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THE NAVY'S CURRENT ETHICS STRATEGY AND POTENTIAL METHODS FOR IMPROVEMENT

December 2017

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The U.S. Navy has been experiencing ongoing ethical issues within its officer ranks. The recent "Fat Leonard" and Marines United photo-sharing scandals, coupled with numerous other less-publicized unethical officer misconduct incidents and infractions, provide examples that, despite the Navy's core tenets of honor, courage, and commitment, problems persist. This thesis uses the private sector and other executive agencies as models by which the Department of the Navy can improve, develop, update, or modernize its ethics education and training strategy. The researchers analyze the Navy Leadership Development Framework as it pertains to ethics training, comparing current Navy strategies with best practices of leadership development and educational techniques in the private sector, other government departments, and military services. Strategy plays a significant role in shaping institutions to achieve desired outcomes and deliver value to their stakeholders; the researchers examine the Navy's strategy using program impact theory by reviewing observation data and publicly available source material. Related recommendations seek to improve the Navy ethics education strategy to further enhance its leaders' competency and character.

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THE NAVY'S CURRENT ETHICS STRATEGY AND POTENTIAL METHODS FOR IMPROVEMENT

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ABSTRACT

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LIST OF ACRONYMS AND ABBREVIATIONS

AACSBI	Association to Advance Collegiate Schools of Business International
AIG	American Insurance Group
ALNAV	All Navy
AOR	Area of Responsibility
CARE	Command Assigned Readiness Enhancement
CEO	Chief Executive Officer
CNO	Chief of Naval Operations
CWO	Chief Warrant Officer
DCOIC	Direct Commission Officer Indoctrination Course
DEOMI	Defense Equal Opportunity Management Institute
DOD	Department of Defense
DON	Department of the Navy
GAO	Government Accountability Office
GMT	general military training
IG	Inspector General
JAG	Judge Advocate General's Corps
LDO	Limited Duty Officer
MBA	Master of Business Administration
MBTI	Myers-Briggs Type Indicator
NETC	Naval Education and Training Command
NLDF	Naval Leader Development Framework
NLDS	Naval Leader Development Strategy
NROTC	Naval Reserve Officer Training Command
NSI	Naval Science Institute
OCS	Officer Candidate School
ODS	Officer Development School
OTC	Officer Training Command
SASC	Senate Armed Services Committee
SCT	standard core training

SECNAV   Secretary of the Navy

STA-21   Seaman to Admiral 21st Century Program

S&P   Standard and Poor

UCMJ   Uniformed Code of Military Justice

USNA   United States Naval Academy

USNI   United States Naval Institute

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I. NAVY ETHICS UNDER SIEGE

The current National Security Strategy emphasizes the development of quality leaders committed to an expert and ethical military profession (Obama, 2015). The Government Accountability Office (GAO) identified numerous issues of misconduct by senior officers related to sexual behavior, bribery, and cheating back as far back as 2012 to justify its study (GAO, 2015). The GAO ultimately found the Department of Defense (DOD) needed to take additional steps to strengthen oversight of ethics and professionalism issues (GAO, 2015). Despite intense scrutiny from the presidential, congressional, and departmental levels, large-scale ethical violations and misconduct continue to persist (U.S. Navy Judge Advocate General's Corps, n.d.).

This thesis sets out to use elements of the private sector and other executive agencies as models by which the Department of the Navy (DON) can improve, develop, update, or modernize its ethics education and training strategy. The researchers offer some strengths, weaknesses, and best practices from other organizations which could inspire positive change within DON. With the increased frequency of ethical violations committed by naval officers, this study seeks to strengthen the character of naval leaders negotiating challenging situations in an operational environment. The goal is to provide meaningful input to develop solutions leading to increased ethical behavior and reduced violations.

A. BACKGROUND

The U.S. uses the Navy to execute its maritime strategy to establish and maintain a forward naval presence to defend the nation, mitigate conflict, respond to crises, eliminate aggression, enhance partnerships, and provide humanitarian relief and disaster response (Mabus, 2015). A preeminent Navy is required to maintain access to oversee markets to maintain America's global success (Mabus, 2015). The Navy's mission is to "recruit, train, equip and organize to deliver combat ready naval forces to win conflicts and wars while maintaining security and deterrence through sustained forward presence" (Spencer, 2017). To achieve its mission, the Chief of Naval Operations (CNO), Admiral

John M. Richardson developed "A Design for Maintaining Maritime Superiority" where he emphasized the Navy's reliance on trust and confidence to adapt to an emerging security environment (2016b). Further, the design goes beyond stressing the Navy's core values of honor, courage and commitment by offering core attributes of "professional identity," or guiding criteria for decisions and actions – integrity, accountability, initiative, and toughness (Richardson, 2016b). Naval officers play a vital role both exemplifying and maintaining these attributes in a high-tempo environment.

Naval officers ensure personnel, installations, and equipment are mission ready (U.S. Navy, n.d.). They serve as leaders, managers, and operators of worldwide facilities and multi-million-dollar platforms (U.S. Navy, n.d.). These men and women guarantee nearly 700,000 personnel perform in an efficient, effective, and unified manner (Calfas, 2017). They manage critical support facilities and are key staff members who plan present and future strategies for various operations around the globe (Calfas, 2017). Naval officers are both stewards and leaders of the world's largest Navy with 277 ships and over 3,700 aircrafts (U.S. Navy, n.d.).

Naval officers execute the nation's sea strategy and manage daily operations around the world (Mabus, 2015). To meet the demands and challenges of the 21st century, such as changes in the physical security, cyber security, and fiscal environments, naval leaders need to exhibit sound judgment and ethical behavior in the face of rising temptation and reduced oversight (Mabus, 2015). As officers become more senior, their authority and influence increases (Greenert, 2013). In the Navy's hierarchical organization, their judgement often initially goes unquestioned, presenting an opportunity for misconduct. Despite checks and balances in place, many times the Navy lags behind actual operations and unethical behavior goes undetected for some period of time as illustrated in the Fat Leonard scandal discussed in the next section. Naval officers bear great responsibility and power that require proven training techniques (Richardson, 2016b). A positive perception of naval leadership amongst its own personnel, the American public, and the world is as important as the Navy's offensive capabilities (Mabus, 2015).

Throughout this country's history, military officers have taken an oath accepting a consummate personal duty (U.S. Naval Academy, n.d.). Officers swear or affirm to "well and faithfully discharge the duties of the office which I am about to enter" (5 U.S. Code § 3331, 2012). This phrase covers not only legal and technical obligations, but also ethical and moral requirements aligned with the country's values (5 U.S. Code § 3331, 2012). Taxpayers expect naval officers to be of the highest ethical caliber and standard bearers (U.S. Naval Academy, 1989). "There is no greater demonstration of the trust of the republic than in its expression and bestowal of an officer's commission" (Allen, 2002). John Paul Jones outlined the qualifications of a naval officer in letters stating:

> It is by no means enough that an officer of the Navy should be a capable mariner. He must be that, of course, but also a great deal more. He should be as well a gentleman of liberal education, refined manners, punctilious courtesy, and the nicest sense of personal honor.
>
> He should be the soul of tact, patience, justice, firmness, kindness, and charity. No meritorious act of a subordinate should escape his attention or be left to pass without its reward, even if the reward is only a word of approval.
>
> Conversely, he should not be blind to a single fault in any subordinate, though at the same time, he should be quick and unfailing to distinguish error from malice, thoughtlessness from incompetency, and well-meant shortcomings from heedless or stupid blunder. In one word, every commander should keep constantly before him the great truth, that to be well obeyed, he must be perfectly esteemed. (U.S. Naval Academy, 1989, p. 28)

These words, enshrined by the U.S. Naval Academy, highlight the importance of not only being a competent officer but also displaying exceptional behavior to be respected and honored. While the public bestows trust on naval officers, it must still be checked—as the old Navy adage goes, *trust but verify*. Congress enacted 10 U.S.C. § 5947, which legally requires exemplary conduct:

> All commanding officers and others in authority in the naval service are required to show in themselves a good example of virtue, honor, patriotism, and subordination; to be vigilant in inspecting the conduct of all persons who are placed under their command; to guard against and suppress all dissolute and immoral practices, and to correct, according to the laws and regulations of the Navy, all persons who are guilty of them;

and to take all necessary and proper measures, under the laws, regulations, and customs of the naval service, to promote and safeguard the morale, the physical well-being, and the general welfare of the officers and enlisted persons under their command or charge. (10 U.S. Code § 5947, 2011, p. 1)

Further, the cornerstone of military law, the Uniform Code of Military Justice (UCMJ) applies to all service members. It mandates superior conduct in Article 133—Conduct Unbecoming An Officer And A Gentleman stating "any commissioned officer, cadet or midshipman who is convicted of conduct unbecoming an officer and a gentleman shall be punished as a court martial may direct" (Uniform Code of Military Justice, 2017).

The Deputy Chief of Naval Operations (Manpower, Personnel, Training and Education) (N1) tasks the Naval Education and Training Command (NETC) to provide tools and training opportunities required to achieve the personal and professional development of the Navy's personnel (Bird, 2012). This command oversees the development of training curricula and materials from various support commands. It conducts gap analyses to identify and address shortfalls between performance and training (Bird, 2012). Additionally, the NETC establishes models to quantify and evaluate training effectiveness for further improvement (Bird, 2012). The training and education of naval officers falls under the purview of the Naval Officer Training Command (OTC) as a subordinate of NETC (Officer Training Command, 2017). Its mission is "to morally, mentally, and physically develop future leaders of character and competence – imbuing them the highest ideal of honor, courage, and commitment in order to service as professional naval officers worthy of special trust and confidence" (Officer Training Command, 2017).

The Naval Leader Development Strategy (NLDS) lists competence and character as the key elements of leadership development for a comprehensive, career-long continuum that integrates four core elements: experience, education, training, and personal development (Greenert, 2013). These leadership development outcomes, discussed by CNO Greenert, produce fully prepared leaders. These methods map out educational milestones throughout an officer's career and become more focused as officers reach into higher levels of leadership via high velocity learning (Richardson, 2017).

B.   PROBLEM STATEMENT

The responsibility of naval officers to safeguard mission success has never been greater (Mabus, 2015). Similarly, opportunities for Navy personnel to engage in unethical behavior is equally as great (Department of Defense Office of General Counsel, 2014). Past and present leaders struggle to pinpoint the exact reasons why unethical behavior exists in the DON (Greenert, 2013; Richardson, 2017). Some experts propose reduced oversight and increased temptations lure persons with power into making bad decisions (Ludwig & Longenecker, 2013). Ever increasing, persistent conflicts have exacted additional stressors on the daily duties of these leaders (Eckstein, 2017). Budget cuts and continuing resolutions have made it difficult for leaders to keep pace with new global threats (Lagone & Grady, 2017). Regardless of suspected causes, the DON's officer corps has experienced historical and recent ethical lapses that need to be addressed.

Regardless of cause or era, ethical violations continue to damage the Navy and its public image (Seck, 2017). A landmark case depicting naval officer impropriety was the 1991 Tailhook scandal (Winerip, 2013). Many consider it as one of the most damning scandals in naval history because of the scope of its findings (Winerip, 2013). The Tailhook Association hosted its 35th annual conference in Las Vegas for over 4,000 Navy and Marine Corps aviation officers (Public Broadcasting Service, 2017). During that weekend, attendees got out of control and 83 women and 7 men suffered indecent assault and indecent exposure (Public Broadcasting Service, 2017). This case led to intense media scrutiny and demands from Congress to change how the Navy operates (Browne, 2007).

Tailhook shed light and focused on systemic problems in the Navy (Browne, 2007). The most obvious were its view and treatment of women in the military, more specifically women in combat (Browne, 2007). This incident led to widespread changes in attitudes and policies across the fleet (Public Broadcasting Service, 2017). Perhaps the biggest changes that can be directly attributed to Tailhook were improvements in sexual assault training and reporting and the greater acceptance of women throughout the DON (Browne, 2007).

The scandal revealed a second issue (Public Broadcasting Service, 2017). The acts of indifference by several, veteran naval leaders allowed good people to let bad things happen (Public Broadcasting Service, 2017). Inappropriate behavior displayed at the Tailhook Convention had happened for many years (Browne, 2007). These indecent acts were insidious in nature and finally came to a head in 1991 (Public Broadcasting Service, 2017). More exhaustive reports of Tailhook went beyond blaming indecent assaults and exposure by a few (Public Broadcasting Service, 2017). The Inspector General (IG) of the Department of Defense (DOD) found several instances of conduct unbecoming an officer, dereliction of duty, failure to act in a proper leadership capacity, false statements, and false swearing during the course of an investigation (Public Broadcasting Service, 2017). In this case, lines of loyalty among perpetrators and victims were blurred (Browne, 2007). According to Brown, staff showed commitment to the perpetrator but a lack of respect toward the victims. Ultimately, Tailhook ended or damaged the careers of 14 admirals and nearly 300 aviators (Public Broadcasting Service, 2017). Then, Secretary of the Navy (SECNAV) H. Lawrence Garrett, III and CNO Frank Kelso, who both attended Tailhook '91, resigned and retired shortly thereafter, respectfully (Public Broadcasting Service, 2017).

More recently, a contracting scandal rocked the U.S. Navy's SEVENTH Fleet (Whitlock & Uhrmacher, 2017). The Fat Leonard case involved a Malaysian defense contractor who was charged and plead guilty to bribing numerous Navy officers with money, prostitutes, and various other gifts (Gault, 2015). The investigation revealed that in exchange for these gifts, the contractor received inside or even classified information that helped him defraud the U.S. government (Whitlock & Uhrmacher, 2017). Criminal charges have been filed against 29 people and another 200 people are under investigation (Gault, 2015). Further, four admirals have been disciplined by the Navy's judicial system (Whitlock & Uhrmacher, 2017). This incident revealed a staggering degree of corruption within the Navy at the highest levels.

The Marine Corps has also suffered extra media attention of its own (Brown, 2017). Illicit photos shared by the Marines United Facebook group received extraordinary media and congressional attention launching the Marine Corps (Brown, 2017). Nearly 90

"persons of interest" investigated could face disciplinary action after the detection of 30,000 Marines circulating nude photos of fellow female Marines (Germano, 2017). The group also shared personal information on the nude women and encouraged sexual assault against them (Brown, 2017). The actions of this group prompted a congressional inquiry and an immediate amendment to the U.S. Navy Regulations Article 1168 disseminated in ALNAV 021/17 expressly prohibiting the "nonconsensual distribution of broadcasting of an image" (Secretary of Defense, 2017).

Operations in the SEVENTH Fleet AOR have resulted in four Navy vessel collisions in eight months. While the particular circumstances in these incidents are still under investigation, often ethical dilemmas precipitate such situations (Klein & Basik, 2016). Leaders asked to do more with less may cut corners in operations and engage in questionable practices which result in negative consequences (Eckstein, 2017). According to a report by the U.S. Naval Institute (USNI), CNO John Richardson testified before a Senate Armed Service Committee (SASC) on Sept 19, 2017 responding, "We have a can-do culture, that's what we do. Nobody wants to raise their hand and say we can't do the mission, but it's absolutely essential that when those are the facts we enable that report" (Eckstein, 2017). The CNO's testimony substantiates the problem that leaders have, commanders face training budget cuts throughout the fleet in conjunction with increased operational tempo (Eckstein, 2017). The Navy's top brass are currently reviewing these situations to determine whether there are systemic problems.

The four previous examples of unethical conduct received national attention and scrutiny that erodes public confidence. However, they are just a small sample of the charges levied against officers (U.S. Navy Judge Advocate General's Corps, n.d.). Table 1 illustrates the depth and breadth of the problem of ethical lapses in the DON, specific charges for 2017 can be found in the Appendix.

Table 1.   Number of Charges Filed against Officers at Special/General Court Martial. Adapted from U.S. Navy Judge Advocate General's Corps (n.d.).

Year	Sexual in Nature	Sex Crimes Involving Children	Property Crimes	Violation of Regs	Conduct Unbecoming	Totals
2017*	5	3	5	14	1	28
2016	7	5	0	5	3	20
2015	10	4	3	13	8	38
2014	12	3	2	11	12	40
2013	5	0	0	5	5	15
Totals	39	15	15	48	29	141

*January through August only

The GAO (2015) identified numerous issues of misconduct by senior officers related to sexual behavior, bribery, and cheating to justify its study. Ultimately, the GAO determined the DOD needed to enhance oversight of ethics and professionalism issues. Further, the report found the DOD required a compliance-based ethics training program that primarily target adherence to rules; however, they recommended the department determine whether a values-based training program would be more appropriate (GAO, 2015). The values-based program "would emphasize ethical principles and decision-making to foster an ethical culture and achieve high standards of conduct" (GAO, 2015). Compliance-based and values-based ethics training will be discussed in a later chapter.

In May 2016, CNO John Richardson drafted a letter to fellow flag officers serving as a reminder to be steadfast in their moral and ethical duties (Richardson, 2016a). The CNO warned the distinguished group against feelings of entitlement, ambition, selfishness, and other compulsions that often motivate leaders to resist their moral compasses (Richardson, 2016a). Particularly, he cautions his contemporaries that the values of the Navy are those most evident through the actions its leaders:

Words about values, no matter how eloquent, can only go so far. My experience is that, like so many parts of our language, these words have become overused, distorted, and diluted. Our, behavior, as an organization and as individuals, must signal our commitment to the values we so often proclaim. As senior leaders, our personal conduct, and the example it sets are essential to our credibility. To many inside and outside the service, the actual values of the Navy are those we senior leaders demonstrate through our behavior. (Richardson, 2016a)

Further, he tasks his colleagues to look inside themselves and correct course as necessary:

We share a professional and moral obligation to continuously examine our motivations and personal conduct, and, where required, adjust our behaviors back in line with our values. Achieving this alignment is best accomplished as a team sport. We cannot relegate this to our legal counselors. We need to help each other and hold each other accountable – this is leader business. Furthermore, we need to select future leaders who have demonstrated estimable character as well as strong operational skill. (Richardson, 2016a)

While Richardson addressed these comments to flag officers, it is relevant to the entire Navy. Everyone should reexamine his/her own actions and modify where appropriate. The Navy team must explore every option to minimize unethical behavior and professional lapses to mitigate further operational consequences, waste of taxpayer resources, and erosion of public trust. Therefore, the foundation must be properly set to ensure the organization is adequately guiding its members employing the best-known strategies and methodologies to train and educate the force on ethical principles and subsequent behavior.

C.   ASSUMPTIONS AND HYPOTHESIS

To meet the nation's call to duty, the Navy aspires to cultivate its officer corps into leaders worthy of trust (Greenert, 2013). The service views competence and character to be so intertwined that the two have to be reinforced simultaneously (Greenert, 2013). To develop competence and character in the community, the NLDS uses four core elements to accomplish this goal – experience, education, training, and personal development:

Experience—is the principal means by which we develop leaders through practical application and learning.

Education—inculcates the fundamental tenets of Navy leadership, broadens the understanding of the naval profession, imparts advanced knowledge, enhances critical thinking, and fosters intellectual and character development.

Training—develops role-specific leadership skills and builds confidence and competence.

Personal development—focuses attention on individual strengths and weaknesses, enables personal evaluation, furthers reflection on Navy and personal values, and contributes to lifelong learning, diversity of thought, and moral growth. (Greenert, 2013)

The Navy has spent considerable time and effort establishing these pillars as the most reliable means to achieve the desired end state (Greenert, 2013). However, the researchers will examine the education and training framework to determine whether the Navy's lack of a focused ethics development strategy contributes to poor judgement that leads to officer misconduct. Developing leaders is a priority for the Navy (Richardson, 2017). The Navy's success is dependent on leadership and leadership is dependent on character (Richardson, 2017). Subsequently, what the Navy does and how the Navy does it matters—this study will investigate these two concepts.

D. MAJOR RESEARCH QUESTIONS

The primary research question is as follows: What is the Navy's strategy for ethics education and training? This question examines whether the Navy has a clear vision and executable strategy on how to train officers on ethics. The question seeks to answer whether recurrent ethical lapses amongst naval officers occur because the Navy lacks a strong cohesive strategy or efficient training methods.

The secondary research question is: How do other organizations educate and train its members on ethics? This question examines how organizations outside the Navy educate and train its members on ethics. For this project, the researchers will review best practices used by the public and private organizations to determine improvements to be considered.

The final research question is: What improvements can be made to the Navy's ethics strategy and ethics education and training programs to provide more purposeful ethical development? The Navy offers annual ethics training for its service members. The researchers further examine whether ethics training is differs between its diverse communities. A more in-depth view examines whether ethics training is a continuous process throughout one's Naval career or administered only at key milestones in an officer's development.

E.   RESEARCH DESIGN

In the development of this project, the researchers executed a comprehensive analysis of the NLDF to achieve its desired end state as it pertains to ethics training and education. While the analysis used primarily qualitative techniques, the researchers employed qualitative and quantitative data from published resources as the foundation for this project. The researcher applied program impact theory to evaluate the effectiveness and efficiency of this framework's ability to accomplish its objectives.

Program impact theory evaluation approach permits the assessment of an intervention in an environment where minimal influence can be exerted by the researchers on the participants, program, and organizational contexts. Thus, the researchers chose a causal theory that illustrates a program's ability to achieve intended goals and outcomes under anticipated conditions. The theory connects intervention factors to outcomes depicting cause and effect (Rossi, Lipsey, & Freeman, 2004). Further, the researchers will compare best practices of ethical leadership known to various ethicists with those employed by the Navy and make recommendations for improvement.

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II. CURRENT NAVY EDUCATION AND TRAINING STRATEGY

A. IMPORTANCE OF STRATEGY

Strategy plays a significant role in shaping institutions. Military leaders, chief executives, and policy makers make strategic decisions to set a course to maximize organizational outcomes. Organizations rely on these outcomes to deliver value to stakeholders by gaining and sustaining competitive advantages (Augier & Marshall, 2017). These competitive advantages separate great organizations from the rest of the pack (Augier & Marshall, 2017). Military strategist, Sun Tzu states, "Strategy is the great work of the organization. In situations of life and death, it is the Tao of survival or extinction. Its study cannot be neglected" (Griffith, 1963).

Strategy involves diagnosis, vision, objectives, actions, and implementations (Augier & Marshall, 2017). Assessing an organization, its competitors, and the environment that it interacts in is a key initial step (Augier & Marshall, 2017). This step develops what direction an organization should go and lays out the long-term vision for that organization (Augier & Marshall, 2017). Although, these initial steps are crucial to the strategic process, they represent only part of the solution. The other part involves how the organization prioritizes its objectives to shape itself into what it wants to be, its approach on how to enact these objectives, and finally the implementation of policies that satisfy that vision (Augier & Marshall, 2017).

Throughout history, nations and organizations that have enjoyed superior human, financial, and technological resources have dominated its competition (Howarth, 1991). The U.S. Navy commanded the sea during World War II (Howarth, 1991). The resource advantaged the Navy developed over Germany and Japan during the height of WWII was a clear example of that dominance (Howarth, 1991). Since then, the Navy's fleet of ships, aircrafts, weapons systems, and personnel have been unmatched by any sea-power (Richardson, 2016b). However, today's global economic and political environment is changing that narrative according to CNO Richardson. Resources are becoming more evenly distributed and the asymmetry in resources that once set the U.S. apart is

shrinking (Richardson, 2016b). With this shift, current U.S. naval leaders recognize operational strategy alone falls short of what the Navy needs to maintain its superiority at sea (Richardson, 2016b). Former CNO Arleigh Burke states:

> There is one element in the profession of arms that transcends all others in importance; this is the human element. No matter what the weapons of the future may be, no matter how they are to be employed in war or international diplomacy, man will still be the most important factor in Naval operations. This is why it is so important that under the greater pressure of our continuing need to develop the finest aircraft, the most modern submarines, the most far ranging carriers and the whole complex of nuclear weapons, we must keep uppermost in mind that leadership remains our most important task. (Greenert, 2013)

The education and training of future leaders is a key component for U.S. naval strategic planning (Mabus, 2015). Officers are the stewards of personnel under their command (Greenert, 2013). This stewardship goes beyond giving orders and the daily supervision of junior Sailors (Greenert, 2013). Commissioned officers are ultimately responsible for the outcomes of the personnel entrusted to them (Richardson, 2017). They craft strategy and policies that affect the development of naval officers (Richardson, 2017). A clear organizational and human capital strategy helps maximize the internal workings of an organization (Mabus, 2015). Secretary Mabus explains organizational strategy develops how human resources fit into operational strategy. He believes it helps streamline trains of thought from top to bottom within the organization and longitudinally between organizational and operational strategy. Mabus surmises organizational strategy coupled with an operational strategy ensure that both work synergistically and ensure the dual approach is fulfilling the Navy's mission.

The DON has published guidelines to disseminate its organizational strategy (Mabus, 2015). They explicitly outline what its priorities are and its strategy for meeting those objectives (Richardson, 2016b). The publications ordered at the strategic, operational, and tactical levels provide direction and guidance to meet those objectives (Griffith, 1963). They include:

- A Design for Maintaining Maritime Superiority

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- The Navy Leadership Development Strategy (NLDS)

- The Navy Leadership Development Framework (NLDF)

- The Naval Education and Training Command Strategic Plan 2013–2023

B. A DESIGN FOR MAINTAINING MARITIME SUPERIORITY

A Design for Maintaining Maritime Superiority is a blueprint of what the Navy needs to do to retain its competitive edge (Richardson, 2016b). The document highlights the importance of achieving high velocity learning at every level. High velocity learning principles rely on looking inward and learning from mistakes (Richardson, 2016b). It describes how leaders can create and sustain broad-based, internally generated improvement, innovation, and invention (Richardson, 2016b). Organizations that follow this dogma will form organizations with unmatched reliability and responsiveness (Spear, 2009). CNO Richardson's goals are to "implement individual, team and organizational best practices to inculcate high velocity learning as a matter of routine" and to "understand the lessons of history so as not to relearn them" (Richardson, 2016b). Furthermore, it is to "strengthen and broaden leadership development programs to renew and reinforce the Navy Team's dedication to the naval profession" (Richardson, 2016b).

The transformation process from civilian to military life is a monumental step but it is only the beginning. Leaders must continue to prepare the next generation of naval officers. The strategy requires officer education and training pipelines to educate and train future leaders. It also calls for programs that build upon the foundation and further develop junior officers throughout their careers. CNO Richardson states, "Leader development will be fleet-centered and will begin early in our careers, focusing on character and commitment to Navy core values. Character and leadership will be rewarded through challenging assignments and advancement" (Richardson, 2016b). CNO John Richardson states:

> Moving forward, we'll respect that we won't get it all right, and so we'll monitor and assess ourselves and our surroundings as we go. We'll learn and adapt, always getting better, striving to the limits of performance. This

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cannot be a "top-down" effort; everybody must contribute. (Richardson, 2016b)

The Navy operates in diverse environments that require less authority and rely more on subordinate trust and confidence (Richardson, 2016b). The design suggests that the fundamental features of professional character provide bearings for conclusions and activities. Further, CNO Richardson adds officers must align themselves with these characteristics coupled with ideals evident by their dealings. These core attributes are outlined in Figure 1.

Integrity: Our behaviors as individuals and as an organization align with our values as a profession. We actively strengthen each other's resolve to act consistently with our values. As individuals, as teams, and a Navy, our conduct must always be upright and honorable both in public and when nobody's looking.

Accountability: We a mission-focused force. We achieve and maintain high standards. Our actions support our strategy. We clearly define the problem we're trying to solve and the proposed outcomes. In execution, we honestly assess our progress and adjust as required- we are our own toughest critic.

Initiative: On their own, everybody strives to be the best they can be- we give 100% when on the job. Our leaders take ownership and act to the limit of their authorities. We foster a questioning attitude and look at new ideas with an open mind. Out most junior teammate may have the best idea; we must be open to capturing that idea.

Toughness: We can take a hit and keep going, tapping all sources of strength and resilience: rigorous training for operations and combat, the fighting spirit of our people, and the steadfast support of our families. We don't give up the ship.
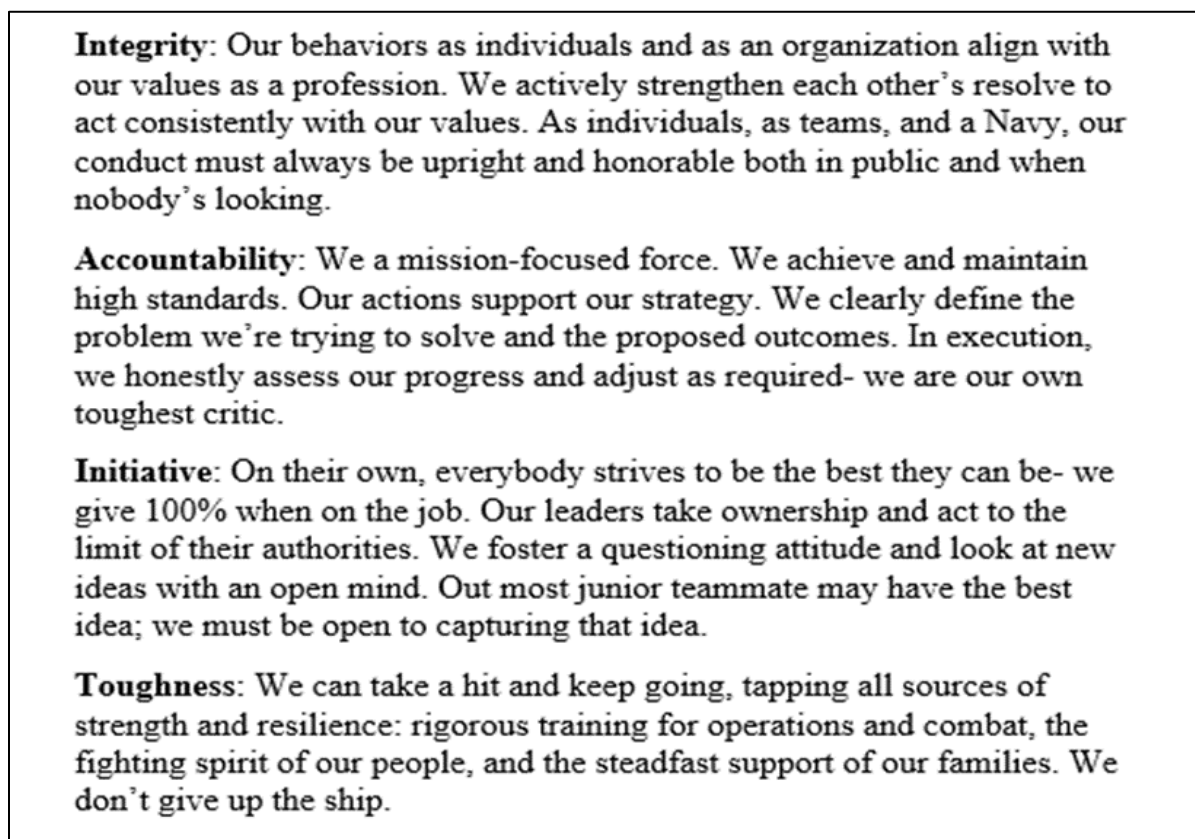
Figure 1. Core Attributes. Source: Richardson (2016b).

To achieve the design for maritime superiority, the CNO speaks of four lines of effort. The primary line of effort affecting ethics education and training is achieving high velocity learning at every level (Richardson, 2016b). Richardson writes it involves the application of "the best concepts, techniques and technologies to accelerate learning as individuals, teams and organizations" (p. 7).

The desired outcome is "a naval force that produces leaders and teams who learn and adapt to achieve maximum possible performance, and who achieve and maintain high standards to be ready for decisive operations and combat" (Richardson, 2016b, p. 8). The design clearly states that learning and leadership development are key elements in preparing better, future leaders (Richardson, 2016b).

C.   NAVY LEADER DEVELOPMENT STRATEGY (NLDS)

The NLDS maps out how future Navy leaders need to be developed in order to become effective leaders in the fleet (Greenert, 2013). Although the NLDS focuses on the development of all future leaders, the researchers' discussion pertains only to commissioned officers (Greenert, 2013). The analysts seek to isolate this cross section of naval personnel and examine whether deficiencies in officer education and training have led to increased frequency of ethical violations committed by naval officers (Greenert, 2013). This study seeks to offer recommendations that might enhance the competency and strengthen the character of naval leaders negotiating challenging situations in an operational environment. Former CNO Jonathan Greenert states, "the human element" is vital to the Navy and "people are the Navy's foundation" (Greenert, 2013). The Navy (2011) assigns officers throughout the fleet with an array of skillsets. The common thread is that they all lead (U.S. Navy, n.d.). In the NLDS, CNO Greenert (2013) emphasizes military leadership and professionalism by furnishing a universal schematic to build upon that is applicable to entire service. Further, he states, "Throughout our naval history great leaders have emerged to meet the challenges of their time; but this cannot be taken for granted. Success in the past is not a guarantee for success in the future" (Greenert, 2013, p. 2). The spectrum of naval operations is broad and diverse and requires that Navy

leaders at all levels be fully prepared to lead across the full spectrum, CNO Greenert asserts.

The NLDS provides career long development by promoting critical thinking, broadening perspectives in decision making, building cultural expertise, fostering innovation, encouraging lifelong learning, and shaping and enhancing character and integrity (Greenert, 2013). Without a deep-seated commitment and comprehensive leader development, the Navy risks producing leaders who are unprepared to lead and possess substandard moral and mental fortitude to ensure future mission successes (Greenert, 2013). Three themes for charting the way forward are strengthening stewardship of the naval profession, increasing commitment to Navy leadership development, and adopting new ways of thinking (NLDS, 2013).

Naval officers are expected to meet developmental outcomes throughout their career (Greenert, 2013). The key foundational elements of core values, moral character, judgement, and leadership are commensurate with appropriate rank (see Table 2) (Greenert, 2013). These are defined for each career milestone and are designed to reflect the responsibility of leaders as they progress through those points (Greenert, 2013). As officers progress, the intent is that they begin as a trusted leader, become a motivational leader, transition to an inspirational leader, and finally reach the pinnacle as a visionary leader (Greenert, 2013).

Table 2.   Foundational Elements in Naval Officer Career Progression Outcomes. Adapted from Greenert (2013).

Foundational Elements	O-1 to O-2 Trusted leader	O-3 to O-4 Motivated Leader	O-5 to O-6 Inspirational Leader	Flag Visionary Leader
Core Values	Understands and lives relationship of Oath to Navy Core Values	Instills Navy Core Values in others	Infuses Navy Core Values in command culture	Guardian of Navy Core Values
Moral Character	Personal values consistent with Navy Core Values	Fosters ethical behavior in others	Moral arbiter for the command	Exemplar for the Navy
Judgement	Practices sound judgement; enforces rules, regulations, and procedures	Anticipates requirements and acts independently	Exercises discernment and acts both boldly and prudently	Embraces forward thinking, strategic perspective
Leadership	Valued team leader Fosters loyalty up and down chain of command	Adaptive leader and team builder Exercises morally responsible, credible leadership	Command leader Embraces authority, responsibility, and accountability of command	Steward of the naval profession of arms. Conveys highest standards of the Service with strength, determination and dignity

As described by Greenert (2013), the officer continuum encompasses the ways, means, and ends of how officers will develop throughout their careers (see Table 2). The ways consist of leadership development results identified as "the character attributes, behaviors, and skills" in the NLDS (p. 9). Delivering these results, according to Greenert, happens by means of experience, education, training, and personal development. The ends refer to the development of fully prepared leaders who have met the required background, education, training, and personal growth for each officer grade grouping (Greenert, 2013).

Table 3.   Core Elements of the Naval Officer Career Progression Officer Continuum. Adapted from Greenert (2013).

Core Elements	Accessions	O-1 to O-2	O-3 to O-4	O-5 to O-6	Flag
Experience	USNA/ ROTC/ OCS	Community Managed Career Paths	Community Managed Career Paths	CMD/MAJCOM Staff/Joint	Succession Planning
Education	Bachelor's Degree	Primary PME NPS/JPME I Advanced Education	Primary PME NPS/JPME I Advanced Education	JPME II Advanced Education/ Fellowships	CAPSTONE PINNACLE C/JFMCC
Training	Basic Military Training	Community-Specific Training Intermediate Leadership Training	Community-Specific Training Intermediate Leadership Training	Advanced Leadership Training Command Leadership School (PXO, PCO, MCC)	NFLEX NPS Flag Courses
	General Military Training Mandated Training	General Military Training Mandated Training	General Military Training Mandated Training	General Military Training Mandated Training	General Military Training Mandated Training
Personal Development			Self-Awareness Tools	360-degree evaluations Self-Awareness Tools	Individuals Development Plans (IDPs)
	Professional Qualifications Professional Reading	Professional Qualifications Professional Reading	Professional Qualifications Professional Reading	Professional Qualifications Professional Reading	Professional Qualifications Professional Reading

D.   NAVY LEADER DEVELOPMENT FRAMEWORK (NLDF)

CNO John Richardson (2017) signed the NLDF Version 1.0 providing his vision of how naval leaders should be built. He describes a global atmosphere that is transforming quickly and becoming more sophisticated offering circumstances for enrichment (Richardson, 2017). Further, he implies that to capitalize on these opportunities leaders must comprehend and anticipate more precisely and ascertain more swiftly than our enemies. CNO Richardson believes this requires leveraging our greatest resource, our people, and developing leaders should be the main focus of the Navy (Richardson, 2017).

CNO Richardson (NLDF, 2017a) characterizes leadership as two lanes on one path. The first develops operational and warfighting competence. Competence is a core skill naval officers must learn as they progress; subsequently, an incompetent leader is an ineffective leader (Richardson, 2017). The second, he explains develops character. CNO Richardson (2017) states, "We must strengthen our ability to always behave consistently with our core values of honor, courage, and commitment." The NLDF (2017) offers four methods to develop character: school, on-the-job, self-guided study, and through mentors.

E.   NAVY EDUCATION TRAINING COMMAND (NETC) STRATEGY

NETC published the Naval Education and Training Command Strategic Plan 2013–2023 that delineate its goals and its desired effects (Quinn, 2013). In Quinn's plan, the most pertinent parts related to ethics education and training include training effectiveness, production efficiency, and career-long Sailor learning and development are outlined in Figure 2.

> *Training Effectiveness* – *Prompt development, deployment, and delivery of effective, high quality training, leveraging state of the art technology and philosophies to satisfy validated and resourced fleet requirements.*
> **Desired Effects:**
> - Deliver graduates that meet the fleet's expectations based on validated and resourced requirements through a robust, standardized process that continually assesses training effectiveness.
> - Exploit world-class instructional design and technology capabilities to clearly tie the curriculum to the work students will perform on the job.
>
> *Production Efficiency* – *Optimize the efficiency of our training pipelines through astute planning, effective resource management, and continuous process improvement.*
> **Desired Effects:**
> - Effectively use resources to optimize training cycle times and reduce the total time and cost to train graduates.
> - Continuously improve business processes by formally instituting Continuous Process Improvement to consistently deliver Sailors ready for fleet operations.
> - Fully engage in the Navy Supply Chain activities to provide the best possible training for the resources invested.
>
> *Career-long Sailor learning and development* – *Enhance opportunities for Navy workforce growth through training and education.*
> **Desired Effects:**
> - Increase fleet readiness through targeted educational opportunities.
> - Encourage the personal development of our Sailors through available education and credentialing opportunities.

Figure 2. Strategic Focus Areas and Desired Effects over the Next 10 Years.
Adapted from Quinn (2013).

Strategy is a key element for all organizations (Augier & Marshall, 2017). An organization that invests time and resources to examine itself, study its competitors, and understand its environment is better prepared to meet future challenges (Augier & Marshall, 2017). Strategic thinking helps shape a strategy that meets the needs of an organization and its stakeholders (Augier & Marshall, 2017). Former CNO Greenert and current CNO Richardson provide guidelines on how to meet the desired objective of building a stronger Navy by building on its competitive advantages (Greenert, 2013; Richardson, 2017). These documents highlight the importance of Sailors and their role in reaching the desired outcome of a maintaining maritime superiority (Greenert, 2013, Richardson, 2017). A common theme among these publications is the development of

naval leaders who are both competent and of good character (Greenert, 2013; Richardson, 2017). Naval officers rely on experience, education, training, and personal development to ensure they know their job and embody the Navy core values of honor, courage, and commitment (Greenert, 2013; Richardson, 2017). While basic officer education and training is an important initial step for members transitioning from civilian life, naval officers require ongoing education and training throughout their careers (Greenert, 2013; Richardson, 2017).

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III. PERFORMANCE OF ETHICS TRAINING AND EDUCATION

While the Navy's leadership development continuum encompasses four core elements, this work will focus on two—training and education (Greenert, 2013). First, important distinctions between training and education should be made. Training can be defined as "the process of teaching employees the basic skills they need to perform their jobs" (Dressler, 2014). It narrowly focuses on a short-term objective and achieves high proficiency in a particular skill (Dressler, 2014). Training prepares recipients for a particular assignment or task—it shows a person how to do something (Dressler, 2014). It typically lacks any type of broader perspective and is only applicable to the task at hand (Dressler, 2014). Education promotes learning, or the acquisition of knowledge, skills, values, beliefs, and habits through storytelling, teaching, and various other methods (Dewey, 1944). It spurs the application of problem solving techniques and imparts ways of thinking (Dewey, 1944). It arms recipients with the long-term ability to prioritize objectives and systematically approach issues and conflict to develop a resolution—it teaches a person how to think (Dewey, 1944).

Many entities take part in providing the service of training and ultimately educating the Navy's officer corps (Bird, 2012). The Officer Training Command (OTC), the U.S. Naval Academy (USNA) and the Naval Reserve Officers' Training Corps (NROTC) provide the initial instruction for naval officers (Officer Training Command, 2017; U.S. Naval Academy, n.d.; Naval Reserve Officers Training Corps, 2017). Additionally, some officers have the opportunity to attend the Naval Postgraduate School (NPS) or Navy War College (NWC) to continue their professional development at the mid and senior levels of the service (Naval Postgraduate School, 2017; U.S. Naval War College, n.d.). Some others choose to pursue master's level education at their own expense, while others opt not to continue at all.

All active and reserve Navy personnel must complete annual general military training (GMT) (Moran, 2015). The training intends "to inform and motivate individuals, on both personal and professional levels, in ways that are relative to their naval careers"

(Moran, 2015). It is a tool utilized to underscore the Navy's core values and is administered both at sea and shore commands (Moran, 2015).

A.   OFFICER TRAINING COMMAND (OTC)

The Navy utilizes the OTC and its subordinate units to provide training and development to indoctrinate civilians and enlisted service members into its officer corps (Bird, 2012). It is located in Newport, Rhode Island and operationally falls under NETC. As the military's largest accession training command, its mission is "to morally, mentally, and physically develop future leaders of character and competence—imbuing them with the highest ideals of honor, courage, and commitment in order to serve as professional naval officers worthy of special trust and confidence" (Officer Training Command, 2017, p. 1). They provide training opportunities for over 1,500 students annually via five programs Officer Candidate School (OCS), Officer Development School (ODS), Limited Duty Officer/Chief Warrant Officer (LDO/CWO) Academy, Direct Commission Officer Indoctrination Course (DCOIC) and the Naval Sciences Institute (NSI) (Officer Training Command, 2017).

1.   Officer Candidate School (OCS)

OCS provides its students with 12 weeks of training offering the foundation for the naval profession (Officer Training Command, 2017). A class team, normally comprised of a Navy lieutenant, chief petty officer, and Marine Corps drill instructor, is assigned to each class to impart the highest principles of duty, honor, and loyalty (Officer Training Command, 2017). They provide training that is intended to promote moral, mental, and physical toughness (Officer Training Command, 2017). The training is divided into the following nine units of classroom instruction instilled by subject matter experts with a vast amount of practical experience: 1) Programs and Policies, 2) Sea Power, 3) Engineering and Weapons, 4) Damage Control, 5) Naval Orientation and Warfare, 6) Leadership, 7) Naval Orientation and Seamanship, 8) Navigation, and 9) Military Law (Officer Training Command, 2017). The units acclimate students from various designators to the challenges of a naval officers they may face upon graduation and commission as an ensign (Officer Training Command, 2017). It is during the

leadership unit that these candidates are provided their first exposure to ethics through lessons, briefs, or a combination of both (Officer Training Command, 2017).

2. Officer Development School (ODS)

ODS is a five-week basic training course designed to prepare newly commissioned staff corps officers, in limited fields, to perform as naval officers (Officer Training Command, 2017). The curriculum facilitates an introduction to the naval culture for the students generally serving in the Medical Corps, Dental Corps, Nurse Corps, Medical Service Corps, Chaplain Corps, Judge Advocate General Corps, nuclear power instructors, and engineers or in cyber warfare (Officer Training Command, 2017). The training for this course delivers the working knowledge and reference material needed to excel in their new roles (Officer Training Command, 2017). It contains nine units: 1) Military Indoctrination, 2) Naval Leadership, 3) Naval Administration, 4) Naval Organization, 5) Sea Power, 6) Military Law, 7) Naval Warfare, 8) Damage Control, and 9) Division Officer Leadership (Officer Training Command, 2017). During both the Naval Leadership and Division Officer Leadership units, these freshly commissioned officers receive training on ethical behavior and moral conduct through various modes of instruction (Officer Training Command, 2017).

3. Limited Duty Officer/Chief Warrant Officer (LDO/CWO) Academy

The LDO/CWO Academy introduces prior senior enlisted Sailors, from various rates, to their new responsibilities as naval officers (Officer Training Command, 2017). The four-week course, known in the fleet as "knife and fork school," provides these technical experts the tools needed to effectively transition into the wardroom (Officer Training Command, 2017). Academics comprise 10 units: 1) Introduction, 2) Health and Wellness, 3) Service Etiquette and Officer Uniforms, 4) U.S. Naval History, 5) Oral Communications, 6) Responsibilities of a Naval Officer, 7) Leadership and Ethics, 8) Written Communications, 9) Officer Administration and Career Development, and 10) U.S. Navy Organization and Defense Strategy (Officer Training Command, 2017). While these students have usually received ethics training at several times at various stages of

their careers, they receive focused ethical training aligned with the functions of their new roles (Officer Training Command, 2017).

4.   Navy Reserve Direct Commission Officer Indoctrination Course (DCOIC)

The DCOIC is a 12-day program that Navy Reserve Officers commissioned via the Direct Commission Program must attend within the first year of their appointment (Braun, 2015). This training provides the basic training needed to perform their duties and responsibilities as a naval officer (Braun, 2015). This condensed version of OCS allows reservists from various designators the opportunity to complete the course during their annual training period (Braun, 2015). The course offers approximately "90 hours of academic instruction, military training, and physical conditioning" required for reserve officers (Braun, 2015). The short course covers numerous lessons such as: 1) Reserve Programs, 2) Leadership and Management, 3) Programs and Policies, 4) Military Customs, 5) Traditions and Regulations, 6) Naval History, 7) Naval Warfare, and 8) Fitness and Wellness Programs with lessons on ethics rolled into the Leadership and Management unit (Naval Reserve Officers Training Corps, 2017).

5.   Naval Sciences Institute (NSI)

The NSI allows fleet Sailors via the Seaman to Admiral (STA-21) Program to complete the eight-week program prior to earning a bachelor's degree from various colleges or universities associated with NROTC units (Naval Reserve Officers Training Corps, 2017). Throughout their training and education period, these candidates remain on active duty (Naval Reserve Officers Training Corps, 2017). Their academic schedule consists of six units equating to 18 semester hours towards degree requirements, which are: 1) Introduction to Naval Science, 2) Sea Power and Maritime Affairs, 3) Naval Ships Systems I (Engineering), 4) Naval Ships Systems II (Weapons), 5) Navigation I, and 6) Navigation II (Seamanship and Naval Operations) (Officer Training Command, 2017). STA-21 candidates also engaged in a four to six-week training period every summer (Officer Training Command, 2017). During these periods, officers receive a substantial

amount of professional training, leadership development as well as moral and ethical education (Officer Training Command, 2017).

B.   U.S. NAVAL ACADEMY (USNA)

The USNA has provided midshipmen top quality education in preparation for naval service since 1845 (U.S. Naval Academy, n.d.). Located in Annapolis, Maryland, the academy is a four-year residential university that offers qualified students an opportunity to earn a bachelor of science degree and commission (U.S. Naval Academy, n.d.). The training builds "plebes" into professional officers with the highest levels of competence and character (U.S. Naval Academy, n.d.). The institution has a Leadership, Ethics and Law Department that offers four courses to solidify midshipmen's leadership qualities, one of which shapes moral standards and ensures that ethical principles align with the Navy's core values (U.S. Naval Academy, n.d.). This department educates these young men and women, arming them with the bedrock required to be "competent officers" (U.S. Naval Academy, n.d.).

C.   NAVAL RESERVE OFFICERS' TRAINING CORP (NROTC) PROGRAM

The NROTC Program is the single largest source of naval officers (Naval Reserve Officers Training Corps, 2017). These midshipmen develop "mentally, morally, and physically" into young naval officers while completing undergraduate degree requirements from over 160 colleges and universities across the nation (Naval Reserve Officers Training Corps, 2017). The program plays a crucial role in laying the basic foundation for character development and ethical behavior (Naval Reserve Officers Training Corps, 2017). Student reservists spend four to six-weeks completing their annual training time commitment during the summer, developing professional knowledge, leadership skills, and create the moral and ethical standards of military service (Naval Reserve Officers Training Corps, 2017). Upon completing their degrees and the NROTC program, the Navy commissions and assigns them to either the surface, aviation, submarine, special operations, and special warfare communities (Naval Reserve Officers Training Corps, 2017).

D.   NAVAL POSTGRADUATE SCHOOL (NPS)

Since 1909, NPS has supplied "relevant and unique advanced education and research programs to increase the combat effectiveness of commissioned officers" (Naval Postgraduate School, 2017). The school provides its students the critical thinking acumen needed to excel as intermediate executives in military service through four graduate schools: 1) the Graduate School of Business and Public Policy, 2) the Graduate School of Engineering and Applied Sciences, 3) the Graduate School of Operational and Information Sciences, and 4) the School of International Graduate Studies (Naval Postgraduate School, 2017). Its academic catalog extends eight courses to scholars specifically targeting ethical analysis, moral reasoning, and decision making coupled with another eight that challenge students to consider the ethical implications of using various systems such as unmanned systems, deliberate deception in computer system defense, and acquisition and contract management (Naval Postgraduate School, 2017).

E.   U.S. NAVAL WAR COLLEGE (NWC)

Established in 1884, NWC facilitates the educational enrichment of naval officers "through rigorous academics, practical learning experiences, or professional development opportunities" (U.S. Naval War College, n.d.). The college educates and develops leaders through six schools, two of which allow its students to earn a master's degree: the College of Naval Warfare and the College of Naval Command and Staff in National Security and Strategic Studies and Defense and Strategic Studies, respectively (U.S. Naval War College, n.d.). The NWC also has a Naval Leadership and Ethics Center designed to hone the personal integrity and ethical leadership of prospective commanding officers, executive officers and command master chiefs (U.S. Naval War College, n.d.). The week-long course prepares leaders for roles in the command triad focusing on character-building applications, individual leadership, and command team unity (U.S. Naval War College, n.d.).

F.   NAVY-WIDE TRAINING

The Navy uses the GMT Program "to reinforce policies, procedures, behavioral expectations, and professional attitudes throughout the Navy" (Moran, 2015). NETC recently established two types of training: Standard Core Training (SCT) and Command Assigned Readiness Enhancement (CARE) (Moran, 2015). Commands conduct SCTs annually; some training lectures must be performed face-to-face by senior leadership while others through Navy eLearning (Moran, 2015). Topics range from Sexual Assault Prevention and Response, Combating Trafficking in Persons General Awareness and Ethics Training (Moran, 2015). Commands also present CARE topics periodically and include subjects like: Alcohol, Drugs, and Tobacco Awareness, Stress Management, and Physical Readiness (Moran, 2015).

Navy Judge Advocate General's (JAG) Officers conducts annual ethics training in person, if available (Office of the General Counsel, 2016). For most naval officers, this is the only required training they receive for a 12-month period that specifically focuses on ethical behavior, moral conduct, and appropriate decision making (Office of the General Counsel, 2016). The training reinforces the Navy's obligation to its core values of honor, courage and commitment and provide a refresher on standards of conduct (Office of the General Counsel, 2016). In recent iterations, these trainings are moving away from a compliance-based approach that motivates officers to obey the laws and regulations towards a values-based approach that encourages to them adhere to the spirit of the law (Office of the General Counsel, 2016). Attempting to make the distinction clear, the audience discusses various scenarios during the training in its "Can I? Should I?" portion stressing that the former only offers "the minimum behavior permissible" while the latter "help guide our decision making" (Office of the General Counsel, 2016). This shift confirms that the DON has assessed and determined an adequate need for a values-based program as recommended by GAO Report 15-711 (GAO, 2015). The report also discusses the need for an adequate measurement tool "to determine whether its ethics and professionalism initiatives are achieving their intended effect."

G. TRACKING/MEASUREMENT TOOLS

A combination of tools have been used to assess the effectiveness of training and education as it relates to ethical behavior and military professionalism in the Navy (Lyle, 2014). Various surveys and psychometrics tools are practical instruments to be levied to extract meaningful feedback (Lyle, 2014).

- Command climate surveys, managed by the Defense Equal Opportunity Management Institute (DEOMI), evaluate various issues such as organizational effectiveness, equal opportunity, as well as sexual assault response and prevention (Department of Defense, 2017).

- The Navy Retention Study Survey evaluates barriers in keeping superior Sailors, such as the quality of leadership. The 2014 survey uncovered a perception of widespread distrust among participants (Snodgrass, 2014).

- Exit surveys, upon the completion of classes and trainings, solicit feedback from students and observers typically focused on the currency and relevancy of the information covered.

- Psychometrics tools, such Myers-Briggs Type Indicator (MBTI), attempt to pinpoint an individual's perception of the world (The Myers & Briggs Foundation, n.d). Trained professionals confidentially administer the assessments strictly on a voluntary basis. The foundation sorts the results into the "best fit" of 16 categories. The Myers & Briggs Foundation (n.d.) states, "If people differ systematically in what they perceive and in how they reach conclusions, then it is only reasonable for them to differ correspondingly in their interests, reactions, values, motivations, and skills."

While the tools outlined above may provide an overall picture of leadership and ethical challenges hindering a unit, command, or fleet, they don't provide an accurate assessment or evaluation of improvement actions or actual effectiveness (Lyle, 2014). These mechanisms cannot directly measure or connect any causal relationship between

ethics training and education to the rate of ethical violations (Robinson, Lee, & Carrack, 2008). The Navy does not have a tool that directly accomplishes this task. The Navy cannot conclude that more intense ethical training will actually achieve the desired results or whether it is marching in the right direction progressing toward that end (Robinson, Lee, & Carrack, 2008).

In summary, naval officers enter the service with varying adherence to ethical values and through the many sources of commission, receive varying intervals of ethical training and education to align them with Navy standards. As illustrated on Table 4, the duration of the training and education periods for each program and subsequent focus on ethics training differs widely, the longest being four years for USNA midshipmen and the shortest being four weeks at LDO/CWO University officers.

Table 4.   Commission Sources and Duration of Training. Adapted from Officer Training Command (2017).

Commission Sources	Overall Training Duration	Ethics Specific Training
OCS	12 weeks	19 hours
ODS	5 weeks	1 hour
LDO/CWO	4 weeks	9 hours
DCOIC	12 days	1 hour
NSI	8 weeks	2 hours
USNA	4 years	3 semester hours
NROTC	2–4 years*	3 semester hours

*NROTC midshipmen can enroll Freshman to Junior year.

While this does not necessarily signify midshipmen leave USNA more ethical than Mustangs leaving LDO/CWO University or any other commissioning source, the full immersion of midshipmen into a military environment for four years is more likely have a lasting impact. With Navy's current budget climate, all officers cannot receive four years of initial training and education, particularly since no direct correlation supports doing so will increase ethical behavior and reduce violations. Nevertheless, the Navy continues to make an effort to promote ethical behavior. It uses some practices exercised by the civilian sector to raise ethical standards in its service members. Those best practices will be explored and compared in the next chapter.

IV. BEST PRACTICES IN ETHICAL EDUCATION AND TRAINING

The turn of the century brought waves of corporate scandals. The leaders of Enron, WorldCom, and American Insurance Group (AIG) exposed widespread ethical deficiencies at the highest levels (The Street, 2013). This exposure resulted in some changes in policy, but unethical behavior by Volkswagen and Wells-Fargo continue to draw negative attention to systemic unethical leadership (Carucci, 2016). The behavior of these leaders damaged their organization's reputation. The trust of its members and consumers were broken. A closer look at these organizations found issues at business schools and the workplace that required solutions (Johnson, 2007). The researchers seek to examine these issues and find best practices to decrease unethical behavior.

Until recently business schools did not teach students leadership ethics. Social science research into leadership ethics is a fairly new topic (Yukl, 2002). Practitioners, scholars, and educators often overlooked the ethical element of leadership. According to the Association to Advance Collegiate Schools of Business International (AACSBI) (2014), opponents have accused business schools of training students to manipulate laws and guidelines in order to achieve goals. Further, some report business schools minimize the importance of ethical conduct in auditing business dealings and may unwittingly embolden students to circumvent rules, processes, and laws to provide beneficial financial reports (Association to Advance Collegiate Schools of Business International (AACSBI), 2014). The presumption by faculty leaders that the bulk of students were ethical qualified in business became doubtful (AACSBI, 2014).

According to AACSBI (2014) recommendations, business schools must increase students' awareness of the numerous issues encompassing corporate responsibility and governance. In order for students to become strong leaders in the field, they will need to be provided tools to recognize and respond to ethical issues, both organizationally and personally (AACSBI, 2014). Faculty needs to engage students individually analyzing good and bad examples of routine business practices consistent with AACSBI's observations. Educators should understand that unethical leadership presents an

opportunity to reinforce positive business practices. The premise is to encourage business education administrators and faculty to examine their current approach to ethics education and how to reinforce this critical component of business school curricula (AACSBI, 2014).

Another consideration was how these measures could be best implemented. Some schools struggled to find a best way to incorporate ethics education into an already packed curriculum (Alsop, 2006). Options included making ethics an elective, intermixing ethical dialogue within courses, having a separate ethics course, and having some combination of the three (Alsop, 2006). Further, Alsop states there was discussion whether ethics education would be more effective as an integrated component into each business course or a required stand-alone class would be better. Some MBA schools have opted for the stand-alone approach. Harvard's Leadership and Corporate Accountability Course is a successful example which puts ethics into a larger framework (Alsop, 2006). The school utilizes case studies that discuss leadership, personal values, the legal, ethical, economic responsibility of companies to stakeholders, and governance issues (Alsop, 2006). Further, the author observed students seem to prefer real world scenarios to ethics lectures from ancient Greek philosophers. He continues some educators want to push beyond ethical case studies. They argue that as future leaders, students need to build an ethical culture into their decision making (Alsop, 2006).

Historical examples demonstrate how several organizations turn its attention to unethical behavior in response to outside pressures like media scrutiny, federal sentencing and congressional investigations, only to revert back to business as usual once the spotlight is removed. The AACSB report recommendations were made in large part due to the fraudulent accounting activities committed by Waste Management, Enron, Tyco International, and Worldcom (Corporate Finance Institute, 2017). The media coverage and public outcry prompted Congress to pass the Sarbanes-Oxley Act in 2002. Its purpose was to protect investors from unethical accounting practices by way of chief executives claiming ignorance. The Sarbanes-Oxley Act mandated senior management certification of reported financial statements (Investopedia, 2017). Since then, HealthSouth, Freddie Mac, AIG, Lehman Brothers, and Bernie Madoff have all been

engulfed in their own accounting scandals (Corporate Finance Institute, 2017). Many of these organizations enacted policies, hotlines, and ways to report infractions but gave members in charge of running these programs minimal support (Weaver, Trevino, & Cochran, 1999). Enron was a prime example. A culture of fraud and deception were exposed, despite having ethical codes and sets of values (Alsop, 2006).

Ethical leadership rests on two precepts. According to Johnson (2007), "First, leaders behave morally as they carry out their roles. Second, they shape the ethical contexts of their groups and organizations." Leaders set the direction and operational tempo for their organizations (Department of the Army, 2015). Organizations guided by ethical leaders set workplace standards for their subordinates and this framework guides the actions one takes to perform their job. The actions of these subordinates are a direct reflection of leaders and their management style. The manner in which one leads can contribute to the actions and finally the results of subordinates (Department of the Army, 2015). Leaders set the tone and vision for the organization and mold it into a clear, coherent strategy (Johnson, 2007). Robbins and Judge state, "If the culture is strong and supports high ethical standards, it should have a very powerful and positive influence on employee behavior" (Robbins & Judge, 2012).

Leaders are under enormous pressure to succeed and meet organizational expectations. With this pressure comes increased ethical demands from its leaders (see Table 5). As one progresses through the leadership continuum they experience greater power, greater privilege, greater information, multiple constituencies, broader responsibility, and multiple loyalty (Johnson, 2007). The Bathsheba Syndrome discusses King David and his challenges as a leader (Ludwig & Longenecker, 2013). Successful leaders are given more responsibility when they demonstrate success with less responsibility. The desire to move up the ladder is natural and should not be construed as a negative in itself, but negative consequences may arise. Successes can lead to a dark side that manifests with an exaggerated sense of personal capability and the need to manipulate outcomes (Ludwig & Longenecker, 2013). Successful individual's appetite for gratification, thrills, control, and more success becomes insatiable (Blotnik, 1987). Individuals can experience personal isolation from loved ones and an absence of intimacy

in their lives which lead to a loss of work-life balance (Berglas, 1986). These leaders can lose touch with reality (Kets de Vries, 1989). Many leaders are not prepared to sustain their success (Kelly, 1988). Also, successful individuals may not experience their success in a significant personal level, which cause some to seek other modes to satisfy their needs (Bier, 1986). Many times, these symptoms lead to an inflated ego that manifests itself in negative emotional, abrasive, disrespectful, and close-minded behavior.

Today's leaders will continue to mature and pick up greater responsibilities. It is imperative that education and training programs focus on young leaders and play out scenarios before leaders become more senior. These simulations allow leaders to slowly synthesize scenarios with others and help individuals formulate what they would do if a similar situation arose in the future. Organizations that discuss past mistakes and simulate real world scenarios will better prepare senior leaders for the difficult decisions they have to make.

Table 5.   Ethical Demands of the Leadership Role. Source: Johnson (2007).

Responsibility	Issues	Abuses
Greater Power	What forms of power to use What goals to pursue How much power to keep How to avoid the corruptive influence of having too much power	Exclusive reliance of positional power (legitimate, coercive, reward) Serving selfish interests Hoarding power/reducing the power of followers Refusing to be influenced Petty tyranny/brutality
Greater Privilege	How many additional privileges leaders should have Determining the relative differences in privileges between leaders and followers How to close the gap between the haves and have-nots	Excessive compensation and severance packages Extreme pay gaps between leaders and followers Self-absorption/ignoring the less fortunate
Greater Information	When to release information and to whom Whether to reveal possession of information Whether to lie to tell the truth What information to collect How to collect information	Withholding needed information Releasing information to the wrong people Lying, deception Using information solely for the personal benefit Violation of privacy rights
Multiple Constituencies	Whether to treat all followers equally When to bend the rules and for whom How to treat outsiders	Playing favorites/creating "out groups" Acting arbitrarily Privileging some outside groups at the expense of others
Broader Responsibility	How far the leader's responsibility extends Whether leaders are responsible for the unethical behavior of followers What leaders "owe" followers What standards should apply to leaders	Failing to prevent follower misdeeds Ignoring ethical problems Failing to take responsibility for the consequences of directives Denying duties to followers Holding followers to higher standards
Multiple Loyalties	How to balance loyalties or duties to many different groups Where to place loyalties Whether to keep or to break trust	Serving selfish interests Ignoring the larger community Breaking promises Taking advantage of vulnerable followers

An organization's success is based on the good habits of its leaders. The little things that leaders do translate to the big things that organizations accomplish. While subordinates are more likely to follow and respect ethical leaders, reinforcing ethical behavior visibly and continuously is necessary. Managers can have an effect on the ethical behavior of their employees by following some core principles:

- Be a visible role model

- Communicate ethical expectations

- Provide ethical training

- Visibly reward ethical acts and punish unethical ones

- Provide protective mechanisms. (Robbins & Judge, 2012)

A.   CHARACTER BUILDING

Character is what an individual believes, values, and how they behave (Department of the Army, 2015). Therefore, positive character building is an essential tool to build ethical leaders. Officers will make positive ethical decisions because they are individuals of high moral character (Department of the Army, 2015). Leaders look for character developmental opportunities to reinforce ethical standards that increase the likelihood of decisions and actions that promote an ethical climate (Department of the Army, 2015). While there is no single design for character development some approaches include the use of role models, storytelling, demonstrating virtuous habits, and learning from leadership passages (Johnson, 2007).

1.   Role Models

Observation and imitation play central roles in the development good and bad behavior. Good role models demonstrate the virtues of compassion, courage, persistence, and consistency. Role models are friends, associates, contemporary political, business, military leaders, and historical figures (Johnson, 2007). Microsoft founder, Bill Gates is known for his vision and current philanthropic endeavors. His success in business and

global affairs serves as a model. Mentors can be a valuable role model in any organization. These figures lend an ear and dispense advice to mentees. Many times, these role models critique their mentees and offer an outside, even harsh opinion on one's situation (Department of the Army, 2015). Furthermore, roles models can be organizations that leaders design and develop. Starbuck's CEO, Howard Schultz transformed a small Seattle coffee shop into a globally recognized brand that prides itself on respect for people, responsible sourcing, and ethical practices (Starbucks, 2017).

2. Storytelling

Life events can turn into lessons learned in the form of stories. Individuals are molded from personal experiences. These collections of life experiences offer tools when one encounters a situation. Individuals have stories from family, school, business, government, religious, and other organization. When ethical leaders share stories, they can impart values and encourage integrity. One example would be officers or senior non-commissioned officers sharing personal warfighting experiences with subordinates (Department of the Army, 2015). Another example would be The Bathsheba Syndrome providing a historical story of King David's rise and fall. King David's plight is applicable to present and future leaders. It strikes at the core of any successful person that ethical, intelligent individuals may fall victim to the lures of success, how a balanced life can reduce the likelihood of the negative effects of success, how increases in privilege and status should be used for strategic vision not personal gain, and the importance of building an ethical team that will both encourage and challenge a leader (Ludwig & Longenecker, 2013). An advantage of storytelling is that an individual doesn't have to experience all life events to benefit. By merely listening to other's life experiences one can learn.

3. Virtuous Behavior

Routines or practices develop into habits. Good habits foster virtuous behavior. The practices of telling the truth, showing courtesy, and treating people with dignity are virtues good leaders intrinsically have or develop over time. It is the leader's job to consistently emulate these virtues and be role models for their subordinates and

organizations (Department of the Army, 2015). Sailors in the Navy live and embody a set of virtues known as The Sailor's Creed.

4. Leadership Passages

Passages are more intensive life events that shape an individual's character (Johnson, 2007). Events involving hardship act as passages in leadership development. Leadership passages fall into four categories: life adversity (losing a loved one, divorce, illness), diversity of life experiences (living abroad, managing work and life balance), diversity of work experiences (starting a new job, joining a new division), and work adversity (losing a job, significant failure, and working with a difficult boss) (Dotlich, Noel, & Walker, 2004). Passages serve as opportunities to open up to others, develop empathy, build resilience, and focus on the important things in life (Moxley, 2004). Using passages requires adaptive capacity. Adaptive capacity allows an individual to accept and overcome passages (Bennis & Thomas, 2002). This is essential because difficult life experiences help individuals in overcoming future situations. Passages are seen as opportunities to make themselves better or help others with advice or stories (Johnson, 2007).

B. MORAL ACTION

Moral action is another tool that can be used. Leaders who know how moral decisions are made and implemented can significantly improve personal and organizational ethical performance. Moral behavior is the based on four psychological sub-processes: moral sensitivity, moral judgement or reasoning, moral motivation, and moral character (Rest, 1986).

1. Moral Sensitivity

Moral sensitivity refers to the recognition of ethical problems. This is a critical step in ethical dilemmas. Knowing that there is an issue is the first step in solving a problem. For organizations, leaders must understand how their actions or inactions impact others, find courses of action, and determine potential consequences for these actions (Rest, 1986). Many times, moral sensitivity is difficult to detect. The recognition

of ethical dilemmas may be silenced by leaders or obstructed by barriers. Some fear what others will think of them if they say something. This silence by leaders discourages subordinates to frame ethical events as ethical scenarios and engage in moral reasoning (Bird, 1996). Executives at Nestle did not see an issue with promoting baby formula to poor African women. They failed to recognize that using polluted water to mix formula made infants sick and breast feeding was not only more economical but more nutritious (Werhane, 1999).

Leaders transition through two stages to boost ethical sensitivity in the workplace (Paine, 2003). The first is to increase the use of moral language to highlight moral side of decisions. Using terms such as right, wrong, justice, values, and immoral embolden followers to frame an incident as an ethical predicament and utilize moral reasoning. Secondly, they should link ethical considerations into every important decision. Leaders who focus their attention on the moral dimension engage in four frames of analysis. Holistically, these lenses grow moral sensitivity and facilitate members ability to open dialogue and address concerns (Paine, 2003). Figure 3 elaborates on the four lenses.

Lens 1: Purpose. Will this action serve a worthy purpose? Proposed courses of action need to serve worthy goals.

Lens 2: Principle. Is this action consistent with relevant principles of our organization? This mode of analysis applies ethical standards to the problem at hand. These guidelines can be general ethical principles, norms of good business practice, codes of conduct, legal requirements, and personal ideals.

Lens 3: People. Does this action respect the legitimate claims of the people likely to be affected?

Lens 4: Power. Do we have the power to take this action? Answers to the first three sets of questions mean little unless leaders have the legitimate authority to act and the ability to do so.
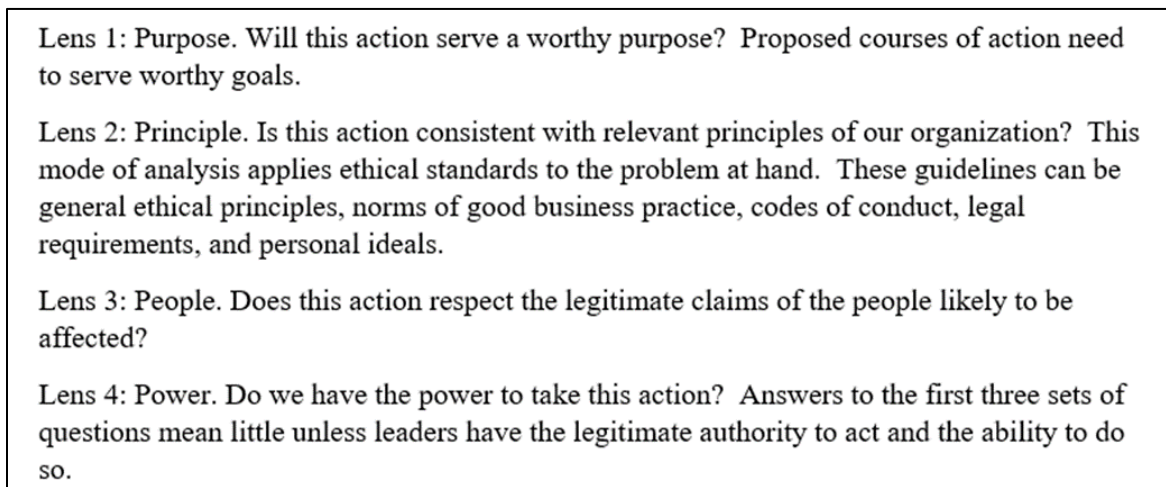
Figure 3. Lenses of Moral Sensitivity. Source: Paine (2003).

2.   Moral Judgement or Reasoning

Moral judgement is the second step of moral action. It requires examining right and wrong options and choosing between the courses of action in moral sensitivity. Moral judgement requires understanding cognitive moral development (Rest, 1986). Individuals progress through moral stages much like they do physical stages (Kohlberg, 1984). As they progress, they become more advanced. Individual reasoning becomes more refined as decision makers develop a broader knowledge of what it means to act morally and one becomes less self-centered (Johnson, 2007).

Adults are categorized either as conventional or principled moral thinkers. Conventional moral thinkers live up to the expectations of family members or significant others. These types of thinkers see the importance of taking care of job responsibilities and go along with societal laws. This explains why organizational members rarely object to unethical practices. These individuals look for others to provide guidance and believe they are acting morally by carrying out their work responsibilities. Regardless of categorization, decision makers can improve their moral reasoning through education and training (Rest, Narvaez, Bebeau, & Thoma, 1999). According to Johnson (2007), "Leaders can develop the decision-making abilities of followers (and themselves) by encouraging continuing education and by providing ethics workshops." Leaders who engage in principled reasoning thinking also encourage those around them to do so (Dukerich, Nichols, Elm, & Vollrath, 1990).

3.   Moral Motivation

Leaders must be motivated to follow-through on the best course of action. Moral behavior will take place only if it takes priority over other factors, such as job security and social acceptance (James, 2000). Reward systems aid in encouraging moral values, but business and personal goals must be in alignment with an organization's ethics policy (Paine, 2003). Mood impacts moral motivation. Positive emotions (happiness, contentment, and joy) makes members more optimistic and creates an environment where workers want to make ethical decisions. Conversely, negative effects (rage, envy, jealously) correlate to antisocial behavior (Eisenberg, 2000). Replacing negative

emotions with positive emotions seems to improve moral motivation (Salovey, Hsee, & Mayer, 1993). These observations suggest leaders need to reward and foster moral behavior, create workplace environments that foster positive emotions, and watch and control their own emotions when facing ethical dilemmas (Johnson, 2007).

4.   Moral Execution

The final stage of moral action is execution (Rest, 1986). Now that leaders have recognized that a problem exists, examined courses of action, and ensured there is motivation sufficient for action, implementation is required. To be successful in this stage leaders require the belief that an individual can directly influence events, have a strong will, and have self-confidence (Trevino & Weaver, 2003). To take action, leaders must combine necessary skills with resolve (Johnson, 2007). For a hypothetical case in which the CNO who wants to convince the U.S. Navy to change its practice, it will require the development of a new strategy. For this strategy to be implemented, it requires communication skills to recruit allies, build working relationships, construct arguments, speak and write effectively, and the utilization of political, persuasive, interpersonal, and organizational skills (Johnson, 2007).

C.   MEASURING PROGRESS: OUTCOMES OF ETHICAL LEADERSHIP

Ethical leadership produces positive results for individuals and organizations. These outcomes can be measured in data received from organizations, members, consumers, and the public. This data provides individuals and organizations information and important feedback. Feedback is an essential tool in assessing the overall ethical behavior of an individual or organization.

1.   Individual Outcomes

Organizations that emphasize ethical behavior as a core competency are more likely to have individuals who exhibit greater personal integrity. Individuals who work for organizations that have ethical codes consider themselves more ethical than employees who work at organizations that do not have them (Adams, Taschcian, & Shore, 2001). Institutions that take steps to combat destructive behavior experience lower

levels of harassment and violence (Northwestern Mutual Life, 1996), and employee theft (Gross-Schaefer, Trigilio, Negus, & Ro, 2000). Working in positive moral climates reduces stress that often occurs when employees disregard their personal moral standards to advance their careers (Valentine & Barnett, 2003). Further, a majority of employees want to act morally. Ethical organizations offer an environment conducive to this type of behavior and these members are less likely to leave their current jobs and are more committed to their employer's collective goals (Valentine & Barnett, 2003).

Individuals who exhibit positive ethical behavior experience better mental, physical, and career health (Johnson, 2007). Unethical behavior is negative behavior. Negative behavior causes more stress on one's body than positive behavior and is damaging to an individual's wellbeing. Besides decreased health related effects, many careers are derailed by unethical behavior. Unethical behavior can lead to termination of employment or imprisonment. Creating a positive ethical environment boosts wellness by encouraging constructive emotions, greater job fulfilment, and increased commitment to the institution (Johnson, 2007).

Ethical individuals expand their ethical capacity. Ethical competence is learned and developed as other leadership capacities, such as strategic thinking, self-confidence, and greater creativity (Van Velsor & McCauley, 2004). Johnson (2007) states, "Ethical skills, attitudes, and motivations developed in one leadership role can increase effectiveness in other leadership positions. Moral sensitivity and principled moral reasoning are important ethical abilities." Supervisors executing strong ethical leadership are more cognizant of the potential ethical repercussions of their choices and ground reasoning on solid moral principles (Johnson, 2007).

2.   Organizational Outcomes

Teamwork is fundamental to the accomplishment of joint efforts. Hosmer (1995) asserts groups, branches, and institutions must organize their energy to accomplish superior results. Trust is essential when working with others, Hosmer continues. Entities that trust each other believe that the other will honor their word and commitments (Hosmer, 1995). Elevated trust is related to increased satisfaction, obligation, and

performance standards (Dirks & Ferrin, 2002; Hosmer, 1995). Initially, social trust is damaged by sinister leaders (Hosmer, 1995). Incivility, aggression, abuse of power, and immoral acts poison the work atmosphere creating an environment where followers are less likely to place themselves in compromising situations (Hosmer, 1995). Ethical conduct has the contrary effect according to Hosmer. He deduces moral leaders promote increased teamwork as employees discover they can count on one another more (Johnson, 2007).

It pays to be ethical. Ethical companies in the Standard and Poor (S&P) 500 perform better than those that are not ethical (Waddock & Graves, 1997). Investors, consumers, and donor want to interact with entities that have positive ethical reputations. An overwhelming majority of Americans surveyed would switch brands to worthy causes if price and quality were similar. The surge in social investing is rising. Americans invested over $2 trillion into mutual funds that are committed to ethics, social responsibility, and the environment (Kottler & Lee, 2005).

The collective moral development, much like individual development, cannot be understated. The ethical capacity of an organization also expands in a positive moral environment (Reidenbach & Robin, 1991). Organizations can be divided into five categories based on moral development shown in Figure 4.

Stage I: Amoral organizations are the least developed. Such companies (telemarketers, spammers) focus solely on the bottom line while largely ignoring ethical considerations.

Stage II: Legalistic organizations (tobacco manufacturers) equate ethics with following government regulations. Their primary focus is on protecting their groups from adverse publicity, fines, and lawsuits.

Stage III: Responsive organizations like Proctor & Gamble respond to ethical problems when they arise.

Stage IV: Emergent ethical organizations (Starbucks) actively manage cultures to improve ethical climate.

Stage V: Ethical organizations (Johnson & Johnson) demonstrate the highest level of ethical development. They integrate values into all decisions and try to anticipate future ethical issues before they arise.
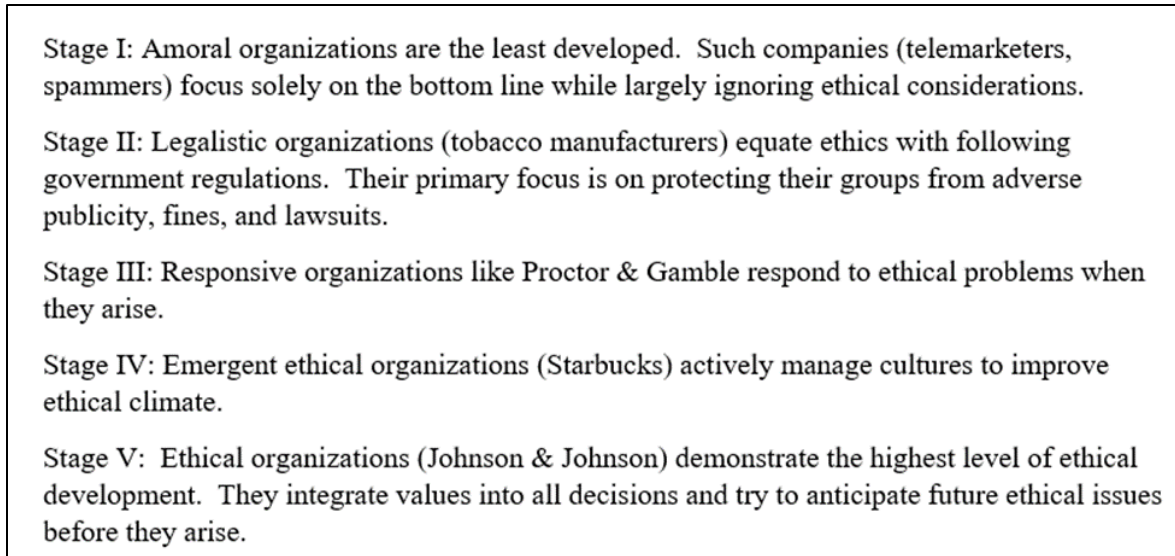
Figure 4. Organizational Development Stages. Source:
Reidenbach and Robin (1991).

Fortune magazine publishes its annual Most Admired Companies list (Korn Ferry Institute, 2017). These rankings are based on surveys from senior executives, directors, and financial analysts to recognize companies with strong reputations both inside and outside of their industries. According to the institute, the companies are evaluated on nine attributes of reputation to determine industry rankings:

- Ability to attract and retain talented people,

- Quality of management,

- Social responsibility to the community and the environment,

- Innovativeness,

- Quality of products and services,

- Wise use of corporate assets,

- Financial soundness,

- Long-term investment value, and

- Effectiveness in doing business globally. (Korn Ferry Institute, 2017)

Fortune's list for 2017 ranked Apple #1 amongst computer makers and all companies, while no other computer makers ranked in the top 20. Apple is widely respected by consumers for innovation. It is also held in high esteem for its ethics, specifically its expectations for its suppliers. According to the Apple Supplier Code of Conduct:

> Apple is committed to the highest standards of social and environmental responsibility and ethical conduct. Apple's suppliers are required to provide safe working conditions, treat workers with dignity and respect, act fairly and ethically, and use environmentally responsible practices wherever they make products or perform services for Apple. (Apple, 2017)

Communicating ethical expectations by written policies is one-way Apple effectively impacts the ethical behavior of its suppliers.

Starbucks ranked #3 overall and #1 amongst the food services industry, while no other food service ranked in the top 20 (Korn Ferry Institute, 2017). Starbuck's business model revolves around more than quality coffee. The "partners" who work at their stores are integral to the success of their company. Starbucks is committed to wellness for all of their workers. They provide generous benefits and are the lone major food and beverage company to offer health benefits to full-time and part-time workers (Mohn, 2017). Communities are also important to them. According to Mohn (2017), partners choose local charities to bolster with cash contributions and volunteer services. Diversity is important to Starbucks and they are committed to adding veterans and refugees to their workforce (Mohn, 2017). Starbuck's customers and partners have donated 25 million trees to coffee farmers. CEO Howard Schultz's leadership and commitment to the community spurs growth in the organization (Starbucks, 2017). Being a visible role model is a way that Starbucks can affect the ethical behavior of its partners, customers, and suppliers.

Southwest Airlines ranked #8 overall and #1 amongst the airline industry, while no other airline ranked in the top 20 (Korn Ferry Institute, 2017). According to Southwest Airlines Senior Vice President of Culture and Communications, Ginger Hardage, the airline instills three values in every employee who is hired (Makovsky, 2013). The first value is a warrior spirit that gives their employees the tools they need to support customers and deliver the product the customer needs (Korn Ferry Institute, 2017). The second one is a servant's heart. According to Hardage, "We believe we need to connect people to what is important in their lives through friendly, reliable, and low-cost air travel. If you respect their concerns and needs, and still provide low-cost and low-fare terms, then you do indeed have a servant's heart" (Makovsky, 2013). The last value is a fun-luving [sic] attitude. Southwest wants people who want to work for them, like to have fun, and do not take themselves too seriously. Customers that recognize these employees are acknowledged by dinners honoring them, in company newsletters, on their intranet, and by the CEO in videos aired during staff meetings (The Street, 2013). Visibly rewarding ethical acts is effective way of encouraging ethical employee behavior (The Street, 2013). It's no wonder Southwest's ticker symbol is LUV (CNN Money, 2017)

Johnson & Johnson ranked #13 and #1 in the pharmaceutical industry, while no other pharmaceutical companies were in the top 20 (Korn Ferry Institute, 2017). It ranks #1 in market capitalization among global pharmaceutical companies. Johnson & Johnson's credo outlines its *put people's needs first* values which led to its decision making. These guiding principles are literally etched in stone and confirm Johnson & Johnson's standing as a reputable company since its start in 1886. The company improves the welfare of the global population through its work with HIV/AIDS, newborn and child health, and tuberculosis (Johnson & Johnson Services, Inc., 2017). Lastly, it invests in the healthcare workforce. The company supports nursing students and nurses through grants and continuing education to prepare midwives for their roles (Johnson & Johnson Services, Inc., 2017).

Costco ranked 15th overall and #1 in the specialty retail industry, while no other brick mortar retailer was in the top 20 (Korn Ferry Institute, 2017). Costco pays its employees approximately 40% more and provides better health insurance and retirement

benefits than Wal-Mart and Target. These factors cultivate an environment of satisfied workers which lead to lower turnover costs. Costco's low employee turnover saves money on training new employees and leads to further reinvestment into its staff members (University of Texas, n.d.). Over the last five years, Costco stock has experienced a 90% gain in stock price compared to Wal-Mart's 31% and Target's -13% (CNN Money, 2017).

Ethics and leadership are inextricably linked. Without ethics one cannot lead an organization effectively. Top executives view honesty and integrity as vital attributes for productive followers and leaders alike (Quick & Goolsby, 2013). High ethical standards yield competitive advantages for organizations. These organizational advantages can be seen in increased profits, greater job satisfaction, and reduced rates of negative behavior (Johnson, 2007). Business schools and organizations recognize there are ethical issues that need to be addressed. Leaders should seek to shape the ethical context by adopting strategies to prevent unethical behaviors and create steps to create a positive ethical culture. They should also seek to acquire ethical leadership tools by building personal character and mastering the components of moral action. Lastly, they should monitor ethical progress. Measuring positive individual outcomes and organizational outcomes will confirm or deny the effectiveness of ethical leadership (Johnson, 2007). These practices are important in creating and sustaining a culture of ethical behavior. While these practices offer general directions on what to do, principles provide leaders further details on how to encourage ethical behavior in their organizations.

There are several principles ethical leaders can use (Robbins & Judge, 2012). First and foremost, leaders should be a visible role models for their peers and subordinates. Actions speak louder than words. A leader's positive actions will more likely result in positive behavior than a talk about ethical behavior. The next is to communicate ethical expectations early and often. This should be done at all levels and through various sources such as meetings, retreats, and training programs. Ethical training programs should be designed to reinforce an organization's core values. Cases studies are important, but it is imperative that leaders discuss why it is important to each organization and how each member plays a role in an organization's structure. Leaders

need to visibly award ethical acts and penalize unethical ones. Members who practice ethical behavior will reinforce more positive behavior, while those that don't practice ethical behavior need to be corrected or replaced. Lastly, protections need to be made for whistleblowers. Policies need to be in place where reporting unethical behavior is common and easy to do. These policies need to reward reporting and protect members from retaliation (Robbins & Judge, 2012). The researchers have examined the Navy's education and training strategy and best practices in ethical leadership. The researchers now set out to determine whether the Navy's strategy meets best practices found in the private and public sector.

V. CONCLUSION

Understanding the Navy's ethics education and training has far reaching impact. Ethics education and training is critical in character development. Character is developed throughout life. In order for officers to find their fullest potential, they must be matured throughout their careers. Investments in ethics education and training are investments in character development.

The tools and knowledge imparted by this program are key to the character development expected of naval officers. In this final chapter, the researchers will 1) compare and contrast best practices of both private and public sectors with the Navy's current practices, 2) apply program impact theory to the Navy's ethics education and training program, 3) summarize answers to the major research questions, and 4) offer suggestions for future studies.

A. COMPARISON AND CONTRAST OF BEST PRACTICES

A review of the Navy ethics education and training reveals it is meeting best practices, but improvements can be made. These best practices include the visibility of role models, communication of ethical expectations, the provision of ethics training, clearly awarding ethical behavior and penalizing unethical behavior, and supplying protective mechanisms for reporting of unethical behavior (Robbins & Judge, 2012). Table 6 lists these best practices and gives examples of the Navy's application.

Table 6. Best Practices in Ethical Education and Training

Best Practices	Navy in Compliance	Examples
Be a visible role model	Yes	- Employs the use of mentorship programs for junior officers and subordinates - Deck-Plate Leadership
Communicate ethical expectations	Yes	- Navy core values of honor, courage, and commit addressed to promote values and positive ethical behavior - Navy Ethos - Uses DON's Employees' Guide to the Standards of Conduct
Provide Ethics Training	Yes	- Education and training provided in different officer accession pipelines - Annual ethics training mandatory for all Sailors
Visibly reward ethical acts and punish unethical ones	Yes	- Reward Ethical Acts-Command recognition for members who are compliant with IG financial audits - Punish Unethical- Captains Mast, referral to UCMJ proceedings
Provide protective mechanisms	Yes	- Whistleblowers are protected from retaliation - Hotlines offered to address confidential reporting - IG contact information posted visibly

The communication of ethical expectations is a best practice (Robbins & Judge, 2012). Organizations that communicate ethical expectations experience higher levels of trust that lead to higher performance, greater satisfaction, and increased commitment at work (Johnson, 2007). The Navy instills the core values of honor, courage, and commitment into every Sailor at commands throughout the fleet. These core values are reiterated in the Navy Ethos. The Navy Ethos communicates a set of beliefs for both Sailors and the civilian personnel that support them.

Providing ethics training to members is a best practice that can help create an ethical work environment (Robbins & Judge, 2012). The Navy provides ethics training for its members at OTC units, USNA, and ROTC (Bird, 2012). Mandatory ethics training is required by all Sailors in the fleet annually (Office of the General Counsel, 2016). The

Navy Leadership and Ethics Center (NLEC) at the Naval War College instructs commanding officers and their staffs how lead ethically and with integrity (U.S. Naval War College, n.d.).

B.   PROGRAM IMPACT THEORY

Impact theory frames the results of a program in a logical model that links its activities to immediate effects and anticipates gradual outcomes (Rossi, Lipsey, & Freeman, 2004). The authors explain the immediate (proximal) effects most directly influenced by the program—those takeaway outcomes that are experienced by participants upon completion. Further, the gradual (distal) effects have the greatest practical importance but are the most challenging to assess and ascribe (Rossi, Lipsey, & Freeman, 2004). Outside influences impact distal effects; subsequently, they may produce ambiguous outcomes. Figure 5 illustrates ethics education and training and the connection between its immediate and gradual effects.
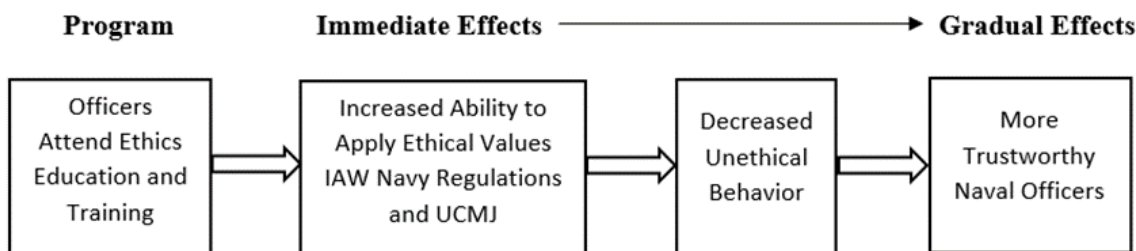

Figure 5. Expected Program Effects on Proximal and Distal Outcome Using
Program Impact Theory

The researchers neither found nor developed a tool that could make a direct correlation between ethics training and unethical behavior, nor the trustworthiness of naval officers for that matter. The researchers observed a sharp decline in ethical violations resulting in special and general court martials in 2016, when it was cut nearly in half (20) compared to the previous two years, 38 in 2015 and 40 in 2014. The GAO (2015) report release prompted the Navy to initiate a shift from compliance-based training to a more values-based approach. However, 28 ethical violations occurred

through the first eight months of 2017 on pace to exceed the highest annual total in the last five years. These results demonstrate the ambiguous nature of distal outcomes and the difficulty in making reliable correlations.

As previously discussed, the Navy does not have an adequate tool or matrix to measure the effectiveness of ethical education and training. The service uses various types of surveys, 360° evaluations and psychometric instruments to understanding big picture challenges, but they do little to evaluate the efficiency of the training conducted (Lyle, 2014). Subsequently, if OTC units, USNA or NWC devoted more time and effort specifically to the ethics training, no direct relationship with behavior can be made. An increase in incidents will not indicate the ethical education and training is inadequate and a decrease will not signify that it is effective. This is a significant issue when it comes to resource allocation and prioritization of scarce taxpayer dollars. However, as Klein and Basik (2016) articulated, the military services should and will continue to strive for zero defects in an effort to strengthen professionalism because as service members our ethical lapses have intense ramifications. Therefore, the authors conclude that while most service members are ethical and act in accordance with our core values, we should remain continuously dedicated to enhance our professional ethic, no matter how steadfast it presently is. Klein and Basik (2016) stated it best, "Good enough is never good enough" (p. 30).

C.   ANSWERS TO MAJOR RESEARCH QUESTIONS

The researchers began this project with three major questions. They were designed to understand the Navy's vision and strategy pertaining ethics education and training, examine public and private organizations reviewing best practices and recommend improvement based our exploration. The findings for those questions are summarized in the following sections.

(1)   What is the Navy's strategy for ethics training and education?

Ultimately, the Navy's strategy for ethics training and education is to actualize best practices to impart high velocity learning throughout its ranks (Richardson, 2016b). CNO Richardson stresses the importance of heeding lessons of the past so we do not find

a need to reeducate ourselves as one such practice. The maritime design emphasizes using core attributes of integrity, accountability, initiative, and toughness to aid our decision-making process as yet another best practice. Further, it adds the demonstration of critical features of character and leadership should be incentivized via demanding assignments and promotion (Richardson, 2016b).

Learning and leadership development are identified by the CNO as the fundamental elements in the preparation of more advanced, future leaders. The NLDF (2017) provides the vision on how leaders should be built. The framework lists competence and character as the two lanes on one path to leadership. Schools, on-the-job training, self-guided study, and mentorship help cultivate these qualities (Richardson, 2017). To promote the Navy's high velocity learning, NETC supplies tools and resources to educate and train its personnel (Quinn, 2013). NETC's strategic plan states its outcomes and desired effects as effective training that meets the needs and expectations of the fleet, efficient production that optimizes limited funds, and career-long learning and development that raise and maintain fleet readiness by providing instructional opportunities for the duration of naval service.

(2)   How does other organizations educate and train members on ethics?

To educate its members, public and private organizations utilize employee orientation sessions to introduce members to corporate ethics policy, review codes of conduct, and incident reporting protocols. Additional training sessions reinforce problematic areas or ethical issues that are not covered by existing policy. Corporate ethics programs are relatively new but are growing in number. Its primary goal is to communicate corporate values, provide assistance for employees facing ethical dilemmas, standardize acceptable behavior, and establish mechanisms for oversight and enforcement (Johnson, 2007). The defense industry has some of the most extensive ethics programs. Its programs include codes of conduct, statements of corporate values, hotlines, ethics seminars, corporate ethics agencies, and ethics boards (Johnson, 2007).

Army and Air Force ethics training programs are similar to the Navy's. Each of its ethics trainings are administered through respective general counsel departments.

Traditionally, GMTs have been for the masses type of training sessions. The DOD as a whole is moving towards values-based training to develop servicemembers' ethical development while encouraging individuals to seek opportunities to couple that with personal development and mentorship. The shift seeks to develop the character of participants arming them with a practical tool with universal application.

> (3)   What improvements can be made to the Navy ethics strategy and ethics education and training programs to provide more purposeful ethical development?

The Navy's ethics education and training can be improved by taking several steps. First, the Navy must develop an adequate tool to measure effectiveness. The Navy lacks a means to produce an acceptable link to enhancement actions (Lyle, 2014). Without such a mechanism, a causal relationship cannot be established between ethics education and training and the rate of ethical violations (Robinson, Lee, & Carrack, 2008). Subsequently, whether OTC units, USNA or NWC devoted more time specifically to the ethics training, no direct correlation with behavior can be validated. If incidents increased, it doesn't mean the training was inadequate and if it decreased, it was effective. This is a vital factor when it comes to resource allocation and priority planning.

Second, the DOD, and the Navy specifically, currently provides a more values-based approach to ethics education and training and should continue to make bigger strides in this direction in the future (Office of the General Counsel, 2016). Previous iterations of annual ethics education and training directed efforts on compliance, stressing strict obedience to rules and regulations that govern the behavior of service members (GAO, 2015). However, the trend towards a values-based approach challenges naval officers to consider the spirit of the law vice blind adherence (Office of the General Counsel, 2016). Annual ethics training seminars now point out some legal acts of the standards of conduct conflict with the Navy's core values and inversely, some acts aligned with the Navy's core values conflict with the standards of conduct. The two must be coupled to develop and exercise the sound decision-making skills to avoid even the appearance of ethical violations (Office of the General Counsel, 2016).

Third, the Navy should infuse more ethics education and training at various career milestones. Officers have different roles and responsibilities at the division officer, department head, executive officer, and commanding officer levels. Ethics training should be tailored to an individual's responsibility level. Although ethical values are universal, a case for junior enlisted personnel may meet the needs of senior officers. Therefore, a one-size fits all approach may not meet the Navy's needs Finally, incremental ethics training at career milestones will introduce officers to the value and responsibility of privilege and access early. This training early on will help build upon ethics training designed for the next levels and help officers avert some unethical behavior at lower levels.

Finally, the Navy follows best practices from the private and public sector discussed in the previous chapter. However, there is always room for improvement. The Navy communicates ethical expectations through officer training programs and through GMT. Ethical training is a best practice, but the Navy does not standardize ethics training time among its various officer training pipelines. This baseline would provide officers more similar training and reduce variability in the fleet. Another best practice in ethical education and training is the act of visibly rewarding ethical acts and punishing unethical behavior. Although this occurs, this is an uneven practice, where the Navy prides itself on rewarding in public and disciplining in private. In some cases, senior members have been shielded from punishment. The means to report ethical violations in the workplace is another best practice. The Navy encourages members to report fraud, waste, and abuse to the IG. This is powerful tool to deter unethical behavior, but only if members know about its availability and are encouraged to use it.

D.   FUTURE STUDIES OR FOLLOW-UP

In the process of conducting this project, the researchers noted a few opportunities for future studies, exploration, or development. First, we have noted the Navy does not have a tool to measure the effectiveness of its ethics program. In-depth studies should be conducted to develop tools that measure or indicate the effectiveness of ethics education and training. Service members will always need to develop moral and ethical character; it

is a career-long process. Unfortunately, the services currently cannot be sure the program adequately meets those needs.

Second, the Navy used various mediums to conduct ethics education and training. Classroom instruction, computer-based training, and facilitation are a few methods employed to administer ethics development. Research should be conducted to determine whether these mediums are the most effective for the adult learners in the services. As the Navy continues to turnover personnel and millennials make up the majority of the population, the effectiveness of these techniques must be reexamined. Further, preparations must be made for generation Z whose natural tech savvy abilities would be wasted in antiquated curriculums increasing boredom and could lead to participants loosing focus and ignoring the training all together. Steps must be taken to ensure the best medium is provided to efficiently cater to the largest audience.

Finally, mentorship is a key component of ethical development. While this factor was beyond the scope of our project, we do believe it should be explored. Numerous questions come to mind on this topic. What is the criteria for ethical mentorship? Who should or should not be mentors? Did those who have experienced ethical lapses seek counsel from mentors prior to their actions? Why was the counsel disregarded? Does the Navy develop ethical mentors? These are all questions worthy exploring to determine the effects of ethical mentorship.

APPENDIX. SPECIFIC CHARGES FILED AGAINST OFFICERS AT GENERAL OR SPECIAL COURTS MARTIAL, JANUARY THROUGH AUGUST 2017

Derived from Results of Trial (U.S. Navy Judge Advocate General's Corps, n.d.)

- JAN 2017 LT sexual assault

- JAN 2017 LCDR four specifications of wrongful appropriation

- JAN 2017 LT two specifications of sexual assault

- MAR 2017 LT one specification each of stalking, assault consummated by a battery, communicating a threat, fraternizing, unlawful entry

- MAR 2017 ENS one specification of stalking

- APR 2017 LTJG one specification of sexual harassment, one specification of driving a vehicle while intoxicated, two specifications of sexual assault, one specification of extortion, one specification of burglary, two specifications of conduct unbecoming an officer and gentlemen, one specification of communicating a threat, and one specification of unlawful entry

- MAY 2017 LT attempted sexual assault of a child, attempted sexual abuse of a child, solicitation of child pornography

- MAY 2017 LTJG one specification of assault consummated by battery

- JUN 2017 LTJG sexual assault and abusive sexual contact

- JUN 2017 CAPT two specifications of attempted sexual abuse of a child, and one specification each of attempted sexual assault of a child, wrongful use of a Government cell phone, and conduct unbecoming an officer

- JUN 2017 LCDR one specification each of wrongly transporting classified material, wrongly failing to store classified material as SECRET, wrongly failing to report foreign connections to the security manager, two specifications of false official statement, and two specifications of communicating defense information

- JUL 2017 LTJG failure to go to his appointed place of duty, false official statement, drunken operation of a vehicle, wrongful use of a controlled substance, breaking restriction

- JUL 2017 LCDR "one specification of unauthorized absence, one specification of failure to provide a urinalysis sample, one specification of wrongful use of a controlled substance"

- JUL 2017 LCDR one specification of dereliction of duty

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