of the list. You can think of companies where leadership at the top sets the tone and if you violate character or morality, you are not going to last and they will let you go. I had partners once, that I didn’t choose, in a multi-million dollar enterprise who pulled a policy from what had been promised. It resulted in damage to people that worked for me. They did it without my consent. I confronted them about it and we couldn’t settle it. They said it had to be done, so we agreed to disagree and I left. All of those partners, and their executive team but one, went to jail. There is an example of where your commitment to doing it right requires you to follow through and it can cost you personally. You hope eventually, that bad character will be punished. But it isn’t always. To answer your question, I see both in the world of business. Because of social media, a lot more of the bad is being exposed and appropriately punished or eliminated from their negative influence on the people they are responsible for.

JCLD: To that point, you see a lot of larger organizations having a focus on character through leadership centers or leader development activities as part of the organization. It seems like they are starting to recognize their role in character.

James: In fact, there is a whole industry that is going to continue to grow of consultants who do just

that. They go in to large organizations and examine areas that need to be improved upon in terms maybe of accountability, to remove the temptations or to discover violations. A classmate of mine from the Graduate School of Business at Stanford, when he graduated went right into that...corporate responsibility. He has continued that since 1971. So, for however many years that is, that is all that he has done. He works for large corporations and a lot of municipalities to help them make sure that corporate responsibility is something that everyone understands and understands why and he teaches that character aspect. Then he helps them put that into policies and guidelines to help people easily, without temptation or the threat of punitive action against them, do what is right.

JCLD: It sounds like the Academy had a very real effect on you and you have certainly made significant investments of time and money over the years. What is it about the Academy that resonates with you today in terms of your continued support and involvement?

James: One of the things that the Academy has been changing successfully is the appreciation of what you have experienced and learned at the Academy. For a lot of us, the bond that kept us going at the Academy was ego. We were too proud to quit. We didn't want to go home and face friends and neighbors and know that they would say to you, "He couldn't make it." So, it was ego, I'm going to tell you. Secondly, another old trite expression was that it was "the common bond of misery." We are all in this together. We will stick it out, support each other, and somehow we will make it through. I enjoyed the Academy, but that doesn't mean you like everything that you had to put up with. I had some bad experiences there which I have written about before. I was one of the guys, that when I got out, I didn't care anything about coming back here right away. I was

tired of that way of life. I loved the freedom of going to bed when I want and getting up when I wanted. That said, I loved the military. I loved what I did, I loved the flying, and the mission I had in Vietnam. Somewhere, along the way, most of us begin to look back and appreciate what that Academy experience really did for us. Whether it was self-discipline...I have to make this bed every morning...I have to shine these shoes or whether it was the benefit of following good rules and being a team member. That had been imbued in us and stuck with us, and we started to realize, something like this happened to us at the Academy.

The most important lesson that I learned at the Academy was that you can delegate authority, but you cannot delegate responsibility. It happened to me as a senior at the Academy. A third classman, gave some physical punishments, unauthorized and unattended, to a fourth classman. I was the third classman's superior cadet officer. I was the Squadron Commander. The result of that action of the sophomore against the freshman, resulted in my being removed from command. They took away my sabre, gave me a rifle, made me march in the back of my squadron, and moved me out of my squadron area into an isolated area. These punishments resulted because of an action taken by a sophomore against a freshman while I was in my room shaving.

There was a Lieutenant Colonel who said to me, "Max let me tell you a story. I was a Squadron Commander in the China/Burma/India Theater. We were short of supplies as well as fuel and pilots and we were suffering significant casualties. They sent me two wet behind the ears Lieutenants from pilot school. They were good and they did really well on our combat missions. We came back one day and they didn't land right away. They stayed up and practiced aerial combat. When they got

on the ground, I chewed them up one side and down the other. We can't stand this. We have maintenance problems, aircraft problems, and you can't spend those valuable assets. They said okay. We went on some more missions and they were fine. Then a bit later, we came back from a mission, and they did it again. Unfortunately, they ran into each other in a midair collision, killed them both and we lost two airplanes. I was the Squadron Commander. I was relieved of command, sent back to the Pentagon, and that's why I have this Lieutenant Colonel's leaf on my shoulder instead of something of a higher responsibility. Max, you can delegate authority, but the responsibility for anything that goes on in your command or your business environment is your responsibility."

Everything that I have ever done, I have recognized and tried to teach, and share with others, that you are responsible for those people that work for you. That has been a key I think, to the success that we have had. So, what I have taken away from the Academy, lessons like that that were critical and that you needed the people below you to believe you and trust you, and that you would back them unless they violated character. In which case, it wasn't going to work...the team wasn't going to function that way.

JCLD: It sounds like some of those lessons that you learned, you didn't recognize them as you were going through them.

James: Not true of that one! I cried. I lost my command. My ex-roommate announced from the tower "Cadet Colonel Max F. James, is hereby reduced to the rank of Cadet First Class." That was announced to the entire Wing. Then the Squadron, that I think appreciated my leadership, suddenly lost their leader and someone else had to take over. I hated it. But, it has proven to be an extremely important principle.

JCLD: At what point did you realize that lesson? Did it take some time to think through that? Clearly that example had an immediate impact, but when did you learn the lesson from that?

James: I believed that Lieutenant Colonel, who was the Group AOC. I got it right then. It made what I had to go through following that a lot easier. This was a principle that, in the military at least, I was going to stick by. If something happens in your command, you are going to be responsible. You are going to pay for it. You don't just get away with it. So, you better watch out, lead, and be involved in everything that is going on as much as you can. Another business motivational leader has written that you need to walk the factory floor. You can't just sit in the second floor windowed office and watch. You have to get down and be fully observant. There is another example. It resonated. Did I think it would be a major part of my leadership philosophy later on? Probably not until I ran into it somewhere along the way in the military. But it happens more often than you want to admit. Things don't always go right within your organization and you have to step up and say, my bad. I didn't know. In business, I have seen a mistake of six million dollars because something happened in my organization. It wasn't because of a lie or because it was illegal, but it was a mistake. A six million dollar mistake. I said to the people that made the mistake, my fault. I should have asked more questions and been more involved. The point is, you are responsible. What did President Truman say? The buck stops here. And it does. So, yes, I learned it in more ways than one.

JCLD: At the Academy, we talk about it being a leadership laboratory and we talk about it being an opportunity for people to try things and make mistakes. What do you think the role of allowing people to try and fail fits into the idea of developing future officers?

James: I think that the changes made at the Academy in character development have been positive from when I was there. Somebody asked me once in an interview, what was the most courageous thing I have ever seen at the Academy? I assumed they were probably asking me about physical courage. Someone saved someone from falling off a building or something similar. My response was a bit different than what they were probably looking for. There was a classmate who was engaged. He and his fiancé had plans to be married after graduation. Prior to his graduation, she became pregnant. So, at the time, the Honor Code was used, far more than it is now, to enforce regulations. The Academy would ask you if you violated a rule or if you stayed out too late and you were honor bound to tell them the truth. However, there was a thing called tact. You remember tact? For example, if you were in a receiving line and the senior officer and his wife are there and she has on a hat, and the officer says, “Don’t you think my wife’s hat is lovely?” Unfortunately, it could be the ugliest hat you have ever seen in your life. You say, “Yes sir. I think it is nice.” Which is a lie. It is called tact.

We had a thing called the non-marriage certificate. Before you could graduate, you had to sign a certificate that said you were not married. So, this classmate of mine could not do both; get married to his fiancé and graduate. He wanted to marry her as soon as they discovered that she was pregnant. He could have gone ahead with the marriage and graduated and lied on the marriage certificate. They could have gotten married and he could have said they weren’t married. He chose to resign in order to give his wife and child legitimacy and not sign this little piece of paper and lied by saying he wasn’t married. He wanted to fly so badly. He was a warrior to be. He had busted his hump to pass all of the academics. He had fought his way through the Academy and made it this far. He gave it up for his

honor. That was the most courageous thing I saw in my time at the Academy. They got married, and it is 50 some years later and they are still married. After resigning from the Academy, he went to ROTC and became a navigator. He lost his eyesight qualification and couldn’t be a pilot. He served his country proudly. And he is proud of the time he spend at the Academy. But that is the most courageous thing I saw at the Academy. Today, I don’t think he would have been tossed out. I think he would have gone in and said, “Here is the situation and what I chose to do. If you want me to serve an extra 6 months or year or something, fine but what can we do?” I believe that today someone would have at least listened with heart, instead of saying that rules are rules and we don’t want to talk to you. You must be out of here tomorrow because you had 24 hours to pack your bags and leave.

Brigadier General Wakin, who was at the Academy for 50 years, has seen all that has gone on in culture and how it has affected cadets of today versus cadets of my time. The additional temptations and problems that they have to deal with that we didn’t. The culture I came from was honorable, and a good old Southern environment. A rough dad who was disciplined and had a strong sense of right and wrong. So the gap between where I was morally, culturally, and character-wise and what the Air Force needed me to be, via the Academy’s honor system, that gap was not that great. The Academy did a good job of closing the gap. I got it. The culture that today’s applicants are coming out of, with things like social media and changes in morality, that gap from where these future cadets come from and the standard that the Academy needs is huge.

I recognized the gap 10 years ago and wanted to do something about how we could effectively close that gap. How can you close that gap in 4 years? So, I wanted to research the development of adolescent

character and see if we could come up with things to close that gap. Now it's not huge for everyone, don't get me wrong, but for the culture in general, it is. Now you can think of examples of heroes that people worship that don't have good character. Professional athletics comes to mind, but it's true in the business world as well. Look at the Madoff's of the world where lack of character has hurt so many people. So, the one thing that stands out in that change is second chances at the Academy. Depending upon how egregious the violation of honor is. That's what the honor process is all about. It gets investigated and then a decision is made. Are there grey areas to developing character? Yes. Are there grey areas to developing honor? Maybe not. Maybe right is right. That's why the CCLD building is called Polaris. That's why it points to the North Star. It's a moral compass. Right is right and wrong is wrong. But in the development of character, you are going to make some mistakes. That is what Brig Gen Wakin was saying. If you really want to develop character, the only way you are going to do so is to let them experience character temptations that you can't teach on a white board. You have to teach it through experience. I disagree with Gen Wakin to this extent. I think you can do both. But I do think that experiencing and living in an honorable environment, where character is key, where you learn to trust up and down and you learn that doing the right thing is much less painful than doing the wrong thing. If you do the wrong thing, you are going to carry around guilt. But the bottom line is that, if they have had a great education and a chance to experience what is right and what is wrong, they are going to be better off leading than if they never had that chance or experience. So, do I think we are doing a better job? Yes, I do.

A great challenge today is toleration and people tolerating those honor violations among their comrades. It's a tough one because there is an innate conflict with

teamwork or loyalty in a sport, e.g., where you see someone violate their honor, and you have to decide whether you are going to report it or keep it so that the team will continue being successful or winning. That's a tough one and not just one that occurs at the Academy. What do you do with the person that tolerates that behavior? We need to understand that if we believe we can teach aspects like honor and character, then that should have an impact on how we deal with violations. If we want to let them experience growth, then we need to have the space for them to do so. If that is a valid effort to teach character, then we ought to be the best in the world of doing that. We have a crucible in which testing on how to achieve that can be accomplished in the best way. We need to do more research on how you teach and how you develop adolescent character. That's my opinion.

JCLD: Could you talk a little bit more about that research, what that might look like and what role that CCLD has in facilitating that research.

James: To answer that question, I have to reflect back a little bit on how I got to the point that I did in supporting CCLD. When I was asked if I wanted to donate back to the Academy and, if so, what I would be interested in donating to, I explained that my interest would be in continuing to develop a stronger base of honor and making the code work better so that we didn't end up with the Academy's reputation being tarnished by the scandalous behavior of a few cadets. That has an impact on the pool from which we draw men and women of great potential as it gets smaller if the reputation is not as good. I wanted to see if we could fix that. So, I said to the people that approached me that I wanted to help the Center. To help them and support them in some way to eliminate scandalous, dishonest behavior in the Wing. So as I said earlier, I went back and spoke to the person that was writing

the mission statement for the Center for Character & Leadership Development, Gen (ret) Erv Rokke. He had returned to the Academy to work for the Superintendent (Gen Regni). Gen Rokke had written a great pamphlet explaining the mission that they were looking for and I bought into it immediately. He said we are going to have a separate facility because we can't keep promoting this program with offices scattered within the dorms. We don't have a central place. I told him you needed an iconic structure, which was the first time that term was used. Not to reiterate what I already said about my investments, but if developing leaders of character is that central to the Academy, then I truly felt that you need to say it in a building. So, I said I was in. As a result, I was able to make a 7 figure commitment to the facility. A restricted donation to help build that building. After looking at several options, we settled on the current design. After nine long arduous years, we got it built. It was the first jointly funded project between the military and the civilian world. We had a monetary goal for donations, and we far exceed that. Why do you think that was? It's because the Long Blue Line, and others outside of the graduate community believed that we could do it and that character was important enough. To do what? To continue to build a strong core of Air Force officers that had experienced character development. That they are taught that character development is important. It was a tremendous journey. A tough one to fight. But we did it. I believe it is serving its purpose and it continues to have an even more important impact as we continue to do research and testing of theories around adolescent character development. We implement what we learn and then spread it to other organizations and universities.

JCLD: Along those lines, what message do you hope that carries to those outside of the Academy?

James: When they look at the Academy, I want them to say, "Wow, this must be important." They have a Center (and building) focused solely on character and its development. A place where they welcome others to come and learn and collaborate on character and leadership development. Why is this building important? It is visual recognition of what we are doing...emphasizing character. To show that cadets are moral men and women who have an honor code. So important, that they built a special building to highlight that commitment.

JCLD: It's interesting that not only does it have the internal message to cadets and the external message to other organizations and universities that we value character and leadership, but it is also a reminder to the Permanent Party personnel at the Academy about our mission, our charge, and what is important to us.

James: Absolutely. Sometimes you live in an environment for so long that you just passively accept what is going on around you. That can happen with this building if we don't have events there that draw attention to its purpose. As an example, the athletic directors of other universities had a major conference there to find out what we are doing to uphold high standards of character in our athletic teams and take what we share with them back to their universities. Those kind of events are critical. Otherwise, it is just an iconic building at the Air Force Academy. People can come here to learn about character and they can take it back to their units in the Air Force, their universities, etc. That is a worthwhile expenditure of effort, time, and money. Obviously, a lot of people agree with that as they are donating their time, effort, and money to character development. Do I feel good that we got it done? Absolutely. Do I hope that we see more and more demonstrable success coming out of the results of having done this? Absolutely.

JCLD: Along those lines and doing a little visoneering toward the future, what would success look like to you 10 years from now?

James: It's not just the building, but this Journal as well. There are journals for industries and professions that are absolutely accepted as the best for that industry. I would hope that this building and the support that we have gotten so far, that it will produce results that will be written up in our Journal and that there will be additional researchers that will come to CCLD for a sabbatical or a specified time, that will contribute and collaborate. That we can continue to find ways to improve character development in adolescents. That we will be recognized as the keystone of that research, development and application. There just aren't that many places where you have a group in a controlled environment where you can see the impact of different programs and practices. Ten years from now, when a discussion of character, or adolescent character, comes up they will say, "What is the Air Force Academy doing about this?" or "What does their research say about this?" It would be the natural reaction

that when you talk about character development in adolescents, to think about CCLD and USAFA. People would say, "Did you read this new article from the Academy?" That's my vision. That we are making a major contribution to character development for the Air Force and the world. That the Air Force Academy Center for Character and Leadership Development will have researched adolescent character development, applied it to test it, discovered what worked, and implemented it throughout the Wing, and then spread the beneficial results to the Air Force, other universities, and the world. That was also my vision 10 years ago and it hasn't changed.

JCLD: Thank you for that vision, your investment, and your time.

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LEADERSHIP

Leading With and for Character: The Implications of Character Education Practices for Military Leadership

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Schools, businesses, and governmental and non-governmental organizations have been increasingly concerned with developing individuals in their charge in ways that promote positive, holistic, and meaningful change in all facets of their lives, including character strengths. Character development is a relational and context-specific phenomenon; it is also a phenomenon that builds on philosophical principles of right and wrong. That is, character involves mutually beneficial relations between a person and the specific requirements for “doing the right thing” at a specific time and in a specific place (Callina & Lerner, 2017). As such, researchers and practitioners must leverage the diverse relationships in the lives of individuals to ensure the development of character.

One key relationship involves the exchanges between the leader in an organization and the teams and/or subordinates he or she might lead. This relationship is critical because the character attributes of a leader might be reflected in the character attributes of subordinates and the quality of an organization might be shaped by the character strengths and character-supportive practices of the leader (Crandall, 2007). Therefore, it is important to focus on both the character of the leaders themselves and the knowledge and pedagogical/leadership competencies and proclivities of these leaders, because both may impact the character development of the members of the organization or group and the nature of the organization or group itself.

Character development strategies to develop leaders and organizations of character can be improved by reviewing best practices for character education, and by applying these practices to institutions such as schools, corporations, and the military. The military, in particular, emphasizes character as critical to the alignment of performance and professional values (Crandall, 2007). Although the military emphasizes the importance of positive character in its branch doctrines, and supports character development strategies, such as mentoring, instruction, and developmental and leadership opportunities (Woodruff, 2007), it could

benefit from the successes of contemporary knowledge of effective character education. This article outlines the importance of character education and, in particular, of educating and developing leaders of character. As well, we present examples of, and suggestions for, the military as it further integrates character into its overall strategy for mission success and the enhancement of the profession of arms.

Character Education

Ultimately, character education is about educating for character. In other words, it is leveraging education

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to foster the development of character in students, and other stakeholders, in the educational context. This statement begs the question of what is character?

What Is Character?

Character is a concept that is used and explicitly defined in quite varied ways. The concept actually originates with the Greek term for the imprint or “mark” on a coin, but eventually came to mean that which marks the nature of something. Hence, it is possible to talk about a person’s character as the attributes of an individual that define the nature of the specific, unique person. Character can be good, bad or neutral, and so one version of character refers to one’s nature (personality). However, character is also often used to mean the positive side of one’s character; as in, “she’s a true person of character.” In this case, people typically mean a specific aspect of one’s character, that is one’s moral character.

Shields (2011) defined four aspects of character: moral, performance, intellectual, and civic. Following previous scholars (Lickona & Davidson, 2005; Nucci, 2017; Turiel, 1983), moral character refers to that part of one’s character that impacts the welfare and rights of others (or, for some, self and others) and is universal. Lickona and Davidson highlight further the relational aspect of moral character, as it often is about how people treat and relate to others. Aspects of moral character include compassion for others, integrity, and honesty. Performance character, again following Lickona and Davidson, is about that part of character that has to do with excellence. It is about the characteristics that impact how well people do whatever they attempt to do. These characteristics include grit, perseverance, fortitude, and an ethic of craftsmanship, for example. Intellectual character (e.g., Baehr, 2013) is about the aspects of character that have to do with the pursuit of truth and knowledge. This type of character includes such constructs as intellectual courage and open-mindedness. Civic character includes those virtues

that support effective participation in the public sphere (Althof & Berkowitz, 2006). Civic character includes tolerance and a sense of social responsibility. It is important to note that there is some overlap between these four categories of character, at least to the extent that there are moral and performance aspects of both civic and intellectual character, whereas moral and performance character tend to be separate and complementary with each other.

It is beyond the scope of this article to differentiate the nature of leadership in regard to character development in each of these four domains. Instead, we will focus on strategies of leadership that more generically pertain to character broadly defined. However, our bias will be toward the moral end of the character spectrum. When the second author worked at the U.S. Air Force Academy (USAFA), there was a repeated discussion that the cadets at USAFA may someday have command and/or control of weapons of mass destruction. The discussion was further elaborated to avow that the nation cannot afford to have officers with such power who did not also have a moral compass. Character development for leaders is a matter of life and death, particularly when one is dealing with the profession of arms.

A remaining issue is the unity and stability of character strengths. We argue that the nature and development of character is complex and dynamic, and that it resides within the mutually-influential relations (or coactions) between an individual and the system in which the individual exists (i.e., a web of social relationships, existence within diverse overlapping social systems, etc.). Lerner (2018) offers a relational developmental systems framework that explicates the person-within-system dynamic of character development and Berkowitz (2014) suggests a “quantum” nature of character both as relatively stable within person and simultaneously part of a relational developmental system.

What Is Character Education?

It is important to summarize the fundamental principles of effective character education before we delve into the place of leadership in character education and specifically leadership within a military context. One of the Federal Commission on School Safety's key recommendations is to focus on prevention, that is, to prevent threats to safety in schools, such as violence, through the implementation of evidence-based, effective character education (U.S. Department of Education et al., 2018). Given the history in the U.S. of violence within colleges and universities (e.g., shootings and mass murders at University of Texas-Austin and Virginia Tech, as well as crimes involving sexual assault or rape on campuses across the nation), a focus on character education is relevant to higher education as well. To implement this recommendation about character education the Commission pointed to the use of the PRIMED model of effective character

3. Intrinsic Motivation/Internalization: implementation strategies should lead to the internalization of targeted values/virtues and to the growth of intrinsic motivation for key values/virtues.
4. Modeling: leaders, at all levels including classroom teachers, must model the character they want to see in others.
5. Empowerment: the basic human need for autonomy, voice and empowerment (Deci & Ryan, 1985) must be strategically and intentionally met, that is, power and voice must be shared and respected.
6. Developmental Pedagogy: the long-term and indelible formation of character must be the goal, rather than short-term compliance. There should be a developmental perspective.

The goal of what happens in officer formation (or any leadership formation, for that matter) is the long-term development of character, for when it matters most, that is, when a person is functioning in a leadership role.

education (Berkowitz, Bier, & McCauley, 2017). PRIMED identifies six fundamental evidence-based principles of effective character education:

1. Prioritization: fostering the development of character must be a (if not *the*) authentic institutional priority.
2. Relationships: the development of healthy relationships among all stakeholders must be strategically and intentionally targeted.

When the second author was at USAFA, the outcome goals of character development were often articulated in the form "Cadets who..." This statement should be expanded to include officers in the operational Air Force, as well as cadets.

This revision is vital because the goal of what happens in officer formation (or any leadership formation, for that matter) is the long-term development of character, for when it matters most, that is, when a person is functioning in a leadership role.

In short, character education is pedagogy that effectively fosters the long-term development of internalized character by making it an authentic organizational priority, modeling it, nurturing the relationships upon which it depends, and empowering others to be co-authors and co-owners of the journey.

When this effort is made in a way that produces people who have moral, performance, civic and intellectual character, it is effective character education.

Making the Case: Why Pursue Character Education?

This question can be answered both conceptually and empirically. On a conceptual level, it can be argued that no society can sustain itself if it does not nurture the development of character in each subsequent generation. Character education, at the broadest level, then, is an eternal human obligation and necessity. Doing it effectively means understanding the what and how of character development. This development can be understood from each of the four aspects of character. For example, for economic prosperity, at the least institutions and their leaders need to nurture intellectual and performance character for creativity and a work ethic. For societal health and progress, moral and civic character, etc., must be nurtured.

On an empirical level, there is now an impressive body of research showing the broad impact of quality, evidence-based character education (and its related fields, such as social-emotional learning and virtue education) on a wide range of desirable outcomes, including the development of character/virtues/values (e.g., Berkowitz & Bier, 2007), academic success (Benninga, et al., 2003; Durlak et al., 2011), positive contributions to and engagement with community institutions (Lerner, Bowers, & Geldhof, 2015). Although there is relatively little longitudinal research, the longitudinal research that does exist substantiates the long-term impact of character education (Sklad, Diekstra, Ritter, Ben, & Gravesteyn 2012; Taylor et al., 2017), even when the character education was only delivered at the elementary school level; Seattle Social Development Project; Hawkins et al., 1992). In other words, character education has broad positive developmental, behavioral, and academic impacts and, when studied longitudinally,

these outcomes tend to be maintained, even into early adulthood.

Leading for Character

Leadership is a highly studied and discussed phenomenon, across many sectors such as the military, business, and education. This focus exists because of the influence and importance of leadership within organizations. The leader of an organization has disproportionately more influence on the organization, and hence its members than any other aspect of the organization. We can then posit that the leader of an organization concerned with the development of character of its members, needs to look closely at the role of leadership in character formation (Berkowitz, 2011; Berkowitz, Pelster, & Johnston, 2012). Developmental research specifically on the role of leadership in character development is relatively sparse (e.g., Callina, et al., 2017), but what research exists supports this contention (e.g., Marshall, Caldwell, & Foster, 2011).

Recent research (Navarro, Johnston, Frugo, & McCauley, 2016) has identified a set of attributes of school leaders who are effective at leading schools for character development. The attributes cluster under the label “The Connected Leader,” and they include vulnerability (operationalized as humility, authenticity and openness), transformational leadership (Bass, 1996; with features such as charisma, creative challenge, and ethical role modeling), and a professional growth orientation (operationalized as human capital learning capacity building, empowerment, and a focus on creation of a positive adult culture). An additional framework of value in exploring leadership for character development is servant leadership (Greenleaf, 1991; van Dierendonck & Patterson, 2015), because of its focus on the development of those people one is leading, including ethics and social justice. Along this line of research, Bier and Berkowitz (2017) identified eight virtues of the servant leader: foresight/future-mindedness,

noble purpose, courage/authenticity, interpersonal acceptance (which includes care and forgiveness), stewardship for the greater good, empowerment (and a focus on the development of others), gratitude, and humility.

However, the literature remains sparse at this writing, and more research is needed to better understand the nature of leadership for character development. Nevertheless, from the extant educational literature, several attributes have been identified as important: an orientation of service to those being led, a focus on the positive moral development of those being led in particular, and a specific set of personal characteristics of the leader, including humility, authenticity, openness, challenge, empowerment, and charisma.

PRIMED can be used to frame these ideas about leading for character development. For character development to be an authentic Priority in any organization, leaders must hold it as a (ideally *the*) priority of the organization. Then they must act accordingly; that is, to maximize the emphasis on character development, such as through the allocation of resources. In addition, leaders must embody the character they want to see in others. In other words, leaders must Model it. Central to being this kind of leader is the authentic valuing of Relationships. Note that the Navarro and colleagues' (2016) model is called the Connected Leader, focusing on interpersonal relationships, which most contemporary leadership models do. Also central to many of the models identified is the Empowerment of those being led. This focus is part of Servant Leadership and the professional growth orientation to leadership in the Connected Leader. Finally, the core of both Servant Leadership and the Connected Leader is an authentic valuing of the development of those being led, which is the purpose of a Developmental Pedagogy.

Character, Leadership and the Military

Framed by an interest in fusing positive leadership

and leading for character, we examine an organization that has set the authentic Priority of educating for character merged with a mission to develop strong and effective leaders: the military. The various branches of the military emphasize developing the character of their personnel to ensure that there is group and organizational trust, support, and general alignment of performance and professional military ethics among units to best "complete the mission." For example, the various service academies explicitly list that they wish to "develop leaders of character" (e.g., U.S. Military Academy, 2015), that "character is the defining element of success for a leader in combat" (Chadwick, 2017), and that they must create "an environment where cadets and faculty alike 'Own, Engage, and Practice' the habits...in line with an identity of a leader of character" (U.S. Air Force Academy, 2018).

For the reasons presented earlier, the military focuses particularly on educating its leadership for character because of the special connection leadership has to influencing the organization both vertically and horizontally, and the heightened priority of moral character when dealing with issues of lethality and security. The various branches and their academies converge on the idea that character is developed through relationship-building and mentoring (formal and informal), direct instruction, developmental experiences, and leadership opportunities across military, physical, and intellectual domains. For example, each of the four major academies has some sort of character and leadership assessment or programming, and the branches have integrated centers that support alignment of professional values and character development through training, education, and operations (e.g., the Center for the Army Professional Ethic).

The United States Military Academy (USMA) has the West Point Leadership Development Strategy (WPLDS) to "educate, train, and inspire the Corps of Cadets....[and] to develop not only creative and

adaptive leaders, but also leaders of character who will make the moral-ethical decisions based on their internalization of the Army Values” (U.S. Military Academy, 2018). By aligning leadership, character, and professional values through the WPLDS, USMA not only shows a Priority of character education, but also the goal of Intrinsic Motivation, and an orientation toward a Developmental Pedagogy. Alignment of professional values with aspects of leadership provides a connection between character and professional success. Therefore, this integration should eventually be internalized as character becomes more apparent in a service member’s context (including shared norms defining the identity of an exemplary service member as character rich) and reinforced in his or her own behavior. Emphasis on education, training, exposure to role models of character, and development provides a framework for creating a systematic progression of character programming that provides flexibility for individual needs and strengths, and results in the general ability to lead with professional ethics and character.

This developmental pedagogy is emphasized in the WPLDS efforts (echoed in many ways by the other service academies), as well as the Character Development Strategy at USMA, whereby USMA coordinates military, academic, and mentorship opportunities that theoretically promote character and leadership in developmentally appropriate, yet challenging, ways. Such experiences include summer military detail, leadership and character coursework, and coach-athlete relationships through mandatory sport participation. These opportunities allow for Relationships, Modeling, and Empowerment, as well as the relational core of Connected Leaders and Servant Leadership, to come to the fore, at least to the degree that these role models embody the advocated character and leadership attributes and authentically are committed to the development of character and leadership by those being coached, mentored, etc.

By building relationships with other cadets and active military that serve as instructors and other professional guides at USMA, cadets are given the chance to model character and exemplary leadership, and to engage with humility in the process. In addition, cadets are empowered to be leaders of character in ways that are unique to a cadet’s experience and specific situational demands. Such relational and autonomous aspects of the character and leadership development system at USMA also lend themselves to further Intrinsic Motivation and internalization of character. Internalization is most likely to occur when cadets develop a healthy emotional bond to both the group and the leaders of the group, and the group and leaders embody the character being espoused and targeted.

Although the framework for developing leaders of character at USMA theoretically *should* work does not mean that it *does* work. Such conclusions require rigorous empirical, developmental evidence. Of course, it is relatively easy to implement a program. However, it is much more difficult to assess a program’s actual effectiveness. Nevertheless, despite the methodological challenges involved in effective program evaluation (e.g., Card, 2017), the difficulty of a challenge does not eliminate the necessity of acting to address the challenge or the need to undertake assessments and evaluations that will show a commitment to demonstrating excellence in programming and a commitment to being accountable for resources.

In this regard, WPLDS not only created a framework by which USMA develops effective leaders of character, but it also tracks the evolution of the institution-wide commitment to infuse cadet life with character. This tracking was led by their most recent former superintendent, LTG Robert Caslen (retired). LTG Caslen “sensed a disconnect” (Matthews, Ryan, & Lerner. Manuscript submitted for publication) between the mission of USMA and the Army, and what was actually implemented to develop leaders of character. He ordered that there be a systematic

integration of character into all levels of cadet training, resulting in the comprehensive WPLDS strategy outlined above, and he required tracking and iterative processes to improve character development at USMA (Matthews, Ryan, & Lerner. Manuscript submitted for publication).

Given what is still emerging to fuse character and leadership in the military, it may be useful to provide some recommendations for continuing the process of creating and sustaining effective character leadership programs.

In addition to this ongoing effort, USMA has partnered with Tufts University to address the effectiveness of developing character through their programming by way of an innovative study, *Project Arete* (Callina et al., 2017; 2018). Launched in 2015, Project Arete is a longitudinal, five-year cohort sequential, mixed-method investigation of the development of character virtues among USMA cadets. The goal of the project is to assess the bases, features, and implications of the development of character attributes specifically relevant for thriving at USMA and in the larger US Army. For instance, the project has examined the factor structure of a set of 15 character attributes of specific relevance to the West Point context. Bravery, Empathy, Gratitude, Grit, Hardiness, Honesty, Integrity, Intellectual Humility, Intentional Self-Regulation (ISR), Leadership, Optimism, Purpose, Relational Humility, Social Intelligence, and Teamwork. Using data derived from self-report surveys of about 1,500 cadets from all four class years, an exploratory factor analysis identified a 4-factor structure of character across these attributes: Relational, Commitment, Honor, and Machiavellian. A confirmatory factor analysis provided evidence

for the validity and measurement equivalence of the factors (Callina, et al., 2018).

In sum, through institutional support, routine institutional assessment, and further collaborations between researchers and the military, USMA leaders can identify features of character development and,

as well, effective strategies for developing character and leadership that are the most useful for individual-individual and individual-context relations.

Future Directions: Leading with Character

Given what is still emerging to fuse character and leadership in the military, it may be useful to provide some recommendations for continuing the process of creating and sustaining effective character leadership programs. We offer a few suggestions that can be generalized to most large organizations (i.e., non-military as well), based on the PRIMED model and concepts of Connected and Servant Leadership:

1. Emphasize that character must be prioritized, and leaders of the military must act in accordance with that priority. The current leadership and overarching organization must have buy-in and set an explicit stance (much like USMA and WPLDS) to connect professional success with character and leadership strategy.
2. Implement evidencebased practices of character development and education, with clearly articulated outcomes and goals and a developmental, context-appropriate logic model to achieve such goals, and avoid wasting time on high saliency, low impact strategies (Berkowitz, Bier & McCauley, 2017).

3. Leaders must model character—talk the talk *and* walk the walk. If leaders articulate and model positive character, their behavior can enhance the character and competencies of the staff (i.e., leaders can manifest a professional growth orientation for the staff; Navarro et al., 2016).
4. Character is relational, and relationships are key. Leaders must not only have rectitude in and of themselves, but they must also show respect and humility in their relationships with others. They must establish positive relations with others and part of that is empowerment. It also aligns with a servant leadership orientation.
5. If leaders of character are to serve the nation, they need to create a network of like-minded and -behaving members of the military who take duty, honor, and courage seriously, with character being the glue that holds those concepts together.

At the beginning of this article we noted the interest with all governmental and non-governmental organizations in enhancing character development among all individuals in their charge. We believe these recommendations can provide a successful way forward in creating a context wherein such development will occur. Moreover, we believe such development is critical for the continued welfare of the military and our nation. Therefore, it is more than important that theoretically sound and methodologically rigorous character education is enacted and evaluated. It is imperative.

♦ ♦ ♦

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LEADERSHIP

Developing Leaders of Character with Emotional Intelligence

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Leaders are expected to lead with integrity and role model positive behaviors for others to emulate. Leading with a noble purpose is much easier when times are good, but when times are challenging, or when things get emotional, that is when it becomes much more difficult to lead with that noble purpose. Emotions are often seen as disruptive and interfering with performance. Therefore, one view of leadership is to check one's emotions at the door and to try to limit their influence on behavior. However, our view is different. We posit that emotions can help leaders think and make good decisions (Yip & Cote, 2012) and forms the basis of building quality relationships (Lopes, Salovey, Côté, & Beers, 2005; Lopes, Salovey, & Straus, 2003). Harnessing emotions in a productive manner takes a very high level of skill, a skill that many leaders are not taught, thus, many opt to ignore them. Since emotions are

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embedded in every individual, team and organization, that is not a choice a leader should make. Instead, leaders should choose to develop emotion-based skills, or to develop the skills of what is known as emotional intelligence (EI).

Basis for Emotional Intelligence

Leaders use data to make critical decisions every day. They may use field intelligence, policy manuals and standard operating procedures as a basis for decision making. Effective leaders use all relevant data - including emotions, to make decisions. Consider, for example, someone demonstrating concern in what you are saying as opposed to someone who displays agitation. That's a data point for you to consider. Emotions have causes and if we overlook them, we are missing important data. At the same time, emotional intelligence does not mean you always "go with your gut" as such an approach could be disastrous. Instead, we emphasize that only highly emotionally intelligent people, once they have analyzed that "gut" feeling and determined that the feeling is indeed an emotion, include the data of that emotion into their decision making.

Another fundamental premise of the ability model of emotional intelligence is that all emotions can be "smart", that is, emotions can assist thinking. Figure 1 represents a simplified version of this notion. Rather than a focus on happiness, the ability model stresses the

While it's important for leaders to create an overall positive climate it's neither possible, nor desirable, for leaders to focus on the happiness of their team all the time.

need to match the task to the emotion or the emotion to the task. There are times when anxiety is what is needed in a situation and times when happiness is not. While it's important for leaders to create an overall positive

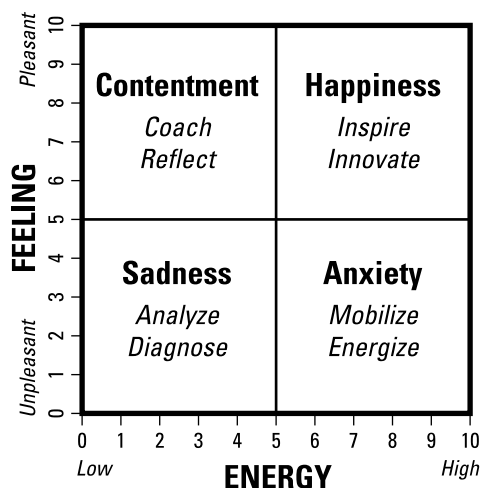


Figure 1: How emotions may facilitate thinking (Adapted from Caruso & Rees, 2018).

climate it's neither possible, nor desirable, for leaders to focus on the happiness of their team all the time.

What Emotional Intelligence Is and What It Is Not

Many leaders have read about, and may have even received training, in EI. But what leaders read and how they are trained is problematic since EI has come to mean many different things over the last 30 years. In this article, we focus on the ability model of EI (for a general overview see Mayer, Caruso, & Salovey, 2016; Mayer, Salovey, & Caruso, 2008). However, it

is important to note many, if not most practitioners, focus on non-ability models they often refer to as "EQ" for emotional quotient. The non-ability approach typically includes a selection of standard personality traits such as optimism and

assertiveness or traditional leadership competencies such as influence and conflict management (see Mayer, Salovey, & Caruso, 2000 for a discussion of different approaches to emotional intelligence). While optimism

is an important trait and predicts outcomes, clearly it has little or nothing to do with intelligence. Thus, some people refer to EQ and sometimes to EI as one of the “non-cognitive” skills or traits. In the ability model, emotional intelligence is considered a “broad” intelligence, one related to general intelligence (“g”) or IQ. All intelligences should be positively related according to the Cattell-Horn-Carroll model of intelligence (Carroll, 1993) and data support that EI, defined and measured as an ability, is indeed a broad intelligence (MacCann, et al., 2014). Therefore, it is possible to hire and promote people who are smart in the traditional sense and who also possess a high level

of emotional intelligence. The challenge is finding a leader who possesses both.

The ability model of EI was first proposed by Peter Salovey and Jack Mayer in 1990 and revised in 1997. The 1997 revision suggests that EI consists of four, related abilities: perceive, facilitate, understand and manage emotions which are defined in Table 1 (after Mayer, Caruso, & Salovey, 2016; Mayer & Salovey, 1997). In general, the model is developmental, in that one develops these abilities moving from perceive to facilitate to understand to manage.

Ability	Related Skills
Perceive (Map)	<ul style="list-style-type: none"> • Perceive emotions in self and others • Perceive emotions in the environment • Accurately express emotions • Differentiate genuine emotion expressions from “fake” expressions
Facilitation (Match)	<ul style="list-style-type: none"> • Generate emotions to facilitate emotional connection with another person • Emotions prioritize thinking and direct attention • Facilitate perspective-taking by leveraging changes in moods and emotions • Select emotions which best facilitate type of problem solving
Understand (Meaning)	<ul style="list-style-type: none"> • Determine the meaning and causes of moods and emotions • Understand how emotions may change over time • Accurately label emotions • Recognize cultural differences in the evaluation of emotions
Manage (Move)	<ul style="list-style-type: none"> • Stay open to both pleasant and unpleasant emotions to determine the information they convey • Manage one’s own emotions to achieve a goal • Manage other’s emotions to achieve a goal • Develop strategies to maintain, decrease or increase an emotion

Table 1. The Ability Model of Emotional Intelligence

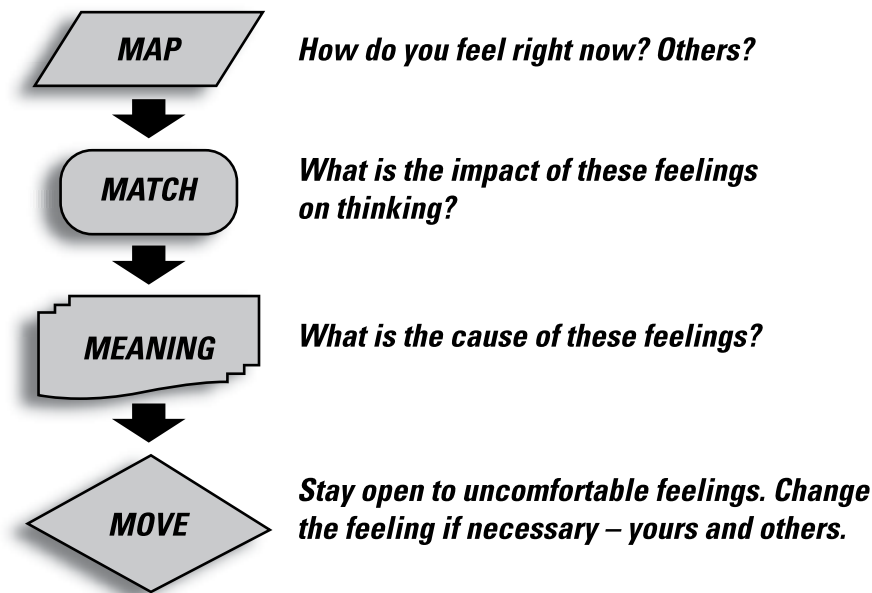


Figure 2: The Emotional Intelligence Blueprint (Adapted from Caruso & Rees, 2018)

The Four Hard Skills of Emotional Intelligence at Work

Learning and practicing emotional intelligence is relatively easy and straightforward. We developed an EI Blueprint and to make the terminology more memorable, use the alliterative terms Map, Match, Meaning and Move to describe the four EI abilities (perceive, facilitate, understand and manage).

To demonstrate the EI blueprint, let's use a common leadership challenge – leading change. The scenario: You have been asked to lead a project your supervisor feels is critical to the future success of the operation. The goal is to ensure your staff understands the mission, commits to action and collaborates closely with each other and other organizations. Keeping the goal in mind, let's walk through the Blueprint (see Figure 2).

Map - How are you and others feeling? You understand the project's importance to your leaders

and perhaps feel nervous, anxious or even worried. Perhaps your boss is feeling the same. You know your staff is overwhelmed with work and a new project may make them feel frustration or even disgust that another project was placed on their already full plate.

Match - To prepare for the meeting you need to set the right tone. You recognize that feeling nervous or worried in front of your staff isn't helpful and you want to generate more pleasant emotions such as interest, anticipation, pride and even excitement. You also care about your team and will use emotions to demonstrate your support of them.

Meaning - You understand why your staff is feeling the way they do as recent budget cuts have made them do more with less. This project could potentially break the bank and the spirit of your team. You know them well enough to know what will inspire and motivate them to embrace this new project and see it through to its successful end. You also know they trust you

and will be candid with their feedback – something essential to the success of the project.

Move - As the leader you deliberately behave in an emotionally intelligent manner - carefully engaging in moving your emotions and those of your team to set the best tone to achieve the task. You will notice how the team is collaborating, communicating and progressing, always ready to step in to help move the team in the right direction. Sometimes you move emotions just slightly, a bit of a course correction. Success at engaging with emotions also enhances your ability to stay open to emotions, allowing you to gather vital emotional data on how the team is functioning.

The EI Blueprint can be used in any situation to better navigate challenging situations. The Blueprint approach can be embedded in the daily practice of leadership; it does not require a separate meeting, conversation or training. This approach does not require extra time but it does require the development of the underlying skills and practicing those skills under pressure.

How to Assess EI

A leader may wonder if they are emotionally intelligent. We could use typical approaches to measure EI such as self-report questions. However, as an intelligence, EI should and can be measured objectively and the Mayer, Salovey, Caruso Emotional Intelligence Test (MSCEIT) is one such objective measure (Mayer, Salovey & Caruso, 2002). Comprised of 141 questions covering the four domains of the EI ability model, the MSCEIT's answer key was developed by polling international emotions researchers. The MSCEIT yields a total score as well as four ability scores (although support for a 4-factor structure has been inconsistent). As in any assessment, the MSCEIT has its weaknesses. For example, the MSCEIT lacks a veridical scoring system, may not measure 4 separate abilities and may not adequately measure the ability to accurately perceive emotions (see Joseph & Newman, 2010; Maul, 2011;

Rode, et al, 2008). Despite these limitations, it is the only multi-dimensional ability measure of emotional intelligence which yields an objective assessment of a person's actual level of emotional intelligence.

One of the many challenges for leaders and aspiring leaders is choosing an assessment that offers an accurate estimate of their level of emotional intelligence. Most people tend to overestimate their EI and the more one overestimates, the more likely they are to question the validity of their results, the relevance of the skills, and are less likely to express interest in developing these skills (Sheldon, Dunning & Ames, 2014). The problem with overestimating one's level of emotional intelligence goes back to the idea of emotions as data. What if you believe your subordinates "bought in" on your idea but, in reality, they (non-verbally) expressed significant reservations? What if you believe you are connecting with others and helping your staff manage difficult situations but are being seen as lacking empathy or ineffective in dealing with interpersonal conflict? Obtaining an objective measure of a leader's emotional intelligence can be a powerful way to enhance self-awareness and given its focus on skills, can also provide leaders with a development plan to enhance those skills or develop compensatory strategies. One of the recommendations made by Sheldon, Dunning and Ames (2014) to reduce the defensiveness of test takers to feedback is to eliminate various "escape routes." These escape routes include focusing on behaviors or skills the test taker can develop rather than fixing their "character" or "competence" as well as discussing the test taker's impressions of the assessment before providing feedback. In our practice, we find using the language of hypothesis testing increases openness. We found that using test data to formulate questions such as "have you ever misread someone?" can reduce defensiveness, followed by questions such as "and what are the implications of misreading someone?" and also, use language such as "the data suggest you may misread people at times, has that ever happened?" rather than making statements about their character such as "you

misread people at times” or “the data suggest you are not good at reading people”.

Why EI is Important

First, we wish to stress why EI is not important. In the popular view, “EQ” is critically important and intelligence less so (e.g., Gibbs, 1995). While correlations between measures of intellectual ability and performance (for example SATs, GREs, etc.) tend to be small, people conclude that intelligence does not predict important outcomes. The problem with this conclusion is there is a restriction of range, that is, you require a minimum SAT score to get admitted into college or the academy. Once you start operating within such an elite environment, IQ is not a great differentiator since everyone is at a certain level of intelligence. Therefore, other skills, EI included, become more important in differentiating high from low performers.

Here, then, is why ability EI matters. First and foremost, managers who score higher on the MSCEIT are slightly more likely to achieve their goals, the “what” of performance. This is key because we all have a role to fill and goals to achieve. However, the same study (Rosete & Ciarrochi, 2005) demonstrated that the EI of these managers predicted, at a much higher level, “how” they achieved those goals: by communicating and mentoring. In other words, managers higher in EI achieve their goals and do so with character. Second, emotionally-intelligent leaders may make better decisions. People higher in EI, specifically, those who understand the cause of emotions, are more likely to ignore irrelevant moods and make better decisions (Yip & Cote, 2012). Additionally, people who are emotionally intelligent tend to have better quality relationships, are better able to cope with stress and have higher leadership potential than people lower in EI (see Mayer, Salovey & Caruso, 2008 for a review).

Any intelligence can be used for good or bad and EI may not be an exception. In a study of the “dark side” of

EI (Côté, et. al., 2011), some people skilled in emotion regulation, and who scored high on Machiavellianism, were more likely to use EI to create negative work environments. However, people who scored high on emotion regulation and morality were more likely to engage in more prosocial behavior, leading to a more cohesive workplace.

How EI Skills Can Be Developed

Most leaders understand the importance of EI and want to learn and develop their EI skills. There are vendors, instructors and coaches who claim you can readily increase EI. However, there exist few peer-reviewed studies addressing this issue and those that do exist tend to use small samples (e.g., Crombie, Lombard, & Noakes, 2011; Dacre Pool & Qualter, 2012; Nelis, Quoidbach, Mikolajczak, & Hansenne, 2009). Our focus is not on increasing one’s test scores but instead on enhancing skills and developing compensatory strategies through coaching and practice. For example, someone low in spatial intelligence can learn to use GPS to navigate their way to a new location. The effectiveness of compensatory strategies can be seen in the study mentioned earlier (Yip & Cote, 2012), where the advantage of higher EI was eliminated when people were given information about the source of their feelings. Even if a person possesses lower EI, they can still be extremely effective reaching goals with proper support and skills development.

Another compensatory strategy has to do with mapping how others feel. We are advocates of not asking the typical “how are you” question which usually results in a non-informative “fine”, “okay”, “good” or even “great.” Since your decisions and the EI Blueprint depend on getting good baseline data, instead of asking “how are you?”, try more pointed ones such as “what’s on your mind today?”, “what concerns do you have?” or the tiered approach of “how do you rank this decision on a 10-point scale?” followed by “and what would it takes to get to a 10?” On the off-chance the reply from a subordinate to the first question is a

dutiful and respectful “10”, you could follow-up with “what 3 reasons support your answer?” and “what one thing would you do differently if it was your decision or plan?”

How EI May Help Develop Leaders of Character

As stated previously, great leaders integrate EI into their leadership every day and when practiced, EI can help develop leaders of character. The Air Force Academy defines a person of character as someone who (1) Practices their core values of integrity first, excellence in all we do, & service before self; (2) Lifts people to their best possible selves; and, (3) Elevates performance toward a common and noble purpose. In this section we share our thoughts on how EI helps demonstrate behaviors that reflect a leader with high moral character.

Practice core values. It’s easy to live your values when everything is going well, but when things become stressful, the ability to demonstrate those values is tested. Recognizing the source of one’s feelings and being able to identify irrelevant moods helps leaders focus on the “signal” of what is really happening and blocks out the distracting “noise.” Practicing core values requires engaging in emotion management when values and behaviors collide, as well as managing emotions that can make us feel uncomfortable, such as sadness, anger and fear.

Lifts people to their best possible selves. The ability to understand the source, causes and trajectory of emotions provides leaders with keen insight into others. The ability to connect with others on an emotional level – another core EI skill – allows leaders to have emotional empathy for followers. Understanding emotions provides cognitive empathy – understanding emotions of others – to motivate others. Just as leaders

face setbacks and stressors, so do their followers. A leader who is an expert at managing emotions of others offers strategies to help followers cope with stressors so they can carry out their mission.

Elevates performance. As we noted earlier, leaders higher in emotional intelligence achieve their goals and do so with integrity. They show care and concern for their employees. They know how to motivate and connect to others. And they successfully cope with challenges and strong emotions to inspire confidence and foster trusting relationships.

Integrate EI into Your Leadership

Achieving an organization’s mission is a leader’s primary duty. Intelligence in solving challenges and reaching goals is critical and undeniable in importance. Emotions, leveraged intelligently, can help leaders make better decisions and be exemplary role models. While feelings are not always facts, emotions are a form of data and great leaders incorporate all sources of data

Great leaders integrate EI into their leadership every day and when practiced, EI can help develop leaders of character.

when making important decisions. Therefore, leaders should strive to integrate EI in their leadership.

Practicing EI should not be a separate aspect of leader behavior but part of what excellent leaders do every day. Here are simple ways to integrate EI into everyday work:

- Map Emotions – Check in with yourself and others to see how people are feeling before you initiate an important conversation.
- Match Emotions – If people are experiencing helpful emotions for the topic at hand, continue with the discussion, continually

monitoring any shifts in emotions that are not helpful.

- Meaning of Emotion – Emotions have causes. When people express emotions – especially stronger emotions such as anger, fear or sadness, find out why. Addressing the source helps reach goals faster.
- Move Emotions – You are a role model and you need to decide when and how to express emotions. Consider what emotions are needed in challenging situations and move emotions to where they need to be.

Organizationally, EI can be readily embedded into all aspects of leader development. The Blueprint can be used to help solve challenging leadership problems. After-action reviews of those leadership challenges using the Blueprint can help better identify the problem and allows for possible tweaks to solutions. As leaders develop these skills, they can be taught to use the Blueprint and the four EI skills prospectively. All forms of development can embed the Blueprint and EI skills to enhance training outcomes. For example, a mood check-in at various points and intentional management of participants' emotions could result in better training outcomes. As mentioned earlier, the good news is developing emotional intelligence skills is relatively straightforward. However, practicing it is less simple, especially in stressful circumstances, when EI is needed the most. Next time you have a difficult decision to make, deliberately, purposefully and intelligently consider the role of emotions. Ask yourself - how am I and others feeling about this situation, what emotions are more helpful to achieve our goal, what caused us to feel this way and how do we effectively manage our emotions to achieve the best outcome? The answers will help leaders better live the values of character and lead the way for others to follow.

♦ ♦ ♦

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LEADERSHIP

Focus on the Locus: A Response to "The Rhetoric of Character and Implications for Leadership" by George Reed

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George Reed's insightful analysis of the rhetoric of character and the implications of that rhetoric for leadership development, which recently appeared in these pages (Reed, 2018) raises challenging questions for anyone committed to the development of character and leadership. Professor Reed suggests that the concept of "character", as interpreted in many character and leadership development programs, misattributes to human nature a consistent internal mechanism that guides ethical and moral conduct. Professor Reed turns to the social-psychological concept of situationism, the idea that some or much of our behavior is governed by external factors, to offer a different path for character and leadership development.

Dr. George Mastroianni served as a U.S. Army Research Psychologist, where he worked in a variety of biomedical laboratories and other military research settings. In 1997, Dr. Mastroianni accepted a position as an Associate Professor of Psychology at the U.S. Air Force Academy in Colorado Springs, CO. Dr. Mastroianni has published widely and co-edited *A Warrior's Guide to Psychology and Performance*, created on the model of two WWII works produced for soldiers by psychologists. This book has been used as a class text both at the Air Force Academy and West Point. Dr. Mastroianni is interested in leadership and ethical behavior, and has commented extensively on the 2003 abuses at Abu Ghraib, most recently in *Parameters*. His main scholarly interest for the last several years have centered on the psychology of Holocaust. His book, *Of Mind and Murder: Toward a More Comprehensive Psychology of the Holocaust*, was published by Oxford University Press on September 7, 2018.

That human behavior is complex, and that social factors can and do affect even our moral choices, is an important insight. But the literature of situationism cannot be taken at face value. Social psychology experiments like those of Stanley Milgram and Phillip Zimbardo contain a prominent element of theater: Milgram's experiment has aptly been called a "scientific parable" (Kotre, 1992). The lessons we draw from such parables do have important implications for our thinking about moral and ethical conduct, but exactly what the lessons are may not always be clear. My purpose in quibbling with some of Professor Reed's points is not to draw attention away from his viewpoint and toward my own, but to (hopefully) expose alternate ways of looking at and thinking about these difficult and complicated matters. Discussions end when people agree (except on cable news) and while disagreement for the sake of disagreement is merely churlish, considering one another's ideas in a respectful but searching and critical way is the beating heart of intellectual progress. It is in this spirit that the following is offered.

Ancient and Venerable Ideas

Professor Reed sees character development as often treated as a "fire and forget" enterprise that leaves its subjects vulnerable to situational forces that can readily derange the moral compass. Reed's statement of the Aristotelian position is clear (Reed, 2018):

"Aristotle suggested that we can instill character as a trait through habituation and emulation of those who are just and noble (Aristotle, 1995). The way to good character is to understand the good and then practice it over time until it becomes second nature. Good behavior comes from the person who develops an intrinsic motivation to be good. The quality of character can be determined by how a person consistently thinks and acts over time. Aristotle saw vice is an individual choice (p. 689). The locus of control is squarely on the individual. When confronted with a choice between vice or virtue, those of good character can be counted on

to choose virtue. While he recognized that some could be compelled to do wrong, he also felt the virtuous should accept death rather than engage in some acts. The impact of Aristotle's idea that virtue can be habituated is hard to overestimate. We see it in the service academies, in character development initiatives targeting primary school children, and especially throughout our systems of discipline and justice."

I am not a philosopher and will leave the argument about what Aristotle really meant in his discussions of character to others. Daniel N. Robinson's book *Aristotle's Psychology* (Robinson, 1989) for example, offers a comprehensive and clear look at those aspects of Aristotle's writings that address character, will, biological and situational determinism, and of course virtue and vice. Suffice it to say that it appears that Aristotle may have been quite realistic about human nature, recognizing that even those properly habituated to the pursuit of a virtuous life may fall short sometimes. There are constitutive and psychological variables that might contribute to an individual's failure to act virtuously, but importantly there are also social, cultural, and political circumstances that are relevant to individual moral behavior (Robinson, 1989):

"The attainment of such a life¹ is not guaranteed, to say the least, and faces high hurdles at every turn. To live a virtuous life is not easy at the outset. The individual person who might hope to attain eudaimonia will need direction, care, and good examples, all of this coming from the society and culture that surrounds him. *Polis andra didaska*. Man is taught by the city, and the goals of Aristotle's human science must therefore be realized by a social science."

Professor Reed interprets Aristotle's approach as locating the source of control over individual actions exclusively within the individual, and indeed it would

1 Robinson here is referring to the "flourishing life", eudaimonia.

seem that Aristotle endorses a strong version of what we might now call personal responsibility. But Aristotle also recognized the complicity of organizations and institutions in making it easier or more difficult for individuals to continue to live the virtuous life to which they have been habituated and conditioned. This last point is approximately Professor Reed's conclusion, which he reached by way of Stanley Milgram and Phillip Zimbardo: that the "fire and forget" approach is doomed to failure, and that organizations and institutions share some of the responsibility for individual behavior, including individual failures to toe the moral line. Whether Milgram and Zimbardo are really necessary to have reached this conclusion, or perhaps Aristotle alone might have been sufficient to arrive at a similar place is immaterial, though others can certainly adjudicate that claim better than I. The defective notion that character can be inculcated early on through mainly hortatory mechanisms, and like a kind of moral vaccine, protect the individual against trouble forever, is most definitely abroad in the land, though, and indeed may be found in service academies and other institutions. The situationist perspective articulated by Milgram and Zimbardo and raised by Professor Reed in critically evaluating the fire-and-forget approach is often cited in discussions of the efficacy of character and leadership development, especially in the military and it is worth taking this opportunity to examine it more closely. Before doing so, however, some preliminaries demand attention.

Determinism

The great American philosopher and psychologist William James wrote a wonderful essay entitled "*The Dilemma of Determinism*" in 1884 (James, 1884/1992). The determinism James was writing about was scientific determinism, and the dilemma arose as a consequence of its application to human nature. Scientific determinism is the doctrine that phenomena in the world are fully determined by the natural scientific laws we have discovered. Boyle's Law, Amonton's Law, and Charles's Law describe the relations among

pressure, volume, and temperature in confined gases, for example. If one increases the temperature of a confined gas, holding the volume constant, the pressure exerted by the gas on the vessel in which it is confined will increase. The confined gas has no choice in how it will behave in response to these changing conditions: we can always expect the same result.

Whether human behavior can be understood in similar terms was and is a fundamental question for psychologists. In his essay (which was delivered orally to an audience at Harvard University) James considers the question of which street he will take in returning to his home after his presentation is concluded: as it happens, there are two streets that will serve equally well. If human behavior is subject to the same kind of determinism that governs the behavior of confined gases, then the choice of which street he will take has already been made, says James. James may think that he himself is freely, perhaps even capriciously choosing which street to take, but the fact is that that choice has already been made: it has been determined by everything that has occurred or is about to occur in James' life up to the point of action.

The dilemma that arises when we apply this kind of determinism to human behavior has to do with the moral tone we can ascribe to actions that occur not as the result of human agency, or something we often call *free will*, but instead as a result of the inexorable and inevitable operation of natural laws and principles. If human actions are completely determined by the sum total of all the billiard-ball like interactions of the atoms that make up us and the world we inhabit, then what sense can it make to "blame" an individual for any of those actions? James uses the example of an infamous murder that had recently occurred when he delivered his talk to emphasize that even a heinous and violent crime could not be blamed on the perpetrator if we view human behavior through the lens of a thorough and complete determinism.

Now, we psychologists like to think of ourselves as scientists, or at least many of us do. Many of us spend a great deal of time and effort attempting to apply scientific methods – methods rooted in determinism – to furthering our understanding of human nature and human behavior. The questions raised by James in *The Dilemma of Determinism* sometimes become very salient for us, especially when we take our scientific psychology out of the laboratory and apply it to real-world events.

Situationism

Stanley Milgram and Phillip Zimbardo were high-school classmates: both born in 1933, coincidentally the year Adolf Hitler became Chancellor of Germany, these two men have had an impact on post-war American psychology that is hard to overstate. In the early 1960's Milgram embarked on a series of studies that he hoped would validate the view that there were national differences in the tendency to obey. In particular, he suspected that Germans were an especially obedient people, and that this tendency to obey helped to make the Holocaust possible. Milgram deliberately set out to conduct research that would help answer the question that so many were asking in the aftermath of World War II and the Holocaust: How could people do such things to other people?

Milgram encountered difficulties in carrying out his research, though, and eventually shifted his focus to conformity. Solomon Asch (Asch, 1956) had conducted studies on conformity in judging the length of lines. In some of these experiments, a group of people would be asked to publicly judge which of the four lines was longest. The experimental subject (we now call such people *participants*) thought that

everyone in the group was, like him, naïve to what was going on. In fact, everyone but him (in some versions of the study) was actually working for Asch and doing his bidding. Asch's bidding was that often, the group members would correctly identify the longest line, but occasionally, the group members working for Asch would select an obviously wrong choice. After listening to the rest of the group make an obviously incorrect choice, would the subject submit to social pressure and follow suit, choosing the wrong line, or would he choose the line that he knew was longest, in defiance of the group consensus? Anyone who has taken a psychology course knows that the answer to almost any rhetorical question posed this way by a psychologist begins with, "It depends..." but suffice it to say that the behavior of a surprising number of people was affected by the choices made by other group members.

The questions raised by James in The Dilemma of Determinism sometimes become very salient for us, especially when we take our scientific psychology out of the laboratory and apply it to real-world events.

Milgram's crucial step was to develop an experimental paradigm that required participants to engage in behaviors that were more consequential than judging the length of a line: actions that had a definite moral tone. His studies evolved into the now-famous electric-shock obedience studies conducted at Yale University. Milgram actually conducted about two dozen variations of the experiment, and compliance rates (the percentage of subjects who went "all the way" and delivered the maximum shock to the learner) ranged from near-zero to 100%, depending on the configuration of the experiment. The most commonly reported condition produced rates around 65%.

Milgram interpreted his findings as validating the view that most Germans had just been following orders during the Nazi era, a view coincidentally buttressed by the publication of Hannah Arendt's book on the Eichmann trial (Arendt, 1963) in which she famously used the phrase, the "banality of evil" to describe Eichmann's conduct. This nexus between obedience as demonstrated by Milgram in the laboratory and perpetrator behavior during the Holocaust has been the subject of much discussion, but the case for the dominance of "obedience" as an explanation for perpetrator behavior has been considerably weakened over the years.

Many who include the Milgram studies in discussions of leadership fail to note the substantial critical literature that now exists surrounding these iconic studies. A good summary of this literature may be found in Gina Perry's recent book, *Behind the Shock Machine: The Untold Story of the Notorious Milgram Psychology Experiments* (Perry, 2012). There were procedural and other irregularities in the conduct of the experiments, and some of these are significant, but for our purposes it is quite interesting to consider Milgram's take on the moral posture of his research participants. Were his subjects blameworthy, or not? Remember, the Milgram studies are often used in the context of leadership discussions to emphasize the "power of the situation", the dominance of external factors in determining behavior, and the weakness of internal psychological or character-based factors.

Milgram's attitudes toward the behavior of his subjects were complicated by the ethical attacks that had been leveled against him for running the experiments in the first place. Diana Baumrind had published a scathing critique of Milgram's experiments a few months after they were first published (Baumrind, 1964), suggesting that the subjects had themselves been treated unacceptably cruelly. In public discussions, Milgram generally emphasized the positive

assessment of their experience as research participants offered by his subjects after the fact (the full story is more complicated) and the overweening power of situational cues to force them to behave as they did. This latter point also formed part of the sensational appeal of the findings themselves, and was used by Milgram to promote his 1974 book about the studies. Some of the tag lines he proposed to his publisher for marketing the book included the following: "*Perhaps there is something in their national character that makes them follow orders unquestioningly. Perhaps that is what makes them....Americans. The most controversial book of the decade.*" (Perry, 2012). He also famously said (on the television show *Sixty Minutes*):

"I would say -- on the basis of having observed a thousand people in the experiment, and having my own intuition shaped and informed by these experiments -- that if a system of death camps were set up in the United States of the sort we had seen in Nazi Germany, one would be able to find sufficient personnel for those camps in any medium-sized American town."

This public stance minimized the culpability of the individual participants and universalized the potential for harmful behavior through the mechanism of destructive obedience as demonstrated in his laboratory. In this sense, Milgram clearly emphasized an external locus of control, just the opposite of the internal locus of control Professor Reed ascribes to the character approach. Privately, though, Milgram's views appear to have been a bit more complicated. In a letter to the National Science Foundation, Milgram referred (indirectly) to research participants who had delivered ostensible shocks to the learner as "moral imbeciles":

"In a naïve moment some time ago, I once wondered whether in all of the United States a vicious government could find enough moral imbeciles to meet the personnel requirements

of a national system of death camps, of the sort that were maintained in Germany. I am now beginning to think that the full complement could be recruited in New Haven. A substantial proportion of people do what they are told to do, irrespective of the content of the act, and without pangs of conscience, as long as they perceive that the command comes from a legitimate authority.”

Omer Bartov, a leading Holocaust historian, points out that Milgram’s notes describing the conduct of his research participants reveal prejudices that themselves reflect a misunderstanding of the history of the Holocaust (Bartov, 2003):

“Although Milgram introduces the detailed exposition of his experiment by claiming that people from different professions and classes behaved similarly, his examples do not confirm this assertion and reveal his own biases. If we were to sketch a portrait of the typical perpetrator based on the findings of this experiment, he would be working class, crude, muscular, lacking in education and intelligence, possibly lethargic, badly dressed and speaking ungrammatical English, originating in southern Europe or the American South, probably black or Italian. Women supporters would belong to the working class, possibly of East European origin, or be hysterical, hypocritical, arriviste Jews. Conversely, those most unlikely to become perpetrators would be middle-class academics, professionals, the clergy or at least men of faith, intelligent, elegant, probably blonds of north European, most likely Protestant background. Those exposed in the past to war, atrocity, and complicity would be unlikely to comply.

The problem is, of course, that the typical supporter of Nazism came from the north German, middle-class, Protestant milieu. We know that the commanders

of the Nazi death squads, the elite of the SS and the Police, were men with university degrees, often with a Ph.D. in law. We know that the medical and legal professions collaborated happily with Nazism and facilitated many of its crimes; that the clergy, Protestant and Catholic, did little to oppose the genocide of Jews and much to popularize prejudice. We know that the brutalizing effects of World War I played a major role in the success of Nazism. That is, the most unlikely to comply with malevolent authority supported Hitler. We also know that inside Germany it was first and foremost members of the working class who opposed the regime. We know that Nazism’s victims came mainly from Eastern Europe and European Jewry, from among the handicapped, the Gypsies, the homosexuals. We know that Italians tried to hinder crimes perpetrated by Germans in Europe (although in Ethiopia they practiced habitual colonial mass killing).

This does not mean that Milgram is necessarily wrong in his psychological portrait, but rather that Milgram got his history wrong. Had these men and women acted merely out of a sense of obedience to authority, the results of the experiment could not possibly conform to the reality in Nazi Germany. Hence we are left to conclude that the opposite is the case, namely, that middle-class professional Germans supported Hitler for what appeared to them intellectually and morally sound reasons....It means that, for a while at least, people had a choice and what they chose indicated their beliefs.”

Moreover, Milgram’s differentiation of his research participants who did or did not go “all the way” based on factors like educational level, class, race and ethnicity belies the notion that susceptibility to the mechanism of blind obedience to authority is in any way universal. This can only mean that for some people, the locus of control is more internal. This begins to sound uncomfortably like a character-based explanation of

moral conduct: those of proper breeding, education, and culture behave well (have good character?) but less-educated people with inferior pedigrees behave badly.

Phillip Zimbardo conducted his now-famous Stanford Prison Study (Haney, Banks, and Zimbardo, 1973) a decade after Stanley Milgram carried out his obedience studies. Zimbardo shut down his simulated prison after only six days of a scheduled three weeks, because some guards had become very abusive and some prisoners very submissive. Zimbardo interpreted these results as a demonstration of the power of the situation to determine behavior. He framed the abusive

Whatever the limitations of the research itself, Zimbardo has subsequently embraced a very muscular form of situationism (Zimbardo, 2007):

“The SPE [Stanford Prison Experiment] along with much other social science research...reveals a message we do not want to accept: that most of us can undergo significant character transformations when we are caught up in the crucible of social forces. What we imagine we would do when we are outside that crucible may bear little resemblance to who we become and what we are capable of doing once we are inside its network...This lesson

should have been taught repeatedly by the behavioral transformation of Nazi concentration camp guards... Any deed that any human has ever committed, however horrible, is possible for any of us – under the right or wrong situational circumstances.

That knowledge does not excuse evil; rather, it democratizes it, sharing its blame among ordinary actors rather than declaring it the province only of deviants and despots – of Them but not Us”.

Zimbardo’s universalization of the potential for evil is breathtaking in its sweep: can he really mean that each and every one of us is capable of committing any deed ever committed by any human, however horrible?

behaviors of guards and the submissive behavior of prisoners as out-of-character conformity to role expectations induced by the total environment of the prison.

As with Milgram, many commentators who use the example of the Zimbardo prison study in their analyses of character and leadership do not discuss the significant and substantive critical literature on the study that has, if anything, grown more significant and more substantive in recent years (Griggs and Whitehead, 2014). While Zimbardo portrays the events that occurred in the basement of the Psychology building at Stanford University over those six days as spontaneous and unscripted, there is clear evidence that Zimbardo and his associates were deeply and heavily involved in shaping the course of events to suit their purposes.

Zimbardo’s universalization of the potential for evil is breathtaking in its sweep: can he really mean that each and every one of us is capable of committing any deed ever committed by *any* human, however horrible? In discussing Abu Ghraib, Zimbardo employs similarly stark language (Zimbardo, 2004):

“That line between good and evil is permeable,” Zimbardo said. “Any of us can move across it....I argue that we all have the capacity for love and evil--to be Mother Theresa, to be Hitler or Saddam Hussein. It’s the situation that brings that out.”

I have to think that a bit more than “the situation” goes into making a Mother Theresa or an Adolf Hitler, but consider the moral consequences of this kind of situational determinism. It is difficult to read such a statement and fail to conclude that Zimbardo might not think that Mother Theresa was all that great, or that Adolf Hitler wasn’t all that bad: after all, any one of us could easily have ended up the same as either of them in the same situation! Professor Reed’s approach seems a bit more measured (Reed, 2018):

“There may or may not be such a thing as good character. If speaking of character as a stable and dependable trait, evidence weighs against it. Leaders of military organizations should not solely depend upon it lest they be surprised and disappointed. Those engaged in character development efforts might consider reframing their attention to how human beings actually behave rather than subscribing to ancient and venerable suggestions about how humans should behave. Humans are much more influenced by roles and situations than we might want to believe. That is not an excuse for bad behavior, but it can serve as an explanation”.

Ancient and venerable suggestions about how we should behave (the Bible, for example) have indeed coexisted with much human-authored misery and suffering over the centuries, but we must ask exactly how these two flawed social-psychology experiments will help us do better. The truth is that these two studies, despite their enduring popularity, may not tell us much about how we “actually behave” at all. The primary event that Milgram had in mind when designing the obedience studies was the Holocaust, and even Milgram enthusiasts now concede that the results of the obedience studies are relevant at best to a narrow and limited slice of perpetrator behavior during the Holocaust (Blass, 2002). Zimbardo’s book, *The Lucifer Effect*, (Zimbardo, 2007) a significant portion

of which was devoted to the abuses at Abu Ghraib prison in Iraq in 2003, tried to make the case that the soldiers who were convicted of criminal conduct at Abu Ghraib were merely pawns, forced to behave as they did by the policies of senior administration officials. In Zimbardo’s view, these were all good soldiers who responded as any of us would have to the situation created by high-ranking military and political figures, including President George W. Bush and Secretary of Defense Donald Rumsfeld. Zimbardo does at least mention the delightfully eponymous Specialist Matthew Wisdom in passing, on page 360 of the book, but his story fundamentally challenges Zimbardo’s premise that the situational factors at Abu Ghraib were so powerful as to be nearly irresistible. This exchange from the trial of Ivan Frederick, one of the Abu Ghraib abusers, is illustrative (Graveline and Clemens, 2010):

Myers ended with one last question. ‘Given the actual circumstances that existed at Abu Ghraib, that irrespective of who occupied the role of night shift guard, was there a certain inevitability to abuse, given all the factors that existed?’

‘Yeah, I guess I would be drawn to that, is that not every single individual in a setting like that gets out of control. What we have found not only in my prison study, but many other studies is that the majority. . . the typical reaction of someone in that study is to give in to the situational forces. It’s the exceptional person, the heroic person who can somehow resist. But it’s impossible to do so when you’re encouraged to soften up the detainees for interrogation’.

Consider the two soldiers who were most responsible for the abuses, and who received the longest prison terms, Charles Graner and Ivan Frederick. Both had had previous corrections experience as civilians, both were older men; Frederick was a non-commissioned officer, and the ranking man when the abuses took

place. And by the way, few of the detainees in the most famous abuses were ever interrogated, as they were mostly not suspected terrorists. But one might think that if anyone were in a position to resist the situational pressures at the prison, it would be more likely to be one or both of them than Specialist Matthew Wisdom. Matthew Wisdom was 19 years old at the time, quite probably the lowest-ranking soldier present, and yet when he saw the abuses taking place on Tier 1A, he immediately went to his NCO and reported what he had seen. His concerns were dismissed and he was sent back to work. Specialist Wisdom was so disturbed by what he saw that he went back to his NCO a second time to report what he was seeing, and this time was sent off to a different part of the prison to work.

Whether one describes the wellspring of Wisdom's actions as "character" or as something else, it seems clear that he was guided by some steady internal principles which were not swept away by situational forces. That situational forces can sometimes compromise our capacity to behave in accordance with our internal beliefs and values should be uncontroversial: parents have been warning children about "peer group pressure" for a long time, and asking if the kids at school jumped off a bridge, would you do it, too? What reasonable people can't and shouldn't accept is the notion that situational forces always trump internal beliefs, values and convictions, or even that it is the rare and heroic individual who is capable of doing so. People successfully resist social pressure all the time.

Determinism Redux

The psychological assault on free will has been underway for a long time. Sigmund Freud viewed unconscious urges as the real drivers of behavior, our conscious ego a weak and pitiable thing buffeted about by the titanic forces of id and superego. John Watson and B.F. Skinner, reacting in part to Freud's conception of psychological motivation, saw all behavior as determined by environmental contingencies: classical and operant conditioning. Social psychologists such as

Milgram and Zimbardo see situations as determining our behavior; as well, various forms of biological determinism seem to be increasing in popularity. The ready availability of personal genetic-testing kits has only fueled this unfortunate trend.

William James resolved the dilemma of determinism with which he wrestled in a characteristically pragmatic way. James saw that any thorough-going determinism that diminished or eliminated the possibility of assigning blame or praise to human actions would wreak havoc on our social relations, so he simply decided to accept the idea that humans do have free will – that our behavior is self-determined. He freely acknowledged that he had no philosophical or scientific basis on which to accept this idea, but did so simply because the moral consequences of not doing so were unacceptable to him.

Professor Reed, confronting the reality that character-development approaches prevalent in the military do not appear to determine behavior nearly as powerfully as we might hope, turns to situations, which, as it turns out, do not seem to determine behavior nearly as powerfully as situationists claim. Professor Reed juxtaposes a strong form of the character approach, the fire-and-forget form, against a weak form of the situationist approach, in which behavior is determined by situations but individuals somehow still retain some degree of personal responsibility. This last point is the one that tripped up Zimbardo most egregiously in the trial of Ivan Frederick, one of the Abu Ghraib abusers (Graveline and Clemens, 2010):

'Dr Zimbardo, you subscribe to a situationist perspective in understanding abhorrent behavior, correct?'

'Yes.'

"If I could be so bold as to attempt to summarize that line of thinking in just a few sentences. When clearly evil behavior is committed by an otherwise

psychologically normal person you must look to the situational circumstances surrounding the event, rather than those of personal choice, character, or free will to explain the conduct, right?’

‘No. That’s too simple an explanation. People always have free choice. Ultimately, individuals are always responsible for their actions. A situationist approach simply says that when trying to understand any behavior, we have to take into account various factors in the situation.’

‘I apologize. I must have misunderstood. When you testified before Congress, did you say the following, “Individual behavior is largely under the control of social forces and environmental contingencies, things that occur, rather than some vague notions of personality traits, character, willpower, or other empirically invalidated constructs?” You said that, correct?’

‘Correct, yes.’

‘You went on to say, “We create an illusion of freedom by attributing more internal control to ourselves. . . to the individual than what actually exists.” Did you say that, as well?’

‘Yes, I did.’

‘You went on one more time and said, “We put too much stock in some notions of character, free will, or personality traits to which there’s no evidence, psychologically, that they even exist.” You said that, as well?’

‘Yes.’

‘Is it your testimony today that SSG Ivan Frederick, because of the situation he found himself in [in

Abu Ghraib last fall, was essentially guaranteed to commit the heinous crimes?’

‘You’re misconstruing what I said in my position. I didn’t say people do not have free will. I said, those are vague constructs, that we use them in a vague sense. You don’t measure free will. You don’t measure character. It doesn’t mean they don’t exist, but they are vague constructs in comparison to the very specific things of . . . we can measure the level of exhaustion. We can measure the level of stress. We can measure specific event situations. So, I don’t want you to. . . it sounds to me like you’re trying to twist my position, that he had free will to act in the way he did or not; but that free will got undercut, that free will gets distorted the more situational factors you have that pushed behavior in this negative direction.’

Zimbardo’s attempt to clarify things, in response to questioning from Frederick’s attorney, after which the defense rested, did not go much better (Graveline and Clemens, 2010):

“‘You’re not here to excuse his conduct, are you?’

‘Oh, I don’t excuse his conduct. Again, the situational approach is not excuseology. It’s not saying, “Oh, we’re going to blame the situation and take the person off the hook.” It simply says in trying to understand why Sergeant Frederick suddenly did these terrible things to which he has nothing in his history, nothing in his personal background, nothing in any psychological test that would have predicted that he did these terrible things, that what we have to put on trial is both the situation and also the system of. . . on trial has to be all of the officers who should have prevented it. Abu Ghraib was treated with indifference. It had no priority, the same low priority in security as the archaeological museum in Baghdad. These

are both low-priority items, and this one happened to end with these unfortunate circumstances. So, I think that the military is on trial, particularly all of the officers who are above Sergeant Frederick who should have known what was going on, should have prevented it, should have stopped it, should have challenged it. They are the ones who should be on trial. Or if Sergeant Frederick is responsible to some extent, whatever his sentence is, has to be, I think, mitigated by the responsibility of the whole chain of command.”

Social psychologists have struggled with this dilemma for a long time: if situations are so powerful that they approach duress, then individuals who yield to these pressures cannot be held responsible for their actions. If situations are merely mitigating factors, leaving personal choice and responsibility intact, then courts and judges are free to interpret the degree of coercion they might imply, based on whatever factors might inform that assessment: the Matthew Wisdoms of the world then become quite relevant. So if neither character nor situations are very helpful in helping us understand and predict behavior, where does that leave us?

Attribution

Though Professor Reed and I have arrived at the ends of our papers having followed very different paths, I think we are actually substantially in agreement as to the best way forward. Before turning to pontifical prescriptions for future leaders though, one more brief foray into social psychology will be helpful.

A concept to which social psychologists have devoted considerable attention is attribution. Attribution is the process by which we ascribe responsibility for human behavior: our own behavior, and that of others. Social psychologists are fond of reminding us of something known as the *fundamental attribution error* (Ross, 1977), now so well-known it is often referred to simply as the *FAE*. The fundamental attribution error is the tendency we have to assume that behavior is internally directed, rather than being the result of external, environmental or situational pressures. A great deal of research has been done on attribution, and attribution patterns turn out to be startlingly complex. One pattern of attributions is a self-serving pattern. Anyone who has ever employed or met a stockbroker can begin to appreciate this pattern immediately: if our investment portfolio is up, this is obviously the result of the shrewd and canny investment decisions made by our broker. If our portfolio is down, on the other hand, well – you know: there is the business cycle, the Fed, over-regulation, the phases of the moon...the list is endless. But it is definitely not the broker’s fault.

We can expand this self-serving bias in attribution using the table below:

	Good Thing	Bad Thing
I did a...	Internal attribution (virtue)	External attribution (bad luck)
You did a...	External attribution (good luck)	Internal attribution (vice)

Now, of course not all attributions follow this pattern, but organizing our thinking this way can help us see more clearly how we are explaining the determination of behavior. Zimbardo, for example, has a table that looks like this:

	Good Thing	Bad Thing
I did a...	External attribution (good luck)	External attribution (bad luck)
You did a...	External attribution (good luck)	External attribution (bad luck)

But as it happens, that is only for low-ranking people: if you happen to be a high government official, officer, or leader, then you are much more likely to be saddled with a dispositional attribution by Zimbardo.

A more interesting case for our purposes might be the hypothetical attributional matrix of the leader of a character-leadership development program at, say, a service academy. We'll have to take a little poetic license with the matrix, so we'll work through this step-by-step:

	You behaved well	You behaved poorly
I run a character program	Internal attribution (I am virtuous)	
You participated in my character program	Internal attribution (you are virtuous because I transferred my virtue to you)	

Our hypothetical manager of a character and leadership development program is, perhaps not unlike our hypothetical stockbroker, ready to take credit when things are going well. If, on some measures (number of honor cases, etc) it appears that things are staying the same or maybe even getting better, then leaders are unlikely to see this as a happy accident: they are likely to see and portray it as evidence that their character program is working because they are virtuous and smart. So far, so good: we are on familiar territory vis a vis the self-serving attribution pattern.

What, on the other hand, if things go wrong? This is where the matrix as a vehicle to analyze these attribution patterns becomes just a bit strained. Let's for the sake of argument, consider that the lower-right "You behaved poorly" cell means that you as an individual behaved poorly, but that the overall rate of bad behavior has not called into question the overall success of the character/leadership program. Then, we should expect another internal attribution:

	You behaved well	You behaved poorly
I run a character program	Internal attribution (I am virtuous)	
You participated in my character program	Internal attribution (You are virtuous because I transferred my virtue to you)	Internal attribution: (You are a bad apple and not virtuous)

This attribution is straightforward, in that it allows the leader to maintain a consistent, positive self-image: after all, every barrel has a few bad apples, and our program can't be expected to be 100% successful. The real challenge occurs when there is evidence that the program is not working: a major cheating scandal occurs, or a steady drumbeat of honor cases makes clear that things are not improving, or perhaps even getting worse. How will leaders respond under these circumstances?

	You behaved well	You behaved poorly
I run a character program	Internal attribution (I am virtuous)	External attribution: (Society is sending us morally inferior individuals)
You participated in my character program	Internal attribution (You are virtuous because I transferred my virtue to you)	Internal attribution: (You are a bad apple and not virtuous)

Now we might expect to see an external attribution. When I worked at the Air Force Academy, I clearly remember senior officers, when confronted with the reality that cadets were continuing to commit high-profile honor violations despite their high-profile character programs and efforts, patiently explaining to me that this was because American society had morally deteriorated to such an extent that the cadets we were being sent were of inferior moral material, and no one could be expected to make a moral silk purse of these societal sow's ears.

So, it may not always be the case that the leaders of character programs of the sort Professor Reed describes always fail to recognize that situational variables can affect behavior: it may rather be that their external/internal attributions are sometimes organized in a way that is congenial to the maintenance of their preferred world-view.

The external attribution lets them off the hook, and places society on it. This incidentally, is precisely parallel to Zimbardo's organization of internal/external attributions: his world view is that authority is bad, and that those in authority are to blame when low-level actors act badly. As a result, those who actually commit crimes are let off the hook with an external attribution, but those in charge, no matter how remote from the crimes, are blamed with an internal attribution.

Locus of Responsibility

So where does our discussion of character and situations, internal and external control, and attribution leave us if we return to the questions so perceptively posed by Professor Reed in his discussion? Professor Reed correctly, in my opinion, points out that misconduct is frequently misattributed by the

leaders of character programs at service academies and elsewhere. Professor Reed's suggestions to improve the outcomes of character programs are congruent with those I would offer: institutions and organizations that would seek to lead young people to a virtuous life should consistently and transparently and honestly set the example of virtuous living themselves. Far too often we see institutions and organizations fall short of this goal: this in itself need not be fatal to the enterprise of character development, but failing to admit error, papering over organizational misconduct, and failing to be honest about such lapses can be.

I am suspicious that this prescription would fit well within the Aristotelian framework, but I repeat that I do not know the philosophy well enough to take too strong a stand. Whether it is or isn't Aristotelian, it seems to me to make good sense. In the final analysis, the only real point of disagreement between Professor Reed and me is the nature of the misattributions sometimes made by some leaders of character development programs: who gets the blame when such

Professor Reed's suggestions to improve the outcomes of character programs are congruent with those I would offer: institutions and organizations that would seek to lead young people to a virtuous life should consistently and transparently and honestly set the example of virtuous living themselves.

programs don't work as well as we would like them to? I don't think the problem is that leaders don't recognize the role situational factors play, but that their pattern of internal and external attributions is self-serving.

One way to think about the different attributional schemes suggested by the situationist and the character approaches is to divide institutions and organizations

into three levels: low, medium, and high levels of authority and responsibility. The distribution of blame suggested by Zimbardo at Abu Ghraib is illustrative of the situationist approach when blameworthy events occur: little or no blame at low levels of the organization, some blame at middle levels, and most of the blame at the highest levels. We sometimes see character-based attributional schemes that place most of the blame at the lowest levels, some blame at the middle levels, and little or no blame at the highest levels: this is the “bad apple” approach against which Zimbardo correctly fulminates. We can compare these two approaches in tabular form:

	SITUATIONIST	CHARACTER
HIGH LEVEL	MOST BLAME	LITTLE OR NO BLAME
MEDIUM LEVEL	SOME BLAME	SOME BLAME
LOW LEVEL	LITTLE OR NO BLAME	MOST BLAME

We can now address the somewhat cryptic title of this paper: “Focus on the Locus”. The locus I have in mind is the locus of responsibility: where do we look when we seek to assign responsibility for conduct that has a moral valence, either positive or negative? I submit that biased attributional schemes like those posited above may both be unhelpful in fully understanding the origins of misconduct. Such schemes tilt the explanatory balance in advance, potentially blinding us to important factors contributing to the outcomes we seek to change. A more balanced approach might be ideal:

	SITUATIONIST	CHARACTER	IDEAL
HIGH LEVEL	MOST BLAME (CREDIT)	LITTLE/NO BLAME (CREDIT)	SOME BLAME (CREDIT)
MEDIUM LEVEL	SOME BLAME (CREDIT)	SOME BLAME (CREDIT)	SOME BLAME (CREDIT)
LOW LEVEL	LITTLE/NO BLAME (CREDIT)	MOST BLAME (CREDIT)	SOME BLAME (CREDIT)

We psychologists like to think that the first step in changing our behavior is developing self-awareness: often, the act of explicitly attending to our behavior creates its own momentum for change. The first step in an effective weight-loss program is often onto the scale. Organizations interested in understanding the origins of misconduct might usefully analyze the attributional patterns of their own past, present, and future approaches to such problems. Simply enumerating the organizational level at which explanations have been offered and actions taken might help us to uncover systematic biases in our attributional schemata that we can work to correct. Balancing our attributional patterns in this way might offer hope for developing more realistic and effective responses when things go wrong.

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LEADERSHIP

Character and Leadership: Ancient Wisdom for the 21st Century

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ABSTRACT

This paper is inspired by the sentiments of Winston Churchill, *"The further back you can look, the farther forward you are likely to see."* Notwithstanding all the work and intellectual efforts by current scholars and practitioners on the topic of good leadership and good character, there is much to be learned by drawing from the ancient philosophical tradition, notably Socrates, Plato and Aristotle. Simply said, it is critically important that we learn from and apply the wisdom of the ancients to the current thoughts and practices as to how character and leadership are acquired and developed. The timeless wisdom of the ancients is even more relevant today given the ever-increasing pace, complexity and uncertainty faced by individuals, organizations and societies.

We claim that Aristotle's rich discussion of what virtuous (good) character is, and how it is acquired is extremely relevant to contemporary scholarship in leadership studies, and can cast valuable light on three questions:

1. *Why* is the connection between leadership and virtuous (good) character important?
2. *What* is (good) leadership and (good) character?
3. *How* do we acquire and develop both of these attributes?

Our thesis is that Aristotle's account of virtue helps to explain the deep connections between good character and authentic leadership... and leadership (of both self and organizations) with purpose.

Introduction

In a world that is inundated with failures of character and leadership and where developing these qualities in positive ways is the increasing focus of most every sector (government, public, private), industry and profession, we have so much to learn by looking back at the scholarly wisdom of the ancient philosophers in order to apply their lessons in the 21st century. Our claim is that it is critically important to understand the deep roots of virtuous (good) character and effective leadership as we wrestle with three important burgeoning questions:

1. *Why* is the connection between leadership and virtuous (good) character important?
2. *What* is (good) leadership and (good) character?
3. *How* do we acquire and develop both of these attributes?

This clarion call compels us to invest the time and energy to look back to some of the foundational underpinnings of the concepts of character and leadership. By then projecting these onto our contemporary environment, we may hope to advance (good) character and (good) leadership in order to enhance the meaning and purpose in our own lives and in the lives of those entrusted with leading all sectors of society – so all can contribute to making the world a better place. Underpinning our review, we embrace a “growth” versus a “fixed” mindset” (Dweck, 2012), placing value on our ownership and choice:

“I do NOT believe we are all born equal. Created equal in the eyes of God, yes, but physical and emotional differences, parental guidelines, varying environments, being in the right place at the right time, all play a role in enhancing or limiting

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an individual's development. But I DO believe every man and woman, if given the opportunity and encouragement to recognize their potential, regardless of background, has the freedom to choose in our world. Will an individual be a taker or a giver in life? Will that person be satisfied merely to exist or seek a meaningful purpose? Will he or she dare to dream the impossible dream? I believe every person is created as the steward of his or her own destiny with great power for a specific purpose, to share with others, through service, a reverence for life in a spirit of love."

—Hugh O'Brian, *The Freedom to Choose*

This paper is a response to the call to action more than ten years ago in the face of the increasing instances of failed leadership with increasing consequences upon an increasing number of victims due to the global and interconnected world in which we live. Recent history is replete with examples of failures in leadership and/or in character across various sectors of society, to include some of our most respected professions: military, medicine, law and the clergy. The truly notable examples of successes of leadership and/or (good, or virtuous) character, such as Captain Sully Sullenberger and the "Miracle on the Hudson", are few and far between and we understandably celebrate these rare exemplar "heroes" around the globe.

Winston Churchill once claimed, "The further backward you can look, the farther forward you can see." Accordingly, we explore the historical underpinnings of what virtuous or (good) character leadership is from the ancient philosophers – Socrates, Plato, and Aristotle (aka "ancients"). Aristotle, in particular, has much to offer here and we focus on his insights relevant to habituation (i.e., instilling character in both oneself and others). Specifically, what did Aristotle have to say about "character":

- What is it?
- How is it acquired/developed?
- Does/Can it lead to flourishing and happiness?

Additionally, how does what he had to say illuminate the notion of character for the nature and practice of developing leadership? We look at this from an individual level of "self-leadership" and human capacity perspective, and also from a collective level as it relates to "organization" and social capacity (Drucker, 2005; Day, 2001; Born, Craig, & Dickens, 2016).

WHY? The Modern Context

Looking at our future through the lens of education, there are compelling survey results indicating 80 percent of high-achieving high school students admitted that they cheated at least once (Kleiner & Lord, 1999). Half of these students did not feel that cheating was wrong. Additionally, Kleiner & Lord (1999) noted that research has revealed that 75 to 98 percent of college students admit to having cheated in college (Hendrix et. al, 2004; 2015). Why do people develop in this way? What has gone wrong in these students? Is it a failure of knowledge or a failure on the side of emotions or desires? What is the role of the environment? Has the culture of the high school and/or college failed in some way; can cultures in schools and colleges help to address this? Is this just about the individual or about the organization? On the surface, these appear to be matters concerning bad character of the students. But that may be too simplistic a response. What about leadership in the organization? Does the behavior of a college leadership team influence the students' character, and what about the development of leadership qualities in the students? Does this proclivity for dishonesty already affect their capacity for good leadership in the future?

The need to focus on leadership and character development is not limited to education. The business world deals with critical issues daily that involve ethical decision-making and moral behavior (Ajzen & Fishbein, 1980; Ajzen, 1985 & 1991). The consequences of failed character and poor ethical practices can be profound and lasting and are well highlighted in the recent high-profile global examples of dishonest and fraudulent corporate practices such as Enron, World Com, Boeing, Tyco and more recently Wells Fargo, VW, GE, Fox News, and Uber. A report for the Asian Institute of Finance raises some similar concerns as to the attitudes of practitioners. For example, “These gaps [in ethical values and practices] range from ethical standards not being upheld at all times to tolerance of less than ethical means of meeting business targets to slack concerns about receiving “gifts” to favoritism towards family and friends in recruitment and awarding of contracts.”(AIF, 2017, p. 6). From a business perspective also, character and ethics education are an incredibly important area for academic focus and research since it underpins everything we do, both personally and professionally.

This evidence of the current *modus operandi* illustrates there is still much to be done, both to educate our leaders of tomorrow and to instill within them sound, sustainable virtuous character and ethical principles (Sims & Felton, 2006). “We are entrusted with people’s lives. They are our responsibility and our legacy. We know that the growth mindset has a key role to play in helping us fulfil our mission and in helping them fulfil their potential.” (Dweck, 2012). Given the ever-increasing complexity and massive globalization of the world in which leaders operate,

a more sophisticated treatment of the nexus between leadership and character is a 21st century imperative (Sanders & Lindsay, 2009).

To emphasize the importance of this nexus we turn to another professional field which recognizes that the 21st century provides a very different and disruptive environment within which to live and lead. An acronym coined by the U.S. Army War College at the end of the Cold War, “VUCA” describes the volatility, uncertainty, complexity, and ambiguity in an environment (Bennet & Lemoine, 2014). Taking hold most notably after the terrorist attacks of September

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11, 2001 and gaining further traction during the financial crisis of 2008-2009, VUCA attempts to characterize the “new normal” of today – a world with radical changes in technology, global disasters and crises, aging populations, and all-around structural disruption (Lawrence, 2013). This notion of a VUCA world has been further substantiated by an IBM study of more than 1,500 CEOs, with a majority stating that their number one concern is how to effectively operate within the increasing complexity of their environments (Petrie, 2014). The VUCA environment creates the need for greater for stability and direction. Our “good character”, values, and purpose provide part of the internal compass towards our “True North” (Craig & Snook, 2014; George, 2015; Born, Craig & Dickens, 2016).

The three fields of education, business, and the military, point to the importance of connections between virtuous (or good) character and leadership, and this lends support to why we need to reflect on the acquisition of virtue and its connection to leadership. However, when considering virtuous (good) character, the trait and/or state question is important: Is it that certain people are born moral/ethical, born of virtuous (or good) character? Or is it situational and derived and shaped by the environment? Perhaps it is both. Does leadership itself play a role in the inculcation of virtue?

Some previous research has found that unethical behaviors tend to occur during certain situations rather than because a person is “unethical” by nature, or born with vices (i.e., situations, rather than good or bad character, determine what individuals do). Other research demonstrates that we start to believe our own lies, and as cheaters we get a “high” that is distinctively human (Ruedy et al, 2013) and under certain circumstances individuals may condone certain behaviors when otherwise they would condemn them (Bazerman & Gino, 2002). Contemporary discussions have suggested that a possible solution could be to educate people with an integrated approach that takes into account both an internal desire toward ethicality (values-oriented approach) and reducing external temptation (structure-oriented approach) (Zhang et al, 2014). Considering ethics in a “realistic” manner rather than idealistically, is a necessary shift to successfully teach and develop character, as well as ethical and moral reasoning (Zimmerman, 2015).

Similar discussions in the philosophical literature have seen debates between “situationist” as opposed to “character” theorists (Flanagan, 1991; Harman, 1999; Athanassoulis, 1999; Doris, 2002; Miller, 2013). As we shall see, Aristotle has insights here, recognizing the importance of situation and environment (including

leadership), but still leaving room for individual freedom to choose, and for virtuous (good) character or vicious (bad) character as an important explanatory factor in human behavior.

WHY? Ancient Wisdom

From the first issue of the *Journal of Character and Leadership Scholarship*, there is a strong “call to action” for work “to generate new knowledge and practice of leadership and character for scholars and practitioners in contemporary societies.” (Lindsay & Sanders, 2009; p. 7). The next journal iteration, *Journal of Character and Leadership Integration* and the new *Journal of Character and Leadership Development* strengthens and intensifies this argument for advancing the scholarship of leadership and character both in theory and in practice.

So, in modern discussions, the importance of virtuous (or good) character, and its relation to good leadership, has been a focus of study in reflection on education, business, and the military, as outlined above. But as we have mentioned, our purpose is to draw on ancient wisdom to determine its applicability to the current environment. Character, and, virtuous (good) character was a central issue in the ethical deliberations of three of the great ancient Greek philosophers, Socrates, Plato, and Aristotle. Our suggestion, then, is that our modern discussions may benefit from attending to their insights. We focus here on Aristotle in particular, but also draw upon contributions from Socrates and Plato. The first question we would like to pose is: What do these thinkers add to the modern scholarship as to why the connection between leadership and virtuous (good) character is important?

To address this, let us turn to Aristotle’s account of virtuous character, and begin with a terminological point about the use of the word “character.” In what

we have written thus far we have often used the term “virtuous character” or “good character”, not just “character”. This is because in contemporary English the word “character” has at least two connotations.

We can talk about a person’s character where the term “character” itself is evaluatively neutral (or evaluatively open). So, we can ask “what sort of character, do you think that student has?” You might reply that s/he is “kind and thoughtful” or on the other hand s/he is “nasty and manipulative.” Used in this way, the term “character” refers to a genus and there can be good and bad types of character.

Yet sometimes we can use the word “character” with positive evaluation built in – so we might say “s/he has real character – that’s what makes them such a good leader”. In this usage we mean that he has really good character, or that s/he has genuine virtue. So here the word “character” is being used when we are referring to virtuous character. But to explain Aristotle’s approach to virtue, where he picks out virtue (or good character) as one of four types of character, we need to use the word “character” for the genus, and not simply as an equivalent for “good character” or “virtue”.

Bearing this in mind, we can now turn to Aristotle’s main discussion of character which is in the *Nicomachean Ethics* (NE) (Aristotle, 2009). In book VII, chapters 1-3, he notes that there are several main types of character. The four central ones (setting to one side for present purposes both heroic excellence and beastlike vice) are: virtue (or good character), *encrasia* (or strong will), *acrasia* (or weak will), and vice (or bad character). So, when we talk about the importance of (good) character and leadership we are really talking about the importance of virtue. Some examples of the virtues (or types of good character) might include courage, justice, truthfulness, and

kindness. These contrast with corresponding vices (or types of bad character) – cowardice, injustice, untruthfulness, unkindness.

Our focus here is on why virtue (or good character) and (good) leadership is/are important. “But the distinction between four types of character – *virtue*, *encrasia*, *acrasia*, and *vice* – just noted, is relevant here. Aristotle distinguishes these character types along three parameters – emotions or desires, choice, and action (Urmson, 1973). The *virtuous* agent (agent of good character) wants to do the right thing, chooses to do it, and does it (taking pleasure in doing so); the *encratic* agent (agent with a strong-willed character) chooses to do the right thing, and does it, but has to overcome a conflicting desire in order to do so (so is conflicted and fails to take pleasure in doing it); the *acratice* agent (agent with a weak-willed character) chooses to do the right thing but has a conflicting desire which overcomes their choice, so fails to do it. The *vicious* agent (agent with bad character) wants to do the wrong thing, chooses to do the wrong thing, and does it (so takes pleasure in doing the wrong action).

Aristotle observes (in NE, VII, 7) that humans are pretty much all *encratic* (*have strength of will*) or *acratice* (*weak-willed*). Put another way, we all have conflicted characters, to a greater or lesser extent. The notion of the fully virtuous human (the agent of perfectly good character) who wants all the right things, chooses them, and acts accordingly is, in other words, an ideal that is never actually found amongst humans (just as Plato had to admit that his fully “virtuous” philosopher kings” were an ideal and could never actually exist). What follows from this is that when we talk about someone as virtuous, or as having a particular virtue (e.g., courage or justice) we are actually talking about someone who is at best largely *encratic*, so closer to full virtue. But any actual leader, even the best (according

to Aristotle), will still be conflicted, at least to some extent – that is at best such a leader will do the right thing with an internal struggle. S/he will have some inclination to do the wrong thing, and the existence of that inclination makes it likely that at some point it will be manifested in action. It is important to realize that this is the best that can be achieved by any human, according to Aristotle.

This is an important repercussion of Aristotle's understanding of the different types of character and it is an important implication for our appreciation of the relation between virtuous (good) human characters and (good) leaders. This requires a paper in itself, but we note for the present discussion that whilst an agent may have a conflicted character overall, this is still consistent with the possibility that on particular occasions s/he may act virtuously without conflict. But let us now return to the question of why virtuous (good) character and (good) leadership are important.

We noted above that good character (or virtue) and ethics education is an incredibly important contemporary area for academic focus and research, and this was also true for the Greeks. The questions of what virtue (or good character) is, and how virtue is acquired and developed were central for Socrates, Plato, and Aristotle ((Plato, *Laches, Meno and Republic*, J.M. Cooper (ed.), 1997)), (Aristotle, L. Brown (ed.), 2009). And they were interested in:

1. Why virtue is important, and also,
2. Why virtue is crucial for good leadership.

The question of why virtue (or good character) matters is also raised directly in a number of Plato's dialogues, notably *Gorgias*, and *Republic* (Plato, J.M. Cooper, (ed.) 1997). In these works, Socrates, presented as a participant in the dialogue, argues that

it is indeed always better to be just rather than unjust, courageous rather than cowardly, (and so on) because being virtuous (of good character) is productive and what is really in one's interest, true happiness or flourishing. The claim that it is better to be unjust is argued forcefully by another character in *Republic*, Thrasymachus, and the discussion here is relevant to the surveys about college students cheating which we referred to above. Thrasymachus claims that it is not in one's interests to be just or courageous or in general of virtuous (good) character... one is better off being unjust, cowardly or in general, of bad character. Thrasymachus's view depends in part on what he takes to be worth having in life (competitive goods). Socrates, Plato, and Aristotle all try to meet this challenge by showing that being virtuous (of good character) does actually produce what is really worth having in life (non-competitive goods), such as a harmonious psyche.

So, the question of why virtue, or good character, matters, understood in this way as the question "why be virtuous (of good character) rather than vicious (of bad character)?" is central for these ancients. Their response is that, in order to show that it is important to be virtuous (of good character), one must attend not just to what virtue (or good character) is but to what is truly in one's interests or worth having in life. In Aristotle's NE this connection is expressed in terms of the link between being virtuous and being truly happy (having *eudaimonia*), attaining the ultimate good for individuals and society.

As already noted, the Greeks were interested in the questions of what virtue is and how virtuous (good) character is acquired. A connected question is how one conveys to someone why virtue (good character) is important (if it is). These questions link to our second 'why?' point about virtue (good character) and leadership. Why is virtue (good character) important

for (good) leadership? But one might also add to this: why is leadership important for virtue (good character)?

To say more about the Greek and Aristotelian view here we really need to say more about our second and third questions – “*what* is virtue (good character) and leadership?”, and “*how* is virtue (good character) acquired?” But it is possible to outline the ancient approach first. One place to start is again Plato’s *Republic*. Here Plato argues that the best society is one that is led by “philosophers” or “philosopher kings”.

It is important to be careful with this term – Plato is not referring to a member of a modern academic discipline – rather a philosopher here is (literally) “a lover of wisdom”. But the key point is that he argues that these rulers, or leaders, must be developed to have all the virtues (all the aspects of good character). So, the virtues (a completely good character) are required for the leaders of the best society.

Why is this? For Plato it seems mainly to do with judgement – these leaders must have good judgement to make the right laws for those they lead. Once we have Aristotle’s account of what virtue (good character) is in place we will also see that having all the virtues will give the philosopher kings the necessary resources of courage, self-control, and so on, to act on their judgements. In addition, attention to Aristotle’s discussion of *how* virtue (good character) is acquired can add a further point to this picture. Aristotle’s account (in NE, book II and following) suggests that the acquisition of virtue (good character) is affected by exemplars, so virtuous leaders can influence those they lead as prime exemplars who help in the formation of a virtuous (good) character. Aristotle’s account also suggests that conveying the importance of virtue (good

character) is not simply a matter of argument, so good (virtuous) leaders can also convey the importance of virtue. So, virtue and leadership are intertwined in complex ways: virtue (good character) is important for good leadership and good leadership is important for the acquisition of virtue, including helping those who acquire it to appreciate its value. Aristotle’s account of these matters depends on his view, set out in his *Politics*,

“What is virtue (good character) and leadership?”, and “how is virtue (good character) acquired?”

as well as NE, that humans are gregarious beings, that their flourishing is inter-dependent. It is this inter-dependence that explains the complex relationship between virtuous (good) character and leadership.

What is Virtuous (Good) Character and Effective Leadership?

George Washington said, “I hope I shall always possess firmness and virtue enough to maintain the most enviable of all titles: the character of an honest man.” Teddy Roosevelt claimed “A sound body is good; a sound mind is better. But a strong and clean character is better than either.” Even General Dwight D. Eisenhower, when asked how he selected his commanders for the D-Day invasion during World War II answered unequivocally, “by character, only character.” So, what is character and how do we develop it?

Berkowitz (2002) provides a very useful summary of what appear to be the most promising interventions for developing individuals’ (good) character. He also gives an excellent discussion noting that there is little agreement about how to define (good) character and what components make up (good) character. He

defines character as “an individual’s set of psychological characteristics that affect that person’s ability and inclination to function morally.”

Tracing back to the (ancient) Greeks, the term character is derived from the Greek word *kharassein* which means to engrave or inscribe (Klann, 2007). When applied to people, it refers to the human qualities that have been internally engraved into an individual (Sheehy, 1988). Fast forward several millennia, this analogy was likely best captured by General Lincoln, West Point’s legendary leader of the Social Sciences Department when explaining the importance, the military places on character when he stated, “*the engraving on monuments of stone and bronze does not mark achievement. Only the engraving on the character and competence of our cadets and our young officers counts toward the fulfillment of our mission.*” We have contemporary examples in the United States with the passing of Senator John McCain and our late 41st President, George H. W. Bush where many world leaders commented on their character defining their very “essence” that defined their respective and respected lives and leadership.

For Aristotle, (good/virtuous) character was something that reflected the human function or purpose and arose when an individual actualized his/her essential potential (NE, I,7). He further noted that such virtuous (good) character is not automatic but must be socially cultivated. This is supported by work in the modern era (Bandura, 1986). Thus, purpose initiates the “action habit” – the main success ingredient, the ability to get things done (Schwartz, 1955). Purpose is who you are that makes you distinctive...it is “essence.” It is the how you bring you to any job. It is what you bring that no one else brings (Craig & Snook, 2014). While Socrates is presented by Plato as believing that a person who knows good will subsequently do good

(*Meno, Protagoras*), Plato’s student, Aristotle, believed that we become good by practicing good actions, and that a person may have knowledge of what is good, but lack the disposition to do good based on that knowledge (Wakin, 1976; 1996). For Aristotle, to be virtuous (i.e., have good character) was the ultimate pursuit of human fulfillment and reflected the excellence of a person’s character (Sison, 2006). The value of meaning and purpose is central to life and living (Frankl, 1959) and to an integrated and meaningful life and successful organization (Born et al, 2016).

Let us focus in more detail then on the question of what is virtuous (good) character? As we have seen the question of *why* virtue (good character) matters and why virtue (good character) matters for leadership (and vice versa) can only be fully answered when one has addressed the question of *what* virtue (good character) is, and that question also needs to be answered in conjunction with our final question, *how* is virtuous (good) character acquired.

The question of *what* virtue (good character) is becomes central for Socrates’ inquiries in ethics, (notably in *Laches, Meno, Euthyphro, Republic*), but it is Aristotle who offers the most sophisticated account, as well as developing insights from Socrates and Plato on the question how virtue (good character) is acquired. Aristotle’s discussions of virtue have been the subject of much recent scholarship (Burnyeat, 1980; Cooper, 1999; Curzer, 2012; Gottlieb, 2009; Hursthouse, 1988; Kraut, 2012; Lorenz, 2012; Vasilioou, 1996; Thornton, 2013; Jimenez, 2016).

So, what does Aristotle tell us about what virtue (good character) is? In NE II (6, 1106b35-1107a1), he offers a definition which has five features. Virtue (good character) is, “a state of character concerned with choice, lying in a mean this [mean] being determined

by a rational principle, and by that principle by which the man of practical wisdom would determine it” (Aristotle, 2009). Each of these features has received considerable attention (Urmson, 1973; Gottlieb, 2009; Hursthouse, 1988; Curzer, 2012), but here it will be necessary to be brief.

First, then, virtue (good character) is a *hexis*, a settled state of character, as are *encrasia*, *acrasia*, and vice. What this means is not that it is an unalterable state (except possibly for the unattainable ideal of the fully virtuous state), but that the mind of someone who has a state of character is disposed in a certain way. This is best understood by contrast with a small child’s mind. The child has all sorts of desires and beliefs which tend to come upon it in an entirely unstructured way, one after another. By contrast once one has arrived at a *hexis*, the mind is formed to some extent so that there is a settled tendency for certain desires and beliefs, and consequently certain choices and acts, to be formed in response to particular circumstances. Since in all humans that settled state is still to a greater or lesser extent conflicted, it is still an open question what choice and action might arise, and with what degree of struggle.

Part of the reason that a virtuous agent (agent with good character) has a settled state as compared with a child’s whirling psychological state is that the virtuous agent (and the other character types) has formed some conception of what is good, or worth pursuing in life and so is now capable of choices (*prohairesis*). This is the second aspect of Aristotle’s account. That is, rather than simply finding oneself having a desire, s/he now has desires which are responsive to that conception of what is worth doing. *Prohairesis*, translated “choice”, is here a technical term for Aristotle, so that an agent only makes choices when s/he has attained some such conception of what is worth pursuing in life. The

importance of this for good leadership is perhaps very clear.

Third, in the case of the virtuous agent (agent with good character) the choices (and actions) of that agent will “lie in a mean”. That is Aristotle supposes it will be possible to identify them as lying at some appropriate point between two poles, an excess and a deficiency. For example, the agent who has the virtue with respect to anger will be appropriately angry in response to the situation, neither “flying off the handle” in response to something of little import, nor failing to be angry in circumstances which merit an irate response.

Fourth, the ability of the virtuous agent (agent with good character) to form appropriate emotional or desiderative responses will reflect the fact that his/her conception of the good will be rational, they will have weighed up rationally the many different considerations that are relevant to what is worth pursuing in life and thus arrived at a well-judged sense of what to pursue. And fifth, in so doing, they will be exercising the intellectual virtue of practical wisdom which is what one has when one is able to make these good (rational) judgements as to what to pursue. In so far as leadership is about good judgement, it may also be clear how virtue (good character), as Aristotle understands it, is important for good leadership.

However, as we noted, virtue (good character) is not just about judgement but about choice. Or put another way, *phronesis*, (or practical wisdom) is practical – it is about following through from choice into action (ideally without the struggle that manifests internal conflict). Clearly that is important for leadership too, as we noted with respect to Plato’s “philosopher kings” earlier. In NE VI,13 Aristotle mentions that *phronesis*, brings with it all the virtues (all aspects of good character) so as well as justice, the practically

wise leader will have courage, which enables her/him to stand by her decisions, self-control, good-temper, truthfulness, and so on. Reflection on leadership suggests that it is this full set of virtues (all aspects of good character) that will often be required on any given occasion if the judgements of a good leader are to lead to required actions. Given the point made earlier about the distinction between the *enkratic* (which is the most an actual human can aspire to) and the fully virtuous, it is worth noting here that even an *enkratic* may be able to bring to bear all relevant virtues on a particular occasion even though the *enkratic* is not capable of exercising all virtues on all occasions (because the *enkratic* is psychologically divided, as explained earlier).

In what follows it will be noted how this Aristotelian account of virtue (good character) has the capacity to capture the link between good leadership and purpose that is indicated in the account of leadership. Looking back to earlier remarks, it will also be noted how this account of virtue indicates how a virtuous leader (a leader of good character) will have the resources to respond flexibly but appropriately to the “different and disruptive environment” envisaged in VUCA world. These VUCA conditions create even greater need to stabilize, relying on our values and purpose to stay on course (Craig & Snook, 2014; George, 2015; Born, Craig & Dickens, 2016).

Next, we consider *what* leadership is, but in the final section we turn to the question of Aristotle’s insights as to *how* virtue (good character), so understood, is acquired and the further implications that his account has for links between virtue and leadership.

What Role Does an Individual’s “Purpose” Play in One’s Character and Leadership?

As Stogdill (1974; p. 259) noted “There are almost as many definitions of leadership as there are people

who have attempted to define the concept.” One approach that resonates in this VUCA world is the notion of *authentic leadership* (Avolio and Gardner, 2005; Gardner et al, 2005; Gardner et al, 2005). Who and why are you seem to be relevant pursuits in one’s personal ownership and choice (George, 2015).

Simon Sinek’s recent books and TedX Talks, *Start with Why* (2009) and *Leaders Eat Last* (2014), might be onto something. Many organizations are getting back to the basics of their core purpose and thinking about service to a higher calling and their reason for being. What is your *raison d’être*? Do you know who you are and where you are headed? Do you and/or your organization know who you are collectively and where you are headed? Do you and/or your organization know your “why?” There is a definite sense in this world that there is increasing speed, vulnerability, complexity, and uncertainty in the 21st century. The disruptiveness of the global world we live in is impacting each and every one of us as we naturally seek stability in centeredness and grounding, and more clarity in “why we are here” at the individual to the organizational level.

Perhaps (good) character and leadership have something to do with having individual purpose and meaning and creating this for others, often referred to as building human and social capacity (Day, 2001). As Mark Twain eloquently stated, “The two most important days of our life are the day we are born and the day we figure out why.” What is our individual “why?” What is our organizational “why?” We see evidence that organizations are orienting themselves to discover and live their “why.” Companies like Starbucks and Heineken have discovered the personal, professional, and corporate benefits to having clear purpose at the individual and organizational level, and those that do both thrive and survive in the most challenging conditions. A sailing vessel heads out in

calm or uncertain conditions as it charts its course. The center board holds it stable, the tiller is critical to steer it in the intended direction, and the sailor guides the craft toward the destination: all are essential to stay on course. The winds, conditions, crew, and captain all factor into the journey, as well as reaching the ultimate destination: success. The “why” is often stated in “purpose.” (Born, Craig, & Dickens; 2016). As humans, we naturally desire a sense of meaning and purpose in our lives (Frankl, 1959; George et al., 2007; Hollensbe, Wookey, Hickey, & George, 2014). “As social beings, if teams and organizations are to be great, then it is critically important to provide a strong sense of purpose that attracts and keeps employees.” (Yaeger, 2015, p. 1; Dik, Byrne, & Steger, 2013; George, 2015).

Indeed, purpose is a very popular focus today. Many people are focusing on their purpose and companies are reaching out to public relations/marketing firms to help them define or refine their organization’s purpose. If an organization of the 21st century is going to thrive and survive (i.e. be around 10 years from now), purpose must be a core ingredient – that is non-negotiable. Yet, while trying to find purpose to rally around is nice, it misses the point of what a truly compelling purpose can do. The challenge with purpose is not to find it. The real challenge is to reconnect with the one that has always been there - but never recognized, acknowledged or appreciated. (Born, Craig, & Dickens, 2016). “Your purpose is your brand, what you’re driven to achieve, the magic that makes you tick. It’s not what you do, it’s how you do your job and why—the strengths and passions you bring to the table no matter where you’re seated. Although you may express your purpose in different ways in different contexts, it’s what everyone close to

you recognizes as uniquely you and would miss most if you were gone.” (Craig & Snook, 2014, p. 1.).

Having sketched this account of (good) leadership, we now turn to the questions of how:

1. to develop leadership with good character/ authentic leadership, and
2. authentic leadership/leadership and good character plays a role in the development of good character in others, and
3. leaders of good character/authentic leaders create the conditions for development of others as good leaders?

How Do We Develop the Attributes of (Good) Character AND (Good) Leadership?

There is much to grasp on the very important intersection of (good) character and (good) leadership. Instead of continuing to examine these two concepts in isolation, we need to start to address the two concepts together and leverage that understanding to gain greater insight into each of the concepts (Lindsay & Sanders, 2009).

Purpose is a very popular focus today. Many people are focusing on their purpose and companies are reaching out to public relations/marketing firms to help them define or refine their organization’s purpose.

There is a significant relationship between the impact of transformational leadership (as a form of authentic leadership) on organizational outcomes such as satisfaction, perceived performance, commitment, altruistic behavior, and intent to remain in the

organization that is enhanced by virtuous (or good) character qualities (Hendrix, Born & Hopkins, 2015) and job enrichment (Born, Hendrix & Pate, 2017). Accordingly, there is some strong emerging evidence in the observable links between leadership and (good) character, yet, the ancient philosophical material might enable more to be said of an explanatory nature about these links. So, why exactly is it that virtuous (good) character in a leader has additional beneficial effects, especially when the leader is exercising transformational leadership? What is it about (good) character that explains those effects? Aristotle's work on virtuous (good) character, including his views about how character is acquired and the relationship between character and happiness or purpose in life, might be very helpful both to our understanding of the relationship between leadership and good character and to establishing meaning and purpose for leaders themselves and others entrusted to their leadership. The explanatory account that follows contrasts with that given by Boaks and Levine (Boaks and Levine, 2014).

Aristotle recognized that any plausible account of *what* virtue (good character) is needs to be consistent with, and perhaps clearer for, a good account of *how* virtuous (good) character is acquired (and vice versa). So, in developing the analysis of *what* virtue is, he gives careful attention in NE to *how* an agent can learn to be of good character, notably in book II, but also in remarks throughout the work (Burnyeat, 1980; Vasiliou, 1996, Thornton, 2013). Aristotle (NE Book I, 3-4) distinguishes between the "that" and the "why" in ethics (Aristotle, 2009). A fully virtuous agent will both have a true belief *that* an act is the right thing to do (on this occasion), and a true belief as to why that is the right thing to do. So, the acquisition of virtue (good character) will involve acquiring both the "that" and the "why".

Aristotle (NE Book II, 1-2) suggests that this process of virtue acquisition (the acquisition of good character) is analogous to the process involved in acquiring skills such as building or carpentry. He calls the process one of habituation. This involves guidance, practice or action, and (usually) repetition. Of note, this is not just a matter of simple-minded habit formation.

The first stage – guidance – might be provided by an explicit piece of oral advice from a parent or teacher to a child, may be embodied in rules or laws, or may be conveyed by example. In other words, initially a child will learn *that* a certain behavior is brave or just either through being explicitly told that it is, or through observing the example behavior of one in a position of responsibility (or of an admired public figure), or perhaps the diffuse examples of how a community "does things around here". It may already be clear that this first stage in virtue formation is crucial for the connection between virtue (good character) and leadership, in several ways, but before examining this point in more detail, it is appropriate to sketch, very briefly the other two main stages in "habituation".

At this first stage, the child acquiring virtue (good character) will only have a rather attenuated grasp of the "that". Virtue acquisition is a life-long project, so an adult could also be at this stage – which is why leadership development is also a lifelong process – see Aristotle's remarks in NE Book X, 9 (Aristotle, L. Brown (ed.), 2009). The child will believe "that" the action advised is the right action, but only in virtue of trusting the parent, teacher, or exemplar. S/He will not yet see that this is the case for her/himself (so only has an "external" belief). Aristotle's next important claim is that, as with other skills, s/he can only come to see this for her/himself through action. Action has a cognitive slant in the area of ethics (Burnyeat, 1980).

Once the child has come to see for her/himself (thus forming an “internal” belief), that this is the right act in these circumstances (and obviously this will depend in part on the child receiving good initial guidance and not being subject to adverse peer pressure, or the like), the child will be at the beginning of various kinds of rational reflection which enable her/him to come to have a true belief as to “*why*” this is the right thing to do. Hopefully, it is already clear that Aristotle is not talking about a process of unthinking habit formation or conditioning. One decisive reason for this is that he is analyzing the acquisition of a rational state, the proper development of a rational being (which is what a human is, on his account – see, NE I,7).

Let us, though, reflect a little more on the first stage of acquisition. Here an agent forms an initial true belief as to the virtuous act in the circumstances. This involves guidance, whether oral, or through rules, laws, or crucially exemplars. The importance of exemplars makes clear the significance of leaders in this part of the process of virtue acquisition. Children, but all of us to some degree, are very prone to picking up or copying the behavior of those who are held in high esteem, whether because they are cultural celebrities or because they are set up in positions of recognized authority/leadership. Hence leaders, through their actions, have a considerable effect on what their followers are inclined to believe to be virtuous actions (the acts of a person of good character).

Being selected as a leader implies to us that the person in question must have attributes which make him/her worthy of that office. Not only that but the position of a leader tends to mean that they are set before their followers more frequently, so their style of behavior is more repeatedly “consumed”. More subtly, leaders tend to influence, by their example, the characters not just of all their followers, but more specifically of

other leaders, within a community or organization. It is natural to assume that if this is the way a person who is a leader in this organization behaves, then other leaders, and those who aspire to her position need to behave in that way too.

Thus, in a whole range of ways leaders influence the formation of virtue (good character) in their community. They are doing so all the time because of their high profile (and of course bad leaders have a similar degree of impact, but negatively). Their leadership behavior will be observed by followers not just in obviously public activities, or in the rules they lay down for the organization, but in the way, they are behaving even when supposedly out of the spotlight. Leaders are influencing the virtue formation (or lack of it) of the other leaders and the future leaders of that organization. Because of the roles of those other leaders, the example from the topmost leaders becomes echoed (or duplicated), increasing its power of influence on character formation in the whole organization. Put simply, leaders not only influence the first stage of virtue formation directly, but also have a significant indirect influence on an organization’s sense of “how we do things around here”, which is another important element in the first stage of virtue formation.

A second important connection between (good) character and (good) leadership has also been alluded to here. The formation of virtue in future leaders is significantly affected not just by those who lead them, but by the organizations in which they are formed. If an organization is rotten, and the conception of “how things are to be done around here” is rotten, then it takes considerable independence and strength of mind for a future leader to be able to see for him/herself that what is being passed on is misguided, that what virtue (good character) requires is a different type of behavior.

Furthermore, and by contrast, when a leader exemplifies virtuous behavior in an organization (does what is just, courageous, and truthful, her leadership example will be more compelling. This is because what her example is passing on to those led (in terms of their beliefs about right action), is correct, something a rational agent is adapted to recognize as worthy of pursuit. When a leader is genuinely virtuous (genuinely of good character) this will be easier for followers to recognize because they are recognizing what is genuinely desirable or worth doing, which they are adapted to recognize when functioning well as a rational being. This is not like a case where a follower mistakenly takes herself to see something as desirable or worth doing when subject to malign peer pressure, for example. This case can be contrasted with that of someone who is being led by a vice-ridden leader, charismatic, but unjust and dishonest. Such a follower is more likely confused because she is inclined to believe that such behavior is right, and yet struggles to see for herself what exactly is desirable, or worthy of pursuit, in it, since it is not in fact desirable or worthy of pursuit.

This leads to two further points linking (good) leadership and (good) character. First, earlier we touched on the way in which one can be convinced that it is better to be virtuous (of good character), and whether that was entirely to be achieved by dialectical argument. Plausibly a genuinely virtuous leader will convey, through the way in which s/he instantiates good character, the value of that kind of life. Because they are doing what does in fact have a point (is in fact worthwhile), their example will show, or convey that truth directly. Thus, we now have an Aristotelian account of virtue formation (the formation of good character), which involves guidance (including from exemplars), practice, and often repetition. We also have his account of what virtue is – a state of character involving choice (*prohairesis*), which lies in a mean,

in accordance with a rational principle, that principle which the practically wise agent would hold.

The second and deeper link then, is that, taken together, Aristotle's analysis of what virtue is and how it is acquired may also provide an explanatory link to the idea that good leadership is leadership that has real purpose, so that good leaders will identify and convey to others the worthwhile purpose of the organization or community they lead.

On Aristotle's account, truly virtuous leaders will see for themselves the point of right or virtuous action (the acts of a person of good character) and know why it is virtuous. Virtuous behavior is thus rational, and the fully virtuous agent will act in accordance with rational principles as Aristotle suggests. But then in the case of a virtuous leader (a leader of good character), the purpose of the organization s/he leads must be one which is consistent with his/her virtue and it must indeed be a purpose which a virtuous agent can recognize as having a point so there is reason to pursue it. The fact that it is articulated and pursued by a virtuous leader is also, therefore, more likely to make that purpose compelling to those who are asked or encouraged to pursue it within the organization.

In sum, we can begin to see a nest of ways in which, given the ancient Greek discussions of virtue, and particularly Aristotle's account of what virtue is and how it is acquired, virtue and leadership intersect fruitfully, and in a manner that shows why virtuous leadership matters.

Conclusion

We began this paper with two observations. First, citing Winston Churchill, we highlighted the potential value to leadership studies of drawing on insights from past intellectual history, and the

ancient Greeks in particular. Our claim was that looking back to Aristotle's nuanced and sophisticated account of (good) character, or virtue, could provide a valuable understanding for contemporary leadership scholarship and practice.

Specifically, we argued that attention to his analysis can provide explanatory depth to contemporary work suggesting that good leadership and good character are attributes that intersect in fruitful ways. Taking as a starting point the widespread call for better leadership and more examples of good character in leadership, we claimed that Aristotle shows why good character and good leadership are important by pointing to complex ways in which they intersect – from the influence of leadership on the development of good character to the necessity of good character for enabling leaders to judge and act with purpose. The convergence and importance of these two qualities was recently highlighted by the passing of America's last great soldier statesmen and war hero president. National and world leaders alike were resounding in their praise of the late President George H. W. Bush and what defined his success on the national and international stage. Despite his world changing accomplishments, what defined him most was his "essence" his grace, civility, honor, dignity, and social conscience which defined his character and in turn his leadership.

Second, we have noted the widely-held belief that many of the rather widespread recent examples of poor leadership, in diverse fields, reflected poor character in those leaders. On the other hand, examples of good leadership, like the case of "the miracle on the Hudson" manifested virtuous (or good) character – courage, honesty, self-control, and wisdom. Furthermore, rigorous empirical academic work also points to important connections between (good) leadership and (good) character for human and social capacity

on important outcomes within and for organizations (Hendrix, Born & Hopkins, 2015; Born, Hendrix & Pate, 2017).

These beliefs of "the many" and "the wise" constitute the *phainomena*, (Nicomachean Ethics, VII, 3), the way things seem to be, which Aristotle takes as a starting point for further inquiry. His aim in such an inquiry is to preserve as many of those beliefs as possible, confirming their truth, but more fundamentally, to arrive at a deeper understanding through providing an explanatory account for those beliefs.

Thus, in Aristotelian vein, what we have sought to do here is to draw on insights from the ancient Greeks, and Aristotle in particular, in order to provide an explanatory framework which enables us to begin to understand the complex network of connections between virtuous (good) character and (good) leadership. In doing this, we aim to develop a deeper appreciation of the nature of both character and leadership.

We then called upon insights from Socrates/Plato, as well as Aristotle, to indicate some of the reasons why the connections between (good) character and (good) leadership are important. The exercise of good leadership requires the good judgement or practical wisdom which Plato identified as a central attribute of his ideal political leaders. However, good leadership also involves the practical application of that judgement, which requires its manifestation in ethical virtues such as justice, courage, and self-control so as to produce appropriate action. On the other hand, the formation of character in future leaders (and others) depends crucially on the environment created by good leaders, which becomes clearer when we attend to the "how" question.

Our answer to this “why” question was then developed further by the next explanatory stage, namely setting out a deeper explication of what both good character and good leadership are. In doing this, we have seen suggestive links between the dependence of (good) character on an agent’s conception of what is good or worth pursuing in life, and the account of (good) leadership as leadership with purpose (whether it be leadership of the self or leadership of others).

Illustrating the applicability of this explanatory framework to the contemporary world, the military in particular has long recognized this strong interdependence of the Why-What-How, the importance of good character to good leadership, and the notion of practice and habituation as fundamental to acquiring special moral virtues (honor, courage, truthfulness, loyalty, selflessness, etc.).

Aristotle was clear that a satisfactory account of what good character is should cohere, in explanatorily rich ways, with the best account of how virtuous (good) character is acquired. So, the third stage of our argument took the explanatory framework yet further by drawing on Aristotle’s favored account of virtue acquisition and using that to indicate a complex network of explanatory connections between how (good) character is developed and how good leadership is nurtured. Beginning to unpack the key concept of habituation shows that these connections are bilateral, with good leadership helping to develop good character, and the acquisition of good character being a component in the development of a good leader.

Illustrating the applicability of this explanatory framework to the contemporary world, the military in particular has long recognized this strong interdependence of the Why-What-How, the importance of good character to good leadership, and the notion of practice and habituation as fundamental to acquiring special moral virtues (honor, courage, truthfulness, loyalty, selflessness, etc.). These virtues are the keys that define the service’s ethos and enable the military profession to carry out its mission.

Furthermore, these virtues are encapsulated in each of the military services Core Values, and their lifelong practice is absolutely crucial to the Profession of Arms developing leaders of character. Simply stated, when asked the question “How do service members acquire these virtues?”, it becomes second nature to give the Aristotelian answer “Habit and Practice!”

Considering this explanatory framework, we are now in a position to understand more fully the widely held belief that (good) character is significant to (good) leadership in concrete situations such as the “Miracle on the Hudson”. Our Aristotelian account of virtuous character explains how a virtuous agent is disposed to make good judgements in challenging circumstances, judgements which reflect the leader’s purpose. Virtuous character involves, on this account, the appropriate desires and emotions that enable a good leader to behave in ways that adhere to his judgement and purpose.

Likewise, given our Aristotelian account of vice, corresponding to the account of virtue, we can now

explain more fully the widespread belief that “bad” character led to recent examples of poor leadership in areas as diverse as banking, medicine, politics, and religion. Bad character (or vice) in leaders leads to poor judgement and corresponding behavior, that is at odds with appropriate purposes for such organizations. Indeed, poor judgement can give rise to a loss of the sense of appropriate purpose altogether. The analysis reveals how the inappropriate desires, emotions, and behavior of leaders with bad character can set examples which adversely affects the behavior of those they lead (who follow their example), and thereby the culture of the entire organization or community.

Whilst we believe that this Aristotelian explanatory framework, enriches our appreciation of both character and leadership, we see this paper as a stepping stone for further interdisciplinary research. There are many connections across especially the humanities and social sciences, yet also the basic sciences and engineering. First, this outline analysis of good character points to interesting connections between a good leader’s desires, emotions, and judgement, on the one hand, and their purpose(s), on the other. Second, the teleological nature of this complex Aristotelian explanatory framework is powerfully suggestive, but there is more to uncover about the significance of purpose in both leadership and character and its connection to purpose in human life more broadly. It would be prudent to look more rigorously at the impact of our individual and collective purpose (meaning) in the process to educate, train and develop leaders of character.

Third, there is much more to be said about the structure of organizations and character formation as a life-long process, developing the connections between individual character formation and the communities within which characters are formed. Within that framework, there is a need for more careful analysis and

understanding of the role and nature of good leadership, at various levels within a community or organization, in the formation of virtuous (good) character in all the members of that community or organization. There is also room for a more detailed explanation of the way in which the formation of good leaders depends on the culture of the organizations in which those leaders are formed, because of the complex role of that culture in forming virtuous (good) character in those developing leaders themselves.

In sum, we aim to have shown, both through the explanatory framework set out here, and the potential for future work, the enormous value of attention to our rich intellectual heritage when addressing the pressing and diverse issues in contemporary leadership, both practical and theoretical.

♦ ♦ ♦

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TEAMWORK

What Makes a Good Team Leader?

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ABSTRACT

Although team leadership is important across many contexts, it is particularly influential in traditional, hierarchical organizations such as the military. In these settings, leadership can explain a major portion of variance in team performance. Failure to understand this relationship can harm the training and development at multiple levels (Zaccaro, Rittman, & Marks, 2001). We draw from the vast literature to identify and elaborate on overarching themes, or key insights, that can guide the practice of team leadership. Our insights follow the lifespan of a team – creation, inception, and sustainment of a team. We conclude with suggestions for future investigations, based on the state of the literature.

“The high commander must therefore be calm, clear, and determined... His success will be measured more by his ability to lead and persuade than by his adherence to fixed notions of arbitrary command practices.”

Dwight D. Eisenhower (1948)

Dwight D. Eisenhower held many impressive titles during his lifetime, including 34th President of the United States, Five Star General of the United States Army, and Supreme Allied Commander of the Allied Expeditionary Force (World War II). However, prior to ascending to such esteemed positions, “Ike” proved his mettle through exceptional command of military teams. As a young commanding officer, he strategized his units by using charismatic leadership: identifying his junior officers’ strengths, engaging with them openly, and optimizing distribution of their talent (Ambrose, 1983). Because of his deep understanding of the gravity and impact of the leadership of teams, Eisenhower stands as an exemplar of effective military direction.

Importantly, one need not be a five-star general to experience the effects of strong team leadership. In fact, the lessons from Eisenhower’s legacy and leadership are universal. Today, work continues to depend on collaboration and group-based effort, requiring strong and adaptive team leadership. Across contexts, team leadership is a key driver of affective and behavioral outcomes within organizations, enhancing team cohesion, and organizational

results (Burke, Stagl, Klein, Goodwin, Salas, & Halpin, 2006; Foels, Driskell, Mullen, & Salas, 2000; Zaccaro, Rittman, & Marks, 2001). Moreover, team leadership itself is a valuable asset, as it leads to individual professional development, team learning, and general increased leadership capacity (Day, Gronn, & Salas, 2004). This paper reviews the literature around team leadership, distilling foundational and current research findings into evidence-based insights.

We first define a team as a group of individuals who play specific roles and interact dynamically, interdependently, and adaptively toward a mutually-shared goal (Salas, Dickinson, Converse, & Tannenbaum, 1992). Within this type of group, leaders play an important role in maintenance, development,

and effectiveness (e.g., Hackman & Walton, 1986; McGrath, 1962). Indeed, team leaders can define compelling directions, develop enabling structures, ensure supportive contexts, and provide access to expert coaching (Hackman, 2002; Stagl, Salas, & Burke, 2007) – all functions which serve to bolster the team and its performance.

Leadership in teams differentiates itself from general leadership in critical ways, including through its approach, contingencies, emphases, and features (Kozlowski, Watola, Jensen, Kim, & Botero, 2008). Given the dynamism and developmental idiosyncrasies of group work, leaders of teams must focus on the process of leadership, rather than its structure. Instead of advancing universal ideals, leaders must adapt and

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regulate team processes in order to develop skills across their members. Overall, team leadership is a more dynamic, fluid, and emergent process than that of general direction (Kozlowski et al., 2008). Thus, as encapsulated in the opening quote, effective leadership of teams is not static; it feeds off and into the energy of its constituents.

Although team leadership is important across many contexts, it is particularly influential in traditional, hierarchical organizations such as the military. In these settings, leadership can explain a major portion of variance in team performance (Burke, 1999; Marks, Zaccaro, & Mathieu, 2000). Failure to understand this relationship can harm the training and development at multiple levels (Zaccaro, Rittman, & Marks, 2001). When stakes are high, such suboptimal outcomes can be devastating – but, given the advances in leadership and team sciences, these tragedies can also be preventable. This paper thus attempts to advance a number of evidence-based best practices that can help team leaders optimize the performance of their members and the group as a whole.

Insights from the Science on Team Leadership

Over the last couple of decades, the field has amassed a large body of work on team leadership. Researchers have demonstrated how different theories of leadership relate to a team's success: transformational leadership guiding a team (Chen, Kirkman, Kanfer, Allen, & Rosen, 2007; Eisenbeiss, van Knippenberg, & Boerner, 2008; Schaubroeck, Lam, & Cha, 2007); functional leadership addressing team needs (Zaccaro, Rittman, & Marks, 2001); and transactional leadership securing valued team rewards (Stagl, Salas, & Burke, 2007; Vroom, 1964). We draw from this vast literature to identify and elaborate on selected key insights that can guide the practice of team leadership. Although these insights are not comprehensive of the literature, they outline important themes that have been commonly found. Other papers, such as Hackman (1992; 2002)

guided the literature on team leadership, and more recently, Morgeson, DeRue, and Karam (2015) have suggested a framework using a temporal cycle of leadership processes to explain how leadership manifests within a team. Additionally, our insights follow the lifespan of a team – creation, inception, and sustainment of a team. Table 1 provides a summary of our insights, with best practices for each, adapted from Stagl, Salas, and Burke (2007). We conclude with suggestions for future investigations, based on the state of the literature.

Insight 1: Initiate an Enabling Structure

At the onset of team formation, a team leader has to create a structure that enables team effectiveness (Hackman, 2002; Katerberg & Hom, 1981; Keller, 1992, 2006; Morgeson, DeRue, & Karam, 2015; Powell & Butterfield, 1984; Stagl, Salas, & Burke, 2007). This process involves:

- (1) optimizing team composition,
- (2) establishing norms that reinforce teamwork behaviors, and
- (3) designating roles and responsibilities while creating a sense of ownership within all team members.

To maximize the team's effectiveness, a leader should select a group of individuals with a comprehensive mixture of knowledge, skills, and abilities. Nevertheless, they should not only select those who demonstrate expert technical skills, but also the capacity to work well with the others on the team (Morgeson, DeRue, & Karam, 2015). Research suggests that there are specific individual level factors that generally contribute to team performance, such as emotional stability (Blackwell Landon et al., 2018) and team value orientation (Feitosa, Grossman, & Salazar, 2018; Rosenfield et al., 2018; Spitzmuller & Park, 2018). However, more recently, researchers argue that it is the combination of varying traits that is a stronger predictor of team performance, rather than individual

characteristics (Bell, Brown, Colaneri, & Outland, 2018). For example, research on astronaut teams found that team performance is more dependent on how the team members' personalities and other characteristics complement each other, rather than there being one universally ideal personality (Blackwell Landon et al., 2018).

Once the team members have been selected, team norms must be declared. Norms are the common expectations of behavior of team members (Hackman, 1992). In other words, they encourage desired actions and prohibit unsuitable behaviors. This is important as setting norms has been shown to be a driver in performance and team effectiveness (Hyatt & Ruddy, 1997). Hackman (2002) states that the fundamental norms are those that are outward-looking, such that they address the relationship between a team and its performance context. These norms generally advise that members should actively scan the operational environment to adjust their performance strategies accordingly; they point out the boundaries of specific behaviors that should always be done, and those that should never be acted out (Hackman, 2002).

To ensure that the team is functioning properly, the leader must define the boundaries to clarify who is responsible and accountable for outcomes (Stagl, Salas, & Burke, 2007). Under some circumstances, individuals might temporarily step in to support the team, which could cause confusion about who is held responsible for the team outputs. In such cases, the leader is responsible for clarifying any uncertainty. They can do so by holding preliminary meetings that specify the team's purpose and indicate its membership. Membership rosters are another simple tool that can distinguish the core members from individuals who play a supporting role.

Along with establishing who is responsible for the team outcomes, the leader must determine the team's functions that need to be fulfilled, inherently indicating their limited authority. The team leader should inform the team of its exact responsibilities in order to maintain control of what is done; this prevents team members from taking on more than they can handle, or inadequately completing their assigned tasks. Relatedly, the leader should instill a sense of ownership for its team members to motivate and satisfy them (Cummings, 1978; Deci, 1975; Hackman & Oldham, 1980). The work should be designed to have

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many core characteristics so that each team member has a small part in the big picture, and feels that their role is essential for the whole product to work out. This can help promote within-team goal setting, self-observation, and self-reward (Stagl, Salas, & Burke, 2007).

Insight 2: Define Team Goals and Task Interdependence at the Onset of a Team's Formation

During preliminary stages of task performance, team leaders have a key opportunity to change and influence the trajectory of a team. By providing guidance and developing skills, leaders can shape team processes, behavior and performance henceforth. They may do so through a number of methods, including conducting prebriefings, emphasizing shared goals, and energizing and engaging team members.

Although many are familiar with the concept of debriefing, its earlier counterpart can be just as, if not more, important in determining outcomes. Prebriefings,

conducted prior to the team performance episode, build the foundation for future team performance (Stagl et al., 2007; Tannenbaum, Smith-Jentsch, & Behson, 1998). They help create a shared mental model, or collectively-held knowledge structures that allow teams to coordinate member action and interact effectively with their environment (Mathieu, Heffner, Goodwin, Salas, & Cannon-Bowers, 2000). Across aviation and manufacturing settings, prebriefings have been shown to increase teamwork climate, compensatory behavior, team learning, and team performance (Edmondson, 1999; Smith-Jentsch, Salas, & Brannick, 1994). By establishing particulars about a mission, prebriefings can ensure that team members possess the same information and can thus collaborate effectually.

Indeed, leaders should consider prebriefings as a strategic investment of time, in that its implementation prior to a performance episode can lead to increased efficiency downstream. Prebriefings also give leaders the vital opportunity to amplify a team's collective motivation, cohesion, and commitment (Hackman, 2002). For example, team leaders can enact transformational behaviors, evoking a shared mission and mutual beliefs in specific team efficacy and general effectiveness (Stagl et al., 2007). During the prebriefing period, team leaders can also bolster psychological safety: the shared belief that the team is safe for interpersonal risk-taking, without fear of backlash (Edmondson, 1999). Indeed, leaders who elicit feedback, discussion, and informal reinforcement from members can open channels of communication and improve the cultural climate within their teams (Stagl et al., 2007). The following best practices in this section can also be incorporated into prebriefings. Altogether, team leadership behaviors during prebriefing then enhance team morale and teamwork at large, resulting in stronger cooperation and performance.

The most effective teams are motivated by a collective aspiration – whether it is defeating a common enemy or acting toward shared goals. Providing team members

with a compelling and uniting mission accomplishes several important things. First, it provides direction by aligning performance strategy with the team's purpose (Hackman, 2002). Second, it clarifies the consistencies between a team member's self-concept and the actions performed on behalf of the team (House & Shamir, 1993). Ultimately, working together toward a singular goal fosters a greater collective identity, strengthening loyalty and performance.

Through highlighting interdependencies, team leaders may then instill within their members a sense of collective or team orientation, or “the propensity to work in a collective manner in team settings” (Driskell, Salas, & Hughes, 2010, p. 317). Those who are collectively oriented value teamwork (Eby & Dobbins, 1997; Jackson, Colquitt, Wesson, & Zapata-Phelan, 2006), which can lead to productivity. In the team performance context, Driskell and colleagues (2010) found that collective orientation was associated with a number of improvements across the task space, including decision-making, negotiation, and execution. Leaders can activate collective orientations and other uniting mindsets by harnessing transformational leadership. By calling upon ideological values, team leaders can frame a mission such that team members understand that subordination of self-interest can serve the greater group objective (Stagl et al., 2007). Shared principles can then be used as rubric in decision-making, directing team members to move toward shared goals when alternate paths exist (Hackman, 2002; Stagl et al., 2007).

Importantly, it is not enough to establish shared goals, but ones that are both challenging and within reach. Indeed, leaders must provide careful guidance, such that their direction treads the line between the possible and impossible (Stagl et al., 2007; Welch & Welch, 2005). Team leaders can further inspire members through the articulation of the vision by framing a compelling team purpose. For example, they can specify goal end states but not means of

accomplishment (Hackman, 2002). Emphasizing the “destination” but not the “journey” challenges and energizes team members to apply their expertise and collaborate toward a goal.

Once these goals are set, effective leaders maximally engage team members by identifying and utilizing talent accurately (Fleishman et al., 1991). When direction is precise and meaningful, team members are more likely to apply the breadth of their experiences, expertise, and competencies during tasks (Hackman, 2002). This atmosphere also motivates senior team members to monitor, mentor, and provide back-up behavior to subordinates (Stagl et al., 2007). To this end, team leaders can engage in meaningful monitoring prior to the performance episode. For example, leaders can scan their teams during interactive prebriefings in order to strategize the distribution of skills (Kozlowski, Gully, Salas, & Cannon-Bowers, 1996). An open review of the mission inspires team members to recognize and reflect upon the ways in which they can contribute to success. Checking in with and ensuring the maximal engagement of team members enhances performance and morale.

Insight 3: Foster Psychological Safety

All teams face conflict at some point, whether it be related to interpersonal or task issues. In these situations, it is particularly difficult, yet imperative, that teammates participate in open and honest communication. Transparent communication can only occur if they do not feel worried about being judged or ridiculed by the others on the team, emphasizing the importance of psychological safety (Edmondson, 1999). Team leaders play a critical role in fostering a psychologically safe environment. Expanding upon our previous discussion thereof, we elaborate on three main ways that a leader can help foster psychological safety:

- (1) admitting their own faults,
- (2) asking for input, and
- (3) providing developmental debriefing sessions.

First, when a leader admits their own faults, he/she makes others feel at ease to communicate any errors they might make. This is a simple yet effective way to help team members feel comfortable opening up. Second, leaders should reach out to team members for their views and ideas on the task, when possible. This could be done by formally setting aside time for a forum during a meeting, or informally checking in with team members during performance episodes. When team members speak up, the leader should respond in a supportive and non-defensive manner (Edmondson, 1999). In many cases, a team member may not feel permitted to express their opinions; however, when they recognize that the leader truly values their opinion, it can help them express themselves more often (Edmondson, 1999). Finally, psychological safety can be developed and/or enhanced through effective team debriefs (Allen et al., 2018). If members are taught to take a learning approach and diagnose developmental areas, then they will be more likely to feel capable of speaking their mind. This is also an opportunity for the leader to recognize and acknowledge any shifts in engagement or changes in attitudes from the prebrief to a midpoint in a performance episode. Other team meetings can work the same way. It is the team leader’s responsibility to ensure that these exchanges take place and are developmental, which we will elaborate on when discussing Insight 5 (Support the Growth of Their Team Members).

Insight 4: Reinforce Teamwork With Feedback and Rewards

Team performance can be greatly enhanced by providing specific feedback with objective indicators of performance (Bennis, 1999; Hyatt & Ruddy, 1997; Janz, Colquitt, & Noe, 1997). It is the team leader’s responsibility to serve as a boundary spanner to gain access to information systems that provide useful information for actionable change and improvement. It can be a difficult task, but the team leader should try their best to negotiate access to sensitive information; this can in turn can provide ample feedback that

facilitates planning and enhances performance techniques (Stagl, Salas, & Burke, 2007). Accessing these resources is crucial because individuals are more receptive to feedback when they are given concrete examples of what went wrong (e.g., how frequently the error was made, how severe the repercussions of the error were). Seeing the data also makes individuals more accountable for their actions. This can also lead to positive affect; objectively tracking performance can help recognize teammates' accomplishments, which can help members feel appreciated. Indeed, delivering feedback is most effective when leaders focus on both positive AND negative feedback. Only discussing positive feedback does not lead to any improvements, but solely concentrating on negative feedback can harm team morale; a balance is best. This leads us to reinforcing teamwork via rewards.

Although it is common in organizations to reward successful individuals, this singular focus on the accomplishments of one team member can undermine the value of interdependence and the collective effort. Team leaders need to strengthen team motivation and collaboration by implementing team-based performance-contingent rewards; otherwise, individuals will stray from the shared goal and neglect to integrate their tasks with those of the others on

implement varied reward structures for teamwork (Thayer, Petruzzelli, & McClurg, 2018). Rewards such as pay, promotion, management recognition, and requested time off can all be offered to the team as a whole (Druskat & Kayes, 1999).

Although this may seem contradictory, individual-level rewards should not be entirely abandoned. Individual-level rewards are essential for individual team member growth, which is still important for overall team effectiveness. Hackman (2002) suggests institutionalizing multi-tiered reward systems. With this approach, team-level rewards can remain clear and meaningful, while individuals also maintain self-growth. One method to reinforce teamwork behaviors, while still implementing individual-level rewards, is to include team performance in individual team member's performance evaluation (i.e., rating whether the individual served as a strong team player by exhibiting teamwork behaviors; Gibson & Kirkman, 1999).

Insight 5: Support the Growth of Team Members

Lastly, rather than strictly directing the team, the team leader facilitates and promotes teamwork, serving as an expert coach (Morgeson, DeRue, & Karam, 2015). As the coach, they help the team perform taskwork and teamwork processes to improve overall performance. The leader can coach by exemplifying teamwork, delivering coaching interventions, offering novel task performance strategies, and providing learning opportunities.

Team debriefing, which was alluded to earlier, is a key to developing effective teamwork skills

their team. As an example, Tebes and Thai (2018) note that many universities and academic medical centers apply policies and practices that work against interdisciplinary collaboration, such as tenure policies to publish in journals specific to one field. Therefore, when the individual has a choice of whether to work as a part of a team, if the benefits do not outweigh the costs, they may choose not to participate in a group effort. To minimize the likelihood of this, the leader should

Coaching interventions can occur throughout the team's lifespan and are most important at the beginning, midpoint, and end of team performance. As previously mentioned, prebriefing serves as a motivational meeting, whereas a meeting during the midpoint of task performance functions to

review performance strategies for future tasks. Team debriefing, which was alluded to earlier, is a key to developing effective teamwork skills (Tannenbaum & Cerasoli, 2013). It is defined as a reflective team meeting that covers lessons learned and steps to improve performance. It was officially developed for military use in the 1970s (Morrison & Meliza, 1999); since then, it has been shown to be useful in many settings because it is an instrumental tool that leads directly to improved team learning and adaptation, or *team reflexivity* (West, 2000). The leader can designate team debriefing time for the individuals they oversee. The debriefing process requires leader engagement. Prior to conducting a debrief, team members and leaders need to be knowledgeable of appropriate teamwork competencies. Having this background will prepare members and leaders to focus on teamwork processes during performance episodes. It will also make the debrief more meaningful because they can reflect on the specific teamwork behaviors that are essential for team performance, allowing for a more interactive discussion. Going into the debrief, leaders need to be aware of how their team members are performing during the job. They should note serious failures or preventable errors so that the most critical areas of improvement are discussed and constructive feedback can be provided. This is also an opportunity for leaders to point out any successes and express gratitude for hard work. Positive feedback can help team members feel appreciated and recognized by upper management. Reyes, Salas, and Tannenbaum (2018) review evidence based practices and guidelines for conducting an effective debrief in detail. Overall, debriefing engages teams in a dialog of lessons learned, including how this newly-acquired knowledge can be used to address new challenges.

The midpoint is also an ideal time for the coach/team leader to offer novel task performance strategies. It is at this point that the leader can recognize what has been working and what should be adjusted. If there is

anything that should be shifted in the team's goal or objective, the leader can make suggestions on how the team should adapt to the environment (Stagl, Salas, & Burke, 2007). The leader can also set by example through their expertise, serving through functional leadership (Zaccaro, Rittman, Marks, 2001).

Finally, the leader should seek out developmental opportunities for their team members. However, according to Lieutenant General Walter F. Ullmer, Jr. (2010), "best practices" in this area have not been fully implemented in the Army and other important settings. To this end, team leaders should consider other avenues that can build team skills, prior to the performance episode. Talent can be optimally engaged through myriad ways: provision of conceptual training, developmental feedback, environmental support for continuous learning, responsive performance appraisal systems, holistic promotion systems, and formal mentoring (Ulmer, 2010). Of these, team leaders should consider either conducting training or arranging for formal training. Exhaustive research, including meta-analyses (Hughes et al., 2016; Salas, Nichols, & Driskell, 2007), have demonstrated the effectiveness of team interventions to improve teamwork competencies, and subsequently team performance across domains, particularly in the military (Goodwin, Blacksmith, & Coats, 2018) and healthcare (Fiscella & McDaniel, 2018; Power, 2018). Teams are rarely prepared for all of the challenges that they will face, so team training and other preemptive developmental activities are valuable tools for maximizing individual and collective performance.

Future Directions on Team Leadership Research

Decades of research have helped us reveal these insights on team leadership. However, there are still avenues for more research. New structures have evolved over time, which reveal novel challenges for team leaders (Mathieu, Hollenbeck, Van Knippenberg, & Ilgen,

2017). We briefly discuss two areas that would be well-served by further research: multiteam systems and teams using shared leadership as opposed to having a single team leader.

Multiteam Systems

The shift from individual to team work has also extended to a shift from single to multi-team systems (MTSs), which are teams of teams (Mathieu, Marks, & Zaccaro, 2001). MTSs are necessary to address more complicated and multifaceted problems that a single team cannot adequately solve (Shuffler & Carter, 2018). Today, more than ever, we are able to make rapid advancements across fields with the use of MTSs; however, collaborations across multiple fields and expertise can come with difficulties. Of course, MTSs are larger than single teams, in which case the team members tend to be more geographically and functionally diverse from one another. This inevitably leads to a hindrance of communication, whether it be due to time-related issues or difficulty understanding others' backgrounds. This could potentially add more burden on team leaders to aid communication. Another challenge for MTSs is that teamwork must also occur across teams, involving multiple team leaders. The research on MTSs is still in its nascent stage. Future research should uncover the challenges that team leaders face when engaging in a MTS, as well as the practices that can help facilitate teamwork across teams. Although very little is known about leadership in MTSs, effective team leadership may be crucial to ensure that MTS coordinate suitably in support of superordinate goals (Shuffler & Carter, 2018). The marked shift in workforces from single to multi-team systems calls for more research on the topic.

Teams Without a Single Leader

In more recent years, there has been a trend away from traditional hierarchical leadership and toward leaderless teams or shared leadership. In this group structure, an individual is not always a leader or a follower. Instead,

roles can change based on the circumstances. When a team alternates the leadership position amongst the team members, this is known as shared leadership. Shared leadership is defined as "a dynamic, interactive influence process among individuals in groups for which the objective is to lead one another to the achievement of group or organizational goals or both" (Pearce & Conger, 2003, p. 1). More specifically, shared leadership acknowledges that all members of a team can serve as leaders given their unique perspectives and expertise. For example, within NASA, the crew office team is expected to adapt to changing environments by adjusting the team hierarchy to best fit the situation. According to crew resource management literature, responsibilities of a crewmember include non-technical skills that encompass both leadership and teamwork (Flin, O'Connor, & Mearns, 2002; Holt, Boehm-Davis, & Beaubien, 2001). Leadership responsibilities include: adjusting style to the situation, assigning tasks, with clearly defined goals, according to capabilities and individual preferences, responding to information, suggestions, and concerns of team members, and enhancing the team's motivation to perform. Team member responsibilities include: proactively supporting the leader, taking necessary steps to implement leader direction, communicating concerns for team interactions that are not apparent to the leader, and supporting or planning options to reduce the burden for the leader. Thus, members of a crew may be expected to take on varying roles and power-based relationships, depending on what is most appropriate given the context.

The proliferation of research on shared leadership has emerged over a short time span in the past two decades, however, the findings have demonstrated a positive relationship between shared leadership and team morale, team performance, and team satisfaction (Jung, Avolio, Murry, & Sivasubramaniam, 1996; Pearce & Sims, 2002; Serban & Roberts, 2016).

The literature on shared leadership emphasizes that team members have mutual influence and shared responsibility (Lindsay, Day, & Halpin, 2011). However, there is little explanation on when and what conditions the team members emerge as team leaders. There are a few recent meta-analyses on shared leadership that indicate an overall positive effect of shared leadership on team outcomes (D’Innocenzo, Mathieu, & Kukenberger, 2016; Nicolaides, LaPort, Chen, Tomassetti, Weis, Zaccaro, & Cortina, 2014; Wang, Waldman, & Zhang, 2014). However, moderators of this relationship are less clear. Nicolaides and colleagues (2014) found a positive correlation between shared leadership and team performance; this relationship was moderated by task interdependence and team tenure, so that shared leadership was needed more under conditions of high task interdependence (versus low task interdependence) and the relationship was weaker as team tenure increased. On the other hand, more recently, D’Innocenzo, Mathieu, and Kukenberger (2016) found that task complexity moderated the relationship between shared leadership and team performance, such that it resulted in lower effect sizes with more complex tasks and they did not find a significant influence of team task interdependence. Wood (1986) conceptualizes task complexity as the extent to which tasks create demands on the knowledge, skills, and resources of team members. Although these findings may be contradictory, theoretically, it is thought that the more complex the task, the less likely it is that a single person can hold the expertise to fully lead a task, demonstrating the need for shared leadership (Pearce, 2004). Presumably, team composition and situational factors influence when a member emerges as a leader, but more research is needed to identify exactly *who* should emerge and when this emergence should occur during the team’s cycle.

Conclusion

Team leaders play an essential role in facilitating team effectiveness, particularly in high-stake settings

confronting novel elements and environments, such as military teams. The literature has thoroughly demonstrated how leadership is successfully exhibited in a team. Moreover, the research has evinced several practices that can enhance team effectiveness: (1) initiating an enabling structure, (2) defining team goals and task interdependence at the onset of a team’s formation, (3) fostering psychological safety, (4) reinforcing teamwork with feedback and rewards, and (5) supporting the growth of team members. Even so, there remain many potential streams of team leadership research, particularly in the areas of MTSs and shared leadership that can help expand our understanding of team leadership even further.

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Table 1

Insights on Team Leadership

Insight	Practices
I. Initiate An Enabling Structure	<ul style="list-style-type: none"> a. Compose the optimal mixture of team members b. Establish norms of conduct to reinforce desired behaviors and sanction inappropriate actions c. Identify who is responsible and accountable for outcomes d. Designate the team's decision making authority e. Create a sense of ownership to promote self-goal setting, self-observation, and self-reward
II. Define Team Goals and Task Interdependence at the Onset of a Team's Formation	<ul style="list-style-type: none"> a. Use prebriefings to instill shared affect, cognition, and behavior b. Instill collective aspirations via a common mission/congruent goals c. Stimulate and inspire by challenging the status quo d. Exercise authority to establish a compelling direction e. Provide consequential direction to fully engage talent
III. Foster Psychological Safety	<ul style="list-style-type: none"> a. Admit own faults b. Ask team members for input c. Respond in a supportive and non-defensive manner
IV. Reinforce Teamwork with Feedback and Rewards	<ul style="list-style-type: none"> a. Ensure information system provide performance targeted data b. Negotiate access to sensitive information if it facilitates planning and selection of performance strategies c. Implement team-based performance-contingent rewards d. Use multitiered reward systems so individual efforts are not ignored
V. Support the Growth of Team Members	<ul style="list-style-type: none"> a. Act as a coach b. Provide team leader coaching interventions delivered at the midpoint of task performance to review performance strategies c. Offer novel task performance strategies d. Conduct debriefs e. Provide and secure developmental opportunities

Note. This table is an adapted version of best practices described in Stagl, Salas, and Burke (2007).

TEAMWORK

The Power of Enabling Humility in Teams

Melissa Norcross, United States Naval Academy

ABSTRACT

By studying the performance of extraordinary teams, we observe the power of humility. Research on individual humility, group humility and team dynamics support these observations and suggest several components of team humility as well as mechanisms via which humility contributes to team success. Humble teams develop a culture which nurtures the primary traits that contribute to their performance: kinship, extraordinary collaboration, professional excellence, and an attitude of inquiry. Leaders can contribute to the development of humble teams by modeling their own humility and exhibiting a strong professional will. Furthermore, they can nurture an environment within which humble teams can flourish by creating a psychologically safe environment in which mistakes are tolerated and authority can be challenged.

Introduction

On the playing field and even the battlefield, there is a kind of magic that happens in which teams deliver exemplary performance while operating as a single unit as they move in harmony to accomplish their goals. When mistakes happen, members compensate immediately and without judgment, using the knowledge learned through their mistakes to empower the team in the future. When the inevitable hardships arise, members face them together, adapting as needed in a way that often seems effortless. They care deeply for one another on a personal level and maintain a single-minded determination to perform with excellence. It is a complex and beautiful dance that delivers seemingly impossible results. Some of these teams have a single star performer, some have multiple stars, and others have none, but all perform in the same way – with team humility.

The 1980 USA hockey team – the “Miracle on Ice” – with their upset of the Soviet team at the 1980 Olympics and the 1936 USA Men’s Rowing Team of “Boys in the Boat” fame are examples of teams without individual stars. At the opposite end of the spectrum are professional sports teams that perform with great humility including Steph Curry’s Warriors, Peyton Manning’s Colts and Broncos, and Wayne Gretzky’s four National Hockey League teams. Such teams play with incredible selflessness with the emphasis on scoring, not on the individual making the score. They pass pucks, hand off balls, and change lineups to ensure a win. It can be hard to pick out critical individuals, because they prioritize the team’s success above all else. There may be extraordinary team members,

but by leveraging their gifts within a humble team construct, the performance of the team can surpass their individual glories. The value of humility is further confirmed by the numerous teams, that, despite the presence and performance of their star(s), fail to live up to their potential.

Typically, most professional sports teams have one or two stars, with the remainder of playing roles being tangential to the outcome. The stats are where we see these stories play out. LeBron James, for example, dominated all of the Cavaliers' stats, singlehandedly scoring the most total points, rebounds, and assists (Basketball Reference, 2017; Rosenberg, 2015). Contrast this with Steph Curry's Warriors, which show a consistent pattern of well-distributed assists and rebounds, leading to good point distribution across four or five players (Basketball Reference, 2017). As the data show, stars on humble teams have statistics that are dominated by assists, and lead teams in which points are distributed across a wider swath of the team. These leaders establish a humble culture across their team, and establish their own role as an enabler for the team's success, creator of opportunities to score or push ahead, and strategic thinker and player.

Beyond sports, we see this humble dynamic played out whenever teams come together to deliver extraordinary results, prioritizing the mission above individual agendas. We see this emerge in teams when they face particularly challenging or complex tasks, for which success is neither guaranteed nor probable

(Edmondson, 2016). In depth studies of teams – from surgical and innovation teams to large-scale crisis and rescue teams – point out the power they have when they embrace humble practices. As a critical subset of these extraordinary teams, military special operations teams illustrate how individuals with different but complementary specialized skills can set aside their own egos in order to work together effectively. This practice can also be observed when teams leverage a distributed leadership style in which multiple members share the leadership burden by distributing the leadership tasks among members (Lindsay, Day & Halpin, 2011). Similarly, but at a much larger scale, the team that led the rescue of 33 men trapped inside a Chilean mine (Rashid, Edmondson, & Leonard, 2013) engaged the specialized knowledge of hundreds of experts and worked together in harmony to execute an unprecedented rescue.

Regardless of the composition, humble teams combine an extraordinary will to win with a collective selflessness. These teams, despite being highly capable, possess a clear understanding of their individual and collective strengths and weaknesses. They possess a fierce resolve to deliver their objectives in service of the group and the organization. They willingly admit mistakes, acknowledge limitations, actively seek help and feedback, remain open to new ideas, share praise for successes, accept blame for failures, and do whatever it takes to achieve their mission. In addition, their leaders support the team's adoption and adherence to these practices (Owens & Hekman, 2012, 2016).

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Teams, not individuals, have the greatest potential to impact performance and results, given that most work is accomplished in teams (Edmondson, 2012; Katzenbach & Smith, 1993, 2015). Therefore, the deep understanding of culture and humility at the team level shapes how organizational performance can be improved effectively both in the short and long term. Humility establishes a positive team culture which facilitates success in a multitude of environments (Crossman & Doshi, 2015; Edmondson, 2012; Hearsom, 2017; Hess & Ludwig, 2017; Kaissi, 2017; Koesters et al., 2017; Rashid et al., 2013; Schein, 2013; Tyler, 2017). Teams that exhibit humility are more effective at innovating, solving complex problems, and delivering high-quality outcomes (Edmondson, 2012; Robinson, 2014; Schein, 2013). It is therefore critical that we, as individuals and leaders, cultivate a culture of humility within our teams and our organizations.

Humble teams, like humble leaders, possess not only humility but also high levels of professional will: that is, the determination and drive to deliver extraordinary results (Collins, 2001, 2005; Norcross, 2018; Owens & Hekman, 2012). With this in mind, I proposed the following as a working definition for team humility (Norcross, 2018, p. 27):

Humble teams, despite being highly capable, possess a clear understanding of their individual and collective strengths and weaknesses. They possess a fierce resolve to deliver their objectives in service of the group and the organization. They willingly admit mistakes, acknowledge limitations, actively seek help and feedback, remain open to new ideas, share praise for successes, accept blame for failures, and do whatever it takes to achieve their mission.

Humility is not about being overly modest, it is about being real – understanding and embracing the capabilities, strengths, weakness, and challenges of self and others. It is about appreciating what is and is not

working, where additional expertise might help, and how the team might come together to deliver better results. Humble teams are driven to succeed and do so as a result of their unique culture.

So, if humility is linked to success, how do we identify, create and nurture it in teams? Fortunately, a detailed review of organizational and team research sheds light on this challenge and suggests potential solutions. Unpacking this research allows us to identify the unique components of a humble team culture and what each contributes to the team. Once the individual cultural elements are understood, we shift our focus to how leaders can foster an environment in which humble teams flourish.

Components of Humble Team Culture

Studies of teams in a variety of contexts (Edmondson, 2012, 2016; Norcross, 2018; Owens & Hekman, 2012, 2016) surfaced observable components of humility that positively impact a team's performance, including an attitude of inquiry, kinship, extraordinary collaboration, and professional excellence.

Attitude of Inquiry

Attitude of inquiry is the practice of keeping an open mind, embracing the possibility that others might possess ideas, information, or perspectives that are valuable or new. It allows even highly knowledgeable individuals to maintain an open mind and embrace the limits of their capabilities (Schein, 2013) and suspend judgment and truly value the input of others (Hook & Watkins, 2015; Whitney, 2014) while objectively seeking to understand new things (Marshall & Reason, 2007). It does not require them to discount the value of their own expertise, but rather to “recognize those situations in which one's expertise is ‘limited’ or ‘not applicable’” (Yanow, 2009, pp. 593–594) and incorporate the expertise of others into their approach (Tangney, 2000).

Teams that possess an attitude of inquiry hold conviction about their knowledge of a situation, but remain open to the possibility there might be a perspective they have not yet considered (Edmondson, 2012). They regularly seek and embrace critical feedback from contributors both inside and outside their organizations (Edmondson 2011; 2013). Because they embrace their own limitations and recognize their need for additional expertise and new perspectives (Edmondson 2016), they ask for help. Their practice of seeking help facilitates the growth and maintenance of networks outside their own teams, functions, and organizations, including individuals different from themselves. These diverse networks are rare among professionals, whose networks are typically small and homogenous (McDonald et al., 2008). Tapping into diverse networks, in order to share knowledge and practice perspective taking, increases learning and ultimately drives improved performance (Edmondson, 2012; 2016; Fernández-Aráoz, 2014; Feser et al., 2015).

An attitude of inquiry is often most visible by its absence, and we have all experienced it at one point or another in our careers. It is felt most viscerally when we face the “not invented here” syndrome (Cohen & Levinthal, 2000; Katz & Allen, 1982), the “my ideas are the only ones that count” leaders, or the “we have always done it this way” organization. Humility unlocks an appreciative mindset (Harvey & Pauwels, 2004; Whitney, 2014), allowing individuals to eschew their own hubris (Lockhart, McKee & Donnelly, 2017) and value different approaches (Lindorff & Prior Jonson, 2013; Vera & Rodriguez-Lopez, 2004). It fosters a compulsion to understand things from another point of view, seek critical feedback (Edmondson 2011; 2013), and actively combat biases and stereotypes (Edmondson, 2016). An attitude of inquiry allows even the most capable and expert of teams to entertain new ideas, seek outside help, and truly value the resulting new ideas, all while actively combatting hubris – the root cause of many team failures (Edmondson, 2012; 2013; 2016).

Kinship

Extraordinary but humble teams also exhibit kinship – an intense loyalty and willingness to support and challenge one another, with an enduring commitment and dedication to the group and its collective purpose. Much like a tight-knit family, their relationships endure and are strong enough to support differences (Frostenson, 2016; Wang et al., 2016), enable candor even when difficult things must be said, and ultimately bring out the best in the team. It is no surprise that kinship is observable in highly specialized teams undertaking nearly impossible missions – such as Army Rangers, Navy SEALs, or other elite Special Operations teams – as intense time together working to deliver difficult objectives in adverse circumstances provides a crucible experience that can shorten the time to develop deep and abiding “Band of Brothers” type relationships (Ambrose, 2017; Willink & Babin, 2017).

Kinship is expressed as loyalty, benefit of the doubt, and true joy in the successes of their colleagues. Kinship becomes observable when we see teams share credit, opportunities, and successes, as well as when we see them offer one another unwavering support. There is joy in one another’s success, encouragement in their challenges, a culture of coming together to help when they struggle, and a genuine underlying affection for one another. Often, relationships extend into personal lives, spanning years and involving families and careers at new organizations. Because there was no existing term that adequately captured this concept, I considered the term “kin” used in the Scottish clans and co-opted “kinship” as a way of describing this deeply loyal and supportive culture.

Because it takes time and shared experiences, kinship develops gradually over the life of a team. Once present, however, it improves every future team engagement. Teams with a culture of kinship exhibit grace with one another, giving the benefit of the doubt, thereby minimizing unproductive conflict. Turf wars and workplace drama is minimized, making teams more

efficient, more productive, and better able to handle productive conflict (Edmondson, 2004; Katzenbach & Smith, 2015). Relationships between members are so entrenched that they typically outlast the existence of the team itself, creating rich networks that traverse and strengthen the organization as a whole, improving information sharing, knowledge transfer, and adaptability (Schein, 2004).

Extraordinary Collaboration

Extraordinary collaboration describes an unparalleled spirit of willingness to work together in a well-coordinated, participatory fashion, often prompted by an overarching commitment to delivering a goal. We observe this in jazz performances, as musicians simultaneously listen and react to and build on one another's notes, making unplanned but extraordinary music (Barrett, 2012). In his book *Say Yes to the Mess*, Barrett (2012) reminds us that the practice of simultaneously observing and performing is a discipline critical to collaboration for high-performance teams. Individuals in these kinds of teams embrace the flexibility of their role and "leave their titles at the door." To build upon our jazz metaphor, even great musicians, when performing as part of a jazz combo practice humility and collaboration, handing the melody over to others and slipping into a supporting role (Barrett, 2012). Inside organizations, humble team members also slip into supporting roles, often performing tasks outside their responsibilities or "below their pay grade" in service of the greater collective goal (Norcross, 2018). Similarly, we see the same phenomena on the basketball court, as players seem to anticipate, compensate and complement one another's moves, moving with harmony and unchoreographed grace. Work teams that exhibit extraordinary collaboration exhibit these same traits, accomplishing their goals through working together selflessly – focusing on team objectives and deprioritizing their personal stats.

In humble teams, members willingly step into roles outside their traditional function, or represent the

team's perspective to their own function, prioritizing the group goal over their own objectives or functional loyalties. There is a willingness to bend the norms of the organization and expend personal capital in order to ensure team objectives are met. Difficult challenges require adaptability in order to effectively maximize the input of a diverse set of individual expert contributors (Edmondson, 2016). Humble teams cooperate in order to get their work done, and willingly volunteer for tasks typically considered beneath them or outside their functional roles in service of the greater purpose and goals of the team (Edmondson, 2016; Fernández-Aráoz, 2014; Rashid et al., 2013). In such teams, times of crisis lead to stories of sacrifice and team spirit, with senior members and team leaders taking out the trash, mowing lawns, operating production equipment, and more as a way to allow more junior team members additional time to focus on critical tasks (Norcross, 2018). In short, individual members make personal sacrifices in order to ensure the work of the team is successfully completed. Furthermore, when problems surface, there is a noticeable lack of blame tossed around; instead, the focus is on facing the challenge and improving the situation. When there is credit due, it is doled out generously to even the most junior of team members.

Professional Excellence

Contrary to colloquial wisdom, humility, and professional excellence are not opposites. They are the yin and yang of leadership (Collins, 2005), complementary but interdependent facets of humble teams. Humble teams are highly capable and will do whatever is needed to succeed, but without a great deal of bravado. They adhere to Theodore Roosevelt's adage suggesting it is best to "speak softly and carry a big stick" (Roosevelt, 2004). Humble teams exhibit high degrees of functional competency, have a strong work ethic, and are extremely dedicated to delivering their objectives. Professional excellence is the expressed combination of professional skill, will, and a strong work ethic.

In order to have humility, there must also be excellence. Consider this: would we ever describe someone who is a poor performer as humble? Likely not, we would simply describe them as realistic. Implicit within our natural conception of humility is the construct of professional excellence. Take Wayne Gretzky for example. We describe him as humble because he was an extraordinary player, who despite his talent, we saw him regularly pass the puck to others rather than taking all of the shots himself. It is because of his professional excellence – his unprecedented skill as a player and team captain – that he was able to effectively assess the situation, the skills of everyone on the ice, and place the puck where it was most likely to ultimately end up in the opponent's net. If he lacked this degree of both skill and will, we would not have attributed humility to his actions.

Humble teams are not groups of underachievers. They are often considered experts in their fields and possess an unwavering drive to accomplish their task, a finding consistent with how individuals display professional will (Collins, 2001, 2005; Reid et al., 2014) and determination (Fernández-Aráoz, 2014). Like elite Special Ops teams, they are each high-performers in their own right, but display a unique synergy and an outsized determination to deliver something extraordinary. These humble teams perform at levels far greater than the sum of their individual competencies would suggest is possible.

The Real Impact Leaders Have on Team Culture

If teams are the primary unit of performance in today's world, is it still relevant to focus on what individual leaders can do? Research suggests it is, because there is a strong connection between leaders, team humility, and resulting team performance (Owens & Hekman, 2012; 2016; Rego, et al., 2017). The most effective leaders display humility, foster follower trust (Nielsen et al., 2010), and create positive organizations (Cameron et al., 2003). Research on teams and culture

established psychological safety as a critical enabler of high performing teams (Edmondson, 1999, 2004, 2012) and humble teams (Norcross, 2018). In addition, humble teams are more likely to develop in the presence of leaders who demonstrate humility and professional will (Norcross, 2018; Owens & Hekman, 2012, 2016). Therefore, leaders who strive to develop cultures in which humble teams can flourish, should focus on creating psychological safety, modeling humility, and leading with professional will.

Create Psychological Safety

Psychological safety is a group-construct shaped by the common understanding that one can “show and employ one's self without fear of negative consequences” (Kahn 1990, p. 708). It establishes an environment in which even junior members of a team feel comfortable speaking up, asking questions, and challenging the status quo (Edmondson, 1999). In order to become accepted as a norm, it must be modeled and embraced at even the most senior levels of leadership.

Consider a manufacturing environment in which the factory manager models humility and welcomes input from engineers, line managers, designers, and operators. Anomalies in production, productivity, and quality are more likely to be identified quickly because someone other than the plant manager can detect and report it as soon as they observe it, and the problem can be addressed. Less humble plant managers, however, may create an environment in which no one feels “safe” reporting a problem, particularly as it may negatively impact their career. This lack of psychological safety means that issues can fester, becoming costly, possibly even dangerous, before they are addressed.

Psychological safety fosters an environment in which team members perceive their contributions are welcome (Schein, 2013), there is low cost associated with speaking up and taking risks (Edmondson, 1999, 2004), processes are flexible, and members are more fully engaged (Edmondson, 1999). As a result, learning

improves (Edmondson, 2012) as does productivity and results (Edmondson 2012; Owens & Hekman, 2016). Humble leaders create psychological safety by embracing their own limitations and welcome input (Edmondson, 2016; Schein, 2013). They openly share their shortcomings – talking about where they lack perspective, their skills are limited, or their experience is lacking. They accept feedback from team members, and encourage discourse and criticism. When there is psychological safety, doctors praise rather than reprimand nurses who catch mistakes and team members are not afraid to point out a leader's miscalculation. A psychologically safe environment establishes a foundation for humble team to develop the kinship, attitude of inquiry, professional excellence, and extraordinary collaboration that sets them apart from other teams.

Model Humility

Humble leaders positively impact team performance (Liu et al., 2017; Owens & Hekman, 2012; 2016; Nielsen et al., 2010; Robinson, 2014; Tyler, 2017). They value their own expertise, while they “recognize those situations in which one's expertise is ‘limited’ or ‘not applicable’” (Yanow, 2009, pp. 593–594), and embrace the expertise of others (Tangney, 2000). “Humility pays off. It is conducive to behaviors or attitudes among followers that are in one way or the other beneficial to the company or to leadership” (Frostenson, 2016, p. 94). Individuals, particularly leaders, model humility by recognizing their limitations, accepting their contributions to failures, embracing the contribution of others, sharing credit and opportunities with others, and prioritizing the organization's mission above their own. These leaders help establish patterns of behavior that become contagious, changing the dynamics of the team itself, and making it more likely that the team will exhibit humility as well (Owens & Hekman, 2012; 2016). As a result, even the most accomplished of teams are able to hold their judgment in reserve while they explore a range of perspectives, seeking input and help,

and becoming more capable (Fernández-Aráoz, 2014; Feser, Mayol, & Srinivasan, 2015; Marshall & Reason, 2007; Edmondson, 2012; 2013; 2016).

Lead with Professional Will

As Collins (2001; 2005) points out, both humility and professional will are necessary for extraordinary leaders. Through their professional will, leaders model a commitment to the organization, a work ethic, and a prioritization of organizational over personal goals, which sets a high standard for the team. In addition, it strengthens perceived psychological safety because it drives home the fact that delivering organizational goals supersedes individual agendas, and is worth investing effort, even at the most senior levels of the organization. Furthermore, research suggests that leadership professionals will also influence the development of team kinship and professional excellence (Norcross, 2018).

Conclusion: Our Mandate as Leaders

Because most work is undertaken at the team level, leaders who prioritize organizational results must focus their efforts on developing high caliber teams. Unfortunately, building great teams is neither simple nor formulaic, and leaders must be intentional in their efforts to both understand and shape them. Studying elite teams highlights the role that humility played in their successes and demonstrates the power a humble team culture unlocks. Their high levels of kinship, attitude of inquiry, extraordinary collaboration, and professional excellence are the secrets to their exemplary performance, allowing them to learn, grow, and successfully deliver extraordinary results.

A challenge for every leader is to create the conditions for their teams to develop humility. In order to do so, leaders must model humility and professional will as a way to establish standards and norms for team. But in order to create a culture that will support humble teams, leaders must create and nurture a psychologically

safe environment. The effects of their efforts will ripple outwards in the organization, shaping the observable team behaviors and ultimately buoying performance of the teams they impact.

♦ ♦ ♦

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ORGANIZATIONAL MANAGEMENT

Understanding Complexity in Organizational Management

Walter E. "Ted" Carter, Jr., Vice Admiral, USN
Superintendent United States Naval Academy

Interviewed By: Andrew Ledford

On December 14th, 2018, I sat down with VADM Carter to discuss his unique 37-year experience with organizational management. Successful organizational management has been defined often in complex organizations as managing and leading people as well as controlling vast resources to achieve organizational objectives (Hersey & Blanchard, 1969). VADM Carter's experiences as the Commander of the Enterprise Carrier Strike Group, the President of the Naval War College, and for the past five years, the Superintendent of the United States Naval Academy, provides a rich context for a discussion on this topic.

Ledford: What adjustment to your organizational leadership was required in the transition from your last fleet command to the Naval War College? What adjustment was required in the transition from the Naval War College to the Naval Academy?

VADM Carter: My first one-star job was to lead an expeditionary deployment-planning group as part of the Joint Forces Command. Secretary Gates directed that Joint Forces Command be shut down in 2010 and I was the lead planner for that shut down. I learned more about how to lead and manage complex organizations - active duty, military reserve, civilians, and government contractors through that disestablishment that lasted just over eight months. This was a billion dollar, joint, combatant, four-star command. It had 6,600 active and civilian employees and another component almost that same size in contractors. It was a drill in understanding organizational management, understanding what motivates people to do their job, and understanding what is most important to them, which is their livelihood and predictability. The Secretary of Defense did disestablish the Joint Forces Command on August 4th, 2011, and planning all of that was life changing for me. It set me up to go command the Enterprise Carrier Strike Group, which seemed a lot easier in terms of the complexity of the mission.

The most interesting aspect of this transition was in my understanding of complex organizations. As the Commander of the Enterprise Carrier Strike Group, I was in charge of a very large organization – a carrier, a carrier air wing, cruisers, destroyers, an oiler, coalition ships, and independent deployers. At one point there were 50 ships under my command including another carrier strike group. As complex as that sounds, it was relatively simple in terms of complex organizations. The definitions of the chain of command were exact. People knew what to do with their respective chain of command and their particular leadership positions.

Following that tour, I was then asked to run the Naval War College, which despite my command experience, seemed daunting. Now, I was going into an academic setting – one that I had not led in before. One of the points I espouse when I talk to future commanding officers and executive officers is that in command, not only do you have to understand your mission, you have to be the most competent person in the room. Well, going to be the college president of the world's oldest naval war college, there is no way I

was able to go as the smartest academic there because it just wasn't my background. I had fleet and combat experience and I had to be honest about that. I had to do "team building" – a different style of leadership to be effective in that role. I was initially going there to break-glass and to do some significantly different things: to create a different masters level program, to have the fleet reconnect with the mission of the War College, to build out its war gaming capability, and bring in a higher quality of Naval and Marine Corps student. There was no way I could go up there and just make it happen. I had to bring the key leaders of the team in and have an open discussion to see if they had the same view of their own institution as I did.

When I came from the Naval War College to the Naval Academy, it was much different. This is one of the most complex organizations that any three-star in the Navy leads because the Naval Academy operates through so many circles of influence. The circles are varied and weigh differently. How one manages and leads them to carry out the mission is also very different. As Superintendent, I have two roles: one is

Vice Admiral Walter E. "Ted" Carter Jr. became the 62nd superintendent of the U.S. Naval Academy on July 23, 2014. He graduated from the U.S. Naval Academy in 1981, was designated a Naval Flight Officer in 1982, and graduated from the Navy Fighter Weapons School, Top Gun, in 1985. Carter's career as an aviator includes extensive time at sea, deploying around the globe in the F-4 Phantom II and the F-14 Tomcat. Carter commanded the VF-14 "Tophatters," served as Executive Officer of USS Harry S. Truman (CVN 75), and commanded both USS Camden (AOE 2) and USS Carl Vinson (CVN 70). His most recent Fleet command assignment was Commander, Enterprise Carrier Strike Group (CSG-12). He served as Commander, Joint Enabling Capabilities Command and subsequently as lead for the Transition Planning Team during the disestablishment of U.S. Joint Forces Command in 2011. Most recently, Carter served as the 54th president of the U.S. Naval War College.

Dr. Andrew Ledford is a Permanent Military Professor and an Assistant Professor of Leadership and Ethics at the United States Naval Academy. He teaches the core class of leadership and the Code of the Warrior elective. His past research has been on social movement in Iran as well as the nexus of religion and politics in the Middle East. More recently he leads a research group based in Annapolis on mindfulness, grit, and resilience. Dr. Ledford has a master's degree in International Relations with a focus on Irregular Warfare from the Naval War College, where he was the honor graduate. He received a master's degree in sociology and his PhD from Princeton University where he studied political sociology and social network analysis.

the military commander with a relatively small chain of command of military members and the other is the college president.

It is so unique because of these circles though. The brigade of midshipmen, they are the main element of the organization. They are the whole reason we are here. As an organizational manager, you must understand what they do from Induction Day to Graduation Day and how you develop them along the way. The faculty members are another important circle. There might appear to be some similarities between the Naval War College and the Naval Academy for the 600 faculty in Annapolis (half of which are civilians), but it is a completely different system, a different “tenure” model, and completely different academic program. For example, a third of the Naval War College constituency is foreign officers. Here at the Naval Academy, there is a small group, 60 out of 4400 midshipmen, that is foreign and taught at an undergraduate level.

There is quite a spread of really important people across our senior leader team and they have to run their part of the organization but they can't run it in a silo. The challenge to organizational management with this much complexity is in the cross-coordination that allows us to benefit everyone.

The Naval Academy staff beyond the 600 teaching faculty, the parents' organization, and the sponsor parents for the midshipmen are all additional circles of influence that are important to organizational management of the Naval Academy. Then there are the circles that are not obvious to those inside the campus. The alumni, for example, as with the other service academies, are very passionate about the Naval Academy. The circle of influence of our 60,000 strong alumni, many of whom write us notes every day - and

not to just tell us that we are doing a good job - care quite a bit and bring a good deal of influence to who we are as an institution moving forward.

Members of Congress are especially unique to the Naval Academy because of their role in the midshipman nomination process and their proximity to Annapolis. The town of Annapolis is also an important circle of influence that impacts the Naval Academy. All of these circles have varying levels of importance and I've only mentioned the top several - there are about 25 to consider. I didn't understand all of those circles when I first arrived but I understood the concept of managing and leading these varying circles of influence.

We are organized in a unique way with a Commandant of Midshipmen who rotates out every two years, has a tremendous breadth of responsibility with the brigade and leadership and character programs and all of the professional development. We also have a

civilian athletic director who has a long-term position and an academic dean who has been a civilian dating back to the early 1960's. We have a coordinator for information technology and coordinator for finances. We have a diversity officer. There

is quite a spread of really important people across our senior leader team and they have to run their part of the organization but they can't run it in a silo. The challenge to organizational management with this much complexity is in the cross-coordination that allows us to benefit everyone.

Ledford: As Superintendent, you mentioned that your senior management team consists of among others, the Commandant of midshipmen - a position that rotates every two years and long term positions

such as the Academic Dean and Athletic Director. What are the organizational management challenges of working within this structure?

VADM Carter: One of the ways to deal with that type of personnel change and make sure the train keeps running on the tracks is to make sure the civilian leadership is in balance with key military billets that rotate out more frequently. The civilian leadership is there to advise and guide the military members such as the Commandant and that is a very tough position. We have key civilians here who understand the breadth and complexity of the Naval Academy that can advise the Commandant for many of the first weeks and months of command. It is impossible to know as Commandant or Superintendent, even if you've had a job here before, all that you own and how to deal with everything from honor violations to conduct cases to physical education failures. That part is very important.

I had to find a battle rhythm with the senior leader team so we could not just have subject matter presented that was relevant to everyone, but also engage in open discussions on what we were doing that might impact someone else. Of course, I also have an open door policy so that any of those leaders can call me, email me, or walk in the door to see me for that discussion as well. Most importantly however, I do a planned individual meeting roughly once a week with each of those senior leaders to sit down with an agenda on past and future events. You would think we would run out of things to talk about but we never do.

Ledford: How has character impacted your leadership style and organizational management success?

VADM Carter: When I arrived here, I put my emphasis on three different areas for my influence. The first was character development programs. The second was the development of cyber operations on our academic side and the third was the international programs for our midshipmen. Those were designed to

make the biggest impact for the life and development of the midshipmen. What I found when I came here was that the character development programs, although certainly not broken, required adjustment for the generational changes of who is coming in. During my time, we saw the tail end of the millennial generation and now pretty much all of the midshipmen are part of the centennial group. During my time, we revamped the entire honor system, which took a couple of years. We now have just rewritten the aptitude system and how we evaluate who is ready for graduation. Those were just some of the outputs of what we're doing on the character development side of the Naval Academy.

Ledford: Who were your mentors at the organizational leader level and what did you learn most from them?

VADM Carter: Before I went to the Naval War College, I had to interview for the job. A lot of people don't know that it happens. They don't just pick someone for the job based on their record. From that interview, the Chief of Naval Operations asked me for a paper of what I would do at the Naval War College should I become president. He said, "I'm not going to tell you when to submit it, how long it has to be, or what you should write about." He made it clear that what I wrote about would be the determinant of whether I was picked or not. I had to do some research on where the Naval War College had historically positioned itself as an academic institution. I leaned in on two mentors that were three-star admirals at the time who understood complex organizations. Both of them were in the Norfolk area and they gave me tremendous insight that now was a critical moment for change at the Naval War College, similar to the interwar period between the 1920's and mid-1930's. My paper reflected that tone.

The first two drafts that I shared with my mentors were given F's as not being bold enough. I had to completely rethink what my influence could be at the

Naval War College in my short time up there. What I eventually wrote was my road map for what I wanted to do once I arrived there. I didn't have the bandwidth or the time to do the same thing before coming to the Naval Academy but I did have to show up knowing what priorities I was going to have and do a full analysis of our mission statement.

Fortunately, there have been many recent Superintendents who care deeply about the Naval Academy that have become very important to supporting me. I found one of the Superintendents who had more of my personal leadership style to be very helpful and he provided tremendous insight as to how he thought I should approach the job. I heard from others that my job was to be "up-and-out" person and the Commandant was the "down-and-in" person. I have learned over time however, to be more and more involved in the development of our midshipmen. So, it took me a little while, but I found that I had the bandwidth for that most important circle of influence, the brigade of midshipmen, and that I spend much of my time on them. This is one of those jobs that you have to hit the deck running. You really do need about six months before you understand the complexity and where the pockets of strength are because it is so complicated.

The alumni piece is especially complex because they are paying attention. They are here in Annapolis, serving as sponsors and mentoring our midshipmen. Making sure you have them aligned with what you are trying to do is critical. Every alumni weekend and every reunion, I've spent an enormous amount of time making sure that my briefings to them on the state of the Naval Academy is up to date and being sincerely frank as to what the challenges are and what we are doing to tackle them.

Ledford: How much time is spent "strategic messaging" in comparison to your role on the yard?

VADM Carter: Daily. I wake up thinking about it and go to sleep thinking about it. For my role, I'm the principal spokesperson for the Naval Academy. There are others that do it, but it is surprisingly few. If anyone is talking to a member of Congress or an alumni group or another large influence group on the west coast or in Texas, I'm usually the one doing most of that communication. I have to be able to get it right. I think it is critical to being effective in this job.

Ledford: What kind of unique challenges has there been as Superintendent with direct civilian oversight (Congress) and donors that were not as apparent with your leadership experiences in the fleet?

VADM Carter: You are an installation commander. The hundred-plus year-old buildings on a relatively small campus that is contending with sea-level rise is not something you worry about when you are just trying to make the reactors work on the USS Enterprise. It is a historic site since 1961, so that adds a whole different element to who we are as an institution. We host two million visitors each year so the place has to look a certain way. It is our principal recruitment tool for anyone coming here to see our campus. We have to make sure the resources we have here are dedicated at the right level and that has been challenging. We've been vocal about it. We have a lot of construction, new and repair, going on. This is the most amount of cranes and scaffolding on campus since the 1960's. That is one of the biggest challenges as the installation commander.

The other big challenge is just dealing with the reality of social engagement with our own midshipmen. All of the social challenges that go with being an 18 or 19 year-old, they are real and they are here. While we still are not perfect, we keep working at it. We rotate 25% of the midshipmen out every year and we do everything we can to show them what the proper dignity and respect for others looks like. Now that we are almost 30% women, there is much more interaction in terms of gender integration and its getting healthier

and healthier every year. The morale of the brigade is getting better but these social challenges still exist in small pockets. We are very transparent on unwanted activities between men and women here and that is something I spend an incredible amount of time on, more so than any other place I've ever been.

Ledford: How do large Navy events like the Fat Leonard scandal or the McCain/Fitzgerald collisions impact your direction with the organization?

VADM Carter: It is at the strategic level as well as the tactical level. We'll build case studies for our midshipmen on why those things happen so they are prepared for avoiding those mistakes when they join the fleet. But more at the strategic level, people will look at us and ask if Academy people were involved in those events. Did the Academy do everything right to prepare their graduates in terms of ethical decision making and who they are as a leader of character? We review ourselves every time there is a fleet event, whether it is a mishap in an airplane or a firing for misdeeds, we consider if there were any Academy grads, what year did they graduate, what was the program like then, and is it something we need to look at here today. We do pay attention to all of it.

Ledford: From a leadership development standpoint, what advice do you have for new leaders regarding learning about organizational management?

VADM Carter: The differences between leading a complex organization and leading a tactical or a direct military chain of command organization are two skill sets. The first skill set is the ability to listen and be open to learning every day. The second is that you have to be approachable. An old adage is that bad news doesn't get better with age. In an institution as complex as this one, there could be little pockets of bad things that happen every day. The openness to hear that and let people bring you the news but also a recommendation for a correction without you having to tell them what

it is, is the key to getting better. That's more than just a personality trait. That is a learned leadership style that you have to have in complex organizations. It is much more about team building.

Ledford: What will your most important advice be for your successor in terms of organizational management?

VADM Carter: The most important advice would be to get here before they are in command and embrace the significant change that is coming. When we finish our Cyber Operations Building in Hopper Hall, it will completely change the face of everything we do in academics here at the Naval Academy. Although we are teaching and thinking about that now, it will change the face of what this place will be and the next Superintendent is going to have to be ready for that. They are going to have to be ready for how it changes the faculty and how it changes the infrastructure of the campus. They will have to understand how it will change the weight of the moral, mental, and physical pillars of development of the midshipmen. They are not always co-equal. It is not always one weighted over the other - they vary. Understanding the dynamic that goes with that will probably be one of the most important things the next Superintendent will need to do when they get here.

Ledford: Could you expand how you see that changing?

VADM Carter: I see that in the 25 different academic majors we have today. We've seen the weight of the cyber operations major go from 22 midshipmen in the class of 2018 to 110 midshipmen now in the class of 2021. It is changing right in front of us. That is 10% of the class in one academic major. We are creating something that is very desirable by the brigade of midshipmen and needed in the fleet. That is just a single data point that will have second and third order effects throughout the whole brigade. That is the type of change that we can expect.

Ledford: What are the best parts of organizational management as Superintendent of the Naval Academy? What are the worst parts of organizational management as Superintendent of the Naval Academy?

VADM Carter: My two favorite parts are Induction Day and obviously Graduation Day, to see the beginning and then the end of a midshipman's journey. Induction Day is a close second to Graduation Day. Additionally, anytime I get to do something or be around the brigade of midshipmen is also a highlight, from going to see sporting events and musical performances, to just being with our midshipmen in King Hall for noon meal.

My least favorite thing to do is to analyze and evaluate those that are struggling, whether it is a case

You have to find that balance. Sadly, you have to sometimes say, "I can't make that event. I'm just not available." Knowing when to say no is just as important as saying yes. A work life balance is key.

of honor, conduct, academics, or physical fitness. Making a decision that they are not capable of making it through here and separating them from the Naval Academy is very difficult. In my first couple of years, I couldn't sleep for days knowing that someone's life was forever changed. Even though I never second-guessed a decision, those events had that kind of impact on me. The good news is we don't do it that often. Our retention rate is very high, one of the highest of any college in the country. Our admissions team does such a good job of bringing in quality candidates. I didn't talk

about admissions yet in this conversation but within a complex organization, it is a huge influence group. You only get one chance to get it right. If you don't get it right on Induction Day, you don't get a chance to revisit it. If 200 plebes quit during their first summer, we just lost 15% of the class. Our faculty and staff are very dedicated to making our midshipmen successful. That part of this business is almost as important as all the rest. When people ask how do you have an 89-90% graduation rate, I often point to admissions.

Ledford: Any other points you would like to make?

VADM Carter: For a place like this that has so many social requirements and such a demand on time, because there is only one admiral here, often times I am

the only person who can fill the spot that is needed. You can let it overrun you and it can consume you if you're not careful. You have to find that balance. Sadly, you have to sometimes say, "I can't make that event. I'm just not

available." Knowing when to say no is just as important as saying yes. A work life balance is key.

Ledford: Sir, thank you so much for your time.

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ORGANIZATIONAL MANAGEMENT

Preparing Military Professionals for the Moral Imperatives of 21st Century Warfare

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Introduction

The challenge of preparing our nation's military professionals to make correct moral choices is greater today than ever in the past and promises to become even more complex in the foreseeable future. The thread of continuity for the profession of arms, particularly since World War II, has been increased complexity. This trend continues at unprecedented velocity and our national security conflicts have become increasingly "battles of wits." As a result, moral decision-making is more vital in every career field, from personnel officers to drone pilots. During a 2011 International Institute for Strategic Studies conference, U.S. Air Force Predator expert Lt Col Bruce Black briefed that approximately 180 personnel take part in a single drone mission. "There is more ethical oversight involved with unmanned air vehicles," he asserted, "than with manned aircraft" (Pincus, 2011). A mid-April 2017 aborted airstrike represents the need for continuing moral choices with manned aircraft as well. In this case, a U.S. Navy F-18 aircrew member noticed unidentified personnel near a targeted building and issued an "abort" call on the radio, only seconds before the planned attack. Within minutes, hundreds of non-combatants streamed out of the targeted building, most of whom would have been killed had the strike continued as planned (Seck, 2017).

Twenty-first Century military professionals will increasingly face these sorts of choices and more when they enter active military service. As a result, important questions to consider are: What are the major trends challenging the military profession and how will the current and future operational environments affect the ability of its members to live honorably? This paper will examine these questions, offering a possible glimpse into the future.

Current Trends Impacting the Future of Warfare

The evolving world stage—with changes in technology, civil military relations, international actors, and societal norms—highlights the need to prepare future leaders for a dynamic set of challenges. The future environment

is difficult to predict with precision, but current trends suggest profound implications for agility on the part of all military professionals. As General Stanley McChrystal (U.S. Army, Retired) writes, “Adaptability, not efficiency, must become our central competency” (McChrystal, 2015).

Advanced Communications and Technology

Emerging technology and advances in communications have always been key drivers of change in the national security environment. Railways, steamships, telephone and telegraph capabilities, powered flight, and nuclear weapons are but a few noteworthy examples of innovations in military history during the last two centuries. Indeed, a dominant theme of the 21st Century is the democratization of science and technology. Accordingly, new capabilities by nation-states as well as a wide variety of non-state actors have emerged to implement – in very direct ways – the tenets of Sun Tzu concerning “getting into the heads” of opponents (Giles, 2015). The ethical and moral imperatives of these capabilities are even more complicated than those associated with kinetically inspired notions of Just War and the Laws of Armed Conflict. Military professionals

will need to understand the science behind these new technologies as well as develop appropriate ethical and moral frameworks for assessing and legitimizing their use.

Innovations regarding robotics and unmanned air and sea systems also present a new set of moral, legal, and ethical challenges. Access to these new technologies by non-state actors complicates the environment even more. As Peter Singer and August Cole explain, competitors—whether state or non-state actors—often have the same access to advanced technologies as does the United States, reshaping “the nature of combat, the identity of combatants and the skills they need to bring to the fight.” Additionally, though war is still a human endeavor at its core, artificial intelligence will continue to evolve in support of military operations (Singer & Cole, 2016, pp. 44-45).

Against this background, senior Department of Defense leaders have called for military professionals to develop a strategic “Offset” to follow the successful examples of the First Offset (battlefield nuclear weapons) and the Second Offset (precision guided

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munitions) which enabled the United States to overcome quantitative advantages of our opponents during the Cold War period. This Third Offset will rely on the innovative and entrepreneurial spirit of military professionals to craft disruptive and game changing force capabilities as well as associated operating concepts (US Department of Defense, 2017). The importance of moral and ethical preparation to meet this challenge is profound.

Civil-Military Relations

Within the arena of civil-military relations, the military profession will likely continue to enjoy the support of the American people. There are, however, a number of paradoxes that complicate this important relationship. As Rosa Brooks explains, “ordinary Americans support the military more than ever but know less about it than ever” (2016, p. 21). Citizens appreciate our military culture that prizes commitment and integrity but have mixed attitudes toward social justice issues as they relate to the profession of arms. An admiring Congress is often reluctant to make hard choices necessary to fund the military. The result is an evolution of the military profession away from the traditional corporate institution described by Professor Sam Huntington in his classic *The Soldier and the State* (1957).

In addition, the boundaries between the military and the private sector are diminishing. Indeed, increased military-private sector partnerships are evident on the battlefield as well as in garrison with civilian contractors serving in combat zones and sometimes armed as well as the military personnel they support. Technological innovation increasingly requires collaboration between industry and the military. The Defense Innovation Unit Experimental (DIUx) and

the Air Force’s Cyberworx are two examples of such partnerships (DIUx, 2017), where the military leverages innovation from the corporate world to solve defense-related problems. In the cyber domain, a relative scarcity of military experience will require contractors and civil servants to play an active role in both offensive and defensive cyber operations. In short, the military will face the challenge of accommodating civilian colleagues with potentially divergent professional and cultural standards.

New Actors

A diverse set of actors has emerged across the foreign relations landscape. Peer competitors such as Russia and China continue to provide security challenges with their expected use of full spectrum operations, including anti-access technologies to minimize American advantages in conventional warfare. Space,

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cyber, and psychological operations also will likely play an important role in a potential conflict with these competitors. North Korea and Iran continue to fund terrorism and develop weapons of mass destruction that can threaten the Homeland once fully developed. Non-state, non-traditional adversaries such as Al Qaeda, Al-Shabaab, the Taliban, and the Islamic State (ISIS) will likely continue to search for American weaknesses and employ asymmetric capabilities against our forces. As military professionals deploy to new locations worldwide to counter these threats, appreciating foreign cultures and diverse viewpoints

becomes increasingly important to mission success. The DoD has made great strides in increasing cultural awareness education and training, as seen at the Defense Language Institute and within evolving service academy curricula. At the same time, maintaining an appropriate ethical and moral focus will become more challenging and more important for our future leaders.

Changing Personalities of Incoming Airmen

The final trend area for consideration is the changing personality of successive generations of young men and women who join the military each year. Millennials are different from previous generations in many ways (Deal & Levinson, 2016). The Millennials—loosely defined as those born in the 1980s and 1990s—are technically sophisticated and adhere to non-linear approaches to problem solving, both in their personal and professional lives. They are perhaps more serious about professional development than previous generations. At the same time, a majority of them acknowledge having cheated in high school and they come with less military familiarity. These trends are likely to continue with future generations, such as the new Generation Z. In short, developing in entering military personnel an appreciation for traditional military core values (Integrity, Excellence, Service, etc.) will not be getting easier.

How the Future Will Impact Living Honorably

And so it is that the rapidly increasing complexity of our national security environment puts a very different face on the challenges of living honorably. Future military leaders must somehow reconcile dramatic changes in the nature of our profession with the more constant parameters of traditional core values. For example, they must develop and preserve a professional appreciation for the moral and ethical dimensions of conflict that involve the new domain of cyber as well as an increasing assortment of both kinetic and non-kinetic instruments of power. Traditional notions of Just War and the Laws of Armed Conflict, which were designed primarily to accommodate the ethical and

moral imperatives of kinetic warfare, may turn out to be inadequate.

The Challenge of Non-Linearity

The environmental trends mentioned above point to an increasingly non-linear world of surprise and wicked problem sets. In these circumstances, the universal core value for the profession of arms—Excellence—emerges with a vengeance, especially within a future “battle of wits” with adversaries possessing advanced conventional, space, cyber, and information warfare capabilities. Just as increasing complexity of industrialized warfare drove the need for general staffs in the late Nineteenth Century (Barnett, 2014), success in current and future conflicts will increasingly rely on the excellence of individuals throughout the entire chain of command who can function as a “Team.” Traditional Western military approaches based on hierarchical structures projecting futures and developing strategic plans are giving way to “teams of teams” with resilience, agility, and “shared consciousness” (McChrystal, 2015). Within this new paradigm of planning and operations, military members’ quest for professional excellence as team contributors assumes ethical and moral dimensions on par with long-standing traditional prohibitions against lying, stealing, and cheating. Increased emphasis on teams for resilience and timely agility means everyone must understand and support the essential mission—that is, McChrystal’s “shared consciousness”—which, in turn, requires trust from the bottom to the top of rank hierarchy. In sum, success must rest on a foundation of the traditional military Core Values, which the Air Force defines as Integrity First, Service Before Self, and Excellence in all We Do.

Conclusion

And so it is that honorable living and professional success within the dynamic military environment of today and tomorrow necessitates new thinking as well as innovative new approaches to training and education. As we are reminded by General McChrystal and

others like Margaret Wheatley (2006), the traditional “hands-on” leader in a mechanistic organization with a reductionist approach to solving difficult problem sets can no longer keep pace with the rapidly changing and more complicated national security arena. The heroic leaders of the past must shift their focus from directing each move of the organization to crafting and enabling a culture of trust, common purpose, and shared consciousness. The end goal is empowered execution by teams of players. Such an environment can promote both professional success and traditional core values. It also plays to the strength of the Millennials and the emerging Generation Z. Given their affinity for technology and non-linear thinking, these generations will hopefully be more open to new ways of thinking and innovative approaches to learning. The moral imperative for the profession of arms is, then, to create “brilliant warriors” who are firmly grounded in core values, resilient, adaptable, and ready to serve in an uncertain future.

Honorable living for military professionals is becoming much more complicated as it moves away from the traditional approach of linear projection and planning toward resilience. The days of simply following rules and commands as a path to excellence are over. Resilience, increasingly, is a function of how well one knows themselves rather than familiarity with a checklist. Resilience is also a function of agility and being able to think creatively, flexibly, and independently.

The physical dimension of courage will continue to exist, but it will be increasingly complemented by the moral dimension of responding to core values that have been internalized over time. Though the distance to the target is greater and with less personal risk, the consequences of moral decision making always remain. Airmen, for example, have always killed, or trained to kill, at a distance, whether from high altitude bombers or from the missile silos of the Northern Tier. Today, it is possible to kill a terrorist with a drone strike, after

watching that individual’s pattern of life for weeks or months, and then drive home to the routine of their personal lives. In this context, honorable living becomes more complicated.

In addition, the conduct of future conflict will likely feature smaller fielded forces, increased authority and power from an individual sitting at a keyboard, and the increased use of automated systems and robotics, all of which will bring their own ethical challenges concerning responsibilities of operators, designers, engineers, and decisions-makers. Though policy, doctrine, education and training can relieve professional military from being overwhelmed by many such challenges, new technologies, new adversaries, and new social conditions will likely provide the fuel for still more ethical situations.

Commissioning education programs and professional military education must thus focus on new approaches to preparing military professionals for the ethical challenges they will face in the future environment. Institutions must leverage the best education and training techniques, such as adventure-based and experiential learning, to expose military professionals to these issues. Instead of stand-alone lessons on the Law of Armed Conflict and the Joint Ethics Regulations, most education and training programs should imbed discussions of ethical issues as part of their broader objectives. This ethical focus should be universal and synchronized across an individual’s professional development from pre-commissioning to retirement.

The challenge to create ethical “brilliant warriors” is not insurmountable, but will require focused attention. We owe this to our military professionals before we send them into harms way.

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ORGANIZATIONAL MANAGEMENT

Promoting Polyarchy and Professionalism in Officer Character and Leadership Development

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"I listened with fascination. I had always admired [Commanding General of the Army Air Forces Henry H.] Arnold's great vision, but I think then that I was more impressed than ever. This was September 1944. The war was not over; in fact, the Germans were to launch the Battle of the Bulge in December. Yet Arnold was already casting his sights far beyond the war, and realizing, as he always had, that the technical genius which could help find answers for him was not cooped up in military or civilian bureaucracy but was to be found in universities and in the people at large." (von Karman & Edson, 1967, p. 268)

Having just passed the 71st anniversary of the establishment of the U.S. Air Force, it is appropriate to reflect on all that has been accomplished, but it is also an opportunity to cast our sights beyond today, as Arnold did, to consider where the Air Force will find the resources necessary to solve the complex and dynamic problems of tomorrow.

ABSTRACT

The U.S. Air Force's first seventy years have witnessed frame-breaking advancements in the equipment, tools, and technologies employed for mission accomplishment, but those same seventy years have also been accompanied by a substantial accretion of organizational formalization, resulting in delayed decision-making and increased bureaucratic inertia. The complex and rapidly changing social, political, and technological environments of the next seventy years and beyond will require Air Force leaders who can initiate and nurture individual and collective dynamic capabilities to sense and seize opportunities quickly and proficiently. Developing these capabilities will require less emphasis on rules-based scripts, hierarchical referral, and unitary decision-making processes (bureaucratic processes), and more emphasis on differentiated decision-making through polyarchy and integration via the social proof of military professionalism.

The recollection above, from a pioneering aerospace leader who worked with Arnold (von Karman & Edson, 1967), seems to suggest that visions (great and small), and solutions (great and small), do not spring easily from the confines of large, bureaucratic systems. To the contrary, the theory of dynamic capabilities (Barreto, 2010; Teece, Pisano, & Shuen, 1997) suggests that only those organizations which “integrate, build and reconfigure internal and external competencies to address rapidly changing environments” (Teece et al., 1997, p. 516) will be able to succeed in such environments. Put another way, organizations which build the capacity to sense and shape opportunities and threats (Teece, 2007), and to then seize opportunities quickly and proficiently (Teece, 2000), are those that are better able to succeed in rapidly changing, complex environments. General Hap Arnold knew this, just as he knew that large bureaucratic systems, dictated as they were by the contingencies of military strategy, size and the technology of the day, were not the place to look for answers to the complex problems the future would present. The leaders of the Air Force of tomorrow are being educated and trained today, so we might ask: how do we prepare young people to lead with character in dynamic environments where agility, speed, rapid decision-making, and extraordinary vision will be required? We believe that the answer

lies, in part, in leadership and character development programs that include discussion and practice in the use of self-organizing processes for problem-solving and decision-making (known as polyarchy; Dahl, 1972), combined with a focus on professionalism as a means of integrating solutions within our highly-differentiated (military) command and control framework.

In Defense of Bureaucracy

It has become de rigueur to set up bureaucracy, and particularly government bureaucracy, as a straw man, and then proceed to knock it down a few pegs by citing evidence of its many and varied limitations and failures (Edwards, 2015; Johnson & Libecap, 1994). We do not intend to do that here. For each set of organizational contingencies (e.g., strategy, size, technology, environment), there is an appropriate, though imperfect, structural match (Miller, 1987; 1988). In the early days of the Industrial Revolution, bureaucracy was a welcome antidote to the rampant nepotism, cruelty, capriciousness and waste associated with operations in most organizations at the time (Bennis, 1965). Every member of the military likely understands the usefulness of the bureaucratic form for peacetime operations. Bureaucracy, as Wriston (1980) describes, is “characterized by:

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1. Its hierarchical relationships, culminating in one boss "at the top".
2. Its attempt to prescribe all action and authority through written rules and regulations.
3. Its relative isolation from outside evaluation or "feedback".
4. Its attempt to hire and promote staff, and divide work, based on specialization and technical competence.
5. Its attempt to adhere to the strict rule of rationality.
6. Its dependent membership (i.e., its members depend on it for their livelihood)" (p. 179).

On balance, the advantages of a mechanistic or bureaucratic form for the U.S. Air Force substantially outweigh the disadvantages of the form when considering the peacetime missions, size, technology, environment and activities of the service. The mechanistic/ bureaucratic form of organization is well-suited, in most peacetime situations, as a structure to differentiate the work that needs to be done and integrate the many activities that result. In short, this paper is both a defense of bureaucracy and an indictment of it as an all-encompassing mental model (or cognitive framework) for decision-making in routine and non-routine environments.

With the increase in the size and complexity of the Air Force mission set has come a corresponding increase in organizational formalization. Analysis by the Regulatory Studies Center at George Washington University of the Code of Federal Regulations (CFR) shows that the number of pages in all federal rules and regulations has grown from a count of 71,224 in 1975 to 178,277 at the end of 2015 (GWU, 2017). A good bit of growth in policy guidance is understandable. New tools, methods and environments require new

policies and procedures to ensure uniformity of action, the preservation of resources, and the safety of organizational participants, among other important outcomes. We do not argue that rules are unnecessary, but that an organization which relies on an ethos of rule-making to shape behavior in all environments, including those that are non-routine, dynamic and complex, risks delayed decision-making, inefficient operations, and mission failure. Routine situations demand programmed decisions using policies, procedures and regulations. Non-routine situations demand different mechanisms to ensure mission accomplishment...and those mechanisms cannot be formalized (nor will they ever be). Unique problems require unique solutions, and officer candidates must be taught how to utilize the resources of the organization to more quickly solve complex problems in dynamic situations. We cannot hope to foresee all of the problems that will arise in the near and not-so-near future, and therefore cannot write rules fast enough to

Bureaucracies do not move fast, as they were not designed to. We must teach our young officers how to quickly and proficiently sense, shape and execute solutions to our most acute and important problems (some of which do not currently exist).

address them. The best we can do is train our officer candidates to recognize unique and ill-structured problems, seize the most promising opportunities extant, and execute solutions with speed and precision. Bureaucracies do not move fast, as they were not designed to. We must teach our young officers how to quickly and proficiently sense, shape and execute solutions to our most acute and important problems (some of which do not currently exist). We must teach them to be dynamic decision-makers and we must build their capabilities to do so, much as we build their capacities for working in a military bureaucracy.

The Dynamic Capabilities View

The failure to address and respond to major environmental changes is a harbinger of organizational failure (Audia, Locke, & Smith, 2000). As such, organizations operating in hypercompetitive (D'Aveni, 1994) or high-velocity (Bourgeois & Eisenhardt, 1988) environments are encouraged to operate in such a way as to build successive temporary advantages to respond to these environmental shocks (D'Aveni, 1994; Felin & Powell, 2016). Dynamic Capabilities Theory builds from the resource-based view (RBV) of the firm (Barney, 1986), which explains how an organization might achieve a competitive advantage by using their unique resources and capabilities, where resources are things owned/controlled by the firm, and capabilities refers to the organization's capacity to deploy their resources toward a desired end (Barney, 1991). However, RBV assumes that resources and capabilities are essentially static in nature (rare, non-substitutable, and difficult to imitate), and inadequate to provide an advantage in a dynamic environment (Priem & Butler, 2001). The Theory of Dynamic Capabilities (Teece et al., 1997), in contrast, is defined as "the firm's ability to integrate, build, and reconfigure internal and external competences to address rapidly changing environments" (516). Eisenhardt and Martin (2000) characterized dynamic capabilities as the firm's processes that use resources to match/create market change. Winter (2003) suggested that dynamic capabilities were those that operated to extend, modify, or create ordinary capabilities, suggesting that dynamic capabilities could spring organically from the ordinary activities in the organization. It is worth noting that there are many definitions of dynamic capabilities, but that the construct can be defined using terms such as abilities, capabilities, capacities, processes and routines (Barreto, 2010).

While some find the many definitions useful for describing what dynamic capabilities are, others have suggested that the differing definitions are vague and invite theoretical and empirical confusion (Kraatz

& Zajac, 2001). Barreto (2010) consolidated and integrated the various definitions into one overall description: "A dynamic capability is the firm's potential to systematically solve problems, formed by its propensity to sense opportunities and threats, to make timely and market-oriented decisions, and to change its resource base" (p. 271). This definition suggests that dynamic capability is a composite of four dimensions, all directed toward solving problems: the propensity to sense opportunities and threats, the propensity to make timely decisions, the propensity to make market-oriented decisions, and the propensity to change the resource base of the organization. In other words, an organization develops dynamic capabilities to solve problems, first and foremost. It must develop the capacity to sense opportunities and threats in its environment (internal and external), it must develop the capacity to make timely and appropriate decisions, and it must be willing to change its resource base (the strategic assets used to produce outcomes). Only by doing those things will an organization be able to build the necessary abilities, capabilities, capacities, processes and routines that solve problems. So, what are those capabilities, and how should the Air Force seek to develop them?

Polyarchy

Dynamic environments place great demands on the organization to process and act on complex, time-sensitive and often incomplete information. Imagine the volume and complexity of data and information flowing to organizational leaders in the midst of combat operations, for example. Who is best prepared to receive, parse, integrate, apply and decide subsequent actions based on that information? Who fully grasps what the disparate elements of the organization are experiencing, what their adversaries are contemplating, and how the battle is unfolding? Unfortunately, no one is capable of such information processing. But that is exactly what bureaucracy demands – hierarchical referral, task specialization, behavioral scripts (e.g., regulations), and unitary

decision-making. Bureaucracy demands that someone, usually high-placed, makes important decisions about what to do. Whereas organizational design suggests that this bureaucratic model is appropriate in stable environments, it is wholly unsuited to operations in dynamic environments (the realm in which we are supposed to be training to fight). Therefore, our first challenge is to find a better way to sense opportunities and threats in our immediate environment, and to bring information to bear on problems so that solutions can be developed and executed quickly and proficiently.

If the information processing abilities of a unitary leader are limited, it seems logical to suggest that we should multiply the number of leaders engaged in information processing and decision making. The value of collaborative decision-making over individual decision-making has been demonstrated time and time again in research on team behaviors and outcomes in organizations (e.g., Mathieu et al., 2017). It is not that two heads are necessarily better than one, but that many, well-informed heads are almost always better than one. Enter polyarchy. Robert Dahl introduced the term polyarchy to characterize American politics and other political systems that are open, inclusive, and competitive (Dahl & Lindblom, 1953; Dahl, 1972). In the organizational sciences, polyarchy refers to systems in which autonomous individuals or small groups are given the power to make their own decisions about the conduct of their work (Sah & Stiglitz, 1986). Those individuals and groups, typically those whose jobs require that they be closer to the foci of action, have specialized knowledge and skills, operate at the boundaries of the organization, and are subject to, and aware of, the full magnitude of environmental change as it impacts their work. It is these individuals and groups who are in the best position to sense opportunities and threats, make decisions and solve problems.

Polyarchy promotes collaboration and decision-making in dynamic environments by bringing the

necessary resources to bear quickly and efficiently so that focal individuals can sense and shape opportunities quickly and make decisions proficiently. Polyarchy is to organizations what the “kill box” is to military aviators. Kill boxes were introduced in the Gulf War as a way to delineate boundaries for combat operations and de-conflict the airspace within those boundaries. A kill box was a three-dimensional area that enabled timely, effective coordination and control, and allowed for rapid and spontaneous attacks. By extension, giving junior officers the authority to sense and exploit opportunities within their “kill boxes” (areas of responsibility) would allow organizations to capitalize on opportunities that are increasingly fleeting and dynamic.

Polyarchy illustrates Patton’s maxim that you should “never tell people how to do things; tell them what to do, and they will surprise you with their ingenuity.” When we specify the exact order of things, micro-manage decision processes and decisions, or specify the voluminous regulations, policies, and procedures that must be strictly attended to, we risk telling people how to do things. Polyarchy emphasizes the “what” – the outcome, result or action that must be taken (here and now) in order to capitalize on the situation and achieve success. Rather than emphasizing decision-making by authority, polyarchy emphasizes team decision-making, with coordination and control exercised in a timely fashion at the level where action occurs.

Polyarchy can be the mechanism by which differentiation is optimized in dynamic environments. The essential function of any structure is to break up the work of the organization. In stable environments, hierarchy breaks up the work so that specialized units can develop and produce a small range of outputs at great volumes. In dynamic environments, hierarchy breaks down, as systems designed for one environment prove ill-suited to rapid problem definition, solution development and execution. What is needed in dynamic environments is the development of a larger

range of *possible* solutions to ill-structured, time-sensitive problems. Polyarchy allows for differentiation with a defined purpose, so that the necessary and appropriate resources are engaged in real-time to solve unique problems. Polyarchy is more than just an ambidextrous approach to organization (O'Reilly & Tushman, 2004). It is a mindset and shared vision about how the work of the organization should proceed when faced with rapidly changing conditions, ill-structured problems, and limited time for information processing. It is a mental model for rapid organization, deliberation

to their way of doing business. The legendary Kelly Johnson of Lockheed developed a philosophy of innovation at the Skunk Works facility (Lockheed, 2018) based on the idea that rules and bureaucracy stifled group work, experimentation, and dynamic problem-solving. His "14 Rules and Practices" read like an owner's manual for polyarchy: clearly define the problem, give the development team the information and resources they need to innovate, and keep rules, reports, and interference by outsiders to a minimum. Likewise, our junior officers must be taught how to rely

on the wisdom of teams, the power of collaborative decision-making, and the value of rapid prototyping and testing of solutions. They must also learn to trust that the process will be more effective if practiced often, critiqued frequently, and ruthlessly exploited, when necessary.

Polyarchy is both a mechanism and a mindset that can help the Air Force speed attention to change in the organization's dynamic environment, to integrate actions and activities, to collect and focus individual efforts, and to ensure that everyone is working together, at all times and career stages, to achieve strategic goals.

and decision. Our junior officers can quickly and, with a little training in team formation, team development, and consensus decision-making, learn to use polyarchy as a framework for decision and action in dynamic environments. For example, manufacturing companies that practice lean production often constitute kaizen teams to work on production inefficiencies with the goal of achieving continuous improvement. Kaizen is a structured, iterative, and participatory approach for making continuous improvements in organizations (Pettersen, 2009). Kaizen teams are rapidly constituted, given the information and resources they need to develop and test solutions, and are just as rapidly disbanded following problem resolution. The reason these problem-solving teams work so well is that kaizen (continuous improvement) philosophy and team decision-making are integral

At first blush, polyarchy applied to a military organization seems like folly. It seems absurd to spend time and effort developing the curricula of basic, intermediate, and senior service schools if we are going to suggest turning the decision-making apparatus on its head. Basic service schools teach technical and followership skills, intermediate schools teach some elements of group decision-making, and senior service schools prepare officers for the day when they will exercise command (and control). But this assumes that command and control in a well-organized bureaucracy is the pinnacle of service leadership. As all senior leaders know, participative decision-making is the core of what they should be doing. But learning this lesson at the 15-year point seems anticlimactic. Where does that leave junior officers today? Where is there room for innovation, deliberation and critical thinking in their current positions? Polyarchy is both a

mechanism and a mindset that can help the Air Force speed attention to change in the organization's dynamic environment, to integrate actions and activities, to collect and focus individual efforts, and to ensure that everyone is working together, at all times and career stages, to achieve strategic goals. But there is a fine line between polyarchy and anarchy, and there must be sufficient consideration of integrating mechanisms to coordinate the complex internal activities that polyarchy has the potential to create.

Professionalism

Regulations, rules, policies and procedures (formalization) are the most well-known approach to integration. But there are other approaches, and some that would work more effectively in the context of polyarchy. The Air Force has a very strong culture of professionalism (the confidence and skill expected of a professional). Each individual is expected to know their job and to do it well (*"Excellence in all we do."*). We spend a great deal of time educating and training our officers in the technical aspects of their duties. But we know that there is not enough time to teach everyone how to respond to every conceivable situation, nor can we write regulations sufficient to cover every contingency. And it is often that when time is critical and information lacking that officer professionalism, in its many forms and manifestations, helps guide decision-making and action. Officer professionalism integrates the disparate actions of many by focusing effort on the mission at hand. But how does professionalism do that? What is the mechanism responsible? One particularly powerful approach to integration by professionalism is the use of social proof. In social psychology, a social proof is a mechanism of social influence that tends to produce common behavior among members of a group (Cialdini, 2009; Lun et al., 2007). Social proof is a type of conformity (Cialdini & Goldstein, 2004), and can lead to herd behavior. A more familiar, and decidedly negative, example of a social proof is groupthink. But social proof can also persuade in positive ways

(Cialdini, 2001) by reinforcing core values, positive group norms and expected modes of behavior.

Air Force leaderships' innate understanding and use of social proof is demonstrated in numerous ways. For example, a demonstration of social proof is literally written on the sleeves of United States Air Force Academy (USAFA) cadet uniforms. Starting with the class of 2000, a class exemplar is chosen to inspire (as the name suggests), exemplary values, character, and leadership. The name of the chosen leader is sewn onto the sleeves of cadet Athletic Jackets for that class. The power of this particularly symbolic form of social and cultural integration among cadets is compelling. Invoking the name of the exemplar reminds cadets of the values the exemplar embodied, and it serves as a guide to their own behavior and development. That constant reminder reinforces, in a very simple way, the core elements of character and those behaviors that are valued by the organization. Acting against those values would be, and should be, unthinkable to the cadets who wear that name on their sleeves.

The Air Force employs other implicit means of integration by professionalism in its accession programs, either through selection or during initial training. The System Socialization Model (explained in more detail in Levy & Blass, 2006) illustrates many of the components that impact effective integration, most of which can be used to inculcate the ethos of polyarchy into junior officer training programs and practices. Air Force organizational culture, values, and reputation ostensibly act as mechanisms to increase self-selection by individuals who will be committed to the Profession of Arms. These are positive implicit integration mechanisms. However, those same mechanisms might also increase socio-cultural inertia in the Air Force; we would recommend that Air Force officer accession programs focus on recruiting a more diverse officer corps, including those from different (non-traditional) educational and socio-cultural backgrounds who have

demonstrated creative approaches to problem solving, particularly so in fields such as cyber and space. The more the Air Force focuses on recruiting a true diversity of backgrounds, experiences, knowledge, skills, and abilities, the more effectively our force will be able to address future challenges. While integrating those diverse voices will be challenging at first, we trust that professional integration via explicit (formal training) and implicit (acculturation) means will smooth the rough edges of that diversity and harness those differences toward the use of more effective approaches to solving problems in dynamic environments.

Given the thrust of this article, it might be appropriate to suggest a few modest mechanisms to ensure the introduction and development of polyarchy and its associated processes in educational environments within the Air Force. However, we don't want to give the impression that these suggestions are quick-fixes, comprehensive, or will result in immediate change. On the contrary, the present state of formalization in the Air Force has been laid down over time, layer upon layer, like the process of building a coral reef, one well-meaning directive at a time. It will take time and energy to replace this accretion with meaningful, and less prescriptive, behavioral guides. Culture change is a slow process of unfreezing unproductive behaviors, training to the new behavior, and refreezing behaviors that represent improvements over the old system. Initially, however, it would serve as a useful signal if training programs emphasized individual and team performance, and rewarded them, equally. There is an award for the distinguished graduate of our various technical and educational programs; might there not be an award for the best team? We often refer to USAFA as a leadership laboratory. While that may have been the intention, when was the last time an individual or group was recognized for an experiment that failed? Do we train our new leaders to fail fast, learn quickly, and move on? Or do we punish the slightest infraction from standard procedure thereby

creating an officer corps that is averse to change and apprehensive to question those in power when the situation warrants? An essential understanding within Kaizen teams is that systems are never perfect but can often be improved from their current state. Do we teach prospective leaders how to question current processes with an eye toward seeking alternative, and perhaps better, solutions? Do we teach young officers to question *anything*? One of the enduring lessons of Cockpit/Crew Resource Management programs within the airline industry, for example, is that if anyone on the crew notices something that isn't as it should be, the appropriate first step is to verbalize the concern – before the accident investigation board does it for you.

In terms of actionable suggestions, we would revise leadership development programs in the Air Force to emphasize self-directed learning teams as the focal unit of decision-making and action in organizations. We would reorient performance evaluations to include more emphasis on team development, team leadership, and team performance. There are very few positions within the Air Force that do not require team effort. The outcomes of any activity therefore, have individual and group causes which should be understood and addressed. We believe team-based learning approaches (Michaelsen, Knight, & Fink, 2004) should be part of the academic curriculum at USAFA, at technical schools, and at service schools. Individuals should be trained in the theory and practice of team formation, team development, team leadership, and team performance. Individuals should understand the process gains and process losses associated with work in teams and should be equipped to enhance the former and mitigate the latter.

Advancement and promotion systems should expressly measure and evaluate the individual's contribution to team leadership. And finally, flexibility should be designed into systems that address individual

and group failures, of any kind, so that the Air Force can move away from an evaluative, performance orientation to a developmental, learning orientation. There can be no learning if one never tries anything new, and no one ever tried anything new if the response was always and predictably negative. The future requires adaptation – what brought the Air Force to this point is not necessarily what will take it through the next seventy years. If the inputs are changing, and we want the outputs to change as well, we have to address the processes we use to transform inputs to outputs.

Conclusion

We understand that what we are proposing is easier said than done. It is difficult to build dynamic capabilities that are intangible, and polyarchy and professionalism are, by nature, composed of soft skills and soft power employed to achieve organizational goals. It is always easier to train someone to do something by rote. That, however, is our biggest concern. We do not believe that the Air Force can build dynamic capabilities to respond to challenges in our current and future environments by dictating new rules, policies, and procedures. The ethos of rule-making must be supplanted by an ethos of “capability” which values rapid problem identification, alternative solution generation, evaluation, and selection. We must train our officer candidates to sense, seize, and exploit opportunities, using the soft skills and collaboration of polyarchy as a tool to solve problems. We must trust that all of our mechanisms of professionalism – tangible and intangible – are sufficient for guiding the selection of appropriate, and ethical, solutions. In short, we must be willing to risk “letting go” of an ethos of rule-making in order to “hold on” to the very thing we train our officer candidates to be: officers of character

to lead our Air Force and our nation into the future. These ideas may be nothing more than an old wine in a new label, but they offer the only logical means of

We must be willing to risk “letting go” of an ethos of rule-making in order to “hold on” to the very thing we train our officer candidates to be: officers of character to lead our Air Force and our nation into the future.

developing the capabilities necessary to sense, shape, and seize opportunities quickly and proficiently in the dynamic environment that Hap Arnold cast his sights on so many years ago.

♦ ♦ ♦

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ORGANIZATIONAL MANAGEMENT

Character Conflation: The Just War Tradition and Just Peacemaking Theory as Part of an Intentional Character Development Approach

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ABSTRACT

Character development efforts comprise an important part of the training regime in all U.S. military forces, but a review of those plans shows areas of potential improvement in defining and refining the character construct. This paper encourages an organizationally unique and narrowly specific character definition as a way to further virtue cultivation, combined with an expanded and more realistic ethical construct for the entire spectrum of missions every U.S. military member now faces. The author proposes a new term called “character conflation” to express this process, defining it as: “The unique process by which an organization intentionally identifies and influences character outcomes toward a specific, desired end state.” Because of the extensive use of modern U.S. military forces in non-traditional peacemaking roles, instruction in the Just War Tradition should expand to include theoretical development and training in Just Peacemaking Theory. Military members required to operate on any part of the power spectrum need an ethical construct which supports the entire spectrum, not just the ethics of war.

Introduction

“Be polite, be professional, but have a plan to kill everybody you meet” (Ricks, 2006). This directive was one of the rules Major General James Mattis gave his Marines while he was the commander of the 1st Marine Division during the 2003 invasion of Iraq and the stability operations which followed. This quote received considerable press attention all around the world following his nomination to be the Secretary of Defense (Conway, n.d.; Wilner, 2016).

Mattis made this comment in a specific environment to a particular audience, but the statement does succinctly, and colorfully, illustrate the oft-competing ethical demands experienced by military members. How can one be polite and professional, yet have a mindset so focused on killing? Are these not conflicting ethical and character demands?

My first operational assignment was as a lieutenant in a Security Police Squadron. Shortly after I joined this unit, I deployed to Cairo West Air Base as an Air Base Ground Defense Flight Commander, supporting Operation Restore Hope. As a primary liaison to the Egyptian security forces, I was in strange role, for which I had no specialized training. I was quickly forced to adjust to the host culture, relying on character developed during my upbringing and formative years at the United States Air Force Academy (USAFA). These interactions aimed at developing “polite and professional” goodwill with the Egyptian forces. I found myself not only responsible for U.S. force security, but also required to develop and maintain a low-level international alliance in order to further larger American strategic goals.

Eight years later, on the morning of 9/11/2001, I unexpectedly found myself in a different environment, far removed from building host-nation goodwill. Early that morning, at home in North Pole, Alaska, I watched the World Trade Center South Tower fall on live television. I immediately put on my flight suit and drove to my operational squadron, the 18th Fighter

Squadron at Eielson Air Force Base (AFB). Within hours of the attack, I was briefing as part of an alert formation of F-16s on standby for the unthinkable task of shooting down any other hijacked airliners, a White House order the North American Aerospace Defense Command issued that morning (Kean & Hamilton, n.d.). There were still many commercial flights over the Pacific headed toward the U.S., and the full extent of the 9/11 attack was not yet clear. As a result, two F-15s intercepted Korean Air Flight 85, bound for Anchorage, and forced a divert to Whitehorse, Canada over fears it had been hijacked (Levin, 2002). Many across America, military and civilian alike, had their ethical construct unexpectedly challenged that day. During the mission brief, I asked the Operations Group Commander who would give the order to shoot and how to verify that order. Fortunately, that scenario never transpired, but two months later, I was flying combat missions over Afghanistan. In this situation, the latter part of General Mattis’ quote proved pertinent. America was unexpectedly at war, and I was part of it.

In an earlier version of this journal, Chapa and DeWees (2016) proposed officer character development as a combination of virtue cultivation and ethics education, and offered a model which expanded virtue education by adding advanced ethics instruction. Kevin McCaskey, also writing in the JCLI, now known as the JCLD stated, “We have defined the desired end state of our strategic approach to character and leadership education as providing an individual the tools necessary to act as a leader of character”

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(McCaskey, 2017, p. 42). Virtue cultivation and ethics education, founded on specific tools useful to further the organizational mission, were offered as new ways to respond to future demands. To continue their line of reasoning, this article encourages an organizationally unique and narrowly specific character definition as a way to further virtue cultivation, combined with an expanded and more realistic ethical construct for the entire spectrum of missions every military member must now face.

Institutional Character Conflation

“Based on the collective wisdom of the ages, we can definitely state that character not only matters, but that for much of recorded history, it has had a fixed meaning” (Wright & Goodstein, 2007, p. 934). Character education has a complex, multifaceted, and rich history extending back to antiquity (Healea, 2006). It is prominent in Western and Eastern literature from the earliest times. The Biblical experience of the Hebrews showed character was central to their relationship with God. Character is also essential in Eastern philosophy, especially Confucianism, which taught people to exercise careful vigilance over their character (Wright & Goodstein, 2007).

Greek philosophers, including Socrates, Plato, and Aristotle, had extensive views of individual character and the best way to develop it. Plato identified wisdom, courage, temperance, self-control, and justice as virtues (Wright & Goodstein, 2007). Aristotle was a pupil of Plato but diverged from Plato's internally focused view of character. Aristotle taught the knowledge of virtue is not the same as acting with virtue (Olsthoorn, 2010), and added external factors founded in civil and social responsibility stemming from his experience in the unique societal conditions of the Greek city-state. His writing in *Nicomachean Ethics* remains highly influential on virtue ethics. It opens, “Every act or applied science and every systematic investigation, and similarly every action and choice, seem to aim to some good; the good, therefore, has been well defined

as that at which all things aim” (Mintz, 1996, p. 829). Aristotle did not separate excellence of character and intelligence. Instead, the exercise of intelligence transforms individual dispositions into character virtues (Mintz, 1996). He observed educators struggle to prioritize intellectual or moral virtues, but suggested they do both; increasing intellectual virtues with direct instruction, and moral virtues via good habits (Yanikoski, 2004).

Wright and Huang (2008) point out character is a multidimensional construct consisting of three essential elements. The first is moral discipline, or the ability to constrain personal appetites for the greater good of society. The second element is moral attachment, meaning individual commitment to a larger community. Finally, moral autonomy refers to individual capacity to freely make ethical decisions. This last component is the only one focused internally and means people have the discretion and skills of judgment to act in a moral manner. It suggests the notion of personal responsibility and free will. Combining these elements, Wright and Huang validate the character definition provided in earlier work by Wright and Goodstein: “Those interpenetrate and habitual qualities within individuals, and applicable to organizations, that both constrain and lead them to desire and pursue personal and societal good” (2007, p. 982).

Using this perspective as a framework for character, how does the concept relate to leadership? Almost universally, society acknowledges character is an important or even the most crucial aspect of leadership (Peterson & Seligman, 2004; Wright & Goodstein, 2007). But, at the same time, there is little consensus on what makes up character, how to measure it, or how to develop it (Peterson & Seligman, 2004; Wright & Huang, 2008). The gravity of this problem is more acute in the military. The potential life-and-death nature of military service and its direct tie to national security means leadership and character take on greater

urgency in the armed forces (Guinness, 1999; Jennings, 2013; Light, 2012; Michelson, 2013).

Character is not the only essential trait of a leader. Hannah and Avolio (2011) argue character is necessary, but not sufficient in itself. Many leadership demands are character-neutral, and leaders must also prove themselves competent in the organizational mission, so "character and competence are the raw building blocks of effective and sustainable leadership" (p. 979). The character component of leadership is clearly important, but harder to define and measure than technical competence. Character has a significant influence on leadership ability, continues to develop across an entire lifespan, and undergirds morality.

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Leaders are by default moral agents who always advance virtues or vices in their environment (Quick & Wright, 2011). But character cannot be fully deduced with current research methodology (Hannah & Avolio, 2011) making it more difficult for organizations to understand, agree upon, and commit resources to its development. Even Aristotle anticipated the difficulty of gaining consensus on how to develop character. He wrote in *The Politics*, "There is no clarity about whether training is to be in things useful for life or in things leading to virtue or in things extraordinary...as what leads to virtue, nothing is agreed about it" (Aristotle & Simpson, 1997, p. 154).

This discussion highlights that there is a nearly universal consensus that character is an essential aspect of leadership, but little agreement regarding what character actually is. This problem means it is important for organizations to clearly define what character represents within their own construct,

and develop their members toward that expected outcome (Light, 2012). Organizational leadership should understand and clearly define the desired end state when it chooses the direction in which to steer character development efforts, a process especially important given the challenges of postmodern ethical diversity (Michelson, 2013).

However, there is a lack of research literature or practical guidance proposing quantifiable character development outcomes, especially those uniquely suited for individual organizations. Because of this, I propose a new term called "character conflation" to express this process. Conflation, in this meaning, is a literary term in which an author combines several different characters into a single person as part of their story development (Hartley, 2014). I define character conflation as, "The unique process by which an organization intentionally identifies and influences character outcomes toward a specific, desired end state." Character conflation is an idea rich with potential for research and theoretical development.

Military Character Conflation

The reader who is familiar with USAFA or other U.S. service academies may see nothing new here. The academies and other Department of Defense departments understand they must provide values guidance that reflects service-specific requirements. But a closer look at departmental guidance and implementation shows room for clarity. Certainly, USAFA takes seriously their responsibility for character conflation, which is one reason for this journal. The USAFA vision is to be "The Air Force's premier institution for developing leaders of character" (United States Air Force Academy Strategic Plan, 2015). At USAFA, character development programs are of such import that the organization responsible for overseeing them is named the Center for Character

and Leadership Development (CCLD). CCLD, in fact, publishes this journal. USAFA defines character as: “One’s moral compass, the sum of those qualities of moral excellence which compel a person to do the right thing despite pressure or temptations to the contrary.” (United States Air Force Academy Center for Character and Leadership Development, n.d.). This definition is clear, coherent, and provides specific and useful guidance for the USAFA program, but is more narrowly focused than the earlier academic definition emphasizing habitual qualities and societal good (Wright & Goodstein, 2007; Wright & Huang, 2008). The USAFA definition seems to entirely omit the second element of character – moral attachment to a larger community (Wright & Huang, 2008).

However, USAFA further identifies three aspects of a characterized leader as one who “Lives honorably consistently practicing the virtues embodied in the Air Force Core Values, lifts others to their best possible selves, and elevates performance toward a common and noble purpose” (United States Air Force Academy Center for Character and Leadership Development, 2011, p. 9). CCLD points out these qualities align with a growing body of research that views character as three-dimensional, comprised of moral/ethical character, relational character, and performance character (United States Air Force Academy Center for Character and Leadership Development, 2011, p. 10). These components mirror the previously mentioned elements of moral disciple, attachment, and autonomy; so expanded USAFA character instruction integrates the idea of attachment to a larger community highlighted by Wright & Huang (2008).

Moving beyond the service academies, however, a view of leadership character exists but is less clear. The Air Force (AF) has a slightly different view on character than does USAFA, and a specific AF-wide character concept remains elusive. *The Airman Handbook* (2015) provides comprehensive guidance to all members of the service and also addresses the issue of character. In

the section titled “Military Ethics,” it clearly states the expectation for AF members to be “men and women of character” (p. 228). Later in this same document, the importance of leadership character is also emphasized, but is trait-focused rather than describing an internal, guiding mechanism: “The character traits of effective leaders include charisma, compassion, and courage. Effective leadership is a combination of competence and character” (p. 247). The handbook goes on to address integrity, and assign it a definition very close to the USAFA character definition: “Integrity is the moral compass, the inner voice of self-control, and the basis for the trust imperative in today’s Air Force. Integrity is the single most important part of character” (p. 252). But, integrity is only one of the three AF core values: “Integrity first, service before self, and excellence in all we do” (p. 240).

The Army also defines character, albeit with a more expansive description than USAFA or the AF: “Character is one’s true nature including identity, sense of purpose, values, virtues, morals, and conscience” (“Field Manual 6-22 Leader Development,” 2015, p. 5-1). This definition expanded from the last iteration of FM 6-22 which simply stated, “Character, a person’s moral and ethical qualities” (“Field Manual 6-22 Leader Development,” 2006, p. 4-1).

U.S. Army Colonel Brian Michelson (2013) evaluated the Army’s character development approach and discovered shortcomings, describing it as “laissez-faire.” Michelson argues the Army acknowledges character is vital to leadership but offers confused and self-contradictory advice on how to develop it. Michelson concludes the Army has no method to evaluate character, but assumes three things: First, soldiers inherently know what is right and wrong, and desire to live ethically. Second, consistent ethical conduct develops strong character. Third, leaders develop character commensurate with increasing responsibility by individual effort and self-study.

However, Michelson finds both qualitative and quantitative analyses of Army discipline demonstrate soldiers at all ranks sometimes do not choose to live ethically. For example, in 2011, six percent of the active duty population committed over 78,000 offenses. As to the second character assumption, it is based on fatally circular logic. The Army assumes soldiers will become good by “doing good,” but also assumes actions must be in agreement with individual values and beliefs, or character. Michelson cites examples of character failure in senior Army leaders as proof that becoming good by “doing good,” is ineffective, calling this dilemma the “Peter Principle of Character.” Pragmatic rule following at lower ranks can mask character flaws, but higher ranks and levels of responsibility bring increased visibility and fewer restraints on individual actions. Finally, the third Army assumption about character is quiet on what leaders should study to advance their character. “Is studying the philosophical or religious teachings of Buddha, Mohammed, Ayman al-Zawahiri, Plato, Immanuel Kant, Jesus Christ, Nietzsche or Confucius of equal benefit and value” (2013, p. 36)?

Michelson concludes the Army’s *laissez-faire* approach to character development is not sufficient to meet the challenges posed by the current operational environment. He acknowledges the issues associated with character development are complicated and emotionally charged, but best addressed by something other than inconsistent and self-contradictory doctrine. Michelson argues the Army does not know with confidence if character development will meet institutional goals (Michelson, 2013). His evaluation is a negative report concerning the state of character development, but the publication of the critique itself highlights the Army does consider leadership character a priority and realizes it underpins institutional values.

The Army and Air Force are not the only DoD components struggling with the character concept. Light (2012) studied U.S. Navy commanding officers (COs) relieved for cause from 1999 to 2010. He found

the dismissal rate for professional reasons increased only slightly, whereas removal rates based on personal and ethical failures climbed significantly. Interviews with the COs removed for misconduct indicated they knew their actions were unacceptable but believed they would not get caught, would not be held accountable, the behavior was worth the risk, or they just chose to ignore the potential consequences.

Light argued these problems should be understood as character failures and necessitate a more in-depth look at the concept. The study suggested ways to develop the officer moral compass and establish a higher ethical standard for behavior. The first step is to acknowledge the problem and create a sense of urgency. The next is to set a standard in writing for the exemplary behavior expected of Naval officers and improve metrics which record officer performance, forming the basis of promotion and command selection. Finally, enhanced moral training, primarily focused on junior officers, should allow them to make and learn from mistakes while growing their character (2012).

The U.S. military values leadership character, otherwise, they would not publish guidance and critical research. But, each service could greatly benefit by moving forward with character conflation efforts. Character conflation should focus narrowly, clearly, and specifically on what the organization values most in its leaders. Do so, and the military may see their efforts yield the increasingly “polite and professional” members envisioned by General Mattis (Conway, n.d.).

Combat Character Conflation

What about that second part of the Mattis quote, “have a plan to kill everybody you meet” (Ricks, 2006)? This evocative statement illustrates the fundamental responsibility of the military to fight and win wars. It also hints at the nexus of character development and ethical combat. Darrell Cole (2002) says, “The importance of character is enormous for military ethics and the just war. Who will be able to formulate good

laws of war if not the wise? Who will be able to follow those laws if not the courageous and self-controlled” (p. 54)? Some argue war takes place outside of the realm of moral reason. They see war as a sphere of interest and necessity where moral argument is a fatal distraction from the deadly and severe business at hand. However, the grand tradition of Western moral philosophy requires all human activities to take place within the purview of moral judgment (Weigel, 2005). How does this broad concept underlie focused character conflation efforts?

A cannon of literature exists on the ethical justification to engage in war and right conduct within war, but less about how human character excogitates the ethics of justified killing. This narrow but important subject is an area ripe for a character conflation. Nobody enters the military with a fully developed ethical construct regarding killing, but the military asks almost everyone who wears a uniform to be ready to do just that if required. How does a new military member think about war? American civil society provides few useful directional cues, so this must be a primary component of military character conflation efforts. Military character training must deliberately and seriously address elements directly applicable to war and how humans deal with the internal ethical struggle when asked to “have a plan to kill” (Ricks, 2006).

Beard (2014) points out that Military Ethics Education (MEE) programs struggle with the multifaceted demands on character in war. For some, ethics education is synonymous with character development regardless of the situation. Others see military ethics as distinct from general morality and more applicable to expectations of a given military specialty and the expected requirements within it. Although most MEE

programs claim to be virtue-based, many of them focus on deontological outcomes and only use the language of virtue ethics. These programs give military professionals little opportunity to develop real virtues necessary in war. Professionalism without moral context creates problems for military members who cannot always rely on common virtue to govern actions that seemingly defy morality, such as intentional killing. Because of this, some argue it is important to educate military members to view their combat responsibilities as a separate ethical realm from the morality governing everyday life.

The U.S. service academies do not agree with this approach, but instead, see character as central to officer development in both combat and peacetime. “Dr. Shannon French, who previously taught military ethics at the United States Naval Academy, used to teach a course named, “The Code of the Warrior.” At

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the beginning of the course each semester, she would ask the midshipmen to reflect on the meaning of the word “warrior.” She provided five words and asked which best reflects a synonym for the concept. The words were “murderer,” “killer,” “fighter,” “victor,” and “conqueror.” She found most midshipmen rejected all five because they believed a true warrior needed to be morally superior to any of the concepts these words represented. She pointed out that Thomas Hobbes thought the reason societies formed in the first place was because of a desire to escape murderous appetites and gain security. But the fact humans hate murder means there is an inherent tension within those asked

to fight for their nation. She states, "They must learn to take only certain lives, in certain ways, at certain times, and for certain reasons. Otherwise, they become indistinguishable from murderers and will find themselves condemned by the very societies they were created to serve" (French, 2014, p. 3-5).

As a result, Beard (2014) observes military character training programs tend to feature discussions about war based on two distinct but interrelated principles. The first is what can and cannot be done in war as a matter of law, commonly called just war. But a myopic focus on just war leads to a rule-centric ethic which does not adequately prepare the military member for their multirole commitments. There is more to modern-day military service than only justified killing. Beard notes that service members today face complex moral and psychological challenges since they are expected to fulfill many roles such as warrior, peacekeeper, diplomat, professional, friend, and family member. The second common principle in military training programs, which generally receives less attention, is a focus on the moral lives and character of those participating in war (Beard, 2014). This area, the realm of psychodynamics, requires a focused effort of character conflation. The multitude of military roles, which are often conflicting, are fertile ground for character conflation efforts. Indeed, complex human nature and the force of leader character forms the foundation for national power, even at the highest levels of grand strategy.

The American political scientist Joseph Nye famously developed the concept of "smart power" in international relationships, suggesting it is a mix of the hard power of coercion with the soft power of persuasion. For Nye, power is the capacity to affect desired outcomes on the international stage and is relative to the view of the victim. Effective international power lies in the ability to get others to act contrary to their initial desires. The spectrum of power is a range of options from the hard side of power, usually associated

with military action, to the soft side of persuasion and attraction. The challenge for leaders is to find the right, or "smart" mix of power (Nye, 2011). This strategic continuum demands character conflation efforts that teach military members how to think and operate at every point of the power spectrum. For those new to the military, the first responsibility is to provide a character construct for the hard end.

Just War Tradition

Just War Tradition (JWT)¹ provides the bulwark for hard power in most Western nations. Cicero made an early argument for just war in his work *On Duties (de Officiis)*. He viewed war as part of the natural law of self-preservation. Self-defense to secure peace was the only justifiable reason for war. For Cicero, peace was grounded in justice, which he considered the supreme moral virtue of community life. He viewed justice from a negative perspective, to do no harm, as well as a positive viewpoint, kindness or generosity to advance the collective good. He criticized the Roman Empire for failing to exhaust discussion as a means to peace (Simpson, 2007).

JWT formally materialized under Ambrose and Augustine in the context of the Christian Roman Empire undergoing what would prove to be a devastating barbarian invasion (Stassen & Gushee, 2003). Bishop Ambrose served as the ideological bridge between Cicero and Augustine. Ambrose read Cicero extensively and lauded his moral insight, if not his theology. Ambrose recommended Cicero to Augustine and passed on two major ideas, the paramount importance of justice if peace was to prevail, and the idea that the pursuit of peace based on justice was the only justification for waging war (Simpson, 2007). As Augustine faced the geopolitical dilemma of invading Vandals, he considered how to balance Christian

1 JWT can refer to Just War Theory or Just War Tradition, terms normally used interchangeably. I use "tradition" because JWT is not doctrine but has increased in many Western nations to a degree of ideological maturity and practical authority that renders it much more than a theory.

teachings with the need for violence in its defense. His solution was a justification for war under certain circumstances with self-imposed limits on harm. This idea is considered the beginning of the JWT and later made a significant contribution to consensual Western thought regarding self-restraint in war (Johnson, 1984).

Readers of JCLI will likely be familiar with the two JWT pillars, *jus ad bellum* and *jus in bello*. Augustine said of *jus ad bellum*, or the justice to go to war, "Just wars are defined as those which avenge injuries, if some nation or state against whom one is waging war has neglected to punish a wrong committed by its citizens, or to return something that was wrongfully taken" (Mattox, 2008, p. 36). Along with *jus ad bellum*, JWT developed on another pillar, *jus in bello*, or ethical conduct within a war. The vital distinction is justification for entering war does not extend to allow unrestricted conduct while engaged in combat. The ends in war do not justify the means; *ad bellum* criteria² justify entry into war while *in bello* considerations³ limit combatants.

The choice to wage war is at the discretion of U.S. political leadership, not the individual military member. Military leaders have little input into a decision for war unless they achieve high rank and serve in an advisory position to national civilian leadership. For this reason, military senior developmental education programs are usually the first to cover the strategic issues of JWT. On the other hand, just conduct within war applies to all members of the military. *In bello* considerations must be a significant character conflation focus area because, "The claim of national purpose is often, in war, made to excuse acts of military force that reach beyond the

limits of what is moral" (Johnson, 1984, p. 169). This temptation means individual character must guide *in bello* actions under fire, an extremely challenging demand on combatants operating under JWT ideology.

JWT provides deontological (from Greek *deon*), or duty guidance to combatants but struggles to address the aretaic concepts of individual virtue (*arête*) within war. The distinction between *deon* and *arête* is an essential aspect of character development efforts (Beard, 2014). Most U.S. military units understand this so encourage comradery built on a "warrior's code" oriented toward the culture and tradition of the military, but reflecting service and unit-specific priorities. The intent is for the individual to internalize a code that will help form identity and character, rather than a mere understanding of the legal requirements of military duties (French, 2014). The core values of different DoD departments are one example of the virtue ethics approach to character conflation.

Kasher considers a counter-argument to character-centric military training. He points out some eschew character development and focus instead on teaching appropriate, values-based behavior. These naysayers see typical military virtues as those anyone in or outside of the military would condone, and therefore, do not reflect the unique nature of military service. Furthermore, many in postmodern society view morality as relative, so talk of definitive virtues falls on deaf ears. They argue that military members should instead understand what it means to be part of the military in a free and democratic nation, and how their behavior supports the values and norms liberal democracies cherish, such as freedom. This lead away from a virtue-based approach toward a behavior-centric, values-based orientation (2014).

Under this view, dwelling myopically on individual character failures diverts attention from institutional leadership or process breakdowns. Failing to look at

2 *Ad bellum* criteria vary slightly from source to source but generally include: (1) just cause, (2) competent authority, (3) right intention, (4) last resort, (5), relative justice, (6) proportionality and (7) a reasonable hope for success.

3 *In bello* considerations commonly include: (1) discrimination (if a person is a combatant or not) and (2) proportionality, or are planned actions morally justifiable.

the situation holistically misses potentially flawed structures or systems. Another criticism of virtue-based training is that military members have difficulty deciding what to do when virtues conflict as they often do in combat. In a final critique, virtues oriented specifically and narrowly toward combat may not provide adequate guidance for a force employed in other ways more common in the modern era such as peacekeeping, police actions, or coalition building (Robinson, 2014). These criticisms have merit and need attention as part of DoD character conflation efforts. Just Peacemaking Theory is one way to address these concerns.

Just Peacemaking Theory

Most members of the U.S. armed forces are familiar with JWT, commonly taught in many curriculums across the military. But lacking in current military training programs is instruction on a soft power companion of JWT, known as Just Peacemaking Theory (JPT). JPT originated in the work of the recently deceased Dr. Glen Stassen at Fuller Seminary. It is an approach to international conflict which argues first for preemptive initiatives to reduce international and civil tensions while moving nations toward justice, reconciliation, and peace. JPT adds a third paradigm to the pacifism and JWT schools of thinking about international crisis (Stassen, 2008). U.S. service members in the modern, all-volunteer force are not pacifists, narrowing their ethical frameworks to consider only JWT and JPT.

JPT is best viewed conjointly with JWT. JPT does not replace JWT but is complementary because it advocates advanced diplomatic alternatives, but acknowledges the need for military action after all other options fail. JPT first came about during the 1980s when major religious groups started taking issue with the nuclear arms race. A consensus view emerged that the debate between pacifism and JWT was inadequate because it focused the discussion solely on if it was right or wrong to fight a war. Because modern war is

so destructive, JPT arose as a third option to consider elements of national power and is currently under theoretical development (Stassen & Gushee, 2003).

The JPT approach emphasizes peaceful resolution for international tension points rather than a rush to violence, proactively considering pathways to peace in attempts to avoid war. It is not pacifism since adherents are willing to wage war if required. Instead, it is an activist, politically engaged, and realistic approach to international conflict that bridges the gap between pacifism and just war (Watson, 1996). It solves a significant problem with current views of war because those who view some conflicts as right still need an ethic that guides initiatives for peace. On the other hand, those who argue war is never the answer need to have a realistic solution when peaceful measures are not working (Stassen, 2008). A major JPT strength is to bring the pacifistic commitment to nonviolent initiatives and the JWT call for a just outcome into coherent alignment (Cahill, 2003).

Most of those acquainted with the military will see JPT as familiar, but primarily within the purview of the Department of State (DoS), and other agencies like the United States Agency for International Development (USAID). The DoS mission is: "To shape and sustain a peaceful, prosperous, just and democratic world and foster conditions for stability and progress for the benefit of the American people and people everywhere," a mission statement they share with USAID ("United States Department of State agency financial report," 2016). However, joint DoD planning guidance acknowledges solutions to complex international issues can rarely be found in one agency and frequently require a whole of government effort and interagency cooperation. At times, the DoD will be in a supporting role in these endeavors ("Joint Publication 3-08, Interorganizational Cooperation," 2016). DoD personnel at all levels are responsible for conducting or supporting soft-power diplomacy and spend a lot of

time doing so. JPT is proactive, an ethical framework for actively building community, not just prohibiting or allowing certain behavior in war (Cahill, 2003). It offers one ethical construct to train service members for soft power employment since so much operational effort happens in this domain.

JPT has ten specific recommendations, divided into three broad categories (Stassen & Gushee, 2003). The first category is peacemaking initiatives,⁴ the second is justice,⁵ and the last is love and community.⁶ JPT encourages geopolitical powers, especially the great ones, to cooperate and build international institutions which help mediate ongoing conflict and prevent future ones (Morkevicius, 2012). But JPT also makes requirements of individuals who seek peaceful justice by compelling them to engage international tension points proactively. JWT provides standard criteria and a lexicon for evaluating the legitimacy of war but does not adequately address how to avoid conflict or build relationships. JPT, on the other hand, provides concrete suggestions an individual or government can take to improve international relationships (Morkevicius, 2012). Injustice is a significant cause of war, so JPT attempts to move the world toward justice in a peaceful manner by advancing democracy, human rights, and religious liberty, as well as

JPT provides an ethical framework for character development programs, and flexibility for the individual service member to consider the entire range of smart power missions they are likely to face.

encouraging just and sustainable economic development (Stassen, 2008).

It is this point which makes JPT important to service members. Whereas JWT is mainly agnostic to the individual, other than to follow its deontological guidance, JPT makes demands of people to act in ways which build community and further national interests. It is entirely compatible with and complementary to a program of virtue development. JPT provides an ethical framework for character development programs, and flexibility for the individual service member to consider the entire range of smart power missions they are likely to face. For example, USAFA cadets routinely support service projects in their local community (Welch,

2017), West Point cadets participate in the Soldiers for Citizens community service program (Cole, 2015), and Naval Academy midshipmen collect food as part of the Harvest for the Hungry program (Anonymous, 2017). Are these worthy philanthropic programs merely ways to give back to the local community, or are they also building character and a useful ethical framework for future officers?

These are just a few of the countless programs across all DoD components which encourage preemptive, involved, individual action to further justice and build relationships within the local community. All military members understand supporting their local community is an essential expectation of military service. Do they

⁴ JPT recommendations are to: (1) support nonviolent direct action, (2) take independent initiatives to reduce threat, (3) use cooperative conflict resolution, (4) acknowledge responsibility for conflict and injustice and seek repentance and forgiveness.

⁵ In this category, recommended actions include: (1) advance democracy, human rights, and interdependence and (2) foster just and sustainable economic development.

⁶ The last recommendations are: (1) work with emerging cooperative forces in the international system, (2) strengthen the United Nations and international efforts to cooperation and human rights, (3) reduce offensive weapons and weapons trade, and (4) encourage grassroots peacemaking groups and voluntary associations.

understand it also forms the foundational building blocks of JPT, and as such, can be one component of an effective organizational character development strategy? Efforts to foster a sense of community and personal responsibility are at the core of JPT, so these are complementary goals. But how is a soldier who spends her evenings coaching youth sports contributing to U.S. national security interests? As she spends time coaching and mentoring, this soldier, like the cadets and midshipmen serving their local communities, is practicing the skills necessary for later operational missions. Are her leaders giving her this sight picture or just encouraging her volunteerism merely as a way to contribute to the local community and further her career? Every encouraged or required activity for all service members must have a long-term objective of building and furthering national security. In a JPT framework, this soldier understands how her seemingly unrelated efforts to coach youth sports aim directly at increasing justice and thereby support national security strategy.

To be clear, JPT is in its infancy as a theoretical construct and has notable shortcomings. For example, Cahill (2003) rightly points out JPT does not provide an ethical endorsement of coercion, an unrealistic oversight in international conflict management. Although a full discussion of JPT is outside the scope of this paper, it has a significant advantage in that it provides an ethical construct to DoD in support of DoS, USAID, and other goodwill missions.

One recent example is DoD support for Operation Tomodachi after the Japanese tsunami disaster in March 2011 (Wilson, 2012). Missions like Tomodachi are positively focused, extending a helping hand to international actors, but also furthering U.S. national interests. Preparing for and conducting soft power missions has the potential to advance the personal sense of awe which drives the learning touted in an earlier JCLI issue (Chapa & DeWees, 2016). JPT can provide

the DoD with an ethical construct and character conflation guidance when training for this mission.

Conclusion

The U.S. military plays a significant role across the entire power spectrum of national security. I experienced this throughout my entire career even though my primary skill was decidedly aimed at the hard end. JWT gave me adequate deontological guidance for combat, but I had no ethical framework for soft power missions so I learned on the job. The inadequacy of a full-spectrum ethical framework, combined with the paramount nature of leadership character as it intersects with postmodern challenges, lead to several important points. These areas are worth consideration for leaders thinking about character conflation. Although my recommendations revolve around military examples because of the JCLD audience, these issues are equally pertinent to civilian organizations and business leaders.

First, organization leadership must decide what constitutes character and clearly define that expectation for their members. As I have argued, character is almost universally acknowledged as a critical aspect of leader efficacy, if not the most significant dimension. A quick review of the news on any given day makes it empirically obvious that leader character remains central. Without fail, the character of political leaders features prominently, especially in the U.S. political process. Although there is a universal consensus that character is supreme, as Aristotle pointed out, there is almost no consensus on how to develop it or what it means. This point becomes obvious even in the cursory review of DoD guidance covered in this paper. Leaders must decide what character is, what it means to their organizations, clearly define it, and actively foster it in all members and at all levels.

Next, organizations must develop an ethical framework adequate for the entire mission set. A workable ethical construct is an essential part of

character conflation. Character conflation without comprehensive ethical guidance is useful to some degree but is not enough. Current deontological guidance provided via the JWT is inadequate since DoD members are engaged daily all around the globe on missions not adequately addressed by this framework. JPT, combined with JWT, is one idea for the DoD to provide a comprehensive ethical framework for military members likely to engage interagency and international partners. JPT adds ethical guidance for these cooperative efforts and helps the member understand how individual initiatives to build community play an important part in national strategic policy.

Finally, altruistic actions by DoD members are worthy and important, but they must aim at strategic goals and individual character conflation when they are encouraged by military leaders. These endeavors are common all over the DoD; indeed, there has been a long-running debate in the AF about including volunteer activities in Enlisted Performance Reports or not. Although I do not intend to solve this debate, I will point out that mere encouragement of altruistic actions falls clearly within the JPT domain and can be a useful component of character conflation and ethical guidance which extends across all elements of the power spectrum. If these activities are not useful to national security, they should not be encouraged. On the other hand, if they are important, DoD leaders owe it to their members and the nation to explain why they are worthy pursuits. Community service actions are beneficial when they orient the individual toward smart power as enacted by U.S. foreign policy. These can be part of the foundation of character and the ethical framework that seeks the justice advocated by Cicero and lauded as an individual virtue by Plato (Wright & Goodstein, 2007). Justice on an international scale comes from enacted virtuous justice of people and is the aim of both JWT and JPT (Cahill, 2003; Morkevicius, 2012). Justice is a prerequisite for peace and provides the nexus

of JWT/JPT ethics and character conflation because moving toward justice furthers the common good.

Wright and Huang highlight this point in their definition of character which emphasizes the individual pursuit of societal good (2008). Societal good is found in numerous ways, sometimes coming on the heels of the painful course of war, at other times coming through the difficult work of peacemaking. Either way, military members must be ready to further justice, a calling reflected in their unique service codes and core values, and common constitutional oaths. For these professionals, character conflation helps to develop moral discipline, attachment, and autonomy (Wright & Huang, 2008). This paper defines that progression as, "The unique process by which an organization intentionally identifies and influences character outcomes toward a specific, desired end state." This process must remain a central theme in DoD training, even as the mission requirements and character of those entering the military continue to diversify. A purely deontological approach cannot work for the U.S. military, varied mission requirements are outside a behavior-centered approach, and conflicting values common in postmodern society require a conflation process.

Pledged to defend the Constitution of the United States, service members must be able to think and act broadly in ways that further peace of order, the peace of *tranquillitas ordinis*. Justice brings about this peace and is where national and international interests intersect (Weigel, 2005). This noble calling highlights the critical nature of a military character construct and ethical framework to be polite and professional, but deadly when called upon to defend justice.

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BOOK REVIEW

Book Reviews for the JCLD

John Abbatiello, Book Review Editor

Our senior leaders at the Academy's Center for Character and Leadership Development recently agreed to add a book review section in the *Journal of Character and Leadership Development*. Our intent is to review newly published books on character and leadership as well as some of the older "gold standard" works on the subject—what we might call "classics" of character and leadership development. We hope that the *JCLD*'s readership will see in these reviews enough to make informed decisions whether or not to read the full books themselves, as they relate to their personal and professional interests.

We have a confession to make to our readers, however. In addition to the intent and hope above, our new book review efforts have additional purposes that are directly related to our professional responsibility to develop others. By reviewing the content of new and classic books, we trust that those committed to their own personal professional development will expand their individual reading programs and learning efforts and conduct "deep dives" into the reviewed subjects for their own growth. We also see book reviews as a way to develop our Academy staff; it is a true privilege to assist our military and civilian colleagues who write these reviews. Conducting critical analysis and writing prose are important parts of the book review process—skills that even the most experienced leaders can always improve. For those JCLD readers interested in writing reviews for this section, please contact me at john.abbatiello@usafa.edu for more details.

In keeping with current publishing trends, we also plan to make our book reviews available at our online host site, and details will follow. We envision publishing only a few reviews per JCLD issue, but making many more available as they flow in from our affiliated reviewers.

And now, back to our current issue. Our first reviews consider one new work and one classic book. Lt Col Dave Huston offers his thoughts on Barbara Kellerman's *Professionalizing Leadership*, published recently by Oxford University Press. Kellerman takes the "leadership development industry" to task on their lack of effectiveness as a community and shares her thoughts on making the industry more professional. Huston relays some ideas about how the USAF might become involved in this industry. The next review analyzes Rushworth Kidder's classic work on ethical decision-making, *How Good People Make Tough Choices*. Our readers might find it interesting that this 1995 book serves as the basis for much of our character development curriculum for first classmen (seniors) at the Air Force Academy. In his review, Captain Alex Butler takes us through Kidder's frameworks, as the author clearly articulates and enhances with real world examples. Both are worthwhile reads!

♦ ♦ ♦

BOOK REVIEW

A Review of "Professionalizing Leadership"

Barbara Kellerman, New York, NY; Oxford University Press. (2018)

Review By: David Huston, Lt Col, USAF

In this new book, Barbara Kellerman rips apart the ubiquitous tagline by programs that claim to tout the effectiveness of leader development without the presence of any rigorous measure to prove it. She claims that leaders as a profession, unlike doctors or lawyers, lack any means for certifying what it means to have been accepted by the profession as a leader, with the one exception being the United States military (p. 54-55). Based on this claim, she unpacks what she views as how the world at large should address this issue in order to improve how leaders should be developed. Specifically, leaders must develop professionally in order to act in an increasingly ethical and effective manner.

Dr. Kellerman is a professor of Public Leadership at Harvard University's Kennedy School of Government. Educated at Sarah Lawrence College and Yale University, she is the author of numerous books on leadership and a frequent commentator with the media. Kellerman is a co-founder of the International Leadership Association and currently directs the Kennedy School's Center for Public Leadership.

The first part of the book examines the history of leader development and relates it to current trends and to future application. She explains that the ancient philosophers limited leadership to the few; however, the Enlightenment changed this model such that anyone now had the potential to rise up against leaders and replace them through both violent and non-violent means. Then, in the 1960s and 70's in the United States, higher education focused on leadership from the management perspective. Today, the leadership industry revolves around three constructs: leader education, training, and development. Education consists of the cognitive aspect of understanding what a leader is. Training focuses on building the skills necessary to "do" leadership. And most importantly, development emphasizes "a qualitatively different state of being" (p. 64) which results in improving how one leads. The key to development is that it is a long term effort, demanding the "passage of time" (p. 75). To put it more bluntly, Kellerman stresses that leader development is not something that happens simply by attending a one week executive workshop.

The second part of the book describes the disarray and lack of coherence that exists in leadership theory and pedagogy, followed by a description of the “markers associated with achieving professional status” (p. 116). The third part of the book hits on three areas. First, that leadership should be viewed as a system of three equal constructs: leaders, followers, and contexts (p. 123), and that within this system there exists a range of leaders from horrible to great. Second, she highlights institutional failures and successes of those who have attempted to tackle improving this system. Third, Kellerman concludes by offering models for how to learn and teach leadership, while emphasizing that “in the end it is up to leaders to develop themselves” (p. 180).

This book highlights significant areas for improvement for how the professionalization of being a leader should occur. One lesson for the United States Air Force Academy (USAF), and other service academies, is that these institutions must fully realize and commit to the notion that their purpose is the foundational step of the professionalization of citizens into leaders for their respective service. Doing so should change how these institutions are structured and how resources are prioritized. Two main efforts of (1) offering a liberal education set in the context of leadership theory and (2) practicing leader skills relevant to being an officer can accomplish this mission. The final product of our service academies should be a certified leader at the foundational level of development.

Additionally, the United States Air Force could potentially have a positive impact on the larger leadership development community. Again, Kellerman sees the military as leading the charge on leadership development. The USAF has the opportunity to help the community of practice by providing a template to be used by other leadership development organizations for their specific context. This template could be based off of Air Force Doctrine Document Annex 1-1 “Force

Development,” a document that describes a model for leader development that occurs through a “continuum of learning” that includes education, training, and experiences. This concept defines eight competencies such as *Communicating* and *Strategic Thinking*, and 25 sub-competencies, such as *Develops and Inspires Others* and *Builds Teams and Coalitions*. Some of these leadership competencies and sub-competencies are specific to the military and may not serve other contexts, however, all are measurable. These sub-competencies could become the “go to” template for the leadership development field. In order to do this, the USAF would first have to determine a method for certifying leaders with it.

Overall, Kellerman provides very useful insights to developing leaders and professionalizing potential systems of development. For leaders to be effective, and developed effectively, the enterprise—according to the author—truly needs to be seen as a distinct profession. Her assertions are valuable and directly applicable to military professionals.

♦ ♦ ♦

BOOK REVIEW

A Review of "How Good People Make Tough Choices: Resolving the Dilemmas of Ethical Living"

Rushworth M. Kidder, New York, NY: William Morrow and Company, Inc. (1995)

Review By: Alex Butler, Captain, USAF

In this classic work on moral decision-making, Rushworth Kidder provides a framework for making decisions in situations which seemingly present two ethically “right” choices. Using a plethora of anecdotes, Kidder explains what he proposes as the four paradigms of ethical dilemmas: Truth vs. Loyalty, Individual vs. Community, Short-Term vs. Long-Term, and Justice vs. Mercy. For Kidder these paradigms serve as a litmus test for discerning whether a decision is an ethical dilemma (right vs. right) or a moral temptation (right vs. wrong). In arguing that everyone is faced with ethical dilemmas at some point in their lives, and most people are on a daily basis, Kidder underscores the need for ethical fitness, which he describes as the capacity to recognize the nature of moral challenges and respond with a well-tuned conscious (p. 57). Furthermore, Kidder explains three philosophical principles that most individuals use when discerning between two morally acceptable options, and highlights the value in understanding them as a means to achieving greater self-awareness and moral consistency. Importantly, Kidder explains that this book does not contain a magical set of answers to difficult questions. Instead, it is intended as a vehicle to facilitate the reflective dialog necessary to consistently make ethically sound decisions (p. 76).

Rushworth Kidder is a renowned author and ethicist, best known for this work as well as *Moral Courage: Taking Action When Your Values Are Put to the Test* and other books on ethical thinking. In 1990, Kidder founded the Institute for Global Ethics, which educates, consults, researches, and conducts assessment in the fields of ethical decision making and moral development. Prior to founding the Institute for Global Ethics, Kidder earned his doctorate in English and Comparative Literature from Columbia University and served in multiple appointments,

including professor at Wichita State University and columnist and editor at the *Christian Science Monitor*.

The first part of the book provides an overview of the considerations that Kidder claims are necessary to make ethical decisions in difficult situations. The book briefly introduces the four dilemma paradigms, serving as the litmus test for discerning whether a situation presents an ethical dilemma, in which two morally “right” choices are at odds with one another; or a moral temptation, in which one of the choices being considered is morally unacceptable. Kidder explains that for a situation to qualify as an ethical dilemma, at least one of the following four paradigms must exist: Truth vs. Loyalty, Individual vs. Community, Short-Term vs. Long-Term, Justice vs. Mercy. Conversely, if a difficult decision is void of all four of the aforementioned paradigms, then Kidder believes that one of the potential choices presents a moral temptation; an unethical option which, although appealing, is either amoral or immoral. Amorality, Kidder explains, is often due to an underdeveloped moral compass and the subsequent absence of morally acceptable core values. The amoral individual may not even recognize that his or her actions are wrong. Immorality, on the other hand, is understood as a lack of fidelity to established core values which result in a violation to the precepts of morality (p. 43). Finally, Kidder suggests that the only way to protect oneself from moral temptation is to develop and sustain a healthy level of ethical fitness, which he defines as the capacity to recognize the nature of moral challenges and respond with a well-tuned conscious, a lively perception of the difference between right and wrong, and the ability to make the right choice for action (p. 57).

The second part of the book focuses on Kidder’s belief in the universality of certain values and brings clarity to the nature of the four paradigms. Kidder first distinguishes moral values, defined as those that are intrinsically worthwhile, from other values that do not necessarily fall within the moral realm (i.e.,

political values, economic values, culinary values, etc.), usually captured using a code of ethics. Next, the author cites several theorists as he argues against the notion of ethical subjectivism, insisting that the data points strongly to the universality of several moral precepts. For Kidder, the elements which make up the four paradigms are universally accepted as morally sound, which is precisely what leads to their conflict presenting a moral dilemma. Justice vs. Mercy explains the tension which exists in the choice between objective application of the law and compassion for the plight of others; Short-Term vs. Long-Term highlights how immediate needs and long term goals are often in conflict with one another; Individual vs. Community brings attention to how one’s own needs can run counter to the needs of society at large; Truth vs. Loyalty recognizes that there are circumstances which require a choice in which absolute honesty and commitment to one’s responsibilities cannot co-exist.

The third part of the book provides three principles that Kidder proposes as the most commonly used for resolving ethical dilemmas: ends-based thinking, rule-based thinking, and care-based thinking. Kidder’s explanation of ends-based thinking as concentrating on the greatest good for the greatest number of people echoes the principles that serve as the foundation for utilitarianism. Rule-based thinking is rooted in Immanuel Kant’s concept of the categorical imperative, suggesting that all actions should be based on maxims or precepts which one is prepared to accept as the universal standard. Care-based thinking stems from what is commonly known as the Golden Rule, and as a prerequisite to action it demands that one care enough about the other(s) involved to consider all facets of the situation from their perspective. All three resolution principles are intended to provide a framework for navigating ethical dilemmas. When appropriately applied, Kidder believes they lead to increased mindfulness and guide morally consistent decision-making.

Kidder's book is rich with anecdotal evidence and relies heavily on theory. While the anecdotes help readers paint a mental picture around Kidder's assertions, his audience is still left without any quantitative data in support of his claims. However, despite the lack of quantitative research, Kidder's book is still valuable for anyone seeking to resolve difficult decisions through self-reflection. If there is truth to Socrates' claim that the unexamined life is not worth living, then Kidder's book serves as a wonderful resource for living a more worthwhile life. His principles for resolving ethical dilemmas provide readers with a framework by which they can examine their decision making process and achieve a heightened degree of self-awareness.

♦ ♦ ♦

CALL FOR PAPERS

A FOCUS ON ASSESSMENT

For the next issue of the Journal of Character and Leadership Development (JCLD), we solicit manuscripts from both scholars and practitioners of character and leadership development that discuss, describe, and illuminate the effectiveness of various character and leadership development efforts. There have been many books, articles, courses, training, etc. that have been introduced and developed over the past several decades. While many of these efforts can be effective in helping to develop leaders, the state of the science that surrounds their effectiveness and measurement has not kept pace. We therefore find an environment where over \$20 Billion is annually spent on leader development, with very little of that focused on assessment or the outcomes of that investment. The JCLD would like highlight what is being done regarding the assessment of leaders and their character.

This call for papers specifically seeks to expand the dialogue around the challenges of assessing these developmental efforts. The focus on assessment could include such topics as a description of an effective assessment approach/technique, a conceptual treatise of the challenges associated with accurate assessment or even a discussion around an effective character or leadership development program. The key point we want to highlight in this call is that while we know that leader and character development is important, we need to make sure that these developmental practices have efficacy in our organizations and for our people. Such an investment should be able to produce measurable results.

If you have any questions about this call or the applicability of an article for this issue, please contact the Editor in Chief, Douglas Lindsay, at douglas.lindsay@usafa.edu

JCLD Submission Guidelines

The Journal of Character and Leadership Development (JCLD) examines the scholarly and applied understanding of character and leadership development. Its purpose is to illuminate these two critical fields--character development and leadership development--as interdependent areas of study, whose integrated understanding and coherent application is highly relevant to preparation for leadership in today's complex world. Consequently, the JCLD applies high standards to guide the publication of scholarly work, through a blind-peer review process by recognized experts across the character and leadership development spectrum, while also welcoming thoughtful and well-articulated practical perspectives relevant to that same discussion. To accomplish this, we focus on three primary areas:

- **Integration:** Knowledge for application. How does what we know/learn impact how we develop leaders of character across different domains? How do we use this knowledge to impact our education, training and development programs?
- **Scholarship:** Theoretical and/or empirical examination of a relevant construct, program, approach, etc., related to character and leadership development.
- **Assessment:** How do we know what we are doing with respect to character and leadership development is working? What evidence can we gather to assess the efficacy of the efforts? Ideal submissions will include discussions of both character and leadership development. Since the purpose of the journal is on examining the development (short and long term) of leaders of character, we are keenly interested at the intersection of these two domains. While we will consider manuscripts for publication that address each of these in isolation, clear linkages between the domains of interest will have more relevance to the JCLD.

Categories for Submission:

- **Interview:** This category is designed for interviews with senior leaders/practitioners/academics/etc. focused on a topic that is related to the purpose of the JCLD. If you are interested in conducting an interview for submission to the JCLD, please contact the Editor in Chief to make sure that it fits the scope of the Journal.
- **Integration:** This submission category focuses on how topics related to character and leadership are integrated within an organization, team, or other functional unit. The key factor for this category is that we are looking for how both character and leadership can be integrated and not simply studied in isolation.
- **Scholarship:** These submissions will focus on the theoretical and/or empirical analysis of a construct, program, approach, etc. related to leadership and/or character.
- **Assessment:** These submissions will focus on an assessment technique or assessment strategy related to character and/or leadership development.

- **Reflections from the Field:** This submission category will be for leaders who have a relevant perspective to share based on their experience in leadership positions. It is not intended to be used to simply advocate a certain approach, but designed to be a forum for reflections of leadership situations and a thoughtful analysis of what worked/ didn't work. It can also be used to identify trends that a leader sees regarding different domains (e.g., what do future leaders need to be aware of in different domains like the profession of arms?).

Integration, Scholarship, and Assessment submissions should be submitted in accordance with the following guidelines:

- Manuscripts should be electronically submitted in standard American Psychological Association (APA, 6th Edition) to include proper headings, subtitles, and citations in 12 point Times New Roman font, double spaced, with page numbers and running headers.
- Manuscripts should not exceed 25 pages in length to include attachments, charts, and other supporting material.
- Author(s) guarantee that manuscripts submitted to the JCLD for consideration are exclusive to the submission and is not currently under review for another publication.
- All submissions should include an abstract of no more than 200 words.
- Submissions should be submitted in Blind Review Format. This means that no author, organizational affiliation, or other identifying information is included on the manuscript to be reviewed. A separate Title Page with identifying/contact information (name, organization, phone, and e-mail) for the corresponding author will be uploaded as a separate file.

Interview and Reflections submissions should be submitted in accordance with the following guidelines:

- Manuscripts should be electronically submitted in standard American Psychological Association (APA, 6th Edition) to include proper headings, subtitles, and citations in 12 point Times New Roman font, double spaced, with page numbers and running headers.
- Manuscripts should not exceed 15 pages in length.
- Author(s) guarantee that manuscripts submitted to the JCLD for consideration are exclusive to the submission and is not currently under review for another publication.
- Primary author(s) should include a short biography not to exceed 200 words for inclusion if the submission is selected for publication.

REFLECTIONS



JOURNAL OF CHARACTER & LEADERSHIP DEVELOPMENT

The Journal of Character and Leadership Development (JCLD) is dedicated to bringing together the expert views of scholars and leaders who care about both character and leadership, and to the integration of these vitally-important concepts.

JCLD is produced at the U.S. Air Force Academy. It is motivated by, but not exclusively concerned with, preparation of cadets to lead as officers of character in service to our Nation.

Combining quality, peer-reviewed scholarship and the experiential perspectives of leaders at all levels, JCLD aims to enhance intellectual understanding and empower real-world development of the effective, character-based leadership that both individuals and organizations need to succeed in a complex and demanding world.



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