Auxiliary Leadership and Management School (AUXLAMS)

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April 2, 2012

From: James E. Vass, Jr.

To: AUXLAMS Course Students

Re: Welcome

Welcome to the unique and extremely beneficial learning opportunity of the AUXLAMS Course.

During the next few days, you will have an opportunity to work with the Coast Guard Trainers. All of the team members have a wealth of experience and information to share with you. They offer their expertise so that you may learn how to become more efficient, effective leaders.

This is the second in the series of five courses in the Auxiliary Leadership Training Continuum. This course focuses on Flotilla-level leadership and management. You will have the opportunity to develop skills with greater emphasis and insight into problem solving as well as understanding and development of people skills, time management, and the responsibility of a District or Department level office in order for you to become better prepared to serve in senior leadership positions.

I whole-heartedly support the time and dedication that the instructors have invested in this program in an effort to provide the Auxiliary with strong future leaders. It is imperative that you have solid foundations for becoming inspirational and strategic leaders.

I encourage you to take part to complete all the course work and actively participate in all the sessions.

Best regards,

James E. Vass, Jr.
National Commodore

28 Leadership Competencies

Leading Self

- Accountability and Responsibility
- Followership
- **Self-Awareness and Learning**
- Aligning Values
- Health and Well-Being
- Personal Conduct
- Technical Proficiency

Leading Others

- **Effective Communications**
- **Influencing Others**
- Respect for Others and Diversity Management
- **Team Building**
- Taking Care of People
- Mentoring

Leading Performance & Change

- Customer Focus
- Management and Process Improvement
- **Decision Making and Problem Solving**
- **Conflict Management**
- Creativity and Innovation
- Vision Development and Implementation

Leading the Coast Guard

- Stewardship
- Technology Management
- Financial Management
- **Human Resource Management**
- Partnering
- External Awareness
- Entrepreneurship
- Political Savvy
- Strategic Thinking

BOLD competencies are covered in AUXLAMS

Table of Contents

Big Five Theory

In psychology, the **Big Five personality traits** denote a certain approach to the theory of personality.

Overview

The big five personality traits can be summarized as follows:

Neuroticism - A tendency to easily experience unpleasant emotions such as anxiety, anger, or depression.

Extroversion - Energy, surgency, and the tendency to seek stimulation and the company of others.

Agreeableness - A tendency to be compassionate and cooperative rather than suspicious and antagonistic towards others.

Conscientiousness - A tendency to show self-discipline, act dutifully, and aim for achievement.

Openness to experience - Appreciation for art, emotion, adventure, and unusual ideas; imaginative and curious.

These traits are usually measured as percentile scores, with the average mark at 50%; so for example, a Conscientiousness rating in the 80th percentile indicates a

greater than average sense of responsibility and orderliness, while an Extroversion rating in the 5th percentile indicates an exceptional need for solitude and quiet.

Origins

In 1936 Gordon Allport and H. S. Odbert hypothesized that:

Those individual differences that are most salient and socially relevant in people's lives will eventually become encoded into their language; the more important such a difference, the more likely is it to become expressed as a single word.

This statement has become known as the **Lexical Hypothesis**.

Allport and Odbert had worked through two of the most comprehensive dictionaries of the English language available at the time, and extracted 18,000 personality-describing words. From this gigantic list they extracted 4500 personality-describing adjectives which they considered to describe observable and relatively permanent traits.

In 1946 Raymond Cattell used the emerging technology of computers to analyze the Allport-Odbert list. He organized the list into 181 clusters and asked subjects to rate people whom they knew by the adjectives on the list. Using factor analysis Cattell generated twelve factors, and then included four factors which he thought ought to appear. The result was the hypothesis that individuals describe themselves and each other according to sixteen different, independent factors.

With these sixteen factors as a basis, Cattell went on to construct the 16PF Personality Questionnaire, which remains in use by universities and businesses for research, personnel selection and the like. Although subsequent research has failed to replicate his results, and it has been shown that he retained too many factors, the current 16PF take these findings into account and is considered to be a very good test. In 1963, W.T. Norman replicated Cattell's work and suggested that five factors would be sufficient.

Hiatus in research

For the next seventeen years, the changing Zeitgeist made the publication of personality research difficult. Social psychologists argued that behavior is not stable, but varies with context, so that predicting behavior by personality test was impossible. They further argued that character, or personality, is something humans impose on people in order to maintain an illusion of consistency in the world. Furthermore, Walter Mischel in his 1968 book *Psychological Assessment* asserted that personality tests could not predict behavior with a correlation of more than 0.3.

Around 1980, three developments brought personality research into the modern era: personal computers, statistical aggregation, and the Big Five.

Personal computers

Before the advent of personal computers, psychologists wishing to conduct large scale statistical analysis needed to rent access to a mainframe. However, once personal computers become widely available, they could do this work on their desktops. Therefore anybody could easily re-examine the Allport-Odbert list. The question remained as to why they would do so, given that it had seemingly already been established that personality was an illusion.

Statistical aggregation

It was argued that personality psychologists had considered behavior from the wrong perspective. Instead of trying to predict single instances of behavior, which was unreliable, it was thought that researchers should try to predict patterns of behavior. As a result correlations soared from .3 to .8 and it seemed that "personality" did in fact exist. Social psychologists still argue that we impose consistency on the world, but with statistical aggregation it could be shown that there was in fact more consistency than was once thought.

The Big Five

In 1981 in a symposium in Honolulu, four prominent researchers (Lewis Goldberg, Naomi Takamoto-Chock, Andrew Comrey, and John M. Digman) reviewed the available personality tests of the day, and decided that most of the tests which held any promise seemed to measure a subset of five common factors, just as Norman had discovered in 1963.

Emergence of the current model

Following the discovery of the convergence of the Lexical Hypothesis with the findings of theoretical research, a model was developed which states that personality can be described in terms of five aggregate-level trait descriptors.

Although many personality researchers have built their own models, when they talk to each other they usually translate their model into the one proposed by Norman in 1963.

The Factors

(The following descriptions of the five factors were adapted from the writings of Dr. John A. Johnson.)

Extraversion (or "Surgency")

Extraversion is marked by pronounced engagement with the external world. Extraverts enjoy being with people, are full of energy, and often experience positive emotions. They tend to be enthusiastic, action-oriented, individuals who are likely to say "Yes!" or "Let's go!" to opportunities for excitement. In groups they like to talk, assert themselves, and draw attention to themselves.

Introverts lack the exuberance, energy, and activity levels of extraverts. They tend to be quiet, low-key, deliberate, and disengaged from the social world. Their lack of social involvement should not be interpreted as shyness or depression; the introvert simply needs less stimulation than an extravert and prefers to be alone.

Agreeableness

Agreeableness reflects individual differences in concern with cooperation and social harmony. Agreeable individuals value getting along with others. They are therefore considerate, friendly, generous, helpful, and willing to compromise their interests with others'. Agreeable people also have an optimistic view of human nature. They believe people are basically honest, decent, and trustworthy.

Disagreeable individuals place self-interest above getting along with others. They are generally unconcerned with others' well-being, and therefore are unlikely to extend themselves for other people. Sometimes their skepticism about others' motives causes them to be suspicious, unfriendly, and uncooperative.

Agreeableness is obviously advantageous for attaining and maintaining popularity. Agreeable people are better liked than disagreeable people. On the other hand, agreeableness is not useful in situations that require tough or absolute objective decisions. Disagreeable people can make excellent scientists, critics, or soldiers.

Conscientiousness

Conscientiousness concerns the way in which we control, regulate, and direct our impulses. Impulses are not inherently bad; occasionally time constraints require a snap decision, and acting on our first impulse can be an effective response. Also, in times of play rather than work, acting spontaneously and impulsively can be fun. Impulsive individuals can be seen by others as colorful, fun-to-be-with, and zany.

The benefits of high conscientiousness are obvious. Conscientious individuals avoid trouble and achieve high levels of success through purposeful planning and persistence. They are also positively regarded by others as intelligent and reliable. On the negative side, they can be compulsive perfectionists and workaholics. Furthermore, extremely conscientious individuals might be regarded as stuffy and boring. Un-conscientious people may be criticized for their unreliability, lack of

ambition, and failure to stay within the lines, but they will experience many short-lived pleasures and they will never be called stuffy.

Neuroticism or (inversely) Emotional Stability

Neuroticism refers to the tendency to experience negative feelings. Those who score high on Neuroticism may experience primarily one specific negative feeling such as anxiety, anger, or depression, but are likely to experience several of these emotions. People high in Neuroticism are emotionally reactive. They respond emotionally to events that would not affect most people, and their reactions tend to be more intense than normal. They are more likely to interpret ordinary situations as threatening, and minor frustrations as hopelessly difficult. Their negative emotional reactions tend to persist for unusually long periods of time, which means they are often in a bad mood. These problems in emotional regulation can diminish a neurotic's ability to think clearly, make decisions, and cope effectively with stress.

At the other end of the scale, individuals who score low in Neuroticism are less easily upset and are less emotionally reactive. They tend to be calm, emotionally stable, and free from persistent negative feelings. Freedom from negative feelings does not mean that low scorers experience a lot of positive feelings; frequency of positive emotions is a component of the Extraversion domain.

Openness to Experience

Openness to Experience describes a dimension of cognitive style that distinguishes imaginative, creative people from down-to-earth, conventional people. Open people are intellectually curious, appreciative of art, and sensitive to beauty. They tend to be, compared to closed people, more aware of their feelings. They tend to think and act in individualistic and nonconforming ways. People with low scores on openness to experience tend to have narrow, common interests. They prefer the plain, straightforward, and obvious over the complex, ambiguous, and subtle. They may regard the arts and sciences with suspicion, regarding these endeavors as abstruse or of no practical use. Closed people prefer familiarity over novelty; they are conservative and resistant to change.

Openness is often presented as healthier or more mature by psychologists, who are often themselves open to experience. However, open and closed styles of thinking are useful in different environments. The intellectual style of the open person may serve a professor well, but research has shown that closed thinking is related to superior job performance in police work, sales, and a number of service occupations.

Significance

One of the most significant advances of the five factor model was the establishment of a taxonomy that demonstrates order in a previously scattered and disorganized

field. For example, as an extremely heterogeneous collection of traits, research had found that "personality" (i.e., any of a large number of hypothesized personality traits) was not predictive of important criteria. However, using the five-factor model as a taxonomy to group the vast numbers of unlike personality traits, psychologists Barrick and Mount used meta-analysis of previous research to show that in fact there were many significant correlations between the personality traits of the five-factor model and job performance in many jobs. Their strongest finding was that psychometric Conscientiousness was predictive of performance in all the job families studied. This makes perfect sense, insofar as it is very difficult to imagine any job where, all other thigs equal, being high in Conscientiousness is *not* an advantage.

Scientific findings

Ever since the 1990s when the consensus of psychologists gradually came to support the Big Five, there has been a growing body of research surrounding these personality traits. The existence of each one has been verified by cross-cultural research demonstrating that they exist in individuals outside of Western nations, and all show an influence from both heredity and environment (in roughly equal proportion).

A person's ratings on the five factors has been found to change with time, with Agreeableness and Conscientiousness increasing, while Extroversion, Neuroticism, and Openness generally decrease as a person ages.

Sexes show differences in Big Five scores across cultures, with women scoring higher in both the Agreeableness and Neuroticism domains. (The mere fact that sex differences have been found does not by itself demonstrate that the sexes are innately different in personality, although that is a possibility.)

Individuals also differ when viewed by the order of their births; Frank J. Sulloway has mounted evidence that birth order is correlated with personality traits: first-borns are statistically more conscientious, more socially dominant, less agreeable, and less open to new ideas compared to later-borns.

Recent work has also found relationships between Geert Hofstede's cultural factors, Individualism, Power Distance, Masculinity, and Uncertainty Avoidance, with the average Big Five scores in a country. For instance, the degree to which a country values individualism correlates with its average Extroversion, while people living in cultures which are accepting of large inequalities in their power structures tend to score somewhat higher on Conscientiousness. The reasons for these differences are as yet unknown; this is an active area of research.

Weaknesses

Much research has been conducted into the Big Five. However relatively little of the research has been published in a collated form; most of it appears relatively uncompiled in research journals. For the best understanding of the Big Five, one must be up to date on the literature, which may tend to limit a complete understanding by laypeople.

There are several other weaknesses to the Big Five. The first of these is that the five factors are not fully "orthogonal" to one another; that is, the five factors are not independent. Negative correlations often appear between Neuroticism and Extroversion, for instance, indicating that those who are more prone to experiencing negative emotions tend to be less talkative and outgoing.

Another weakness is that the Big Five do not explain all of human personality. Some psychologists have dissented from the model precisely because they feel it neglects other personality traits, such as:

- Religiousness
- Manipulativeness
- Honesty
- Sexiness
- Thriftiness
- Conservativeness
- Masculinity/Femininity
- Snobbishness
- Sense of humor

Correlations have been found between these factors and the Big Five, such as the well-known inverse relationship between political conservatism and Openness, although variation in these traits is not entirely explained by the Five Factors themselves.

Moreover, the methodology used to investigate these phenomena (factor analysis) does not have a well-supported, universally-recognized scientific or statistical basis for choosing among solutions with different numbers of factors. That is, a five factor solution is a choice of the analyst, at least to some degree. A larger number of factors may, in fact, underlie these five factors and a dataset of these variables may be factored into simpler models. This has led to disputes about the "true" number of factors. Many researchers and practitioners have criticized these five factors as being far too broad for applied work. In unpublished research, Goldberg (the researcher who coined the term "Big Five") found that Cattell's 16 factor solution has greater predictive power than five factors, even when the number of predictors is controlled by using a cross-validation sample to assess the prediction of competing regression models (16 versus 5 variables).

Another weakness of the Big Five is that they rely on self-report questionnaires to be measured; self-report bias and falsification of responses is impossible to deal with

completely. This becomes especially important when considering why scores may differ between individuals or groups of people - differences in scores may represent genuine underlying personality differences, or they may simply be an artifact of the way the subjects answered the questions.

The last weakness of the Big Five, and a criticism which has frequently been leveled at it, is that it is not based on any underlying theory; it is merely an empirical finding that certain descriptors cluster together under factor analysis. While this does not mean that these five factors don't exist, the underlying causes behind them are unknown. There is no theoretical justification for why sensation seeking and gregariousness are predictive of general Extroversion, for instance; this is an area for future research to investigate.

Further research

Current research concentrates on three areas. The first is: Are the five factors the right ones? Attempts to replicate the Big Five in other countries with local dictionaries have succeeded in some countries but not in others. Apparently, for instance, Hungarians don't have Openness to Experience. Of course they do, others say, the problem is that the language does not provide enough variance of the related terms for proper statistical analysis. Some have found seven factors, some only three.

The second area is: Which factors predict what? Job outcomes for leaders and salespeople have already been measured, and research is currently being done in expanding the list of careers. There are also a variety of life outcomes which preliminary research indicates are affected by personality, such as smoking (predicted by high scores in Neuroticism and low scores in Agreeableness and Conscientiousness) and interest in different kinds of music (largely mediated by Openness).

The third area is to make a model of personality. The Big Five personality traits are empirical observations, not a theory; the observations of personality research remain to be explained. Costa and McCreae have built what they call the Five Factor Model of Personality which is an attempt to provide a model of personality that can explain personality from the cradle to the grave. They don't follow the lexical hypothesis, though, but favor a theory-driven approach but inspired by the same sources as the sources of the Big Five.

Forget praise. Forget punishment. Forget cash. You need to make their jobs more interesting.

One More Time: How Do You Motivate Employees?

By Frederick Herzberg

Frederick Herzberg, Distinguished Professor of Management at the University of Utah in Salt Lake City, was head of the department of psychology at Case Western Reserve University in Cleveland when he wrote this article. His writings include the book Work and the Nature of Man *(World, 1966).*

When Frederick Herzberg researched the sources of employee motivation during the 1950s and 1960s, he discovered a dichotomy that stills intrigues (and baffles) managers; the things that make people satisfied and motivated on the job are different in kind from the things that make them dissatisfied.

Ask workers what makes them unhappy at work, and you'll hear about an annoying boss, a low salary, an uncomfortable work space, or stupid rules. Managed badly, environmental factors make people miserable, and they can certainly be demotivating. But even if managed brilliantly, they don't motivate anybody to work

much harder or smarter. People are motivated, instead, by interesting work, challenge, and increasing responsibility. These intrinsic factors answer people's deep-seated need for growth and achievement.

Herzberg's work influenced a generation of scholars and managers-but his conclusions don't seem to have fully penetrated the American workplace, if the extraordinary attention still paid to compensation and incentive packages is any indication.

How many articles, books, speeches, and workshops have pleaded plaintively, "How do I get an employee to do what I want?" The psychology of motivation is tremendously complex, and what has been unraveled with any degree of assurance is small indeed. But the dismal ratio of knowledge to speculation has not dampened the enthusiasm for new forms of snake oil that are constantly coming on the market, many of them with academic testimonials. Doubtless this article will have no depressing impact on the market for snake oil, but since the ideas expressed in it have been tested in many corporations and other organizations, it will help-I hope-to redress the imbalance in the aforementioned ratio.

"Motivating" with KITA
In lectures to industry on the problem, I have found that the audiences are usually anxious for quick and practical answers, so I will begin with a straightforward, practical formula for moving people. What is the simplest, surest, and most direct way of getting someone to do something? Ask? But if the person responds that he or she does not want to do it, then that calls for psychological consultation to determine the reason for such obstinacy. Tell the person? The response shows that he or she does not understand you, and now an expert in communication methods has to be brought in to show you how to get through. Give the person a monetary incentive? I do not need to remind the reader of the complexity and difficulty involved in setting up and administering an incentive system. Show the person? This means a costly training program. We need a simple way.

Every audience contains the "direct action" manager who shouts, "Kick the person!" And this type of manager is right. The surest and least circumlocuted way of getting someone to do something is to administer a kick in the pants-to give what might be called the KITA.

There are various forms of KITA, and here are some of them:

Negative Physical KITA. This is a literal application of the term and was frequently used in the past. It has, however, three major drawbacks: 1) It is inelegant; 2) it contradicts the precious image of benevolence that most organizations cherish; and 3) since it is a physical attack, it directly stimulates the autonomic nervous system, and this often results in negative feedback-the employee may just kick you in return. These factors give rise to certain taboos against negative physical KITA.

14

In uncovering infinite sources of psychological vulnerabilities and the appropriate methods to play tunes on them, psychologists have come to the rescue of those who are no longer permitted to use negative physical KITA/'He took my rug away"; "I wonder what she meant by that"; "The boss is always going around me"-these symptomatic expressions of ego sores that have been rubbed raw are the result of application of: Negative Psychological KITA. This has several advantages over negative physical KITA. First, the cruelty is not visible; the bleeding is internal and comes much later. Second, since it affects the higher cortical centers of the brain with its inhibitory powers, it reduces the possibility of physical backlash. Third, since the number of psychological pains that a person can feel is almost infinite, the direction and site possibilities of the KITA are increased many times. Fourth, the person administering the kick can manage to be above it all and let the system accomplish the dirty work. Fifth, those who practice it receive some ego satisfaction (one-upmanship), whereas they would find drawing blood abhorrent. Finally, if the employee does complain, he or she can always be accused of being paranoid; there is no tangible evidence of an actual attack.

Now, what does negative KITA accomplish? If I kick you in the rear (physically or psychologically), who is motivated? / am motivated; *you* move! Negative KITA does not lead to motivation, but to movement. So:

Positive KITA. Let us consider motivation. If I say to you, "Do this for me or the company, and in return I will give you a reward, an incentive, more status, a promotion, all the quid pro quos that exist in the industrial organization," am I motivating you? The overwhelming opinion I receive from management people is, "Yes, this is motivation."

I have a year-old schnauzer. When it was a small puppy and I wanted it to move, I kicked it in the rear and it moved. Now that I have finished its obedience training, I hold up a dog biscuit when I want the schnauzer to move. In this instance, who is motivated-I or the dog? The dog wants the biscuit, but it is I who want it to move. Again, 1 am the one who is motivated and the dog is the one who moves. In this instance all I did was apply KITA frontally; I exerted a pull instead of a push. When industry wishes to use such positive KITAs, it has available an incredible number and variety of dog biscuits (jelly beans for humans) to wave in front of employees to get them to jump.

Have spiraling wages motivated people?

Yes, to seek the next wage increase.

Myths About Motivation
Why is KITA not motivation? If I kick my dog (from the front or the back), he will move. And when I want him to move again, what must I do? I must kick him again. Similarly, I can charge a person's battery, and then recharge it, and recharge it again. But it is only when one has a generator of one's own that we can talk about

motivation. One then needs no outside stimulation. One *wants* to do it. With this in mind, we can review some positive KITA personnel practices that were developed as attempts to instill "motivation":

1. Reducing Time Spent at Work.
This represents a marvelous way of motivating people to work-getting them off the job! We have reduced (formally and informally) the time spent on the job over the last 50 or 60 years until we are finally on the way to the "6 1/2 day weekend." An interesting variant of this approach is the development of off-hour recreation programs. The philosophy here seems to be that those who play together work together. The fact Is that motivated people seek more hours of work, not fewer.

2. Spiraling Wages.
Have these motivated people? Yes, to seek the next wage increase. Some medievalists still can be heard to say that a good depression will get employees moving. They feel that if rising wages don't or won't do the job, reducing them will.

3. Fringe Benefits.
Industry has outdone the most welfare-minded of welfare states in dispensing cradle-to-the grave succor. One company I know of had an informal "fringe benefit of the month club" going for a while. The cost of fringe benefits in this country has reached approximately 25% of the wage dollar, and we still cry for motivation.

People spend less time working for more money and more security than ever before, and the trend cannot be reversed. These benefits are no longer rewards; they are rights. A 6-day week is inhuman, a 10-hour day is exploitation, extended medical coverage is a basic decency, and stock options are the salvation of American initiative. Unless the ante is continuously raised, the psychological reaction of employees is that the company is turning back the clock.

When industry began to realize that both the economic nerve and the lazy nerve of their employees had insatiable appetites, it started to listen to the behavioral scientists who, more out of a humanist tradition than from scientific study, criticized management for not knowing how to deal with people. The next KITA easily followed.

4. Human Relations Training.
More than 30 years of teaching and, in many instances, of practicing psychological approaches to handling people have resulted in costly human relations programs and, in the end, the same question: How do you motivate workers? Here, too, escalations have taken place. Thirty years ago it was necessary to request, "Please don't spit on the floor." Today the same admonition requires three "pleases" before the employee feels that a superior has demonstrated the psychologically proper attitude.

The failure of human relations training to produce motivation led to the conclusion that supervisors or managers themselves were not psychologically true to themselves in their practice of interpersonal decency. So an advanced form of human relations KITA, sensitivity training, was unfolded.

5. Sensitivity Training.
Do you really, really understand yourself? Do you really, really, really trust other people? Do you really, really, really, really cooperate? The failure of sensitivity training is now being explained, by those who have become opportunistic exploiters of the technique, as *a* failure to really (five times) conduct proper sensitivity training courses.

With the realization that there are only temporary gains from comfort and economic and interpersonal KITA, personnel managers concluded that the fault lay not in what they were doing, but in the employee's failure to appreciate what they were doing. This opened up the field of communications, a new area of "scientifically" sanctioned KITA.

6. Communications.
The professor of communications was invited to join the faculty of management training programs and help in making employees understand what management was doing for them. House organs, briefing sessions, supervisory instruction on the importance of communication, and all sorts of propaganda have proliferated until today there is even an International Council of Industrial Editors. But no motivation resulted, and the obvious thought occurred that perhaps management was not hearing what the employees were saying. That led to the next KITA.

7. Two-Way Communication.
Management ordered morale surveys, suggestion plans, and group participation programs. Then both management and employees were communicating and listening to each other more than ever, but without much improvement in motivation.

The behavioral scientists began to take another look at their conceptions and their data, and they took human relations one step further. A glimmer of truth was beginning to show through in the writings of the so-called higher order-need psychologists. People, so they said, want to actualize themselves. Unfortunately, the "actualizing" psychologists got mixed up with the human relations psychologists, and a new KITA emerged.

8. Job Participation.
Though it may not have been the theoretical intention, job participation often became a "give them the big picture" approach. For example, if a man is tightening 10,000 nuts a day on an assembly line with a torque wrench, tell him he is building a Chevrolet. Another approach had the goal of giving employees a "feeling" that they are determining, in some measure, what they do on the job. The goal was to provide

a *sense* of achievement rather than a substantive achievement in the task. Real achievement, of course, requires a task that makes it possible.

But still there was no motivation. This led to the inevitable conclusion that the employees must be sick, and therefore to the next KITA.

9. Employee Counseling.
The initial use of this form of KITA in a systematic fashion can be credited to the Hawthorne experiment of the Western Electric Company during the early 1930s. At that time, it was found that the employees harbored irrational feelings that were interfering with the rational operation of the factory. Counseling in this instance was a means of letting the employees unburden themselves by talking to someone about their problems. Although the counseling techniques were primitive, the program was large indeed.

The counseling approach suffered as a result of experiences during World War II, when the programs themselves were found to be interfering with the operation of the organizations; the counselors had forgotten their role of benevolent listeners and were attempting to do something about the problems that they heard about. Psychological counseling, however, has managed to survive the negative impact of World War n experiences and today is beginning to flourish with renewed sophistication. But, alas, many of these programs, like all the others, do not seem to have lessened the pressure of demands to find out how to motivate workers.

Since KITA results only in short-term movement, it is safe to predict that the cost of these programs will increase steadily and new varieties will be developed as old positive KITAs reach their satiation points.

The opposite of job dissatisfaction is not job satisfaction, but no job dissatisfaction.

Hygiene vs. Motivators
Let me rephrase the perennial question this way: How do you install a generator in an employee? A brief review of my motivation-hygiene theory of job attitudes is required before theoretical and practical suggestions can be offered. The theory was first drawn from an examination of events in the lives of engineers and accountants. At least i6 other investigations, using a wide variety of populations (including some in the Communist countries), have since been completed, making the original research one of the most replicated studies in the field of job attitudes.

The findings of these studies, along with corroboration from many other investigations using different procedures, suggest that the factors involved in producing job satisfaction (and motivation) are separate and distinct from the factors that lead to job dissatisfaction. Since separate factors need to be considered, depending on whether job satisfaction or job dissatisfaction is being examined, it

follows that these two feelings are not opposites of each other. The opposite of job satisfaction is not job dissatisfaction but, rather, *no job* satisfaction; and similarly, the opposite of job dissatisfaction is not job satisfaction, but *no* job dissatisfaction.

Stating the concept presents a problem in semantics, for we normally think of satisfaction and dissatisfaction as opposites; i.e., what is not satisfying must be dissatisfying, and vice versa. But when it comes to understanding the behavior of people in their jobs, more than a play on words is involved.

Two different needs of human beings are involved here. One set of needs can be thought of as stemming from humankind's animal nature-the built-in drive to avoid pain from the environment, plus all the learned drives that become conditioned to the basic biological needs. For example, hunger, a basic biological drive, makes it necessary to earn money, and then money becomes a specific drive. The other set of needs relates to that unique human characteristic, the ability to achieve and, through achievement, to experience psychological growth. The stimuli for the growth needs are tasks that induce growth; in the industrial setting, they are the job content. Contrariwise, the stimuli inducing pain-avoidance behavior are found in the job environment.

The growth or *motivator* factors that are intrinsic to the job are: achievement, recognition for achievement, the work itself, responsibility, and growth or advancement. The dissatisfaction avoidance or hygiene (KITA) factors that are extrinsic to the job include: company policy and administration, supervision, interpersonal relationships, working conditions, salary, status, and security.

A composite of the factors that are involved in causing job satisfaction and job dissatisfaction, was drawn from samples of 1,685 employees. The results indicate that motivators were the primary cause of satisfaction, and hygiene factors the primary cause of unhappiness on the job. The employees, studied in 12 different investigations, included lower level supervisors, professional women, agricultural administrators, men about to retire from management positions, hospital maintenance personnel, manufacturing supervisors, nurses, food handlers, military officers, engineers, scientists, housekeepers, teachers, technicians, female assemblers, accountants, Finnish foremen, and Hungarian engineers.

They were asked what job events had occurred In their work that had led to extreme satisfaction or extreme dissatisfaction on their part. Their responses are broken down in the exhibit into percentages of total "positive" job events and of total "negative" job events. (The figures total more than 100% on both the "hygiene" and "motivators" sides because often at least two factors can be attributed to a single event; advancement, for instance, often accompanies assumption of responsibility.)

To illustrate, a typical response involving achievement that had a negative effect for the employee was, "I was unhappy because I didn't do the job successfully." A typical response in the small number of positive job events in the company policy

and administration grouping was, "I was happy because the company reorganized the section so that I didn't report any longer to the guy I didn't get along with." As the lower right-hand part of the exhibit shows, of all the factors contributing to job satisfaction, 81% were motivators. And of all the factors contributing to the employees' dissatisfaction over their work, 69% involved hygiene elements.

In attempting to enrich certain jobs, management often reduces the personal contribution of employees rather than giving them opportunities for growth.

Eternal Triangle
There are three general philosophies of personnel management. The first is based on organizational theory, the second on industrial engineering, and the third on behavioral science.

Organizational theorists believe that human needs are either so irrational or so varied and adjustable to specific situations that the major function of personnel management is to be as pragmatic as the occasion demands. If jobs are organized in a proper manner, they reason, the result will be the most efficient job structure, and the most favorable job attitudes will follow as a matter of course.

Industrial engineers hold that humankind is mechanistically oriented and economically motivated and that human needs are best met by attuning the individual to the most efficient work process. The goal of personnel management therefore should be to concoct the most appropriate incentive system and to design the specific working conditions in a way that facilitates the most efficient use of the human machine. By structuring jobs in a manner that leads to the most efficient operation, engineers believe that they can obtain the optimal organization of work and the proper work attitudes.

Behavioral scientists focus on group sentiments, attitudes of individual employees, and the organization's social and psychological climate. This persuasion emphasizes one or more of the various hygiene and motivator needs. Its approach to personnel management is generally to emphasize some form of human relations education, in the hope of instilling healthy employee attitudes and an organizational climate that is considered to be felicitous to human values. The belief is that proper attitudes will lead to efficient job and organizational structure.

There is always a lively debate concerning the overall effectiveness of the approaches of organizational theorists and industrial engineers. Manifestly, both have achieved much. But the nagging question for behavioral scientists has been: What is the cost in human problems that eventually cause more expense to the organization-for instance, turnover, absenteeism, errors, violation of safety rules, strikes, and restriction of output, higher wages, and greater fringe benefits? On the other hand, behavioral scientists are hard put to document much manifest

improvement in personnel management, using their approach. The motivation-hygiene theory suggests that work be *enriched* to bring about effective utilization of personnel. Such a systematic attempt to motivate employees by manipulating the motivator factors is just beginning. The term *Job enrichment* describes this embryonic movement. An older term, Job enlargement, should be avoided because it is associated with past failures stemming from a misunderstanding of the problem. Job enrichment provides the opportunity for the employee's psychological growth, while job enlargement merely makes a job structurally bigger. Since scientific job enrichment is very new, this article only suggests the principles and practical steps that have recently emerged from several successful experiments in industry.

Job Loading. In attempting to enrich certain Jobs, management often reduces the personal contribution of employees rather than giving them opportunities for growth in their accustomed jobs. Such endeavors, which I shall call horizontal job loading (as opposed to vertical loading, or providing motivator factors have been the problem of earlier job enlargement programs. Job loading merely enlarges the meaninglessness of the job. Some examples of this approach, and their effect, are: Challenging the employee by increasing the amount of production expected. If each tightens 10,000 bolts a day, see if each can tighten 20,000 bolts a day. The arithmetic involved shows that multiplying zero by zero still equals zero.
- Adding another meaningless task to the existing one, usually some routine clerical activity. The arithmetic here is adding zero to zero.
- Rotating the assignments of a number of jobs that need to be enriched. This means washing dishes for a while, then washing silverware. The arithmetic is substituting one zero for another zero.
- Removing the most difficult parts of the assignment in order to free the worker to accomplish more of the less challenging assignments. This traditional industrial engineering approach amounts to subtraction in the hope of accomplishing addition.

These are common forms of horizontal loading that frequently come up in preliminary brainstorming sessions of job enrichment. The principles of vertical loading have not all been worked out as yet, and they remain rather general, but I have furnished seven useful starting points for consideration in
Exhibit 1.

EXHIBIT 1 Principles of vertical job loading	

Principle
A. Removing some controls while retaining accountability
B. Increasing the accountability of individuals for own work
C. Giving a person a complete natural unit of work (module, division, area, and so on)
D. Granting additional authority to employees in their activity; job freedom
E- Making periodic reports directly available to
	Motivators Involved
	  A. Responsibility and personal achievement
	  B. Responsibility and recognition
	
	  C. Responsibility, achievement, and recognition
	
	  D. Responsibility, achievement, and recognition

the workers themselves rather than to supervisors F. Introducing new and more difficult tasks not previously handled G, Assigning individuals specific or specialized tasks, enabling them to become experts	E. Internal recognition F. Growth and learning G. Responsibility, growth, and advancement

A Successful Application. An example from a highly successful job enrichment experiment can illustrate the distinction between horizontal and vertical loading of a job. The subjects of this study were the stockholder correspondents employed by a very large corporation. Seemingly, the task required of these carefully selected and highly trained correspondents was quite complex and challenging. But almost all indexes of performance and job attitudes were low, and exit interviewing confirmed that the challenge of the job existed merely as words.

A Job enrichment project was initiated in the form of an experiment with one group, designated as an achieving unit, having its job enriched by the principles described in Exhibit 1. A control group continued to do its job in the traditional way. (There were also two "uncommitted" groups of correspondents formed to measure the so called Hawthorne effect - that is, to gauge whether productivity and attitudes toward the job changed artificially merely because employees sensed that the company was paying more attention to them in doing something different or novel. The results for these groups were substantially the same as for the control group and for the sake of simplicity I do not deal with them in this summary.) No changes in hygiene were introduced for either group other than those that would have been made anyway, such as normal pay increases.

The changes for the achieving unit were introduced in the first two months, averaging one per week of the seven motivators listed in Exhibit 1. At the end of six months the members of the achieving unit were found to be outperforming their counterparts in the control group and, In addition, indicated a marked increase in their liking for their jobs. Other results showed that the achieving group had lower absenteeism and, subsequently, a much higher rate of promotion.

There were changes in performance, measured in February and March, before the study period began, and at the end of each month of the study period. The shareholder service index represents quality of letters, including accuracy of information, and speed of response to stockholders' letters of inquiry. The index of a current month was averaged into the average of the two prior months, which means that improvement was harder to obtain if the indexes of the previous months were low. The "achievers" were performing less well before the six-month period started, and their performance service index continued to decline after the introduction of the motivators, evidently because of uncertainty after their newly granted responsibilities. In the third month, however, performance improved, and soon the members of this group had reached a high level of accomplishment.

The two groups' attitudes toward their job were measured at the end of March, just before the first motivator was introduced, and again at the end of September. The correspondents were asked i6 questions, all involving motivation. A typical one was, "As you see it, how many opportunities do you feel that you have in your job for making worthwhile contributions?" The answers were scaled from 1 to 5, with 80 as the maximum possible score. The achievers became much more positive about their job, while the attitude of the control unit remained about the same (the drop is not statistically significant).

How was the job of these correspondents restructured? Exhibit 2 lists the suggestions made that were deemed to be horizontal loading, and the actual vertical loading changes that were incorporated in the job of the achieving unit. The capital letters under "Principle" after "Vertical Loading" refer to the corresponding letters in Exhibit 2. The reader will note that the rejected forms of horizontal loading correspond closely to the list of common manifestations I mentioned earlier.

Steps for Job Enrichment
Now that the motivator idea has been described in practice, here are the steps that managers should take in instituting the principle with their employees:
1. Select those jobs in which a) the investment in industrial engineering does not make changes too costly, b) attitudes are poor, c) hygiene is becoming very costly, and d) motivation will make a difference in performance.

| EXHIBIT 2 |
| Enlargement VS. enrichment of correspondents' tasks in company experiment |

Horizontal loading suggestions rejected

Firm quotas could be set for letters to be answered each day, using a rate that would be hard to reach.

The secretaries could type the letters themselves, as well as compose them, or take on any other clerical functions.

All difficult or complex inquiries could be channeled to a few secretaries so that the remainder could achieve big rates of output.

These jobs could be exchanged from time to time.

The secretaries could be rotated through units handling different customers and then sent back to their own units.

Vertical loading suggestions adopted	**Principle**
Subject matter experts were appointed within each unit for other members of the unit to consult before seeking supervisory help, (The supervisor had been answering all specialized and difficult questions.)	**G**
Correspondents signed their own names on letters, (The supervisor had been signing all letters,)	**B**
The work of the more experienced	**A**

correspondents was proofread less frequently by supervisors and was done at the correspondents' desks, dropping verification from 100% to 10%. (Previously, all correspondents' letters had been checked by the supervisor.)	D
Production was discussed, but only in terms such as "a full day's work is expected," As time went on, this was no longer mentioned. (Before, the group had been constantly reminded of the number of letters that needed to be answered.)	
Outgoing mail went directly to the mailroom without going over supervisors' desks. (The letters had always been routed through the supervisors.)	A
Correspondents were encouraged to answer letters in a more personalized way (Reliance on the form-letter approach bad been standard practice.)	C
Each correspondent was held personally responsible for the quality and accuracy of letters, (This responsibility bad been the province of the supervisor and the verifier)	B & E

2. Approach these jobs with the conviction that they can be changed. Years of tradition have led managers to believe that job content is sacrosanct and the only scope of action that they have is in ways of stimulating people.

3. Brainstorm a list of changes that may enrich the jobs, without concern for their practicality.

4. Screen the list to eliminate suggestions that involve hygiene, rather than actual motivation.

5. Screen the list for generalities, such as "give them more responsibility," that are rarely followed in practice. This might seem obvious, but the motivator words have never left industry; the substance has just been rationalized and organized out. Words like "responsibility," "growth," "achievement," and "challenge," for example, have been elevated to the lyrics of the patriotic anthem for all organizations. It is the old problem typified by the pledge of allegiance to the flag being more important than contributions to the country-of following the form, rather than the substance.

6. Screen the list to eliminate any *horizontal* loading suggestions.

7. Avoid direct participation by the employees whose jobs are to be enriched. Ideas they have expressed previously certainly constitute a valuable source for recommended changes, but their direct involvement contaminates he process with

human relations *hygiene* and, more specifically, gives them only a *sense* of making a contribution. The job is to be changed, and it is the content that will produce the motivation, not attitudes about being involved or the challenge inherent in setting up a job. That process will be over shortly, and it is what the employees will be doing from then on that will determine their motivation. A sense of participation will result only in short-term movement.

8. In the initial attempts at job enrichment, set up a controlled experiment. At least two equivalent groups should be chosen, one an experimental unit in which the motivators are systematically introduced over a period of time, and the other one a control group in which no changes are made. For both groups, hygiene should be allowed to follow its natural course for the duration of the experiment. Pre- and post-installation tests of performance and job attitudes are necessary to evaluate the effectiveness of the job enrichment program. The attitude test must be limited to motivator items in order to divorce employees' views of the jobs they are given from all the surrounding hygiene feelings that they might have.

9. Be prepared for a drop in performance in the experimental group the first few weeks. The changeover to a new job may lead to a temporary reduction in efficiency.

10. Expect your first-line supervisors to experience some anxiety and hostility over the changes you are making. The anxiety comes from their fear that the changes will result in poorer performance for their unit. Hostility will arise when the employees start assuming what the supervisors regard as their own responsibility for performance. The supervisor without checking duties to perform may then be left with little to do.

The very nature of motivators, as opposed to hygiene factors, is that they have a much longer term effect on employees' attitudes.

After successful experiment, however, the supervisors usually discover the supervisory and managerial functions they have neglected, or which were never theirs because all their time was given over to checking the work of their subordinates. For example, in the R&D division of one large chemical company I know of, the supervisors of the laboratory assistants were theoretically responsible for their training and evaluation. These functions, however, had come to be performed in a routine, unsubstantial fashion. After the job enrichment program, during which the supervisors were not merely passive observers of the assistants' performance, the supervisors actually were devoting their time to reviewing performance and administering thorough training.

What has been called an employee centered style of supervision will come about not through education of supervisors, but by changing the jobs that they do. Job enrichment will not be a one-time proposition, but a continuous management

function. The initial changes should last for a very long period of time. There are a number of reasons for this:

- The changes should bring the job up to the level of challenge commensurate with the skill that was hired.
- Those who have still more ability eventually will be able to demonstrate it better and win promotion to higher level jobs.
- The very nature of motivators, as opposed to hygiene factors, is that they have a much longer-term effect on employees' attitudes. It is possible that the job will have to be enriched again, but this will not occur as frequently as the need for hygiene.

Not all jobs can be enriched, nor do all jobs need to be enriched. If only a small percentage of the time and money that is now devoted to hygiene, however, were given to job enrichment efforts, the return in human satisfaction and economic gain would be one of the largest dividends that industry and society have ever reaped through their efforts at better personnel management.

The argument for job enrichment can be summed up quite simply: If you have employees on a job, use them. If you can't use them on the job, get rid of them, either via automation or by selecting someone with lesser ability. If you can't use them and you can't get rid of them, you will have a motivation problem.

"Effective leadership is still largely a matter of communication."
- Alan Axelrod. *Elizabeth I, CEO:*

Strategic Lessons from the Leader Who Built an Empire.

Leadership Communication: A Communication Approach for Senior-Level Managers

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A leader must be able to communicate effectively. When CEOs and other senior executives in all industries and countries are asked to list the most important skills a manager must possess, the answer consistently includes – good communication skills. Managers spend most of their day engaged in communication; in fact, older studies of how much time managers spend on various activities show that communication occupies 70 to 90 percent of their time every day (Mintzberg, 1973; Eccles & Nohria, 1991). With cell phones, e-mail, text messaging, if that same study were done today, it would yield even higher percentages. The sheer amount of time managers spend communicating underscores how important strong communication skills can be for the manager desiring to advance to leadership positions; thus, mastering leadership communication should be a priority for managers wanting their organizations or the broader business community to consider them leaders.

Connecting Leadership and Communication
Researchers seldom agree completely on how best to define leadership, but most would agree that leaders are individuals who guide, direct, motivate, or inspire others. They are the men and women who influence others in an organization or in a community. They command others' attention. They persuade others to follow them or pursue goals they define. They control situations. They improve the performance of groups and organizations. They get results. These individuals may not be presidents of countries or the CEOs of companies, but they could be. They could also be employees who step forward to mentor less experienced or younger employees, managers who direct successful project teams, or vice presidents who lead divisions and motivate their staff to achieve company goals.

Through effective communication, leaders lead. Good communication skills enable, foster, and create the understanding and trust necessary to encourage others to follow a leader. Without effective communication, a manager accomplishes little. Without effective communication, a manager is not an effective leader.

In fact, being able to communicate effectively is what allows a manager to move into a leadership position. An early Harvard Business School study on what it takes to achieve success and be promoted in an organization says that the individual who gets ahead in business is the person who "is able to communicate, to make sound decisions, and to get things done with and through people" (Bowman, Jones, Peterson, Gronouski, & Mahoney, 1964). By communicating more effectively, managers improve their ability to get things done with and through people.

The Barriers to Effective Communication
Communication is the transmission of meaning from one person to another or to many people, whether verbally or non-verbally. Communication from one person to another is commonly depicted as a simple triangle consisting of the context, the sender, the message, and the receiver. This depiction would be very simple and ideal communication. There would be no miscommunication or misunderstandings. The sender would understand the context and the audience (receiver), selects the right medium, and sends a clear message, and the receiver would receive and understand that message exactly as the sender intended.

In reality, communication more likely resembles some variation of the explanation in Exhibit 2:

Exhibit 2: Communication Reality or the Interruptions to Communication

Message Context	Organizational Noise	Message Context
Sender controlled		Receiver perceived
Inappropriate context No understanding of audience Muddled thinking Wrong medium		Unclear purpose or message Illogical message or structure Offensive tone

Wrong spokesperson		Affective or cognitive
Poor timing		dissonance
Poor usage or style		Cultural misperceptions
Inappropriate appeal		Negative ethos
Questionable ethics		

The complication in communication comes from the interruptions or interferences in that transmission, whether the sender causes them or the receiver. The context in which the information is sent, the noise that surrounds it, the selection of the medium, the words used in the message, the image of the speaker, etc., all influence the meaning traveling successfully, or as intended from one to another. Learning to anticipate the interruptions in the rhetorical situation, to appreciate the context, to understand the audience, to select the right medium, and to craft clear messages that The goal of mastering all aspects of leadership communication is to move prospective leaders as close to the ideal communication situation as possible. Leadership communication necessitates anticipating all interruptions and interferences through audience analysis and then developing a communication strategy that controls the rhetorical situation and facilitates the effective transmission of the message.

Definition of Leadership Communication
Leadership communication is the controlled, purposeful transfer of meaning by which leaders influence a single person, a group, an organization, or a community. Leadership communication uses the full range of communication skills and resources to overcome interferences and to create and deliver messages that guide, direct, motivate, or inspire others to action. Leadership communication consists of layered, expanding skills from core strategy development and effective writing and speaking to the use of these skills in more complex organizational situations. As the manager's perspective and control expand, he or she will need to improve the core communication skills to become effective in the larger, more complex organizational situations. Leadership communication consists of three primary rings (1) core, (2) managerial, and (3) corporate. The higher up in an organization a manager moves, the more complex his or her communication demands become. The core communication ability represented in the center of the framework below expands to the managerial communication ring and then further to the communication capabilities included at the broader corporate communication ring (Barrett, 2006). allow the meaning to reach the specific receiver as intended is the foundation of effective business communication.

The framework is not meant to suggest a hierarchy, which is why it is depicted as a spiral. All effective communications depends on the core skills at the center of the spiral. These are the more individual skills. Leaders in any organization must master the skills at the core (strategy, writing, and speaking), but they also need to expand their skills to include those needed to lead and manage groups, such skills as emotional intelligence, cultural literacy, listening, managing teams and meetings, and coaching and mentoring. Eventually, particularly when they move into the higher-levels of organizational leadership, they will need to develop the capabilities

in the outer circle, the corporate communication skills – employee relations, change communication, media relations, crisis communication, and image and reputation management.

1. Core Communication. Communication strategy is included in the core, but managers will find they always need to take a strategic approach to be a master of leadership communication. Strategy is the foundation on which any effective communication depends. Leaders need to be able to analyze an audience in every situation and develop a communication strategy that facilitates accomplishing their communication objectives.

Managers need to be able to structure and write effective simple and complex correspondence and documents, from e-mails and memos to proposals and reports. They need to be able to write and to speak in the language expected of business leaders, language that is clear, correct, and concise. In addition, they need to be able to create and deliver oral presentations confidently and persuasively, using graphics that contribute to delivering your messages. These are the capabilities at the core of all business communication. Success in managerial and corporate communication depends on mastering these core capabilities.

2. Managerial Communication. Managerial communication capabilities build on the core abilities. They are the capabilities that more directly involve managing others, from one-on-one contact to interacting with groups and the broader organization. They are the skills needed to interact with individuals and to manage groups. Managerial communication begins with emotional intelligence or interpersonal skills and an understanding of cross-cultural differences needed to interact effectively with others as individuals or groups. Listening is an essential skill in any rhetorical situation, but is pictured aligned more with the managerial ring because managing others effectively requires even greater attention to hearing what others say, not simply what we think we hear them say. The managerial ring also includes leading meetings and managing teams, both essential capabilities for today's leaders.

3. Corporate Communication. Corporate communication involves expansion from the managerial skills to those abilities needed to lead an organization and address a broader community. Communication becomes even more complex when managers move into the position of needing to think about how best to communicate to all internal and external stakeholders. Again, any good communication depends on having a strategy, but as the audiences become more diverse and larger, the communication strategy becomes more complicated. Leaders will find as they move into higher levels of an organization that they become the leader of change programs and vision development. In addition, they become the company's face and voice for the public.

Projecting a Positive Leadership Image
Leadership communication depends on the ability to project a positive image, or more specifically, a positive ethos, inside an organization and outside. To

understand ethos, it helps to look back at the original definitions found in the writing of the Greek philosopher Aristotle. Aristotle identified three types of persuasive appeals: (1) logos, (2) pathos, and (3) ethos. Logos is an appeal based upon the logic of an argument, while pathos is an appeal based on the use of emotions. Ethos is an appeal based on the perceived character of the sender of the message. Is the person trustworthy, confident, believable, knowledgeable, and a man or woman of integrity? If the audience does not trust or believe the speaker or writer, logic or emotion will have little persuasive force.

For Aristotle, ethos is the most important persuasive device: the "character of the speaker may almost be called the most effective means of persuasion he possesses" (Roberts, 1954). Therefore, "the orator must not only try to make the argument of his speech demonstrative and worthy of belief; he must also make his own character look right and put his hearers, who are to decide, into the right frame of mind" (Roberts, 1954).

The word "image" is often associated with illusion or superficiality. Ethos refers to qualities of greater depth and substance. It embodies "image," in that an audience makes judgments about the manager initially on mostly superficial perceptions, but ethos ties more directly to character, which an audience evaluates according to the culture in which they are communicating.

"Charisma" is another term often used to describe someone who has the ability to persuade others and move an audience. It resembles ethos in its effect on an audience, but it differs in that it suggests exuding a power over others based more in emotions than in reason. Examples of public figures who were charismatic leaders in their time are John F. Kennedy, Mahatma Gandhi, and Martin Luther King.

Both image and charisma can be used to describe leaders, but since ethos ties more directly to the character of the speaker or writer, it serves as a better word to use in capturing the positive qualities that we want our business leaders to possess. Projecting a positive ethos, then, better defines the goal managers should seek in mastering leadership communication.

A positive ethos will take managers a long way towards influencing their audiences with their intended messages, whereas a negative ethos is one of the greatest barriers to effective communication. How a manager is perceived makes the difference in how well he or she is believed, how persuasive he or she is, and ultimately, how effectively he or she communicates. Successful leadership communication depends on projecting a positive ethos.

One of the primary requirements to inspire confidence and induce others to listen is **credibility**. In their research on leadership, James M. Kouzes and Barry Z. Posner found that credibility is the number one reason people follow someone (1993). To be effective, leaders must be credible to their followers. Credibility is essential to creating a positive ethos. Aristotle says, "persuasion is achieved by the speaker's

personal character when the speech is so spoken as to make us think him **credible**" (Roberts, 1954).

For an audience to view leaders as credible, they must perceive them as knowledgeable, authoritative, confident, honest, and trustworthy. Leaders can achieve the first two through hard work and position. For instance, if they are giving a presentation on the future of energy production in the United States, they must know the industry and the market as well as something about politics and regulatory policy. They can learn the facts and appear knowledgeable. In addition, if they are senior executives of a major energy company, their audience will probably perceive them as persons with the authority to talk about energy. They can exude confidence by being well prepared and feeling comfortable delivering presentations. They can even create an aura of honesty and trustworthiness by effective delivery techniques, such as steady eye contact, easy rapport with the audience, being well prepared to answer questions, and saying, "I do not know but will find out for you" when they do not have the answer at hand. Thus, they can take specific actions to build greater credibility. By doing so, they can begin to establish a positive ethos.

To build a positive ethos, leaders need to know how others perceive them; however, determining how all audiences perceive them is not easy. Research on the ability of managers to judge how they are perceived found that "most managers overestimate their own credibility – considerably" (Conger, 1998). Few people really see themselves as others see them. The idea that when two people meet, six people are really in the room – the persons as they see themselves, the persons as the other sees them, and the persons as they may actually be – underscores the complexity of perception and self-perception (Barnlund, 1962). Deciding which perception would be the most accurate would lead to a philosophical tangle, although determining which one is most important would depend on the purpose of the encounter. If one of the individuals intends to influence the other, then the perception of the other takes on great importance and the need for that individual to know how he or she is perceived becomes critical.

What can managers do to find out how they are perceived? The first step is to develop greater emotional intelligence. Emotional intelligence is the capacity to understand one's own emotions and those of other people. In addition to attempting to understand the self-better, the prospective leader should solicit honest feedback from others. Self-exploration and some sought-after honest feedback from others will bring the greater self-awareness necessary to judge ourselves more accurately and to recognize the signals others send back to us either in their words or, often more importantly, in their body language and their actions.

Also, managers can improve their ability to project a positive ethos by building a positive reputation, improving their professional appearance, projecting greater confidence, and learning to communicate more effectively. Reputation could include title, organizational positions, past roles or accomplishments, and public opinion. They can achieve a positive appearance through appropriate and culturally expected

dress and grooming. To suggest confidence to an audience, they can use eye contact, establish a rapport, and speak easily about a subject without notes when presenting. By using language effectively to capture the meaning and inspire trust, they can create believers in their message.

How Ethics Connects to Image or Ethos
While managers can control or develop some of the outward manifestations of a positive ethos, it is more difficult for them to change their fundamental character, or for an audience to determine for that matter, their true character. Ideally, a positive ethos would exemplify a strong inner character and high ethical standards. Unfortunately, history shows that the projected image may not be the reality of the person. Ethos and ethics are not always aligned; someone can project a positive ethos and appear honest and trustworthy, yet have little or no ethical foundation behind that projection. Someone skilled in deception can fool others; the absence of honesty and integrity is not always apparent to an audience.

Since effective leadership communication depends heavily on the ethos projected, leaders need to be sensitive to the ethical foundation below the surface. As James Kouzes and Barry Posner found in their research on leadership, "if people are going to follow someone willingly, whether it be into battle or into the boardroom, they first want to assure themselves that the person is worthy of their trust. They want to know that the would-be leader is truthful and ethical" (1993).

Managers need to look critically at the motivation and meaning behind their words. Today in particular, businesses are looking for ethical leaders; therefore, when working to create a positive ethos, managers will want to include some analysis of the ethical foundation their ethos suggests. For instance, they might ask themselves, "Does my ethos suggest the characteristics of an ethical leader, that is, 'fairness, mutual well-being, and harmony'"? (Solomon, 1998). A positive ethos suggests a good character, and a suggestion of a "good" character makes individuals more persuasive. As Aristotle says, "We believe good men [and women] more fully and more readily than others" (Roberts, 1954). A "good" character suggests an ethical foundation that makes the audience trust the communicator and be more receptive to believing what is said.

Ethos may be the most persuasive tool the communicator possesses. Although it may be difficult for a business leader to be perceived as honest and trustworthy, particularly in today's scandal-laden business world, the success of individuals and companies often depends on it. Managers and their companies are trusted because of their reputation, because they are good at what they do, because of their knowledge, because they appear confident, and because they are believed to be ethical. All of these conditions lead to a positive ethos.

The Importance of Emotional Intelligence in Leadership Communication
Leadership communication depends on understanding the audience in all communication situations, understanding what moves them to listen and what

motivates them to act. This understanding requires self-awareness as well as increased awareness of others, or improved emotional intelligence. Audiences' receptivity to the manager, to his or her ethos or message, can assist or be a barrier to their receiving the intended message. What is it that makes others attend to a message; what is it that persuades them to listen and to act? In a recent article in *Harvard Business Review*, Robert Cialdini argues, "no leader can succeed without mastering the art of persuasion" (2001). Just as creating a positive ethos aids in the art of persuasion, understanding what motivates others to listen and to act will help as well, thus the importance of emotional intelligence for any leader.

Without emotional intelligence, leaders cannot communicate with and manage others effectively. Reuven Bar-On, who developed the concept of emotional quotient in 1988, provides a technical definition of emotional intelligence. Emotional quotient (or intelligence) is emotional and social knowledge and the ability to

1. Be aware of, understand, and express yourself,

2. Be aware of, understand, and relate to others,

3. Deal with strong emotions and control your impulses, and

4. Adapt to change and to solve problems of a personal or a social nature (2000).

This definition suggests that emotional intelligence begins with the ability to identify and manage emotions in ourselves and in others, but it extends also to the ability to translate these emotions into actions that show flexibility and personal and social problem solving ability. For leadership communication, emotional intelligence is as important as the core skills of strategy development, writing, and speaking. "EI accounts for 85% of what distinguishes the stars in top leadership positions from low-level performers" (Gary, 2002).

Emotional intelligence allows managers to interact with and lead others effectively, and the key to interacting with others and managing relationships successfully is communication: "The basis of any relationship is communication. Without communication—be it sign language, body language, e-mail, or face-to-face conversation—there is no connection and hence no relationship. The importance of effective communication skills to your Emotional Intelligence is crucial, and its value in the workplace is incalculable" (Weisinger, 1998). Words and how they use them reflect who the communicators are and how well they understand their audiences.

Knowledge of what moves audiences can help managers to create a positive ethos, which will make them more persuasive. Drawing on emotional intelligence as a source of persuasion may work as well as or better than facts and figures in many cases: "Arguments, per se, are only one part of the equation. Other factors matter just as much, such as the persuader's credibility and his or her ability to create a proper, mutually beneficial frame for a position, connect on the right emotional level

with an audience, and communicate through vivid language that makes arguments come alive" (Conger, 1998).

A leader might vary his or her leadership style when the situation warrants it, but the ability to select the most effective style for different situations requires the emotional intelligence to assess the situation correctly and assume the appropriate style for the context and audience. A deficiency of emotional intelligence can lead to communication mistakes, which in turn can lead to problems in the corporate culture. Thus, all managers who aspire to move even higher into leadership positions must development their emotional intelligence.

In conclusion, improving their leadership communication ability should be a priority for managers wanting to be the leaders in their organization or community. They need to master the core skills and learn the capabilities included in the managerial and corporate rings of the leadership communication framework. By doing so, they position themselves to move into the executive suite and beyond.

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Situational Leadership: A Review of the Research
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Situational leadership theory (SLT)—it sounds great, but will it work? SLT, a popular theory based on task behavior, relationship behavior, follower (subordinate) maturity, and effective leader behavior, may not be what the training-management professional expects. Johansen reviews the three major areas of research on SLT: conceptual validity, validity of the instrument associated with SLT— the Leadership Effectiveness and Adaptability (LEAD) survey—and the effect on subordinates' performance when the theory is accurately practiced by a leader or manager. According to Johansen, research has failed to support the conceptual basis of the theory and the validity of the instruments. Research regarding the effect on subordinates' performance when situational leadership is properly practiced by the leader has provided mixed results and only limited support for the theory. Johansen found that it is not possible to make a definitive statement based on experimental findings. Yet SLT does have redeeming qualities: it has opened much discussion about the many factors that affect leadership behavior and about the nature of leader-subordinate relationships, and it has generated critical research. But until the validity and performance questions are answered, Johansen strongly suggests that SLT will be appropriately used only as a starting point for discussion about the dynamics of leadership behavior, subordinate expectations, leadership effectiveness, and decision making.

Situational leadership theory (SLT) has been widely adopted as a model for leadership behavior and training. Acceptance of the theory appears to be based on its face validity. Research regarding SLT has focused on three major areas: the conceptual validity of the theory, the validity of the associated instrument—the Leadership Effectiveness and Adaptability **(LEAD)** survey—and the effect on subordinates' performance when the theory is accurately practiced by the leader or manager. Training professionals and managers must understand the research findings, implications, and limitations of the theory if it is to be used as part of a management development program. Failure to do so may result in unrealistic expectations of training, wasted resources, and lack of congruence in approach when dealing with subordinates or followers. This paper reviews the SLT research to assist training and management professionals in evaluating the suitability of SLT for inclusion in their human resource development efforts.

Overview of Situational Leadership Theory
Drawing from the writings of Stogdill and Coons (1957) and Reddin (1967), Hersey and Blanchard (1969) developed the "life-cycle theory" of leadership, which evolved to become their situational leadership theory. Hersey and Blanchard's theory has four dimensions: task behavior, relationship behavior, follower (or subordinate) maturity, and effectiveness.

Task and relationship behaviors range from low to high and form a matrix that identifies the following four basic leadership styles: high task/ low-relationship (SI), high-task/high-relationship (S2), low-task/ high-relationship (S3), and low-task/low-relationship (S4) (Hersey and Blanchard, 1982b, p. 95). Task behavior is defined as the extent to which leaders are likely to organize and explain what activities each is to perform and when, where, and how tasks are to be accomplished. Relationship behaviors refer to the extent to which leaders are likely to maintain personal relationships between themselves and members of the group and provide socio-emotional support, psychological "strokes," and facilitating behavior.

Maturity, the third dimension of the model, is defined as "the willingness and ability of people to take responsibility for directing their own behavior . . . considered only in relation to a specific task to be performed." Maturity is further divided into two components: job maturity, "related to the ability to do something," and psychological maturity, "related to the willingness or motivation to do something" (Hersey and Blanchard, 1982b, p. 151).

Effective leadership behavior is that which is appropriate to the situation. Ineffective behavior is inappropriate to the situation. Effectiveness is a continuum; thus leadership behaviors are more or less effective depending on the situation (Hersey and Blanchard, 1982b, p. 157).

The theory asserts a curvilinear relationship between the variables and prescribes a path through the quadrants that indicates the most effective leadership style. When a subordinate (or group of subordinates) is immature, little concern is given to

relationship behaviors. Instead, there is a strong need for task behavior—the SI style is indicated. As the follower gains maturity, less task behavior is required and more relationship behavior is appropriate—S2. The S3 style is prescribed as the follower developers further. Very little task behavior is required, and the need for relationship behavior starts to decline. When the follower rates high in maturity, it is appropriate for the leader to exhibit an S4 style, because the follower now requires neither task nor relationship behaviors from the leader.

"The key to using Situational Leadership is to assess the maturity level of the follower(s) and to behave as the model prescribes." Whenever a leader finds that the performance of the follower(s) "begins to slip, the leader should reassess the maturity level of the follower and move backward through the prescriptive curve" (Hersey and Blanchard, 1982b, p.156). A decrease in performance assumes a decrease in follower maturity and requires the manager to add task behaviors and change the level of relationship behaviors.

Hersey and Blanchard (1974) first published the LEAD instrument as an inventory by which to determine leadership style in terms of SLT. It consists of twelve situations in which respondents are asked to select, from four alternatives, the one that most closely represents how they would react in a given situation. Each response represents a different leadership style. When scored, the instrument measures the self-perceived leadership style, the style range, and the effectiveness score. Style and style range are determined by four ipsative (forced choice)[1] style scores and effectiveness is determined by one normative score (Eberhardt, 1985).

Situational Leadership Versus Grid Management
Hersey and Blanchard (1982b) detailed many commonalities between SLT and other well-established views of leadership. Winkler (1983) found SLT conceptually grounded in the literature. However, Vecchio (1987) reminds us that such commonalities alone are not enough to establish the validity of the theory.

Blake and Mouton (1981) criticized the conceptual foundations of Hersey and Blanchard's theory. They asserted that there is one most effective style, whereas SLT supports the view that no one style is more effective than another. They stated that as these two positions are contradictory, both cannot be valid, and they called for a research-based resolution to the issue (1982b).[2]

Blake and Mouton (1982b) expressed their belief that the primary difference between SLT and their "grid theory" lies in the way the two uncorrelated variables of task and relationship are linked. In situational leadership the two variables are treated as independent: one variable may fluctuate without affecting the other. Grid theory conceptualizes the two variables as interdependent: any change in one has an effect on the other. Grid theory predicts that there is one best way, which Blake and Mouton call "9, 9"—high concern for production (analogous to task in situational leadership) and high concern for people (analogous to relationship). Each variable

(concern for production, concern for people) is rated on a scale of 1 to 9 (low to high). Thus a high concern for both is referred to as a 9, 9 management style.

Blake and Mouton (1981) conducted research to support their "one best way" model. They added to each of Hersey and Blanchard's four choice LEAD items another response reflecting a 9, 9 management style. The revised five-choice instrument was then administered by a third party to 100 managers from a cross section of organizations. The managers were instructed to rank order the five alternatives in terms of effectiveness in dealing with the hypothetical managerial situations. The 9, 9 alternative was consistently selected as the most effective choice.

These findings became the basis for a dialogue in three articles between and Blake and Mouton and Hersey and Blanchard.

Hersey and Blanchard (1982a) replied to Blake and Mouton by stating that SLT and grid theory were not incompatible. Situational leadership theory is concerned with observed behavior and describes how people behave. Grid theory describes attitudes or predispositions toward production and people. They did not address the issue of the association between task and relationship. They interpreted Blake and Mouton's results as a reflection of the participants' attitudinal framework rather than their actual behavior. Thus the study did not reflect the participants' behavior, but rather the participants' attitudinal bias toward high-relationship styles.

In the final installment of the dialogue, Blake and Mouton (1982a) restated their concern about the conceptual underpinnings of situational leadership and chided Hersey and Blanchard for ignoring the issue.

Although SLT has similarities with other models of leadership behavior, it has been criticized for its lack of conceptual foundation. The primary concern involves the theorized interaction between the task and relationship variables. Blake and Mouton see them as interdependent, whereas Hersey and Blanchard appear to support an additive relationship and do not believe their model is incompatible with others. Limited research by Blake and Mouton has failed to rectify the issue.

The LEAD Self-Instrument
The LEAD inventory was developed as a training tool. Eignor, Hambleton, and Blanchard (1977) recommended that it be used in training workshops to stimulate discussion, to evaluate situational leadership training programs, to facilitate self-understanding, and to assist in decision making.

A preliminary technical manual for the LEAD self-instrument was developed by J. E Green in 1980. A summary of technical information based on Green's manual is available from the Center for Leadership Studies,[3] which states that the inventory was designed as a training device and describes the methods used to construct and validate the LEAD self-instrument. The summary reports that the LEAD self-instrument has moderate stability and clearly established logical, content, and face

validity. It also states that the LEAD survey is an empirically sound instrument. It stops short of stating that the LEAD is appropriate for research. Unfortunately, the full manual is now out of print.

Graeff (1983) found the LEAD instrument to have a number of problems that make it an unstable research tool. He asserted that the low task/ low-relationship style, S4, is inadequately represented in the LEAD responses. In fact, the questions that are supposed to address the S4 style more accurately reflect abdication or no leadership. This flaw results in a built-in bias against the S4 alternative. He also faulted the LEAD'S effectiveness ratings. The values assigned each of the choices have insufficient justification, making the validity of the instrument questionable.

Vecchio (1987) faults the definition of effectiveness in terms of how well the choice agrees with the model as leading to circular reasoning. The effectiveness score is based on agreement with what the model predicts as the most effective choice.

Concurrent validity has not been established for the LEAD. Edman (1982) found a .34 Pearson coefficient of correlation between the LEAD and the Leadership Behavior and Description Questionnaire (LBDQ). Caskey (1988) correlated LEAD scores with the Team Interaction Profile, the TORI Instrument (trust, openness, realization, interdependence), Leadership Scale Manager Form, and the Team Orientation and Behavior Inventory. She found little or no correlation between the LEAD and instruments widely used to measure task and relationship and concluded that the LEAD is not a strong evaluation tool. In a study with a rather small sample (n = 25), Walter and Caldwell (1980) compared LEAD scores with LBDQ ratings and concluded that the LEAD may have some validity.

A number of research studies have identified the situational leadership maturity scale as problematic. Vetter (1985) and Beck (1987) both reported that the maturity scale does not discriminate well. Clark (1981) reported that either the maturity scale does not measure maturity or he happened to have subjects, in his study, who all had high maturity. Clothier (1984) reported that a leader's perceptions of a subordinate's maturity were closely related to the frequency of contact with the subordinate. Leaders tended to rate subordinates more mature when their frequency of contact increased.

A number of inconsistencies in the LEAD and its relationship to situational leadership have been noted. Situational leadership theory makes no distinction between individuals or groups as units of evaluation. Vecchio (1987, p. 446) concluded that situational leadership should be most robust when dealing with individuals, as group forces may tend to hide individuals' responses ("Leadership behavior that is in accord with the prescriptions of SLT will be more effective when it is targeted to a given individual's level of maturity"). Each of the twelve situations presented in the LEAD instrument deals with groups, not individuals.

Although Hersey and Blanchard define relationship behavior in terms of socio-emotional support, psychological strokes, and facilitating behavior, this behavior is made operational in the LEAD as the increased involvement of subordinates in decision making.

Graeff (1983) reported a number of problems with SLT, including a lack of theoretical justification for the prescriptive curve, internal inconsistency, lack of justification for the way the components of job and follower maturity combine in the center two levels of maturity, and apparent contradictions in how task and relationship behaviors are made operational within the model.

Although the LEAD instrument was designed as a training tool, it has also been used in research. Because the validity of the LEAD has not been established, however, it is unsuitable as a primary research instrument. The tool itself has been faulted for built-in bias and a lack of evidence to support the prescriptive curve. The maturity scale does not readily discriminate between different levels of subordinate task maturity. Relationship behaviors by the leader do not follow Hersey and Blanchard's definition but are characterized by increased subordinate involvement in decision making. Consequently, any research based on the LEAD instrument is subject to suspicion.

Effect on Subordinates' Performance
A number of studies have been conducted to test the effect on subordinate performance when subordinate maturity is matched with the leadership style prescribed by SLT.

Hambleton and Gumpert (1982) report a number of findings that support SLT. They found that high-performing managers were rated higher than low-performing managers by their subordinates and supervisors in leadership effectiveness. Their study partially supported the prediction that high-performing managers would have a greater style range than low-performing managers. Supervisors perceived the high performing managers as demonstrating more flexibility; subordinates did not. The study also found that when managers apply SLT correctly, their subordinates perform better than when the theory is incorrectly applied. Because of the study's design, the authors caution against generalizing about these results. They stop short of concluding that a cause and effect relationship exists between the application of SLT and the performance of subordinates. Vecchio (1987) found additional flaws in Hambleton and Gumpert's study. He cited severe attrition of the experimental group, the use of self-report instruments, and a potential for reporting bias because the participants indicated they were versed in SLT.

Hersey, Angelini, and Carakushansky (1982) conducted a study that used SLT in the design and presentation of a classroom training course for managers. They found that when teacher/instructor's style and the classroom setting were modified to match the maturity level of the participants, learning levels were significantly higher than under control conditions. However, a number of factors in the design of this study deserve comment. It assumes that a theory of management is applicable also

as a theory of education. It equates leadership skills with teaching skills, and it equates the performance of subordinates in a management setting with the performance of students in a classroom. The authors present no evidence that these settings are subject to the same dynamics. The study furthermore manipulated more than one variable. The classroom setting was changed concurrently with the instructor's style. SLT is silent on the issues of classroom organization and structure. Although the descriptions of the changes in the classroom have an intuitive appeal, no support is offered to justify them. Thus it is impossible to isolate the factor responsible for the difference in performance.

In his study of high school teachers, Vecchio (1987) found partial support for SLT. Using a number of measures and statistical procedures, he found that at low levels of subordinate maturity the theory was supported. At middle levels of subordinate maturity the results were unclear, but it appears that moderately high structuring combined with high consideration produced the best subordinate performance, albeit at the expense of leader-subordinate relationships. Vecchio found the theory unable to predict at high levels of subordinate maturity. This study did not use the LEAD instrument. Instead, the LBDQ-XII, a version developed by Stogdill and Coons (1957), was chosen for its more fully understood reliability and validity. The LEAD and the LBDQ measure similar, but not identical, constructs. Therefore, this study may not be a true test of SLT.

Beck (1987) reported partial support for the theory. He found that high-relationship styles were perceived as more effective than low-relationship styles, regardless of the maturity level of subordinates. He concluded that the effectiveness of matching maturity level with leadership style has not been demonstrated and that it is not possible to make a definitive statement about SLT based on his study.

Vetter (1985) investigated the perceived effectiveness of leaders when they adapted their leadership style according to SLT. This study, conducted in college housing administration, failed to demonstrate overall support for the theory. At moderate maturity levels, the style prescribed by the model was perceived as the most effective. At the high maturity level, the prescribed style was not found to be the most effective.

Boucher (1980), in a study of leadership in sports and recreation, found partial validation for the theory. When matches between maturity and leadership style were compared with non-matches, the curvilinear model of situational leadership theory was supported. However, when each of the quadrants was considered independently, the relationships were not significant. The general conclusion of the study was that all leadership styles were seen as effective at some time or another. There was a tendency for high-task/high-relationship behaviors by the leader to be perceived as most effective by subordinates, regardless of subordinate maturity. High-relationship styles were perceived to be more effective than low-relationship styles.

Winkler (1983) found high-relationship behaviors by elementary school principals associated with high satisfaction among teachers. Low-task behavior by principals correlated negatively with teacher satisfaction. High-task behavior was associated with satisfaction only if relationship behaviors were present. Satisfaction is not part of the situational leadership theory, but in this study it was treated like the concept of effectiveness.

In another study of elementary school principals, Pascarella (1985) found SLT training to increase principals' and teachers' ratings of principal effectiveness. It is interesting that neither principals nor teachers reported an increase in the number of leadership styles used by the principals.

Thomas (1983) conducted an experimental test of SLT with elementary school teachers. He concluded that, overall, high-maturity persons score higher than low-maturity persons on both productivity and satisfaction. He also found that matching leadership style to maturity level may enhance the satisfaction of subordinates.

Clothier (1984) found no support for SLT in his study of institutions of higher education. His study used two adaptations of instruments in use by Blanchard Training and Development. The Developmental Level Scale was used as a measure of maturity and the Managerial Behavior Analysis as a measure of leadership style. Using these two scales along with an effectiveness scale developed by the investigator, he found no statistically significant differences in leadership effectiveness for different degrees of leader style and follower developmental level.

A number of dissertations appear to accept the situational leadership theory and the LEAD instrument without evidence of their validity. Rather than test the theory itself, they attempt to correlate leadership style and LEAD profiles with other indicators such as "innovation" (Nye, 1986) and the Meyers-Briggs profile (Dietl, 1981). Because the validity of SLT and the LEAD instrument have not been well established, the value of such research is limited.

Research regarding the effect on subordinates' performance when situational leadership is properly practiced by the leader has provided mixed results and only limited support for the theory. It is not possible to make a definitive statement based on the experimental findings regarding the effectiveness of situational leadership theory on subordinate performance.

Role in HRD
Before a packaged training program is purchased or any prescriptive approach selected for a leadership development program, it must be examined critically. Popular acceptance is no guarantee that a theory has been tested and supported by research. Such is the case with situational leadership: lack of conceptual validity, the characteristics of the LEAD instrument, lack of support for the prescriptive nature of the model, and the mixed research findings make SLT an inadequate model of leadership behavior.

There has been no research to test the effect of situational leadership training on the behavior of leader/managers, and it is impossible at present to determine whether such training is valuable. In addition to research regarding the primary elements of the theory, there is a need for inquiry into whether participation in situational leadership training affects the on-the-job performance of leader/managers.

Nevertheless, SLT has a role in training. It has initiated extensive dialogue concerning the many factors that affect leadership behavior and has generated critical research and discussion regarding the nature of leader-subordinate relationships. Until the validity of the theory and the effect of situational leadership training on performance are addressed, it is appropriate only as a springboard for discussion about the role and dynamics of leadership behavior, subordinate expectations, leadership effectiveness, and decision making.

Conclusion and Comments
The use of SLT as a prescriptive model poses a number of problems. Leaders who expect the theory to provide clear direction for dealing with subordinates will be disappointed.

Assessment of the maturity level of subordinates using SLT has proved difficult under controlled research conditions. It is even more difficult on the job, because of the number of tasks required of each subordinate and the rapidly changing environment. SLT indicates that the leader should assess a group's maturity level but provides no guidelines for doing so.

Advocates of SLT would have the leader believe that any decrease in subordinate performance is caused by a change in the psychological or job maturity of the subordinate. It does not address the effect of the leader's failure to assess subordinate maturity accurately. The theory predicts that such failure will result in an ineffective leadership style. If the leader underestimates the subordinate's maturity, the result will be a downward spiral of performance as the leader chooses an increasingly task-oriented style. If the leader overestimates the subordinate's maturity, subordinate performance can be expected to deteriorate, again leading to a downward spiral of performance as the leader attempts to regress through the prescriptive curve and overtake the subordinates.

It is difficult for a leader to determine from the situational leadership research findings the reasons for decreased subordinate performance. Such decreases may result from conceptual flaws in the theory, errors in application, or simply the theory's failure to predict performance.

The theory fails to consider the interactive nature of leader-subordinate relationships. It does not address the effect of the subordinate on the leader's

performance and maturity. Nor does it make provisions for the leader's needs for affiliation or involvement with subordinates.

Leaders may find that the style prescribed by SLT conflicts with the overall organizational culture. Many organizations openly foster high relationship styles. Should the manager choose a style that is in accordance with the prevailing norms but is expected to be ineffective according to SLT, or should the manager choose the style congruent with the theory and violate organizational expectations? The theory offers no guidance on this issue.

The low-maturity subordinate poses some unique challenges to SLT. Why would any manager hire or retain a subordinate who had little or no ability (low job maturity) and seldom displayed a willingness to do the job (low psychological maturity)? Furthermore, SLT does not describe an alternative to SI behavior if the leader finds a low-maturity subordinate unresponsive to the high-task/low-relationship style.

The LEAD inventory makes high-relationship behavior operational in the form of increased subordinate participation in decision making. The decision to include subordinates in decision making involves much more than subordinate maturity. Vroom and Yetton (1973) have devoted considerable study to just this question and list seven factors to consider when deciding to involve subordinates. None of the factors deal with subordinate maturity. The simplicity that makes SLT attractive also makes it less robust because it considers only a small number of the variables that influence leader behavior and effectiveness.

Notes

1. An ipsative test is a forced choice test. When a choice is made that favors a certain subscale, the other subscales are rejected. This type of test produces an ipsative scale, and the resulting scores are termed ipsative scores (Mehrens, 1973).

2. The possibility that both views might be incorrect is not considered. Beck (1982) argues that such static models are no longer meaningful and states that a new paradigm is needed, one that does not try to "measure" and determine "style," but is more holistic and also considers the effect of subordinates on leaders.

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Twelve O'Clock High

Background

According to their files, Twentieth-Century Fox paid "$100,000 outright for the [rights to the] book plus up to $100,000 more in escalator and book club clauses." Darryl Zanuck was apparently convinced to pay this high price when he heard that William Wyler was interested in purchasing it for Paramount. Even then, Zanuck only went through with the deal in October 1947 when he was certain that the United States Air Force would support the production.[3]

Twelve O'Clock High was indeed produced with the full cooperation of the Air Force and made use of actual combat footage during the battle scenes, including some shot by the Luftwaffe.[3] A good deal of the production was filmed on Eglin Air Force Base near Fort Walton Beach, FL.[4]

Screenwriters Bartlett and Lay drew on their own wartime experiences with Eighth Air Force bomber units. At the Eighth Air Force headquarters, Bartlett had worked closely with Colonel Armstrong, who was the primary model for the character General Savage. The film's 918th Bomber Group was modeled primarily on the 306th because that group remained a significant part of the Eighth Air Force throughout the war in Europe.[N 4]

Veterans of the heavy bomber campaign frequently cite *Twelve O'Clock High* as the only Hollywood film that accurately captured their combat experiences.[5] Along with the 1948 film *Command Decision*, it marked a turning away from the optimistic, morale-boosting style of wartime films and toward a grittier realism that deals more

directly with the human costs of war. Both films deal with the realities of daylight precision bombing without fighter escort, the basic Army Air Forces doctrine at the start of World War II (prior to the arrival of long range Allied fighter aircraft).

Paul Mantz, Hollywood's leading stunt pilot, was paid the then-unprecedented sum of $4,500 to crash-land a B-17 bomber for one early scene in the film.[6] Frank Tallman, Mantz' partner in Tallmantz Aviation, wrote in his autobiography that, while many B-17s had been landed by one pilot, as far as he knew this flight was the only time that a B-17 ever took off with only one pilot and no other crew; nobody was sure that it could be done.“[N 5]

Locations for creating the bomber base at RAF Archbury were scouted by director Henry King, flying his own private aircraft some 16,000 miles in February and March 1949. King visited Eglin Air Force Base on March 8, 1949, and found an ideal location for principal photography at its Auxiliary Field No. 3, better known as Duke Field, where the mock installation with 15 buildings, including a World War II control tower, were constructed to simulate Archbury.[7][8] The film's technical advisor, Colonel John deRussy, was stationed at Maxwell Air Force Base, Alabama, and suggested Ozark Army Air Field near Daleville, Alabama (now known as Cairns Army Airfield, adjacent to Fort Rucker).[7] King chose Cairns as the location for filming B-17 takeoffs and landings, including the spectacular B-17 belly-landing sequence early in the film, since the light-colored runways at Eglin did not match wartime runways in England which had been black to make them less visible to enemy aircraft. When the crew arrived at Cairns, it was also considered as an "ideal for shots of Harvey Stovall reminiscing about his World War II service" since the field was overgrown.[9][8]

Additional background photography was shot at RAF Barford St John, a satellite station of RAF Chelveston[citation needed] in (Oxfordshire, England, UK). The runways and perimeter tracks at Barford St Johns are still in existence. Officially the base is in Ministry of Defense ownership following its closure in the late 1990s as a Communications Station linked to RAF Upper Heyford. Other locations around Fort Walton also served as secondary locations for filming.[10] The crew used 12 B-17s for filming which were pulled from drones used at Eglin and from depot locations in Alabama & New Mexico. Since some of the aircraft were used in the 1946 Bikini atomic experiments, they could only be used for shooting for limited periods.[8]

Twelve O'Clock High was in production from late April to early July 1949.[11] Although originally planned to be shot in Technicolor, it was instead shot in black and white, allowing (as is noted in the main title sequence) all aerial footage to have been shot in actual combat by Allied and Luftwaffe cameras.[3]

Cast

As appearing in screen credits (main roles identified):[12]

Actor	Role
Gregory Peck	Brigadier General Frank Savage
Hugh Marlowe	Lieutenant Colonel Ben Gately
Gary Merrill	Colonel Keith Davenport
Millard Mitchell	Major General Patrick Pritchard
Dean Jagger	Major / Lieutenant Colonel Harvey Stovall
Robert Arthur	Sergeant McIllhenny
Paul Stewart	Major "Doc" Kaiser (flight surgeon)
John Kellogg	Major Cobb
Robert Patten	Lieutenant Bishop
Lee MacGregor	Lieutenant Zimmerman
Sam Edwards	Lieutenant Birdwell
Roger Anderson	Interrogation Officer
Lawrence Dobkin	Captain Twombley, group chaplain (uncredited)
Kenneth Tobey	Sgt. Keller, guard at gate (uncredited)
Paul Picerni	Bombardier (uncredited)
Harry Lauter	Radio officer (uncredited)
Barry Jones	Lord Haw-Haw, German radio commentator (voice) (uncredited)
Don Gordon	First patient in base hospital (uncredited)

Cast notes

- The name Harvey Stovall was derived from William Howard Stovall, a World War I flying ace who served on the World War II staff of Major General Carl A. Spaatz. The film's author Sy Bartlett served as Spaatz' aide-de-camp and became friends with Stovall during the war. He presented Stovall with a copy of his book referencing this fact in his inscription.

- The character of "Doc" Kaiser is listed on the film's credits as "Captain", but he is shown wearing the oak leaves of a major and is referred to as "Major" throughout the film.[3]

- The character of Harvey Stovall is initially a major, but is promoted to lieutenant colonel when he takes over as the 918th's Ground Exec. He refers to himself as a "retread" no longer physically qualified for combat, wears basic pilot wings and service chevrons from World War I on his service dress uniform, the inference being that he flew in the Army Air Service in World War I. In the novel, Stovall had been an infantryman, noting that his greatest moral challenge had been in bayoneting a German soldier.

Historical counterparts of characters

Brigadier General Frank Savage (played by **Gregory Peck**) was created as a composite of several group commanders but the primary inspiration was Col. Frank A. Armstrong, who commanded the 306th Bomb Group on which the 918th was modeled.[13] The name "Savage" was inspired by Armstrong's Cherokee heritage. In addition to his work with the 306th, which lasted only six weeks and consisted primarily of rebuilding the chain of command within the group, Armstrong had earlier performed a similar task with the 97th Bomb Group, and many of the training and disciplinary scenes in *Twelve O'Clock High* derive from that experience. Towards the end of the film, the near-catatonic battle fatigue that General Savage suffered and the harrowing missions that led up to it, were inspired by the experiences of Brigadier General Newton Longfellow,[13] although the symptoms of the breakdown were not based on any real-life event, but were intended to portray the effects of intense stress experienced by many airmen.

Major General Pritchard (played by **Millard Mitchell**) was modeled on that of the VIII Bomber Command's first commander, Maj. Gen. Ira C. Eaker.[8]

Colonel Keith Davenport (played by **Gary Merrill**) was based on the first commander of the 306th Bomb Group, Colonel Charles B. Overacker, nicknamed "Chip."[8] Of all the personalities portrayed in *Twelve O'Clock High*, that of Colonel Davenport most closely parallels his true-life counterpart. The early scene in which Davenport confronts Savage about a mission order was a close recreation of an actual event, as was his relief.

2nd Lieutenant Jesse Bishop (played by **Robert Patten**) who belly lands in the B-17 next to the runway at the beginning of the film and was nominated for the Medal of Honor, has his true life counterpart in Second Lieutenant John C. Morgan.[8] The description of Bishop's fight to control the bomber after his pilot was hit in the head by fragments of a 20 mm cannon shell is taken almost verbatim from Morgan's Medal of Honor citation. Details may be found in *The 12 O'Clock High Logbook*.

Sergeant McIllhenny (played by **Robert Arthur**) was drawn from a member of the 306th Bomb Group, Sgt Donald Bevan,[8] a qualified gunner who was assigned ground jobs including part-time driver for the commander of his squadron. Bevan had received publicity as a "stowaway gunner" (similar to McIllhenny in the film), even though in reality he had been invited to fly missions. Like McIllhenny he proved to be a "born gunner."

The "tough guy" character **Major Joe Cobb** (played by **John Kellogg**) was inspired by Colonel Paul Tibbets who had flown B-17s with Colonel Armstrong.[8][N 6] Tibbetts was initially approved as the film's technical advisor but the job was eventually given to Colonel John Derussy.[14]

Reception

Twelve O'Clock High premiered in Los Angeles on December 21, 1949, opened in New York on January 26, 1950.[15] It went into general release in February 1950.[16]

An influential review by Bosley Crowther of *The New York Times* was indicative of many contemporary reviews. He noted that the film focused more on the human element than the aircraft or machinery of war. "How much can a man give? When the U.S. 8th Army Air Force 918th Bombardment group is ordered on their fourth harrowing mission in four hard days, Brigadier General Frank Savage (Gregory Peck) demands 'maximum effort'."[17][*not in citation given*] The *Times* picked *Twelve O'Clock High* as one of the 10 Best Films of 1949, and, in later years, it rated the film as one of the "Best 1000" of all time.[18]

After attending the premiere, the Commander of the Strategic Air Command, General Curtis LeMay, told the authors that he "couldn't find anything wrong with it." The film is now widely used in both the military and civilian worlds to teach the principles of leadership. It is required viewing at all the U.S. service academies, in college ROTC programs, Coast Guard Officer Candidate School, Air Force Officer Training School and the U.S. Air Force's Squadron Officer School for junior Air Force officers, where it is used as a teaching example for the Situational leadership theory.

In its initial release, the film took in $3,225,000 in rentals in the U.S. alone.[19]

Awards

Twelve O'Clock High won Academy Awards for Best Actor in a Supporting Role for Dean Jagger and Best Sound, Recording. It was nominated for Best Actor in a Leading Role for Gregory Peck and Best Picture. In addition, Peck received a New York Film Critics Circle Awards for Best Actor, and the film was nominated for Best Picture by the National Board of Review.[18]

In 1998, the film was selected for preservation in the United States National Film Registry by the Library of Congress as being "culturally, historically, or aesthetically significant".[20][21]

Meaning of the title

The term "twelve o'clock high" refers to the aircrew's practice of calling out the positions of attacking enemy aircraft by referring to an imagined face of a clock, with the bomber at the center. The terms, "high" (above the bomber), "level" (at the same altitude as the bomber) and "low" (below the bomber) further refines the location of the enemy. Thus "twelve o'clock high" meant the attacker was approaching from directly ahead and above. This location was preferred by German fighter pilots, as until the introduction of the Bendix chin turret, the nose of the B-17 was the most

lightly-armed and vulnerable part of the bomber. Enemy fighter aircraft diving from above were also more difficult targets for the B-17 gunners due to their high closing speed.

Bartlett's wife, actress Ellen Drew, named the story after hearing Bartlett and Lay discuss German fighter tactics, which usually involved head-on attacks from "twelve o'clock high".[8]

Leadership

The film has been used as a case study in various military and civilian leadership training seminars for many years. It is frequently used as an example to stimulate discussion with respect to leadership styles and effectiveness.

References

Notes

1. In the film, we learn that the Toby Jug that Colonel Stovall found had been used in the 918th Officers Club. The Robin Hood-charactered jug which normally faced the wall was turned around to alert the officers that there would be a mission the next day.
2. This incident is based on a the actions of the 94th BG, Bury St. Edmunds, on January 11, 1944, when they ignored a recall command and continued on to bomb Brunswick, Germany. Rather than incurring any form of punishment for this disobedience, the 94th BG earned a Distinguished Unit Citation for their behavior, the equivalent of today's Presidential Unit Citation, a high honor worn by every member of the Bomb Group.[1]
3. Although Savage's fate from then on is not clear in the film, in the novel he is promoted and returns to the United States to take command of the Second Air Force.
4. Note that 918 is 3 times 306.
5. This allegation is at odds with both 20th Century-Fox press releases made during production and with research done by Duffin and Matheis for *The 12 O'Clock High Logbook.* In addition, Martin Caidin describes a solo flight by Gregory Boardman of a B-17 in his chapter, "The Amazing Mr. Boardman", in *Everything But the Flak*.
6. Tibbetts was also the pilot of the B-29 "Enola Gay" which dropped the atomic bomb on Hiroshima at the end of the war.

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5. Duffin and Matheis 2005, p. 87.
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7. Orriss 1984, p. 149.
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INTERACT MODEL ROLE PLAY SCENARIOS

Communicating the Situation

The 4 Questions	→	COMMUNICATE THE SITUATION Standard vs Behavior Specific & Non-Punishing

Situation One:

You notice an Auxiliary member in uniform wearing a white windbreaker to the meeting. You know that when in uniform you cannot wear civilian clothing.

How will you communicate the situation?

| The 4 Questions | → | COMMUNICATE THE SITUATION
Standard vs Behavior
Specific & Non-Punishing |

Situation Two:

You notice a crewmember approaching the boat wearing combat boots with his Operational Dress Uniform (ODU's). Your policy on your boat is that sneakers or boat shoes are the only footwear to be worn.

How will you communicate the situation?

| The 4 Questions | → | COMMUNICATE THE SITUATION
Standard vs Behavior
Specific & Non-Punishing |

Situation Three:

You hold your meetings at a public building with limited close parking facilities. You notice one of your flotilla members parking in a handicapped space and you know they are not handicapped.

How will you communicate the situation?
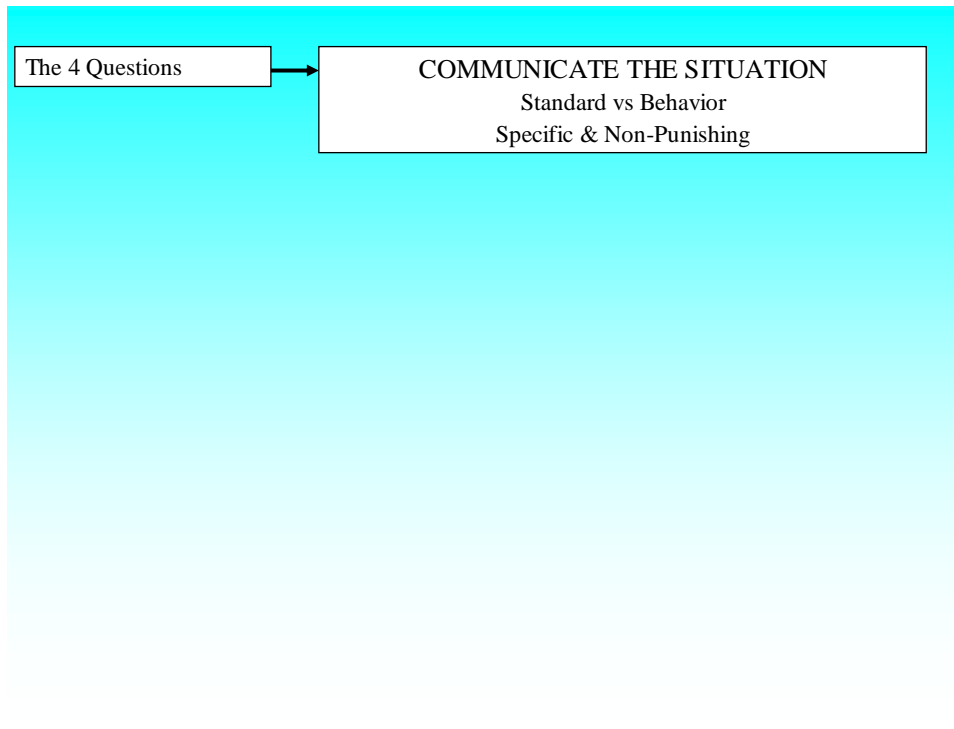
The 4 Questions	→	COMMUNICATE THE SITUATION Standard vs Behavior Specific & Non-Punishing

Situation Four:

At a flotilla meeting one of the members interrupts every speaker with an off-topic question. You are the Flotilla Commander (FC) trying to run an efficient meeting. You pull the member off to the side during a short break.

How will you communicate the situation?
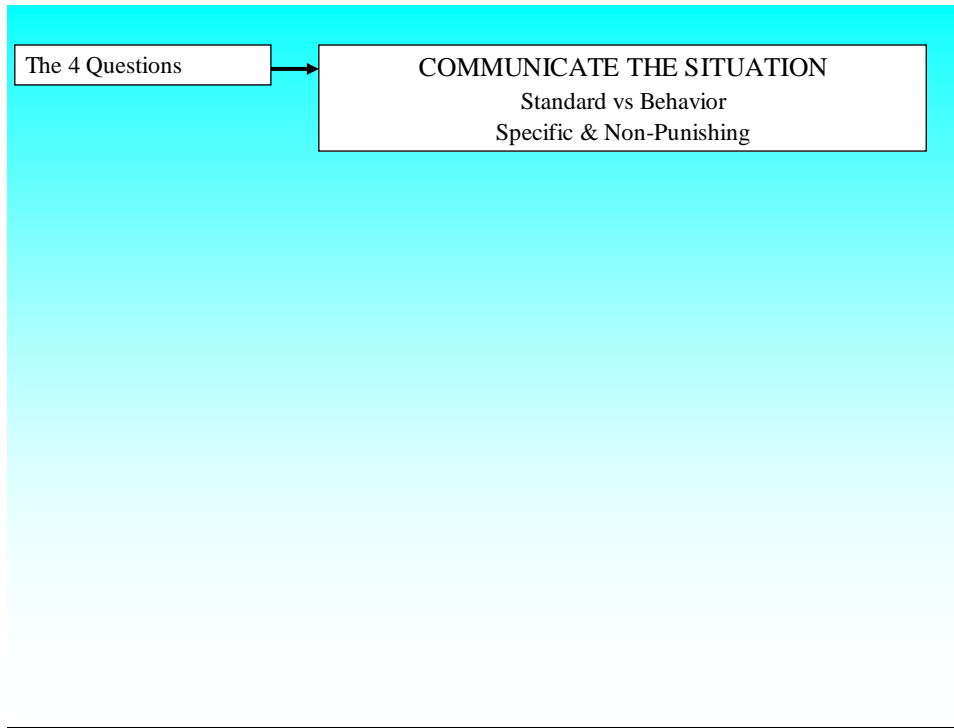
The 4 Questions	→	COMMUNICATE THE SITUATION Standard vs Behavior Specific & Non-Punishing

Situation Five:

Your neighbor does not like to cut their grass. Your Homeowners Association has a policy that grass must be less than 2 inches tall and must be cut on a regular basis. Your neighbors' grass is very ragged and some weeds are over 5" high. He has not cut it in weeks.

How will you communicate the situation?
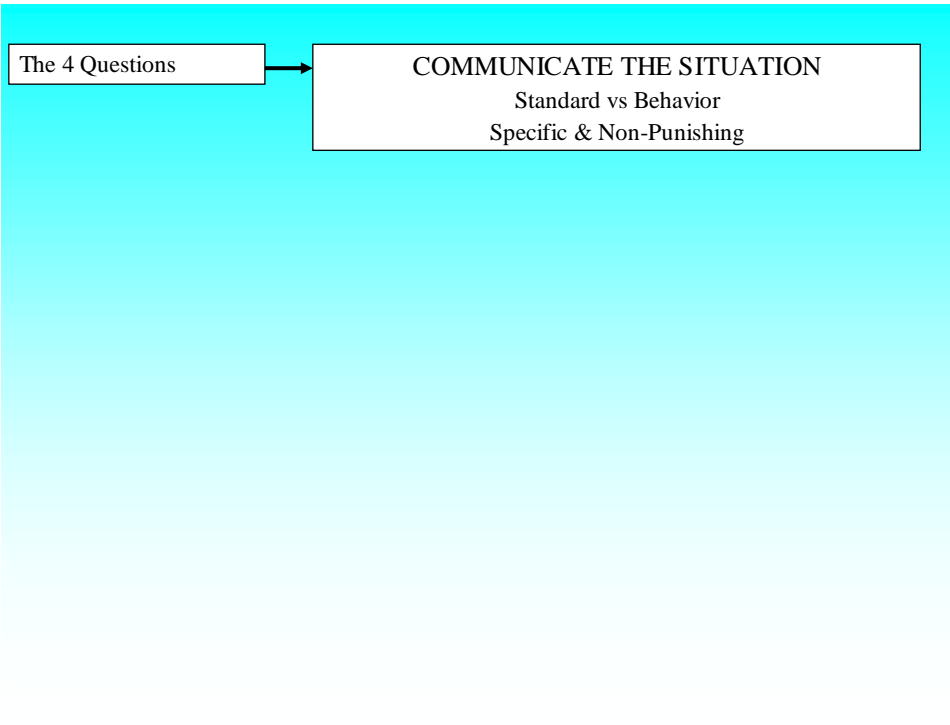
The 4 Questions → COMMUNICATE THE SITUATION
Standard vs Behavior
Specific & Non-Punishing

Situation Six:

While walking through your work area at lunch, you notice a two co-workers having lunch and using the company network computer at their desks. As you walk by, you notice that they are purchasing concert tickets online. It is against company policy to use company computers for making online purchases because it puts the entire network at risk. Your company has "safe computing" classes every quarter.

How will you communicate the situation?
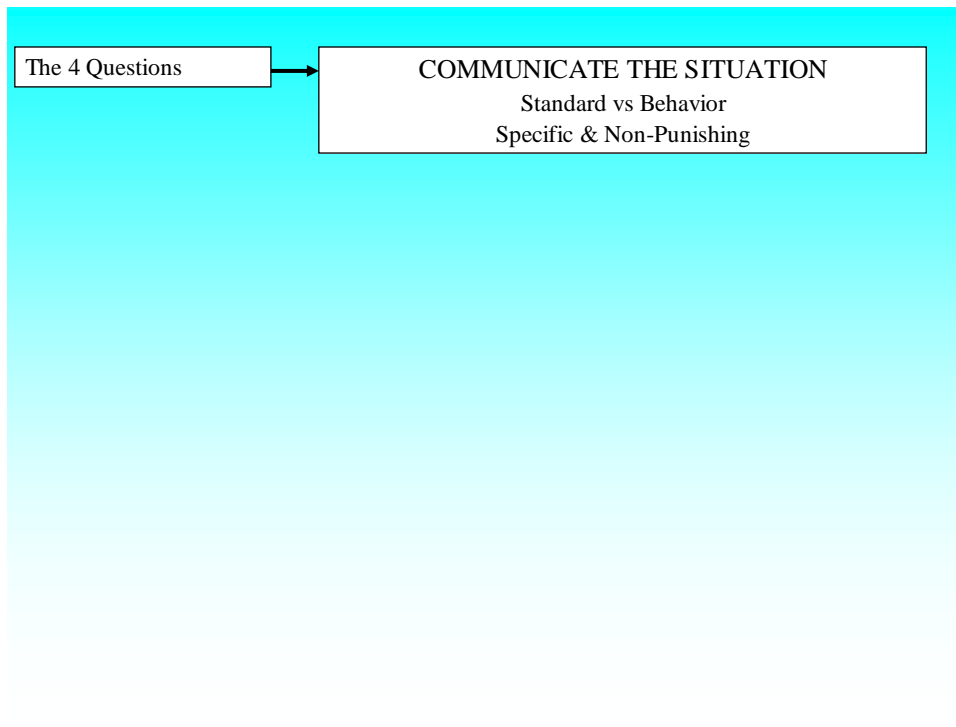
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│ The 4 Questions  │─────▶│   COMMUNICATE THE SITUATION         │
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                          │     Specific & Non-Punishing        │
                          └─────────────────────────────────────┘
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Situation Seven:

You are the Flotilla Staff Officer – Member Training (FSO-MT) and have been going over the training requirements for your members. You notice one member has not completed the necessary training to maintain their qualifications despite you having brought this to their attention at the past two flotilla meetings.

How will you communicate the situation?
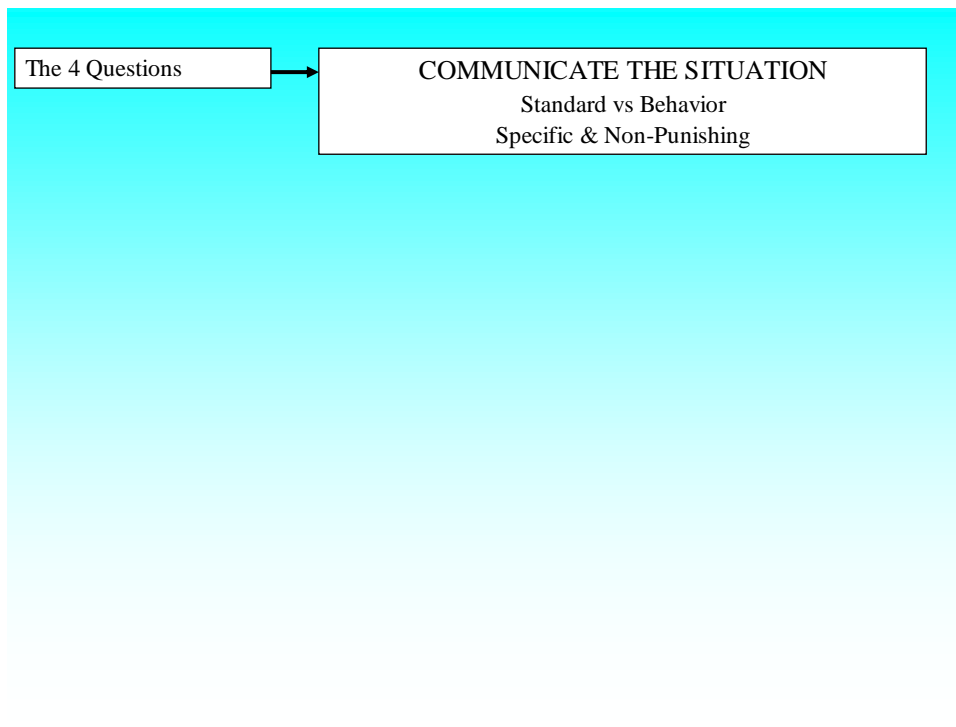
| The 4 Questions | → | COMMUNICATE THE SITUATION
Standard vs Behavior
Specific & Non-Punishing |

Situation Eight:

You notice a female in uniform wearing multi-colored fingernail polish. You know that this is not according to the Auxiliary uniform guide

How will you communicate the situation?
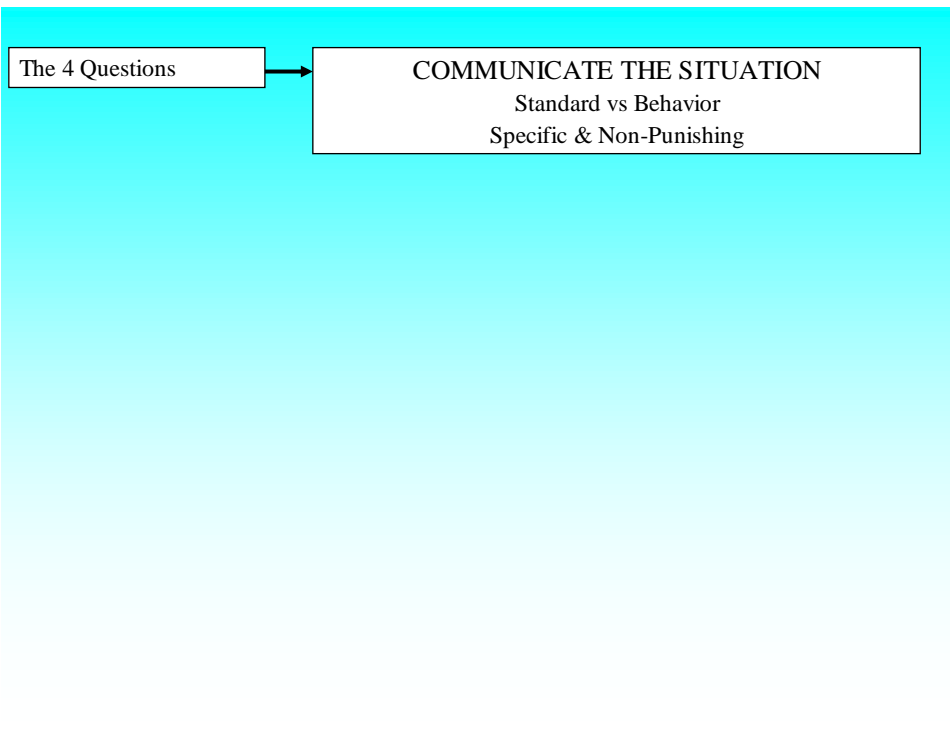
| The 4 Questions | → | COMMUNICATE THE SITUATION
Standard vs Behavior
Specific & Non-Punishing |

Situation Nine:

You are taking some of the members to the Director of Auxiliary (DIRAUX) offices and you notice one in Bravo Dress uniform wearing work trousers that do not come close to matching the blouse.

How will you communicate the situation?

The 4 Questions	→	COMMUNICATE THE SITUATION
		Standard vs Behavior
		Specific & Non-Punishing
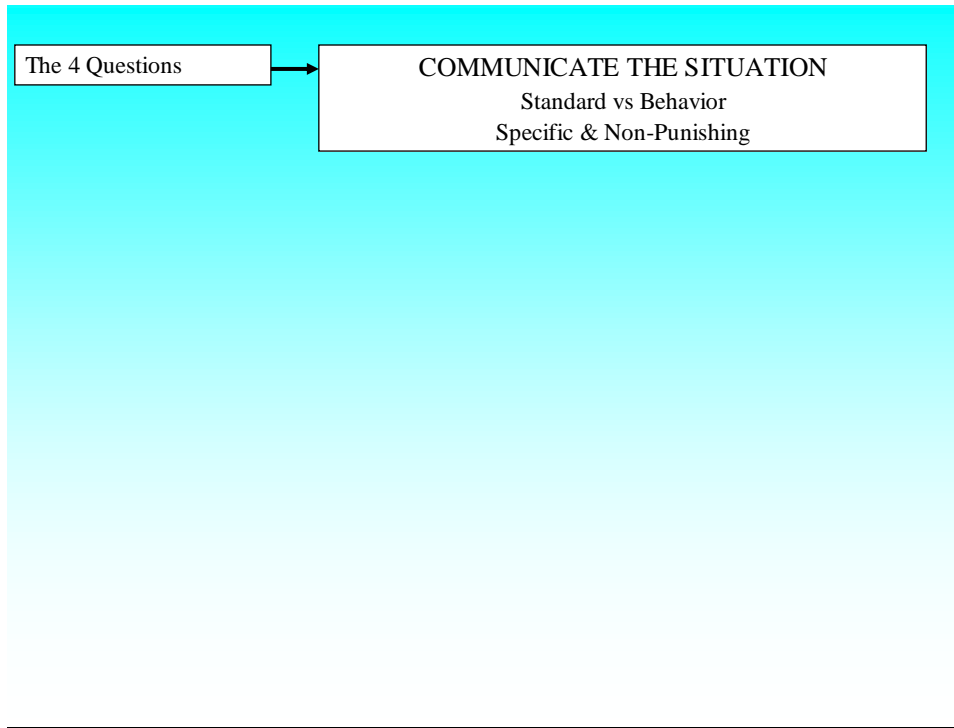
Situation Ten:

You are the Flotilla Commander (FC) and you need information from your Flotilla Staff Officer – Public Affairs (FSO-PA) for a very short time fused request from the Division Commander (DCDR). You have sent emails, you have left phone messages, and it has been three days since the initial request has been made. The information was due yesterday. You see the FSO-PA at the flotilla meeting that night.

How will you communicate the situation?
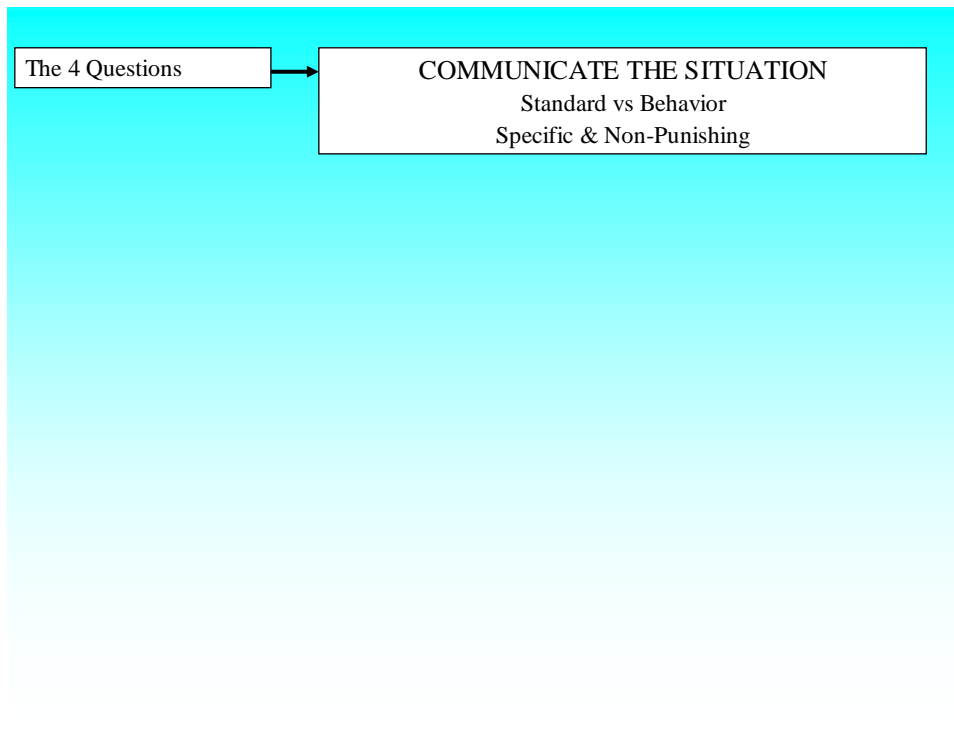
The 4 Questions	→	COMMUNICATE THE SITUATION Standard vs Behavior Specific & Non-Punishing

Situation Eleven:

Your parents are flying in for a visit. Due to work, you can't meet them but you did arrange for a taxi to pick them up. You receive a call from your father asking where the taxi is as your parents have been waiting at the airport for 45 minutes. You call the taxi company.

How will you communicate the situation?

The 4 Questions	→	COMMUNICATE THE SITUATION Standard vs Behavior Specific & Non-Punishing

Situation Twelve:

You are the shop supervisor at a local tool and die company. While walking through the work area this morning, you noticed several tools stenciled with the companies name protruding from a subordinate's gym bag. Company policy is that all tools taken from the tool room are to be checked out in the tool log. You reviewed the tool log and found the subordinate had nothing checked out.

How will you communicate the situation?

The 4 Questions	→	COMMUNICATE THE SITUATION Standard vs Behavior Specific & Non-Punishing

Situation Thirteen:

One of your subordinates is selling Girl Scout cookies during work hours to some of your co-workers. Company policy is that non-company business will not be conducted during work hours.

How will you communicate the situation?
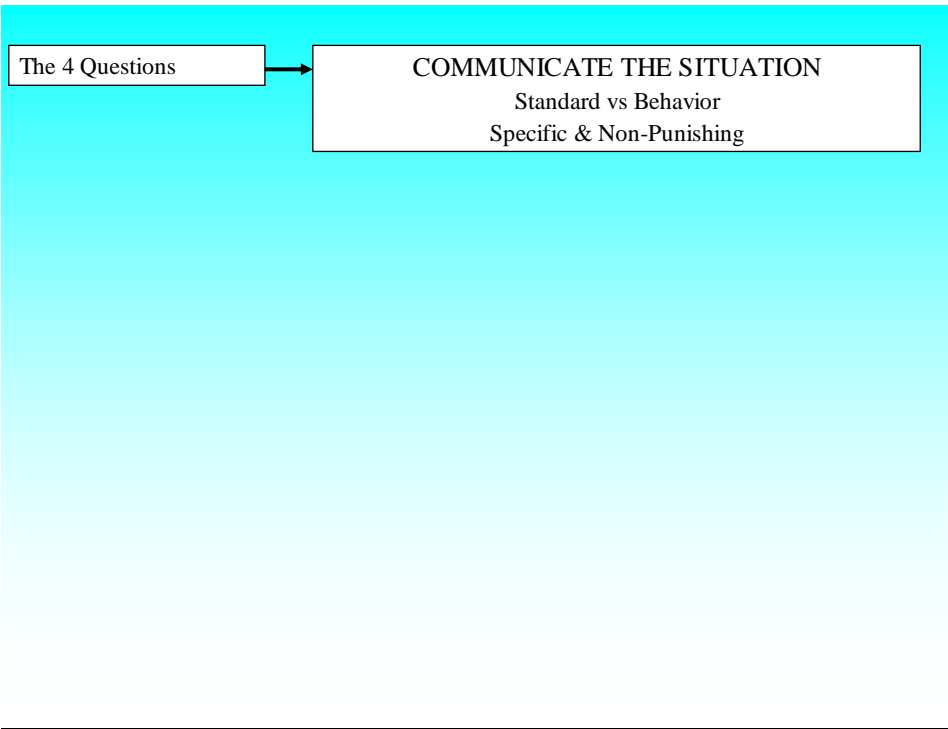
| The 4 Questions | → | COMMUNICATE THE SITUATION
Standard vs Behavior
Specific & Non-Punishing |

Situation Fourteen:

On your way to work, you notice a subordinate jogging on the access road close to the main gate. The base provides fitness gear and encourages workers to exercise. For runners, there is a standard policy that reflective gear will be worn at all times when running as there is a lot of traffic. Your subordinate was not wearing reflective gear.

How will you communicate the situation?

| The 4 Questions	COMMUNICATE THE SITUATION Standard vs Behavior Specific & Non-Punishing
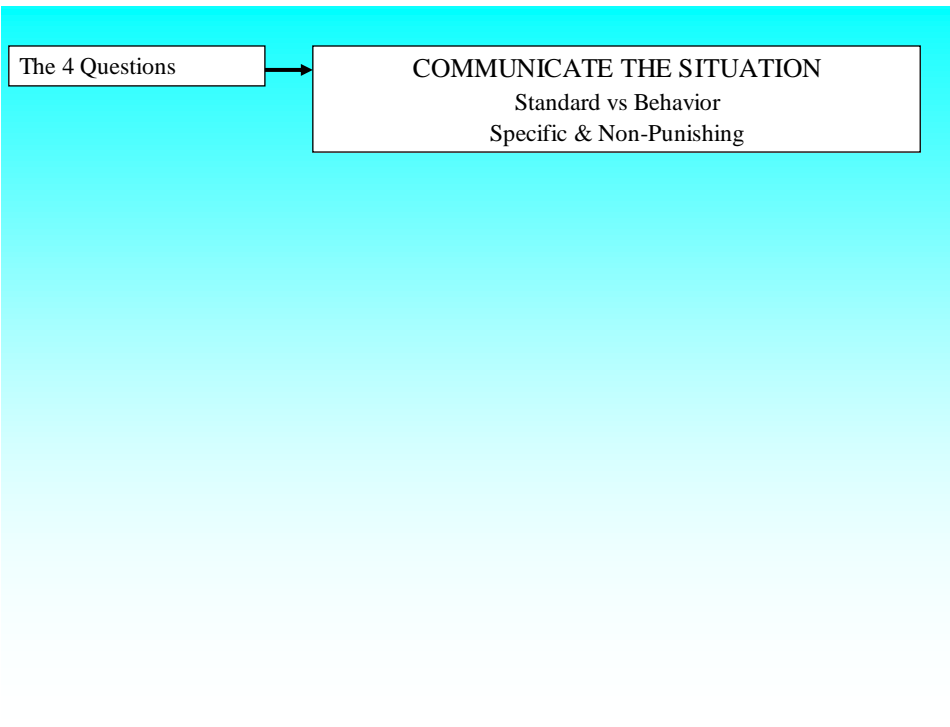
Situation Fifteen:

You are a watch stander for your Sector Command Center. The custom is that all oncoming reliefs show up 15 minutes early so that they can be apprised of any problems, and be ready to relieve the watch. It is midnight after a long day and your relief is not in sight. At 1215 A.M. your relief walks through the door.

How will you communicate the situation?

The 4 Questions	→	COMMUNICATE THE SITUATION
		Standard vs Behavior
		Specific & Non-Punishing

Situation Sixteen:

You are the owner of a major restaurant in town. You employ a night security watch whose responsibility is to make hourly checks of equipment and immediately report any discrepancies to you regardless of the time of night. It is now 5:00 A.M. and the oncoming chef has just called and told you that the freezer thermometer reads 40 degrees when it should be 15 degrees. The security watch never notified you of any equipment problems last night.

How will you communicate the situation?

The 4 Questions	→	COMMUNICATE THE SITUATION Standard vs Behavior Specific & Non-Punishing

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Situation Seventeen:

You are conducting a safe boating class. You have told all those coming to assist that the uniform is Tropical Blue (TROPS).   One of the class assistants arrives in Operational Dress Uniform (ODU's).

How will you communicate the situation?
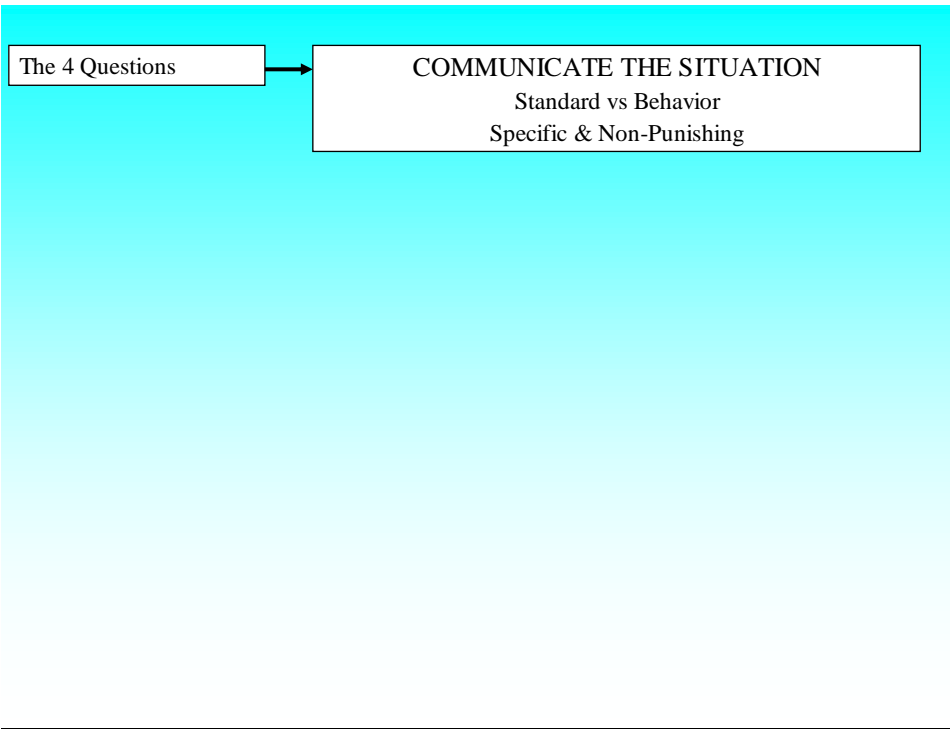
| The 4 Questions | → | COMMUNICATE THE SITUATION
Standard vs Behavior
Specific & Non-Punishing |

Situation Eighteen:

You are the Human Resources director of a local company. You have just hired a very competent and capable young female employee who is cute. You overhear some of the younger males betting each other on who will get the first date. Your company policy is to discourage inter-office romances as it often causes discord in the workplace.

How will you communicate the situation?
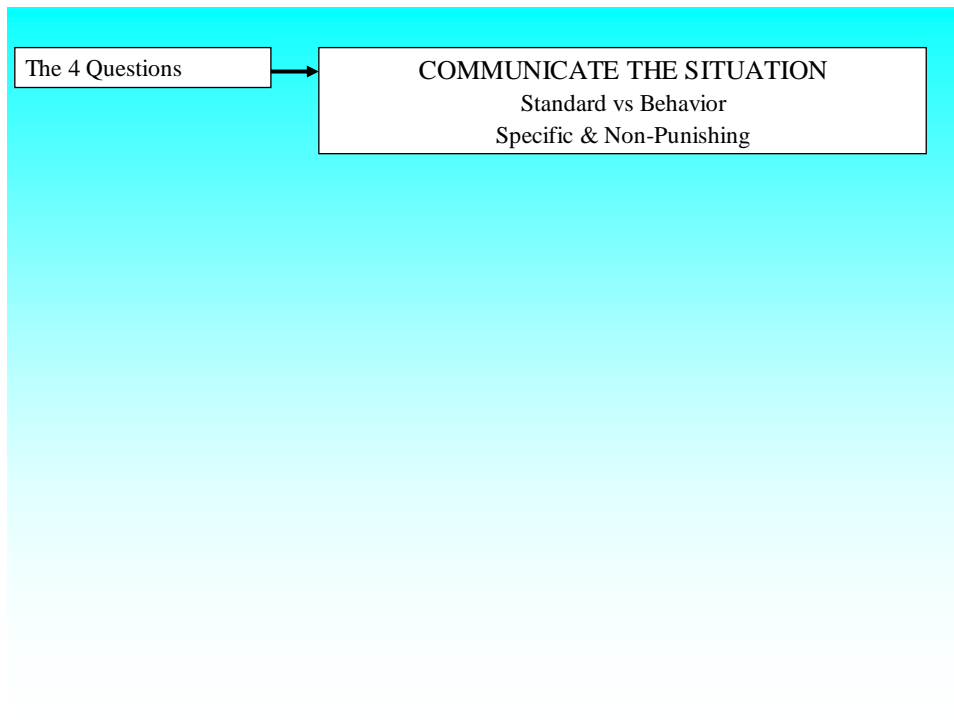
The 4 Questions	→	COMMUNICATE THE SITUATION
		Standard vs Behavior
		Specific & Non-Punishing

Situation Nineteen:

You run the IT shop at your company. Your policy is that all help tickets will be responded to within 2 days. You get a call from another office that a work ticket was submitted 4 days ago. Checking the assignment log, you see that it was assigned to one of your staff and no assistance has been noted on the form.

How will you communicate the situation?

| The 4 Questions | → | COMMUNICATE THE SITUATION
Standard vs Behavior
Specific & Non-Punishing |
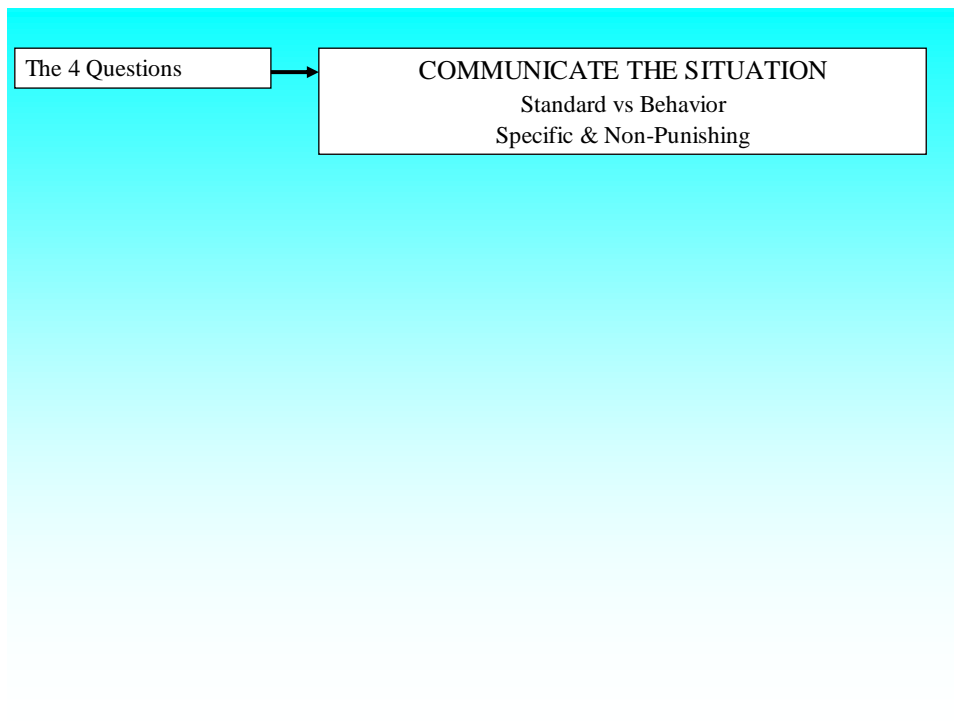
Situation Twenty:

You are the Flotilla Commander (FC). Your Flotilla Staff Officer – Member Training (FSO-MT) is working hard for you and doing a great job. You learn that he has also been working on a project for the Division Commander (DCDR), a project that you were not aware of nor did you know your FSO-MT was involved.   You have no problem with the FSO-MT doing this work, but your flotilla comes first and you feel you should have been asked first if he was available. You are going to the Division Meeting tonight and will see the Division Commander.

How will you communicate the situation?

The 4 Questions	→	COMMUNICATE THE SITUATION Standard vs Behavior Specific & Non-Punishing

Situation Twenty-One:

You are Flotilla Commander (FC) and your Flotilla Staff Officer – Human Resources (FSO-HR) is the point person for not only bringing in new members but also getting them the necessary information, making sure they fill out the necessary forms, and insuring they get their ID cards. You have 2 new members come up to you and tell you that it has been 3 months and they have not seen their ID cards. They tell you they have contacted the FSO-HR and are assured time will bring the cards. You see the FSO-HR at a public education course that evening.

How will you communicate the situation?

The 4 Questions	→	COMMUNICATE THE SITUATION Standard vs Behavior Specific & Non-Punishing
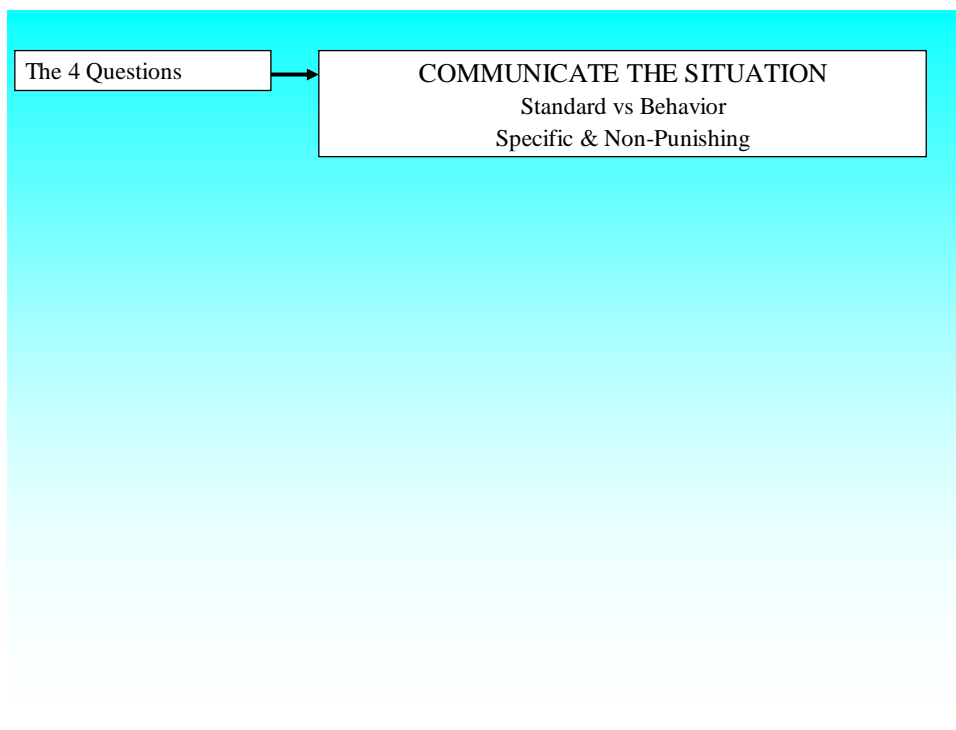
Situation Twenty-Two:

It is your child's responsibility to vacuum the TV Room every day after school. You walk in the house and notice your child playing on the computer and the carpet is covered with crumbs and strewn with video game gear.

How will you communicate the situation?

The 4 Questions	→	COMMUNICATE THE SITUATION Standard vs Behavior Specific & Non-Punishing
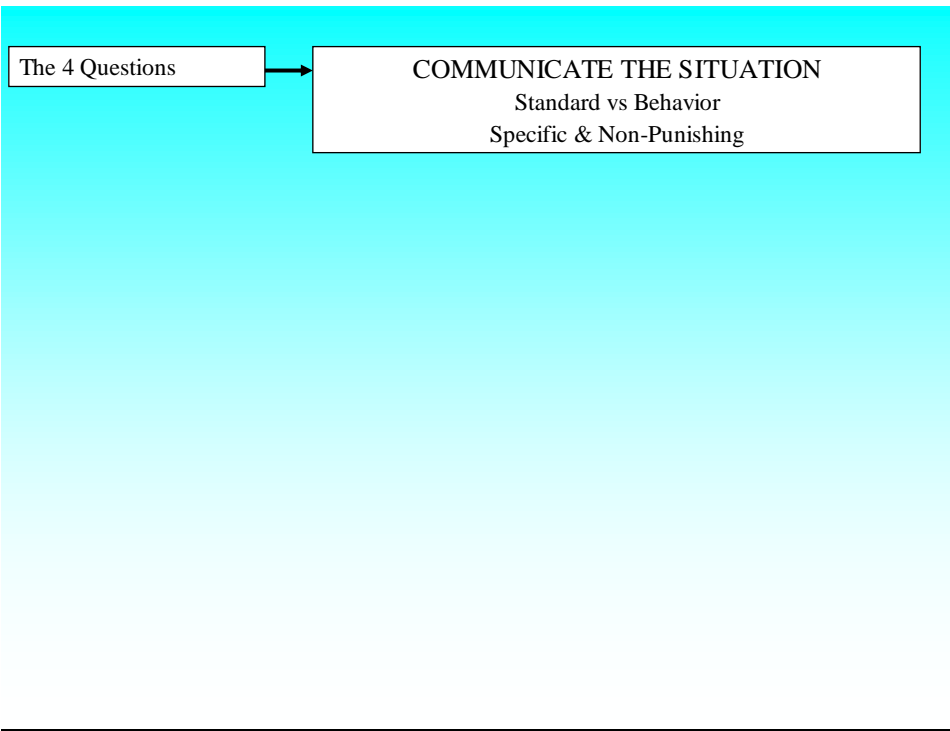
Situation Twenty-Three:

You are the Flotilla Commander (FC) and you have your meetings in an office building you work in. The agreement with the building management is that you are to bag your trash and leave it outside in the hallway. You do this after every meeting. One day as you are walking to another office you pass by your meeting room and notice that the trash has not been picked up. You get back to your desk and there is a phone message for you to call building management with a question on your handling of your meetings trash. You are going to return the phone call.

How will you communicate the situation?

| The 4 Questions	→	COMMUNICATE THE SITUATION Standard vs Behavior Specific & Non-Punishing

Diagnosing the Problem

COMMUNICATE THE SITUATION
State the Standard / Expectation vs Behavior in a Specific & Non-Punishing way

Pause, allow for a response. If no response, then ask Why

DIAGNOSE

<u>ROLE CLARITY</u>	<u>ABILITY</u>	<u>WILLINGNESS</u>	<u>EMERGENT PROBLEMS</u>

- Show / Tell
- Ask for Ideas

Natural consequences:
- To the job
- To others
- To the Supervisor
- To them

Re-Establish Roles

Establish Follow-Up

Follow-Up

Stop at Compliance

Situation One:

You notice an Auxiliary member in uniform wearing a white windbreaker to the meeting. You know that when in uniform you cannot wear civilian clothing.

Communicate the situation.

PAUSE and wait for a response.

Diagnose the type of performance problem and address it accordingly.

| COMMUNICATE THE SITUATION |
| State the Standard / Expectation vs Behavior in a Specific & Non-Punishing way |

Pause, allow for a response. If no response, then ask Why

DIAGNOSE

| ROLE CLARITY | ABILITY | WILLINGNESS | EMERGENT PROBLEMS |

- Show / Tell
- Ask for Ideas

Natural consequences:
- To the job
- To others
- To the Supervisor
- To them

Re-Establish Roles

Establish Follow-Up

Follow-Up

Stop at Compliance

Situation One:

You notice an Auxiliary member in uniform wearing a white windbreaker to the meeting. You know that when in uniform you cannot wear civilian clothing. Communicate the situation.

PAUSE and wait for a response.

Diagnose the type of performance problem and address it accordingly.

Situation Two:

You notice a crewmember approaching the boat wearing combat boots with his Operational Dress Uniform (ODU's). Your policy on your boat is that sneakers or boat shoes are the only footwear to be worn.

Communicate the situation.

PAUSE and wait for a response.

Diagnose the type of performance problem and address it accordingly.
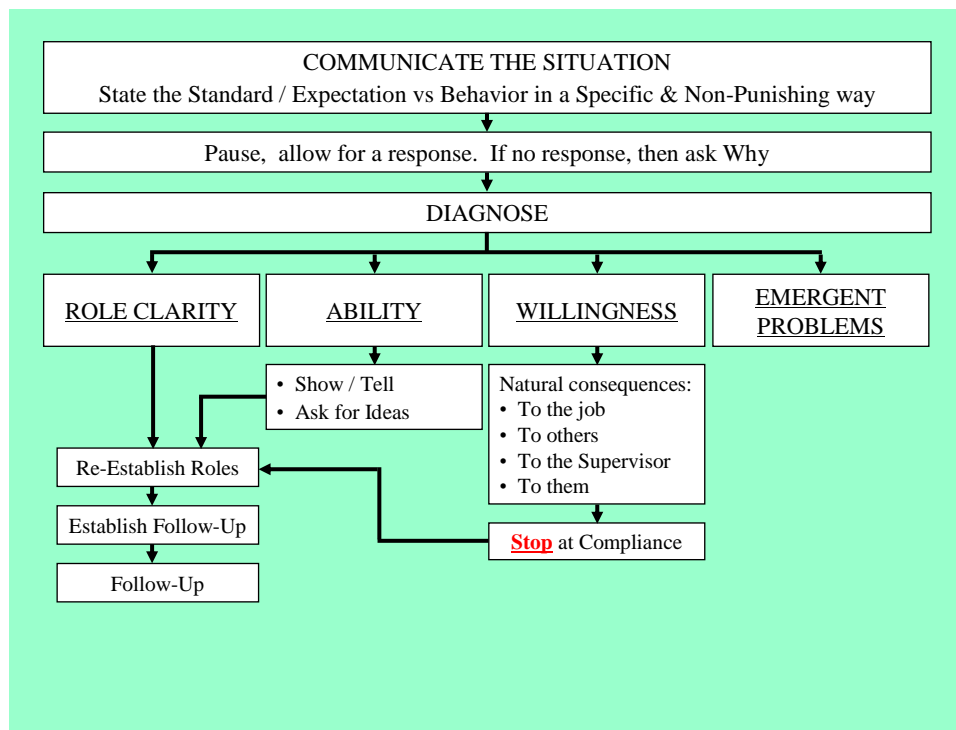
Situation Three:

You hold your meetings at a public building with limited close parking facilities. You notice one of your flotilla members parking in a handicapped space and you know they are not handicapped.

Communicate the situation.

PAUSE and wait for a response.

Diagnose the type of performance problem and address it accordingly.

COMMUNICATE THE SITUATION
State the Standard / Expectation vs Behavior in a Specific & Non-Punishing way

Pause, allow for a response. If no response, then ask Why

DIAGNOSE

ROLE CLARITY	ABILITY	WILLINGNESS	EMERGENT PROBLEMS

- Show / Tell
- Ask for Ideas

Natural consequences:
- To the job
- To others
- To the Supervisor
- To them

Re-Establish Roles

Establish Follow-Up

Follow-Up

Stop at Compliance

Situation Four:

At a flotilla meeting one of the members interrupts every speaker with an off-topic question. You are the Flotilla Commander (FC) trying to run an efficient meeting. You pull the member off to the side during a short break.

Communicate the situation.

PAUSE and wait for a response.

Diagnose the type of performance problem and address it accordingly.

COMMUNICATE THE SITUATION
State the Standard / Expectation vs Behavior in a Specific & Non-Punishing way

Pause, allow for a response. If no response, then ask Why

DIAGNOSE

| ROLE CLARITY | ABILITY | WILLINGNESS | EMERGENT PROBLEMS |

- Show / Tell
- Ask for Ideas

Natural consequences:
- To the job
- To others
- To the Supervisor
- To them

Re-Establish Roles

Establish Follow-Up

Follow-Up

Stop at Compliance

Situation Five:

While walking through your work area at lunch, you notice a co-worker having lunch and using the Coast Guard network computer at his/her desk. As you walk by, you notice that he/she is purchasing concert tickets online. It is against Coast Guard Automated Information Systems (AIS) policy to use Coast Guard computers for making online purchases because it puts the entire network at risk. All Coast Guard personnel must complete AIS training each year.

Communicate the situation.

PAUSE and wait for a response.

Diagnose the type of performance problem and address it accordingly.

COMMUNICATE THE SITUATION
State the Standard / Expectation vs Behavior in a Specific & Non-Punishing way

Pause, allow for a response. If no response, then ask Why

DIAGNOSE

| ROLE CLARITY | ABILITY | WILLINGNESS | EMERGENT PROBLEMS |

ABILITY:
• Show / Tell
• Ask for Ideas

WILLINGNESS — Natural consequences:
• To the job
• To others
• To the Supervisor
• To them

Re-Establish Roles

Establish Follow-Up

Follow-Up

Stop at Compliance

Situation Six:

While walking through your work area at lunch, you notice a two co-workers having lunch and using the company network computer at their desks. As you walk by, you notice that they are purchasing concert tickets online. It is against company policy to use company computers for making online purchases because it puts the entire network at risk. Your company has "safe computing" classes every quarter.

Communicate the situation.

PAUSE and wait for a response.

Diagnose the type of performance problem and address it accordingly.

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                    COMMUNICATE THE SITUATION
     State the Standard / Expectation vs Behavior in a Specific & Non-Punishing way
                                    ↓
           Pause,  allow for a response.  If no response, then ask Why
                                    ↓
                              DIAGNOSE
        ┌──────────────┬──────────────┬──────────────┬──────────────┐
        ↓              ↓              ↓              ↓
  ROLE CLARITY      ABILITY      WILLINGNESS      EMERGENT
                                                  PROBLEMS
        │                                                
        │        • Show / Tell    Natural consequences:
        │        • Ask for Ideas  • To the job
        │              │          • To others
        ↓              │          • To the Supervisor
  Re-Establish Roles ←─┘          • To them
        ↓                              ↓
  Establish Follow-Up          Stop at Compliance
        ↓
  Follow-Up
```

Situation Seven:

You are the Flotilla Staff Officer – Member Training (FSO-MT) and have been going over the training requirements for your members. You notice one member has not completed the necessary training to maintain their qualifications despite you having brought this to their attention at the past two flotilla meetings.

Communicate the situation.

PAUSE and wait for a response.

Diagnose the type of performance problem and address it accordingly.

COMMUNICATE THE SITUATION
State the Standard / Expectation vs Behavior in a Specific & Non-Punishing way

Pause, allow for a response. If no response, then ask Why

DIAGNOSE

| ROLE CLARITY | ABILITY | WILLINGNESS | EMERGENT PROBLEMS |

• Show / Tell
• Ask for Ideas

Natural consequences:
• To the job
• To others
• To the Supervisor
• To them

Re-Establish Roles

Establish Follow-Up

Follow-Up

Stop at Compliance

Situation Eight:

You notice a female in uniform wearing multi-colored fingernail polish. You know that this is not according to the Auxiliary uniform guide

Communicate the situation.

PAUSE and wait for a response.

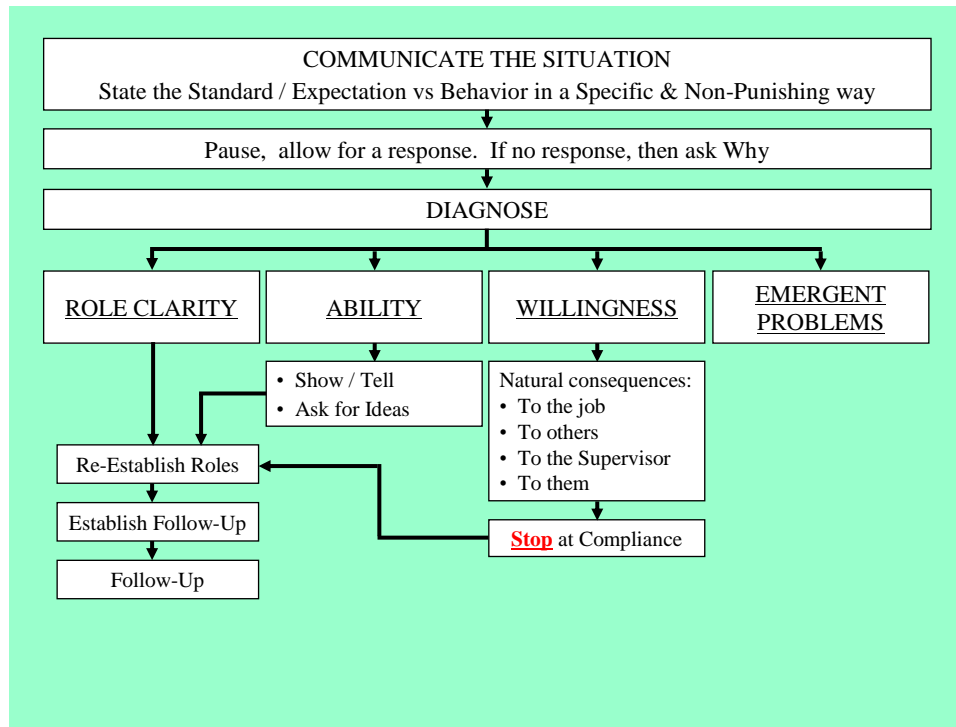Diagnose the type of performance problem and address it accordingly.

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COMMUNICATE THE SITUATION
State the Standard / Expectation vs Behavior in a Specific & Non-Punishing way
        │
        ▼
Pause,  allow for a response.  If no response, then ask Why
        │
        ▼
DIAGNOSE
```

ROLE CLARITY	ABILITY	WILLINGNESS	EMERGENT PROBLEMS

	• Show / Tell	Natural consequences:
	• Ask for Ideas	• To the job
		• To others
Re-Establish Roles		• To the Supervisor
		• To them
Establish Follow-Up		
		Stop at Compliance
Follow-Up		

Situation Nine:

You are taking some of the members to the Director of Auxiliary (DIRAUX) offices and you notice one in Bravo Dress uniform wearing work trousers that do not come close to matching the blouse.

Communicate the situation.

PAUSE and wait for a response.

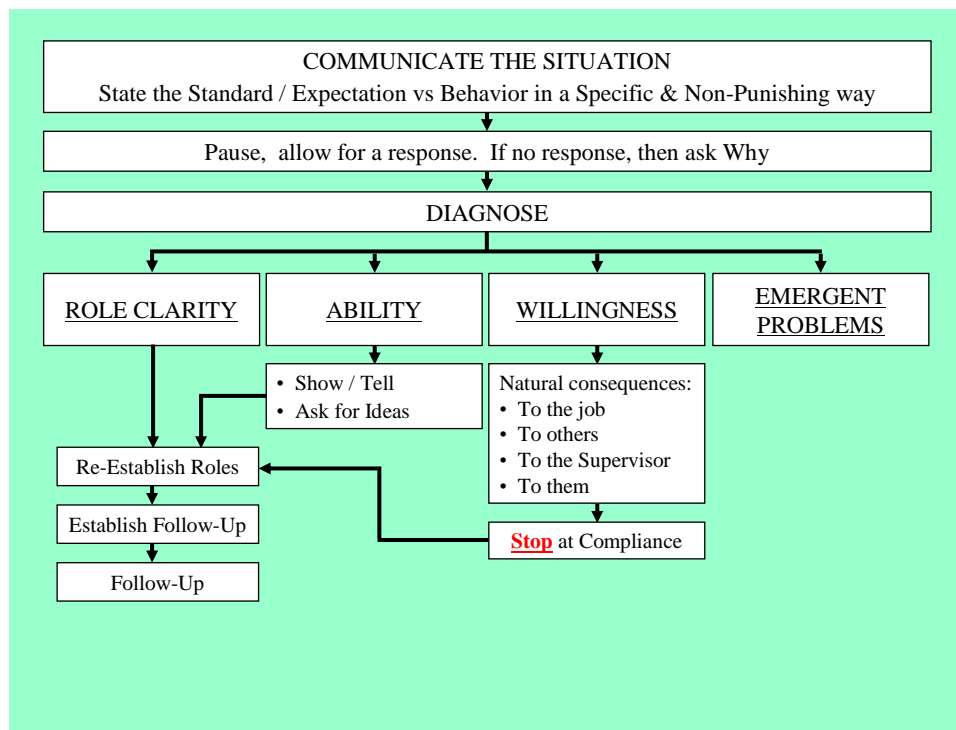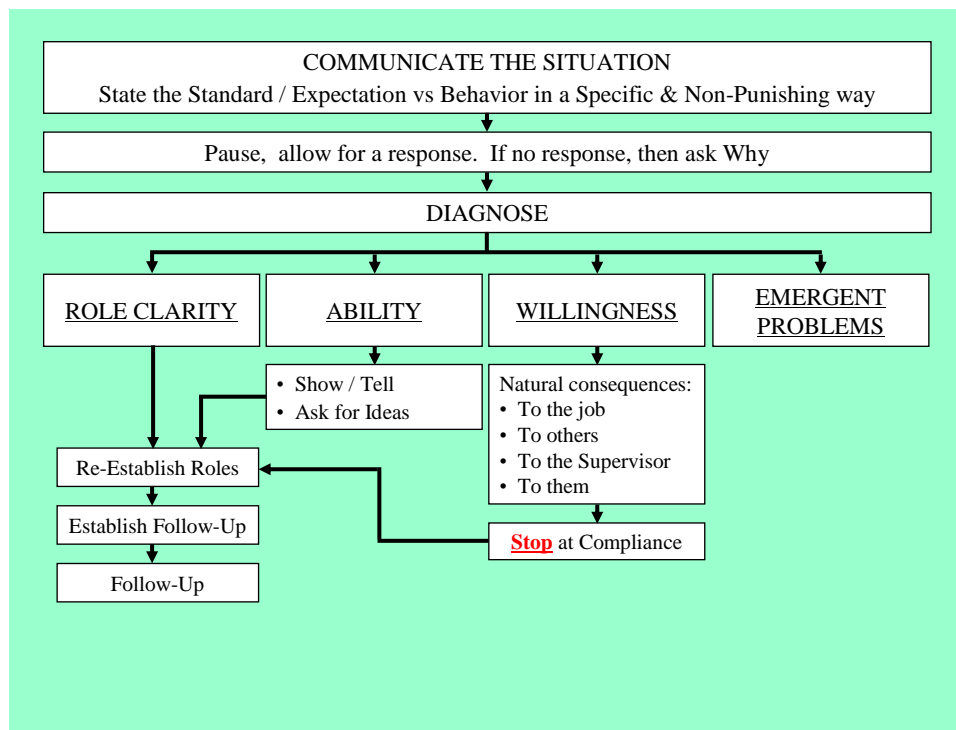Diagnose the type of performance problem and address it accordingly.

COMMUNICATE THE SITUATION
State the Standard / Expectation vs Behavior in a Specific & Non-Punishing way

Pause, allow for a response. If no response, then ask Why

DIAGNOSE

ROLE CLARITY | ABILITY | WILLINGNESS | EMERGENT PROBLEMS

- Show / Tell
- Ask for Ideas

Natural consequences:
- To the job
- To others
- To the Supervisor
- To them

Re-Establish Roles

Establish Follow-Up

Stop at Compliance

Follow-Up

Situation Ten:

You are the Flotilla Commander (FC) and you need information from one of your Flotilla Staff Officer (FSO-PA) for a very short time fused request from the Division Commander (DCDR). You have sent e-mails, you have left phone messages, and it has been three days since the initial request has been made. The information was due yesterday. You see the FSO-PA at the flotilla meeting that night.

Communicate the situation.

PAUSE and wait for a response.

Diagnose the type of performance problem and address it accordingly.

COMMUNICATE THE SITUATION
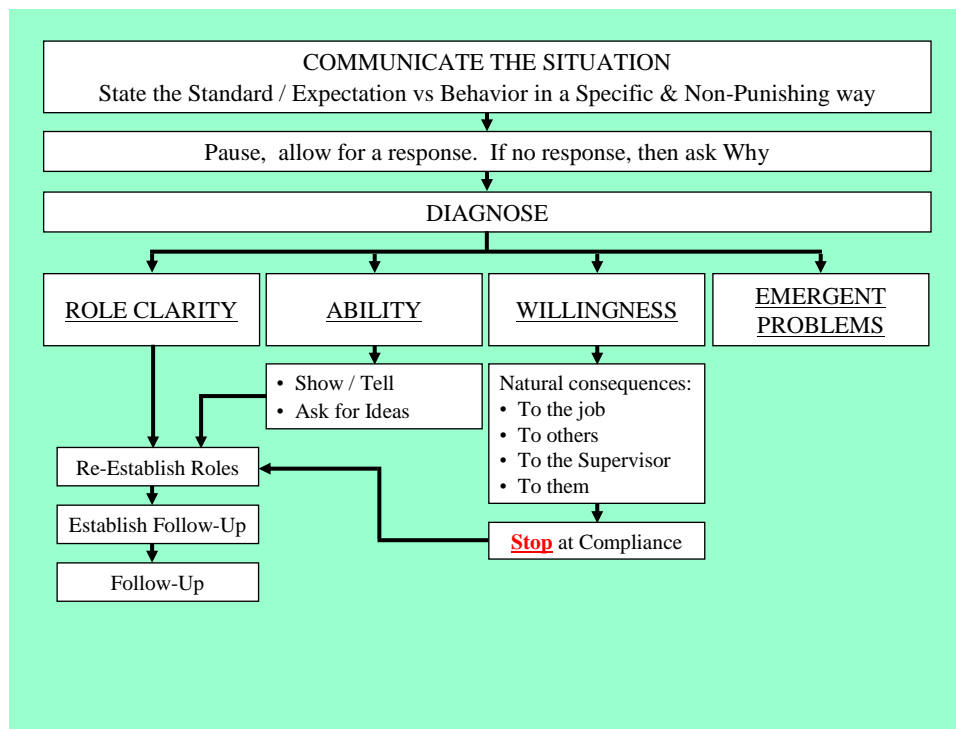State the Standard / Expectation vs Behavior in a Specific & Non-Punishing way

Pause, allow for a response. If no response, then ask Why

DIAGNOSE

| ROLE CLARITY | ABILITY | WILLINGNESS | EMERGENT PROBLEMS |

- Show / Tell
- Ask for Ideas

Natural consequences:
- To the job
- To others
- To the Supervisor
- To them

Re-Establish Roles

Establish Follow-Up

Follow-Up

Stop at Compliance

Situation Eleven:

Your parents are flying in for a visit. Due to work, you can't meet them but you did arrange for a taxi to pick them up. You receive a call from your father asking where the taxi is as your parents have been waiting at the airport for 45 minutes. You call the taxi company.

Communicate the situation.

PAUSE and wait for a response.

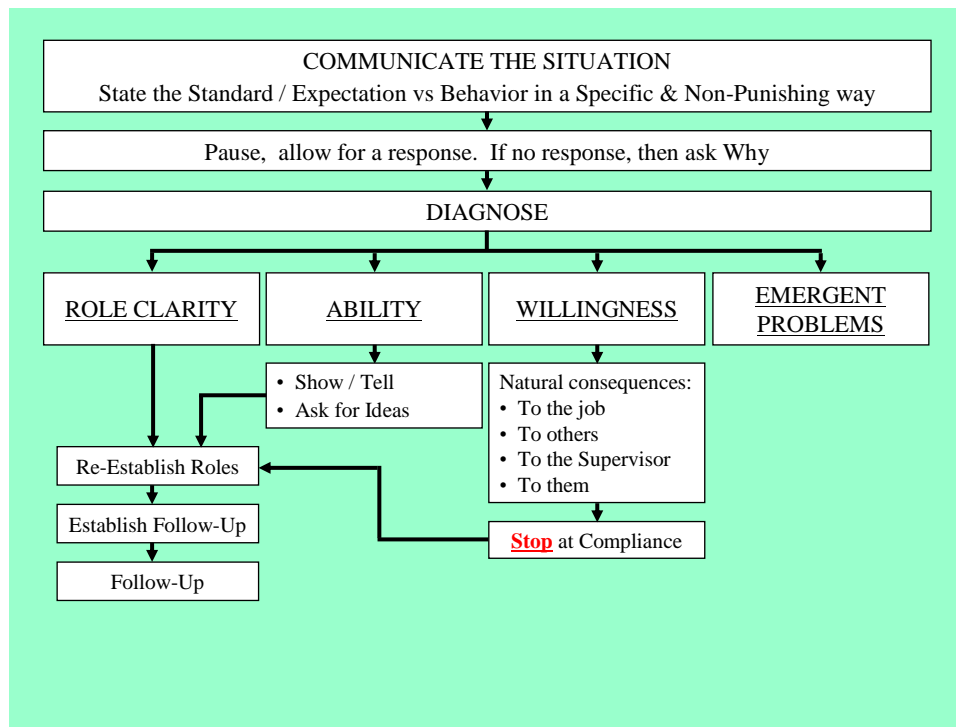Diagnose the type of performance problem and address it accordingly.

COMMUNICATE THE SITUATION
State the Standard / Expectation vs Behavior in a Specific & Non-Punishing way

Pause, allow for a response. If no response, then ask Why

DIAGNOSE

ROLE CLARITY	ABILITY	WILLINGNESS	EMERGENT PROBLEMS

- Show / Tell
- Ask for Ideas

Natural consequences:
- To the job
- To others
- To the Supervisor
- To them

Re-Establish Roles

Establish Follow-Up

Follow-Up

Stop at Compliance

Situation Twelve:

You are the shop supervisor at a local tool and die company. While walking through the work area this morning, you noticed several tools stenciled with the companies name protruding from a subordinate's gym bag. Company policy is that all tools taken from the tool room are to be checked out in the tool log. You reviewed the tool log and found the subordinate had nothing checked out.

Communicate the situation.

PAUSE and wait for a response.

Diagnose the type of performance problem and address it accordingly.
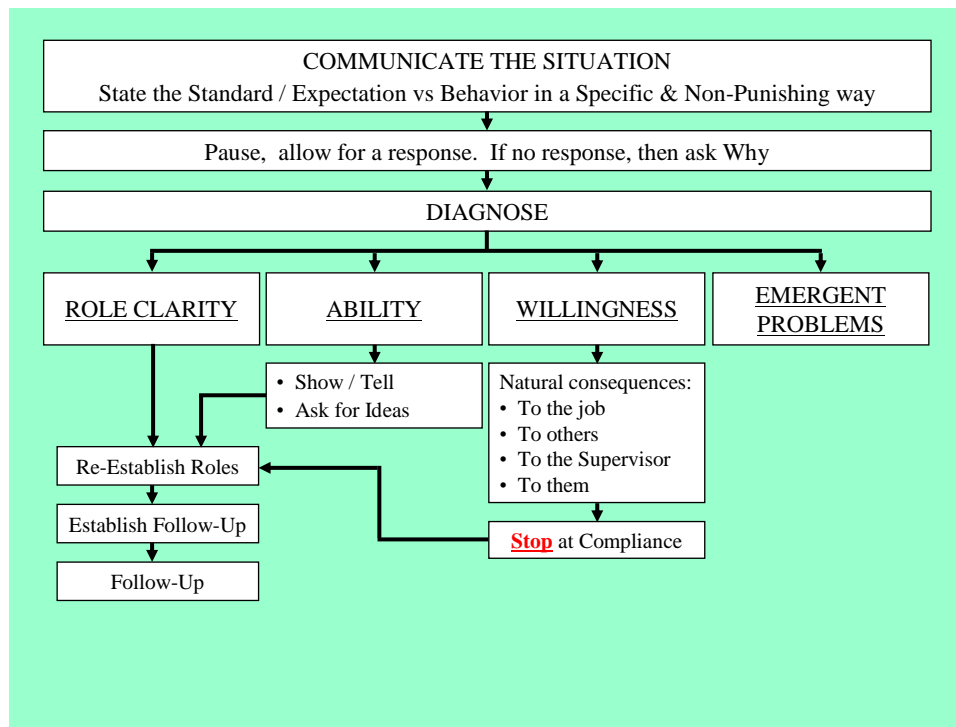
Situation Thirteen:
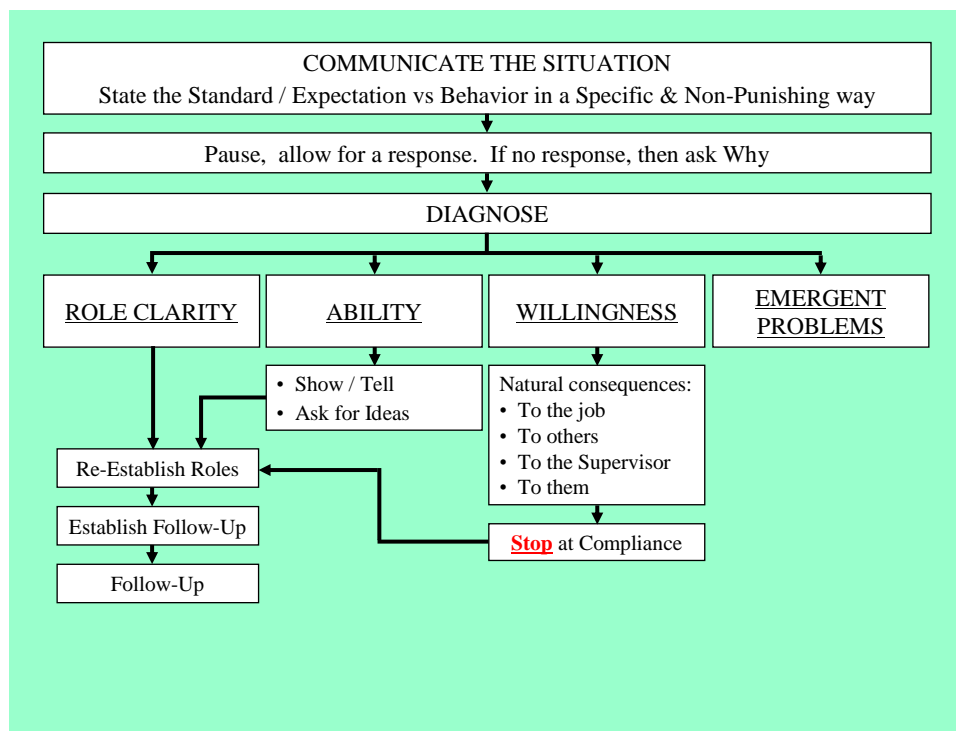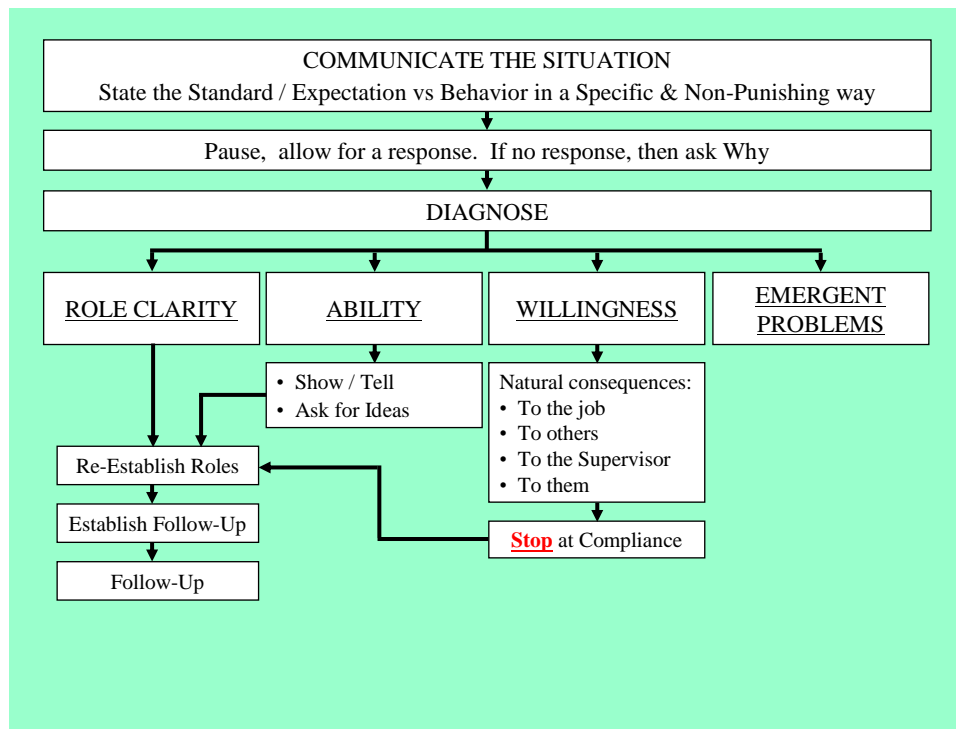
One of your subordinates is selling Girl Scout cookies during work hours to some of your co-workers. Company policy is that non-company business will not be conducted during work hours.

Communicate the situation.

PAUSE and wait for a response.

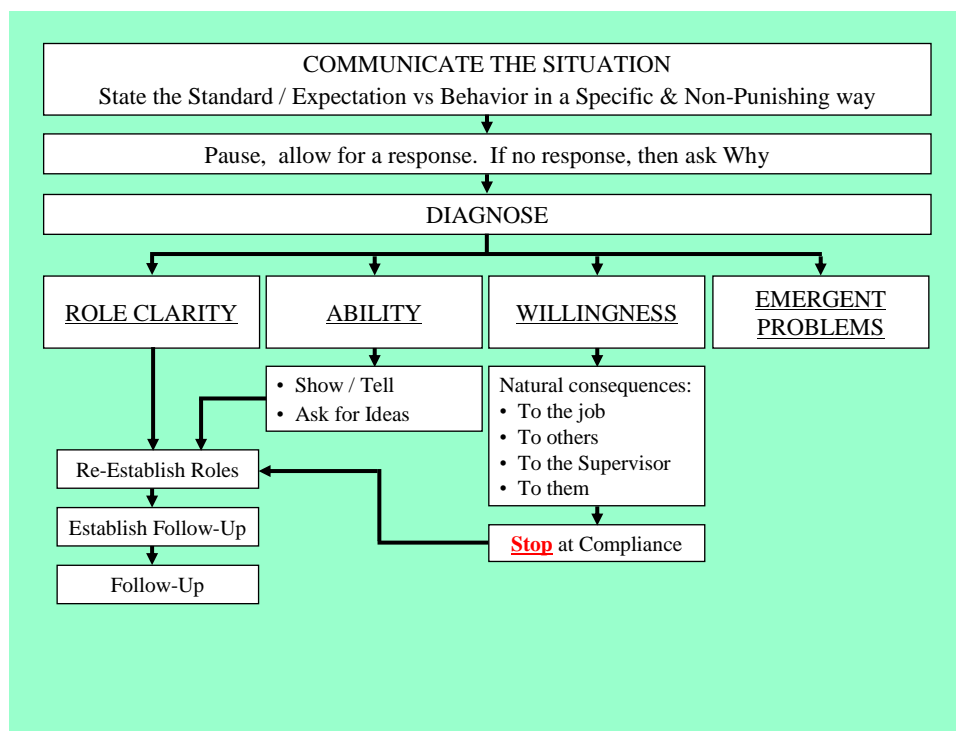Diagnose the type of performance problem and address it accordingly.

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COMMUNICATE THE SITUATION
State the Standard / Expectation vs Behavior in a Specific & Non-Punishing way

        ↓
Pause, allow for a response. If no response, then ask Why
        ↓
DIAGNOSE
```

ROLE CLARITY	ABILITY	WILLINGNESS	EMERGENT PROBLEMS

ABILITY:
- Show / Tell
- Ask for Ideas

WILLINGNESS — Natural consequences:
- To the job
- To others
- To the Supervisor
- To them

Re-Establish Roles

Establish Follow-Up

Follow-Up

Stop at Compliance

Situation Fourteen:

On your way to work, you notice a subordinate jogging on the access road close to the main gate. The base provides fitness gear and encourages workers to exercise. For runners, there is a standard policy that reflective gear will be worn at all times when running as there is a lot of traffic. Your subordinate was not wearing reflective gear.

Communicate the situation.

PAUSE and wait for a response.

Diagnose the type of performance problem and address it accordingly.
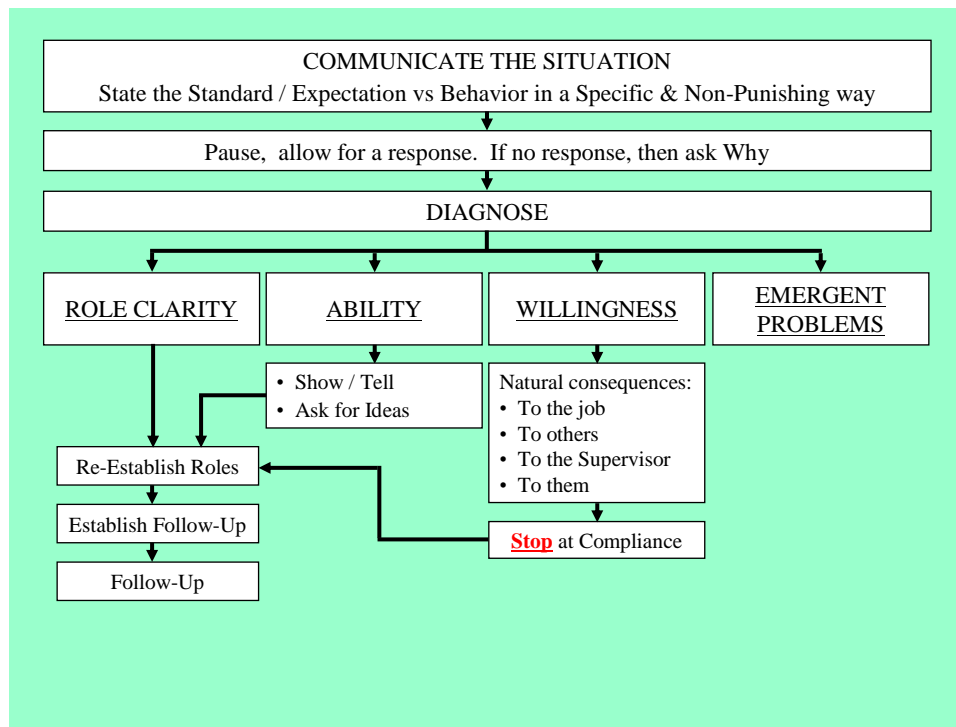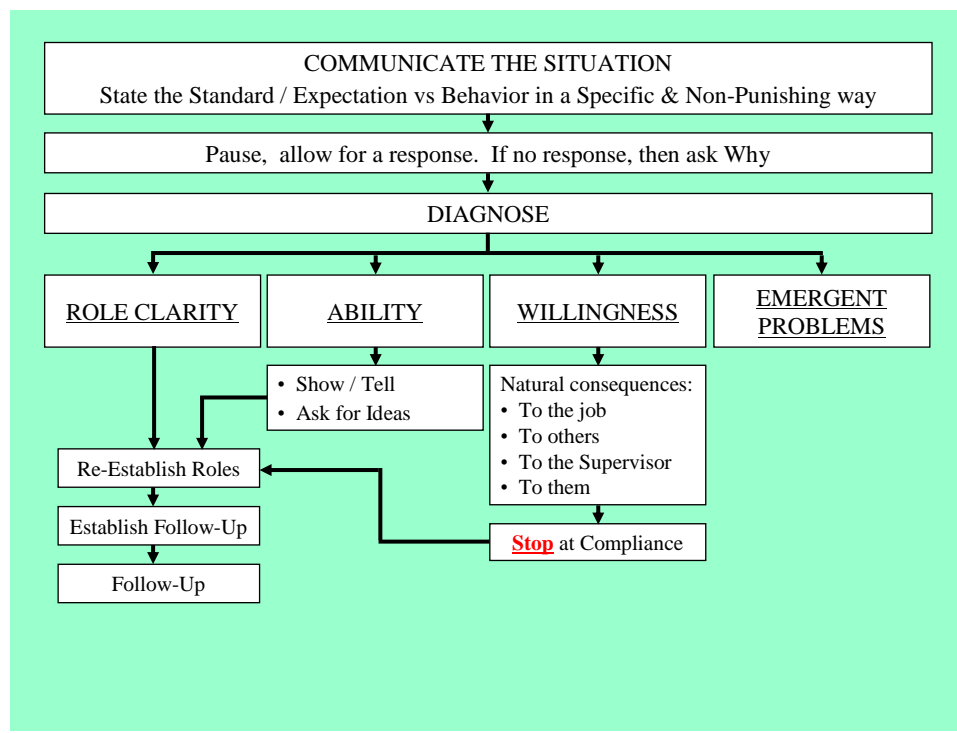

Situation Fifteen:

You are a watch stander for your company security room. The custom is that all oncoming reliefs show up 15 minutes early so that they can be apprised of any problems, and be ready to relieve the watch. It is midnight after a long day and your relief is not in sight. At 1215 A.M. your relief walks through the door.

Communicate the situation.

PAUSE and wait for a response.

Diagnose the type of performance problem and address it accordingly.

COMMUNICATE THE SITUATION
State the Standard / Expectation vs Behavior in a Specific & Non-Punishing way

Pause, allow for a response. If no response, then ask Why

DIAGNOSE

| ROLE CLARITY | ABILITY | WILLINGNESS | EMERGENT PROBLEMS |

ABILITY
• Show / Tell
• Ask for Ideas

WILLINGNESS — Natural consequences:
• To the job
• To others
• To the Supervisor
• To them

Re-Establish Roles

Establish Follow-Up

Follow-Up

Stop at Compliance

Situation Sixteen:

You are the owner of a major restaurant in town. You employ a night security watch whose responsibility is to make hourly checks of equipment and immediately report any discrepancies to you regardless of the time of night. It is now 5:00 A.M. and the oncoming chef has just called and told you that the freezer thermometer reads 40 degrees when it should be 15 degrees. The security watch never notified you of any equipment problems last night.

Communicate the situation.

PAUSE and wait for a response.

Diagnose the type of performance problem and address it accordingly.

COMMUNICATE THE SITUATION
State the Standard / Expectation vs Behavior in a Specific & Non-Punishing way

Pause, allow for a response. If no response, then ask Why

DIAGNOSE

ROLE CLARITY	ABILITY	WILLINGNESS	EMERGENT PROBLEMS

	• Show / Tell • Ask for Ideas	Natural consequences: • To the job • To others • To the Supervisor • To them	

Re-Establish Roles
Establish Follow-Up
Follow-Up

Stop at Compliance

Situation Seventeen:

You are conducting a safe boating class. You have told all those coming to assist that the uniform is Tropical Blue (TROPS).   One of the class assistants arrives in Operational Dress Uniform (ODU's).

Communicate the situation.

PAUSE and wait for a response.

Diagnose the type of performance problem and address it accordingly.
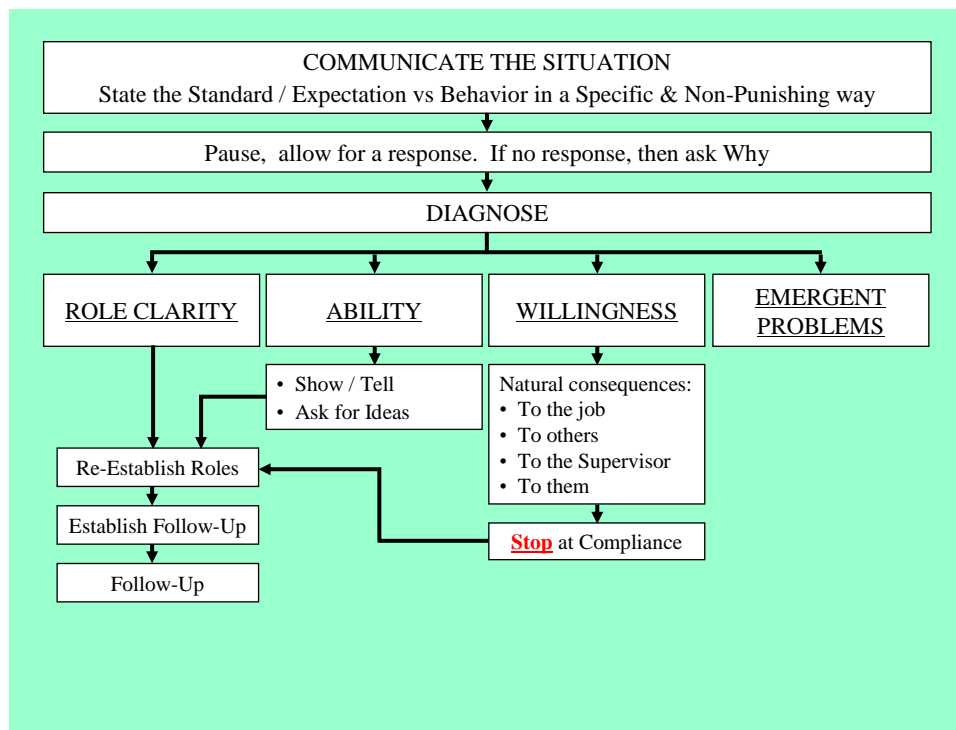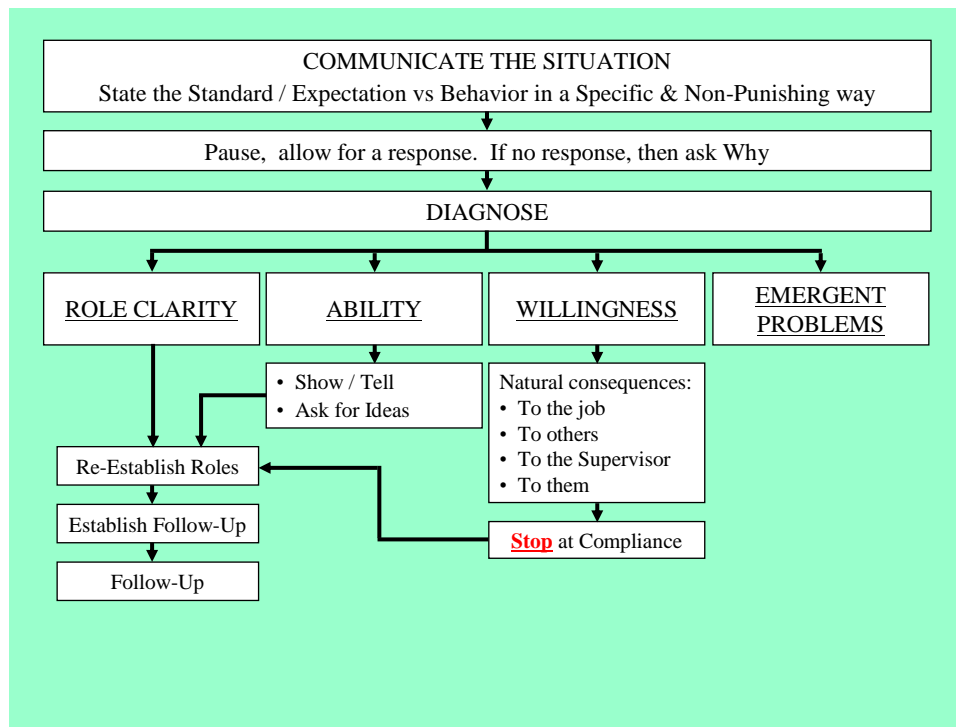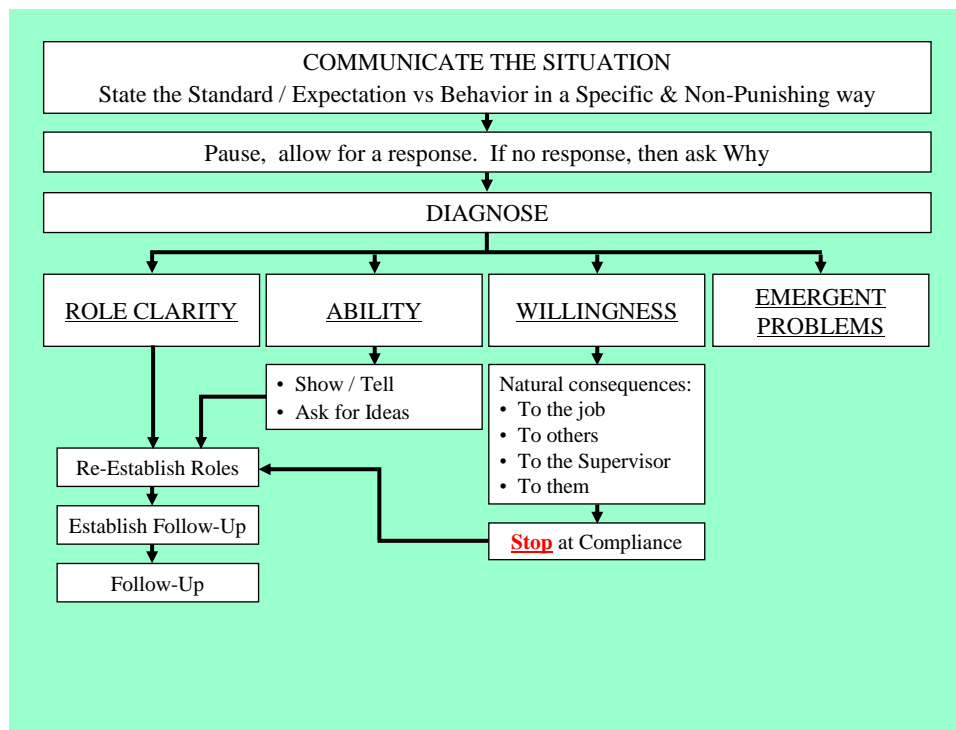

Situation Eighteen:

You are the Human Resources director of a local company. You have just hired a very competent and capable young female employee who is cute. You overhear some of the younger males betting each other on who will get the first date. Your company policy is to discourage inter-office romances as it often causes discord in the workplace.

Communicate the situation.

PAUSE and wait for a response.

Diagnose the type of performance problem and address it accordingly.
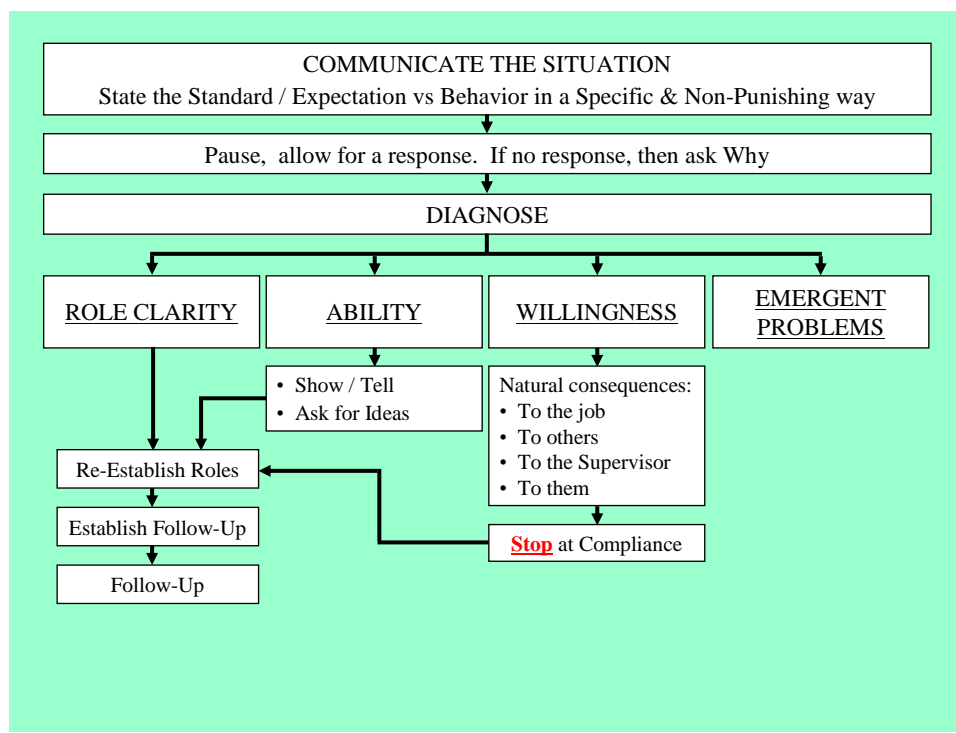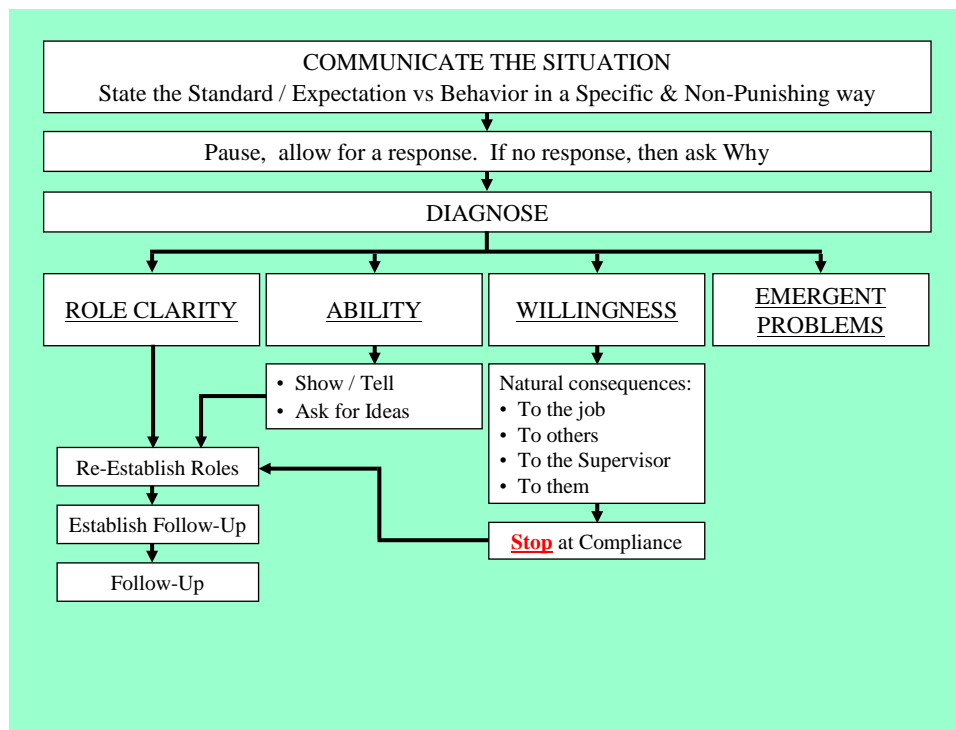

Situation Nineteen:

You run the IT shop at your company. Your policy is that all help tickets will be responded to within 2 days. You get a call from another office that a work ticket was submitted 4 days ago. Checking the assignment log, you see that it was assigned to one of your staff and no assistance has been noted on the form.

Communicate the situation.

PAUSE and wait for a response.

Diagnose the type of performance problem and address it accordingly.

Emergent Problems

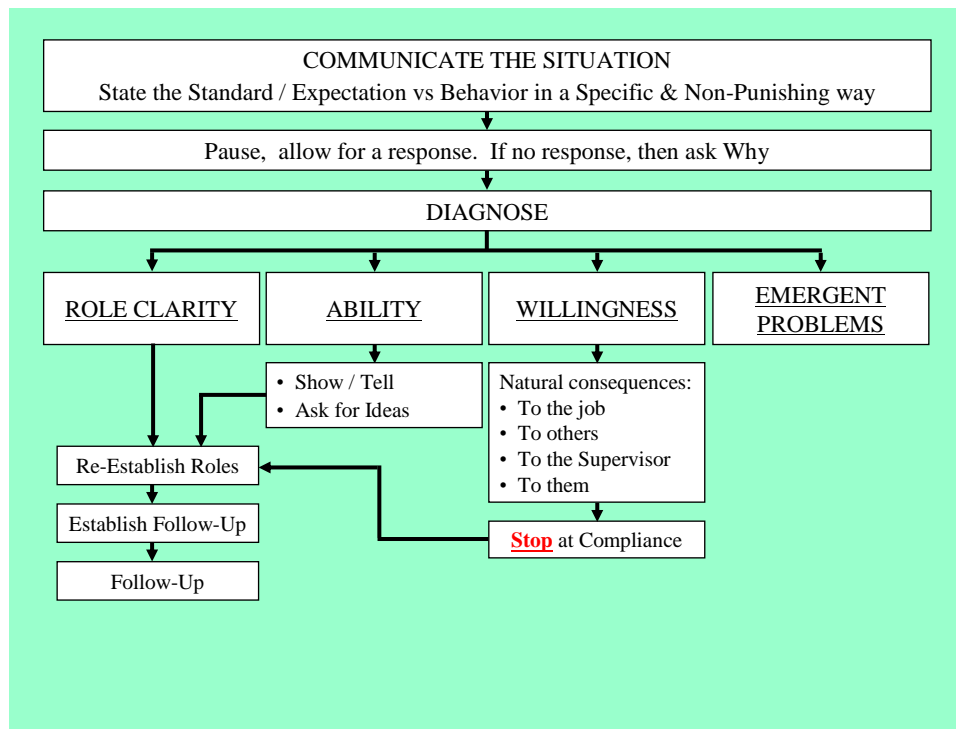| The 4 Questions	COMMUNICATE THE SITUATION Standard vs Behavior Specific & Non-Punishing

Pause	DIAGNOSE	Ask Why

EMERGENT PROBLEMS

Find out what it is
- Listen
- Paraphrase

Solve or Postpone
- Urgent?

Return to original issue if appropriate

ROLE CLARITY

Re-Establish Roles

ABILITY
- Show or tell how
- Ask for ideas

WILLINGNESS

Communicate natural consequences
- To the job
- To others
- To the Supervisor
- To them

Establish Roles

Establish Follow-Up

Follow-Up

STOP!
At compliance

Situation One:

You are the Flotilla Commander (FC). Your Flotilla Staff Officer – Member Training (FSO-MT) is working hard for you and doing a great job. You learn that he has also been working on a project for the Division Commander (DCDR), a project that you were not aware of nor did you know your FSO-MT was involved.   You have no problem with the FSO-MT doing this work, but your flotilla comes first and you feel you should have been asked first if he was available. You are going to the Division Meeting tonight and will see the Division Commander.

Communicate the situation.

PAUSE and wait for a response.

Diagnose the type of performance problem and address it accordingly.
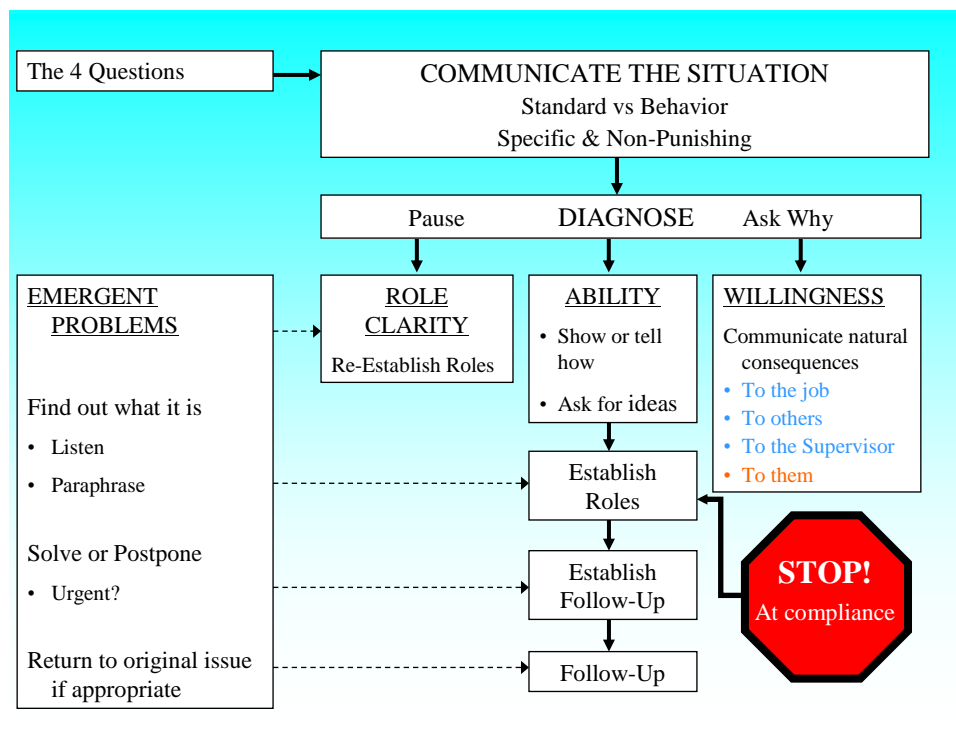
Situation Two:

You are Flotilla Commander (FC) and your Flotilla Staff Officer – Human Resources (FSO-HR) is the point person for not only bringing in new members but also getting them the necessary information, making sure they fill out the necessary forms, and insuring they get their ID cards. You have 2 new members come up to you and tell you that it has been 3 months and they have not seen their ID cards. They tell you they have contacted the FSO-HR and are assured time will bring the cards. You see the FSO-HR at a public education course that evening.
Communicate the situation.

PAUSE and wait for a response.

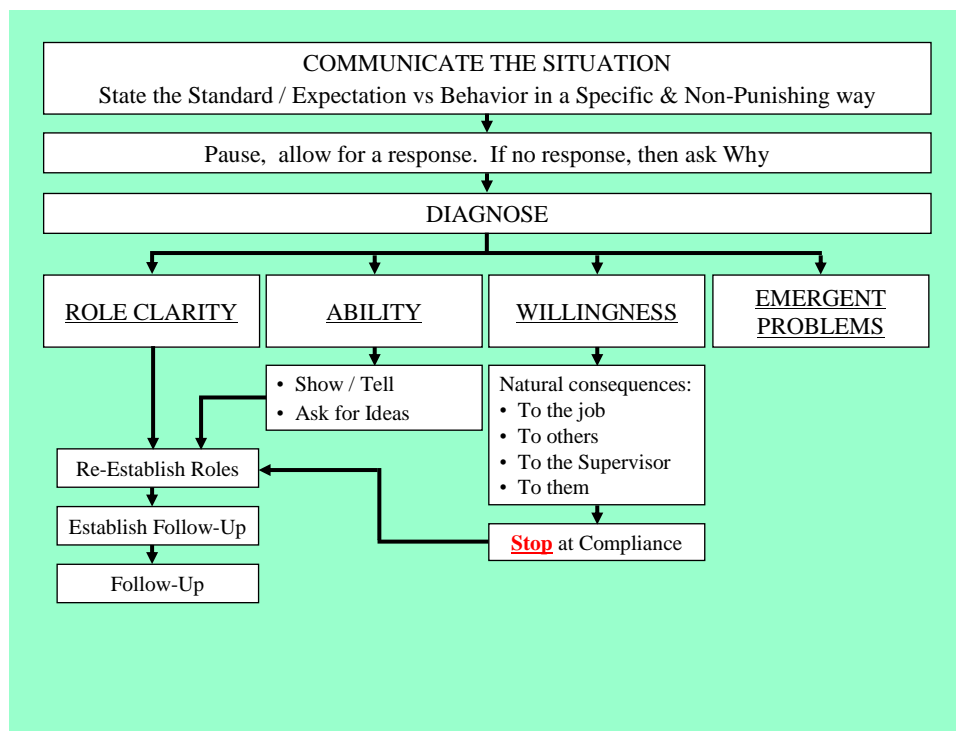Diagnose the type of performance problem and address it accordingly.

The 4 Questions	→	**COMMUNICATE THE SITUATION** Standard vs Behavior Specific & Non-Punishing

	Pause	**DIAGNOSE**	Ask Why

EMERGENT PROBLEMS	ROLE CLARITY Re-Establish Roles	ABILITY • Show or tell how • Ask for ideas	WILLINGNESS Communicate natural consequences • To the job • To others • To the Supervisor • To them
Find out what it is • Listen • Paraphrase		Establish Roles	
Solve or Postpone • Urgent?		Establish Follow-Up	**STOP!** At compliance
Return to original issue if appropriate		Follow-Up	

Situation Three:

You are the Flotilla Commander (FC). You were to meet the Flotilla Staff Officer – Publications (FSO-PB) for lunch as you were going to talk with her on improving the newsletter. She did not meet you at the restaurant. A happen to be passing by the area she lives in and you decide to stop by for the discussion. You are invited in but you do not think she is paying much attention to what you are suggesting.

Communicate the situation.

PAUSE and wait for a response.

Diagnose the type of performance problem and address it accordingly.

| The 4 Questions	→	**COMMUNICATE THE SITUATION** Standard vs Behavior Specific & Non-Punishing

Pause	DIAGNOSE	Ask Why

EMERGENT PROBLEMS	ROLE CLARITY Re-Establish Roles	ABILITY • Show or tell how • Ask for ideas	WILLINGNESS Communicate natural consequences • To the job • To others • To the Supervisor • To them

Find out what it is
• Listen
• Paraphrase

Establish Roles

Solve or Postpone
• Urgent?

Establish Follow-Up

STOP! At compliance

Return to original issue if appropriate

Follow-Up

Situation Four

Lately one of your Flotilla Staff Officers (FSO) has been missing meetings and appointments. You call to see what the problem is as many deadlines have been missed.

Communicate the situation.

PAUSE and wait for a response.

Diagnose the type of performance problem and address it accordingly.

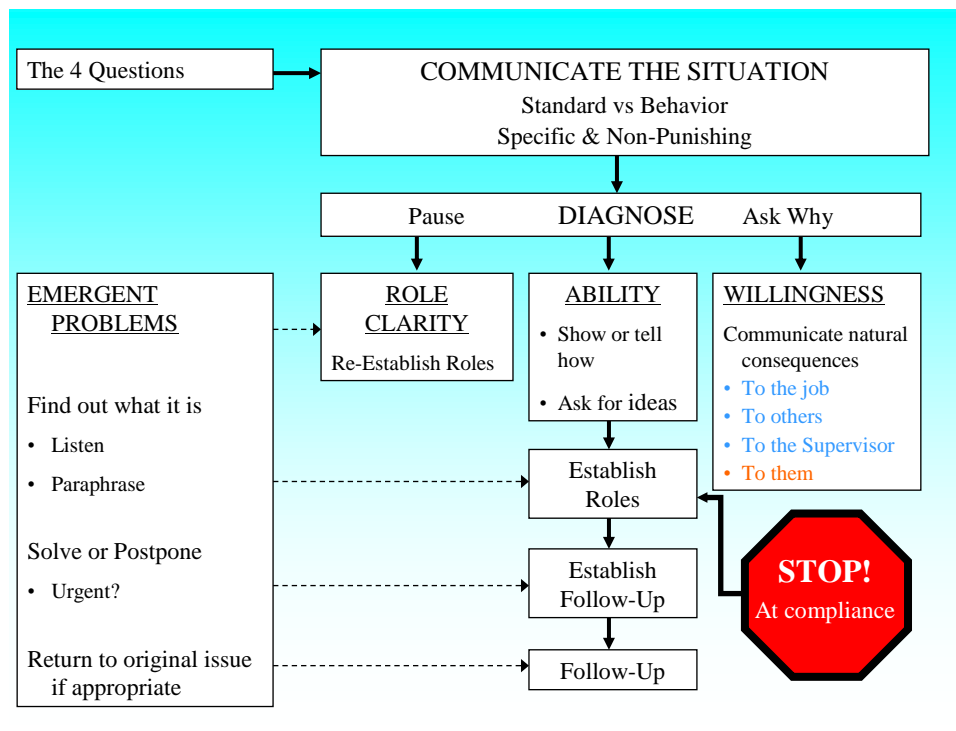| The 4 Questions	→	COMMUNICATE THE SITUATION

COMMUNICATE THE SITUATION
Standard vs Behavior
Specific & Non-Punishing

Pause   DIAGNOSE   Ask Why

EMERGENT PROBLEMS

Find out what it is
• Listen
• Paraphrase

Solve or Postpone
• Urgent?

Return to original issue if appropriate

ROLE CLARITY

Re-Establish Roles

ABILITY
• Show or tell how
• Ask for ideas

Establish Roles

Establish Follow-Up

Follow-Up

WILLINGNESS

Communicate natural consequences
• To the job
• To others
• To the Supervisor
• To them

STOP!
At compliance

Situation Five:

Your neighbor does not like to cut their grass. Your Homeowners Association has a policy that grass must be less than 2 inches tall and must be cut on a regular basis. Your neighbors' grass is very ragged and some weeds are over 5" high. He has not cut it in weeks.

Communicate the situation.

PAUSE and wait for a response.

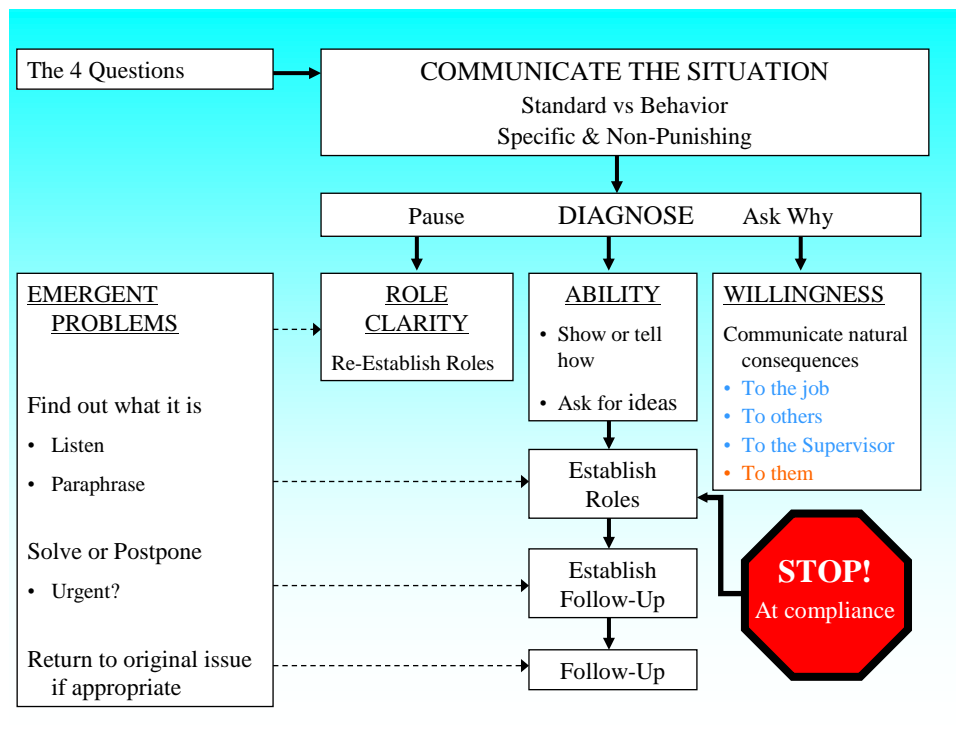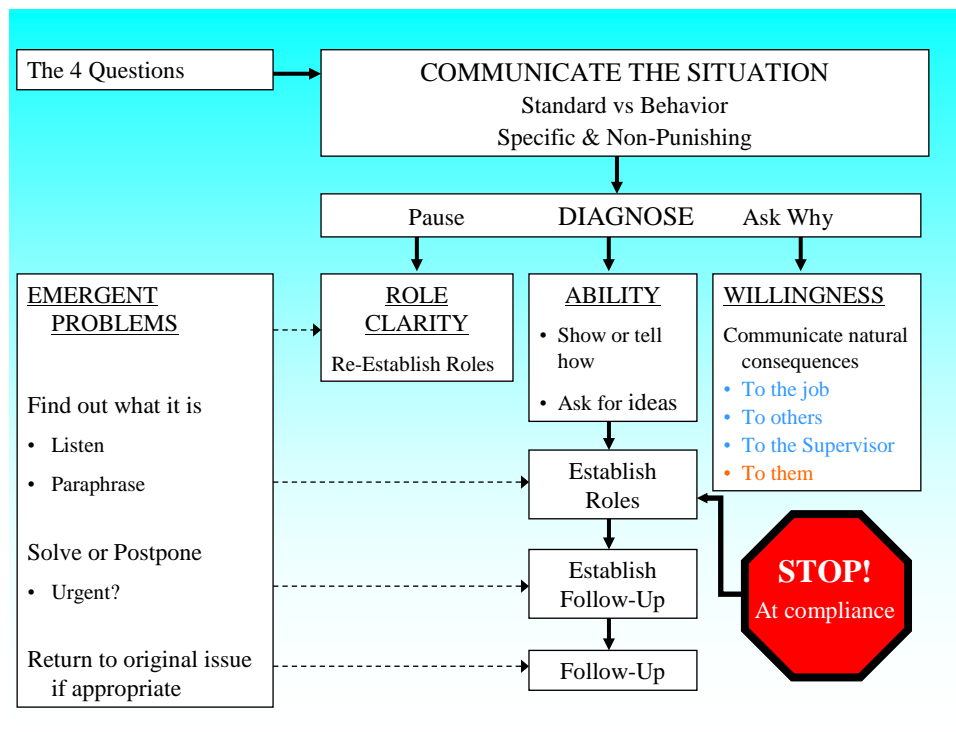Diagnose the type of performance problem and address it accordingly.

The 4 Questions		COMMUNICATE THE SITUATION

	Pause	DIAGNOSE	Ask Why

COMMUNICATE THE SITUATION
Standard vs Behavior
Specific & Non-Punishing

EMERGENT PROBLEMS

Find out what it is
• Listen
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Solve or Postpone
• Urgent?

Return to original issue if appropriate

ROLE CLARITY

Re-Establish Roles

ABILITY
• Show or tell how
• Ask for ideas

WILLINGNESS
Communicate natural consequences
• To the job
• To others
• To the Supervisor
• To them

Establish Roles

Establish Follow-Up

Follow-Up

STOP!
At compliance

Situation Six:

You are the warehouse supervisor at a trucking company. Regardless of what time you come to work, your assistant supervisor is always there. This morning you came to work at 5:30 to prepare for an upcoming inventory. As you passed your assistant's office, you discover their office has been converted into living quarters. This is a restricted area, which means no access after hours without permission from you. Your assistant supervisor just walked in after showering in the locker room.

Communicate the situation.

PAUSE and wait for a response.

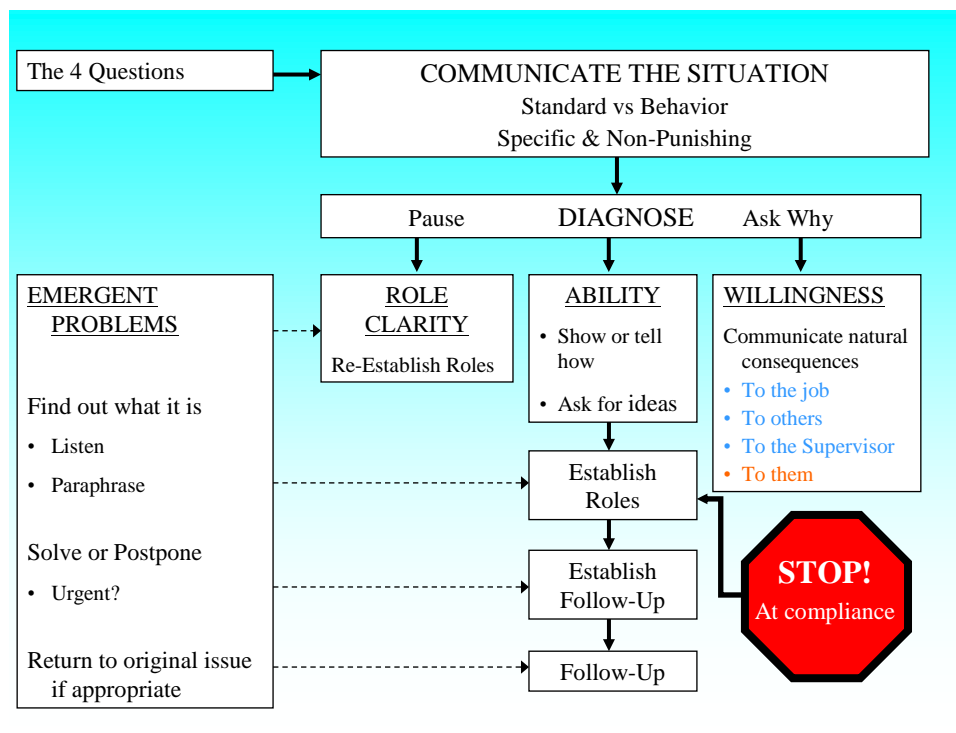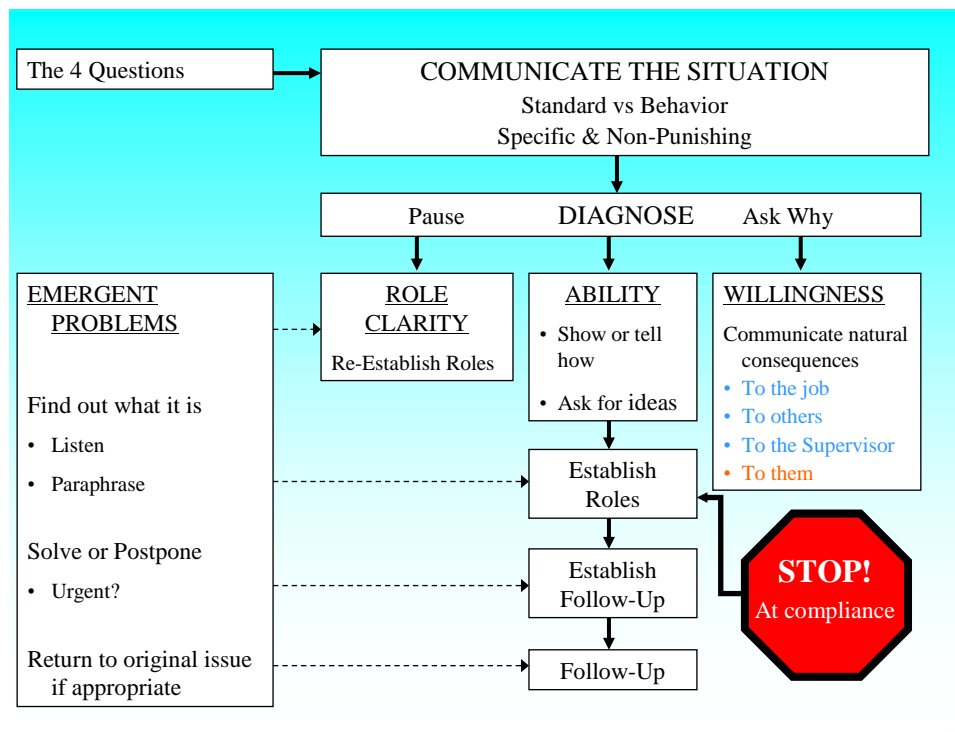Diagnose the type of performance problem and address it accordingly.

The 4 Questions	→	**COMMUNICATE THE SITUATION** Standard vs Behavior Specific & Non-Punishing

	Pause	**DIAGNOSE**	Ask Why

| **EMERGENT PROBLEMS** | **ROLE CLARITY**
Re-Establish Roles | **ABILITY**
• Show or tell how
• Ask for ideas | **WILLINGNESS**
Communicate natural consequences
• To the job
• To others
• To the Supervisor
• To them |

Find out what it is
• Listen
• Paraphrase

Solve or Postpone
• Urgent?

Return to original issue if appropriate

Establish Roles

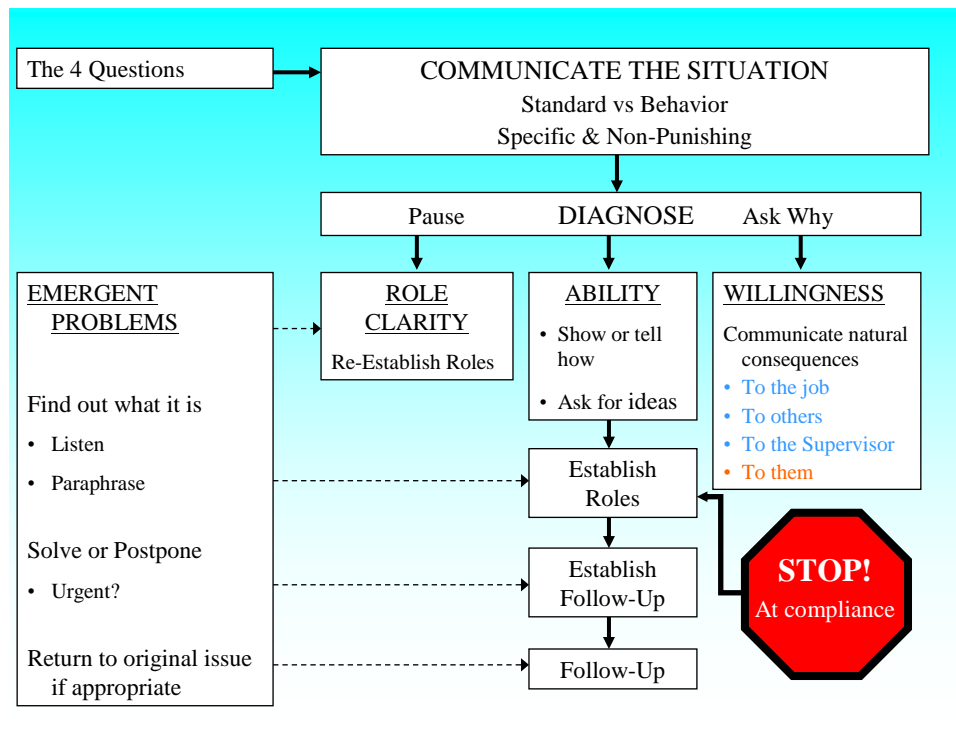Establish Follow-Up

Follow-Up

STOP!
At compliance

Situation Seven:

You are the Flotilla Commander (FC). There is a long-term project that the Flotilla Staff Officer – Public Affairs (FSO-PA) and Flotilla Staff Officer – Publications (FSO-PB) should be working on together. Yet, when you meet with them on the progress of the project, there may be one or the other but never both of them. At the next flotilla meeting you call the two of them together.

Communicate the situation.

PAUSE and wait for a response.

Diagnose the type of performance problem and address it accordingly.

The 4 Questions	COMMUNICATE THE SITUATION
	Standard vs Behavior
	Specific & Non-Punishing

Pause	DIAGNOSE	Ask Why

EMERGENT PROBLEMS	ROLE CLARITY	ABILITY	WILLINGNESS
	Re-Establish Roles	• Show or tell how	Communicate natural consequences
Find out what it is		• Ask for ideas	• To the job
• Listen			• To others
• Paraphrase			• To the Supervisor
		Establish Roles	• To them
Solve or Postpone		Establish Follow-Up	**STOP!** At compliance
• Urgent?			
Return to original issue if appropriate		Follow-Up	

Conflict Management in Organizations

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Abstract

Conflict is an unavoidable aspect of an organization. This paper will discuss the five different styles of conflict management, structure of conflict and the different characteristics of each manager. A conflict assessment has been added in Appendix A to help you decide what conflict style you have. Although conflicts are an inevitable aspect of team development, conflict can provide the basis for constructive and beneficial outcomes by identifying and managing conflict effectively.

Conflict Management

Regardless of where you work, conflict is inevitable because of the wide varieties of backgrounds, and cultures. "However, because it can be both a positive and negative force, management should not strive to eliminate all conflict, only that which has disruptive effects on the organization's efforts to achieve its goals" (Gibson, Ivancevich, Donnelly, and Konopaske, 2006). Conflict can come from many different sources but the most "common causes involve differences between two individuals' or groups' values, attitudes, needs, and expectations" (Conerly and Tripathi, 2004). "When conflict is rising, energy is directed away from tasks, and engaged instead in interpersonal issues. If you manage the conflict, people are freed to put their focus

111

back on the tasks" (Williams, 2005). To deal with conflict a manager must know a few key beliefs, which are listed below.

(Source: Ursiny, T, & Bolz, D (2007). *The Top Performer's Guide To Conflict*. Naperville: Sourcebooks, Inc.)

1. Conflict is inevitable
2. Avoiding conflict contributes to decreased productivity
3. Negative conflict is costly
4. Positive conflict can lead to top performance

Conflict is Inevitable

Conflict should never be eliminated. People are different. Each of us see things different and that diversity is one of the many pleasures of life. We all have different backgrounds, incomes, cultures, family, training, and personalities. No two people are the same and each person will react differently to any given situation. If you eliminate conflict then you will be eliminating people's differences. The best way to deal with conflict is to learn how to have effective and positive conflict. Top managers accept that conflict comes with the job, and should take the time to master resolving differences and working through the important issues.

Avoiding Conflict Contributes to decreased Productivity

When a group, team, or organization refuses to deal with issues on hand, you get a negative impact on individuals and the work community. A negative impact on individuals causes people to have less creativity, less confidence, hurt feelings, poor problem-solving, and feeling of betrayal. A negative impact on the work community causes more backstabbing, gossip, lack of communication, less cooperation, bad morale, and bad business decisions.

Negative conflict is costly

Negative conflict can have a damaging effect in today's world. The Top Performer's Guide to Conflict gives a few statistics about conflict:

(Source: Ursiny, T, & Bolz, D (2007). *The Top Performer's Guide To Conflict*. Naperville: Sourcebooks, Inc.)

- Lawsuits take an advantage of two and a half years to go to trail.
- Even if an employer wins a workplace dispute, the average legal cost is $50,000 (not including time and other resources).
- Employers lose wrongful termination cases in 64 percent of the cases, costing them more than $600,000 per dispute.
- There are more than eight thousand reported hate crimes per year.

- Stress from conflict may increase a person's risk for many health problems, including cardiovascular disease, psychological disorders, and workplace injuries.

"Thirty to forty-two percent of a manager's time is spent dealing with conflict. Unresolved conflict is a factor in at least 50% of resignations and the cost to replacing just one employee is usually more than their yearly salary" (Roberts, 2005).

Positive Conflict Can Lead to Top Performance

"Positively handled conflict can create passionate, creative, next-level business decisions and improve the bond between coworkers, departments, and even manager and subordinates" (Ursiny and Bolz, 2006). When managers deal with conflict positively it creates better choices, increased productivity, and strategies. They compare conflict with going to a movie that has no action in it at all. The movies itself will be boring and no one will come to see it. Therefore, there has to be some kind of conflict to keep things exciting and of course, there is always a solution at the end. A manager should look at a conflict in an organization as a challenge that needs to be resolved.

Conflict Management Styles of Male and Female

The International Journal of Management did a study on how men and women handle conflicts. "Such an examination is valuable for improving workplace relations and productivity. While males and females did not differ significantly in terms of using integrating, obliging, and compromising styles, females were more inclined to avoid conflicts and males tended to be more dominating" (Chan, Monroe, Ng, Tan et al, 2006).

The ability to resolve conflicts is an important skill for managers to learn. This journal also conducted a study about "certain types of conflict affect high and low group performance differently over time. For example, high performing groups experienced process conflict towards the end of their projects, whereas process conflict was high in the beginning and at the end of the project for low performing groups" (Chan, Monroe, Ng, Tan et all, 2006).

In many of the journals studies, they show gender roles play an important role in the choice of conflict resolutions styles. Masculine gender role tend to be more aggressive and would use a dominating or competing style. Feminine genders are found to be more cooperative and favor the avoiding style. Table 2 shows the means, standard deviations, and results of contrasts between males and females.

The results show the similar as well as, the differences in the female / male conflict management styles.

Table 2. Conflict Management Styles between Males and Females

Variables	Males (n=122)	Females (n=119)	t-statistics	Means Comparisons
Integrating	5.32 (0.78)	5.50 (0.81)	1.780	n.s.
Avoiding	4.27 (1.16)	4.65 (1.32)	2.415	M < F*
Dominating	4.29 (1.06)	3.81 (0.97)	-3.656	M > F **
Obliging	4.85 (0.70)	4.81 (0.82)	-0.466	n.s.
Compromising	5.08 (0.86)	5.25 (0.70)	1.636	n.s.

Notes: The values in parentheses are standard deviations of the means.

M = Males and F = Females.

* p<.05, ** p<.01 and n.s. = not significantly different.

Conflict Management Styles

Selecting a conflict management style that is right for you depends on how you would answer some questions from appendix A of this document. No style is wrong, and each situation could be dealt with in different ways. According to different journals, and books there are five different styles of conflict management as shown in Figure 1.
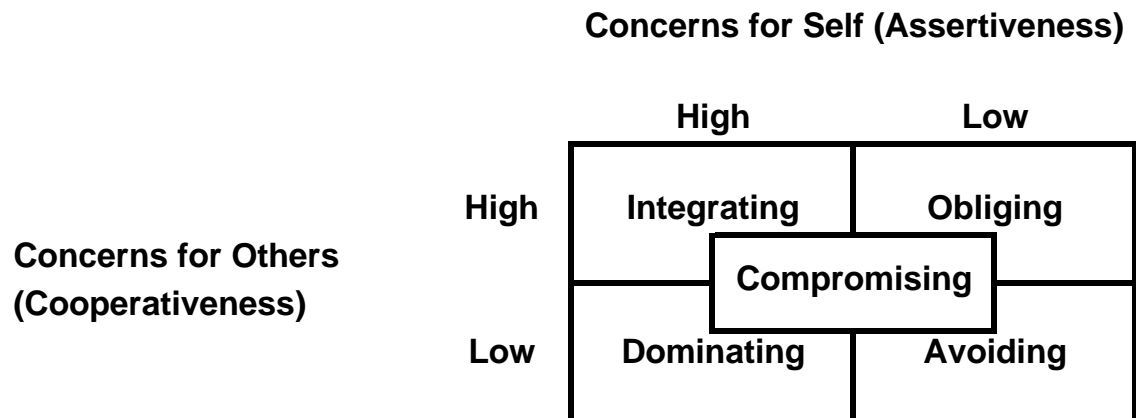

Figure 1: The Five Approaches of Conflict Management (Chan, Monroe, Ng,

Tan et al, 2006)

Integrating Conflict Style

Having an integrating style is considered as having high concern for self and others. It is also known as a problem solving style. "It involves collaboration between the parties, that is, openness, exchange of information, and examination of differences to reach a solution acceptable to both parties" (Rahim, 1992). Integrating focuses on

gathering and organizing information and it encourages creative thinking and welcomes different outlooks. An example of an integrating style would be where things are not going in the direction that you hoped and you did not have all the knowledge necessary to press forward and neither do the others. You would get everyone involved together and start pulling information together from each person, like a piece of a puzzle. Eventually you and your team will be collaborating on a resolution for your problem.

You have to take caution when using an integrating style because it is not effective when one person is not committed or a deadline is coming soon. Integration takes time and energy to plan. Overuse of this style can cause spending too much time on problems that do not matter, being taken advantage of, and being overloaded with work.

Obliging Conflict Style
Using an obliging style is "when individuals sacrifice their own needs and desires in order to satisfy those of other parties" (Hartwick, and Barki, 1999). Some characteristics of an obliging manager: will want to be accepted and liked by others, think conflict should be avoided in favor of harmony, set aside or compromise goals, keep their own ideas to themselves, and they believe people cannot deal with conflict without damaging relationships. This style is good to use when one is willing to give up something with the hope of getting some benefit from the other when needed. It is not appropriate to use this style when the issue involved in conflict is important to a person and they believe they are right or if the other person thinks they are right or unethical.

Overuse in this type of style results in ideas getting little attention, restricted influence, loss of contributions and disorder. They usually lack the desire to change and demonstrate anxiety over future uncertainties. Overuse of this style can also create behavior problems, for example, wanting to help and being over helpful then holding a grudge.

Dominating Conflict Style
Using a dominating style of conflict management is only appropriate "when the issues involved in a conflict are important to the party or an unfavorable decision by the other party may be harmful to this party" (Rahim, 1992). A supervisor would most like use this style of management only if a decision needs to be made quickly or the conflict involves routine matters. A supervisor will also use this style when dealing with an employee who is very strong minded or may not have the technical expertise to make a decision regarding the conflict themselves. It is not good practice to use

this style when conflicts are more complex and there is a lot of time to come up with a good solution. This style is also labeled as competing and is identified as a "win-lose orientation or with forcing behavior to win one's position" (Rahim, 1992).

Having a dominating or competing style is considered as "ignoring the needs and expectations of the other party. Dominating may mean standing up for one's rights and/or defending a position that the party believes to be correct" (Rahim, 1992). Some characteristics of a manager who uses this style are listed below.
    (Source: Conerly, Keith, & Tripathi, Arvind (2004). What is your Conflict Style? Understanding and Dealing with Your Conflict Style. The Journal For Quality & Participation. Summer 2004, 16-20)
- Keep on track with goals.
- Like to win.
- Assume conflicts are usually win/lose and winning gives them a sense of pride and achievement.

To develop this style you must develop your ability to argue and debate, use your rank or position, assert your opinions and feelings, and learn to state your position and stand your ground. Overuse of this style can lead to lack of feedback, reduced learning, and low empowerment. This usually causes you to be surrounded by *Yes-Men.* A *Yes-Man* will withhold needed information, cause them to talk behind a person's back (backstabbing), making facial expressing of disapproval, and cause distractions.

Compromising Conflict Style
Using a compromising style is "useful when the goals of the conflicting parties are mutually exclusive or when both parties (e.g. labor and management) are equally powerful and have reached an impasse in their negotiation process" (Rahim, 1992). This style should not be used with complex problems needing a problem-solving solution. In addition, this style should not be used when dealing with conflict of values. This style is moderately assertive and moderately cooperative; the goal is to find the middle ground. This style produces temporary solutions and is appropriate when time is a concern, and as a backup for the competing and collaborating styles when they are unsuccessful in resolving the situation.

In order to use this compromising style skills include the ability to communicate and keep the dialogue open, the ability to find an answer that is fair to both parties, the ability to give up part of what you want, and the ability to assign value to all aspects of the issue.

Managers who use the compromising style of conflict management have the following characteristics:

(Source: Conerly, Keith, & Tripathi, Arvind (2004). What is your Conflict Style? Understanding and Dealing with Your Conflict Style. The Journal For Quality & Participation. Summer 2004, 16-20)

- They are flexible and adaptive.
- They go for splitting the difference, exchanging concessions, or seeking middle ground.
- They seem like they are overly political or they can't make up their minds.

Avoiding Conflict Style

Avoiding conflict is considered as being "low in assertiveness and low in cooperativeness" (Eilerman, 2006). This type of person is both willing to give up personal goals and relationships. When using this style a person knows there, is a conflict, but decides to ignore it. This type of situation will put both sides at a lose / lose situation. "A person who consistently takes an avoiding approach to dealing with disagreements has likely experienced life events which reinforced the notion that conflict is bad" (Eilerman, 2006). A few characteristics of this type of person using the avoiding conflict style are listed below:

(Source: Conerly, Keith, & Tripathi, Arvind (2004). What is your Conflict Style? Understanding and Dealing with Your Conflict Style. The Journal For Quality & Participation. Summer 2004, 16-20)

- They are neither assertive nor cooperative.
- They stay away from issues where there is conflict.
- They believe it is difficult to resolve conflict.
- They find it easier to withdraw physically or psychologically from a conflict than to face it

The avoidance style has several different labels including withdrawing, evading, escaping, and apathy. This style does exactly as the name says. It does not deal with conflicts on hand. "Avoiding conflict neither effectively resolves it nor eliminates it" (Gibson, Ivancevich, Donnelly, and Konopaske, 2006).

Structure of Conflict

Structure of conflict refers to the differences between individuals and groups. There are three main types of structure conflict: Interests, understanding, and beliefs. Conflict can come from many different sources, such as tasks, values, and goals. The impact of conflict can have different impacts on organizations. Conflicts create friction between groups or individuals but most of the time can end up changing the situation or the behavior, either good or bad.

Conflict of Interest

"A conflict of interest is a discrepancy in preferred outcomes to self and other and is often manifest in a competition for tangible resources or rewards" (Sandole and van der Merwe, 1993). Druckman and Zechmeister (1973) defines conflict of interest as "when each party, sharing the same understanding of the situation, prefers a different and somewhat incompatible solution to a problem involving either a distribution of scarce resources between them or a decision to share the work of solving it" (as cited in Rahim, 1992, pg. 19). An example of a conflict of interest could be "I refuse to work overtime on Friday. However, your boss may say, you will stay late to get the order off to the client by the deadline" (Adkins, 2004). In this position there is going to be a winner and a loser. In this example, you want to spend time with your family and your boss wants to get the job done. There can be a win-win outcome once each person's interest is identified. Adkins (2004) suggests using a five-step solution to a conflict using interest-based negotiation:

1. Clarify positions.
2. Discover the other's interest and disclose own interests.
3. Invent options.
4. Evaluate Options.
5. Solve the problem by selecting best option.

Conflict of Understanding

"Disagreements between self and other over the best way to accomplish a shared goal is a conflict of understanding or of alternative cognitions" (Sandole et al, 1993). Unlike conflicts of interest, each party agrees on the same goal or same outcome. The challenge for organizations is how to build a corporate environment where conflicts and differences can be discussed in a way that brings understanding among the group not division.

Conflict of Beliefs

"This occurs when two social entities differ in their values or ideologies on certain issues" (Rahim, 1992). Conflicts of beliefs are also known as intractable conflicts. "Parties engaged in the intractable conflict perceive any loss suffered by the other side as their own gain, and conversely, any gains of the other side as their own loss. Each side tries to inflict as many losses as possible on the opponent and to prevent any gains" (Bar-Tal & Daniel, 1998).

Intrapersonal Conflict

Conflict can be classified as intrapersonal, interpersonal, intragroup, and intergroup. Interpersonal conflict is described as having difficulty making a decision because of

uncertainty or being pushed or pulled in opposite direction. A person deals with this type of conflict on a daily basis.

There are three types of intrapersonal conflicts: Approach-Approach, Approach-Avoidance, and Avoidance-Avoidance. According to Rahim (1993), Approach-Approach occurs when a person has to choose between two attractive alternatives. An example would be a manager who has to choose to promote one of his two best workers or a person who has been offered two positions; they have to decide which is more attractive to them. An Approach-Avoidance occurs when there are both positive and negative aspects. The last conflict is Avoidance-Avoidance; this is where both sides are negative. An example of this will be an employee has to take a pay cut or lose his job.

Interpersonal Conflict
An "interpersonal conflict refers to the manifestation of incompatibility, disagreement, or difference between two or more interacting individuals" (Rahim, 1993). Using a problem-solving or integrating style by members of the organizations will lead to greater satisfaction to resolving the problem. Management of interpersonal conflict involves changes in the attitudes, behavior, and organization structure. This is so the members of the organization can work together effectively to individual or joint goals.

Intragroup Conflict
Rahim (1993) defines intragroup conflict as the incompatibility, incongruence, or disagreement among the members of a group or its subgroups regarding goals, functions, or activities of the group. In order for the conflict to be considered intragroup most of the group has to be involved in the conflict. "Some have argued that intragroup conflict can lead to improvements in overall group performance, decision quality, strategic planning, financial performance, and organizational growth" (Gibson et al, 2006). Other researchers have found the intragroup conflict can have a negative influence on teams that contributes to lower levels of productivity. Managing a intragroup conflict requires effectively channeling the energies, expertise, and resources of the group toward a common group goal.

Team building can be used to manage intragroup conflict effectively. Some structural interventions may be necessary as well. For example, increase or reduce the size of the group, transfer or exchange group members, and bring new members into the group. You can redefine or structure tasks, alter the reward system and alter the rules and procedures.

Intergroup Conflict

Rahim (1993) states intergroup conflict refers to the collective incompatibility or disagreement between two or more divisions, departments, or subsystems in connection with tasks, resources, information, and so on. Studies have found that groups in competitive condition have increased quality and quantity of their output more then groups under cooperative conditions. Intergroup conflict can be associated with outcomes listed below:

- Job burnout
- Dissatisfaction
- Stress

Some of the most comment examples of intergroup conflict in an organization happen between line and staff, manufacturing and sales, production and maintenances, and headquarters and field staffs. To manage this type of conflict successfully you will need process interventions, such as problem solving, confrontation, and organizational mirroring.

There is no right or wrong way to handle conflict. Conflict is a normal and natural part of our workplace. It can be helpful in making necessary changes within the workplace. Although, unresolved conflict can result in feelings of distrust.

Appendix A: Conflict Styles Assessment and Scoring

The proverbs listed below can be thought of as descriptions for different strategies to resolve conflicts. Read each proverb carefully and then using the following scale, indicate how typical each proverb is of your actions in a conflict. (Conerly & Tripathi, 2004)

5 = Very typical of the way I act in conflict.
4 = Frequently typical of the way I act in a conflict.
3 = Sometimes typical of the way I act in a conflict.
2 = Seldom typical of the way I act in a conflict.
1 = Never typical of the way I act in a conflict.

	1. It is easier to refrain than to retreat from a quarrel.
	2. If you cannot make a person think as you do, make him or her do as you think.
	3. Soft words win hard hearts.
	4. You scratch my back; I'll scratch yours.
	5. Come now and let us reason together.
	6. When two quarrel, the person who keeps silent first is the most praiseworthy.
	7. Might overcomes right.
	8. Smooth words make smooth ways.
	9. Better half a loaf than no bread at all.
	10. Truth lies in knowledge, not in majority opinion.
	11. He who fights and runs away, lives to fight another day.

	12. He hath conquered well that hath made his enemies flee.
	13. Kill your enemies with kindness.
	14. A fair exchange brings no quarrel.
	15. No person has the final answer but every person has a piece to contribute.
	16. Stay away from people who disagree with you.
	17. Fields are won by those who believe in winning.
	18. Kind words are worth much and cost little.
	19. Tit for tat is fair play.
	20. Only the person who is willing to give up his or her monopoly on truth can ever profit from the truth that others hold.
	21. Avoid quarrelsome people, as they will only make your life miserable.
	22. A person who will not flee will make others flee.
	23. Soft words ensure harmony.
	24. One gift for another makes good friends.
	25. Bring your conflicts into the open and face them directly; only then will the best solution be discovered.
	26. The best way of handling conflicts is to avoid them.
	27. Put your foot down where you mean to stand.
	28. Gentleness will triumph over anger.
	29. Getting part of what you want is better than not getting anything at all.
	30. Frankness, honesty, and trust will move mountains.
	31. There is nothing so important you have to fight for it.
	32. There are two kinds of people in the world, the winners and the losers.
	33. When one hits you with a stone, hit him or her with a piece of cotton.
	34. When both give in halfway, a fair settlement is achieved.
	35. By digging and digging, the truth is discovered.

Transfer your ratings for each proverb to the appropriate cell in the table below.
Then add down the columns to obtain a total for each category.

Withdrawing	Forcing	Smoothing	Compromising	Confronting
1.	2.	3.	4.	5.
6.	7.	8.	9.	10.
11.	12.	13.	14.	15.
16.	17.	18.	19.	20.
21.	22.	23.	24.	25.
26.	27.	28.	29.	30.
31.	32.	33.	34.	35.
Total	Total	Total	Total	Total

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THE USE OF THE "ETHICAL TRIANGLE" IN MILITARY ETHICAL DECISION MAKING

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ABSTRACT
The United States Army's current doctrinal ethical decision making model is unsuited for current military operations and provides little basis for ethical challenges in military operations today. This paper describes the current doctrinal ethical decision making model and proposes a pragmatic model that integrates three approaches to ethics: principles based ethics, consequences based ethics, and virtues based ethics.

BACKGROUND

In May 1968, soldiers of Charlie Company, 11th Infantry Brigade of the 23rd (Americal) Infantry Division.entered the village of My Lai in Vietnam and within three hours over 500 civilians had been massacred. This horrible memory of the United States Army at war was again remembered in 2004 as the case of the Abu Ghraib prison in Iraq exposed atrocities that continue to be an embarrassment for the military. The war in Iraq has also had a number of high profile cases that relate to ethical behavior, such as the court-martial for six reservists who had "scrounged" vehicles to deliver supplies to troops in the field and the scene of a marine reacting to a perceived threat and subsequently killing an unarmed Iraqi prisoner in a mosque in Fallujah. In all of these cases, the public has had widely different opinions of how to treat the military involved in the incidents. For Lieutenant Calley and those involved in My Lai, many in the public viewed the actions of Charlie Company as understandable because of the nature of the war in 1968 – everyone seemed to be the enemy, and the "search and destroy" missions of that time were based upon intelligence that indicated the enemy was using hamlets such as My Lai for refuge. As a result, the punishment for all of those involved in My Lai was very light or nonexistent; Lieutenant Calley was the only one convicted but he only served three days in prison and was pardoned by President Nixon after serving three and a half years on "house arrest" (Appy 2004). For the recent cases in Iraq, the reaction has been mixed in the public, from widespread support for the marine in Fallujah and the reservists who "scrounged" vehicles, to disgust at the Abu Ghraib cases and calls for the courts-martial to go higher up the chain of command. Of course, these cases are still on-going, so the final results are still to be determined.

These highly publicized cases admittedly involve only a small portion of the military involved in combat, but they are also widely discussed not only in the press but also in the military. The reactions to these cases indicate a need for a closer look at the ethical decision making processes of the military.

THE ARMY'S CURRENT ETHICAL DECISION MAKING MODEL
The United States Army prides itself on being a "value–based" institution with the admonition in its doctrine to "do what's right." In the Army's leadership manual, it states that "your character helps you know what is right; more than that, it links that knowledge to action. Character gives you the courage to do what is right regardless of the circumstances or the consequences" (Department of the Army 1999, 1-6). The leadership manual continues with the list of "values" that define character for soldiers using the acronym LDRSHIP: loyalty, duty, respect, selfless service, honor, integrity, and personal courage. Although I agree that all soldiers should possess these traits, I prefer to think of these as virtues rather than values.

None of these virtues is more important than the others; all soldiers are expected to embody all of these traits as part of their character. Values, however, indicate a relative worth or importance – and I would find it hard to characterize one of the Army "values" as worth more than the others. All are virtues that are part of character.

The Army's leadership manual describes the process of how to "link knowledge to action" in a description of an Ethical Decision Making Model, or EDMM. This rather simplistic model includes the following four steps (Department of the Army 1999, 4-8):

- Define the problem
- Know the relevant rules
- Develop and evaluate courses of action
- Choose the course of action that best represents Army values.

The first step, defining the problem, is described as the "hardest step in solving any problem" (Department of the Army 1999, 4-9). How to define the problem is not described, other than defining the problem precisely and getting the details. In the section on problem solving in the manual there is some additional guidance for identifying the problem, including addressing the root cause of the problem, knowing that there may be more than one thing contributing to a problem, and identifying the end state – how you want things to look after a decision is made. There is, however, a caveat in another section of the manual about defining problems of character and ethics in terms of conflicts between Army values (Department of the Army 1999, 2-23):

Some people try to set different Army values against one another, saying that a problem is about loyalty versus honesty or duty versus respect. Leadership is more complicated than that; the world isn't always black and white. If it were, leadership would be easy and anybody could do it. However, in the vast majority of cases, Army values are perfectly compatible; in fact, they reinforce each other.

The first step in the Army's Ethical Decision Making Model, therefore, already has ambiguity for those in an ethical dilemma. An ethical dilemma, by its very nature, places the moral decision maker in a situation with competing virtues or values; in a true ethical dilemma, two or more of the possible solutions have merit and ethical support. If an actor is placed in a situation where there is only one ethical answer, it isn't a dilemma – it's a case of having the moral courage to do what is obvious.

The fact is that the values themselves can sometimes come into conflict with each other – a situation that is the basis of ethical dilemmas. Such dilemmas never involve a choice between "right" versus "wrong," but rather a choice between two apparent "rights." Hence dilemmas essentially consist of competing values that we consider important, but which we cannot simultaneously honor (Roetzel 2003).

To bring clarity to an ethical dilemma, it is useful to define the problem – the ethical dilemma – in terms of a "right versus right" conflict. There are four common "right versus right" dilemmas that can be used to define the problem – truth versus loyalty, individual versus community, short term versus long term, and justice versus mercy (Kidder 1995). Defining ethical dilemmas in these terms is difficult at first, but this process helps to define the problem and set up the testing of the problem against

ethical standards. To define a problem in terms of "right versus wrong" either defines a problem that isn't an ethical dilemma – or, worse yet, pre-defines the solution to the problem since one virtue or value is stated in a positive way while the other virtue or value is stated in a negative way.

Four Common "Right versus Right" Ethical Dilemmas

> - **Truth versus Loyalty**
> - **Individual versus Community**
> - **Short term versus Long term**
> - **Justice versus Mercy**

Figure 1. Common Ethical Dilemmas

Steps two through four in the Army's Ethical Decision Making Model also add ambiguity to the situation. "Knowing the rules" is an important step, but it should not precede identification of the possible courses of action that can be chosen in an ethical dilemma. Based upon a quick analysis of an ethical dilemma, there will normally be two obvious courses of action; to do something or to not do something. Keeping these two options in mind – while being open to a possible, unthought-of alternative "third choices (such as *"win-win"* possibilities or no decision at all), should help set the stage for testing the actions that appear to be obvious.

THREE ALTERNATIVE BASES FOR ETHICS
Once an actor has defined the problem in terms of "right versus right" and identified the obvious courses of action, these courses of action should be tested against three completely different criteria for ethical decision making. They are: principles or the rules-based approach; consequences or the utilitarian approach; and virtues. These are the three basic schools of thought for ethics, which are worthy of further study for clarification.

The Ethical Triangle: Which of the ethical philosophies are the most useful – principles or rule-based ethics, consequences or the utilitarian based ethics, or virtues-based ethics? Which one of the philosophies is the best fit for human behavior? All three appear to have some merit; all three can be used for decision-making as "distinct filters that reveal different aspects of a situation requiring an ethical choice" (Svara 1995, 38-39). To only consider one of the different theoretical bases runs the risk of being one-sided in analysis. Whether principles, consequences, or virtue provide the true reasons for ethical decision-making, all three of the theories and their lineage are useful for gaining insight into the complexity of ethical decision making.

Principles-based ethics: Principles, or rule-based ethics, has one primary philosopher that rises as the strongest voice – Immanuel Kant. Principle-based ethics is defined in many ways, but one general definition is that one should not act according to the consequences of an action, but instead according to agreed-upon

or settled values and principles (Svara 1995, 35-36). Kant ([1785] 1959, 17) states that "the moral worth of an action does not lie in the effect in which is expected from it or in any principle of action which has to borrow its motive from this expected effect." From this emphasis on moral worth – regardless of the consequences of actions – Kant derives one categorical imperative: "Act as if the maxim of your action was to become a universal law of nature." Morality is found in following rules that are absolute with no exceptions, come what may – and by following this imperative, society and individuals will be better off (Rachels 1999, 122). Man knows, in Kant's view, what is right and moral and merely has to choose to do what is right – just as he would have others do in the same situation.

Thomas Hobbes' social contract theory did not go as far as Kant in his philosophy of following rules without exception, but is generally accepted as a principles or rules-based approach. Hobbes' view was that people have a common knowledge of natural laws – of the principles that all should understand. His writings described the theory that there is a "natural law" in which man's nature is determined by the sum of all his experiences and abilities – yet as a result of these experiences there is a common understanding of what is right and wrong. Hobbes ([1651] 1958, 109) defines natural law, or a law of nature, as "a precept or general rule, found out by reason, by which a man is forbidden to do what is destructive of his life or takes away of preserving the same…" Because of this common understanding, written laws and agreements in society should be based upon a rational self-interest to benefit all for a peaceful society. Knowing these common laws, coupled with mutual trust in others, provides an incentive for all to cooperate in a consistent, principled manner.

When looking at ethical dilemmas through the "lens" of principles, or rule-based ethics, consideration must be made for the rules that exist – or should exist. The consequences of actions are not considered – but the principles related to the actions one makes in response to the ethical dilemma. Kant's categorical imperative, "Act as if the maxim of your action was to become a universal law of nature," should help to focus the decisions made using this approach. The key questions to ask when considering the principles or rules-based approach would be "what rules exist" and "what are my moral obligations?"

Consequence-based ethics: The second general basis for ethics is consequence-based ethics, or utilitarianism, which is closely aligned with the philosopher John Stuart Mill. Ethical decisions determined under this basis are made on the likely consequences or results of the actions. "Decisions are judged by their consequences depending on the results to be maximized – security, happiness, pleasure, dignity, and the like" (Frederickson 1997, 167-168) The utility of an action, or how that action produces happiness, is "the ultimate appeal on all ethical questions" that is "grounded on the permanent interests of man" according to Mill ([1859] 1978, 10).

Both Georg W.F. Hegel and David Hume are considered utilitarians. Hume is considered to be an ethical subjectivist, which holds that right and wrong are relative to the attitudes of each individual – morality is a matter of sentiment rather than fact (Rachels 1999, 39). Hegel ([1821] 1996, 113) emphasized the consequences of actions as a part of the actions themselves. He stated the principle "judge an act by its consequences, and make them the standard of what is right and good," which, according to Hegel ([1821] 1996, 127), provides the basis for law.

… by the theft of a bread a property is no doubt injured. Still, if the act was the means of prolonging life, it would be wrong to consider it as ordinary theft. If the man whose life is in danger were not allowed to preserve himself, he would be without rights; and since his life is refused him, his whole freedom is denied to him also… Hence only the need of the immediate present can justify a wrong act. Yet the act is justified, because the agent, abstaining from it, would commit the highest wrong, namely, the total negation of his realized freedom.

Friedrich Nietzsche may also be considered a utilitarian, but a flawed utilitarian – a hedonistic, selfish utilitarian. Nietzsche provides perhaps the most disturbing theory of ethics – not only because of its implications for society, but because of its apparent appeal to many. Nietzsche did not believe that there is a universal definition of a "good man, "but instead each man should be different with different traits (Rachels 1999, 185). Nietzsche (1956, 160) defines 'good' not in terms of a person's relationship with others, but rather in terms of the person's relationship to himself. He writes that ethical philosophers look for good in the wrong place: "the judgment 'good' does not originate with those to whom the good has been done. Rather it was the 'good' themselves, that is to say the noble, mighty, highly placed, and high-minded who decreed themselves and their actions to be good… "

When looking at ethical dilemmas through the "lens" of consequence-based ethics, or utilitarianism, consideration must be made for who wins and who loses – the consequences of actions are the prime considerations. John Stuart Mill should help to focus the decisions made using this approach: "Do what produces the greatest good for the greatest number." Key questions to ask when considering the consequence-based ethics or utilitarian ism would be "what gives the biggest bang for the buck" and "who wins and loses?"

Virtue-based ethics: Plato and Aristotle provided the first ethics theory – virtue, or in today's political language, "character matters." The focus in virtue ethics is not on "what one should do" but rather "what kind of person should one be?" Good character, or virtues, is central to virtue theory (Ellin 1995, 185). According to Plato (1941, 199), men must be given the right instruction on what is good: "… given the right instruction, it must grow to the full flower of excellence; but if a plant is sown and reared in the wrong soil, it will develop every contrary defect." Morality and virtue are skills learned from others – not theoretical knowledge, but knowledge put into practice (Ellin 1995, 10-12).

Aristotle emphasized virtue as desirable for society so that all may become good citizens and law-abiding people. This human goodness is not goodness of body, but of the soul. Aristotle describes virtues in two categories: intellectual and moral. For example, Wisdom and Understanding are considered intellectual virtues, while Liberality and Temperance are moral virtues. All of these virtues are gained through knowledge and application of the virtues – by exercising and actually doing virtuous acts (Aristotle 1976, 90).

Virtue-based ethics differs from principles based and consequence-based ethics in several basic ways. First, virtue based ethics is based upon learning from others rather than by the individual coming to the realization of what is ethical; this process is learned from others. Second, in applying principles-based and consequence-based ethics, there is a right answer and a wrong answer. For example, in Kantian principles-based ethics, your actions are guided by what is or should be the law for everyone; in consequence-based ethics, your actions are guided by what gives the greatest benefit to the greatest number.

In virtue-based ethics, it's not that easy – there is a middle ground known as the *golden mean.* Virtues, by their very nature, have to be applied in a judicious manner. For example, it is necessary to have confidence, but one can have an excess of confidence (rashness) or a defect of confidence (cowardice); the *golden mean* of confidence is courage. One can have an excess of shame (bashfulness), a defect of shame (shamelessness), and a *golden mean* of modesty (Thiroux 1998, 70). Learning how to have the *golden mean* of a particular attribute is a lifetime endeavor, learned from others and experience.
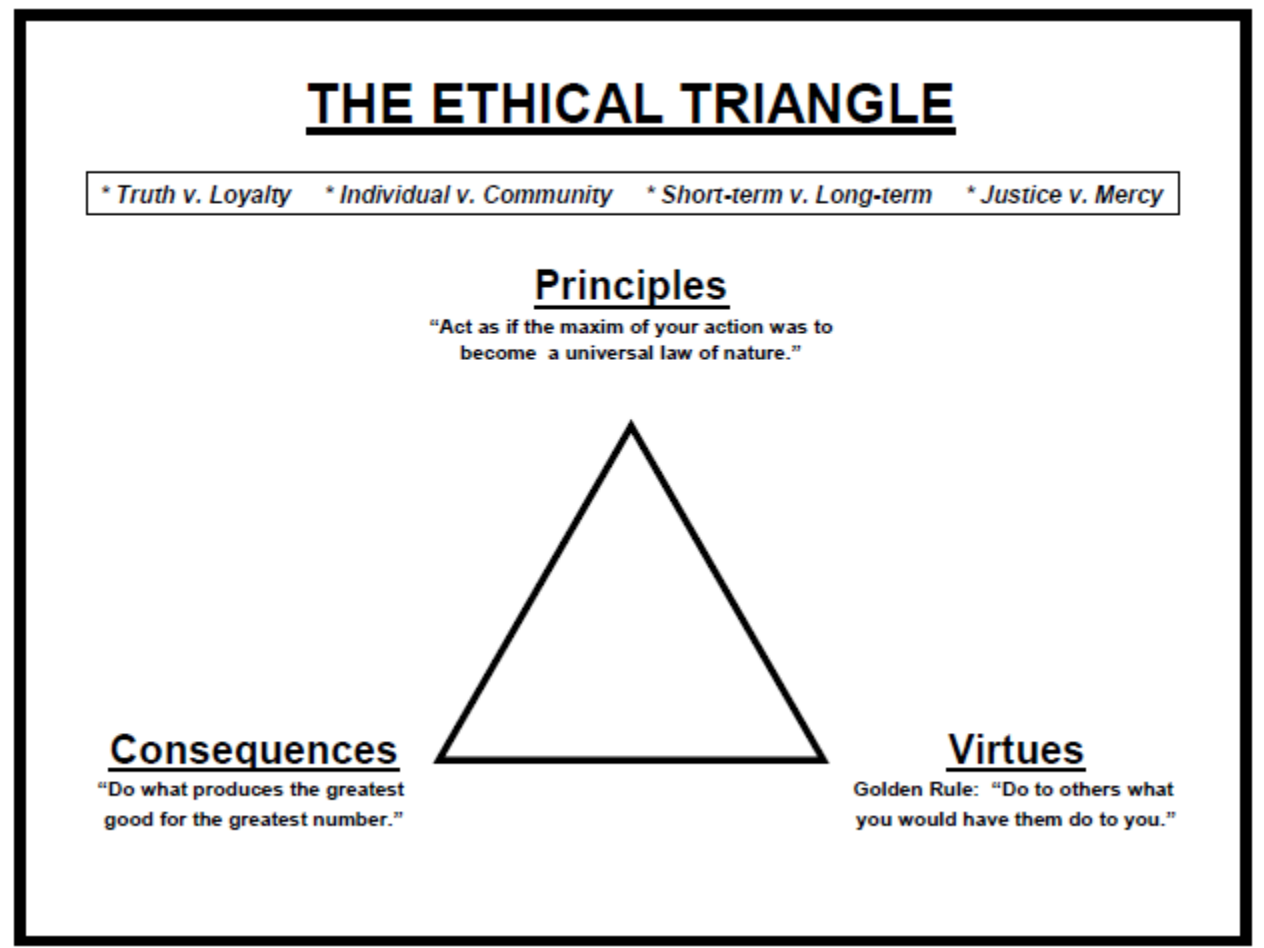
When looking at ethical dilemmas through the "lens" of virtue-based ethics, consideration must be made for what a virtuous person would do. The Golden Rule can be used to focus the decisions made using this approach: "Do to others what you would have them do to you" Key questions to ask when considering virtues-based ethics would be "what would my mom think?" or "what if my actions showed up on the front page of the newspaper?" For some, the question could be the popular question among some Christians of "what would Jesus do?"

AN ALTERNATIVE ETHICAL DECISION MAKING MODEL
An alternative model to the Army's ethical decision making model would include the following steps:

1. Define the problem (ethical dilemma) in terms of right vs. right;
2. Consider alternative courses of action;
3. Test the courses of action against the "ethical triangle":
    * Principles-based ethics
    * Consequences-based ethics
    * Virtue-based ethics
4. Consider additional alternative courses of action (such as "win-win" possibilities or no decision at all);

5. Choose the course of action that best represents Army values;
6. Implement the course of action

THE ETHICAL TRIANGLE

* Truth v. Loyalty   * Individual v. Community   * Short-term v. Long-term   * Justice v. Mercy

Principles
"Act as if the maxim of your action was to become a universal law of nature."

Consequences
"Do what produces the greatest good for the greatest number."

Virtues
Golden Rule: "Do to others what you would have them do to you."

Figure 2. The "Ethical Triangle" EDMM

The first step is to identify the problem, the ethical dilemma, in terms of right versus right. Again, this is necessary to provide clarity to the dilemma while ensuring that a predetermined decision is not made. The four dilemmas listed cover just about every ethical dilemma – and some ethical situations may include one or more of the dilemmas. Stating the problem in this format will help to test the actions that should be taken.

The second step, as mentioned earlier, is to determine the possible actions. There will probably be two obvious responses – to do or not do some action. Of course, this is not the dilemma – these courses of actions are responses to the dilemma. It is important during this step to realize and even hope for a possible alternative third response to the dilemma.

The <u>third step</u> is to examine the two alternative courses of action through the lens of the three ethical systems. The most methodical means to do that is to first look through principles-based ethics, then consequences-based ethics, and finally through virtues-based ethics. Generally, the principles will be relatively easy, while the consequences will not be as easy – particularly when you look at all of the potential second- and third-order effects of actions. Because virtues based ethics uses discretion to determine the "*golden mean*," it can serve as the integrating approach to ethics.

The <u>fourth step</u> is to step back and see if a "third" response, or an alternative course of action has presented itself (such as "win-win" possibilities or no decision at all). Going through the process may indicate that there is another answer rather than the two courses of action initially determined.
This will not always be true, but it's best to step back and see if there is another alternative.

The <u>fifth step</u> is that a choice has to be made. That choice should be made based upon an analysis using all three of the ethical systems – but, in the end, the choice is also made in the context of the organizational climate and culture, as well as the professional values of the organization.

The <u>final step</u> is implementation. This is where the rubber meets the road; by this time, the choice should be well thought out. The judgments that military leaders at all ranks make on a daily basis – especially in combat – imply a necessary level of discretion in determining the "right thing to do" in ethical decision making (Wilson 1887).

Military leaders are more than implementers of policy, but are also charged with "support for the realization of democratic principles" and commitment to obeying the law (Svara 1999). This is particularly true when decisions need to be made quickly and involve lives – and when there is no "top cover" guaranteed for the decisions made. Due to the nature of warfare today, the high level of discretion for ethical choices will be made by leaders at all levels (officers and non-commissioned officers) of military leadership. Putting ethical decisions into action requires moral character.

Heinz and the Druggist: Let me provide an example to work through the ethical decision making model. This scenario is a common scenario that is used in many tests for moral development (Kohlberg 1963, 19):

A woman was near death from a unique kind of cancer. There is a drug that might save her. The drug costs $4,000 per dosage. The sick woman's husband, Heinz, went to everyone he knew to borrow the money and tried every legal means, but he could only get together about $2,000. He asked the doctor scientist who discovered the drug for a discount or let him pay later. But the doctor scientist refused. Should Heinz break into the laboratory to steal the drug for his wife?

The <u>first step</u> in the "Ethical Triangle EDMM " is to identify the problem , the ethical dilemma, in terms of right versus right. One possible answer would be the issue of individual versus community. Heinz has an obligation to do what he can for his wife (individual), but he also has an obligation to uphold community laws. Another possible answer would be long term versus short term. Heinz wants to save his wife as a short term immediate answer, but he should also be concerned that the price of the drug doesn't go up (because of theft) so that others will be saved in the long term.

For the <u>second step</u>, Heinz has tried a number of possible courses of action, such as trying to borrow the money and asking for discounts. He has only two obvious answers at this point – break into the laboratory or not break into the laboratory and watch his wife die. At this point, he does not see any other alternatives.

The <u>third step</u> is to test his courses of action against the different "lens" of the ethical triangle. He follows these in order: principles-based ethics, consequences-based ethics, and virtues-based ethics. The principles-based answer is relatively easy. The law says that he should not break in; and even if the law didn't say that, he would have a moral obligation to respect the property of the scientist. He would expect others to respect his right to property as well. He has an obligation to do what he can for his wife, but he considers the fact that as a moral actor, he isn't the one killing his wife, nor is it the druggist – it's the cancer. If he broke into the laboratory, he would be the actor. From a principles-based response, he concludes the answer is to not break into the laboratory.

The consequences-based response is much more difficult. Heinz has a lot of unknowns in this area. First of all, he doesn't know if the drug will cure his wife; he only knows that it "might" save her. He also doesn't know if he'll be caught or not; if he is caught, he doesn't know if the jury would give him mercy because of his motivation, or if they
would "throw the book" at him. After he thinks about it a bit, he realizes that even if he's not caught, he would be the prime suspect, especially if his wife is cured "miraculously." The police would know that he was the one who stole the drug… He doesn't know if the price of the drug would go up for others with similar cancers, nor does he know how many lives that would actually mean. The more Heinz thinks about it, the greater the number of potential consequences he has to consider. Heinz loves his wife dearly, though, so he concludes that her life is worth saving in spite of the consequences.

Finally, Heinz looks at the virtues based approach. Being a regular church-goer, he asks himself the question "what would Jesus do?" Heinz rejects that quickly – Jesus might possibly heal his wife on the spot and wouldn't bother with a drug, he muses to himself. He also realizes that in this case he cannot answer this question firmly without lots of speculation. What would his father do in the same situation? He respected his father, and his father always seemed to do the right thing. It would be

tough telling his father that he broke into a laboratory, but perhaps his father would understand. If Heinz was caught, how would he feel if his picture was on the front page of the paper? What would other people he respects do in these circumstances?

Heinz doesn't have a magic answer that comes to him – but regardless of the answer he comes up with, he has thought it through. He understands the rules, has weighed the consequences, and has considered what a virtuous person would do in these circumstances.

Major Smith and the Car Bomb: Let me provide another example to work through the ethical decision making model. This scenario is a fictional example but one that resonates closely to the reality for military leaders because of the context of the time dimension in a combat situation and the potential consequences of the ethical choice to be chosen:

You are Major Smith, the new Operations Officer for the 1st Infantry Brigade, just having joined the unit in the last week. Things have not been going well for the Brigade in the last month, with a number of soldiers having been killed – including your predecessor, a good friend – by Improvised Explosive Devices (IEDs) set by local insurgents. The Brigade is deployed throughout a major city, patrolling the streets. As the senior man on duty, you get a call from one of the company commanders, who reports he just caught an insurgent leader; the company commander says the insurgent leader is bragging that a car bomb has been set to go off in the next 30 minutes and said "there's nothing you can do about it." The company commander says he is prepared to do some 'serious persuasion' to find out where the bomb is. "All of the interrogators are gone, and I know the new directives say they have to do all interrogations by the book – but time is running out. I know how to make a man squeal, so I can get the information. These attacks have to come to an end. Request guidance, sir." What should Major Smith do?

Major Smith has as a truth-versus-loyalty dilemma. The truth is that the new directives are very specific about the conduct of interrogations, and he has an obligation to follow those rules – rules that were established for good reasons. But he also has an obligation of loyalty to the soldiers in his command who are at risk right now, as well as the civilians in the city who are also at risk. If he gets the information about the location of the bomb in the next ten minutes, he can probably avert a disaster; if he waits to do things the right way, more people will die. He can either tell the company commander to stop or he can tell the company commander to do what it takes. From a principles-based approach, the answer is easy. The rules state that only interrogators can do the interrogation, and it's obvious that if the company commander does an interrogation he's not going to use legal means.

From a consequences-based approach, it is complicated. The best thing that could happen if the interrogation is authorized is that one insurgent gets hurt and a lot of lives are saved; but, that's only if the information is correct and the timing is right to

get everyone out of the area of the bomb. Careers could be in jeopardy based on the interrogation and the conscious decision to violate the rules; Major Smith has an aversion to the term "careerism" but he would still like to see the next promotion – and he certainly doesn't want to be testifying before Congress in the near future. A report of torture of the insurgent could hit the press within the hour and only play in the hands of the insurgents who want to embarrass the United States military. From a pure consequences-based approach, he feels that he should authorize the interrogation; the math says one tortured insurgent versus the lives of many, although he realizes that it a short-term approach to the problem. From a virtues-based approach, he's heard commanders and senior officers in the past take both approaches – the approach always upholding the "rule of law" and honor, while others have taken the road of "soldiers first, mission always." The conflict goes even further: his dad would probably understand if they did what it took, but his mother would be horrified at the prospect of her son taking actions tantamount to authorizing torture. Either way, at least some of the results of his actions <u>right now</u> will probably be in the paper tomorrow. What headline will it be?

CONCLUSION
Following the "ethical triangle" ethical decision making model is not an automatic process; it requires understanding and practice before it is mastered. Nonetheless, it is designed to provide a methodology for coming to an answer to an ethical dilemma that is well-thought out and supportable. The "ethical triangle" ethical decision making model does provide a better model than the simplistic Army model that merely states that the decision should be made based on the course of action that "best represents Army values." Applying the model to a variety of ethical dilemmas and testing the model against those dilemmas (such as My Lai and Abu Ghraib) helps to master the necessary "ethical fitness" for application in the real world.

Every time you make a serious moral judgment, you become that judgment; every time you issue a command, you not only tell your subordinates what to do but what to be. That is why, in the horrible circumstances in which you or your soldiers might find yourselves in the months ahead in a world seemingly gone morally mad, I trust in you because of the moral compass which is yours from your education, your experience, your expertise. You do on the basis of your information; you are on the basis of your formation. Ethics, in the final analysis, is caught, not taught (Toner 2002, 334).

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Developing the Volunteer Motivation Inventory to Assess the Underlying Motivational Drives of Volunteers in Western Australia

A Research Project funded by Lotterywest Social Research
Grant
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MTD-MAKING THE DIFFERENCE

Executive Summary

The motivation of people to volunteer has long fascinated those researching and working alongside volunteers. Understanding the underlying motivational drives of those who volunteer has been a recurring theme preoccupying much of the literature on volunteering.

What actually motivates a person to volunteer is a complex and vexing question, yet understanding these motivations can be of great assistance to organizations in attracting, placing and retaining volunteers.

First, organizations can use information on motivations to attract potential volunteers by tailoring recruitment messages to closely match their motivational needs. Second, in assessing the motivational needs of new volunteers, organizations can ensure effective placement of volunteers into activities that meet their needs. Third, by understanding their volunteers' motivations, organizations can seek to maintain volunteer satisfaction by ensuring these motivations are fulfilled.

This research project aimed to develop a self-report inventory of volunteer motivations, which is intended to be administered to individual volunteers, to determine the key factors that motivated the volunteer to engage in their volunteering activity.

An initial Volunteer Motivation Inventory (VMI) was developed in a previous study by McEwin and Jacobsen-D'Arcy (2002). Then, in this current research, the VMI was administered to various samples of volunteers in many organizations in Western Australia. This research consisted of *three* studies and *five* stages. At each stage, the VMI was revised with the ultimate goal of maximizing its capacity to robustly assess volunteer motivations. The VMI, in its various forms, was administered to a total of 2444 volunteers from 15 different organizations, making the present study the one of the largest studies of volunteer motivations to be conducted worldwide. A summary of the research stages is presented below:

Stage One - In Stage One of the research, the original VMI designed by McEwin and Jacobsen-D'Arcy (2002) that consisted of 40 items was used. This original VMI was distributed to volunteers in three organizations and completed by a total of 101 volunteers.

Stage Two - In Stage Two, a revised VMI based on analysis of the responses from Stage One was used. This VMI still consisted of 40 items (but with some of the statements re-worked) and was distributed to volunteers in one organization and completed by a total of 152 volunteers.

Stage Three – During the distribution of the VMI and in discussions with the managers of volunteers, three further motivations not previously included in the VMI and suggested by the managers of volunteers were added to the VMI used in Stage Two. This VMI now consisted of 43 items and was distributed to volunteers in two organizations and completed by a total of 192 volunteers.

Stage Four – A revised VMI based on analysis of the responses from Stages Two and Three was developed. This VMI now consisted of 41 items and was distributed to volunteers in 12 organizations and completed by a total of 1221 volunteers.

Stage Five – The revised VMI from Stage Four was then combined with an adapted version of another measurement tool by Clary, Snyder and Ridge (1992) entitled the Volunteer Functions Inventory (VFI). The VMI now consisted of a total of 70 items and was distributed to volunteers in three organizations and completed by a total of 778 volunteers.

The final VMI that was produced from this research consisted of 44 short statements, to which volunteers respond using a 5-point 'Strongly Disagree' to 'Strongly Agree' Likert scale. This final inventory identifies ten key motivational categories. Six of these categories were identified previously by Clary, Snyder, and Ridge (1992), and the remaining four categories were not previously investigated. These factors and explanations are listed below:

1. *Values* whereby the individual volunteers in order to express or act on firmly held beliefs of the importance for one to help others (Clary, Snyder & Ridge, 1992).

2. *Reciprocity* whereby the individual volunteers in the belief that 'what goes around comes around'. In the process of helping others and 'doing good' their volunteering work will also bring about good things for the volunteer themselves.

3. *Recognition* whereby the individual is motivated to volunteer by being recognized for their skills and contribution.

4. *Understanding* whereby the individual volunteers to learn more about the world through their volunteering experience or exercise skills that are often unused (Clary, Snyder & Ridge, 1992).

5. *Self-Esteem* whereby the individual volunteers to increase their own feelings of self-worth and self-esteem.

6. *Reactivity* whereby the individual volunteers out of a need to 'heal' and address their own past or current issues.

7. *Social* whereby the individual volunteers and seeks to conform to normative influences of significant others (e.g. friends or family) (Clary, Snyder & Ridge, 1992).

8. *Protective* whereby the individual volunteers as a means to reduce negative feelings about themselves, e.g. guilt or to address personal problems (Clary, Snyder & Ridge, 1992).

9. *Social Interaction* whereby the individual volunteers to build social networks and enjoys the social aspects of interacting with others.

10. *Career Development* whereby the individual volunteers with the prospect of making connections with people and gaining experience and skills in the field that may eventually be beneficial in assisting them to find employment.

When each of these 10 scales are scored, they provide a rank order for the most salient motivations for the individual who completed the VMI and an overall profile of the motivations an individual has for volunteering.

This research, through the continued development of the VMI, provided valuable information about the actual motivations and their importance to volunteers. *Values*, based on deeply held beliefs of the importance of helping others, was found to be the most important motivation. This was followed by *Reciprocity* - the belief that 'what goes around comes around'. By helping others and 'doing good' you too will be helped. The third most important motivation to volunteer identified in this research was that of *Recognition*. Receiving recognition and being recognized for their skills and contribution was important to volunteers. Career Development, Social and Protective factors were generally regarded as being less important.

Also within this research, a small-scale study considered the reasons why people do *not* volunteer. This smaller study involved 213 non-volunteers. The results identified that in order to convert non-volunteers into potential volunteers there was a need to demonstrate the meaningfulness of the volunteering tasks they would be undertaking and address their feelings of being time-poor or being too busy.

The final product of this research project was an improved inventory of volunteer motivations. Although this inventory could potentially assist in attracting, placing and retaining volunteers within an organization, it is important to acknowledge that future investigations regarding the predictive validity and universal application of the VMI need to be conducted before it is able to be widely used or ever offered as a commercially viable product. Its limitations notwithstanding, the VMI has provided a valuable contribution to an increased understanding of the complex motivational drives of volunteers.

Volunteer Motivation Inventory

Instructions

This section of the survey contains a list of statements that ask about your experiences as a volunteer. Please circle the appropriate number you actually believe is closest to your response to each statement using the scale below, with 1 being 'strongly disagree' through to 5 being 'strongly agree'. There are no right or wrong answers, but please fill in only one response for each statement and please respond to all of the statements. If

you need to change an answer, make an "X" through the error and then circle your true response.

1	2	3	4	5				
Strongly Disagree	**Disagree**	**Undecided**	**Agree**	**Strongly Agree**				
1	I volunteer because I am concerned about those less fortunate than myself.	1	2	3	4	5		
2	Being appreciated by my volunteer agency is important to me.	1	2	3	4	5		
3	I volunteer because I look forward to the social events that volunteering affords me.	1	2	3	4	5		
4	I volunteer because I believe that you receive what you put out in the world.	1	2	3	4	5		
5	I like to help people, because I have been in difficult positions myself.	1	2	3	4	5		
6	I volunteer because I feel that volunteering is a feel-good experience.	1	2	3	4	5		
7	I volunteer because my friends volunteer.	1	2	3	4	5		
8	I volunteer because I feel that I make important work connections through volunteering.	1	2	3	4	5		
9	I volunteer because I can learn more about the cause for which I am working.	1	2	3	4	5		
10	I volunteer because doing volunteer work relieves me of some of the guilt for being more fortunate than others.	1	2	3	4	5		
11	I volunteer because I am genuinely concerned about the particular group I am serving.	1	2	3	4	5		
12	Being respected by staff and volunteers at the agency is not important to me.	1	2	3	4	5		
13	The social opportunities provided by the agency are important to me.	1	2	3	4	5		
14	Volunteering gives me a chance to try to ensure people do not have to go through what I went through.	1	2	3	4	5		
15	I volunteer because volunteering makes me feel like a good person.	1	2	3	4	5		
16	I volunteer because people I'm close to volunteer.	1	2	3	4	5		
17	I have no plans to find employment through volunteering.	1	2	3	4	5		
18	I volunteer because volunteering allows me to gain a new perspective on things.	1	2	3	4	5		
19	I volunteer because volunteering helps me work through my own personal problems.	1	2	3	4	5		
20	I volunteer because I feel compassion toward people in need.	1	2	3	4	5		
21	I do not need feedback on my volunteer work.	1	2	3	4	5		
22	I volunteer because I feel that volunteering is a way to build one's social networks.	1	2	3	4	5		
23	I often relate my volunteering experience to my own personal life.	1	2	3	4	5		
24	I volunteer because volunteering makes me feel important.	1	2	3	4	5		
25	I volunteer because people I know share an interest in community service.	1	2	3	4	5		

26	I volunteer because I feel that volunteering will help me to find out about employment opportunities.	1	2	3	4	5
27	I volunteer because volunteering lets me learn through direct hands-on experience.	1	2	3	4	5
28	I volunteer because volunteering is a good escape from my own troubles.	1	2	3	4	5
29	I volunteer because I feel it is important to help others.	1	2	3	4	5
30	I like to work with a volunteer agency, which treats their volunteers and staff alike.	1	2	3	4	5
31	I volunteer because volunteering provides a way for me to make new friends.	1	2	3	4	5
32	Volunteering helps me deal with some of my own problems.	1	2	3	4	5
33	I volunteer because volunteering makes me feel useful.	1	2	3	4	5
34	I volunteer because others with whom I am close place a high value on community service.	1	2	3	4	5
35	I volunteer because volunteering gives me an opportunity to build my work skills.	1	2	3	4	5
36	I volunteer because I can learn how to deal with a variety of people.	1	2	3	4	5
37	I volunteer because no matter how bad I am feeling, volunteering helps me forget about it.	1	2	3	4	5
38	I volunteer because I can do something for a cause that is important to me.	1	2	3	4	5
39	I feel that it is important to receive recognition for my volunteering work.	1	2	3	4	5
40	I volunteer because I believe that what goes around comes around.	1	2	3	4	5
41	I volunteer because volunteering keeps me busy.	1	2	3	4	5
42	I volunteer because volunteering is an important activity to the people I know best.	1	2	3	4	5
43	I volunteer because I can explore my own strengths.	1	2	3	4	5
44	I volunteer because by volunteering I feel less lonely.	1	2	3	4	5

Scoring Guide

		TOTAL				No. of Questions Answered	Average score
Va	1	11	20	29	38		/ 5
Rn	2	12*	21*	30	39		/ 5
SI	3	13	22	31	■		/ 4
Rp	4	■	■	■	40		/ 2

Rc	5	14	23	32	■		/ 4
SE	6	15	24	33	41		/ 5
So	7	16	25	34	42		/ 5
CD	8	17*	26	35			/ 4
Un	9	18	27	36	43		/ 5
Pr	10	19	28	37	44		/ 5

Scoring Instructions

This Volunteer Motivation Inventory (VMI) consists of forty four reasons that one might have for volunteering and participants are asked to indicate, on the five point scale, the extent to which they agree or disagree with each reason as it applies to them.

For each individual, ten scores are calculated that correspond to the ten different motivations to volunteer that are assessed by this inventory. The highest scale score reflects the motivation of greatest importance to the participant while the lowest score reflects the motivation of least concern.

When these scale scores are obtained, a manager of volunteers will be able to identify and rank order what are the most important motivation(s) for that particular volunteer.

Step 1. Enter the responses as numbers in order down the columns (the question numbers are written in small text as a guide). Allow some space for corrections in each box. Where an answer is not provided for a question, leave the square blank.

Step 2. Questions 12, 17, and 21, marked with an asterisk (*) must be *recoded*. To *recode* these questions simply change all 1 responses into 5, 2 responses into 4, 4 responses into 2, and 5 responses into 1. Be sure to cross out the original response, leaving only the recoded response.

Step 3. Add the numbers up in their respective rows and write the total score in the TOTAL column. In the No. Q's Answered column, write the number of questions that have an answer for each row. In most cases this will be equal to the maximum number of answers, which is specified in the columns.

Step 4. Divide the figure in the TOTAL column by the figure in the Q's Answered column, and write this number in the Average Score column. Repeat this procedure for each row.

Description of Results

Values **(Va)** – Describes the situation where a volunteer is motivated by the prospect of being able to act on firmly held beliefs that it is important for one to help others. High scores on this scale suggest that a volunteer is motivated to help others just for the sake of helping. Low scores indicate that a volunteer is less interested in volunteering as a means of helping others (Clary, Snyder and Ridge, 1992).

Recognition (Rn) – Describes a situation where a volunteer enjoys the recognition that volunteering gives them. They enjoy their skills and contributions being recognised, and this is what motivates them to volunteer. High scores indicate a strong desire for formal recognition for their work, whereas low scores indicate a lesser level of interest in formal recognition for their volunteering work.

Social Interaction (SI) – Describes a situation where a volunteer particularly enjoys the social atmosphere of volunteering. They enjoy the opportunity to build social networks and interact with other people. High scores indicate a strong desire to meet new people and make friends through volunteering. Low scores indicate that the prospect of meeting people was not an important reason for them to volunteer.

Reciprocity (Rp) – Describes a situation where a volunteer enjoys volunteering and views it as a very equal exchange. The volunteer has a strong understanding of the 'higher good'. High scores on this scale indicate that the volunteer is motivated by the prospect that their volunteering work will bring about good things later on. Low scores indicate that the prospect of their volunteering work bringing about good things later on is not as important to them.

Reactivity (Rc) – Describes a situation where a volunteer is volunteering out of a need to heal or address their own past issues. High scores on this scale may indicate that a need to 'right a wrong' in their lives is motivating them to do the volunteer work. Low scores indicate that there is little need for the volunteer to address his or her own past issues through volunteering.

Self-Esteem (SE) – Describes a situation where a volunteer seeks to improve their own self esteem or feelings of self-worth through their volunteering. High scores on this scale indicate that a volunteer is motivated by the prospect of feeling better about themselves through volunteering. Low scores indicate that a volunteer does not regard volunteering as a means of improving their self-esteem.

Social (So) – Describes a situation where a volunteer seeks to conform to normative influences of significant others (e.g. friends or family). High scores on this scale indicate that the volunteer may be volunteering because they have many friends or family members who also volunteer, and they wish to 'follow suit'. Low scores may indicate that a volunteer has few friends or family members who already volunteer (Clary, Snyder and Ridge, 1992).

Career Development (CD) – Describes a situation where a volunteer is motivated to volunteer by the prospect of gaining experience and skills in the field that may eventually be beneficial in assisting them to find employment. High scores on this scale are indicative of a strong desire to gain experience valuable for future employment prospects and/or to make work connections. Low scores on this scale are indicative of a lesser interest in gaining experience for future employment or in making work connections.

Understanding (Un) – Describes a situation where a volunteer is particularly interested in improving their understanding of themselves, or the people they are assisting and/or

the organization for which they are a volunteer. High scores on this scale indicate a strong desire to learn from their volunteering experiences. Low scores on this scale indicate a lesser desire of a volunteer to improve his or her understanding from their volunteer experience (Clary, Snyder and Ridge, 1992).

Protective (Pr) – Describes a situation where a volunteer is volunteering as a means of escaping negative feelings about themselves. High scores indicate that a volunteer may be volunteering to help escape from or forget about negative feelings about him / herself. Low scores indicate that the volunteer is not using volunteering as a means to avoid feeling negatively towards him/herself (Clary, Snyder and Ridge, 1992

AUX Smith Case Study – Learning Assessment
Version 2 - April 2012

Module Outline

Terminal Performance Objective:
Given a real world scenario based on AUX Smith and using all techniques taught throughout the AUXLAMS curriculum this week (AUX-02) or weekend (AUX-02A), students will evaluate the necessary management techniques needed to address and / or correct performance and attitude deficiencies.

Enabling Objectives:
Students will be able to:

Develop effective leader/follower interactions,

Demonstrate competent knowledge of follower development and leader behavior,

Diagnose an individual's level of competence and commitment,

Provide appropriate level of support and direction,

Demonstrate counseling session of new member to Flotilla.

Training Aids
Strategic Leadership Cards, Interact Cards; and class notes.

Equipment and supplies
Student Course Book

Background info

Up until now, you have seen examples, discussed them, and completed homework. Today you will role-play using what we have learned all week or weekend. Students must successfully demonstrate knowledge of required subjects taught this week or weekend to the instructor's satisfaction through role-playing.

General Objectives

Role-playing scenarios will involve modules that were taught this week or weekend including: Motivation, Strategic Leadership Techniques, Performance Management, and Performance Problem Solving.

Specific Objectives

- Develop effective leader/follower interactions.
- Demonstrate competent knowledge of member's capacity and leader behavior.
- Diagnose an individual's level of desire/motivation.
- Provide appropriate level of support and instruction.
- Demonstrate counseling session of new member to your flotilla

> You will need your notes and pen or pencil.

The instructor will be playing the role of AUX Smith. You, the class, will each be playing Smith's immediate supervisor -- The Flotilla Commander (FC).

Each student should bring their pen or pencil for note taking, and their notes from the week or weekend. In addition, StratLead cards and Performance Problem Solving cards should be used as guides.

Here's some background information regarding AUX Smith:

- **AUX Smith has been in the Auxiliary for 4 years. He/she transferred to your flotilla 1 year ago.**
- **AUX Smith is new to your staff. AUX Smith has a good reputation.**
- **AUX Smith is engaged and is to be married in 6-12 months.**
- **You are acquainted with AUX SMITH but do not know him/her personally.**

The instructor will not attempt to mislead you in what we are trying to accomplish. Once you have successfully accomplished the learning objective, your role-play is over and we will move on to the next student. If you struggle or do not understand what we are doing, the instructor will give you the opportunity to ask questions and start over again.

The role-plays are a chronological succession of events. Some scenarios may be skipped; however, all scenarios will have taken place, so the skipped scenarios need to be read also.

AUX Smith will <u>not</u> lie and will respond appropriately to you.

Documentation is kept collectively by someone in the group or on chart paper in front of the class.

If you play a role incorrectly, the Instructor will attempt to guide you through it. YOU MUST DEMONSTRATE KNOWLEDGE OF THE SUBJECTS!! On the next page is the criterion that will be used to determine pass or fail.

> **There are 10 Core (Required) role-plays provided as a base for the Course and 10 (Optional) role-plays provided for larger classes.**

AUXLAMS Capstone Evaluation Rubric

Criteria	(1)		(3)		(5)	Positive (+) or Delta (Δ)
Attitude & Presentation Attentive Professional Confident Body language Delivery (eye contact/voice)	☐ Seems unsure. Makes inappropriate comments. Has an unpleasant or unprofessional speaking manner. Not organized.	☐	☐ Is pleasant and professional. Makes appropriate comments. Moderately confident. Evidence of some preparation.	☐	☐ Is friendly and enthusiastic. Provides encouragement. Is well prepared. Comments are professional.	
Knowledge of Models Used the following tools: Strategic Leadership Model Interact Model Ethical Decision Making Model	☐ Insufficient use of model(s). Awkward implementation. Demonstrated incorrect use of model(s). Inability to identify proper model(s) with member.	☐	☐ Demonstrated correct use of model(s). Ability to use model(s) with members with the aid of reference material.	☐	☐ Used multiple and/or more complex model(s). Creative use of model(s). Flawless and confident demonstration of use. Ability to demonstrate model(s) without the aid of references.	
Managing the Interaction Remained neutral . Promoted members' ideas . Made appropriate interventions . Facilitated open dialogue	☐ Made judgmental or opinionated comments. Did not choose best interventions. Limited leader / subordinate interaction.	☐	☐ Comments were neutral. Made appropriate interventions. Encouraged participation by member. Helped develop subordinate.	☐	☐ Comments and interventions were always appropriate. Encouraged participation by member and protected ideas. Reviewed accomplishments, plus made plan for next meeting.	
Subject Matter Mastery . Leader's Personal Perspective . Motivational Theories . Conflict Management . Performance Management	☐ Insufficient use or wrong use of subject matter. Improper implementation of subject matter. Inability to identify proper subject matter.	☐	☐ Demonstrated correct use of subject matter appropriately. Ability to use applicable subject matter with the aid of reference material.	☐	☐ Used multiple and/or demonstrated key components of applicable subject matter. Ability to expertly implement subject matter without the aid of references.	
Dr. James' Effort Model . How do you think your interaction motivated the member?	☐ Below Compliance Zone (less than 20-30%)	☐	☐ Compliance Zone (20-30% Effort) to below The Committed Zone	☐	☐ Committed Zone (80-90% Effort)	

01 June (As a group)

First Scenario: You were Vice Flotilla Commander (VFC) when AUX Smith transferred to your Flotilla. The Flotilla Commander (FC) was away and you were responsible for welcoming AUX Smith to the Flotilla.

Role-play your initial meeting with AUX Smith.

What issues did you address?

10 June (CORE)

Second Scenario: Staff Officer – Public Affairs (SO-PA) Martin, a member of your Flotilla is Chairperson for the upcoming District's Coast Guard Auxiliary Day Picnic. Last week, AUX Martin was admitted to the hospital. Unfortunately, he needed surgery and is now on 3-4 weeks of convalescent leave. AUX Martin was working directly for the District Commodore (DCO) for this event

You have just received a call from the DCO who stated that AUX Martin was to submit a list of activities planned for Coast Guard Auxiliary Day and she cannot reach him. The DCO needs this list so she can estimate how much money will be expended from district funds to help subsidize the event. Additionally, the DCO states she needs the list by noon today as she is meeting with Director of Auxiliary (DIRAUX) to discuss the event. You tell the DCO that Martin is convalescing at his daughter's house out of state. The DCO asks if there is anything you can do to find out the information? You tell the DCO that you will immediately investigate and reply back to her as soon as possible.

After hanging up the phone, you remember seeing AUX Smith involved in planning past district events and working with the SO-PA. You are unsure if AUX Smith is involved in the planning of Coast Guard Day, but of all the members of your staff, AUX Smith appears to be the best candidate to assist with this matter.

How will you approach AUX Smith? What is AUX Smith's capacity level for accomplishing this?

Pre-Role Play Feedback:

- You and the DCO are so happy with AUX Smith's performance that the DCO appoints AUX Smith as Chairperson of the CG Auxiliary Day picnic. SO-PA had to resign.

- Smith has found an apartment.

08 July (CORE)

Third Scenario: Time is 2000 and your Flotilla meeting started at 1930. The first order of business is to discuss publicity needed to advertise your Flotilla's upcoming Public Education course. It is important that AUX Smith be present. You have been talking to AUX Smith and have stressed the meeting and the placement of the agenda item. No one knows where Smith, who has not called, is. Your Flotilla has established a policy that staff officers should call when they are unable to make an appointment or meeting or will be late to a meeting or appointment. At 2015 AUX Smith shows up at the meeting.

How will you address the issue with AUX Smith?

Hint: Identify the standard.
Identify the behavior.

15 July

Fourth Scenario: Your Division is looking to host an upcoming AUXLAMS course mid-August. A message has been sent to all Flotillas' in the Division trying to fill seats in the class. Based on AUX Smith's potential and the fact that you feel that there would great benefit for all the students in the class from this training; you decide to send AUX Smith.

What is AUX Smith's capacity level for attending AUXLAMS?

If needed -- Information on the AUXLAMS class:

    Class starts on Friday evening: hours 1800 – 2130.
    Saturday and Sunday hours: 0730 – 1630.
    There is mandatory reading.
    There will be homework each night.
    Whatever else you may want to add; i.e., you have to be in uniform (tropical blue long), pass/fail course, etc.

31 July

Fifth Scenario: The District Commander, Admiral Schneider, is coming for the big Coast Guard Auxiliary Day picnic. The Division has been tasked with coordinating the painting of the podium and setting up the background screens, display boards and tables. Your Flotilla has volunteered to do the painting. As AUX Smith is heading up this event, you want AUX Smith to coordinate the painting.

You call AUX Smith in and explain what needs to be done.

What is AUX Smith's capacity level for coordinating the painting?

LIST OF ITEMS NEEDED
Drop Cloths
Roller Covers
Cleaning Rags
Paint Trays
Blue Painters Tape
Paint Brushes
Paint Roller Handles
Paint (Correct Color and Type)

REQUIREMENTS
One color or design templates for the various screens and boards.
Location of screens, display boards and tables.
Schematic for the boards and screens and the color for each.

09 August (CORE)

Pre-Role Play Feedback:

Coast Guard Auxiliary Day was a resounding success.

Sixth Scenario: You learned at AUXLAMS how to counsel your people when there is a performance problem. AUX Smith is a friendly person who comes from a background where everyone gets a hug or a touch when greeted. Some of the Flotilla members have complained that AUX Smith is too touchy / feely. They are upset about the touching and hugging. Today you are going to counsel AUX Smith on this behavior.

How will you communicate the situation?

Hint:　　　　　　Identify the standard.
　　　　　　　Identify the behavior.

Note: The Auxiliary policy on Sexual Harassment provides that verbal or physical conduct of a sexual nature that unreasonably interferes with work performance or creates an intimidating or hostile work environment has no place in our organization.

15 August

Seventh Scenario: The District Commander called the DCO and told her what a great job the committee did for the Coast Guard Auxiliary Day picnic. The District Commander especially liked the family atmosphere and the many activities for the children. AUX Smith was a big part of the success. The DCO has called you to ask your opinion on what would be the best way to recognize AUX Smith's accomplishment and relay what the District Commander said.

How will you handle the situation?

Informal   -- Pass information in front of peers at District, Division or Flotilla meeting.

Or

Formal   -- Award, District Commander recognition, other.

Discuss different methods of using the above recognition techniques.

23 August

Eighth Scenario: AUX Smith has been tasked with preparations for a visit by the DIRAUX (the first such visit since relief at the CG District Office). The Flotilla has been given access to a meeting room at a local hotel and members of the Flotilla are on hand to help set up the space. AUX Smith did a wonderful job of getting out the publicity for this visit. Many local officials that interact with the Flotilla have indicated that they will attend the event. You stop by to see how the preparations are going and you notice that AUX Smith is hard at work while the other Flotilla members are standing around not sure of what they can do or how they are supposed to help.

How will you handle this situation?

Hint: Remember AUX Smith attended AUXLAMS.

Labor Day Weekend, 04 September

Ninth Scenario: It is Friday. AUX Smith is one of 4 persons who have volunteered to staff a PA booth at a local Labor Day Weekend event being held on Saturday. AUX Smith is assigned the coordinator for the booth and has been tasked with picking up the brochures and class schedules on Friday evening from the copy center and from the flotilla locker. You receive a call from the copy center at 2000 to see when you will pick up the materials as they close at 2100.

Note: You reach AUX Smith by telephone at 2200.

How will you communicate the situation?

Hint: Identify the standard.
                 Identify the behavior.
                 Communicate the situation being specific and non-punishing.

Labor Day, 07 September (CORE)

Pre-Role Play Feedback:

AUX Smith has been appointed Flotilla Staff Officer – Public Affairs (FSO-PA).

Tenth Scenario: It's Monday of the Labor Day weekend. The Flotilla is involved in the annual local Labor Day Parade with a trailer-able facility and a safe boating / recruiting / Vessel Exam (VE) information table. Duties have been assigned to all Flotilla Staff Officers (FSOs) as this is the major public relations event of the year. FSO-PA Smith was assigned to set up a separate table with public relations centered material as well as a media area with an "AUXILIARY" background and table and chairs. The local TV and radio stations will be interviewing you and other Flotilla members. The Flotilla Staff Officer – Publications (FSO-PB) stops you – he noticed the table and media area have not been set up yet. You suggest he set it up, but the FSO-PB says that he has his own assignment to complete and, besides, it was FSO-PA Smith's task. You go to find FSO-PA Smith and ascertain why the area is not set up.

How will you address the situation?

    Hint: Identify the standard.
                 Identify the behavior.
                 Communicate the situation being specific and non-punishing.

12 September

Eleventh Scenario: The District Commander (DCDR) just called and said that he is resigning due to health problems. His resignation will require all flotillas to do a new property inventory. The DCDR wants all reports by 15 October. You have decided to give the job to FSO-PA Smith. FSO-PA Smith has never completed the property report without some assistance. Smith did assist the FSO-FN on the last report.

Of those available to you at this time, FSO-PA Smith is the most qualified person to do the inventory.

Note: The Division has assigned a number of big-ticket items to various flotillas: laptop computers, projectors, mustang suits, etc.

You are about to meet with Smith. What is FSO-PA Smith capacity level to do the inventory?

Hint: How much direction is needed?
                  How much support is needed?

Task Direction (if needed):
Get a copy of the last report.
Review the last report for errors.
Compare the master list with current property list.
Check progress with me each week.

01 October

Twelfth Scenario: As FSO-PA Smith's supervisor it is your responsibility to initial and approve Flotilla travel claims. On a recent trip to a one-day Operations (OPS) workshop, FSO-PA Smith claimed one hundred privately owned vehicle miles. The class was at the group, which is ten miles away round trip.

How will you address the situation?

Hint: Identify the standard.
                  Identify the behavior.
                  Communicate the situation being specific and non-punishing.

15 October (CORE)

Thirteenth Scenario: The District Commander is visiting your Flotilla next week to make a special unit award. You are assigning FSO-PA Smith the responsibility of setting up the meeting space: placement of colors on the stage, seating plan for the podium, refreshments, greeter for guests.

Determine FSO-PA Smith's capacity level for these tasks.

Task direction (if needed):

Flags needed
National Ensign and the Auxiliary flag.

Placement of flags
AUX Manual Chap 12 Sec. B.1 (National Ensign facing to left of the audience, right of speaker-- AUX flag on other side)

Do we need a pennant for the District Commander?
No

Schematic for podium seating
AUX Manual Chap. 12 Sec. G.3 and G.4

20 October

Fourteenth Scenario: Your scheduled meeting with FSO-PA Smith is coming up in 5 minutes to update you on the plans for the District Commander's visit. Prior to this meeting, the Division Captain called and told you he will be down with the District Commander on the 22nd. He also told you that the position of Sector Liaison, a position that FSO-PA Smith was hoping to receive, has been made. FSO-PA Smith was not selected. The Division Captain told you that at the Flotilla meeting two days from now, he will pass the information to everyone. He has requested that you not say anything until then. You agree to remain silent.

Just before leaving the meeting, FSO-PA Smith asks you, "Have you heard anything about the Sector position?"

What will you tell FSO-PA Smith?

22 October (CORE)

Fifteenth Scenario: It is 0820 and you are looking for FSO-PA Smith to make sure everything is set for the District Commander's visit today. Someone said they saw FSO-PA Smith at "Stanley's Bar and Grill" last night throwing darts. FSO-PA Smith was aware that the District Commander's committee had to muster at 0800. At 0830 FSO-PA Smith arrives with bloodshot eyes and indicates a problem with the car. You don't have time to talk now and you tell FSO-PA Smith to see you after lunch. It is now after lunch and the District Commander has left. The visit was a success and you now call FSO-PA Smith into the conference room to talk about the late arrival.

How will you address the situation with FSO-PA Smith?

24 October (CORE)

Sixteenth Scenario: After work this afternoon you stop by the Coast Guard exchange on base to pick up some uniform items and you see FSO-PA Smith. FSO-PA Smith is in uniform. As you greet FSO-PA Smith you notice that FSO-PA Smith has an earring in his left ear (or for female a tongue stud). Last week at the Division meeting the Division Commander (DCDR) stated that ALCOAST 340/05 will be enforced and wants all Auxiliarists in the Division adhering to that policy.

How will you address the situation?

ALCOAST 340/05

TATTOO, BODY MARKING, BODY PIERCING AND MUTILATION POLICY

C. PIERCING: OUR POLICY REGARDING BODY PIERCING IS ALSO CHANGING SIGNIFICANTLY. NO PIERCING, OTHER THAN THOSE FOR EARRINGS AS DESCRIBED BELOW, SHALL BE MADE THROUGH THE EAR, NOSE, TONGUE, CHIN, EYEBROW, OR ANY OTHER BODY PART THAT WOULD BE VISIBLE WHILE IN ANY UNIFORM. THIS PROHIBITION APPLIES TO MALE AND FEMALE MEMBERS ALIKE AND IS SPECIFICALLY INTENDED TO LIMIT THE LESS THAN MILITARY APPEARANCE ASSOCIATED WITH VACANT HOLES IN THE FACE AND OTHER EXPOSED AREAS OF THE BODY. ALL MEMBERS ARE PROHIBITED FROM WEARING FORMS OF FACIAL JEWELRY (OTHER THAN EARRINGS FOR WOMEN) WHILE IN UNIFORM, ON BOARD A MILITARY INSTALLATION, OR WHILE ATTENDING A COMMAND SPONSORED EVENT. THOSE PERSONNEL WITH PREEXISTING UNAUTHORIZED PIERCINGS SHALL DISCONTINUE THE USE OF THOSE PIERCINGS TO ALLOW FOR EVENTUAL HEALING.

30 October

Seventeenth Scenario: At the "Flotilla cook-out" where new prospective members have been invited, you notice that FSO-PA Smith and AUX Baker (of the opposite sex) have been spending most of the day off to the side by themselves laughing, joking, "groping and grabbing". They seem to be oblivious to everything going on around them.

As FSO-PA Smith's supervisor, how will you handle this situation?

10 November (CORE)

Eighteenth Scenario: FSO-PA Smith has been appointed Chairperson of the boating safety booth at the local boat show. The duties include making up the schedule and duty rosters. You notice that a new member has been given the 1000-1200-time slot to cover the booth. The new member shows up at 1000 and you hear FSO-PA Smith telling the member that he is late and this is not a good way to gain respect at the Flotilla. The member starts to say something but FSO-PA Smith says with attitude, "Go to your assigned place of duty and report to me when the time assigned you is over. I don't want to hear your excuses."

How will you communicate the situation to FSO-PA Smith?

20 November (CORE)

Nineteenth Scenario: The DIRAUX has requested help in covering his office due to people being out sick and on leave. Several people have volunteered to help out. FSO-PA Smith is one of those people. FSO-PA Smith had recently injured a leg and is still slightly limited in mobility. FSO-PA Smith has been assigned the phone watch for the DIRAUX from 1000 – 1330 Monday through Friday. On Wednesday you stop by the DIRAUX office around noon to ask if FSO-PA Smith wants anything from the galley. You notice that the Division Vice Commander (VCDR) is on the phone and the other phones are ringing away. Before you have a chance to ask the VCDR where FSO-PA Smith is, you see FSO-PA Smith coming down the passageway with a McDonald's bag and a soft drink.

How will you handle this situation?

Hint: Identify the standard
                   Identify the behavior
                   Communicate the situation being specific and non-punishing

10 December (CORE)

Final Scenario: FSO-PA Smith has volunteered to set up and attend to an Auxiliary PA booth at a holiday fair that the local college is holding. The fair started at 0930. At 1000 you were called to fill in for FSO-PA Smith. He/she did not contact you nor leave a message at the college. You try calling FSO-PA Smith's cell phone but there is no answer.   FSO-PA Smith shows up at 1230 in civilian clothes and looks upset.

How will you handle this situation?

Hint: What is the standard vs. behavior?
                         Is this normal behavior for FSO-PASmith?

Required AUXLAMS Pre-Class Assignments	
Read the following articles in the Participant's Reading Guide **note class format**	**Page**
Big Five Theory **AUX-02 & AUX-02B**	***5***
One More Time:How Do You Motivate Employees? **AUX-02 & AUX-02A**	***13***
Leadership Communication: A Communication Approach for Senior-Level Managers **AUX-02 & AUX-02B**	***27***
Situational Leadership: A Review of the Research **AUX-02 & AUX-02A**	***37***
Twelve O'Clock High **AUX-02 & AUX-02A**	***50***
Conflict Management in Organizations **AUX-02 & AUX-02B**	***111***
The Use of the Ethical Triangle in Military Ethical Decision Making **AUX-02 & AUX-02B**	***123***
Developing the Volunteer Motivation Inventory to Assess the Underlying Motivational Drives of Volunteers in Western Australia **AUX-02 & AUX-02B**	***137***
Complete the following assignments.	
Complete the Conflict Styles Assessment and Scoring… …prior to coming to class and bring a copy of the results to class. **AUX-02 & AUX-02B**	***120***
Complete the Volunteer Motivation Inventory… …prior to coming to class and bring a copy of the results to class. **AUX-02 & AUX-02B**	***140***
Answer the questions to follow… …for the pre-class reading assignments. Print a copy of your answers and bring to class. **AUX-02 & AUX-02A & AUX-02B**	***170***
Complete the Big Five Personality Inventory… …prior to coming to class at ***http://www.outofservice.com/bigfive/*** and bring a copy of the results to class. **AUX-02 & AUX-02B**	***online***
Print the following articles in the Participant's Reading Guide **note class format**	
Interact Model Role Play Scenarios **AUX-02 & 02A**bring to class	*57*
AUX Smith Case Study **AUX-02 & 02A**bring to class	*146*

***Big Five Theory - Pre-Class Reading
Assessment*** **AUX-02 & AUX-02B****   **Name:**

1. Summarize the following:
a) Neuroticism – _____

_____

b) Extroversion – _____

_____

c) Agreeableness – _____

_____

d) Conscientiousness – _____

_____

e) Openness to experience – _____

_____

2. Define Lexical Hypothesis - _____

_____

3. State 3 positive aspects for the Big 5:

a) _____

b) _____

c) _____

4. State 3 weaknesses of the Big 5:

a. _____

b. _____

c. _____

5. What 3 areas of current research are being conducted using the Big 5?

a. _____

b. _____

c. _____

****Remember to take the Big 5 online at: http://www.outofservice.com/bigfive/ and bring a copy of you results to class.****Bring a copy of this page with the answers completed to class also.****

One More Time:How Do You Motivate Employees? - Pre-Class Reading Assessment **AUX-02 & AUX-02A**   **Name:**

1. What is KITA?

    _____

2. What are the three drawbacks of Negative Physical KITA:

    a. _____

    b. _____

    c. _____

3. What are the six drawbacks of Negative Psychological KITA:

    a. _____

    b. _____

    c. _____

    d. _____

    e. _____

    f. _____

4. Why does positive KITA not work: _____

    _____

5. What is the general difference between Hygiene and Motivation factors? _____

    _____

6. Define the three general philosophies of personnel management:

    a. _____

    b. _____

    c. _____

7. Define:

a. Horizontal job loading: _____

b. Vertical job loading: _____

8. Define:

a. Job enrichment: _____

b. Job enlargement: _____

9. Thinking of the Coast Guard Auxiliary:

a. What motivating factors do you have at your disposal: _____

_____

b. What hygiene factors do you encounter: _____

_____

c. How might you enrich a job: _____

_____

d. How might you enlarge a job: _____

_____

****Bring a copy of these two pages with the answers completed to class.****

Leadership Communication: A Communication Approach for Senior-Level Managers - Pre-Class Reading Assessment **AUX-02 & AUX-02B**

Name:

1. Older studies indicate that managers spend what percent of their time Communicating? _____

2. Through effective communication, _____

3. Without effective communication, a manager is not an _____

4. What are the three sides of the communication triangle?
   a. _____

   b. _____

   c. _____

5. What does projecting a positive ethos have to do with communication? _____

   _____

   _____

6. What is the definition of Leadership Communication? _____

   _____

7. To be perceived as credible leaders must be viewed as:

   a. _____

   b. _____

   c. _____

   d. _____

   e. _____

8. Emotional intelligence allows the leader to assess the situation correctly and _____

   _____

9. Aristotle identified three types of persuasive appeals:

   a. _____

   b. _____

   c. _____

****Bring a copy of this page with the answers completed to class.****

Situational Leadership: A Review of the Research - Pre-Class Reading Assessment **AUX-02 & AUX-02A****   **Name:**

Note: The Strategic Leadership Model you will be introduced to is based on the Situational Leadership Model in this reading. The questions selected pertain to Strategic Leadership as well.

1. The Situational Leadership Model is based on:

a. _____

b. _____

c. _____

d. _____

2. In 1969 Hershey and Blanchard coined the term "life-cycle theory" of leadership, which evolved to their Situational Leadership. Can you explain how the first theory led to the second? _____

_____

3. Task and relationship behaviors range from _____ and form a _____

_____ that identifies the following four basic leadership styles._____

4. Define Task Behavior: _____

5. Define Relationship Behavior: _____

6. Maturity is divided into:

a. _____

b. _____

7. Effective leadership is: _____

8. A decrease in performance assumes what: _____

and requires the manager to: _____

9. The studies found that when managers apply the SLT correctly their subordinates _____than

when the theory is _____

****Bring a copy of this page with the answers completed to class.****

Conflict Management in Organizations -
Pre-Class Reading Assessment   **Name:**
AUX-02 & AUX-02B

1. Why is conflict unavoidable in an organization? Explain both the negative and positive aspects of conflict.

_____

_____

_____
2. In conflict management, what is the major difference in how men and women handle conflict?

_____

_____

_____
3. Define:
a. Integrating Conflict Style:_____

b. Obliging Conflict Style:_____

c. Compromising Conflict Style:_____

d. Dominating Conflict Style: _____

e. Avoiding Conflict Style:_____

4. After you took the Conflict Styles Assessment and Scoring were your results a surprise or did the

assessment make sense to you? Why? _____

_____

_____

****Remember to take the Conflict Styles Assessment and Scoring in Appendix A in Conflict Management in Organizations and bring copy of you results to class.****Bring a copy of this page with the answers completed to class also.****

Name:

1. What were the actions that led to this article and the formation of the Ethical Decision Making

Model (EDMM)? _____

_____

_____

2. The Army Leadership manual states, "your character helps you know what is right; more that that, it links that knowledge to action. Character gives you the courage to do what is right regardless of the circumstances or the consequences." What does this mean to you and cite an example.

_____

_____

_____

_____

_____

_____

3. What are the 4 steps of the EDMM?

a. _____

b. _____

c. _____

d. _____

4. What are the four common "Right versus Right" Ethical Dilemmas?

a. _____

b. _____

c. _____

d. _____

5. What are the three legs of the Ethical Triangle and which were the philosophers and what is the basic premise of each leg?

a. _____

_____

b. _____

_____

c. _____

_____

6. What are the six steps of the Alternative Ethical Decision Making Model?

a. _____

b. _____

c. _____

d. _____

e. _____

f. _____

****Bring a copy of this page with the answers completed to class.****

***Developing the Volunteer Motivation
Inventory to Assess the Underlying
Motivational Drives of Volunteers in***   **Name:**
***Western Australia - Pre-Class Reading
Assessment*** **AUX-02 & AUX-02B**

1.   What actually motivates a person to volunteer is a _____ and _____ question.

2.   Understanding what motivates a person to volunteer can be of great assistance to

organizations in a. _____, b. _____ and, c. _____ volunteers.

3.   What are the three uses by organizations of information about what motivates a person to volunteer?

a.   _____

b.   _____

c.   _____

4.   What are the 10 motivational categories of volunteering?

a.   _____

b.   _____

c.   _____

d.   _____

e.   _____

f.   _____

g.   _____

h.   _____

i.   _____

j.   _____

5.   What are the three most important, in order, motivational categories for volunteering?

a. _____

b. _____

c. _____
****Remember to take the Volunteer Motivation Inventory at the end of Developing the Volunteer
Motivation Inventory to Assess the Underlying Motivational Drives of Volunteers in Western Australia
and bring copy of your score to class.****Bring a copy of this page with the answers completed to
class also.****

INSTRUCTOR BIOGRAPHIES

Richard "Rich" J. Asaro, MALS

The following is offered as a means of finding common ground with the students in the LAMS and AUXLAMS classes, not a "lessons learned" in a life misspent.

Richard Asaro has been seasick in the Atlantic Ocean, but not the Pacific or South Atlantic: not been to the others. The Caribbean, Gulf of Mexico, Mediterranean and Baltic seas don't count. He wasn't sick there. He has also had food poisoning on six of the seven continents. That's because he has never been to Antarctica.

A career in the Coast Guard spanned from 1964 as a cadet at the Coast Guard Academy (He was also a 1963 AIM attendee) to 1998 when CAPT Asaro retired: 20 years in Port Security and Marine Safety, two tours afloat, Academy Instructor, Deputy Civil Rights at HQ. Rich joined the Auxiliary in 1999.

Hobbies include food, bicycling, maritime history, sailing and teaching. He has biked across Iowa, sailed aboard the USCG Barque EAGLE (2002 to present) for about 6 weeks each summer as a watch stander (Quartermaster), Celestial Navigation instructor and history lecturer (Lessons Learned from disasters). Since he is unemployed, he works for food, giving maritime related lectures to Rotary, Kiwanis, Yacht Clubs and the Power Squadron. Mr. Asaro is a docent / tour guide at the Mariners' Museum and Jamestown Settlement. At the latter he works aboard the three replica ships and give tours as a 17th Century sailor in costume.

He has been told that he is an excellent instructor and docent, but actually getting paid for those services is out of the question.

Tours of duty have included Alaska, Guam and the Panama Canal. Current activities include teaching boating safety to the public, the one-week Coast Guard Leadership class to Active Duty and the three-day version to Auxiliary Coast Guard personnel, and navigation to Academy cadets as a guest lecturer for a few days each semester. He has actually been paid to work as a tour guide at the Williamsburg Winery; however, he also staffs the cash register, re-stocks the shelves and mops the floors, so his value to the corporation may be greater as a strong back than a weak mind.

Favorite quotes:

"The price of adventure is adversity"
"The key to leadership is demonstrating appreciation"

Cecilia Nedder Bethoney, JD (Plank Holder)

Ms. Bethoney has been accused of being a jack-of-all-trades and a master of none. Her response is that she likes to try different things and that she welcomes a challenge.

Cecilia's parents always told her that she could succeed in anything that she put her mind to and worked hard to accomplish; provided that she was an excellent communicator and was considerate of those that she worked with and for. These are words that she has tried to live by.

Ms. Bethoney is a graduate of Boston University College of Management and Boston University Law School. Being very actively involved with Student Government throughout her years at the University was a great precursor to all that she has done in her life. Cecilia's efforts rewarded her with a listing in Who's Who among Students' in American Universities and Colleges and membership in BU's Scarlet Key honor society during her Junior Year. While at the Law School, Ms. Bethoney assisted in the research for a book on Contract Law. She was an intern on Congressman James Burke's Massachusetts staff for two summers.

Cecilia engaged in the practice of law for 38 years specializing mainly in Business Law and negotiations, with a sub-specialty in Estate Planning. Her legal endeavors and the needs of the clients led her into the fields of Commercial Real Estate Broker

and Presenter of Business seminars' from a legal viewpoint. Ms. Bethoney was a part-time Professor in the Para Legal Program at Massachusetts Bay Community College.

Boating has always been a primary interest of hers. In 1985 she joined the Coast Guard Auxiliary and a whole new world opened up for her. Some of the positions she has held follow: Instructor for the Public Education and Member Training programs; having gone through the qualification process she became a Coxswain and a Qualification Examiner--her favorite missions in my Auxiliary career; Legislative Liaison for her District and Eastern Area coordinator for the National Legislative Liaison Committee; National Division Chief and Liaison for the AUXLAMS Cadre and the LDC; Administrative Assistant to the District Commodore; Conference Planner; Assistant Legal Officer, Flotilla Public Affairs Officer; she also held a 100 ton Captain's license.

Cecilia's activity with the boating public led to a four-year stint as a radio talk show co-host on Maritime issues - great fun.

She feels privileged to have been involved with the initial organization of the AUXLAMS cadre and to be a LAMS instructor. Teaching in the LAMS and AUXLAMS program is one of the most satisfying undertakings of her Auxiliary career.

George Devereaux Bond, II, MPA, MS

George Bond was born in Portland, Oregon and then, with his father being in the Army, moved around the United States and the world living in Japan; Naples, Italy; and Izmir, Turkey as well as San Pedro, CA; Detroit; and Washington, DC. Mr. Bond graduated from high school in Izmir and attended Texas A & M for a year prior to transferring to the Coast Guard Academy. Graduating in 1969, CDR Bond served for 24 years having assignments on CAMPBELL (W-32), CAPE FOX (WPB-95316), CGHQ Boating Safety, SPAR (WLB-403), Governors Island (D3 and LANTAREA), Philadelphia (Regional Representative of the Secretary of Transportation), D7 (SAR and Haitian Migrant Interdiction), then back to CGHQ (Personnel, Medical, and Personnel). Mr. Bond retired in 1993 and began teaching Math in Prince William County Public Schools. In 1995 he settled at Woodbridge Senior High School, Woodbridge, Virginia where he taught Algebra I; Algebra I (Part 1 and 2); Algebra, Functions and Data Analysis; Probability and Statistics; and Discrete Math. George retired from Woodbridge Senior High School in 2010.

Mr. Bond received a BS from the Coast Guard Academy, a MPA (Public Administration) from New York University, a MS (Education) from Virginia Tech, and worked on a PhD in Educational Leadership at George Mason. He joined the Auxiliary in 1997 and the LAMS staff in 2001.

He is currently the Branch Assistant for the Auxiliary Leadership and Management School (BA-TLA) having held other positions at the flotilla, division, and National level. He is in Flotilla 054-25-10 in Fredericksburg, Virginia.

Michael J. Brzezicki, PhD

Dr. Michael J. Brzezicki was recently retired from the Coast Guard after 34+ years of service in the Navy, Army National Guard and the Coast Guard Reserve. He is currently the Branch Chief for the Auxiliary Leadership and Management School.

As Chief Warrant Officer Brzezicki he was an instructor at the U.S. Coast Guard Leadership Development Center in the Leadership and Organizational Performance Branch. His course menu consisted of The Customer Service Challenge, Commandant's Performance Excellence Criteria (Baldrige) Orientation, Commandant's Quality Award Examiner Course, Team Leader Facilitator Course, Organizational Performance Consultant Basic, and Leadership, Mentoring and Professional Development. The Branch is also responsible for the administration of the Commandant's Quality Award.

Prior to the Leadership Development Center, CWO Brzezicki was Liaison to the Department of Defense Region IV Lead Agent Office at Keesler AFB, Mississippi assigned as the Chief of Network Development and Provider Relations. As such, he was responsible for oversight of all provider network efforts in a five-state region by the Regions' managed care support contractor, Humana Military Healthcare Services. He was previously the Chief, Beneficiary Counseling and Assistance (Member Services).

Dr. Brzezicki holds a Bachelors of Science degree (Summa Cum Laude) in Health Services Administration from Cumberland University in Lebanon, Tennessee and a Master of Arts in Organizational Management from Trevecca Nazarene University in Nashville, Tennessee. He also has a Doctor of Philosophy in Business Administration with a concentration in Management from Northcentral University in Prescott Valley, AZ.

Dr. Brzezicki has over 30 years of experience in the healthcare industry. His career began as Hospital Corpsman in the U.S. Navy and his early experience was gained in the area of materials management in large acute care facilities in Connecticut and Tennessee. In 1980, he co-founded Health Concepts, Inc. to provide materials management consulting services to small and mid-sized hospitals across the South. In the mid-1980's, Dr. Brzezicki achieved success in the medical supply industry as a sales representative and Director of Operations of Nashville Surgical, Inc., a regional medical supply distributor.

In 1985, Dr. Brzezicki directed his career to the home healthcare industry as Regional Director of Quality Care, Inc., a national home healthcare company. In two years, Dr. Brzezicki became the most successful Regional Director in the company's history by taking the smallest region in the company and producing record breaking results in the private pay area. Since 1987, Dr. Brzezicki has built an impressive record of success in the home healthcare service and durable medical equipment industries for multi-location companies such as Partners Home Health, ServiceMaster Home Health, Glasrock Home Health, American HomePatient and ResCare Home Health. In 1997, he became a founder, director and officer of CMPA, Inc., a management services organization that provided administrative services to medical practices.

In 1996-97 Dr. Brzezicki was responsible for the reorganization of several United States Coast Guard / Department of Homeland Security primary care clinics across the country.

Dr. Brzezicki is a published author of articles in industry related periodicals and has been sought as a seminar speaker and facilitator across the country. He is holds the professional designation Fellow, Academy for Healthcare Management. He has been married for over 40 years to the former Anne Mather of South Windsor, Connecticut.

Anne Z. Cioffi, MS

One of the mature women on the team, Anne has been facilitating classes ever since she played "teacher" at the summer beach house with all her little cousins as the students. She did lessons at desks on the porch and then ran down the dock to take the rowboat out fishing. So, it followed that a Master's degree in Education from Michigan State University would just be part of life. Subject matter became English, Speech and Drama with an occasional gym class thrown in for the high school students.

Then came graduate school work to become a psychologist. Many years in that field found her working with the prevention of drug abuse among kids in Connecticut. Special training in Group Dynamics has been helpful in all the years that followed, allowing her to create and lead many therapy groups, as well as social discussion and mentoring groups. Several of those years she served at a Presbyterian church as the director of all the Lay Ministries. Education, Group Development and a good set of listening ears were certainly valuable.

As part of Team Coast Guard she is a Coxswain aboard our vessels on patrol. She holds a Coast Guard Master's License and taught for many seasons at commercial sailing schools in California and Connecticut, where she also served as Commodore of her Yacht Club. Her sailing ventures have taken her to many ports around the world. She has utilized all these life experiences to assist as she served at Auxiliary flotilla, division and district levels as the Staff Officer for Public Education. During that time she also traveled the district teaching the Instructor Development Course. In all of this Coast Guard work, it is LAMS that seems most valuable to her. It is always about the people.

Tracy E. "Feudal Lord" DeLaughter, BA

Born and raised in central Oklahoma Tracy has been very outgoing and has performed both on stages in film and in television in mostly Non-memorable roles as "human scenery". Tracy has been a member of the Auxiliary for the better part of 18 years in positions from local to national and a few in between. With a BA of Communications (Business) degree from the University of Science and Arts of Oklahoma in Chickasha, OK Tracy has sought to use the insights learned assist his fellow members of the Auxiliary.

Tracy has been involved in the following programs with the Auxiliary-

Operations, Vessel Examinations, RBSPV, TCTFAC, TCTAUX, Fingerprint Tech, BC-TLM (AMLOC-05A) and has been awarded Auxiliarist of the Year 8WR, Auxiliary Commandants letter of Commendation, 2 awards, Coast Guard Meritorious Team Commendation 6 awards, to name some of the awards he has earned.

As current "Feudal Lord, Demi-god and mid-night skulker" of Tulsa Public Schools Energy Education Program Tracy enjoys his work saving the planet by reducing consumption of the precious resources through educational experiences of the end user.

He and his better half, Sharon DeLaughter, also spend time rescuing animals and advocating for animals that are lost and injured.

Mark Draskovich, MA, ABD (Plank Holder)

Mark Draskovich is currently the Director of Student Services at East Allegheny School District near Pittsburgh. He has served in the field of education since the late 1980's and has taught on the secondary and college level (Penn State and Duquesne Universities). In addition to teaching Leadership and Management (LAMS) for the Coast Guard since 2000, Mark has served as National Division Chief for Academy Support (DVC-TX), Division Commander, District CAP Liaison Officer and various other Division and Flotilla Staff Offices for the Coast Guard Auxiliary. Locally, he is active in the boat crew program and has qualified along with active duty and reserve for disaster response (DART).

Educational background includes undergraduate and graduate degrees in history and education and a School District Superintendent Letter of Eligibility from the Pennsylvania Department of Education. Colleges attended include Duquesne University, LaRoche College, Carlow University and Carnegie-Mellon University.

Mr. Draskovich is married (Jo Anne) and has one son (Jeremy) and three daughters (Jody, Michelle and Michaela). Thanks to Jeremy and his wife Allison, Mark is a proud grandfather (Cole). Personal interests include reading, golf, boating, and writing as a FCS college football analyst for Yahoo/Rivals Sports. Volunteer activities include captaining a 47 passenger tour boat for the Moraine Preservation Society.

Tammy Esteves, PhD

Tammy is a native Virginian, born in Charlottesville where she worked at Monticello in the summers and received her BA in American Government from the University of Virginia. She always thought she wanted to be a lawyer, but after working as a paralegal for a personal injury firm, decided she would rather take her career in a different direction. She then became involved with the Jaycees and in her professional life worked as the Community Services Coordinator for the Jefferson Area Board for Aging. She decided to go back for a master's degree, and did her Master of Public Administration (MPA) at James Madison University. A couple of years later she turned 30 and had this crisis of "what am I going to do with the rest of my life?!?" and decided she was happiest in the classroom, so went to Virginia Tech to get her PhD. (If you know anything about Virginia, you know that getting degrees from both UVA and Virginia Tech is almost blasphemy, LOL).

Over the years she worked as an Interim Executive Director for a women's shelter, fundraiser for a children's museum, and human resources administrator for a catalog

company. After getting the PhD her first teaching position was at Indiana State University, but she quickly found she missed the East Coast, being near the Blue Ridge Mountains and the ocean. She returned to Virginia and taught for two years at the University of Richmond, then moved down to Newport News to teach at Christopher Newport University. CNU then cut her program, so she joined Troy University and has been on the graduate faculty since 2002. She mainly teaches courses in Ethics, Leadership, eGovernance, Emergency Management, and Public Policy. She also adjuncts occasionally for the Presidio Graduate School in San Francisco's MPA in Sustainable Management degree program. Her main research interest is in the use of technology for building community and sustainability.

Tammy's husband retired in 2012 after 21 years of service in the United States Coast Guard. Tammy joined the USCG Auxiliary in 2006 a few months after they were married and she quickly got involved at both the flotilla and national level. She worked with the USCG Office of Contingency Preparedness and Force Readiness (CPFR), revising the Area Maritime Security Plan (AMSP) after an exercise, and then participated on a planning team for hurricane exercises. She was selected to participate in training sessions for the Homeland Security Exercise and Evaluation Program (HSEEP), Commandant's Performance Excellence Criteria, and Team Leader/Facilitator courses. She was appointed to the Commandant's Diversity Advisory Council, and was also nominated from Hampton Roads for Military Spouse of the Year and was invited along with the other spouses to a barbecue on the grounds of the White House with President G.W. Bush. Tammy has also completed the requirements and earned her Trident.

Tammy is currently located in Kent, WA (about halfway between Seattle and Tacoma), although now that hubby has required they may relocate back to the East Coast. They have two daughters, one son, and two granddogs (a Husky, and Chesapeake Bay Retriever). They are active in their church, and are huge Cowboys fans! Ask about their wedding sometime.

Manfred "Fred" Germann, BE

Military: US Air Force ROTC - Basic Flight training, US Army Reserve (ROTC graduate) - Air Defense Artillery - 4 years, Member Scabbard and Blade military honor society.

Educational: BE Degree in Civil Engineering (Environmental and Transportation); Minor in Germanic Languages; AS Degree in Criminal Justice with additional post-graduate studies in International Law, and Environmental Sciences. Completed training from the CDC and the New York State School of Public Health in Public

Health, Epidemiology, Bio-Terror Response, and Microbiology. Graduate of the New York State Division of Criminal Justice Services Police Academy (NY DCJS). Completed training in Explosive Ordinance Recognition and Response for law enforcement. Completed the FEMA Disaster Response, FEMA Mass Casualty and Disaster Response training as well and the ICS 100, 200, 210, 700, and 800 courses.

Law Enforcement: Sergeant and Departmental Training Officer (Municipal Police - Sullivan County, New York - Villages of Woodridge and Wurtsboro); certified radar and DWI breathalyzer operator. Detective Lieutenant and Training Director - Child Protective Services (SPCC) Rockland County and City of Yonkers, New York. Principal firearms and police survival instructor at Countergroup Academy, Redhook, New York. Conducted handgun training programs for US Navy SEALS; Border Patrol; British SAS; National Park Service; New York Corrections Department CERT Teams. Former students included Ronald Reagan, Jr., author David Morrell, and journalist Roland Smith.

Owner and principal firearms instructor at Draken Enterprises firearms and security training company. New York State certified Peace Officer and Security instructor. Member of ASIS; Fraternal Order of Police; LEAA. Certified New York pistol permit course instructor. Six NRA instructor certifications (Pistol, Rifle, Shotgun, Personal Protection Firearms, Home Firearms Safety, "Refuse to be a Victim" crime prevention program). New York hunter safety instructor and former Master Instructor for Sullivan County, New York. First degree black belt and past instructor at Aikido School of Self-defense, Middletown, New York. Instructor at Dutchess County Pistol Association. "Master" rating in revolver and semi-auto pistol.

Coast Guard Aux: District Captain Sector New York North; Interpreter's Corps translator in German; former Division and Flotilla Commander; Instructor; VE; crew member and mentor. Completed USCG Instructor Development course and Team Leader/Facilitator course; TCT facilitator program; LDC LAMS instructor since 2002. Past National Staff T-Dept. Division and Branch Chief Positions for Training Support.

Professional: New York State Department of Health Bio-terrorism Response Coordinator (EAG - Environmental Assessment Group) Owner and firearms instructor - Draken Enterprises - Middletown, New York. Federally licensed firearms dealer.

Linda YeeLan Law, MS

Linda has many diversified interests.   She joined the Coast Guard Auxiliary in 2008; since then, Linda has become boat crew qualified, teaches the Active Duty CPR/AED and First Aid, teaches PE, assists with Public Affairs and cooks at Station Jones Beach as one of the AuxChefs.

Linda also belongs to other volunteer organizations: She joined Deer Park Volunteer Fire Department in 1992 as an Emergency Medical Technician and has since held the offices of President of Engine Company 2, 2nd LT of Rescue Company 1, Co-Captain of the EMS bike Team and has taught Fire Safety to the residents of Deer Park.

Linda is also with the Civil Air Patrol/USAF Auxiliary since 2008 and is currently a Captain, serving as Health Service Officer. She has taught Rifle Safety to the Cadets and has been to various Encampments to train cadets. Linda is currently working on her tasks to become Major.

Linda also volunteers her time with The Wounded Warrior Projects and Guardians of Rescue (animal rescue group).

On a side note, Linda is a NYS certified teacher since 1997 and has worked as a Teacher for NYC Dept of Education since 2003. She also teaches CPR/AED and First Aid in her own business. Linda has a Master's Degree in Elementary Education, Bachelor's Degree in Psychology and Associates Degree in Business Management. She was also a Corpsman for the US Navy Reserves.

Linda is a very proud Mother of two adult children and five dogs. She has a Brown Belt in Isshinryu, Red Belt in Kenpo and is a former coach for Golden Gloves Boxing and Long Island Fight for Charities.

She is also a member of the Nassau County Firefighters Pipe and Drums where she is learning to play the Bagpipes. On her free time, she enjoys riding her Harley Davidson motorcycle and is teaching herself how to play the guitar.

Jacqueline "Jackie" Mezquita Fernandez. JD

Jackie is an attorney with a passion for teaching. Jackie received a Bachelor's degree in International Marketing and International Finance prior to receiving her Juris Doctor from University of Miami. This interest in the financial business world

led her to specialize in international white collar crime. Jackie is an anti-money laundering specialist. When a friend asked her to teach a Business Law course, she fell in love with teaching. She is presently the Academic Department Chair for the Paralegal and Criminal Justice programs at Brown Mackie College. Jackie has a wonderful family that she enjoys greatly. She lives with her husband JC and their two chihuahuas in Miami, Florida. Jackie loves to write novels in her spare time and mentor in youth programs. She and her husband volunteer often as a family and enjoy helping others in the community. She joined the Auxiliary in 2007. Jackie is presently the Public Education Officer for her flotilla, teaches boating safety courses, and participates in the telecommunications unit. She has a telecommunications substation at her home covering West Miami area, along with a mobile station.   The adventure has only just begun!

David McClure Ed.D.

David McClure has always been on the lookout for the next adventure.

He was raised in a working class neighborhood, in the city of Worcester, Massachusetts, where there are 9 colleges.   It is no wonder that he sought the educational avenue.
Receiving his Bachelor of Science and Master's Degree from Worcester State University, he then completed a Doctoral Degree from California Coast University. David was the first in his extended family to attend college.

Since his father and two older brothers were Navy veterans, it is no surprise when he enlisted in the Navy Reserves at the age of 17. This was during the Vietnam Era and thinking it was wise to promote himself to an E-4 Radarman, through what we now call Distance Learning, he was called to 2 years of active duty as a college sophomore since he now held a "Critical Rate".

When he returned home he had a new, more mature look at life. He also had a wife, son and two years of college to complete.

David began his career in education as a "Traveling Speech Pathologist" and later moved to a classroom position. It was an interesting experience working with 34 female teachers in a school and being the only male. He later taught grades 3-6 as a math/science teacher. A vice-principal position was offered in a 750 student middle school that was out of control. Bringing the staff and students into a common sense discipline format took a year of effort, resulting in a Doctoral thesis based on Administration of School Discipline. A few years later David became the principal of a K-4, 600 student school.

Since teachers were paid little in the 70's and 80's, he decided to seek an additional part-time job. This was accomplished as a police officer in the town where he taught. He would teach school during the day and work evenings and nights in the cruiser.

He and his wife Carolyn, also an Auxiliarist, raised a son and daughter and now have 5 grandchildren. David retired from education in 2005. His retirement meant that he would be able to volunteer more time in the Coast Guard Auxiliary. His wife was thrilled he would have an outlet for his boundless energy.

David has served as a Vice-Flotilla Commander, Flotilla Commander and Division Commander. He is a member of Flotilla 65 in the First Northern District. It is the largest flotilla in the country with 456 members, where he is the Member Training Officer.

Among his other accomplishments are an appointment as a National Ski Patroller and USCG Auxiliarist since 1991. He has qualifications and experiences such as Keeper of Boston Light, Coast Guard Academy Admissions Partner, National Branch Chief Public Affairs Training Coordinator, CG Food Service, Public Affairs AUX 12 C-School Instructor, Station Cape Cod Canal Watchstander and Boat Crew. Add to this list his qualification as a Massachusetts. Environmental Police Boating Safety Instructor.

AUXLAMS is his new adventure combining the skills and experiences that he has gathered to share with developing leaders.

Robert "Bob" F. Riedl, MAU

"I'm just a poor little Polish kid from Boston," states Bob Riedl when you meet him. He was born and raised in the Jamaica Plain suburb of Boston, Massachusetts. After graduating from Boston Technical High School, he enlisted in the United States Coast Guard. During his enlistment, he was assigned to District One, Boston. He served in damage control on three weather cutters, traveling such the waters as those of the North Atlantic and the Bay of Pigs. His last tour was on the USCGC Eastwind W-279, which took him to McMurdo Sound, South Pole with a stopover in New Zealand.
After his enlistment was up, he took a Civil Service Police Entrance Examination and became a Police Officer in the town of Framingham, MA. During his time on the department, he was in charge of Public and Community Relations as well as developing and teaching in-service training programs for members of the

department. In his last 4 years with the FPD he served as the Administrative Aid to the Chief of Police, which included writing grant proposals for the department that brought in additional funding to support operations. While in these positions, Bob continued his education, earning an A.S. and B.S. in Criminal Justice at Northeastern University and a Masters in Management and Urban Affairs at Boston University. He also initiated his teaching career at that time as an adjunct professor in Criminal Justice at Mount Wachusett Community College in Gardiner, MA, teaching law enforcement courses for military police at Fort Devens Army Installation and business courses under the Pell Grant at some of the Massachusetts Correctional Institutes.

Bob's next job took him from the public to the private business sector, as a security supervisor at Digital Equipment Corporation, where he quickly moved up to the level of Regional Security Manager, responsible for overseeing security operations and access control design at 10 facilities and with a staff of over 85 security officers. It was during this period that he applied and enhanced his personal leadership and management skills from a corporate business perspective.

Bob is currently a fulltime tenured Professor at Holyoke Community College, Holyoke, MA, a position he has held for over 20 years. The focus at this institution is teaching, and he has taught almost all of the Criminal Justice courses in the curriculum, such as Criminal Investigations and Crime Analysis, Human Relations, Police Management and Supervision, Security and Corrections courses, as well as Sociology and Urban Sociology. He has been instrumental in updating and revising the Criminal Justice curriculum in both content and format. Students can now complete an A.S. degree in Criminal Justice that meets the needs of today's society in a traditional classroom setting, fully online coursework, or a combination of both platforms. Bob was also an integral part of the development and implementation of two new areas of study at HCC, Forensics Science and Computer Security and Assurance. Bob's additional teaching at both the graduate and undergraduate levels includes courses in management, leadership, administration and organizational development at Western New England University, Springfield, MA and Westfield State University, Westfield, MA.

Bob has been a member of the US Coast Guard Auxiliary for almost 20 years and has held positions of Flotilla Commander, Division Commander, ADSO-PA, and ADSO-MT –Advanced Leadership.

He is currently the Flotilla Commander for Div. 96, 1NR as well as continuing as ADSO –MT – Advanced Leadership.

Robert "Bob" Thomas, BS

Robert Thomas was born in Kansas City, Missouri, and moved to Portland, Oregon, at age 4.

Mr. Thomas graduated from Portland State College and was drafted into the army. He spent most of the time in Germany. After getting out he went to work for the Aetna Insurance Company. He moved around to Hartford, New York City, Syracuse, New York, and San Bernardino, California. After Aetna Mr. Thomas was the manager of a couple of insurance brokerage firms.

Later, he taught at two different vocational schools. First teaching insurance classes and later preparing students for office clerical work.

Retired in 1989 and he now resides with my wife, two dogs, and three cats on Puget Island, Washington, in the Columbia River. Their son lives in Portland, Oregon.

Commodore Carol A. Urgola, BS (Plank Holder)

Commodore Urgola is currently serving as a Member of the Auxiliary Leadership Guidance Team (LGT) and as the Auxiliary Branch Chief for Senior Leadership. She is also a standing member of the Commandant's Leadership Advisory Council (LAC) and a Leadership and Management Schools (LAMS) instructor.

The Commodore joined the Auxiliary in 1987 and became crew qualified, a master instructor, an Auxiliary Operational Specialist with the AUXOP designation, and has been very active in the Academy Introduction Mission (AIM). She is also a qualified CG Team Coordination Training (TCT) facilitator.

COMO Urgola has served as a member of the Auxiliary National Staff since 1995, as Branch Chief for Membership Growth, Division Chief of Recruitment and Retention and in 1998 was selected Chief-Department of Personnel. She was a charter member of the Commandant's CG Diversity Advisory Council (DAC) from its inception in 1998 until spring of 2001. COMO Urgola also served as National Directorate Commodore for Member Services from 1999-2002. The Commodore was a member of the Auxiliary's Long Range Planning Committee for 2003-2005. COMO Urgola most notably served as the first Auxiliary National Chief of Staff from

2005-2006.   Prior to her current positions, she was the chair of the Auxiliary Information Technology Requirements Team, working with CG-6 from 2006-2009.

COMO Urgola received an Associate degree in biology from Nassau Community College and a Bachelor of Science degree in education/biology from the City University of New York at Queens College. Her graduate certificate in education was earned at State University College of New York at Brockport.

During her 23 years of service in the Auxiliary, COMO Urgola's most notable awards were the Distinguished Service Award presented to her by ADM Thomas H. Collins in 2002 and the Legion of Merit received from ADM Thad Allen in 2008.

COMO Urgola is a native of Long Island, spent 40 years in Rochester, New York and is now a resident of Bolivia, North Carolina. When not involved in Auxiliary activities, COMO Urgola and her husband Peter enjoy cruising on Lake Ontario and through the canals of New York and Canada during the summer, playing golf, renovating and traveling.

About the U.S. Coast Guard Auxiliary

Agency Overview

Established by Congress in 1939 under *title 14, §§ 23* of the U.S. Code, the United States Coast Guard Auxiliary is Semper Paratus(Always Ready). We invite you to explore our site and learn more about who we are and what we do to be "Semper Paratus."

The Auxiliary operates in

- Safety and Security Patrols
- Search and Rescue
- Mass Causality or Disasters
- Pollution Response & Patrols
- Homeland Security
- Recreational Boating Safety
- Commercial Fishing and Vessel Exams
- Platforms for Boarding Parties
- Recruit for all service in the Coast Guard

In addition to the above, the U.S. Coast Guard Auxiliary operates in any mission as directed by the Commandant of the U.S. Coast Guard or Secretary of Homeland Security.

Our Mission

The overarching mission of the U.S. Coast Guard Auxiliary is to contribute to the safety and security of our citizens, ports, and waterways. We balance our missions of Recreational Boating Safety and Coast Guard Support with Maritime Homeland Security and other challenges that emerge as a result of a post-9/11 era.

- Today's Missions

  Today's U.S. Coast Guard, with nearly 32,000 men and women, is a unique force that carries out an array of responsibilities touching almost every facet of the U.S. maritime environment.

The primary mission of the U.S. Coast Guard Auxiliary is Recreational Boater Safety.

We also have the mission to contribute to the safety and security of our citizens, ports, waterways and coastal regions, as directed by the United States Coast Guard.

- National Strategic Plan

  The U.S. Coast Guard Auxiliary's goals and strategies are to ensure the public has a safe, secure, and enjoyable recreational boating experience by implementing programs that minimize the loss of life, personal injury, and property damage while cooperating with environmental and national security efforts.

  The full Strategic Plan for the U.S. Coast Guard Auxiliary, in PDF format, can be downloaded from this web-site.

Organization

The Auxiliary has units in all 50 states, Puerto Rico, the Virgin Islands, American Samoa, and Guam.
Under the direct authority of the U.S. Department of Homeland Security via the Commandant of the U.S. Coast Guard, the Auxiliary is internally operating levels are broken down into four organizational levels: Flotilla, Division, District and National.

U.S. COAST GUARD AUXILIARY AREAS, DISTRICTS, AND REGIONS
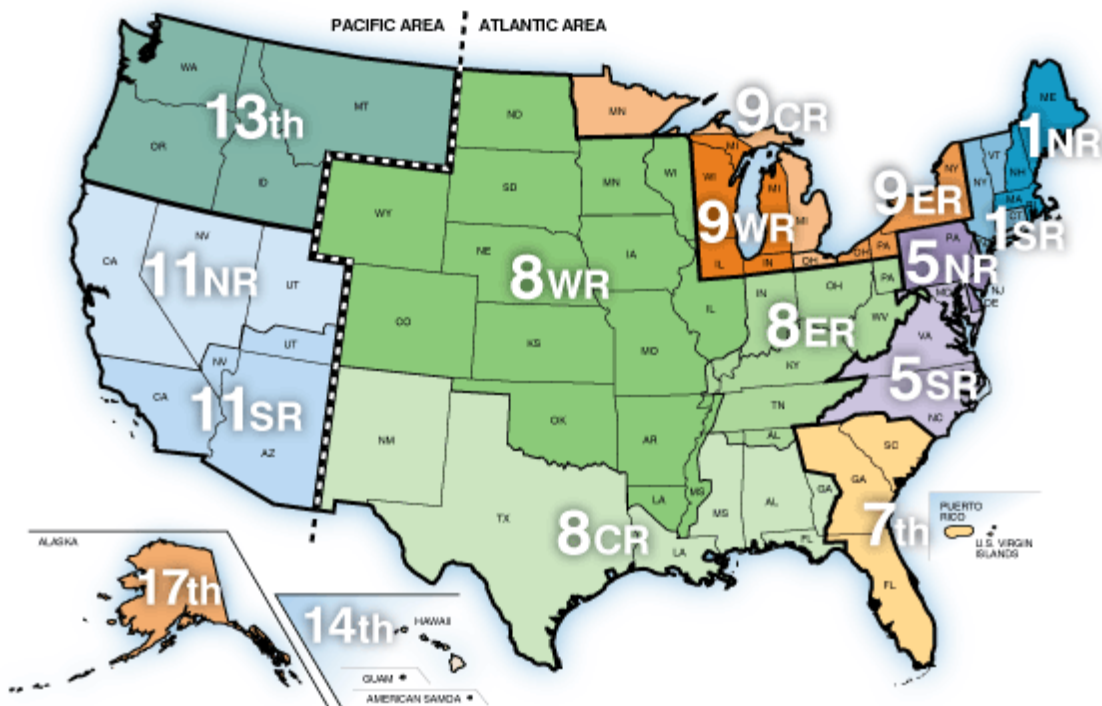
- **National** - The national staff officers are responsible, along with the Commandant, for the administration and policy-making for the entire Auxiliary.

195

- **District** -The District provides administrative and supervisory support to Divisions, promotes policies of both the District Commander and National Committee.
- **Division** - Flotillas in the same general geographic area are grouped into Divisions. The Division provides administrative, training and supervisory support to Flotillas and promotes District & National policy.
- **Flotilla** - The Flotilla is the basic organizational unit of the Auxiliary and is comprised of at least 15 qualified members who carry out the day-to-day missions of "Team Coast Guard". Every Auxiliary member is part of a Flotilla.

Auxiliary History

When the Coast Guard "Reserve" was authorized by act of Congress on June 23,1939, the Coast Guard was given a legislative mandate to use civilian to promote safety on and over the high seas and the nation's navigable waters.

Two years later, on Feb. 19, Congress amended the 1939 act with passage of the Auxiliary and Reserve Act of 1941. Passage of this act designated the Reserve as a military branch of the active service, while the civilian section, formerly referred to as the Coast Guard Reserve, became the Auxiliary under title *14, chapter 23* of the USC.

When we entered World War II, 50,000 Auxiliary members joined the war effort as military teams. Many of their private vessels were placed into service in an effort to protect the U.S.

Retrieved from http://cgaux.org/about.php page last reviewed or updated: March 7, 2012

Coast Guard Auxiliary Leadership and Management C Schools
Flotilla Leadership Course (FLC)

Description

The first course in the Auxiliary Leadership Continuum can be taken individually on-line or be given in a classroom setting.   The 12 modules in this course can each be taught separately, creating the flexibility to self-pace.   The FLC prepares members for their initial leadership roles at the flotilla level. Establishing a leadership strategy and goals, new member development and conflict resolution are discussed. Management aspects of flotilla meetings, budget and duties and responsibilities are also covered.

Target Audience

All members of the Auxiliary are eligible and encouraged to take this course.

Auxiliary Leadership and Management School (AUXLAMS - Aux-02, 02A, 02B)

Description

This course is the Coast Guard LAMS course, adapted for the volunteer Auxiliary situation, and is taught by Coast Guard trained instructors. It is based on the Leadership Competencies, which lay the foundation for all leadership skills necessary to successful leadership in the Coast Guard and the Auxiliary. This is a facilitated and interactive course

dealing with self-awareness, motivation, strategic leadership, team building, ethics, conflict management, volunteer management and performance problem solving. AUXLAMS is the foundation course of the Auxiliary Leadership Continuum. This course is delivered as a one week resident "C" school or as two exportable training weekends, at the request of the host District.

Target Audience

Elected leaders at all levels of the organization should take this course and will be given top priority. However, Auxiliary personnel currently active in any leadership position are eligible for this course. Other Auxiliarists interested in becoming leaders may also attend as long as the class size does not exceed 35 students.

Auxiliary Mid-Level Officer Course (AMLOC – AUX-05A)

Description

This course, in the Auxiliary Leadership Training Continuum, is the third in a series of five Leadership courses and follows the Flotilla Leadership Course FLC, and AUXLAMS (AUX-02). The purpose of this course is to use an interactive classroom environment to build the leadership knowledge, abilities, skills and attitudes of mid-level officers.   It offers mid-level leadership and management skills beyond the basics, with greater emphasis and insight into servant leadership, problem solving and the understanding and development of people skills, time management and roles and responsibilities at the division level. This exportable training must be requested by the District.

Target Audience

Applicants for AUX-05A must be current elected Division Commander, Division Vice Commander or appointed department Division Chief. Flotilla Commanders and Flotilla Vice Commanders with a minimum of AUXLAMS "A" or "B" may also apply.

Auxiliary Upper-Level Officer Course (AMLOC – AUX-05)

Description

This course, in the Auxiliary Leadership Training Continuum, is the fourth in a series of five Leadership courses and follows the Flotilla Leadership Course FLC, AUXLAMS (AUX- 02), or AMLOC road show (AUX-05A). It offers upper-level leadership and management skills beyond the basics, with greater emphasis and insight into problem solving and the understanding and development of people skills, time management, project management and the responsibilities of a district or department level office.

Target Audience

Applicants must be a current elected District Captain or Deputy Department Chief.

Auxiliary Senior Officer Course (ASOC – AUX-07)

Description

This advanced course in the Leadership Continuum is focused on the skills necessary to lead and manage the responsibilities of the District Commodore and Vice Commodore.

Based on the Leadership Competencies, the course covers expectations and responsibilities of National Board and Association Board members, Coast Guard Interface, District management skills and responsibilities, conflict management, strategic planning and implementation, and transition management. Pre and Post-classroom assignments and course deliverables extend the learning experience to a 22 month period, with intense instruction during the resident portion of the course, four major workshops, on-line modules, reading and writing assignments.

Target Audience

Applicants are to be current elected Auxiliary District Chief of Staff or newly appointed National Directorate Commodores.

Coast Guard Leadership and Management C Schools

Leadership and Management School (LAMS)

Description

LAMS is a unique five day course which develops leadership and management skills for first-line supervisors through experienced-based curriculum. All successful LAMS graduates will earn 3 upper-level college credits in organizational development from the American Council on Education (ACE). Lesson topics include communication, ethical fitness, motivation, strategic leadership, and performance appraisal and problem solving. This course addresses eight of the twenty-eight leadership competencies.
1. Self-Awareness and Learning
2. Effective Communications
3. Influencing Others
4. Respect for Others and Diversity Management
5. Team Building
6. Decision Making and Problem Solving
7. Conflict Management
8. Human Resource Management

Target Audience

Active and Reserve E-5 to E-6 and O-2 to O-3, Civilian GS 7-11, WG 8-10 and NAF 3-4 or their equivalent, and Auxiliarists. E-4S in as supervisory role are considered on a case-by-case basis with prior approval from LDC staff.

Team Leader-Facilitator (TLFac)

Description

The purpose of this course is to develop the leadership knowledge, skills and performance of USCG Active Duty, Reserve, Civilian, and Auxiliary members to enable them to more effectively lead teams and serve as change agents. Course objective is to learn and practice tools, techniques and concepts to help students get more from their team efforts. Specifically, skills will be developed in the following areas:
1. Meeting Management
2. Facilitation
3. Team-Leadership
4. Project-Based Learning

5. Leadership Competencies: Team Building, Decision Making and Problem Solving, Customer Focus, Conflict Management, Management and Process Improvement.

Target Audience

Active and Reserve E-6 to E-9, W-2 to W-4. O-1 to O-5, GS-9 to GS-13, and mid-level Auxiliary Officers. High performers in other pay grades are encouraged to attend with supervisor approval. Attendees should have roles ranging from command cadre positions to those who provide direct supervision to groups or teams

Senior Leadership Principles and Skills (SLPS)

Description

The purpose of the course is to use an interactive classroom environment to build the leadership knowledge, abilities, skills and attitudes of mid-level employees. Areas of study will include: self-awareness, leadership theory and models, performance counseling, networking, mentoring, team leadership, effective communication, managing conflict, diversity, ethics and project management

Target Audience

Active and Reserve O-4 to O-5, Civilian GS 12-14, WG 10-15, WL 10-15 and WS 8 and NAF equivalent and mid-level Auxiliary Officers.

Commandant's Performance Excellence Criteria Orientation (CPEC)

Description

Improving the performance of a Coast Guard unit has and is a challenge faced by leaders at every level of the Coast Guard. The concepts contained in the Commandant's Performance Excellence Criteria can be applied at the unit or workplace level. Emphasis is placed on utilization of the concepts contained in each of the seven categories of the CPEC Criteria and the relationships between categories and among the criteria. An objective for students is being able to use this knowledge so they can better lead the units or workgroups under them to achieve organizational mission and goals and continuously improve performance.

Target Audience

Active and Reserve E-6 to E-9, W-2 to W-4, O-1 to O-6, GS-9 to GS-14, and mid-level Auxiliary Officers. High performers in other pay grades are also encouraged to attend with supervisor approval.

Organizational Performance Consultant (OPC)

Description

This course prepares individuals to facilitate the integration of organizational improvement principles and practices into Coast Guard work. Students learn basic consulting methodologies such as systems theory, individual development instruments, group dynamics, and intervention design. Students will be provided with the processes and procedures to function effectively as a consultant. They will be able to assist with the design

and conduct of a workshop, offsite conference, or seminar. Areas of emphasis include consulting models and tools; use of interpersonal skills, and building and maintaining consulting relationships.

Target Audience

Personnel are required to have attended the Team Leader Facilitator Course and Commandant's Performance Excellence Criteria Orientation.

Travel Voucher or Subvoucher
Getting Reimbursed for Travel

You've completed your reimbursable travel and it's time to file your travel claim. Go to the Forms Page on the National website and you will find **DD Form 1351-2**. You can fill the form out on line, or by hand, but either way it will need to be mailed to the Director of Auxiliary Office along with any necessary receipts.

You will, of course, check the **Electronic Fund Transfer** block in section 1 for method of payment. The Coast Guard Financial Center (FINCEN) no longer pays by check, so make sure you have filled out and submitted your Direct Deposit information.

TRAVEL VOUCHER OR SUBVOUCHER

Read Privacy Act Statement, Penalty Statement, and Instructions on back before completing form. Use typewriter, ink, or ball point pen. PRESS HARD. DO NOT use pencil. If more space is needed, continue in remarks.

1. PAYMENT
☒ Electronic Fund Transfer (EFT)
☐ Payment by Check

SPLIT DISBURSEMENT: The Paying Office will pay directly to the Government Travel Charge Card (GTCC) contractor the portion of your reimbursement representing travel charges for transportation, lodging, and rental car if you are a civilian employee, unless you elect a different amount. Military personnel are required to designate a payment that equals the total of their outstanding government travel card balance to the GTCC contractor.

Pay the following amount of this reimbursement directly to the Government Travel Charge Card contractor: $ _____

2. NAME (Last, First, Middle Initial) (Print or type): MEMBER, WANNA B.
3. GRADE: AUX
4. SSN: 123-45-6789
5. TYPE OF PAYMENT (X as applicable): ☒ TDY ☐ PCS ☐ Dependent(s) ☒ Member/Employee ☐ Other ☐ DLA

6. ADDRESS. a. NUMBER AND STREET: 123 ANYWHERE ST b. CITY: JUNEAU c. STATE: AK d. ZIP CODE: 99999
e. E-MAIL ADDRESS: wannab@whatever.net

7. DAYTIME TELEPHONE NUMBER & AREA CODE: 907-123-4567
8. TRAVEL ORDER/AUTHORIZATION NUMBER: 1110350JAU999000
9. PREVIOUS GOVERNMENT PAYMENTS/ADVANCES: 0.00
10. FOR D.O. USE ONLY
a. D.O. VOUCHER NUMBER
b. SUBVOUCHER NUMBER
c. PAID BY

11. ORGANIZATION AND STATION: D17 170-01-01

12. DEPENDENT(S) (X and complete as applicable): ☐ ACCOMPANIED ☐ UNACCOMPANIED
13. DEPENDENTS' ADDRESS ON RECEIPT OF ORDERS (Include Zip Code)

Fill in the information in blocks 2 through 7 as requested. Section 8 will be the **16 digit TRAVEL ORDER NUMBER (TONO)** found on the bottom portion of your orders. In some cases there will be two numbers listed there, one starting with 11 *(which covers all the basic travel expenses)* and one starting with 14 *(covering the airfare charged to the orders)*. You will notice that the accounting information to the right of the TONO number is the same for both. ***The number inserted here will be the one starting with 11*** (i.e. 1110350JAU…). The three numbers following the JAU are unique to your travel claim. Also make sure you include the three zeros at the end of the number making it the full 16 digit travel order number. Finish this portion of the voucher by filling in sections 9 and 11.

Now that you have completed the top portion of your claim, it's time to move to the **ITINERARY**. You'll enter the year under "DATE" in block "a" and then the first day of your travel and place your travel originates.

Tab to the **MEANS/MODE OF TRAVEL** and using the instructions on the back of the form, pick the two letters that apply to your means of travel. In this case, since the Member is traveling by air and charging the fare to the orders, TP is used.

Using the instructions on the back of the form, pick the codes that apply to your travel.

TRAVEL VOUCHER OR SUBVOUCHER

Read Privacy Act Statement, Penalty Statement, and Instructions on back before completing form. Use typewriter, ink, or ball point pen. PRESS HARD. DO NOT use pencil. If more space is needed, continue in remarks.

1. PAYMENT
☒ Electronic Fund Transfer (EFT)
☐ Payment by Check

SPLIT DISBURSEMENT: The Paying Office will pay directly to the Government Travel Charge Card (GTCC) contractor the portion of your reimbursement representing travel charges for transportation, lodging, and rental car if you are a civilian employee, unless you elect a different amount. Military personnel are required to designate a payment that equals the total of their outstanding government travel card balance to the GTCC contractor.

Pay the following amount of this reimbursement directly to the Government Travel Charge Card contractor: $ _____

2. NAME (Last, First, Middle Initial) (Print or type): MEMBER, WANNA B.
3. GRADE: AUX
4. SSN: 123-45-6789
5. TYPE OF PAYMENT (X as applicable): ☒ TDY ☐ PCS ☐ Dependent(s) ☒ Member/Employee ☐ Other ☐ DLA

6. ADDRESS. a. NUMBER AND STREET: 123 ANYWHERE ST b. CITY: JUNEAU c. STATE: AK d. ZIP CODE: 99999
e. E-MAIL ADDRESS: wannab@whatever.net

7. DAYTIME TELEPHONE NUMBER & AREA CODE: 907-123-4567
8. TRAVEL ORDER/AUTHORIZATION NUMBER: 1110350JAU999000
9. PREVIOUS GOVERNMENT PAYMENTS/ADVANCES: 0.00
10. FOR D.O. USE ONLY
a. D.O. VOUCHER NUMBER
b. SUBVOUCHER NUMBER
c. PAID BY

11. ORGANIZATION AND STATION: D17 170-01-01

12. DEPENDENT(S) (X and complete as applicable): ☐ ACCOMPANIED ☐ UNACCOMPANIED
a. NAME (Last, First, Middle Initial) b. RELATIONSHIP c. DATE OF BIRTH OR MARRIAGE
13. DEPENDENTS' ADDRESS ON RECEIPT OF ORDERS (Include Zip Code)

14. HAVE HOUSEHOLD GOODS BEEN SHIPPED? (X one) ☐ YES ☐ NO (Explain in Remarks)
d. COMPUTATIONS

15. ITINERARY

a. DATE		b. PLACE (Home, Office, Base, Activity, City and State; City and Country, etc.)	c. MEANS/ MODE OF TRAVEL	d. REASON FOR STOP	e. LODGING COST	f. POC MILES
2010						
02/11	DEP	JUNEAU, AK	TP			
02/11	ARR	ANCHORAGE, AK		TD		18
02/15	DEP		TP		396.00	
02/15	ARR	JUNEAU, AK		MC		18
	DEP					
	ARR					

ITEM 15 - ITINERARY - SYMBOLS

15c. MEANS/MODE OF TRAVEL (Use two letters)

GTR/TKT or CBA (See Note)	- T	Automobile	- A
Government Transportation	- G	Motorcycle	- M
Commercial Transportation		Bus	- B
(Own expense)	- C	Plane	- P
Privately Owned		Rail	- R
Conveyance (POC)	- P	Vessel	- V

Note: Transportation tickets purchased with a CBA must not be claimed in Item 18 as a reimbursable expense.

15d. REASON FOR STOP

Authorized Delay	- AD	Leave En Route	- LV
Authorized Return	- AR	Mission Complete	- MC
Awaiting Transportation	- AT	Temporary Duty	- TD
Hospital Admittance	- HA	Voluntary Return	- VR
Hospital Discharge	- HD		

ITEM 15e. LODGING COST
Enter the total cost for lodging.

ITEM 19 - DEDUCTIBLE MEALS
Meals consumed by a member/employee when furnished with, or

The next step is to enter your destination with Zip Code in the **ITINERARY** and by tabbing, the **REASON FOR STOP**. Again, using the instructions on the back, pick the proper codes. In this case it would be TD (Temporary Duty).

Another tab stroke will take you to the **LODGING COST**. Enter the total amount of the daily basic room cost. In this case it is $99.00 x 4 days or $396.00. ***DO NOT include the room taxes in this total.*** They will be entered in section 18.

Mileage to the airport (or if you travel to your destination by car) will be entered in the **POC MILES** block.

Continue filling in the rest of your itinerary in the same manner using MC (Mission Complete) as your final "Reason for Stop".

If you have entered mileage in the POC MILES, make sure you also check the **POC TRAVEL OWN/OPERATE** in block 16.

TRAVEL VOUCHER OF SUBVOUCHER

Read Privacy Act Statement, Penalty Statement, and Instructions on back before completing form. Use typewriter, ink, or ball point pen. PRESS HARD. DO NOT use pencil. If more space is needed, continue in remarks.

1. PAYMENT	SPLIT DISBURSEMENT: The Paying Office will pay directly to the Government Travel Charge Card (GTCC) contractor the portion of your reimbursement representing travel charges for transportation, lodging, and rental car if you are a civilian employee, unless you elect a different amount. Military personnel are required to designate a payment that equals the total of their outstanding government travel card balance to the GTCC contractor.
[X] Electronic Fund Transfer (EFT)	
[ ] Payment by Check	Pay the following amount of this reimbursement directly to the Government Travel Charge Card contractor: $ _____

2. NAME (Last, First, Middle Initial) (Print or Type)	3. GRADE	4. SSN	5. TYPE OF PAYMENT (X as applicable)
MEMBER, WANNA B.	AUX	123-45-6789	[X] TDY [X] Member/Employee

6. ADDRESS. a. NUMBER AND STREET	b. CITY	c. STATE	d. ZIP CODE	[ ] PCS [ ] Other
123 ANYWHERE ST	JUNEAU	AK	99999	[ ] Dependent(s) [ ] DLA

e. E-MAIL ADDRESS wannab@whatever.net	10. FOR DO. USE ONLY

7. DAYTIME TELEPHONE NUMBER & AREA CODE 907-123-4567	8. TRAVEL ORDER/AUTHORIZATION NUMBER 1110350JAU999000	9. PREVIOUS GOVERNMENT PAYMENTS/ ADVANCES 0.00	a. DO. VOUCHER NUMBER

11. ORGANIZATION AND STATION D7 170-01-01	b. SUBVOUCHER NUMBER

12. DEPENDENT(S) (X and complete as applicable)	13. DEPENDENTS' ADDRESS ON RECEIPT OF ORDERS (Include Zip Code)	PAID BY
[ ] ACCOMPANIED [ ] UNACCOMPANIED		
a. NAME (Last, First, Middle Initial) b. RELATIONSHIP c. DATE OF BIRTH OR MARRIAGE		

14. HAVE HOUSEHOLD GOODS BEEN SHIPPED? (X one) [ ] YES [ ] NO (Explain in Remarks)	d. COMPUTATIONS

15. ITINERARY

a. DATE 2010		b. PLACE (Home, Office, Base, Activity, City and State; City and Country, etc.)	c. MEANS/MODE OF TRAVEL	d. REASON FOR STOP	e. LODGING COST	f. POC MILES	
02/11	DEP	JUNEAU, AK	TP				
02/11	ARR	ANCHORAGE, AK		TD	396.00	18	
02/15	DEP		TP				
02/15	ARR	JUNEAU, AK		MC		18	
	DEP						
	ARR						
	DEP						
	ARR						
	DEP						
	ARR						
	DEP						e. SUMMARY OF PAYMENT
	ARR						(1) Per Diem
	DEP						(2) Actual Expense Allowance
	ARR						(3) Mileage

16. POC TRAVEL (X one) [X] OWN/OPERATE [ ] PASSENGER	17. DURATION OF TRAVEL	(4) Dependent Travel
18. REIMBURSABLE EXPENSES	12 HOURS OR LESS	(5) DLA
a. DATE b. NATURE OF EXPENSE c. AMOUNT d. ALLOWED		(6) Reimbursable Expenses

Once you have completed your itinerary, move to block 17 and indicate the **DURATION OF TRAVEL**. This includes the entire duration of the TAD period

Section 18 is where you list all your miscellaneous **REIMBURSABLE EXPENSES**. This includes the total lodging taxes shown on your hotel receipt. When your orders indicate you are authorized a rental car, excess baggage, registration fees, etc., here is where you will list those expenses. If you have a question as to whether an expense is reimbursable, please ask. Remember that you will need to include a receipt for any items that exceed $75.00.

			(1) Per Diem	
ARR			(2) Actual Expense Allowance	
DEP			(3) Mileage	
ARR				

16. POC TRAVEL (X one) [X] OWN/OPERATE [ ] PASSENGER	17. DURATION OF TRAVEL	(4) Dependent Travel	
18. REIMBURSABLE EXPENSES		(5) DLA	
a. DATE	b. NATURE OF EXPENSE	c. AMOUNT	d. ALLOWED	12 HOURS OR LESS	(6) Reimbursable Expenses	
02/15	Lodging taxes	48.00			(7) Total	0.00
02/15	Airport Parking	36.00		MORE THAN 12 HOURS BUT 24 HOURS OR LESS	(8) Less Advance	
02/11	Registration Fee	125.00			(9) Amount Owed	
				[X] MORE THAN 24 HOURS	(10) Amount Due	

19. GOVERNMENT/DEDUCTIBLE MEALS

a. DATE	b. NO. OF MEALS	a. DATE	b. NO. OF MEALS
02/13/10	1	Lunch	
02/13/10	1	Dinner	
02/14/10	1	Dinner	

20.a. CLAIMANT SIGNATURE *Wanna B. Member*		b. DATE 2/16/10
c. REVIEWER'S PRINTED NAME	d. REVIEWER SIGNATURE	e. TELEPHONE NUMBER	f. DATE

21.a. APPROVING OFFICIAL'S PRINTED NAME	b. SIGNATURE	c. TELEPHONE NUMBER	d. DATE

22. ACCOUNTING CLASSIFICATION 1110350JAU999000 2 J 001 117 30 0 AU 71830 2155

23. COLLECTION DATA

24. COMPUTED BY	25. AUDITED BY	26. TRAVEL ORDER/ AUTHORIZATION POSTED BY	27. RECEIVED (Payee Signature and Date or Check No.)	28. AMOUNT PAID

DD FORM 1351-2, MAR 2008   PREVIOUS EDITION MAY BE USED UNTIL SUPPLY IS EXHAUSTED.   Exception to SF 1012 approved by GSA/IRMS 12-91. Adobe Designer 7.0

Sometimes, one or more of your meals will be provided, either at no charge to you or by being paid as part of a registration fee. You will need to indicate those meals in section 19, **GOVERNMENT/DEDUCTIBLE MEALS**. In this particular example of a travel reimbursement for the District Conference, three of the meals are covered by the registration fee. The form will only let you put a number in the **NO. OF MEALS** block so after printing the form and before sending to the Director's Office, please indicate which meals were provided.

Section 22 is for the **ACCOUNTING CLASSIFICATION**. Enter the full travel order number and the accounting information from the bottom of your orders.

Once your travel voucher is completed, print the form and sign it with **BLUE INK** in block 20a, dating it in block 20b.

After your travel voucher is completed, signed and dated with **blue ink** make sure you include the following in your travel claim package:

➤ Completed original DD Form 1351-2 signed in blue ink

➤ Copy of your orders *(If you have the ORIGINAL orders, they must be returned with your voucher)*

➤ All necessary receipts for reimbursable expenses including your hotel or any expenses over $75.00, it Is not a bad idea to include all receipts for reimbursable expenses

➤ Your e-receipt from SATO Travel *(even if the airfare was charged to the travel orders)*

➤ Any necessary information to clarify expenses or differences in travel dates from the orders

Your travel claim package should be sent within 5 working days of the completion of your travel to:

Your Director of Auxiliary

If you have any questions concerning your travel claim, please call Your Director of Auxiliary.

203

TRAVEL VOUCHER OR SUBVOUCHER

Read Privacy Act Statement, Penalty Statement, and Instructions on back before completing form. Use typewriter, ink, or ball point pen. PRESS HARD. DO NOT use pencil. If more space is needed, continue in remarks.

1. PAYMENT

| ☒ | Electronic Fund Transfer (EFT) |
| | Payment by Check |

SPLIT DISBURSEMENT: The Paying Office will pay directly to the Government Travel Charge Card (GTCC) contractor the portion of your reimbursement representing travel charges for transportation, lodging, and rental car if you are a civilian employee, unless you elect a different amount. Military personnel are required to designate a payment that equals the total of their outstanding government travel card balance to the GTCC contractor.

Pay the following amount of this reimbursement directly to the Government Travel Charge Card contractor: $ _____

2. NAME (Last, First, Middle Initial) (Print or type)	3. GRADE	4. SSN	5. TYPE OF PAYMENT (X as applicable)	
Coastie, Joe, M.	AUX	225-98-1475	☒ TDY	☒ Member/Employee

6. ADDRESS. a. NUMBER AND STREET	b. CITY	c. STATE	d. ZIP CODE		
400 Sand Island Parkway	Honolulu	HI	96819	☐ PCS	☐ Other
				☐ Dependent(s)	☐ DLA

e. E-MAIL ADDRESS

10. FOR D.O. USE ONLY

7. DAYTIME TELEPHONE NUMBER & AREA CODE	8. TRAVEL ORDER/AUTHORIZATION NUMBER	9. PREVIOUS GOVERNMENT PAYMENTS/ ADVANCES	a. D.O. VOUCHER NUMBER
808-535-3434	1110G80PRA3MA000		

11. ORGANIZATION AND STATION		b. SUBVOUCHER NUMBER
D14 CGAUX HONOLULU, HI		

12. DEPENDENT(S) (X and complete as applicable)

☐ ACCOMPANIED	☐ UNACCOMPANIED		
a. NAME (Last, First, Middle Initial)	b. RELATIONSHIP	c. DATE OF BIRTH OR MARRIAGE	

13. DEPENDENTS' ADDRESS ON RECEIPT OF ORDERS (Include Zip Code)

c. PAID BY

14. HAVE HOUSEHOLD GOODS BEEN SHIPPED? (X one)

☐ YES ☐ NO (Explain in Remarks)

d. COMPUTATIONS

15. ITINERARY

a. DATE 2010		b. PLACE (Home, Office, Base, Activity, City and State; City and Country, etc.)	c. MEANS/ MODE OF TRAVEL	d. REASON FOR STOP	e. LODGING COST	f. POC MILES
08/12	DEP	HONOLULU, HI HOME	PA			
08/12	ARR	HONOLULU AIRPORT		AT		5
08/12	DEP		TP			
08/12	ARR	PHOENIX, AZ		TD		
08/15	DEP		TP		64.99	
08/15	ARR	HONOLULU AIRPORT		AT		5
08/15	DEP		PA			
08/15	ARR	HONOLULU, HI HOME		MC		
	DEP					
	ARR					
	DEP					
	ARR					
	DEP					
	ARR					

e. SUMMARY OF PAYMENT

(1) Per Diem	
(2) Actual Expense Allowance	
(3) Mileage	
(4) Dependent Travel	
(5) DLA	
(6) Reimbursable Expenses	
(7) Total	0.00
(8) Less Advance	
(9) Amount Owed	
(10) Amount Due	

16. POC TRAVEL (X one) ☒ OWN/OPERATE ☐ PASSENGER

17. DURATION OF TRAVEL

| ☐ 12 HOURS OR LESS |
| ☐ MORE THAN 12 HOURS BUT 24 HOURS OR LESS |
| ☒ MORE THAN 24 HOURS |

18. REIMBURSABLE EXPENSES

a. DATE	b. NATURE OF EXPENSE	c. AMOUNT	d. ALLOWED
08/12	EXCESS BAGGAGE	25.00	
08/15	EXCESS BAGGAGE	25.00	
08/12	TAXI TO HOTEL	35.00	
08/15	TAXI TO AIRPORT	35.00	

19. GOVERNMENT/DEDUCTIBLE MEALS

a. DATE	b. NO. OF MEALS	a. DATE	b. NO. OF MEALS

20.a. CLAIMANT SIGNATURE		b. DATE
YOU SIGN AND DATE IN BLUE INK		

c. REVIEWER'S PRINTED NAME	d. REVIEWER SIGNATURE	e. TELEPHONE NUMBER	f. DATE

21.a. APPROVING OFFICIAL'S PRINTED NAME	b. SIGNATURE	c. TELEPHONE NUMBER	d. DATE
I WILL SIGN AND DATE IN BLUE INK			

22. ACCOUNTING CLASSIFICATION
I WILL PROVIDE THIS ON THE TRAVEL VOUCHER ONCE I RECEIVE.

23. COLLECTION DATA

24. COMPUTED BY	25. AUDITED BY	26. TRAVEL ORDER/ AUTHORIZATION POSTED BY	27. RECEIVED (Payee Signature and Date or Check No.)	28. AMOUNT PAID

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PRIVACY ACT STATEMENT

AUTHORITY: 5 U.S.C. Section 5701, 37 U.S.C. Sections 404 - 427, 5 U.S.C. Section 301, DoDFMR 7000.14-R, Vol. 9, and E.O. 9397.

PRINCIPAL PURPOSE(S): This record is used for reviewing, approving, accounting, and disbursing money for claims submitted by Department of Defense (DoD) travelers for official Government travel. The Social Security number (SSN) is used to maintain a numerical identification **filing system for filing and retrieving individual claims.**

ROUTINE USE(S): Disclosures are permitted under 5 U.S.C. 552a(b), Privacy Act of 1974, as amended. In addition, information may be disclosed to the Internal Revenue Service for travel allowances, which are subject to Federal income taxes, and for any DoD "Blanket Routine Use" as published in the Federal Register.

DISCLOSURE: Voluntary; however, failure to furnish the information requested may result in total or partial denial of the amount claimed.

PENALTY STATEMENT

There are severe criminal and civil penalties for knowingly submitting a false, fictitious, or fraudulent claim (U.S. Code, Title 18, Sections 287 and 1001 and Title 31, Section 3729).

INSTRUCTIONS

ITEM 1 - PAYMENT

Member must be on electronic funds (EFT) to participate in split disbursement. Split disbursement is a payment method by which you may elect to pay your official travel card bill and forward the remaining settlement dollars to your predesignated account. For example, $250.00 in the "Amount to Government Travel Charge Card" block means that $250.00 of your travel settlement will be electronically sent to the charge card company. Any dollars remaining on this settlement will automatically be sent to your predesignated account. Should you elect to send more dollars than you are entitled, "all" of the settlement will be forwarded to the charge card company. Notification: you will receive your regular monthly billing statement from the Government Travel Charge Card contractor; it will state: paid by Government, $250.00, 0 due. If you forwarded less dollars than you owe, the statement will read as: paid by Government, $250.00, $15.00 now due. Payment by check is made to travelers only when EFT payment is not directed.

REQUIRED ATTACHMENTS

1. Original and/or copies of all travel orders/authorizations and amendments, as applicable.
2. Two copies of dependent travel authorization if issued.
3. Copies of secretarial approval of travel if claim concerns parents who either did not reside in your household before their travel and/or will not reside in your household after travel.
4. Copy of GTR, MTA or ticket used.
5. Hotel/motel receipts and any item of expense claimed in an amount of $75.00 or more.
6. Other attachments will be as directed.

ITEM 15 - ITINERARY - SYMBOLS

15c. MEANS/MODE OF TRAVEL *(Use two letters)*

GTR/TKT or CBA *(See Note)*	- T	Automobile	- A
Government Transportation	- G	Motorcycle	- M
Commercial Transportation		Bus	- B
(Own expense)	- C	Plane	- P
Privately Owned		Rail	- R
Conveyance *(POC)*	- P	Vessel	- V

Note: Transportation tickets purchased with a CBA must not be claimed in Item 18 as a reimbursable expense.

15d. REASON FOR STOP

Authorized Delay	- AD	Leave En Route	- LV
Authorized Return	- AR	Mission Complete	- MC
Awaiting Transportation	- AT	Temporary Duty	- TD
Hospital Admittance	- HA	Voluntary Return	- VR
Hospital Discharge	- HD		

ITEM 15e. LODGING COST
Enter the total cost for lodging.

ITEM 19 - DEDUCTIBLE MEALS
Meals consumed by a member/employee when furnished with or without charge incident to an official assignment by sources other than a government mess *(see JFTR, par. U4125-A3g and JTR, par. C4554-B for definition of deductible meals)*. Meals furnished on commercial aircraft or by private individuals are not considered deductible meals.

29. REMARKS

a. INDICATE DATES ON WHICH LEAVE WAS TAKEN:

b. ALL UNUSED TICKETS *(including identification of unused "e-tickets")* MUST BE TURNED IN TO THE T/O OR CTO.

PRIVACY ACT STATEMENT

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