



**NAVAL  
POSTGRADUATE  
SCHOOL**

**MONTEREY, CALIFORNIA**

---

**MBA PROFESSIONAL REPORT**

---

**Ethics in the Military:  
A Review of Junior Officer Education and Training Programs**

---

**By: Paul J. Haren III,  
James P. Ingram, and  
Leroy H. Weber  
December 2004**

**Advisors: Leslie Sekerka, PhD  
Phil Candreva, CDR**

*Approved for public release; distribution is unlimited.*

THIS PAGE INTENTIONALLY LEFT BLANK

<b>THIS PAGE INTENTIONALLY LEFT BLANK REPORT DOCUMENTATION PAGE</b>			Form Approved OMB No. 0704-0188	
Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instruction, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Management and Budget, Paperwork Reduction Project (0704-0188) Washington DC 20503.				
<b>1. AGENCY USE ONLY (Leave blank)</b>		<b>2. REPORT DATE</b> December 2004	<b>3. REPORT TYPE AND DATES COVERED</b> MBA Professional Report	
<b>4. TITLE AND SUBTITLE:</b> Ethics in the Military: A Review of Junior Officer Education and Training Programs			<b>5. FUNDING NUMBERS</b>	
<b>6. AUTHOR(S)</b>				
<b>7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES)</b> Naval Postgraduate School Monterey, CA 93943-5000			<b>8. PERFORMING ORGANIZATION REPORT NUMBER</b>	
<b>9. SPONSORING / MONITORING AGENCY NAME(S) AND ADDRESS(ES)</b> N/A			<b>10. SPONSORING / MONITORING AGENCY REPORT NUMBER</b>	
<b>11. SUPPLEMENTARY NOTES</b> The views expressed in this report are those of the author(s) and do not reflect the official policy or position of the Department of Defense or the U.S. Government.				
<b>12a. DISTRIBUTION / AVAILABILITY STATEMENT</b> Approved for public release; distribution is unlimited.			<b>12b. DISTRIBUTION CODE</b>	
<b>13. ABSTRACT (maximum 200 words)</b>  This MBA Project's purpose was to determine what ethics education is currently offered in the U.S. Navy and other services at the junior officer level. Its goal was to provide an informed foundation of current military best practices in ethics education which will help inform leadership about existing ethics programs, or program elements, which have credibility and show effectiveness. This data collection, analysis, and evaluation process will serve as the platform for establishing informed recommendations to create a future Supply Corps ethics education program.  Action Research methodology was undertaken for data collection and evaluation. Interviews were conducted with twenty-one educators at thirteen officer accession and training programs including academies and war colleges. Analysis of each institution's ethics education program was conducted and findings were collaboratively reviewed in order to produce a list of recommended best practices. The researchers concluded that an effective ethics program should contain, at a minimum, the following elements: precise, measurable learning objectives, relevant case studies, exposure to classical theory, honor codes, require active student participation, provide meaningful grading, ensure the direct involvement of senior leadership in the classroom, and develop program effectiveness measurements in order evaluate the program's value and adjust its elements as necessary.				
<b>14. SUBJECT TERMS</b> Ethics in Action (EIA), Ethics, Military Education, Ethics Training, Professional Courage, Moral Courage, Navy Supply Corps, Action Research, Accession Training, Action Research			<b>15. NUMBER OF PAGES</b> 167	
			<b>16. PRICE CODE</b>	
<b>17. SECURITY CLASSIFICATION OF REPORT</b> Unclassified	<b>18. SECURITY CLASSIFICATION OF THIS PAGE</b> Unclassified	<b>19. SECURITY CLASSIFICATION OF ABSTRACT</b> Unclassified	<b>20. LIMITATION OF ABSTRACT</b> UL	

THIS PAGE INTENTIONALLY LEFT BLANK

**Approved for public release; distribution is unlimited**

**ETHICS IN THE MILITARY:  
A REVIEW OF JUNIOR OFFICER EDUCATION AND TRAINING  
PROGRAMS**

Paul J. Haren III  
Lieutenant Commander, United States Navy

James P. Ingram  
Lieutenant Commander, United States Navy

Leroy H. Weber  
Lieutenant Commander, United States Navy

Submitted in partial fulfillment of the requirements for the degree of

**MASTER OF BUSINESS ADMINISTRATION**

from the

**NAVAL POSTGRADUATE SCHOOL  
December 2004**

Author:

---

Paul J. Haren III

---

James P. Ingram

---

Leroy H. Weber

Approved by:

---

Leslie Sekerka, PhD  
Lead Advisor

---

Phil Candreva, CDR  
Support Advisor

---

Douglas A. Brook  
Dean, Graduate School of Business and Public Policy



THIS PAGE INTENTIONALLY LEFT BLANK

# **MILITARY ETHICS: AN ANALYSIS OF MILITARY OFFICER DEVELOPMENT**

## **ABSTRACT**

This MBA Project's purpose was to determine what ethics education is currently offered in the U.S. Navy and other services at the junior officer level. Its goal was to provide an informed foundation of current military best practices in ethics education which will help inform leadership about existing ethics programs, or program elements, which have credibility and show effectiveness. This data collection, analysis, and evaluation process will serve as the platform for establishing informed recommendations to create a future Supply Corps ethics education program.

Action Research methodology was undertaken for data collection and evaluation. Interviews were conducted with twenty-one educators at thirteen officer accession and training programs including academies and war colleges. Analysis of each institution's ethics education program was conducted and findings were collaboratively reviewed in order to produce a list of recommended best practices. The researchers concluded that an effective ethics program should contain, at a minimum, the following elements: precise, measurable learning objectives, relevant case studies, exposure to classical theory, honor codes, require active student participation, provide meaningful grading, ensure the direct involvement of senior leadership in the classroom, and develop program effectiveness measurements in order evaluate the program's value and adjust its elements as necessary.



# TABLE OF CONTENTS

<b>I.</b>	<b>INTRODUCTION.....</b>	<b>1</b>
<b>A.</b>	<b>BACKGROUND .....</b>	<b>1</b>
<b>B.</b>	<b>PURPOSE.....</b>	<b>2</b>
<b>C.</b>	<b>SCOPE AND ORGANIZATION .....</b>	<b>2</b>
<b>D.</b>	<b>METHODOLOGY AND RESEARCH PROCEDURES .....</b>	<b>3</b>
<b>1.</b>	<b>Objectives and Research Issues .....</b>	<b>3</b>
<b>2.</b>	<b>Research Process.....</b>	<b>4</b>
<b>3.</b>	<b>Action Research Design.....</b>	<b>4</b>
<b>4.</b>	<b>Field Procedures.....</b>	<b>6</b>
<b>5.</b>	<b>Interview Protocol Questions.....</b>	<b>8</b>
<b>6.</b>	<b>Data Collection .....</b>	<b>8</b>
<b>7.</b>	<b>Finding, Analysis, and Recommendations.....</b>	<b>10</b>
<b>II.</b>	<b>LITERATURE REVIEW .....</b>	<b>11</b>
<b>A.</b>	<b>INTRODUCTION.....</b>	<b>11</b>
<b>B.</b>	<b>ETHICS DEFINED .....</b>	<b>11</b>
<b>C.</b>	<b>ETHICS THEORY .....</b>	<b>12</b>
<b>D.</b>	<b>MORAL DEVELOPMENT THEORY.....</b>	<b>16</b>
<b>E.</b>	<b>EDUCATOR’S PERSPECTIVE OF EDUCATION EVALUATION .....</b>	<b>17</b>
<b>III.</b>	<b>DATA COLLECTION AND ANALYSIS .....</b>	<b>19</b>
<b>A.</b>	<b>INTRODUCTION.....</b>	<b>19</b>
<b>B.</b>	<b>PROGRAM ELEMENTS .....</b>	<b>19</b>
<b>1.</b>	<b>Program Element Definitions .....</b>	<b>19</b>
<b>2.</b>	<b>Program Element Matrix.....</b>	<b>21</b>
<b>a.</b>	<i>Learning Objectives .....</i>	<i>22</i>
<b>b.</b>	<i>Case Studies.....</i>	<i>23</i>
<b>d.</b>	<i>Rules and Regulations .....</i>	<i>28</i>
<b>e.</b>	<i>Grades.....</i>	<i>29</i>
<b>f.</b>	<i>Term Papers .....</i>	<i>30</i>
<b>g.</b>	<i>Exams .....</i>	<i>31</i>
<b>h.</b>	<i>Student Presentations .....</i>	<i>31</i>
<b>i.</b>	<i>Senior Leadership Participation.....</i>	<i>32</i>
<b>j.</b>	<i>Student Critiques.....</i>	<i>33</i>
<b>k.</b>	<i>Core Values .....</i>	<i>34</i>
<b>l.</b>	<i>Honor Codes.....</i>	<i>34</i>
<b>m.</b>	<i>Decision and Moral Guides .....</i>	<i>36</i>
<b>n.</b>	<i>Program Effectiveness Measurements.....</i>	<i>37</i>
<b>IV.</b>	<b>RECOMMENDATIONS.....</b>	<b>39</b>
<b>A.</b>	<b>CRITICAL PROGRAM ELEMENTS .....</b>	<b>39</b>
<b>B.</b>	<b>DEVELOP EFFECTIVENESS MEASURES .....</b>	<b>39</b>
<b>C.</b>	<b>UTILIZE CASE STUDIES .....</b>	<b>39</b>
<b>D.</b>	<b>CLASSICAL THEORIST EDUCATION .....</b>	<b>41</b>

E.	STRESS THE HONOR CODE.....	41
F.	EMPHASIZE PROGRAM IMPORTANCE.....	41
G.	RE-BASELINING AT THE BQC.....	42
V.	AREAS FOR FURTHER RESEARCH.....	45
APPENDICES.....		47
A.	INTERVIEW QUESTIONS .....	47
B.	ETHICS DEFINITIONS.....	48
C.	UNITED STATES NAVAL ACADEMY .....	51
D.	UNITED STATES MILITARY ACADEMY.....	58
E.	UNITED STATES AIR FORCE ACADEMY .....	63
F.	UNITED STATES MERCHANT MARINE ACADEMY .....	82
G.	UNITED STATES COAST GUARD ACADEMY .....	87
H.	NORWICH UNIVERSITY .....	93
I.	UNIVERSITY OF VIRGINIA’S NROTC.....	98
J.	NAVY SUPPLY CORPS SCHOOL.....	111
K.	AIR WAR COLLEGE.....	117
L.	UNITED STATES ARMY WAR COLLEGE.....	124
M.	NAVAL WAR COLLEGE.....	132
N.	NAVAL OFFICER CANDIDATE SCHOOL .....	140
O.	AVIATION PRE-FLIGHT INDOCTRINATION.....	141
LIST OF REFERENCES.....		143
INITIAL DISTRIBUTION LIST .....		153

## LIST OF FIGURES

Figure 1.	Action Research Protocol .....	6
Figure 2.	Kohlberg's Levels of Moral Development .....	16
Figure 3.	Program Elements & Institution Matrix .....	22
Figure 4.	Case Analysis Template.....	25
Figure 5.	Case Characteristic and Educational Objectives.....	26

THIS PAGE INTENTIONALLY LEFT BLANK

## ACKNOWLEDGMENTS

We wish to thank the following individuals who selfishly gave their valuable time to share insight and knowledge of their institution's ethics education practices during our research interviews:

Colonel Michael E. Haith, USA  
Director, William E. Simon Center for the Professional Military Ethics  
United States Military Academy  
West Point, NY

Colonel Daniel S. Zupan, USA  
Professor, Department of English  
United States Military Academy  
West Point, NY

Colonel Alan G. Bourque, USA  
Director, Simon Center for the Professional Military Ethic  
United States Military Academy  
West Point, NY

Captain Rick Rubel, USN(ret)  
Distinguished Military Professor of Ethics  
U.S. Naval Academy  
Annapolis, MD

Commander Thad Gaebelein  
Director of Ethics and Character Development  
United States Merchant Marine Academy  
Kings Point, NY

Reverend William S. Wick  
Norwich University Chaplain/Honor Committee advisor  
Northfield, VT

Captain John R. Warnecke, USN  
Commanding Officer, Professor of Naval Science  
University of Virginia NROTC  
Charlottesville, VA

We would also like to sincerely thank Elena Pecenco, for her assistance in helping to proofread and edit our project.

THIS PAGE INTENTIONALLY LEFT BLANK

# I. INTRODUCTION

## A. BACKGROUND

The topic of ethics has been given considerable attention in military, government, and business arenas (Clark, 2004; Ryan, 1999). Unfortunately the application of ethics has tended to be cyclical in practice. The daily news is filled with stories of Enron (Washington Post, March 11, 2003), Martha Stewart (Associated Press, March 5, 2004), and Boeing Scandals (Washington Post, December 21, 2003), not to mention the recent events at U.S. Army prisons in Iraq (CBS News, April 27, 2004). Scandals have plagued the U.S. service academies (Newsday, May 12, 1994; Air Force Gazette, February 28, 2004; Time Magazine, March 6, 2003). Major universities are removing or downgrading the required ethics courses of their MBA programs. For example, Virginia Polytechnic Institute has removed ethics courses from its MBA programs and the University of Georgia's Terry School of Business has downgraded the ethics requirement to one and one-half credits (Kelly, 2003). These instances give the impression that ethics has lost its value, is not seen as a priority, and has suffered a loss of significance and emphasis in the American educational system.

In February 2004 Rear Admiral Justin D. McCarthy, SC, USN, Chief of Supply Corps, invited the Naval Postgraduate School (NPS) to research the topic of ethics education in the United States military, specifically the U.S. Navy Supply Corps. This research continues to be sponsored by Rear Admiral Daniel H. Stone who became the 43<sup>rd</sup> Chief of Supply Corps in July 2004. NPS was chosen for this research because it provides independent assessments of proposed solutions to military issues and offers combined student-faculty expertise for current research and development programs within the U.S. Navy. This project is part of the "*Ethics in Action*" (EIA) program under the direction of Professor Leslie Sekerka, PhD at the Graduate School of Business and Policy, Naval Postgraduate School in Monterey, California.

## **B. PURPOSE**

As a component of the EIA program, this project was created to determine what ethics education is currently being offered in the U.S. Navy and other services at the junior officer level. Its purpose is not to redesign the ethics program offered at the Naval Supply Corps School in Athens, Georgia; but rather to provide an informed foundation of current military best practices in ethics education. This research will help inform leadership about existing ethics programs, or elements of the programs, that are presently offered, have credibility, and show their effectiveness. This data collection, analysis, and evaluation process will serve as the platform for establishing informed recommendations to create a future Supply Corps ethics education program under subsequent phases of the EIA program.

## **C. SCOPE AND ORGANIZATION**

In general, the practice of ethics in both government and private organizations is espoused in theory, but neglected in action (Sims, 2003). This research project will begin to outline what awareness (skills, competencies, and sensitivities) are required for military members to engage in ethical behavior in daily actions. Military accession programs, including academies and Reserve Officer Education Corps Units, were examined along with war colleges and warfare education institutes. Information gathered was compiled and compared to determine common trends and best practices. Finally, recommendations were made to the Navy's Chief of Supply Corps for elements that should be considered for inclusion in an ethics education program at the Naval Supply Corps School.

As this research is the first phase of a proposed multi-layered process, the project's concentration resides in the investigation and review of current military ethics programs. Encroachment into other concentrations of personal and leadership education (e.g. Battalion leadership billets and roles for midshipmen within the unit) that many of our subject institutions have their candidates undergo in the process of earning a commission in the Department of Defense's military organizations was not undertaken at this time.



## **D. METHODOLOGY AND RESEARCH PROCEDURES**

This section outlines the procedures used to define current practices in ethics education in Department of Defense (DoD) officer accession and education programs.

### **1. Objectives and Research Issues**

The primary task of this project is the investigation of current ethics education practices in DoD officer accession and education programs. This project addresses Phase I and II of a larger longitudinal research effort concerning the improvement of the ethics education program being conducted by the Supply Corps at the Naval Supply Corps School in Athens, Georgia.

Phase I commenced in March 2004 and included twenty-one institutional representatives. Face-to-face, telephone, and email interviews were conducted between student researchers and institutional representatives through out this phase. The institutional areas of focus were officer accession programs (service academies, NROTC, OCS), warfare education schools, and war colleges. After determining what is being offered at each institution, the group then determined the objectives and goals of each program. The collected data was analyzed in Phase II.

Phase II commenced in July 2004. The goal of this Phase was to allow discovery and review of the methods, policies, procedures, and practices that are presently used by educational institutions affiliated with the DoD. From this effort, program characteristics were identified with the goal of determining commonalities in ethics education practices and organizations within these DoD ethics programs. The following areas and questions were investigated:

- What are the similarities and differences between the programs?
- How do these institutions assess the value of their programs?
- What is, or appears to be, the most effective ethics education and education program (or features of the program)?
- What recommendations should be made to Navy Supply Corps leadership, based upon this inquiry and assessment?

## **2. Research Process**

The group applied an Action Research methodology for data collection (Carr & Kemmis, 1986). Action Research allows the researcher to develop a systematic form of inquiry into institutions. The process is collective, collaborative, self-reflective, and critical (McCutcheon & Jung, 1990) and can be used by participants in educational situations to improve their programs (Hopkins, 1985). During the process, the researchers received overt acknowledgments from many of the selected institutions that our inquiry forced self evaluation by the institution concerning their ethics education programs.

Action Research is particularly useful for this study for several reasons. As we were talking to ethics instructors to glean our data, this provided them with an opportunity to reflect on and assess their teaching and to consider their current ideas, methods, and materials. This is consistent with the Action Research process, which fosters the improvement of current educational practices, the understanding of these practices, and/or improvement of the situations in which the practices are carried out (Hopkins, 1985). Our work using this process was also intended to assess the effectiveness of the current approaches.

Action Research was especially suited to our study because it allowed the researchers to share feedback with fellow participants in order to verify accuracy and to be considered for making future improvements to curriculum, education, and evaluation plans (see Gabel, 1995). Hopkins (1985) notes that Action Research is most empowering when undertaken by participants collaboratively and, at times, in cooperation with outsiders. The collaboration between researchers and the selected institutions was critical to the success of our study. The reactions of the institutions to our inquiry, both reflection and action, are frequently linked with Action Research.

## **3. Action Research Design**

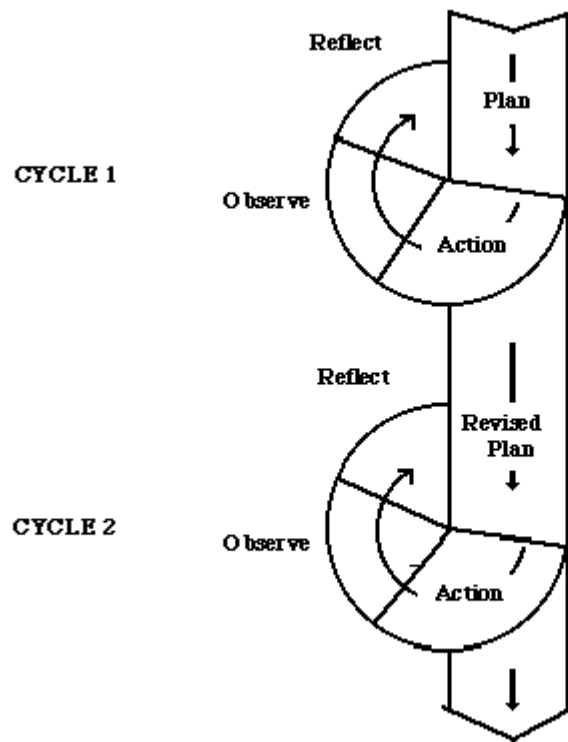
The essentials of an Action Research design were considered per the following characteristic cycle outlined by Hopkins (1993):

- Initially, an exploratory stance was adopted, where an understanding of a problem was developed by our sponsor, as well as the student researchers. A

plan was then developed requiring significant interaction between designated institutions and researchers.

- This *reconnaissance, or field procedure*, is the collection of raw data that was compiled for further analysis. Our assumption was that there were well-developed education programs whose application could be beneficial to the Supply Corps in providing ethics education to its officer corps.
- The interaction process was carried out between researcher and subject matter experts of selected institutions as data collection occurred.
- Throughout the research and interviewing, pertinent observations were collected in various forms of written and spoken communications.

The Action Research protocol is iterative or cyclical in nature and is intended to foster a deeper understanding of ethics education and moral leadership in a given situation. Starting with the conceptualization of the problem and moving through several interventions and evaluations, the *reconnaissance* process often required follow-up inquiry. Discovery of characteristics of institutional ethics education programs allowed for follow-up interviews or investigation with the institution being considered. A representation of an Action Research protocol is provided in Figure 1.



(Kemmis 1990)

Figure 1. Action Research Protocol

#### 4. Field Procedures

Selected institutions were researched, analyzed, and compared with other institutions. Once comparisons were made, further program elements and areas were identified and re-investigated. This was an evolutionary process that matured over time. The iterative process of returning to a specific institution became necessary as we uncovered new and deeper aspects of each institution's ethics program. This design permitted much greater flexibility to our research in finding best-used practices in academia's ethics education programs. It also sought to recapture some of the 'messiness' that surfaces when we engaged in Action Research (Hopkins, 1985).

The Action Research framework is most appropriate for participants who recognize the existence of shortcomings in their educational activities and who would like to formulate a plan, carry out an intervention, evaluate the outcomes and develop

further strategies in an iterative fashion (Hopkins, 1993). An Action Research methodology was utilized by the group's researchers, who used collaborative inquiry to analyze thirteen military institutions. Site specifications are listed in Appendices.

The thirteen institutions and commands evaluated in this study were chosen based upon their prominent role in officer commissioning and warfare education. In addition, agencies were identified based on interest and input offered by the sponsoring activity, Commander, Naval Supply Systems Command, Mechanicsburg, Pennsylvania.

Data on leadership and character development programs were collected and reviewed from the following accession and commissioning institutions:

- United States Naval Academy in Annapolis, Maryland
- United States Military Academy in West Point, New York
- United States Air Force Academy in Colorado Springs, Colorado
- United States Merchant Marine Academy in Kings Point, New York
- United States Coast Guard Academy in New London, Connecticut
- Norwich University in Northfield, Vermont
- University of Virginia's Naval Reserve Officer's Education Corps in Charlottesville, Virginia

Additional data were analyzed and reviewed from the following education commands:

- Navy Supply Corps School in Athens, Georgia
- Air War College at Maxwell Air Force Base, Alabama
- Army War College in Carlisle, Pennsylvania
- Naval War College in Newport, Rhode Island
- Naval Officer Candidate School at Naval Air Station Pensacola, Florida
- Aviation Pre-Flight Indoctrination at Naval Air Station Pensacola, Florida

## **5. Interview Protocol Questions**

The interview protocol questions were designed to assist and focus both the researchers and interviewees in providing thorough, in-depth discussions. These questions were designed to stimulate free and open dialogue while acting as a roadmap for the interview. Moreover, the questions aided in the process of identifying various characteristics about the institutions' programs that addressed moral courage, leadership, and ethics. Perhaps the key component involved in developing the interview questions was the notion of praxis. Praxis comprises a cycle of action-reflection-action (Hopkins, 1985). The research questions developed as the researchers gained greater understanding of how ethics education was developed and handled by DoD. In addition, there was inquiry that demanded further understanding and in some instances, by different recognized sources. The questions were intended to be the reflective counterpart of practical diagnosis (Kemmis & McTaggart, 1990). The research interview protocol is listed in Appendix 1.

## **6. Data Collection**

A general fact finding inquiry was employed and interviews were conducted with representatives of the selected institutions. The representatives, or leads, were designated by their institution for the teaching oversight of their institution's ethics, moral, and leadership development programs. Interviews were conducted in person, via e-mail, and/or telephone to elicit the maximum exchange of thoughts and data between researchers and subject groups. Data was sought directly from heads of ethics education centers and interviews were conducted using the predetermined protocol. Institutional education materials such as course syllabi, student study guides, and course guides were gathered and evaluated. In some instances, the organizational lead also provided written responses that directly addressed the research and protocol questions.

In the latter part of the data collection process, a team member attended the Naval War College ethics education conference. The conference's emphasis and focus concerned our research topic and afforded the research team time and opportunity to exchange ideas and viewpoints amongst the military ethics community's recognized subject matter experts. The conference also allowed face-to-face follow-ups with fifty

percent of surveyed institutional representatives who had previously contributed data to the project. New contacts were made through discussion groups and networking. This exchange also provided an opportunity to explain the goal and the scope of our research to the recognized experts in the field of ethics education. Finally, the conference offered a process of collaboration in conversation, giving researchers and conference participants an opportunity to work together. This was particularly helpful because it allowed the researchers a way to confirm that what was being said, or had been communicated previously through other communication mediums. This provided a window for elevating our clarity with the participants and insuring our data was correct and fully understood (Clark, 1992).

After the initial reviews of all institutions were complete and the initial process of cross-checking our information had been finalized, institutional summaries were constructed. A study of our findings highlighted some common threads in the institutional program elements. These program elements were used to compare the institutions. From this comparison several main program elements began to emerge as predominant pillars of the ethics education programs that were researched.

Once institution summaries were prepared, a draft was presented to the specific institutional lead for review of the data concerning their program. The goal in this process was to ensure the accuracy of the researcher's recordings of institutional processes. The researchers also sought the institution's approval of findings and conclusions to avoid any discrepancies when the findings are eventually publicized. The process led to three institutions disagreeing with the initial findings. In such cases, the researchers returned to the institutions and conducted follow-up data collections concerning the particular subject, or theme, where an error had been discovered. Their feedback was reviewed and corrections were made where appropriate. The researchers believed that the viewpoint of the institutional lead may have been based upon the institutional desires for the students/candidates, but evidence of what was actually being taught and presented to the future officer accessions did not necessarily support their opinion. The iterative, ongoing research continually led to further questions about specific program elements and methods of education. By project completion, the

researched activities that had initially disagreed with the researcher's findings concurred with the group's final findings and summaries.

With Action Research, constant dialogue was maintained between chosen accession entities. The conduct of this research and study presented numerous administrative and analytical challenges. Accuracy was increased by recording interviews via note taking, emails, and tape-recording. Paramount to this challenge was getting the attention, commitment, and input from our thirteen targeted institutions and their key educators. Sustained involvement from the institutional leads was achieved with regular interview follow-ups and nearly continuous communication via e-mail. Discovery of additional pertinent information concerning ethics education also provided a transition for these follow-ups.

## **7. Finding, Analysis, and Recommendations**

Analysis of the institutions was conducted considering the summary findings of each of the institutions reviewed. This analysis provides a consideration of the researchers' findings concerning all reviewed institutions and offers a condensed version of the project's discovery. Re-occurring themes and program elements among the surveyed institutions were identified during roundtable discussions between the three researchers. When these elements occurred in an overwhelming majority of the ethics programs of institutions reviewed, those characteristics were used to formulate analysis and recommendations. Also, if an institution had an element that was unique to their ethics education program and appeared to have value it was also incorporated into the project's analysis.

The researchers' recommendations were developed through collaboration among student researchers, not with the practitioners. The group of researchers individually compiled portions of the research believed to be unique and strong in supporting an ethics education program. It was discussed why a researcher thought his finding was noteworthy and suitable for inclusion for a recommendation. The researchers then entered roundtable discussions to determine if these findings were truly best practices, and supportive of a Supply Corps ethics education program. Support by all researchers was required for a trait to be referenced in a recommendation.



## **II. LITERATURE REVIEW**

Knowledge of the good is not enough. But of one thing we can be certain: Having discussed, read, and written about what one ought to do very probably increases the chances that one will do what one ought to do.

(Toner, 1995, p 67)

### **A. INTRODUCTION**

This section provides literary support concerning the importance of ethics and ethics education. It will attempt to define the term “ethics” and to establish similarities and distinctions between morality and professional courage. Following the definition of ethics, a discussion of classical ethics theory is presented, with the application of how these principles aid in solving ethical dilemmas. The literature review also contains a discussion of human development theory, with a focus on moral development, and concludes with an argument for the use of the educator’s perspective in the evaluation of the selected ethics education programs.

### **B. ETHICS DEFINED**

Ethics can be defined in many different ways. An internet search returned twenty-seven different definitions (Appendix B). While each of these definitions contains similar characteristics, their authors show personal influence and bias. This is evident where military organizations speak of duty, while theological groups refer to God in their explanation of ethics. For this study, the process of defining the term commenced by consulting the dictionary, where ethics is defined as “the discipline dealing with what is good, bad, with moral duty, and obligation” (Merriam-Webster Online, 2004). Toner (1995) defines ethics as the theory or study of right and wrong. But ethics and morality are often used interchangeably in conversation. As such, we look to define morality as well, with the basis as, “conformity to ideals of right human conduct” (Merriam-Webster Online, 2004). Morality is the behavior or action directed at good or right conduct. Paradoxically, these two terms are even used to define one another in many definitions. However there is a distinction, as noted in this phrase: theory is to ethics as behavior is

to morality (Toner, 2003). This distinction becomes confusing as authors mix terms such as moral reasoning (Velasquez, 2003) or ethical behavior (Simms, 2003).

For this research, we adopted both terms and use ethics and morality interchangeably throughout this report, meaning reference to right and wrong both in theory and behavior. This is not to discard the differences of the two terms, but to benefit from the ways in which these two terms complement each other. Ethics (theory) leads to morality (behavior) which can evolve responsible ethical action, i.e., professional courage. A professional is defined as characterized by or conforming to the technical or ethical standards of a profession (Merriam-Webster Online, 2004). Courage is defined as mental or moral strength to venture, persevere, and withstand danger, fear, or difficulty (2004). Our decision to take a broad view was by design, to keep the vision wide as we create the foundation for the later phases of this program.

### **C. ETHICS THEORY**

The purpose of this section is to outline the primary schools of ethical theory. This is important because ethical theory provides the major principals of moral development and it relates to this research because this study explores ethics education best practices while analyzing how ethics theory is taught. The four primary schools of classical ethical theories are deontological (duty-based), rights-based, teleological (interest-based), and virtue-based. The four schools of classical ethics theory form the foundation of modern ethics. Furthermore, the study of classical theory encourages students to make ethical decisions in practice. This ability to make ethical decisions provides evidence of a student's moral development.

Deontological or duty-based ethics rely heavily on rules, laws, orders, and directives. Duty-based ethical theorists assert that actions are inherently right or wrong. The beginning of duty-based ethics is most often attributed to Immanuel Kant, an 18<sup>th</sup> century German philosopher. Kant's theory is based on three central insights. As described by Hinman (2003, p.176), the first two insights state the conditions for a morally good act:

- An action has moral worth if it is done for the sake of duty.
- An action is morally correct if its maxim can be willed as a universal law.

Actions that have both moral worth and moral correctness are morally good actions. In addition to these two insights, Kant develops a third claim about the way in which we ought to act to respect both ourselves and other people:

We should always treat humanity, whether in ourselves or other people, always as an end in itself and never merely as a means to an end (Hinman, 2003).

Kant emphasized duty as his major principle. Man has a moral duty to both self and to others, such as our duty to develop our talents or to keep our promises to others. Kant also established the idea of the categorical imperative as stated in the second insight. Mankind is compelled to act in such a way such that the will of the maxim behind our actions could be adopted as universal law. This means that everyone else presented with the same circumstances would be compelled to act in the same manner. The categorical imperative mandates an action and is not concerned with one's individual desires. The third insight is actually one of Kant's categorical imperatives; it establishes the inherent value of the person. This means that one is commanded to treat people with respect. One must never use or manipulate other people.

Rights-based ethics center on the rights of the individual or group and personal character development. Rights-based ethics is very similar to rules-based ethics because of the relationship between rules and rights. For example, I have the right to life so therefore society must establish a rule to protect that right. The basic human rights are defined as life, liberty, and happiness (Hinman, 2003). Rights-based ethics also define man's commitment to interpersonal relationships. Early rights theorist John Locke, a 17<sup>th</sup> century British philosopher, argued that the laws of nature command us to not harm others' life, health, liberty, or possessions. Locke established rights as natural and from God. Locke's theories influenced the writers of the U.S. Declaration of Independence. Thomas Jefferson recognized the fundamental rights of life, liberty and the pursuit of happiness.

Rights are dependent on the perspective of the rights observer. As described by Hinman (2003), “the right usually imposes a correlative duty or obligation upon the observer.” These rights are divided into two categories: rights that require actions (positive rights) and rights that limit the action of others (negative rights). Examples of positive rights would include healthcare, public safety, and business contracts. In each there is an obligation for others to do something for us. Negative rights include the right to free speech, liberty, and the pursuit of happiness. These rights don’t require others to take action; they limit others so as not to interfere with our personal rights to free speech, liberty, and happiness.

Teleological or interest-based ethics are concerned with the outcome of actions. Results-based ethics are founded upon the principles of consequentialism, utilitarianism, and egoism. Consequentialism is the balancing of good and bad results. Consequentialism bases its determination of an action’s moral characteristics on its consequences and the favorability of results. A normative approach to consequentialism would require that a measure of the good and bad results of an action be determined. If the good results are greater than the bad results, then the action is considered to be morally proper. If the bad results out-weigh the good results, then the action is considered to be morally improper (Hinman, 2003).

Eighteenth-century philosopher Jeremy Bentham originated the idea of *utility* in terms of pleasure and pain. “We should act in such a way as to maximize pleasure and minimize pain” (Hinman, 2003). This is the basis of utilitarianism—a means of measuring an action’s results in terms of what is useful or good. John Stuart Mill (1887) changed pleasure to happiness to remove the negative implication of pleasure or the “pig’s philosophy”. Utilitarianism has limitations in that torture or slavery would be considered permissible as long as society’s benefits outweigh the victim’s sufferings. This limitation is addressed by Mill in rule-utilitarianism, which establishes a behavioral code similar to Kant’s maxims that can be willed as a universal law. The behavioral code is morally correct if the consequences of the rule’s adoption are more favorable than

unfavorable to everyone. It is also suggested that utilitarianism should be based on more than just pleasure, happiness, and pain. It should also consider the good and bad consequences of the action.

Egoism lies between utilitarianism and virtue-based ethics. It is doing the best for oneself and for one's group, family, or society. Egoism is separated into two distinct philosophies, normative and descriptive, both developed by 16<sup>th</sup> century British philosopher Thomas Hobbes. Normative theory claims that everyone ought to act in their own self interest. Descriptive theory claims that everyone acts in their own interest (Hinman, 2003). Hobbes realized the importance of moral rules, for without moral rules our selfish interests would drive us to plunder our neighbors' property. He also felt that man's innate selfishness forces us to accept these rules to guard our interests as well as those of our neighbors.

Virtue-based ethics focuses on man's propensity to choose the correct course of action, thus building character. Plato and Aristotle, Greek philosophers of the 4<sup>th</sup> and 3<sup>rd</sup> centuries B.C., are the theorists credited with the inception of virtue-based ethics. Plato established theories of justice emphasizing four virtues: justice, wisdom, courage, and temperance. While it is important to teach and advocate good habits it is also important to avoid acquiring the bad character traits or *vices* of injustice, insensibility, cowardice, and vanity. Aristotle believed that virtues are good habits we acquire and they regulate our emotions. An example would be courage over fear. Aristotle taught that virtues are a mean between extreme character traits. Again using the example of courage, courage would be at one extreme with cowardice at the other extreme. The mean between the two would be the virtuous path. According to Aristotle, it is difficult to determine the mean between the extreme traits. Virtue is developed over time as the traits are practiced on a regular basis and become habits. Aristotle defined virtue as "(1) a habit or disposition of the soul, (2) involving both feeling and action, (3) to seek the mean in all things relative to us, (4) where the mean is defined through reason as the prudent man would define it" (Hinman, 2003, p.277).

#### D. MORAL DEVELOPMENT THEORY

Moral development is a key objective of ethics education. An effective ethics education program takes a student's current level of development and builds it up to a prescribed level. The desired level of moral development can be determined from human development theory. Kohlberg (1984), a principal human development theorist, developed a theory of moral reasoning based on the cognitive development of children. He proposed three levels of moral reasoning: pre-conventional, conventional, and post-conventional. Each level is further subdivided into two stages. The levels are based on the relationship between an individual's rules for decision-making and the rules of society. At the pre-conventional level, the individual follows rules to avoid punishment. All decision-making and subsequent action is based purely on self-interest. The conventional level is characterized by the individual's conscience and social awareness, with goals of meeting social norms and achieving social order. The post-conventional level is characterized by an obligation to universal principles and social commitments. The stages and levels are shown in Figure 2.

Level And Stage	Description
<b>Level I - The Pre-Conventional Level (usually by age nine)</b>	
Level I, Stage 1 (obedience)	Whatever is rewarded is good; whatever is punished is bad.
Level I, Stage 2 (instrumental egoism and simple exchange)	I'll do something good for you if you do something good for me. Fairness means treating everyone the same.
<b>Level II — The Conventional Level (late adolescence early adulthood)</b>	
Level II, Stage 3 (personal concordance)	Good is conformity to a stereotype of "good" people, or to peer approval.
Level II, Stage 4 (law, and duty to the social order)	Good is defined by the laws of society, by doing one's duty. A law should be obeyed even if it's not fair.
<b>Level III — The Post-Conventional (principled) Level (minority of adults)</b>	
Level III, Stage 5 (societal consensus)	Good is understood in terms of abstract principles that the society has agreed upon. An unfair law ought to be changed.
Level III, Stage 6 (universal ethical principles)	Good is understood in terms of abstract principles whether or not societies agree with them. An emphasis on human rights.

Figure 2. Kohlberg's Levels of Moral Development

Progression through the stages and levels of moral reasoning is associated with age; however, level three is only achieved by a minority of adults. Kohlberg conducted a twenty-year, longitudinal study that further developed and supported his theory of moral reasoning. By interviewing study participants at four-year intervals, he confirmed that moral development is sequential and occurs gradually over time. Furthermore, development proceeds in one direction without regression to any of the previous levels (Kohlberg, 1984).

Perry (1999) integrated developmental stage theory with learning styles theory to develop an effective approach for the teaching of morality and ethics. Perry's stages progress from a simplistic, categorical view of the world to a more relativistic, committed view. Progression through the stages tracks moral development and the development of an ethical and moral identity. Perry proposes that ethics education needs to be designed such that it matches the student's intellectual development stage. For example, if the student has a simplistic view, then the education process needs to provide more structure. This student may understand simple right and wrong but would have difficulty grasping more complex and uncertain situations, which the education process could expose to a more self-reliant student.

#### **E. EDUCATOR'S PERSPECTIVE OF EDUCATION EVALUATION**

There are two established approaches to evaluating an educational program. The first is an evaluation based on the practitioner or educator and the program's process, structure, and design (Tyler, 1975; Pinar et al; 1995). The second is an evaluation based on the participants or students and the outcomes of the program as expressed through interviews, surveys, and tests (Piaget, 1965; Kohlberg, 1971; Rest, Thomas & Edwards, 1997). This study predominantly uses the first, or pedagogical, approach to evaluate the ethics education programs at the targeted institutions. The second approach is broached preliminarily via the exploration of the methods institutions use to obtain student feedback. Both evaluation methods have their strengths and weaknesses. This study chose to focus on the educator's rather than the student's perspective because the researchers

are confident that the educator perspective provides a richer understanding of the ethics education programs currently used in the DoD.

The researchers acquired the educators' perspectives through interviews, as detailed in the methodology section. This study focuses on the curriculum of the selected ethics education programs and evaluates the application of four basic principles that Tyler (1975) initially established as critical to curriculum development:

1. Defining appropriate learning objectives.
2. Establishing useful learning experiences.
3. Organizing learning experiences to have a maximum cumulative effect.
4. Evaluating the curriculum and revising those aspects that did not prove to be effective.

These four principles serve as the foundation of the educational program or course of study. The educators use these principles to evaluate and improve the course of education. Although, the design of the course is an important component of the educational process it is still a just a component. In order to evaluate the program a more holistic view must be taken. The application of the objectives must also be evaluated and the results of this evaluation must be used to improve the program. According to Astin & Panos (1971), there are five methods of evaluating courses of study. These four methods are: (1) description of educational operation, (2) measurement of educational outputs, (3) measurement of operations and output, (4) measurement of educational inputs and outputs, and (5) measurement of educational inputs, outputs, and operations. These methods range from very simplistic to complex analysis of the institution's educational program. This study has developed descriptions of the ethics education programs of the designated institutions. By comparing these elements, the researchers identified best practices by (1) determining how leading organizations teach ethics, (2) compare these methods across the selected institutions, and (3) use this information in our findings to eventually improve ethics education at the Navy Supply Corps School (Dugan & Herson, 2004).



### **III. DATA COLLECTION AND ANALYSIS**

#### **A. INTRODUCTION**

This chapter contains summaries of the featured elements that comprise the ethics programs of the surveyed institutions. The program elements are defined, then their importance to ethics education is addressed in greater detail. Finally, an analysis of the research findings is presented. Upon a thorough review of our institutional summaries (see Appendices), a spreadsheet matrix was designed to provide a representation of which elements and traits were used by the examined institutions. Two surveyed institutions, Officer Candidate School and Aviation Preflight Indoctrination, did not have any type of formal ethics education. This effectively reduced the schools surveyed from thirteen to eleven. In depth data on each individual institution are found in the appendices of this project.

#### **B. PROGRAM ELEMENTS**

##### **1. Program Element Definitions**

This study evaluates the program elements for courses in ethics at eleven military educational institutions. These program elements were established through a series of reviews of each individual program. Eleven of the fourteen elements were found to be commonly emphasized among the institutions (i.e. found within a majority of the surveyed institutions). These elements are key components of the institution's ethics education programs according to the school's staff. These key elements are also present in curriculum guides and course descriptions.

Two other elements were also selected because research reflects that they are aligned with key principles of evaluating an educational program (Tyler, 1975). These include the program elements: Student Presentation, and Decision/Moral Guides. They were found at five of the eleven institutions. Finally, the fourteenth element, Effectiveness Measurement, was added because of its apparent relevance to quality education. Only the Navy Supply Corps School attempted to evaluate the worth of their ethics program from outside sources and metrics.

The program elements were not wholly determined by prior research, but rather from a combination of literature and their presence within the surveyed institutions, as such we do not support each item with comprehensive findings from previous studies. Some program elements (case studies, classical theorists, core values, honor codes, decision/moral guides) are supported by prior research, while other elements (grades, term papers, exams) are included due to their usage by the majority of the institutions. Once determining the program elements, they were used to compare and contrast the programs and provide the basis for discussion in subsequent sections. An understanding of these common elements begins with their definitions:

1. *Learning objectives*: There are specific learning objectives for each course.
2. *Case Studies*: Program regularly utilizes the case study method to facilitate discussions among students.
3. *Classical Theorists*: Classical theorists' (Aristotle, Kant, etc) writings and teachings are used in course instruction.
4. *Rules and Regulations*: Military and government regulations are reviewed and discussed during the course, to include General Military Education on DoD policies.
5. *Grading*: Participation and learning is evaluated and measured with letter grades or numerical feedback to the student enrolled/participating in the course. Pass/fail courses are not considered to be graded for this study's purposes. Specific course assignments, such as papers, tests, and presentations, were considered separate program elements in order to analyze their relative importance.
6. *Term Papers*: Written papers are assigned and graded (including pass/fail) as part of the coursework.
7. *Exams*: Students are evaluated using midterm and/or final exams.
8. *Student Presentations*: Students enrolled in the course or program give oral presentations before the class or student body as a part of the evaluated coursework.

9. *Taught by Senior:* The course is taught or program discussion is led by a senior military officer (O-5/O-6+), retired military officer, or full/senior professor.
10. *Student Critiques:* Students enrolled in the program provide written feedback to the instructors/facilitators at the conclusion of coursework.
11. *Core Values:* Service or institutional core values are identified and stressed in the program.
12. *Honor Code:* The school or institution has an established honor code that is stressed throughout the student's enrollment.
13. *Decision/Moral Guides:* The course provides a guide to making decisions in ethically ambiguous situations.
14. *Effectiveness measure:* The institution has a way of measuring the effectiveness of its education. The institution receives direct measurable feedback from outside sources (e.g. performance feedback on its graduates from fleet commands).

## **2. Program Element Matrix**

The following matrix provides a visual summary of the ethics education program elements for each of the surveyed institutions:

	Learning Objectives	Case Studies	Classical Theorists	Rules and Regulations	Graded	Term Papers	Exams	Student Presentations	Taught By Senior	Student Critiques	Core Values	Honor Code	Decision/Moral Guides	Effectiveness measured
Naval Academy	X	X	X	X	X	X	X		X	X	X	X	X	
United States Military Academy	X	X	X	X	X	X	X	X	X	X	X	X	X	
United States Air Force Academy	X	X	X	X	X	X	X	X	X	X	X	X		
Merchant Marine Academy	X	X	X	X	X	X	X	X	X	X	X	X		
United States Coast Guard Academy	X	X	X	X	X	X	X		X	X	X	X		
Norwich University	X	X	X	X		X		X	X	X	X	X		
University of Virginia's NROTC	X	X	X	X	X	X	X	X	X	X	X	X		
Navy Supply Corps School	X	X		X	X		X			X	X	X	X	X
Air War College	X	X	X		X		X		X	X	X			
United States Army War College	X	X	X			X			X	X	X		X	
Naval War College	X	X	X			X	X		X	X	X			
Naval Officer Candidate School	No Ethics Program													
Aviation Pre-Flight Indoctrination	No Ethics Program													
Score	11	11	10	8	8	9	9	5	10	11	11	8	5	1
	100%	100%	91%	73%	73%	82%	82%	45%	91%	100%	100%	73%	45%	9%

Figure 3. Program Elements & Institution Matrix

*a. Learning Objectives*

(i.) Importance in Ethics Education. Learning objectives provide a means of comparing the education presented and the resulting degree of student understanding at the various institutions. Learning objectives serve to direct teaching and learning. As discussed in the Literature Review, learning objectives describe the intended purposes and expected results of teaching activities and establish the foundation for assessment. Without them, the ethics course would have no clear path. Therefore, they are fundamental to the review of any course of study.

(ii.) Research Findings. Learning objectives are utilized by all eleven schools for their primary ethics course; however, they vary in description, scope, and complexity. Many learning objectives, including those of the USMA and USNA, stated the purpose was to “increase capacity for moral reasoning and critical thinking.” These objectives were vague, generic, broad ranging, and not tailored to the mission of the institution surveyed. Common themes found among the learning objectives (i.e. found in several institutions) were:

- Recognize a moral or ethical dilemma
- Develop the capacity to think critically
- Apply reasoned arguments
- Identify and discuss principles
- Enhance skills
- Reflect on values
- Assess implications

While learning objectives used by these institutions serve to direct the teaching, it was unclear how well these objectives were being met. Course grades and student critiques can be used to determine the degree of a student’s understanding; however, precise measurement methods are not available. This raises the question of exactly how these institutions are accomplishing their learning objectives. This is an area that deserves further research.

***b. Case Studies***

(i.) Importance in Ethics Education. In the case study method, the educator guides the students as they explore a situation together. “The instructor guides the special partnership in the classroom using various techniques, among them, structured questions, feedback, role playing, breakout team activities, and written case analysis assignments” (Goodpaster, 2002, p.120). Case studies are beneficial because they provide realistic situations that address moral and managerial decision making.

Cases also offer insight into the actions of present and past leaders that approximate dilemmas the students may encounter in their future occupations.

The limitations of case studies are time, learning outcomes, and inherent incompleteness. Goodpaster (2002) notes that “the classroom and case methods are not replacements for reality and experience” (p.123). Cases only mirror certain aspects of the real system; other aspects of the system can’t be tested or represented in the case study. Every case study omits facts that the writer deemed unimportant or irrelevant to the case, resulting in an incomplete case when compared to the actual situation. When cases are developed from detailed real-life personal experiences, the opportunity exists for a more complete scenario.

Goodpaster (2002) suggests evaluating cases with the *Case Analysis Template* (CAT) (Figure 4). The *C.A.T. Scan* template guides a reader through a case by following the five steps of describe, discern, display, decide, and defend for four outlooks of ethical decision making: interest-based, rights-based, duty-based, and virtue-based.

<b>“C.A.T. Scan”</b>				
<i>Case Analysis Template</i>				
Case Analysis Steps (5D's)	<b>Interest- Based Outlook</b>	<b>Rights-Based Outlook</b>	<b>Duty-Based Outlook</b>	<b>Virtue Based Outlook</b>
<b>Describe</b>	How did the situation come about? What are the key presenting issues? Who are the key individuals and groups affected by the situation, the stakeholders?			
	Identify Interests	Identify Rights	Identify Duties	Identify Virtues
<b>Discern</b>	What is the most significant of the presenting issues – the one that might lie underneath it all? And who are the core stakeholders involved in the case?			
	Are there conflicting interests with respect to this issue?	Are there rights in conflict with interests or with other rights? Are some weightier than other?	Does duty come into the picture- and are there tensions with rights or interests? Can I prioritize?	Is character an issue in this case- habits that bring us to this pointy or that will be reinforced later?
<b>Display</b>	What are the principal realistic options available to the decision maker in this case, including possible branching among sub-options-leading to a set of action plans?			
<b>Decide</b>	What is my considered judgment on the best option to take from those listed above?			
<b>Defend</b>	Which of the avenues predominates in my choice of options above, and can I give good reasons for preferring the ethical priorities I have adopted in this case that are consistent with other such cases? What would an imaginary jury of four voices decide and why? What is my moral framework?			

Figure 4. Case Analysis Template

Reynolds (1978) provides a case study analysis approach more applicable to this study. Although his case study review is directed at business cases rather than ethical dilemmas, the basic principles of the instructor’s case selection and class preparation still apply. Reynolds’ chart shows the different categories of educational objectives for which the instructor prepares or selects a case study. The instructor builds or selects the case study based on the student developmental level as the progress from categories II & III (developing concepts and understanding techniques) to category VII (developing mature judgment and wisdom), as presented in Figure 5. The other elements of the case studies are disposition, data dimension, analytical methods, and value dimension. The case disposition varies from a simple problem to complex unstructured. Data dimension are how the case facts are either aggregated or clustered and the relevance of the facts to the problems of the case. The analytical methods vary

from plotted out for the students to no solutions. The value system of the case study varies from clear-cut to open to the student's interpretation.

Case Characteristic and Educational Objectives					
Category	Educational Objective	Case Disposition	Data Dimensions	Analytical Methods	Value Dimensions
II	Develop Concepts	Exposition Of Problem In Business	Facts Clustered To Highlight Cause & Effect Relationships	"Worked-Out Example"	Objective Function Made Explicit
III	Understand Techniques	Problematic			
IV	Acquire Skills In Use Of Techniques	Short Realistic Business Problem, Structured	Facts Selected For Relevance, But Not Clustered To Attach Meaning	Method Signaled, But Not Worked-Out	Value System Clear (Usually Profit-Oriented), But Objective
V	Acquire Skills In Use Of Business Problems	Complex Unstructured Slice Of Life	More Facts Added Mainly Within One Value System, But Amenable To More Than Analytical Method	No Clear Signals Regarding Methods; Analytical Techniques Open To Students'	Function Open For Choice By Student
VI	Acquire Skills In Synthesis Of Action Plans	Problem With Clear Emphasis On Action			
VII	Develop Useful Attitudes	V, Vi, Vii With Emphasis On Key Executives	Still More Facts, (Often Including Seemingly Irrelevant Facts), Related To More Than One Value System; Heavy Use Of Opinions Of Case Characters	Choice Including Mixed And Sequential Analysis	Choice Of Value System Left Open To Student
VIII	Develop Mature Judgment & Wisdom	Complex, Realistic Unstructured Problem		No Known Satisfactory Technique	

Source: (Reynolds, 1978)

Figure 5. Case Characteristic and Educational Objectives

(ii.) Research Findings. Case studies were utilized by all eleven schools. These institutions mixed "classic" case studies (e.g., Rescuing the Boat People and Who Lives? Who Dies?; Rubel & Lucas, 2004) and current events case studies taken from news articles (e.g. Abu Ghraib Prison abuses; CBS News, April 27, 2004, The Boeing Tanker Deal; Washington Post, December 21, 2003). The war colleges target discussions by using case studies with no clear approach or case answers. Their students are expected to learn from fellow officers through discussion and debate. The goal is to encourage the student to abandon preconceived responses and notions. Accession programs, including the service academies and ROTC, focus more on decision forcing



cases. The ultimate goal is not to provide a “cookie-cutter” approach, but rather to develop a decision making process with cases that can yield definite answers. Once the “simpler” cases are mastered, the programs then provide and expose the students to more complex and “greyer” cases. Here the decisions are not clear-cut and the students began to use critical thinking in these complex scenarios. They are able to do this because they had previously developed a case study method (using the decision forcing cases) and have a base from which to start. However, there appears to be no formal case analysis template (e.g. Goodpaster’s C.A.T. or Reynold’s Case Characteristics and Educational Objectives guide) that was used by any of the researched institutions.

The U.S. Military, Naval, and Merchant Marine Academies also utilize positive case studies. These are case studies where ethical and moral decisions were correctly made and the action taken led to a positive outcome (Lucus, 2004). NROTC and Norwich University also use case studies that are developed from an “in-house” ethics incident. Examples of these include a student cheating on a final exam or lying to his chain of command about off campus behavior.

In order for case studies to be effective, they need to be relevant to the student (Rubel & Lucas, 2004). Students often ask “what’s this have to do with me?” The primary audience of the institutions in this study is war-fighters. Any decision to include case studies as part of an ethics education program must be centered on providing cases that are directly relevant to the program’s students, their job responsibilities, and careers. Case studies must also be complementary to the ethics course’s learning objectives. Because most institutional learning objectives appeared in general terms only, it was unclear that the cases studies facilitated the student in obtaining these objectives.

*c. Classical Theorists*

(i.) Importance in Ethics Education. The four primary schools of classical ethics theory, deontological (duty-based), rights-based, teleological (interest-based), and virtue-based are more completely described in the literature review. A firm grounding in classical ethics theory is critical to the moral development of students (Hinman, 2003). It affords them the exposure to solid principles of moral reasoning and

aids their ethical development. The four schools of classical ethics theory form the foundation of modern ethics. Furthermore, the study of classical theory provides students with the tools to make ethical decisions when faced with a moral dilemma.

(ii.) Research Findings. Classical theorist education is taught by ten of the eleven institutions. However, because some programs used philosophy professors (USAFA, USNA) to teach classical ethics theory while others used military officers, whose degrees were not necessarily in the field of philosophy (NROTC, NSCS, USCGA), the level of theory depth to which the student was exposed varied greatly. The question has to be asked “does the course professor/instructor fully understand the intricacies of classical ethics theory or is he just repeating the course teaching guide?”

Students at the Navy Supply Corps School are not exposed to classical theorist philosophies. The researched institutions generally agreed that classical philosophies are essential to provide a basis of thought and a tool for rational analysis and decision making.

***d. Rules and Regulations***

(i.) Importance in Ethics Education. Rules and regulations provide the student and officer with the knowledge of exactly what is and isn't allowed. In order for an individual to make an informed decision, he must first know the rules. According to Hinman (2003), rules and regulations should be taught in accession ethics education because they are the foundation of societal behavior. Rules and regulations provide the basis for an officer's actions. By default, rules and regulations determine what is considered to be a “grey area.” As the students develop a better moral understanding they will recognize the intersections where duties, rights, and interest-based ethics conflict. At these junctures, the students will be required to demonstrate their moral reasoning.

(ii.) Research Findings. Eight of eleven researched institutions teach rules and regulations to their students. The three war colleges do not. The students at these three institutions are primarily mid-grade to senior-grade officers who have had repeated exposure to their services rules and regulations. However, the awareness of rules and regulations is extremely important to junior personnel and officer accessions.

These rules form the basis of what is and isn't allowed or tolerated in the military and the student will draw upon this fundamental instruction throughout his/her career.

Some institutions, such as the Navy Supply Corps School and NROTC, pay significant attention to rules and regulations. The NSCS ethics program is centered on General Military Education (GMT) and their learning objectives reflect this emphasis on regulations:

Describe Navy Policies to include: Drug and Alcohol, Equal Opportunity, Navy Rights and Responsibilities, Physical Readiness, Pregnant Service women, and Dependent Care (Darring, 2004).

However, none of these are specifically related to a supply officer's core duties, but rather to the generic administrative roles of a division officer.

UVA's NROTC unit also emphasizes rules and regulations, but only as one of the ten learning objectives for its primary ethics course, Leadership and Ethics (NASC 402):

Comprehend current Navy and Marine Corps regulations, polices, and programs relative to basic personnel administration, good order and discipline, and safety (Warnecke, 2004).

It is interesting to note the apparent difference in the relative importance each institution places on rules and regulations in an ethics class. While UVA NROTC lists this learning objective as the tenth of ten, NSCS lists it first of two.

*e. Grades*

(i.) Importance in Ethics Education. Grades encourage students to take a class seriously and to devote time and effort to the course. Grades define the level of development the student has attained through the course of study. They also serve as a direct measure of performance for the institution and provide an immediate feedback to the student as to their performance. Grades quantify how well the student is performing the disciplines of the course (i.e. problem-solving, critical thinking, or demonstrating learned knowledge) (Heron & Dugan, 2004). When career ambitions are based on the level of performance, grading also allows students to be numerically compared and ranked against each other. Finally, grades are a matter of personal pride for many students and serve to motivate those who care about grades.

(ii.) **Research Findings.** Eight of the eleven institutions graded their students with letter or numerical grades, with a minimum passing grade required to successfully complete the course. The Army War College, the Navy War College, and Norwich University do not assign letter grades to their student's work (only pass/fail). The ethics courses at these institutions are also graded pass/fail. At Norwich, the only course failures result from students failing to attend required classes.

Grades often act to motivate students to actively engage in education programs, especially when future career options are awarded based on course performance. However, because the letter grade of "C" is given with infrequency in NROTC Naval Science courses, students and faculty often view naval science courses as a means to bolster the student's cumulative grade point average. This may give the impression to the student that these courses aren't as important or require as much work or preparation as the rest of their academic course load. Thus, this grading method detracts from the use of grades as a student motivation tool and should be avoided. Students should receive the grades they earn and professors should grade the student based on his/her actual level of performance.

*f. Term Papers*

(i.) **Importance in Ethics Education.** Papers compel the student to spend more time and greater depth on topics than do exams. Not only must they formalize ideas into complete sentences, they must create a logical argument and carry their thesis to conclusion. Term papers also demonstrate the student's ability to apply the predetermined knowledge and skills (critical thinking) they have obtained (Dugan & Herson, 2004). Term papers are also a measure of the program's objectives. If the student can demonstrate moral development through his or her term paper, the paper supports the program goals of increasing the student's development.

(ii.) **Research Findings.** The scope and length of papers vary greatly among the nine institutions that require papers. These papers ranged in size from two to twenty pages. A common thread is the institution's reason for having the student produce a paper: to ensure the student is "getting it," i.e. understanding ethics education concepts while pursuing the course's learning objectives.

***g. Exams***

(i.) Importance in Ethics Education. Exams are important to education because they serve as a measure of the degree to which students have achieved the overall understanding of the course material (Dugan & Herson, 2004). They are also used to measure how well the individual student is progressing towards the learning objectives of the course of study. Exams also serve as indicators of how well the course is being administered and as an incentive to encourage the students to perform. Such incentives foster student achievement through a better understanding of case material.

(ii.) Research Findings. Of the eleven institutions surveyed, only Norwich University does not give exams. The Army and Navy war colleges give exams, but do not assess the student's work with a letter grade. The other institutions utilize various means of examination including: in-class, take-home, essay, and multiple choices.

***h. Student Presentations***

(i.) Importance in Ethics Education. Presentations provide an opportunity for students to develop and demonstrate their acquired knowledge of a subject as well as their skills in communication (Edge Hill, 2003). They challenge the student to approach learning in a fresh way, require prior preparation, and composure. The student must be able to communicate their learning and ideas orally with their peers. This also affords the instructor the ability to assess the learning process as well as the products of learning.

By standing up in front of their fellow classmates, a student giving an oral presentation is more likely to be thoroughly prepared and familiar with the material. The student must consider counterarguments to his presentation and be able to defend his point of view. The student must be more actively involved in the learning process than he/she would be while being assessed by the more traditional methods of exams and papers. The use of think-aloud protocols, whereby students verbalize their thoughts, allow the instructor to determine if the students can make the connections between theoretical knowledge and real-life events (Heron & Dugan, 2004).

(ii.) Research Findings. Only five of the eleven institutions require students to give oral presentations in front of their classmates. This significant

learning tool is only used at the U.S. Military Academy, Merchant Marine Academy, Air Force Academy, Norwich University, and some NROTC programs. “Presentations give the professor the rare opportunity to hear a student’s rationale” (Jones, USMA, 2004). The student presentation offers the class and the professor the chance to question details and discusses the student’s reasoning and opinion in greater depth. While only five institutions require formal presentations, (almost) all of the schools require active participation for course completion. For example, at the Naval War College and NROTC, students are expected to come to each class prepared to discuss assigned readings. A thorough understanding of ethical concepts is necessary for active participation in these class discussions.

*i. Senior Leadership Participation*

(i.) Importance in Ethics Education. This study also pursues whether the course of study is taught by a senior military officer or senior professor. “Military ethics tells us that integrity can be taught well by word, but better by deed” (Toner, 1995, p.83). If a senior officer is actively engaged in the ethical instruction, students can learn from the past experiences of their instructor. Senior military officers have a wealth of experiences in ethical decision making that can both educate and inspire students and junior officers. The commanding officer of a unit has the most military experience and usually the longest career of any service member in his command, and is thus the individual most qualified to provide ethics instruction. During their careers, their personal choices and decisions may not have always been right, but by learning from their mistakes they now have the ability to impart that wisdom to young officers. Example continues to be the best teacher and the person to provide that example should be the one with the most experience. As exhorted by Wakin (2000) “while wisdom is itself one of the important virtues, it does not seem to guarantee the practice of moral virtue” (p.165).

(ii.) Research Findings. All schools except NSCS have their classes taught by senior, experienced leadership. For this research project, the course must have been taught by a senior military officer (O-5/O-6+), retired military officer of the same rank, or full/senior professor. Interviewees believed that students will be more prepared if they know that a senior officer will be assessing the class or that they may

have to present their cases in front of the unit commanding officer. However, the institution's commanding officer's level of direct involvement fluctuates from teaching the entire ethics curriculum to no involvement at all.

At the University of Virginia, the Professor of Naval Science (the Unit's Commanding Officer, a Navy Captain) teaches both leadership classes (NASC 401 Leadership Management and NASC 402 Leadership and Ethics). This is the exception for the institutions researched and represents the only institution surveyed where the unit commanding officer teaches all aspects of the ethics course. This is also the exception among NROTC units, where many units still use second and third tour lieutenants to teach these courses. This utilization of lieutenants versus navy captains for NROTC ethics courses represents a significant variance in the career experiences of the educators who are teaching the next generation of military officers.

*j. Student Critiques*

(i.) Importance in Ethics Education. Student critiques and feedback are valuable when they are used to improve the course (Zhang, 2004). The direct form of evaluating the student's learning experience is through his performance on term papers and presentations and by grades. The indirect method of assessing the individual student's leaning is by gathering his personal perceptions of the learning experiences. A student may not feel he has grasped the knowledge or skills required for the course of study, even though he performed well. The student's perception of his acquired knowledge or skill is the indirect evidence of the course's effectiveness (Dugan & Hernon, 2004). These perceptions can be collected via critiques and feedback. This information can then be used to improve the course of study.

(ii.) Research Findings. Student critiques and feedback forms are used by all surveyed institutions. However, their usefulness and relative importance was greatly debated by institution representatives. Some schools simply acknowledge the student comments, while others like USMA, USNA, and Norwich expend considerable time determining if these comments will be helpful in restructuring the class or syllabus. These schools use student critiques to analyze trends by comparing student responses over time. When linked to the course learning objectives, student critiques provide valuable insight into whether or not the student felt that he or she met those objectives.

***k. Core Values***

(i.) Importance in Ethics Education. Core values are statements that express an organization's ethical commitments. Core values are important to education because clearly defined values provide critical assistance in decision making, particularly for leaders who are not at the very top level of the organization (Kinney, 2000). Senior officers uniformly asserted the importance of core values as the qualities and attributes that define a corps or a corporation and the way each conducts its business (Kinney, 2000). The exact format of these core values is less important than the fact that they exist and that the student/officer recognizes, accepts, internalizes them, and encourages others to follow them. Core values attract recruits to an organization who already possess these values and qualities. Core values build unit cohesion and reflect the spirit of the organization. "In large and/or mobile organizations, core values increase efficiency because employees within the organization who do not know each other can make certain assumptions about one another" (Kinney, 2000). When applied to education, core values should complement overarching institutional goals.

(ii.) Research Findings. All institutions stated that they highly respected their service's core values and taught them to their students. However, beyond memorizing the core values, the emphasis is seemingly a check in the box for General Military Education purposes. The institutions seem to be trivializing the true importance of their service's core values. Just how much an institution's core values influences the ethical education of any one student or group of students could not be determined.

***l. Honor Codes***

(i.) Importance in Ethics Education. Honor codes are broad rules that, when institutionalized, guide organizational and individual behavior. "Codes reflect the wisdom of generations; they urge us to act honorably and contain short guides to honorable action" (Toner, 1995, p. 85). Of particular importance is whether the institution specifically teaches its codes or interlaces the codes within the overall ethics instruction.

Toner (1995) addresses the fallibility of relying exclusively on honor codes for ethical instruction. "Codes serve hortatory and heuristics purposes, but they are not—and should never be intended as—substitutes for education in wisdom and



virtue”. Codes cannot substitute for reasoned choice between conflicting obligations. Codes are limited by their general nature and cannot provide a comprehensive solution to all situations. This is where the individual is required to apply knowledge and wisdom.

(ii.) Research Findings. Eight of eleven institutions have an Honor Code. Senior war colleges do not teach or institute honor codes and hold the belief that their students are professional officers who should already know what lying and cheating are and that such behavior will not be tolerated. Honor codes are more critical at the junior level where students are still formulating their beliefs and ideals. Some institutes, including the NSCS, have Honor Codes but do not stress them (e.g. many Supply Officers who are graduates of the Basic Qualification Course or Department Head School are unaware of a Supply Corps Honor Code). Others, like UVA NROTC, require the student to sign an honor pledge on all graded work.

One unique finding was the USNA’s policy concerning oaths. USNA Midshipmen do not swear an oath that holds them accountable for the actions of others: “A midshipmen does not lie, cheat, or steal” (USNA, 2004). The USNA leadership feels that the code is so strong and revered that individuals who pledge to its keeping will police themselves when, and if, a situation warrants such action. The success of this “self-policing” is suspect when considering past events like the Electrical Engineering Cheating Scandal of 1994 where over one hundred midshipmen had knowledge that the test had been compromised prior to class, but chose to say nothing (Lucas, 2000).

Conversely, the USAFA Cadet Honor code intent is to hold both the cadet and his peers accountable to an explicit standard of conduct: “We will not lie, steal, or cheat, nor tolerate among us anyone who does” (USAFA, 2004). The goal of the USAFA’s honor code is instilling in each cadet the precept that it is imperative for each cadet to voluntarily live by the spirit of the code rather than encouraging interpretive efforts to evade punishment under the letter of the code (USAFA, 2004). The Air Force Academy believes that a lie is a lie and that if a fellow cadet witnesses such an action and does not report the offender, then he is equally culpable.

*m. Decision and Moral Guides*

(i.) Importance in Ethics Education. Decision guides are step-by-step templates for decision making. Decision guides are important in ethics education because they help develop the student's understanding of methods of resolving dilemmas. Toner (1995) provides a six step example of a decision guide. First, *the shame test* explores whether the course of action or decision could be published without embarrassing, discrediting, or humiliating the decision maker. Toner acknowledges that there are private moments that never need to be publicized, but suggests that most decisions should meet this test. Second, *the community test* explores whether the course of action or decision is something you would want your close professional peers or your community to know about. A decision or action should be in accordance with the expectations and traditions of your friends, neighbors, teachers, and co-workers. Third, *the legal test* explores whether the authorities would place you on trial if they were aware of your decision. The decision should be legal and within the scope of societal rules and regulations. Fourth, *the situation test*, explores whether the decision requires extraordinary action. This decision would be handled differently with a more satisfactory response if there were extenuating circumstances (an extraordinary reason). Fifth, *the consequences test* explores whether the results of your decision will be good. The decision should yield greater benefits than costs. Sixth, *the God test* explores whether God would make the same decision. Does this decision follow the Golden Rule?

There are a multitude of guides available on-line and in ethics texts. The goal of this section is not to evaluate each decision guide, but to determine where and how they were used at the researched institutions.

(ii.) Research Findings. Only four of the eleven institutions utilized a formal step-by-step decision guide. Many institutions felt that they did not want to handicap their students with a "cookbook" approach that is only useful for clear cut issues. Different guides were used by each of the four institutions that used guides. The guides varied in detail. The guide used by NSCS is merely a checklist that quickly leads the student through an ethical dilemma, starting with defining the problem, then listing goals, regulations, and values, and finally weighing potential solutions.

*n. Program Effectiveness Measurements*

(i.) Importance in Ethics Education. This section examines whether the institutions measure the effectiveness of their ethics education programs. The corporate world notes that measurement of intangible values can be difficult.

Some factors are more or less measurable; others are not. While it is difficult to directly measure common values such as trust and integrity, there are a number of specific organizational culture and expected program outcomes that are valuable to track, measure, and report. It is debatable just how much management can measure enterprise fundamentals such as values. But there is much wisdom to the management truism that “What is valued gets measured, and what gets measured is valued.” This is especially true to the extent employee compensation is based on measured outcomes (Bowie, 2004).

Despite the difficulties in measuring the effectiveness of ethics programs, the corporate world offers four measurement perspectives to assess ethics program effectiveness: program-centered, institution-centered, individual-centered, and stakeholder-centered. Program-centered refers to the measures that define the performance of the program. It looks at how the program allocates resources, evaluates input and output, and measures improvement. The institutional-centered perspective refers to the output and performance measure that enhance the institutional goals or mission. Examples in an educational setting would be faculty performance and student accomplishments. The individual-centered perspective focuses on measures that relate to the customer. At an educational institution, the customer is anyone, whether student, faculty, administrator, or another party, who is served by the institution. Stakeholder-centered refers to the measures that evaluate the effects on everyone involved in the institution. Stakeholders are a diverse group that encompasses the external community, including families of students and faculty, the city, local businesses, and tax payers (Hernon & Dugan, 2004).

These four perspectives can provide valuable insight into how well the ethics education program of an institution is meeting its objectives and can present organizations with solid information on how to improve their current program.

(ii.) Research Findings. Only one institution claims to utilize program effectiveness feedback from the active duty ranks. The NSCS receives

notifications from the Navy Bureau of Personnel when a Supply Corps Officer is relieved for cause. This relief could have resulted from unethical, irresponsible, or incompetent behavior. However, this information only highlights the failures of the individual to demonstrate moral courage; it may or may not be reflective of the education he received. While this reporting system does provide valuable information to the schoolhouse, it does not provide a direct means to compare the ethics training which that particular officer received when he attended the NSCS and the situation for which he was relieved.

Some institutions, like Norwich University, use in-house effectiveness measures. This is an institutionally centered perspective to measure program effectiveness. At Norwich, student ethics violations are internally evaluated to determine whether the student received education that may have prevented his actions. The faculty and staff determine if their courses exposed the student to this issue and if they properly equipped the student to face this dilemma. Other institutions, such as UVA NROTC and the USNA, incorporate student honor and ethics violations into new case studies to ensure that the next class of students is properly equipped.

## **IV. RECOMMENDATIONS**

### **A. CRITICAL PROGRAM ELEMENTS**

After review of all institutions, several reoccurring themes emerged. These “best practices” are the hallmarks of a solid, high-quality ethics program. The following five program elements are recommended for inclusion in any ethics program and specific comments are made for emphasis in the Supply Corps:

1. Develop Program Effectiveness Measurements
2. Utilize the Case Study Approach
3. Establish Appropriate and Useful Learning Objectives
4. Expose the Student to Classical Theorists
5. Develop and Stress the Honor Code in All Activities
6. Emphasize the Ethics Program’s Importance to the Command by:
  - a. Ensuring direct involvement from the institution’s Senior Leadership.
  - b. Assigning grades to the ethics course.
  - c. Requiring students to give presentations.

### **B. DEVELOP EFFECTIVENESS MEASURES**

While the development of program effectiveness measurements may be extremely difficult to achieve, all institutions agreed that they needed direct feedback from the active ranks about the failings of the officers that they trained. If these educational institutes do not know that their program is not working, then they will not be able to fix it.

### **C. UTILIZE CASE STUDIES**

Case studies are the cornerstone of the every ethics programs that was surveyed. However, case studies for the sake of case studies would not in themselves create a

successful ethics education program. Learning objectives must be integrated with the case study approach. The foundation for critical thinking must be emphasized in the learning objective and realized in the case study. The case studies at the NSCS need to be tailored to the Supply Officer and not the warfighter. Case studies involving the morality of war and POW treatment are not the most relevant for the logistician. Dilemmas faced in early case studies need to be clear, black and white issues. They need to have definite answers about what the rules and regulations say and there needs to be a definite right and wrong.

After the student has mastered these relatively simple concepts, they will be ready to move on to more complex issues. Students returning to Athens for a follow-on course, such as Supply Office Department Head School, should be presented with more complex issues commiserate with the issues that they are likely to face in the fleet. As Reynold's Case Characteristics and Educational Objectives shows, the objectives of the case studies should increase in complexity as the student's experience and judgment level increase. A program may also utilize case evaluation guides such as the C.A.T. Scan Template to steer the reader through each case by following a step-by-step methodology.

In order for case studies to be relevant to today's supply officer, they must contain interpersonal and leadership dilemmas as well as financial accountability and business judgment dilemmas. Ethics courses should include commercial business cases as well as military specific scenarios. Real-life dilemmas, faced by real supply officers in the fleet, would provide the most appropriate topics.

#### **D. LEARNING OBJECTIVES**

Learning objectives serve as a means to compare the education that a student receives and the resultant degree of comprehension that the student achieves. Learning objectives must be matched to the military community for which the student officer is being accessed. Learning objectives must also be supported by specific case studies that provide a direct means to convey the particular learning point. Finally, the institution

must devise a method for determining if its learning objectives are being met. This may be through graded assignments such as exams or presentations, or through the analysis of student critiques following the completion of the course. Learning objectives do not have to remain static, but can evolve with the changing military climate or be altered to reflect identified short-comings.

#### **D. CLASSICAL THEORIST EDUCATION**

In order to fully learn from a case study, the student must have the proper tools in his or her tool box. Exposure to classical theorists is the device in that tool box that establishes a level foundation for each student of ethics. At NSCS, it cannot be assumed that all ensigns arrive at the BQC with equal understanding of ethics theory. Some may never have taken a philosophy course or know about the four primary schools of classic ethics theory. Today, Supply officers come from all backgrounds and what seems morally correct to one person may be completely immoral to the next. In order for an ethics program to be successful, it must establish a baseline of fundamental ethics theory and build from there.

#### **E. STRESS THE HONOR CODE**

While honor codes should not be substituted for ethical instruction, they need to be continuously present. Honor codes should be a part of every day life, visible on the bulkheads and in the passageways, not filed away deep in the archives of websites. They need to be written and pledged on every assignment. The student, through continuous acknowledgement or repetition, should come to believe that they are accountable to the code of their institution and service.

#### **F. EMPHASIZE PROGRAM IMPORTANCE**

The importance of an institution's ethics program should be stressed to the students. The most effective way to do this is through the active and direct leadership of the institution's commanding officer. If ethics is not deemed important enough to justify the Commanding Officer spending time with the course/program, then the students will

not think it is important either. Also, the Commanding Officer brings the most experience to any discussion. He has seen the most and there is no substitute for experience.

The ethics course must be graded. Pass/fail grading is not sufficient to induce the students to take the course seriously. Pass/fail grading allows students to do the minimum in order to complete the course. The grades of an ethics course must be meaningful to the student. The student must have some incentive to perform well. Grades should be factored into order selection or career progression otherwise the student has no motivation to take the course seriously.

Students must be required to do more than the minimum. Presentations require students to formalize an idea and present and accept arguments to their ideas from their peers. This forces the student to take the exercise seriously. He can no longer hide behind a term paper or exam. Both he and his convictions are forced to come face-to-face with an audience of his peers.

#### **G. RE-BASELINING AT THE BQC**

It is important to recognize that not all the Supply Officers who attend the Basic Qualification Course in Athens have been exposed to a formal ethics education course. NROTC only commissions officers into the unrestricted line and nurse corps. USNA only commissions students into the unrestricted line. The only students who are directly accessed into the Supply Corps via NROTC or the USNA are those who are medically disqualified from unrestricted line duty (e.g. midshipman is color-blind). The numbers have changed drastically over the past ten years, 71% of these officers came to the BQC from USNA and NROTC in 1993. Last year (2003) only 14% of these officers came from USNA or NROTC programs. This leaves a significant portion of each BQC class arriving from OCS, where there is no formal ethics program. Therefore a large variance in ethics knowledge exists in new Supply Officers. Naval Supply Corps School instructors must realize that the first ethics case study seen by a Supply Corps ensign may be at Athens. While professional courage and moral development cannot be achieved in one or two courses, the Navy Supply Corps School must ensure that all its BQC



graduates leave Athens with the proper education and tools to aid them in making ethical decisions in their future assignments.

THIS PAGE INTENTIONALLY LEFT BLANK

## V. AREAS FOR FURTHER RESEARCH

Through the course of this research and analysis of best practices in military ethics education programs, several interesting questions have been raised. Many of these are outside the scope of this project, but may provide beneficial information for future areas of the *Ethics in Action* program. These areas include:

1. Conduct a Cost Benefit Analysis to determine the feasibility and cost savings that might be incurred if a robust, standardized feedback loop was in place to provide the NSCS with direct feedback when Supply Officers fail in ethical dilemmas (e.g. relieved for cause).
2. Survey the exact level of Unit Commanding Officer and Executive Officer involvement with their institution's ethics program. This qualitative analysis would include a detailed look at how the CO/XOs are currently involved and how the student's perceive his/her involvement.
3. Through NETC, the USNA and NROTC are apparently standardizing their ethics programs. Is this a reality and are both programs teaching the same material in the same manner or is this an espoused goal, not actually implemented? This would require investigation of a wide cross section of NROTC units.
4. Investigate current business and industry best practices in ethics and their value to military programs.
5. Investigate exactly how the surveyed institutions accomplish their learning objectives. Are they really accomplished or are they espoused? What is the measurement of learning objective accomplishment? Is this the correct measurement?

THIS PAGE INTENTIONALLY LEFT BLANK

## APPENDICES

### A. INTERVIEW QUESTIONS

- 1) What ethics education and training courses, programs, or exercises do you have at this institution?
- 2) What are the learning objectives (see above but get the details by course, details for each program)?
  - a) Explore for goals, objectives, purpose for each piece
    - i) Service
    - ii) Program
    - iii) Individual course/class
  - b) We are concerned with both Macro and Micro level...
- 3) What are the criteria for success in this program, class, etc.?
- 4) What do you expect students to learn, do, change, in response to this program?
- 5) How do you know that the program is effective?
- 6) Officers in the military often face ethical dilemmas in their work environments. Dilemmas can be created because a conflict is presented between duty to command, peers, and/or personal beliefs or values. How does your program address this? Specifically, how do you help prepare officers to be empowered to act in such situations? Does your program address this concern, and if so, how?

## **B. ETHICS DEFINITIONS**

The following is a list of twenty seven varied and distinct definitions of “ethics” as retrieved from a Goggle Engine search with string logic of “ethics defined”:

motivation based on ideas of right and wrong

[www.cogsci.princeton.edu/cgi-bin/webwn](http://www.cogsci.princeton.edu/cgi-bin/webwn)

the philosophical study of moral values and rules

[www.cogsci.princeton.edu/cgi-bin/webwn](http://www.cogsci.princeton.edu/cgi-bin/webwn)

A system of moral principles, rules or standards that govern the conduct of members of a group. Ethical codes of conduct approach human behavior from a philosophical standpoint by stressing objectively defined, but essentially idealistic, standards (or laws) of right and wrong, good/evil, and virtue/vice such as those applicable to the practices of lawyers and doctors.

[grove.ufl.edu/~rolandc/definitions.html](http://grove.ufl.edu/~rolandc/definitions.html)

A generic term for various ways of understanding and examining the moral conduct of human behavior and actions. Some approaches are normative (i.e. they set standards of right or good action) others are descriptive (i.e. they report on what people believe and how they act).

[www.cirem.org.uk/definitions.html](http://www.cirem.org.uk/definitions.html)

Principles of right or good conduct, or a body of such principles, that affect good and bad business practices.

[www.ncn-ltd.co.uk/sellingtaster/misc/glossary.htm](http://www.ncn-ltd.co.uk/sellingtaster/misc/glossary.htm)

The branch of philosophy that deals with distinctions between right and wrong and with the moral consequences of human actions. Examples of ethical issues that arise in medical practice and research include informed consent, confidentiality, respect for human rights, and scientific integrity.

[www.iime.org/glossary.htm](http://www.iime.org/glossary.htm)

The study of fundamental principles that defines values and determines moral duties and obligation.

[rarediseases.info.nih.gov/glossary\\_a-e.html](http://rarediseases.info.nih.gov/glossary_a-e.html)

The study of standards of conduct and moral judgment; the system or code of morals of a particular person, religion, group, profession

[www.teachingaboutreligion.org/MiniCourse/glossary.htm](http://www.teachingaboutreligion.org/MiniCourse/glossary.htm)

The practices and principles constituting morally right conduct, and the philosophical study of these.

[members.aol.com/lshauser2/lexicon.html](http://members.aol.com/lshauser2/lexicon.html)

the study of the general nature of morals and the specific moral choices to be made by the individual in his relationship to others; belief in honor and good reason.

[www.cbaa.org/glossary.html](http://www.cbaa.org/glossary.html)

The practice of applying a code of conduct based on moral principles to day-to-day actions to balance what is fair to individuals or organizations and what is right for society.

[www.asq.org/info/glossary/e.html](http://www.asq.org/info/glossary/e.html)

Standards of conduct or moral judgment.

[biz.yahoo.com/glossary/bfglose.html](http://biz.yahoo.com/glossary/bfglose.html)

(noun) (1) The discipline dealing with what is good and bad and with moral duty and obligation. (2) (a) a set of moral principles or values (b) a theory or system of moral values (c) the principles of conduct governing an individual or a group <professional ethics> see code of ethics (d) a guiding philosophy

[www.apduli.com/defined.htm](http://www.apduli.com/defined.htm)

the study of the general nature of morals and of the specific moral choices to be made by the individual in his relationship with others. Ethics is a personal thing. It is the actions the person takes on himself. See also morals.

[www.scientology.org/wis/wisger/gloss.htm](http://www.scientology.org/wis/wisger/gloss.htm)

The moral considerations of the activities of a philanthropic organization. Also, standards of conduct and methods of doing business by organizations of fundraising counsel that provide assurances of professionalism in client relationships. A system or code of conduct that is based on universal moral duties and obligations which indicate how one should behave. It deals with the ability to distinguish good from evil, right from wrong, and propriety from impropriety. Topic areas: Fundraising and Financial Sustainability, Accountability and Evaluation

[www.nonprofitbasics.org/TopicAreaGlossary.aspx](http://www.nonprofitbasics.org/TopicAreaGlossary.aspx)

Entries cover world-wide religious teachings on abortion, animals, birth control, war, sexuality and homosexuality, and suicide

[www.oup-usa.org/isbn/0192139657.html](http://www.oup-usa.org/isbn/0192139657.html)

The branch of philosophy that deals with distinctions between right and wrong - with the moral consequences of human actions. See also informed consent.

[www.ben.edu/semp/htmlpages/glossarye1.html](http://www.ben.edu/semp/htmlpages/glossarye1.html)

Study of right and wrong and wrong, good and bad, moral judgment, etc.  
[www.carm.org/atheism/terms.htm](http://www.carm.org/atheism/terms.htm)

The principles and values that guide the actions of an individual or population when faced with questions of right and wrong.  
[www.healthadvantage-hmo.com/customer\\_service/terms.asp](http://www.healthadvantage-hmo.com/customer_service/terms.asp)

The moral code which guides the members of the profession in proper conduct of their duties and obligations.  
[www.fmmc.army.mil/CAC%20Web/Terms~1.htm](http://www.fmmc.army.mil/CAC%20Web/Terms~1.htm)

The study of standards of conduct and moral judgment; the system or code of morals of a particular person, religion, group, profession, etc.  
[www.northave.org/MGManual/Glossary/Glossary.htm](http://www.northave.org/MGManual/Glossary/Glossary.htm)

That branch of moral science, idealism, justness, and fairness which treats the duties that a member of profession or crafts owes to the public, to his clients or patron and to his professional brethren or members.  
[www.rpmlx.com/Glossary/glossaryE.htm](http://www.rpmlx.com/Glossary/glossaryE.htm)

the science of morals in human conduct. Source: Oxford Dictionary  
[www.mhcinternational.com/glossary](http://www.mhcinternational.com/glossary)

study of right and wrong and wrong, good and bad, moral judgment, etc.  
[www.carm.net/atheism/terms.htm](http://www.carm.net/atheism/terms.htm)

the principles of conduct governing an individual or group; concerns for what is right or wrong, good or bad.  
[oregonstate.edu/dept/anthropology/glossary2.htm](http://oregonstate.edu/dept/anthropology/glossary2.htm)

a system of values; a set of rules or standards governing the conduct of the members of a profession.  
[www.integrityinaction.org/glossary.htm](http://www.integrityinaction.org/glossary.htm)

The study of normative judgments concerned with what is morally right and wrong, good and bad.  
[www.consumerbehavior.net/glossary.htm](http://www.consumerbehavior.net/glossary.htm)



## **C. UNITED STATES NAVAL ACADEMY**

### **Interview Background**

Multiple phone and e-mail interviews were conducted with faculty of the United States Naval Academy (USNA). These interviews were with USNA Distinguished Military Professor of Ethics, Rick Rubel, Captain, USN retired. Additional data was collected through an interview conducted between Professor Leslie Sekerka and Dr. Allen Pierce. Dr. Pierce serves as an advisor to the Naval Academy's Ethics Department. Interaction with these individuals began in June 2004 and was completed in November 2004.

### **Background**

The U.S. Naval Academy was founded in 1845 by the Secretary of the Navy, George Bancroft, in Annapolis, MD. The Academy's students, midshipmen, represent every state in the union as well as some twenty countries around the globe. The Naval Academy gives young men and women the up-to-date academic and professional education and training needed to be effective naval and marine officers in their assignments after graduation. In 1850, the Naval School became the United States Naval Academy. A new curriculum went into effect requiring midshipmen to study at the Academy for four years and to train aboard ships each summer. That format is the basis of a far more advanced and sophisticated curriculum at the Naval Academy today. As the U.S. Navy grew over the years, the Academy expanded. The campus of 10 acres increased to 338. The original student body of 50 midshipmen grew to a brigade size of 4,000.

(USNA, Intro, 2004)

Congress authorized the Naval Academy to begin awarding Bachelor of Science degrees in 1933. The Academy later replaced a fixed curriculum taken by all midshipmen with the present core curriculum plus 18 major fields of study, a wide variety of elective courses and advanced study and research opportunities. The Naval Academy first accepted women as midshipmen in 1976, when Congress authorized the admission of women to all of the service academies. Women comprise approximately 13 to 14 percent of entering plebes--or freshmen--and they pursue the same academic and professional training as do their male classmates. Annapolis commissions a combined annual average

of nine hundred Ensigns as Naval Officers and 2nd Lieutenants in the Marine Corps (USNA, Intro, 2004).

### **Mission**

The Naval Academy's mission is to develop young men and women mentally, morally and physically for service as Officers of the Naval Service. Moral and ethical development is a fundamental element of all aspects of the Naval Academy experience. From a student's first summer (plebe summer) through graduation, the Naval Academy's Officer Development Program is a four-year integrated continuum that focuses on the attributes of integrity, honor, and mutual respect (USNA, INTRODUCTION, 2004-2005).

### **Learning Objectives: Yes.**

The Naval Academy's primary learning objectives in moral education are:

- Ensure that Midshipmen understand the moral obligations and awesome responsibilities of military officership.
- Prepare Midshipmen for their military career by leading them through a range of contemporary moral dilemmas in the military context.
- Provide Midshipmen with the moral reasoning tools to respond to these professional moral dilemmas.
- Challenge the students and increase their capacity for critical thinking, including examining their own ideas and beliefs.
- Motivate students to improve their own moral reasoning.

The Naval Academy emphasizes communication and discussion to teach midshipmen the difference between character and values. The institution acknowledges that a student already possesses a moral pre-disposition, but aims to teach virtues that support navy/officer/academy core values. The genesis for the ethics course comes from the overall mission statement to “develop midshipmen morally, mentally and physically.” Instructors endeavor to “imbue midshipmen with the highest ideals of duty, honor and

loyalty in order to provide graduates who are dedicated to a career of naval service, and have potential for future development in mind and character to assume the highest responsibilities of command, citizenship and government” (USNA Catalogue 2003). As evidenced by Figure 1, ethics education is an integral part of the overall plan for midshipmen leadership and character development.

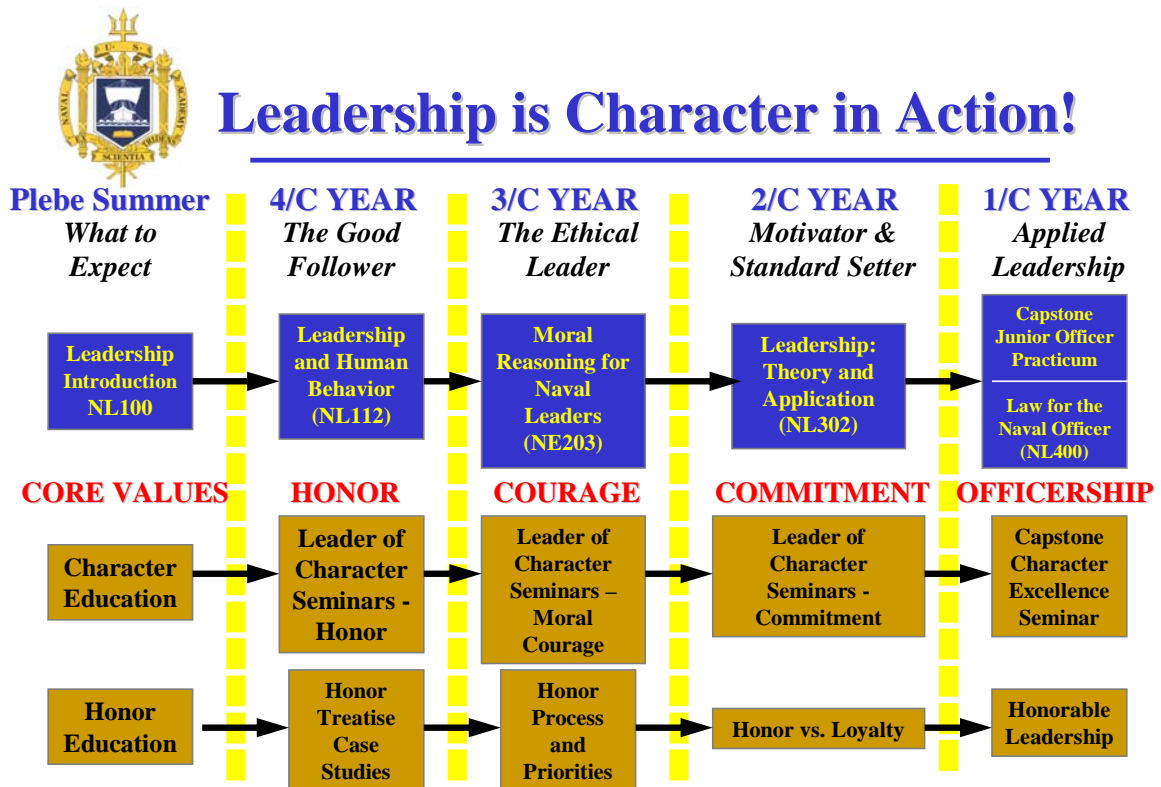


Figure 1. Leadership is Character in Action

**Case Studies:** Yes. Case studies are used hand-in-hand with value/moral theories. The case studies are used primarily to expose midshipmen to the diverse alternatives for moral dilemmas. Midshipmen first learn the principles of an ethical philosophy and then apply this knowledge to a case study. Case studies serve as a medium to link classroom lecture with ‘real life’ scenarios, both civilian and military. Much effort is devoted in ensuring relevant and current event case studies are used in classroom lectures.

**Theorist Education:** Yes. The Academy uses classical theorists. Utilitarianism, Relativism, Kantianism, Divine Law, Natural law, Stoicism, Divine Theorists, Constitutional Theorist, and Just Law Theory are all reviewed. Each of these philosophies is taught as a tool for decision making in a dilemma.

The just war principle is reviewed heavily as it is believed to be the most comprehensive and applicable theory for midshipmen and junior officers.

**Rules and Regulations:** Yes. There is emphasis on understanding international law of Armed Conflict as well as the Geneva Convention. Throughout the four-year experience, there is constant exposure to Navy Rules and Regulation, and the Uniformed Code of Military Justice (UCMJ), via General Military Training.

**Grading:** Yes. Students are graded for course completion with the following weighting:

- 25 % Weekly papers/quizzes
- 10 % Term paper #1
- 15% Term paper #2
- 15 % Mid term exam
- 25 % Final exam
- 10% Class participation

The Ethics Course is not an elective. Active participation in the course is mandated and required for satisfactory completion. Midshipmen are charged with briefing the class regarding out-of-class reading assignments that are pertinent to that day's teaching.

**Term Papers:** Yes.

**Exams:** Yes.

**Student Presentations:** No. Formal presentation is required during the course(s). However, students are called on at random, daily, to present to the class the summary of the required readings.

**Taught by Senior:** Yes. The Naval Academy's ethics training is chaired by a retired Navy Captain who is a distinguished professor at the Naval Academy. He is charged with overseeing the moral and ethical education of all midshipmen. All theory classes are taught by subject matter experts. Some input from an outside reading committee is sought in the review of the midshipmen's daily point papers to provide ample and diverse feedback.

**Student Critiques:** Yes. A heavy emphasis and concentration is made on collecting and reviewing the inputs from the students at the end of the course. These inputs are reviewed and much effort is made by the staff in evaluating all criticisms. These criticisms are reviewed for validity and if warranted, are addressed/corrected the following semester in teaching to the next set up midshipmen.

**Core Values:** Yes. The Naval Academy's core values are those of the Navy's: Honor. Courage. Commitment. "Right action parallels officer virtuousness" is an underlying theme in all ethics training. Officer virtue in every decision is stressed; however, decisions are not reviewed from a "right" versus "wrong" perspective.

**Honor Code:** Yes. The Naval Academy honor code states: Midshipmen do not lie, cheat or steal (USNA Honor, 2004). The Naval Academy honor system is unique from other service academies. At the U.S. Military Academy and U.S. Air Force Academy, the honor codes include a "non-toleration clause" wherein failure to report an honor violation is an honor violation in itself. The USNA *Honor Concept* trusts that midshipmen will enforce the high standards for which they have volunteered not out of fear, but because it is the right thing to do (USNA, Honor, 2004). The practical application is considered part of the four year experience. Every experience to which a midshipman is exposed (athletic field, classroom, and leadership roles) is designed to emphasize the core values and integrity.

**Decision/Moral Guides:** Yes. The capstone of the mandated ethics course does offer a decision tree (Figure 2). This is a guide only, not a boilerplate format by which all officers think or reason. The process of ethical decision making is emphasized so that USNA commissioned officers are capable of sound reasoning and have the ability to apply learned concepts and theories when needed.

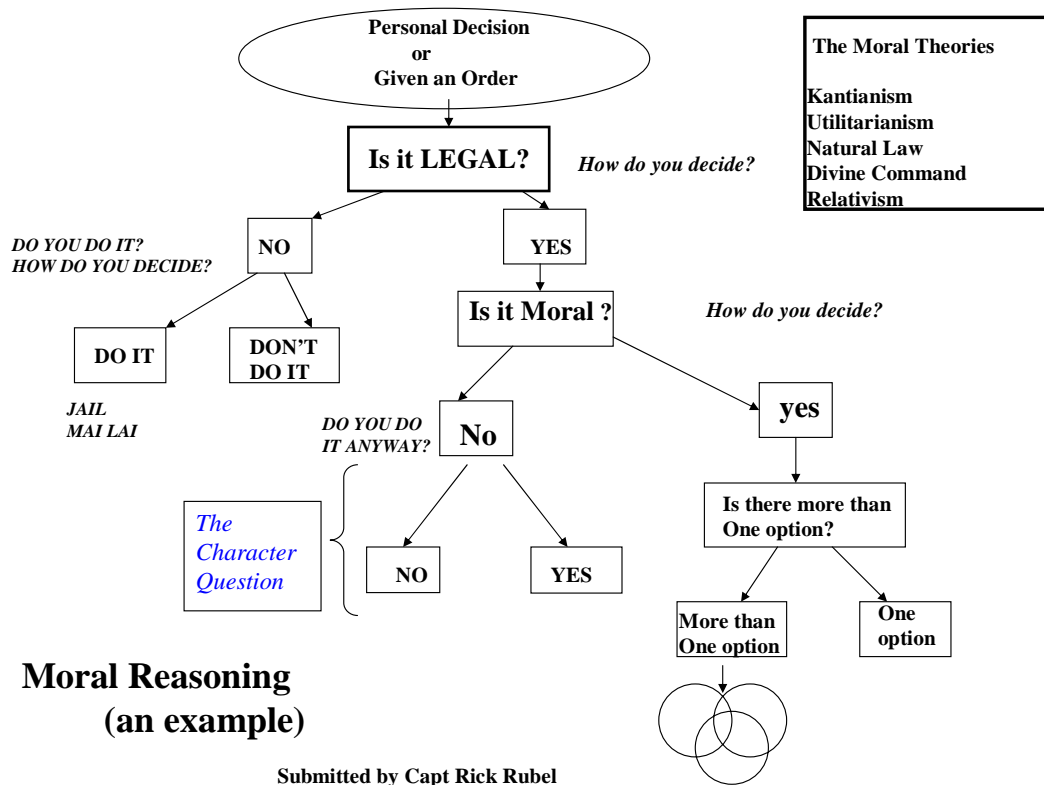


Figure 2. Moral Reasoning

**Effectiveness Measures:** No. The Academy openly acknowledges it “would be nice to have” statistical data on measuring its officer graduates and their ethical/moral performance once in the fleet. The Naval Academy does not measure longitudinal success of the ethics training, nor do they consider it feasible or plausible. USNA attempted a fleet survey, but numerous barriers in collecting data made it infeasible. Success in their program is measured from student feedback once in the fleet. Captain Rubel stated, “Midshipmen testimonies reflect their reasoning skill sets are not only being applied in a crisis management situation, but are now inherent in all they do, and say” (Rubel, 2004).

## **Summary**

USNA is on the forefront of ethics education. Faculties have published numerous books and articles in the field of ethics education. A recent publication (*Ethics and The Military Profession: The Moral Foundations of Leadership and Case Studies in Ethics and the Military Profession*), was approved by NETC for use amongst all NROTCs for their ethics education course. The Naval Academy's role in providing moral instruction to midshipmen has expanded in the past year. At time of this research, USNA offered to assist with ethics training at all NROTC units to standardized ethics education programs for midshipmen across the nation.

## **D. UNITED STATES MILITARY ACADEMY**

### **Interview Background**

Multiple phone and e-mail interviews were conducted with faculty of the United States Military Academy (USMA). These interviews were with “Values Education Officer’s” Colonel Michael Haith, Colonel Albert Bourque, and Lieutenant Colonel David Jones. They are charged with overseeing The Simon Center for the Professional Military Ethic Values Education Program, United States Military Academy. Interaction with these individuals began in June 2004 and was completed in November 2004.

### **Background**

West Point's role in our nation's history dates back to the Revolutionary War. Several soldiers and legislators, including Washington, Knox, Hamilton and John Adams, desiring to eliminate America's wartime reliance on foreign engineers and artillerymen, urged the creation of an institution devoted to the arts and sciences of warfare.

President Thomas Jefferson signed legislation establishing the United States Military Academy in 1802. He took this action after ensuring that those attending the Academy would be representative of a democratic society. Today, West Point’s graduating classes represent each state of the union, as well as over twenty countries around the globe. West Point annually commissions an average of nine hundred 2<sup>nd</sup> LTs in the regular U.S. Army (USMA, INTRO, 2004).

### **Mission**

Since its founding two centuries ago, the USMA has accomplished its mission in commissioning officers for service in the Army by developing cadets in four critical areas: intellectual, physical, military, and moral-ethics - - a four-year process called the "West Point Experience." Specific developmental goals are addressed through several fully coordinated and integrated programs. The moral-ethical development occurs throughout the formal programs as well as a host of activities and experiences available at the Military Academy. These include formal instruction in the important values of the military profession, voluntary religious programs, interaction with staff and faculty role models, and a vigorous guest speaker program. The foundation of the ethical code at



West Point is found in the Academy's motto, "Duty, Honor, and Country." Cadets also develop ethically by adhering to the Cadet Honor Code, which states "A cadet will not lie, cheat, steal, or tolerate those who do" (Jones, 2004).

**Learning Objectives:** Yes.

West Point's teaching objective is to ensure each cadet learns to recognize the differences in all of us. The faculty realizes they cannot re-train a person's disposition towards ethics. However, they have dedicated considerable resources to ensuring each cadet is exposed to the reasons why they need to follow certain rules and regulations. A large emphasis is placed on "recognizing differences." USMA want all cadets to engage in complex ethical issues and think about them in a constructive, critical and systematic way.

The course objectives for one mandated course (Philosophy 201) are as follows:

- To develop the capacity to think clearly and critically.
- To further facility with the language, arguments, and methods of moral discourse.
- To heighten awareness of moral issues and the value of leading an examined life.
- To examine the moral dimensions of war.
- To provide opportunity to engage in reasoned discussion of philosophical issues.
- To reinforce writing skills by continuing emphasis on the requirement to articulate ideas in correct, organized, and effective prose.

**Case Studies:** Yes. Case studies, mixed with current and past philosophy teaching, are used to ensure each cadet is given maximum exposure to the field of ethics training. Case studies begin with simple leadership decision making – "Is lying wrong?" and build towards radical and controversial topics such as abortion and religion. Case

studies are debated in small groups with faculty ensuring that contested opinions and viewpoints are exchanged and aligned with critical, professional thinking.

**Classical Theorists:** Yes. There is a great deal of reading concerning the great theories of past and present. Philosophers such as Kant, Hobbes, Plato, Aristotle, Quinn, Russell, Williams and Pojman comprise the required readings assignments. USMA also presents various philosophies, including Just War theory, theory of aggression, and theory of realism, emphasizing the direct applicability to junior officers. Ethics course devotes considerable time to consequentialism and its application to wartime issues.

**Rules and Regulations:** Yes. There is emphasis on understanding International Law of Armed Conflict as well as the Geneva Convention. Throughout the four year experience there is constant exposure to Army Rules and Regulations, as well as the Uniformed Code of Military Justice (UCMJ).

**Grading:** Yes. Below is a grading breakdown of PY201 Spring 2004:

In-class and out-of-class essays	35%
Written Paper Report	15%
Take Home Essay Exam	20%
Instructor Grade (homework, quizzes, writs, presentations, participation)	30%

**Term Papers:** Yes. Term papers as well as short essays are required.

**Exams:** Yes. Quizzes, midterms, as well as a final exam are required for successful completion of the course. Classical theories require graded reviews and each student must produce an end of course paper that speaks directly to a one to two question essay based final. Successful completion is required for all graduating cadets.

**Student Presentations:** Yes. Honor and Respect Classes are small group discussions oriented towards whole group interaction and dialogue. Cadets lead/facilitate honor classes. Staff and faculty lead/facilitate all Respect Classes. The Cadets team-teach classes with officer instructors, but the staff and faculty members take the lead in the discussion/instruction. Cadets, staff and faculty participate in a mandatory Faculty

Development session prior to every Honor and Respect Class. This ensures continuity in the message delivered to all students and promulgates to faculty the goals and objectives developed by the Ethics Action Center for each course and lecture series.

**Taught by Senior:** Yes. The courses are taught by senior military officers and recognized, experienced professors. General Military Training (GMT) lectures are presented by visiting professors and distinguished West Point Alumni. Alumni brought back to discuss leadership, ethical issues are not necessarily high ranking military officers, but achievements in their field of service make them notable.

**Core Values:** Yes. The USMA Core Values are Duty, Honor, and Country. In addition, ethics education resides on “West Point’s Bedrock Values” of Honor and Respect, which are taught with four pillars of concentration:

2. Know the Academy’s standards concerning the Bedrock Values.
3. Adhere to the Academy’s standards under the Bedrock Values.
4. Believe in and profess the standards and values of Honor and Respect.
5. Lead in the development of character in others in the Bedrock Values.

Cadets are exposed to over forty-seven hours of *Bedrock Values* classes over the four- year West Point experience.

**Decision/Moral Guide:** No. There is no “decision guide” per se, but USMA does rely on the Honor Code to construct a basis from which all cadets function. Much like the USNA *Reef Points*, West Point relies on plebe indoctrination to lay ground work for moral expectations of a cadets and officers.

**Effectiveness Measures:** No. There is no formal means of measuring West Point graduates’ success concerning ethical and leadership dilemmas. LTC David Jones states, “There is no magical gate a cadet passes through to guarantee success in ethical training.”

## Summary

West Point maintains a proactive role in ethics training and hosts several nationally recognized symposiums regarding ethics. They are constantly involved in lecture engagements concerning the subject, and they reach out to many facets of the communities; high schools, business', and other learning institutions as well as army personnel. The ethics center is very much involved in the strategic planning that the USMA puts together in creating the curriculum for the cadets. This involvement insures an understanding of "what" is being taught by both the school and the center, and is aimed at providing a complementary, harmonious; overall connect between the all entities in the West Point program. USMA spends four complete years whereby every evolution and experience a cadet participates in, is carefully planned, and molded into reemphasizing the importance on integrity in the role of a cadet and officer. They do use a waterfall effect in training cadets about a specific idea at a specific time. Staff looks at each cadet as they go through their four-year process and have specific training goals pertinent to each year group. See Figure 1.

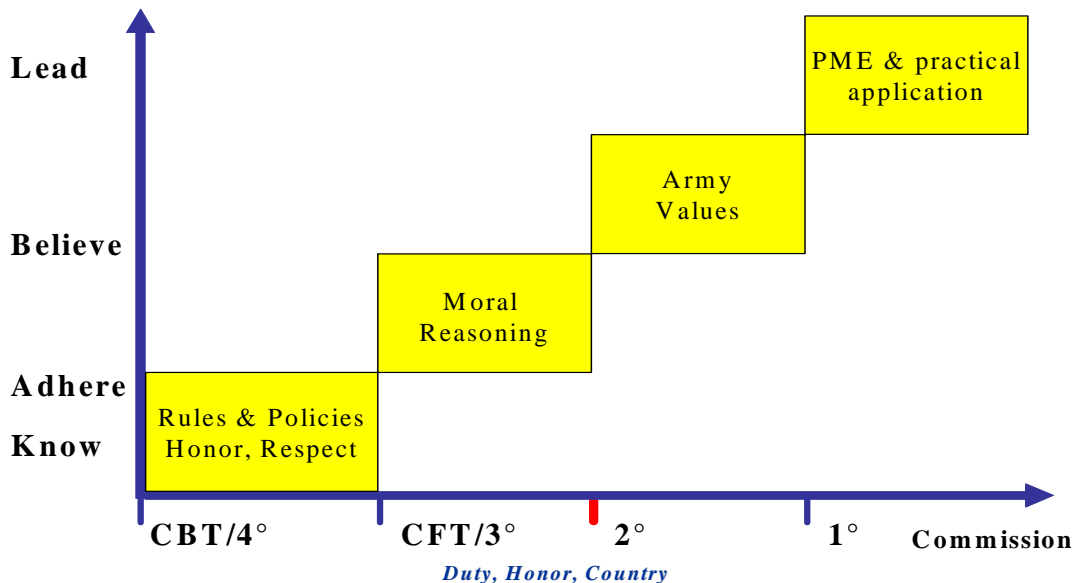


Figure 1 Training Goals

## **E. UNITED STATES AIR FORCE ACADEMY**

### **Interview Background**

Research was conducted via internet research of the United States Air Force Academy official website.

### **Background**

The U.S. Air Force Academy was established on April 1, 1954, by President Dwight D. Eisenhower. Today in Colorado Springs, Colorado the Academy provides the Air Force with a corps of officers dedicated to upholding the high standards of the United States.

### **Mission**

The United States Air Force Academy exists to educate, train, and inspire so that each graduate is a commissioned leader of character committed to our core values of integrity, service, and excellence; professional growth throughout a career as an officer in the US Air Force, and; a lifetime of selfless service to the nation. Above all else, the Air Force Academy is a military organization designed to serve the Air Force and our nation. In pursuit of its goal to produce leaders of character, the Academy must establish and nurture policies that emphasize the character expected from commissioned Air Force officers.

To remain relevant to the larger Air Force, the Air Force Academy must focus on the deliberate development of Air Force officers, providing the required mentoring, guidance, and discipline to produce future leaders. The Academy will not be managed as a separate entity; rather, it must reflect the values and norms of the broader Air Force while maintaining the high academic standards of a world-class university.

### **Learning Objectives: Yes.**

All USAFA cadets are required to take Philosophy 310 prior to graduation, usually in their 3<sup>rd</sup> or 4<sup>th</sup> year.

**Philos 310. Ethics.** A critical study of several major moral theories and their application to contemporary moral problems with special emphasis on the moral problems of the profession of arms.

**Philos 310** Spring 2003 Syllabus Exert:

In order to meet the requirements of Philosophy 310, Ethics, by the end of the course cadets will:

Understand the need for ethical reflection in the military

Demonstrate skills in critical reasoning such as clarification of terms, identification of underlying assumptions and the dialectical treatment of alternatives

Demonstrate skill in the reading, interpretation, and application of classics of moral philosophy

Understand the strengths and weaknesses of different accounts of moral character and of different approaches to ethical decision making, especially

- a. Deontological Theory
- b. Consequential Theory
- c. Virtue Theory

Frame and resolve problems in the profession of arms concerning:

- a. When is it morally justified to use military force?
- b. What are the moral limitations on how military force is used?
- c. What are the moral obligations of the military leader?
- d. What kind of person, morally speaking, must the military leader be?

Other Ethics Courses Offered:

**Hum 430. The Holocaust.** The subject of the Holocaust, the destruction of the Jews of Europe and others at the hands of the Nazis and their collaborators, is of great significance in the history of human civilization. The extensive documentation of this systematic genocide lends itself to the pedagogical examination of critical lessons in the study of human history and behavior, as well as ethical issues. Through this investigation cadets can also understand what it means to be a responsible citizen and soldier.

**Philos 311. War, Morality and the Military Profession.** An in-depth examination of the moral issues raised by the profession of arms. Presumes an understanding of moral theory, as a minimum: relativism, egoism, utilitarianism and deontology.

**Philos 395. Philosophy of Law.** This course will serve as an introduction to legal philosophy and its relations to moral reasoning. Emphasis on the nature of law, its authority, its relations to morals, the controversies over judicial decision making, the

justification of states interfering with the liberty of individual citizens, the various different or competing senses of “justice,” the question of responsibility and the justification of legal punishment.

**Philos 400. Global Philosophy of Religion.** A comparative study of the world’s great religions that examines the relation of religion to morality; the nature of religious aspirations; the spiritual influence of religion upon culture and society; the sacred scriptures; the concept of God, salvation, evil and the afterlife. Studies Christianity, Buddhism, Judaism, Hinduism, Confucianism and Islam.

**Mech Engr 290. Engineering Design.** Application of engineering principles to the creative design process through redesign and original design. Topics include the creative design process, safety, engineering ethics, engineering economy, machine components, basic manufacturing techniques, technical communications, Computer-Aided Design (CAD) measurement systems and project management methods.

**Pol Sci 390. International Relations Theory.** Introduces the basic concepts of international relations. Major theoretical approaches to the analysis of international politics (realism, liberalism and globalism) will be used to explore the nature of the international system and various aspects of state behavior in their historical and contemporary settings. Among the subjects examined within this framework: the formulation of foreign policy, mechanisms of conflict and cooperation, the origins of war, issues of international interdependence, international political economy and questions of international ethics.

**Pol Sci 423. War Crimes, Genocide and Human Rights.** This course explores historical, legal and political perspectives on the law of armed conflict and the development of human rights law. The Nuremberg Tribunal, the Holocaust, the Cambodian and Rwandan genocides, the My Lai incident and experiences of prisoners of war are used as case studies within this framework. Resistance movements are also examined. The course is team taught by members of the Political Science, Law and History departments and can be used as a social science elective or an elective in any of these three departments.

**Pol Sci 451. American Political Thought.** A survey of basic themes in American political thought beginning with the 17th century European origins of American political thought and extending to modern attempts to strike a balance between individual rights and social needs. The focus is on the difficulties of translating principles into practice.

**English 211. Intermediate Composition and Literature.** Refines analytical and critical reading skills introduced in English 111 through the rhetorical examination of significant literary texts written by some of the world's great writers. Concentrates on masterpieces and contemporary works that reflect our culture and values, particularly those that focus on moral and ethical issues and examine relevant concerns such as leadership, heroism, integrity and the individual and social responsibility.

**Mgt 200. Introduction to Management.** This course focuses on the universality of the management functions of leading, planning, organizing and controlling an organization so as to efficiently and effectively reach its objectives. Through a survey of critical management topics, students learn to use management functions to analyze and improve organizations and their processes in increasingly complex, ambiguous and dynamic environments. As we enter the information age, Mgt 200 helps students develop the adaptive capacity required to manage an organizations' resources—ideas, people, equipment, finances and information. Other topics include decision making, ethical and social responsibilities of organizations, information systems and personal financial planning for Air Force officers.

**Mgt 345. Organizational Behavior.** An introduction to individual and group theories of behavior and their integration into the organization as a whole. Theories of attitude, behavior and cognition are applied to the understanding of other theories and organizational issues like motivation, stress, productivity, creativity, conflict, decision making, citizenship behavior and power and politics.

**Case Studies:** Yes.

**Theorist Education:** Yes. Deontological Theory, Consequential Theory, Virtue Theory, Plato, Aristotle, Kant, Mill, Walzer.

**Rules and Regulations:** Yes,



**Grading:** Yes.

Grades will be assigned as follows:

Group presentation	100
Paper #1	100
In-class Essay #1	75
IP points	25
Mid-term Grade:	300
In-class Essay #2	75
Outline of Paper #2	50
Paper #2	200
IP points (rest)	75
Final exam	300

=====

Total	1000
-------	------

Grade cuts: (NO CURVES)

up	930 and	A
	900-929	A-
	870-899	B+

830-869	B
800-829	B-
770-799	C+
730-769	C
700-729	C-
600-699	D
Below 600	F

**Term Papers:** Yes. Two papers at 8 to 10 pages each. Combined they are worth over one third of the class's total grade.

**Exams:** Yes, final exam is worth approximately one-third of the class's total grade. Students who receive 93% (279 points) or more on the final exam will have their course grade raised by one letter grade. On the other hand if students receive less than 60% (180 points) on the final, they will fail the course, regardless of the points that have been accumulated. The purpose is to provide an added incentive to prepare for the final examination

**Student Presentations:** Yes, final group project. Also, professor uses students to present the day's material during the first 15-20 minutes. The student is responsible for leading the discussion and the professor steers and manages the process. This forces the student to be prepared for each class and offers a public speaking opportunity.

**Taught by Senior:** Yes, senior professors teach the ethics courses and senior officers run the Center for Character Development. It is unclear how much of a direct role the school superintendent plays in direct ethics education of the cadets.

**Student Critiques:** Yes.

**Core Values:** Yes, integrity, service, and excellence.

**Honor Code:** Yes, "We Will Not Lie, Steal Or Cheat, Nor Tolerate Among Us Anyone Who Does".

The Cadet Honor Code is a statement of intent: the intent to hold both ourselves and our peers to an explicit standard of conduct. Enforcement of the honor code must be based on the goal of instilling in our cadets an imperative to voluntarily live by the *spirit* of the code rather than encouraging interpretive efforts to evade punishment under the *letter* of the code. A lie is a lie, the mere construction of which requires intent to deceive. Failing to acknowledge this simple moral truth reinforces an attitude accepting the evasion of responsibility for the consequences of one's own behavior. This behavior is unacceptable in a commissioned officer and is, as a result, not to be tolerated at the Air Force Academy.

**Decision/Moral Guides:** No.

**Effectiveness Measures:** There is no direct or formal feedback process from active ranks.

### **Other Aspects of Ethics Programs at the USAFA:**

USAFA Center for Character Development: The Center's mission is to facilitate programs and activities throughout all aspects of cadet life that help cadets develop this internal moral compass. Its objective is to graduate officers who:

Have forthright integrity, voluntarily deciding the right thing to do and doing it.

Respect the dignity of all human beings.

Take full responsibility for their decisions.

Such qualities are caught as well as taught and thus the Center offers programs for both cadets and staff. Staff training programs and briefings – in human relations, honor and mentoring for character – work to create a character-enriching environment. Cadet character and leadership education follows a developmental character education plan designed to provide the fundamental knowledge early in a cadet's career, followed up with a wide variety of developmental experiences to help cadets to internalize the motivation for personal character development.

The Center for Character Development is organized into four divisions. The Honor Division administers the honor code and educates Academy personnel regarding the honor system. The Character and Leadership Education Division provides character based honor and leadership education and training. The Human Relations Division focuses on fostering a healthy social climate and offering programs which encourage a respect for human dignity. The Excellence Division organizes

symposiums, conducts seminars, and offers a variety of forums for cadets to pursue their own character development.

**Character & Leadership Education Division:** In a profession that demands leadership, it is essential to develop leaders with a solid moral foundation. To reach that goal, the Character and Leadership Education Division provides a variety of classroom, seminar, workshop and experiential-based learning programs to all cadets, beginning when they enter Basic Cadet Training (BCT), and continuing each year through their last semester at the Academy.

Fourth-class cadets begin this character development journey by encountering a program called Eagle ACES (Academy Character Enrichment Seminar). The program is a dynamic three-hour interactive seminar that focuses on self-reflection.

The third-class cadets complete the Respect and Responsibility (R&R) Workshop. This workshop is designed to take the cadets out of their normal environment and to help them discover valuable information about themselves and others.

Second-class cadets will take part in the Center's newest offsite seminar – Leaders in Flight Today (LIFT). Building upon the previous character development programs, LIFT includes a personality style assessment tool intended for cadets to better understand others as they better understand themselves.

The cadet's mandatory character and leadership development journey culminates in our first program – Capstone ACES. ACES is a dynamic, one-day offsite program designed to focus attendees on the ethical demands placed on Air Force Officers. Capstone ACES helps not only the first-class cadets, but other staff and faculty examine their collective role in character development within both the Academy and the greater Air Force.

### **Basic Cadet Training**

The purpose of the U.S. Air Force Academy is to produce Air and Space leaders with vision for tomorrow – officers who ascribe to our core values of *integrity first, service before self and excellence in all we do*. To that end, we seek to ensure that each graduate enters the Air Force with a unique combination of education and experience – military, athletic, academic, ethical – designed to produce leaders who have special qualities. The experiences are largely intellectual and physical challenges, beginning in Basic Cadet Training (BCT) and continuing through the next

four years. Meeting those challenges requires dedication, sacrifice, stamina and courage.

Much of your first summer at the Academy will be spent in BCT – a rigorous, five-week orientation program that introduces you to military life. Your performance and attitude in this program will strongly influence your future success at the Academy, so be sure you understand that BCT is a very serious undertaking.

(US Air Force Academy Website)

### **Summary**

The United States Air Force Academy's ethics training centers around three areas: Air Force Core Values and the Cadet Honor Code, USAFA Center for Character Development, and the core course requirement of Philosophy 310.

Character training is broken down by year groups. New cadets attend Basic Cadet Training during the summer before the Fourth-class year. As a Fourth-class, cadets participate in Eagle ACES (Academy Character Enrichment Seminar, 3-hr course that focuses on self-reflection). Third-class cadets complete the Respect and Responsibility (R&R) Workshop, designed to take the cadets out of their normal environment and to help them discover valuable information about themselves and others. Second-class cadets attend the Center's newest offsite seminar – Leaders in Flight Today (LIFT). LIFT includes a personality style assessment tool enabling cadets to better understand others by understanding themselves. Finally, First-class cadets attend a one-day off-site seminar called Capstone ACES to discuss the ethical demands placed on Air Force Officers (Faculty and Staff may also attend this seminar).

Phil 310: Ethics

Spring 2003, Dr. Carlos E. Bertha

Office: 1A12, x-8655

Email: [Carlos.Bertha@usafa.af.mil](mailto:Carlos.Bertha@usafa.af.mil)

\*\*\*\*PLEASE READ THIS SYLLABUS CAREFULLY\*\*\*\*

First, Departmental Stuff...

In order to meet the requirements of Philosophy 310, Ethics, by the end of the course cadets will:

1. Understand the need for ethical reflection in the military
2. Demonstrate skills in critical reasoning such as clarification of terms, identification of underlying assumptions and the dialectical treatment of alternatives
3. Demonstrate skill in the reading, interpretation, and application of classics of moral philosophy
4. Understand the strengths and weaknesses of different accounts of moral character and of different approaches to ethical decision making, especially
  - a. Deontological Theory
  - b. Consequential Theory
  - c. Virtue Theory
5. Frame and resolve problems in the profession of arms concerning:
  - a. When is it morally justified to use military force?
  - b. What are the moral limitations on how military force is used?
  - c. What are the moral obligations of the military leader?
  - d. What kind of person, morally speaking, must the military leader be?

**LATE WORK.** Late work will be assessed a deduction of 10% of available points per calendar day for up to four days. After four calendar days the work will receive no credit. The assignments are course requirements. You must complete them even if you will receive a failing grade because they are late. If you believe that you deserve an extension because of circumstances beyond your control please discuss this with me.

Now My Stuff...

**Approach.** I look at things from a rather simple perspective: convictions, beliefs, opinions, precepts, etc. are held in our minds normally as mini-arguments (in the logical sense), and if they are not, then they ought to be. That is to say, opinions that are held “just because” are no good, not valid, bogus. Ethical convictions are no exception. In this course I hope to accomplish two (pretty major) things: (1) get you to think *critically* about ethical situations and (2) have you understand some of the traditional frameworks that shaped *ethical* discourse, particularly in the Western world. During this process, you will undoubtedly realize that this is important stuff to know, especially if you will be entrusted with being a US Air Force officer; therefore, and to make the material more directly relevant for your daily life, many of the case studies used in this course will be examples culled from the military experience.

**Reading the Material.** I cannot stress this enough: the best thing you can do to secure a good grade in this course is *read the assigned material*. I can confidently say that, in years past, those who read did well, those who didn't. Nothing should change this semester. Read, read, read. I know some of the readings are difficult and dry, and that people who have been long dead wrote most of them. I hope you will be able to see why I am putting you through this torture in due time. If at first you don't get it, read it again. If you still don't get it, and the lecture doesn't help clarify matters, come see me. Which leads me to...

**Extra Instruction (EI).** Please feel free to see me for EI. I ask, however, that you do two things: (1) to the extent that you are able, call, email, or use telepathy to let me know you are coming. I am much more able to help if I can set the time aside to see you. (2) PLEASE come prepared with specific questions. And “can you cover all of last week's material?” is *not* a specific question. The bottom line is this: I am here to help you succeed, so come see me anytime you want and for (almost) any reason, but by the same token, EI is not meant to be a *substitute* for class.

**Absences.** Please tell me *ahead* of time when you know you will miss class. I consider attendance vitally important to accomplishing the goals set for this course, so you should make every effort to be there. If you

miss a class due to an unforeseen circumstance, then let me know as soon as possible after the fact the reason for your absence. The default for not knowing where you are is an “Unexcused Absence” and a Form 10 (in other words, if I have not been notified the reason for your absence by COB on the day you missed, I will generate a Form 10 and code you “UA” in CAS).

Turning in written assignments. I encourage you to send me your work via email, but the same exact deadlines apply (usually COB of the day due). *IMPORTANT: If you send me your paper or any other assignment via email, I will respond to your email as soon as I get it. Until you get this response from me, you must consider your work still “in limbo,” and therefore NOT in my hands yet. Once you get my response email, everything is OK (I’ve got it, you have “officially” turned it in).* This policy is in place to keep those “Oh, but I sent it to you on time!” problems at bay. Bottom line: yes, email is convenient, but it’s also a little more risky ...and YOU are the one taking the risk, *not me.*

Grades will be assigned as follows:

Group presentation	100
Paper #1	100
In-class Essay #1	75
<u>IP points</u>	<u>25</u>
<u>Mid-term Grade:</u>	<u>300</u>
In-class Essay #2	75
Outline of Paper #2	50
Paper #2	200
IP points (rest)	75
Final exam	300
	=====
Total	1000



Grade cuts: (NO CURVES)

930 and up	A
900- 929	A-
870- 899	B+
830- 869	B
800- 829	B-
770- 799	C+
730- 769	C
700- 729	C-
600- 699	D
Below 600	F

**Group Presentation.** You will be placed in groups of 4-5 students. Each group will present to the class a 5 to 7 minute synopsis of an ethical dilemma of their choice (worked in a particular format). More details on this on the first lecture.

**Papers.** I will *assign* topics for the first paper; you must get your topic approved for the second paper (by way of an outline, which is worth 50 points). The outline should be no longer than 2 pages and should be written in bullet format. Papers are 8-10 pages in length and must be written in relatively polished English.

**In-class Essays.** The purpose of these essays is twofold. First, I can evaluate how much of the material you actually *understand*, and second, it will give you a glimpse of what the final exam will be like. Since the final is worth so much, I think this is time/effort well spent. You will answer two or three relatively long questions regarding the material covered in class and the readings assigned.

**Instructor Prerogative (IP) points.** I will assign a total of 100 IP points based on a variety of factors. These factors include, but are not limited to, attendance, participation, announced and unannounced quizzes, mini-projects, and homework assignments. Quizzes (announced and unannounced) are usually meant to evaluate how well you are keeping up with the readings assigned.

**Final Exam.** There are no exemptions from the final exam. Your grade on the final exam may have an effect on your course grade in addition to the 300 points it is worth. If you receive 93% (279 points) or more on the final exam, enough points will be added to your course total to raise your course grade by one letter grade. On the other hand, if you receive less than 60% (180 points) on the final, you will fail the course, regardless of the points you have accumulated. The purpose, of course, is to provide an added incentive to prepare for the final examination.

**Outlook (.pst) File.** I have posted an MS Outlook file (Philo310.pst) on the K: drive, at K:\Campus\DF\DFPY\PHI310\Bertha. This file will make it possible for you to import directly into *your* Outlook program calendar appointments for all the class periods in this course. In the comments section of each appointment you will find (much like at the end of this syllabus) the reading assignments for that class period (i.e., you must read the assignment *for* the class period in question). You may (or may not) find this tool useful.

**Class Notes.** As the semester progresses, I will also post my class notes (essentially lesson plans) in the K: drive, at K:\Campus\DF\DFPY\PHI310\Bertha\Class Notes. A word of caution: although I think that reviewing the class notes is a great way to study, some cadets in the past have relied too heavily on them. Remember, these notes contain an *outline* of the material, and test questions usually ask you to *elaborate* a point, not outline it. Other cadets in the past have used these notes as a substitute for the readings. Big mistake. I will therefore post the class notes *after* the lesson has taken place. For example, the lesson that I teach on M6 will be posted sometime during T6.

**Books:**

- REP            Plato's Republic, Allan Bloom
- NIC            Aristotle's Nicomachean Ethics, Dover Thrift Editions
- KANT          Kant's Grounding for the Metaphysics of Morals, Hackett
- MILL          Mill's On Liberty and Utilitarianism, Bantam Books
- WALZ          Michael Walzer, Just and Unjust Wars, Basic Books, 3<sup>rd</sup> Edition
- MDMP          Moral Dimensions of the Military Profession, 5<sup>th</sup> Edition

**Course Schedule**

<b>M Day #...</b>	<b>Topic</b>	<b>Assignment (for this day)</b>
1	Course Administration and Introduction	None
2	Moral Reasoning	None
3	Arguments and Reasoning	None
4	Arguments and	None

	Reasoning cont.	
5	<i>Group Project Presentations</i>	<i>Present Projects</i>
6	Plato on Justice	Read REP, Book I, start to 344e
7	Plato on Justice	Read REP, Book I, 344e to end
8	“The Myth of Gyges”	Read REP, Book II, start to 368c
9	Socrates’ city	Read REP, Book II, 368c to 374e
10	Watch movie (I’ll be at JSOCPE)	None
11	From the city to the soul	Read REP, Book IV, 427d to 443d
12	Allegory of the cave	Read REP, Book VII, start to 520b
13	Plato and the “Myth of Er”	Read REP, Book X, 608b to end
14	Introduction to Ethical Theory	None, but Paper #1 is due
15	Aristotle’s Virtue Ethics	Read NIC, Book I (all)
16	Aristotle and the “Golden Mean”	Read NIC, Book II (all)
17	Aristotle on and Courage	Read NIC, Book

	Temperance	III, 40 to end
18	Aristotle on Happiness	Read NIC, Book X (all)
19	<i>Comp time to attend McDermott Lect.</i>	
20	<i>Comp time to attend an NCLS Session</i>	
21	<i>In-class Essay #1</i>	<i>Study</i>
22	Kant's Deontological Theory	Read KANT, Preface and 1 <sup>st</sup> Section
23	The Categorical Imperative	Read KANT, 19 to 30
24	Examples of Duty	Read KANT, 30 to 41
25	Mill's Utilitarian Theory	Read MILL, 137 to 150
26	Utilitarian Theory cont.	Read MILL, 167 to 184
27	Utilitarian Theory cont.	Read MILL, 185 to 211
	<i>SRING BREAK</i>	<i>None (have fun!)</i>
28	Relativism	None (show film)
29	Relativism cont.	Read MDMP, 49 to 57 (Rachels)

30	Introduction to applied military ethics & cases (casuistry)	No reading assignment. Auschwitz case study (in class)
31	Conclusion of Ethical Theory	Recap. No assignment
32	<i>In-class Essay #2</i>	<i>Study</i>
33	History of Just War Theory	Read MDMP, 125 to 133 (Davidson)
34	Walzer I	Read WALZ, Chapter 1
35	Walzer II	Read WALZ, Chapter 2
36	Walzer III	Read WALZ, Chapter 3. Movie: "Under Orders, Under Fire"
37	Walzer IV	Read WALZ, Chapter 8. Movie: "Remember MyLai"
38	Walzer V	Read WALZ, Chapter 14. Outline of Paper #2 due by COB today.
39	Walzer VI	Read WALZ, Chapter 16 and parts of 19

40	Professional Obligations and Virtues	Read MDMP, 425 to 441 (Wakin)
41	Professionalism (continued)	Read MDMP, 299 to 307 (Hackett) <b>and</b> 413 to 418 (Bradford and Murphy) <b>and</b> <i>Paper #2 due</i>
42	Billy Budd	None
Final	Periods TBD	Final Exam

## **F. UNITED STATES MERCHANT MARINE ACADEMY**

### **Interview Background**

Numerous phone and e-mail interviews were conducted with the United States Merchant Marine Academy (USMMA) Ethics Training Director, Commander Ted Gabeline. These interviews were conducted from June 2004 through November 2004.

### **Background**

Congress passed the Merchant Marine Act in 1936, and two years later, the U.S. Merchant Marine Cadet Corps was established. The first training was given at temporary facilities until the Academy's permanent site in Kings Point, New York was acquired in early 1942. The USMMA is unique in that it is the only federally funded academy whose primary accessions are not predestined for service in the Department of Defense. Students, known as Midshipmen, earn commissions in the Merchant Marines, whereby they are charged to serve in leadership roles at sea as officers aboard merchant vessels. Graduates are responsible for the vast majority of U.S. shipping cargo and the transportation of products around the globe. Each cadet receives a fully funded education with the understanding that they will receive commissions to serve in the US Merchant Fleet. Less than 1% of cadets submit requests for commissions in the DOD rather than serving commitments in the transportation shipping industry (USMMA, About 2004).

### **Mission**

The most important element in a productive merchant fleet and a strong transportation industry is people - men and women who are intelligent, dedicated, well-educated and competent. The purpose of the U.S. Merchant Marine Academy is to ensure that such people are available to the nation as shipboard officers and as leaders in the transportation field who will meet the challenges of the present and the future (USMMA About, 2004).

**Learning Objectives:** Yes.



The goals of the USMMA ethics based training is to educate and equip young emerging leaders in the areas of ethical and moral reasoning. USMMA wants young midshipmen to be able to have learned three specific pillars in moral judgment:

- How to recognize a moral/ethical dilemma.
- Be able to cogently analyze it.
- Bring organized moral thinking to make a decision.

The Ethics Learning Center labels this process “Recognize, Analyze, and Decide.” They impress upon the midshipmen the sometimes sophistication and difficulties of moral reasoning while educating and discussing numerous topics and issues. The spectrum of course coverage ranges from cheating, to sportsmanship, to Just War theory.

**Case Studies:** Yes. Case Studies are used in teaching ethics, and their role in instruction is dominated primarily by the Naval Science Department, which teaches a "Naval Ethics" course in the junior year. This course is modeled after the Naval Reserved Officers Training Course (NROTC) given at universities and colleges with officially recognized NROTC programs. It concentrates on naval professional ethics and uses the case study method as approved by the Naval Education and Training Command (NETC).

**Classical Theorists:** Yes. A Plebe (freshman) "Ethics Primer" course is mandatory. This course briefly surveys the great thinkers on the topics of morals, ethics, judgment, and virtue. During the semester the topics quickly shift, and focus is then given to teaching practical moral reasoning. The primary text used by USMMA is "How Good People Make Tough Choices" by Rushworth Kidder. The logic in teaching this course to plebes is that because of the Merchant Marine Academy's requirement to spend a year at sea, they needed to "equip" young people quickly (i.e. before they go to sea). Some Midshipmen are sent to sea immediately after their plebe year and the academy's academics departments made room in plebe's academics calendar to ensure such training was complete prior to sea duty.

**Rules and Regulations:** Yes. The Merchant Marine's unique role is to train midshipmen for services aboard merchant vessels. Hence, a great deal of effort is exerted in teaching various laws of the seas, passageway rights, cargo laws and restrictions, and reviewing international sanctioned policy concerning vessel passage at sea. However, there are also teachings that apply directly to war time scenarios and what effect it has on the future merchant marine serving at sea.

**Grading:** Yes. All USMMA ethics based training is graded and critiqued by senior officers. Grades are assigned based on the student's ability to understand the various theories in application to ethical dilemmas. These grading measurements range from quizzes, term papers, and culminate with a final examination.

**Term Papers:** Yes.

**Exams:** Yes. Quizzes, as well as exams are used in ethics course grading.

**Student Presentation:** Yes. Students, along with the Senior Ethics Instructor, engage in public presentations at conferences and public speaking events that are attended throughout the year. Students present papers at ethics/character conferences annually to promote both the academy and provide students with an opportunity to demonstrate their understanding of ethics and critical thinking. Normally USMMA's ethics centers engage one to two public speaking engagements per month.

**Taught by Senior:** Yes. The Ethics training is conducted by the senior members of the faculty and military staffs. Six times a year USMMA hosts the *Lanier Lecture Series* in which a high profile speaker addresses topics concerning the connection between of Leadership and Character to the entire student body. All faculty and staff are invited and highly encouraged to attend. The Senior Officer of the Ethics Program is responsible for the administration of this series.

**Student Critiques:** Yes. Students critique both the *Lanier Lecture Series* presentations and the classroom lectures.

**Core Values:** Yes. USMMA has four Regimental core values.

- INTEGRITY from within

- RESPECT for others
- COURAGE in adversity
- SERVICE above self

**Honor Code:** Yes. The USMMA Honor Code States: “A Midshipmen will not Lie, Cheat, or Steal” (Gabeline, 2004). There are penalties for violators of these principles, but the USMMA offers a unique counseling program for referred students who have been found deficient by either "Honor Boards" or some other circumstance involving their honor and character. A midshipmen's failure to complete this program of specially tailored readings, writings, community service, and counseling can result in dismissal. For these students the Senior Ethics Faculty instructor is their "last chance." At any given time there are approximately six to eight students in this program.

**Decision/Moral Guide:** Yes. The USMMA teaches a "decision moral guide" based on Kidder's book "How Good People Make Tough Choices." It is a simplistic three step process: recognize, analyze, and decide. USMMA stresses the foundational requirement to tie all moral/ethical points to leadership and the crucial connection of leadership and one's high moral/ethical conduct. They believe that "effective" leadership is morally neutral (Gabeline, 2004).

**Effectiveness Measures:** No. Effectiveness of the USMMA ethics training is not measured. The USMMA faculty has discussed this topic and realizes the need for an institutional research arm to conduct such assessments, but lacked the resources at the time of this analysis. The Head Advisor has admitted to being “a bit suspicious” of assessment efforts of the moral dimension. Nevertheless, USMMA believes the best way to see if their ethics programs are being effective is to observe trends of student misbehavior and infractions. But, the faculty contends that even this is both elusive and misleading because students in academies are essentially elderly adolescents who are still "in process" of maturity.

## **Summary**

Most ethics education at USMMA is done via special academic electives. These are uniquely designed elective courses that use history and literature to emphasize, analyze and study leadership and ethical choices. Such course offerings are 1. The Holocaust, 2. War and Leadership, 3. The Great Ideas in History. USMMA requires the completion of four ethics courses: freshman year HP 100 Ethics course, sophomore/junior year NS301 (Naval Science Ethics course), and two senior year Ethics electives (Holocaust or War and Leadership). The unique handling of student honor violations is certainly noteworthy. The scheduled and mandated lecture series brings abundant influence from outside the academic walls of USMMA. These lectures educate midshipmen by using an array of sources and diverse ideas concerning the subjects of leadership and ethics.

## **G. UNITED STATES COAST GUARD ACADEMY**

### **Interview Background**

The United States Coast Guard Academy (USCGA) ethics education data was collect from a website review and an e-mail exchange. The e-mail exchange was conducted with LCDR Dale Bateman, Assistant Professor of Humanities. The initial data was organized and returned to LCDR Bateman for his comments and recommendations, which were used to reshape the information in this summary.

### **USCGA Background**

The USCGA is located on the Thames River in New London, Connecticut. The modern academy began with the School of Instruction for the Revenue Marine in 1876. Today's academy was born with the 1915 merger of the Life Saving Service and Revenue Cutter Service. The academy was moved to its present location in New London in 1932. More than 5,000 applicants interested in becoming Coast Guard officers seek appointments to the academy each year. Acceptance to the academy is based on an annual nationwide competition. There are no Congressional appointments, state quotas or special categories. Approximately 275 men and women arrive at the gates of the academy each July to begin "Swab Summer" - the first step of a four-year education in becoming a commissioned officer. Cadets undergo a year-round regimen that ties together education, training and adjustment to military life.

The USCGA is unique among the service academies in that we educate the leaders of a humanitarian force. The United States Coast Guard is the oldest life-saving service in the world. As a commissioned officer in the Coast Guard, you will be leading a force of men and women who are continually called on to serve their community, country and fellow citizens.

(USCGA About, 2004)

### **Mission**

To graduate young men and women with sound bodies, stout hearts and alert minds, with a liking for the sea and its lore, with that high sense of honor, loyalty and obedience which goes with trained initiative and leadership; well grounded in seamanship, the sciences and amenities, and strong in the resolve to be worthy of the traditions of commissioned officers in the United States Coast Guard in the service of their country and humanity.

**Learning Objectives:** Yes.

The USCGA ethics education program includes three main components: (1) *Ethical theories*, both historical and contemporary, along with the arguments for and against them; (2) *Moral issues*, including readings presenting both sides of relevant contemporary moral problems; and (3) *Critical Thinking* activities designed to help students develop the ability to evaluate these arguments. These courses teach the student the following skills:

- Read and understand a variety of philosophical writings in morals and ethics (*Communication*).
- Participate in discussions of these writings by listening critically to oral arguments and asking penetrating questions (*Communication*).
- Understand a variety of ethical theories and the main arguments associated with several major contemporary moral problems; integrate these theories and problems into a moral framework that is related to the Coast Guard's Core Values and lends itself to continued expansion (*Acquire, Integrate & Expand Knowledge*).
- Recognize conflicts in and between various ethical theories and moral views, and use reasoned arguments to support the resolution of these conflicts (*Critical Thinking*).
- Write clear, concise, persuasive and grammatically correct papers on a variety of ethical issues and theories (*Communication*).
- Gain access to information regarding an ethical and moral issue; locate and evaluate articles on ethical and moral subjects (*Acquire, Integrate & Expand Knowledge*).
- Develop your own moral views and relate them to the Coast Guard's Core Values through honest, realistic, and constructive self-evaluation; articulate and support your moral views both orally and in writing (*Leadership, Personal & Professional Qualities*).
- Understand the complexity of moral life and appreciate the diversity of moral views which results from this complexity (*Leadership*).

- Apply reasoned argument, critical analysis, and problem-solving skills in order to evaluate moral views, clarify moral problems and minimize moral disagreements (*Critical Thinking*).
- Comprehend that there may be no simple answer to an ethical problem, and respect the diversity of values held by reasonable people (*Leadership*).

(USCGA, 2004)

### **2193-Morals and Ethics**

This course examines a range of philosophical views on what makes individual actions right or wrong and individual characters good or bad. Students are encouraged to develop their own moral voice, decision-making abilities, and a respect for the place of reasoned argument in the treatment of ethical problems.

(USCGA, 2004)

**Case Studies:** Yes. Case studies of actual Coast Guard situations and dilemmas are used to teach the student the skills required to be successful.

**Classical Theorists:** Yes; Mill, Hume, Plato, Kant, Aristotle

**Rules and Regulations:** Yes.

**Graded:** Yes

Class Participation and Note-taking: 10%

Peer Review Project: 5%

Quizzes, Paragraphs, Preparation, & Homework: 10%

In-class Debates: 5%

2-3 Page Paper: 10%

4-5 Page Research Paper: 20%

Mid-term Examination: 10%

Final Examination: 30%

Grades will be assigned using both plusses and minuses as follows:

	A = 4.0	A- = 3.7
B+ = 3.3	B = 3.0	B- = 2.7
C+ = 2.3	C = 2.0	C- = 1.7
D+ = 1.3	D = 1.0	D- = 0.7

Mid-term and final grades will be converted as follows:

	A = >3.5	A- = 3.30-3.49
B+ = 3.15-3.29	B = 2.85-3.14	B- = 2.5-2.84
C+ = 2.15-2.49	C = 1.85-2.14	C- = 1.71-1.84
D = 1.0-1.70	F = <1.0	

Late assignments are penalized 1/3 of a grade per day they are late. Assignments that are never turned in receive a grade of 4.0, which is twice as low as an F. Assignments that were not turned in on time will not be accepted after the last day of classes.

(USCGA, 2004)

**Term Papers:** Yes.

2-3 Page Paper: The student is provided a list of topics to choose from to write a paper.

4-5 Page Research Paper: Paper Topic: The student develops his own topic.

The student's content of research paper must include (1) a discussion of some moral issue, including an analysis and evaluation of arguments on both sides of the issue; (2) a discussion of how one of the moral theories that might apply to the issue, including support for the application of this theory; (3) the view on this moral issue; (4) an objection to the view on this issue; and (5) a reply to this objection.

(USCGA, 2004)

**Exams:** Yes.

Mid-term Examination: Several weeks before the mid-term, the instructor will pass out a list of short quotations drawn from the authors whom we



will have read by the date of the mid-term. On the mid-term examination, the student will be given several quotations drawn directly from this list. The student will identify the author and write a short paragraph in which you discuss the meaning of the quotation and how it fits into the author's ethical views. The student will also be asked to answer several questions regarding critical thinking and arguments.

**Final Examination:** The final examination will be comprehensive, covering all the readings. It will include: (1) a quote identification section similar to the mid-term; (2) critical thinking and argument questions; and (3) an essay section. Several weeks before the final examination, the student will be given a study guide for the quote identification section similar to the one for the mid-term examination. The essay section will use a "modified take-home" format: several weeks before the final examination, the instructor will pass out six essay questions; at the beginning of the final examination period, the student will have to answer one of the six questions during the final examination

(USCGA, 2004)

**Student Presentations:** No. but the cadet are required to actively participant in the class room discussions.

**Taught by Senior:** Yes. The ethics courses are taught by an associate professor Erik Wingrove-Haugland Ph.D. and LCDR Dale Bateman an assistant professor.

**Student Critiques:** Yes. The students critique the course using a standard critique form.

**Core Values:** Yes. In 1994 the Coast Guard formally articulated the core values that the service holds dear. These values are:

**Honor** - Integrity is our standard. We demonstrate uncompromising ethical conduct and moral behavior in all our personal actions. We are loyal and accountable to the public trust.

**Respect** - We value our diverse work force. We treat each other with fairness, dignity, and compassion. We encourage individual opportunity and growth. We encourage creativity through empowerment. We work as a team.

**Devotion to Duty** - We are professionals, military and civilian, who seek responsibility, accept accountability, and are committed to the successful

achievement of our organizational goals. We exist to serve. We serve with pride.

(USCGA, 2004)

**Honor Code:** Yes. "We neither lie, cheat, steal, nor attempt to deceive" (USCGA Honor, 2004).

**Decision/Moral Guides:** No. Included in classroom discussions. Practical examples from instructors' careers are offered for discussion among cadets.

**Effectiveness measure:** No.

### **Summary**

The USCGA has an ethic program that helps develop the moral principles of the cadet. This ethics program provides a background of the ethical theorists. It also builds on the core value and honor code. The USCGA has previous cadet return to provide practical experiences to aid in the case studies portion of the ethics education. This ethics teaching is part of every cadet's core curriculum. The ethics teaching at USCGA is focused on junior officers to prepare them for the leadership roll as division officers. The leadership level targeted is that of a small and simple organization. These courses are designed to provide cadets with a basic understanding of ways to resolve ethical dilemmas, when they serve as division officers after graduation.

## **H. NORWICH UNIVERSITY**

### **Interview Background**

Numerous phone and e-mail interviews were conducted with the Norwich University's Chaplain, Reverend William Wicks. These interviews were conducted from June 2004 through November 2004.

### **Background**

Norwich University is the oldest private military college in the United States. Students who enroll in the Corps of Cadets follow a disciplined military regimen, while civilian students lead a more traditional collegiate lifestyle. Both groups reside on the Northfield, Vermont campus, attending classes and participating together in sports and other activities. The vast majority of the Corps of Cadets seek a commission in the service of their choice following graduation. Norwich University has all three (Army, Air Force, and Navy/Marine Corps) Reserved Officer Training Corps (ROTC) establishments on site. Each ROTC unit works closely with the university's commandant and staff in providing moral development training that is designed to compliment both the University and ROTC's stated purpose and mission.

Today, Norwich graduates an average of 600 students annually, of which roughly fifty percent accept a commission in the regular Army, Navy, Marine Corps, and Air Force. Norwich University is accredited by:

- The New England Association of Schools and Colleges
- National League for Nursing
- Engineering Accreditation Commission of the Accreditation Board for Engineering and Technology
- Association of Collegiate Business Schools and Programs
- National Architecture Accreditation Board

(NU Introducing, 2004)

**Mission:**

Norwich's mission statement is "To give our youth an education that shall be American in its character -- to enable them to act as well as to think -- to execute as well as to conceive -- to tolerate all opinions when reason is left free to combat them -- to make moral, patriotic, efficient, and useful citizens, and to qualify them for all those high responsibilities resting upon a citizen of this free republic" (NU Mission, 2004).

**Learning Objectives:** Yes. Norwich primary ethics learning objectives are:

- Understanding virtue
- Develop personal discipline
- Improve self restraint
- Recognize courage and moral fortitude

The ethics education program endeavors instill in each cadet an abhorrence of betraying the principles of truth and compromising ethical values (Wicks, 2004).

**Case Studies:** Yes. Norwich staff uses case studies to teach students about moral reasoning. It also uses recent student honor violations to illustrate infractions. They also rely on tapes and films such as *Das Boot* and *Crimson Tide*, that present a dilemma of ethical judgment. Analysis by the Cadets is first made as an individual and then as a group to determine what would be the best approach in solving the problems presented in the films. This type of format empowers the students and abides by the University Training philosophy of self-esteem development (Rosebush, 1984).

**Classical Theorist:** Yes. All Cadets are required to be a member of an ROTC unit where the study of classical theorists, is completed primarily via the ROTC training programs. Students are required to take at least one course in philosophy and leadership outside ROTC requirements.

**Rules and Regulations:** Yes. The University uses many occasions to review and teach the government and military regulations as specified by the different service

agencies. Because of the school's origins being based on Army traditions, there still exists a disposition towards Army policy and customs. However, with the on site, and heavy administrative role assumed by each of the University's Professors of Military Science (ROTC commanders) there is significant exposure to all services. General Military Training (GMT) lectures occur weekly, and the corps assembles for mandatory lecture series presented by guest speakers including distinguished alumni.

**Grading:** Yes. As a member of one of the three university ROTC curriculums, students are graded and evaluated on Leadership/moral development by the various Professors of Military Science. There are also grades given to the students for the various philosophy and leadership classes. However, there is no grade issued by the Corps of cadets training program. Students must take part in the University's leadership training program, and attendance is recorded and documented for satisfactory completion. Hence, there are no term papers, mid terms, or tests other than those imposed by the ROTCs units and as required by the various Humanity professors teaching specific philosophy courses.

**Term Papers:** No.

**Exams:** No.

**Student Presentations:** Yes. A heavy reliance is made on participation in student presentations. These presentations to the student body are done primarily by the student and faculty elected Honor Committees. These committees are comprised of three groups: a sophomore group, a junior group, and a group of seniors who oversee the entire workings of the Honor Committee. The senior honor committee reviews all cases going before the University's Commandant that involve a suspected honor violation. Juniors and sophomores act more in the administrative role in supporting this committee. Senior Committee members review the cases by reading statements, listening to defendants provide testimony, and evaluating evidence concerning the case. These actions all culminate with a Senior Committee recommendation to the Superintendent.

**Taught by Senior:** Yes. Moral and leadership seminars are taught by senior advisors and senior alumnus (i.e., successful business leaders or distinguished military

alumni). Norwich also participates in the annual West Point ethics symposium to keep current with new developments in ethical training efforts.

**Student Critiques:** Yes. A course critique is completed and reviewed by staff at the end of each training lecture cycle.

**Core Values:** Yes. Eight guiding values are taught in support of the learning objectives:

- We are men and women of honor and integrity. We shall not tolerate those who lie, cheat, or steal.
- We are dedicated to learning, emphasizing teamwork, leadership, creativity, and critical thinking.
- We respect the right to diverse points of view as a cornerstone of our democracy.
- We encourage service to nation and others before self.
- We stress being physically fit and drug free.
- To live the Norwich motto, *Essayons!* --I will try!-- meaning perseverance in the face of adversity.
- We stress self-discipline, personal responsibility, and respect for law.
- We hold in highest esteem our people and reputation.

**Honor Code:** Yes.

- The Honor Code prohibits lying. The *Spirit of the Code* calls for complete fairness in human relations.
- The Honor Code prohibits cheating. The *Spirit of the Code* requires respect for the person and property of others.
- The Honor Code prohibits stealing. The *Spirit of the Code* demands a personal commitment to uphold the ethical standards that are the foundation of a military environment.

- The Honor Code prohibits toleration of violations.

**Decision/Moral Guides:** No. There is no “flow chart” that is imparted to the cadets on how to make a “good moral choice.” The University is candid about not having a decision guide and premises their choice by shapping an overall ethical culture at Norwich (Wicks, 2004).

**Effectiveness Measures:** No. There is no process for measuring the impact of the ethics training following a student’s departure from Norwich University. However, they do monitor the effects of the training on the student body by keeping track of cases and honor violations, using this data to “focus” training for following semesters. Clarification was provided to underscore that this is “Not so much a reactionary means of teaching, but adjusting to meet, if need be, any systemic issues that may face the University” (Wicks, 2004).

### **Summary**

Norwich has a unique, diverse student/cadet audience for teaching ethics and moral leadership. In spite of a mixed civilian/military student body, Norwich applies the same level of expectations on the entire student body in form of policy, rules, and guidelines. There is no difference in ethics instruction to the civilian and military students, baring the ROTC influence and effect. Norwich University places a great deal of responsibility on the student body in policing the Honor Code and on teaching ethics concepts to underclassmen.

## **I. UNIVERSITY OF VIRGINIA'S NROTC**

### **Interview Background**

A face-to-face interview was conducted with the University of Virginia (UVA) Naval Reserve Officer Training Corps (NROTC) Unit's Commanding Officer, Captain John R. Warnecke, USN. This interview took place at Maury Hall in Charlottesville, Virginia on June 22, 2004. As the Professor of Naval Science, Captain Warnecke is responsible for the overall training and education of the midshipmen enrolled in UVA's NROTC program. The information gathered in this summary is a composite of this interview and internet research of UVA NROTC's and the Naval Education and Training Command (NETC) websites. The UVA NROTC website describes their program in the following:

For over six decades, the Naval Reserve Officer Training Corps (NROTC) unit at the University of Virginia (UVA) has trained thousands of students, preparing them for successful service in the United States Navy and Marine Corps. Midshipmen, as these future officers are called, enjoy many academic and battalion activities at one of the top-ranked public universities in America while led by a unit staff composed of motivated officers from every warfare community. Given responsibilities within the battalion itself, midshipmen gain valuable leadership experience, while each summer offers exciting training in actual commands in the Navy and Marine Corps. Each Tuesday, the entire battalion gathers for Leadership Lab, where midshipmen practice leadership skills and task accomplishment as well as attend lectures by prominent guest speakers

(UVA NROTC website).

### **Background**

Established in 1926, the Naval Reserve Officer Training Corps program provides an alternative commissioning source to the United States Naval Academy or Officer Candidate School. Students in the NROTC program are enrolled in a four-year college or university and compete for scholarship awards including tuition, university fees, book stipends, and monthly subsistence allowances. The NROTC mission is to develop young men and women morally, mentally, and physically, and instill in those men and women the highest ideals of honor, courage, and commitment.



The training midshipmen receive prepares them for leadership and management positions in the Navy and the Marine Corps. In addition to their regular college classes, midshipmen will enroll in one Naval Science class each semester (Introduction to Naval Science, Naval History, Navigation, Naval Operations, Naval Engineering, Naval Weapons Systems, Leadership Management, Leadership and Ethics). Additionally, they attend a Naval Leadership Laboratory which may be in the form of close-order drill, seminars, or physical fitness activities. During the summer months midshipmen participate in hands-on-training with combat units including surface ships, submarines, and aviation squadrons lasting four to six weeks.

Today there are 57 NROTC units and consortiums which comprise 69 schools across the United States. Cross-town/school enrollment agreements make the NROTC program available to the students of over 100 colleges and universities. The current annual midshipmen commissioning goals are 1050 unrestricted line Naval Officers and 225 Marine Corps Officers. ROTC programs as a whole are the largest source of officer accessions in the Department of Navy (NETC website).

### **Mission**

The NROTC Program was established to educate and train qualified young men and women for service as commissioned officers in the unrestricted line Naval Reserve or Marine Corps Reserve. As the largest single source of Navy and Marine Corps officers, the NROTC Scholarship Program fills a vital need in preparing mature young men and women for leadership and management positions in an increasingly technical Navy and Marine Corps (NETC Website).

ROTC ETHICS TRAINING (as of June 2004 from UVANROTC NASC 402 Spring 2004 Syllabus):

### **Learning Objectives: Yes.**

The Naval Science Leadership and Ethics Course is designed as the Capstone course of the four year Naval Science curricula. This course presents guidelines, ethical foundations, and basic leadership tools considered essential for effective junior Naval Officers to lead in the 21<sup>st</sup> Century. Additionally, the course presents an overview of the

principal duties, responsibilities and expectations of a junior officer in the Naval Service. Specifically, the course objectives include the skills to:

1. Comprehend the leader's moral and ethical responsibilities to the organization and society.
2. Demonstrate in stressful officer leadership situations, an understanding of the influences on a leader's ability to achieve the organization's mission and goals.
3. Comprehend the moral and ethical responsibilities of the military leader.
4. Know the types and importance of communications within the military.
5. Demonstrate an understanding of and apply basic counseling skills.
6. Comprehend the relationship of the Sailor's Creed, Core Values, and Standards of Conduct to the role and responsibilities of a military leader.
7. Know the obligations and responsibilities assumed by taking the Oath of Office and accepting a commission as a Naval or Marine Officer including subservience to civilian control of the military specified in the Constitution.
8. Understand the International Law of Armed Conflict including rules of engagement, conduct of hostilities, rights of individuals, obligations of engaged parties, and the Code of Conduct for members of the US Armed Forces.
9. Understand the junior officer – senior enlisted professional relationship and insights to enhance that relationship.
10. Comprehend current Navy and Marine Corps regulations, policies and programs relative to basic personnel administration, good order and discipline, and safety.

**Case Studies:** Yes, two methods. 1) Current events from the newspaper and Early Bird. Need not be military related. Professor may email them to his students prior to class, so they might come prepared to discuss. This is an informal approach and not a structured method. 2) Utilizes Ethics for Military Leaders which includes several cases including “The EE Cheating Case at USNA” and “The Tailhook Report”. Same text book as the USNA.

**Theorist Education:** Yes. Moral Reasoning, Truth Telling, Justice, Utilitarianism, Kantian Ethics, Virtue, Aristotle, Natural Law, Divine Command, included in George R. Lucas, Ethics for Military Leaders, 3<sup>rd</sup> edition. Pearson Custom Publishing; Boston, MA. 2000. This is the same text as USNA uses.

**Rules and Regulations:** Yes, included in Learning objectives: #8 Understand the International Law of Armed Conflict including rules of engagement, conduct of hostilities, rights of individuals, obligations of engaged parties, and the Code of Conduct for members of the US Armed Forces. #10 Comprehend current Navy and Marine Corps regulations, policies and programs relative to basic personnel administration, good order and discipline, and safety.

**Grading:** Yes. Typically NROTC students do not receive C's or below on Naval Science Classes. The following is provided from the NASC 402 Spring 2004 course syllabus:

Grades are assigned as follows:

Two mid-term exams and a final exam will be administered. In addition, writing assignments and quiz grades will be equivalent to an exam grade. Three of the top four grades will be used to compute your final grade. If you have done well on the mid-term exams and your quizzes, you may choose not to take the final exam.

- Seminar& Class Participation 40%
- Mid-Term Exam 15%
- Mid-Term Exam 15%
- Final Exam 15%
- Writing Assignments/Quizzes 15%
- Group Case Analysis Research Paper & Presentation 15%

Grade Assignments: Grade and Grade Point Award criteria below:

Letter Grade	Grade Point	Numeric Score
A (Superior)	4	93-100
A-	3.7	90-92
B+	3.3	87-89
B (Good)	3	83-86
B-	2.7	80-82
C+	2.3	77-79
C (Fair)	2	73-76
C-	1.7	70-72
D+	1.3	67-69
D	1	63-66
D- (Barely Passing)	0.7	60-62
F (Failure)	0	≤ 60

**Term Papers:** Yes. Some small writing assignments, final project includes a lengthier paper.

**Exams:** Yes, two midterms and one final exam.

**Student Presentations:** Yes, final group project. Also, professor uses students to present the day's material during the first 15-20 minutes. The student is responsible for leading the discussion and the professor steers and manages the process. This forces the student to be prepared for each class and offers a public speaking opportunity.

**Taught by Senior:** Yes and No. This course (NASC 402) is taught by the Unit CO (Navy O-6) at some commands and by Lieutenants (Navy O-3) at others. There is no overarching requirement from NETC. At UVA, Captain Warnecke teaches both NASC 401 and 402. This seems to be the exception.

**Student Critiques:** Yes.

**Core Values:** Yes, Honor, Courage, Commitment. Learning Objective #6. Comprehend the relationship of the Sailor's Creed, Core Values and Standards of Conduct to the role and responsibilities of a military leader.

**Honor Code:** Yes, The Midshipmen Honor Code has evolved over the years from: *"A Midshipman does not lie, cheat, or steal"* to *"A Midshipman does not lie, cheat, steal, or engage in any activity which would compromise the integrity and security of his or her conscience, the well-being of the unit, or the values of the United States Navy and Marine Corps."*

**Decision/Moral Guides:** No.

**Effectiveness Measures:** No. There is no direct or formal feedback process from the Fleet to the NROTC Unit for instances where their officers (commissioned midshipmen) have failed in leadership roles or ethical dilemmas. The only possible means of feedback would come from a newspaper/television story where the officer's school might be identified or if another unit's commanding officer contacts the ROTC's commanding officer to inform him (this seems to more along the lines of "how/why did you let this kid graduate?") If NETC keeps track of this information, it is not related to the unit commanding officers.

**Course Description:** NASC 402: Leadership II: A continuation of the principles and concepts of leadership through readings, exercises, and discussion. Topics include selected readings and case studies in leadership, core values and ethics, and legal issues. Prerequisite: NASC 401. (2003-2004 UVA Undergraduate Record)

### **Summary**

There is not a standard method for teaching Leadership and Ethics (NASC 402) throughout the entire Naval Reserve Officers Training Corps. The method that is used by Captain Warnecke at the University of Virginia is not the same as other units. Captain Warnecke stressed that a personal goal of his is, to get all NROTC units in the region (Virginia and then possibly D.C. and North Carolina) to all agree to teach the same

material and the same syllabus. Currently, only he and the NROTC CO at Virginia Polytechnic Institute and State University take the same approach (i.e. use the same syllabus). Consistency in leadership and ethics education from one NROTC unit to the next would provide a greater uniformity and possibly higher standards in the officers that are commissioned into the Navy, particularly if the most experienced officer taught the Leadership and Ethics curriculum.

**LEADERSHIP and ETHICS**  
**NASC 402, Spring 2004**  
**Maury B-14**  
**Thursday 0700-0915**

**Course Syllabus**

**I. Instructor:** John R. Warnecke, Captain, USN  
Professor of Naval Science  
Office phone: 924-0972  
Home phone: 295-9294  
E-mail: jrw2h@virginia.edu  
Office Hours: Usually anytime my door is open; appointment preferred

**II. Principal Texts** (Issued textbooks must be returned prior to Final Grade release)

- A. **Ethics for Military Leaders**, Third Edition
- B. **Naval Officer's Guide** for Navy Option and Naval Science Students

**IIA. Supplemental Texts**

- C. **Naval Leadership** Voices of Experience
- D. **Ethics for the Junior Officer**
- E. **Truth Faith and Allegiance** The Burden of Military Ethics
- F. **Philosophical Ethics** An Introduction to Moral Philosophy
- G. **Lying** Moral Choice in Public and Private Life
- H. **Naval Law** Justice and Procedure in the Sea Services

Other materials may be used such as videos, handouts, on-line or library items.

All texts will be issued by the Supply Department on the first day of class.

**III. Course Policy**

- A. Honor Code: This class adheres to all elements of the University of Virginia Honor Code and system. As future Naval and Marine Corps Officers, your honesty and integrity are imperative.
- B. Class assignments may, and probably will, change. If absent, it is the student's responsibility to ascertain if any changes were made.
- C. Appropriate dress and grooming is expected of NROTC students. An input on military bearing will be provided to the Class Advisor for Semester Aptitude evaluations.

D. Attendance is *mandatory* as this is a principally a **seminar-type** class. I must authorize a legitimate excusal *in advance*. Assignments, in-class projects and other efforts missed by an excused or unexcused absence must be completed in a timely manner. It is difficult for a student to recover from missed seminar participation.

E. **All assignments must be submitted on time to receive full credit.** Compliance and punctuality are virtues for effective military service members.

F. I will use E-mail to distribute class materials and course information. Once I have Toolkit up and working, we will use that as a source for information.

G. Our Four-Point Instructor-Student Contract:

1. I will assign enlightening, helpful materials to attain course objectives.
2. Students will prepare for class by reading *and* reflecting on assigned materials.
3. Students will have the opportunity to demonstrate mastery of course concepts through cogent, well-thought written and oral products.
4. I will evaluate student performance by thought-provoking exams, projects and class assignments.
5. As seniors and First Class Midshipmen who will soon be Officers in the Fleet, I expect you to teach a large portion of this course. **Be prepared to take charge.**

#### **IV. Grading Policy and Major Projects:**

Two mid-term exams and a final exam will be administered. In addition, writing assignments and quiz grades will be equivalent to an exam grade. Three of the top four grades will be used to compute your final grade. If you have done well on the mid-term exams and your quizzes, you may choose not to take the final exam.

<b>Seminar&amp; Class Participation</b>	<b>40%</b>
Mid-Term Exam	15%
Mid-Term Exam	15%
Final Exam	15%
Writing Assignments/Quizzes	15%
Group Case Analysis Research Paper & Presentation	15%



**Grade Assignments:** I will adhere to the Grade and Grade Point Award criteria below:

Letter Grade	Grade Point	Numeric Score
A (Superior)	4	93-100
A-	3.7	90-92
B+	3.3	87-89
B (Good)	3	83-86
B-	2.7	80-82
C+	2.3	77-79
C (Fair)	2	73-76
C-	1.7	70-72
D+	1.3	67-69
D	1	63-66
D- (Barely Passing)	0.7	60-62
F (Failure)	0	≤ 60

**Group Case Analysis Research Project:** You will participate in a group project with the task to research and prepare a typed, double-spaced 15-20 page original paper addressing a military leader’s action or historical military incident with several/many actors from a selected list I will provide later in the semester. The paper should cover the course content and themes of core values, character, leadership, ethics and military justice pertinent to the action or incident. No more than one quarter of the paper should be devoted to background or setting the details of the incident. The paper should present the group’s views on the course of action you would have taken, not based on hindsight, but logically developed comparing options and based on the principles studied in this course. Each group will have the opportunity to present/defend their paper at the end of the course with a formal 30-minute oral presentation followed by questions from other classmates and the instructor.

**One-Page Issue Papers:** Brief, one-page writing assignments will comprise another significant portion of this course and better prepare you to present your positions and recommendations to superiors once commissioned. Periodically, a subject, topic or issue will be assigned and the student will prepare a concise paper with the following components following the format used by the Office of the Chief of Naval Operations

Subject – the assigned topic

Executive Issue(s) – one sentence, phrase containing the key point(s) as you see it

Background – statements that establish context or frame the issue

Discussion – the “meat” of the paper containing the rationale of your stand on the issue

Recommendation – the action/outcome of your conviction, rationale on the issue

**Class Participation:** A note on seminar and class participation: The grade assigned will be determined by both the quantity *and* quality of an individual’s engagement and remarks.

**Senior Seminar:** We will meet at least once a month, maybe on a Friday, for a discussion period of “Senior Seminar issues”. We will work out the dates and times as a group.

**V. Course Objectives:**

The Naval Science Leadership and Ethics Course is designed as the Capstone course of the four year Naval Science curricula. This course presents guidelines, ethical foundations, and basic leadership tools considered essential for effective junior Naval Officers to lead in the 21<sup>st</sup> Century. Additionally, the course presents an overview of the principal duties, responsibilities and expectations of a junior officer in the Naval Service. Specifically, the course objectives include the skills to:

1. Comprehend the leader’s moral and ethical responsibilities to the organization and society.
2. Demonstrate in stressful officer leadership situations, an understanding of the influences on a leader’s ability to achieve the organization’s mission and goals.
3. Comprehend the moral and ethical responsibilities of the military leader.
4. Know the types and importance of communications within the military.
5. Demonstrate an understanding and apply basic counseling skills.
6. Comprehend the relationship of the Sailor’s Creed, Core Values and Standards of Conduct to the role and responsibilities of a military leader.
7. Know the obligations and responsibilities assumed by taking the Oath of Office and accepting a commission as a Naval or Marine Officer including subservience to civilian control of the military specified in the Constitution.
8. Understand the International Law of Armed Conflict including rules of engagement, conduct of hostilities, rights of individuals, obligations of engaged parties, and the Code of Conduct for members of the US Armed Forces.
9. Understand the junior officer – senior enlisted professional relationship and insights to enhance that relationship.

10. Comprehend current Navy and Marine Corps regulations, policies and programs relative to basic personnel administration, good orders and discipline, and safety.

STUDENTS WITH SPECIAL NEEDS OR CIRCUMSTANCES ARE ENCOURAGED TO MEET WITH ME INDIVIDUALLY AFTER CLASS.

**LEADERSHIP AND ETHICS  
NASC 402, Spring 2004  
Maury B-14  
Thursday 0700-0915**

**LESSON/ASSIGNMENT SCHEDULE**

<b>Date</b>	<b>Topic</b>	<b>Assignment</b>
<b>15 Jan</b>	<b>Introduction</b>	<b>Course Syllabus/Discussion</b>
<b>22 Jan</b>	<b>Intro to Moral Reasoning</b>	<b>ET: Chapter I</b>
	<b>Constitutional Ethics</b>	<b>ET: Chapter II, 33-59</b>
<b>29 Jan</b>	<b>Constitutional Ethics (cont)</b>	<b>ET: Chapter II, 61-101</b>
	<b>Utilitarianism</b>	<b>ET: Chapter III</b>
<b>5 Feb</b>	<b>Kantian Ethics: Duty</b>	<b>ET: Chapter IV</b>
	<b>Truth-Telling</b>	<b>ET: Chapter V</b>
<b>12 Feb</b>	<b>Liberty- Foundation for Moral Rights</b>	<b>ET: Chapter VI</b>
		<b>Tailhook Issue Paper</b>
		<b>Research Paper Discussion</b>
<b>19 Feb</b>	<b>Justice</b>	<b>ET: Chapter VII</b>
		<b>Billy Budd Video/Case Study</b>
<b>26 Feb</b>	<b>Virtue</b>	<b>ET: Chapter VIII</b>

		<b>EE Cheating Case Issue Paper</b>
	<b>Natural Law</b>	<b>ET: Chapter IX Research Paper Proposal in Issue Paper Format</b>
<b>4 Mar</b>	<b>MID-TERM EXAM</b>	
<b>6-14 Mar</b>	<b>SPRING BREAK</b>	
<b>18 Mar</b>	<b>Divine Command</b>	<b>ET Chapter X Status of Research Paper Approval</b>
<b>25 Mar</b>	<b>Just War Theory</b>	<b>ET: Chapter XI</b>
	<b>Law of Armed Conflict</b>	<b>ET: Chapters X, XI, XII Handouts/ On-line References</b>
<b>1 Apr</b>	<b>Conduct of War</b>	<b>ET: Chapter XII</b>
	<b>The Moral Leader</b>	<b>ET: Chapter XIII Moral Leader Issue Paper</b>
<b>8 Apr</b>	<b>JO Characteristics &amp; Relationships</b>	<b>NOG: p 7-28; 286-292; 311-344</b>
	<b>JO Responsibilities &amp; Accountability</b>	<b>Citings</b>
	<b>Capstone: Authority of Naval Officers</b>	<b>Navy Regulations &amp; Citings</b>
<b>15 Apr</b>	<b>MID-TERM EXAM</b>	
<b>22 Apr</b>	<b>Group Research Presentations</b>	
<b>29 Apr</b>	<b>Group Research Presentations</b>	
<b>6 May</b>	<b>FINAL EXAM / Course Critiques</b>	

## **J. NAVY SUPPLY CORPS SCHOOL**

### **Interview Background**

Data for the ethics program of Navy Supply Corps School (NSCS) was collected through an interview with LCDR Dave Lockney. He also provided course material and lecture notes. LCDR Lockney was one of the designers of the current ethics training program at NSCS and He led the program for almost two years. LCDR Lockney explained how the ethics program at NSCS was turned over to the supply officers from the chaplain corps. His team developed the case studies and presented them to senior supply officers and Chief of Supply Corps to ensure that proper topics were addressed within the courses. NSCS ethics training also draws information from the Center for Naval Leadership's Division Officer Capstone Course. LCDR Alvin Swain reviewed the data collected for this inquiry. He is now the lead of the ethics program at NSCS.

### **Background**

The Navy Supply Corps School in Athens, Georgia has a rich tradition of meeting the educational needs of the United States Navy Supply Corps for over fifty years. Since 1954, NSCS has provided education on a variety of disciplines such as inventory control, financial management, contracting, information systems, operations analysis, material and operational logistics, fuels management, and physical distribution.

The Supply Corps' primary mission is to provide expertise to the Navy and other Department of Defense operations in logistics, acquisition and financial management. Supply Corps Officers are the Navy's business managers. They are a highly trained, specialized team of professionals; they perform executive-level duties in financial management, inventory control, physical distribution systems, contracting, computer systems, operations analysis, material logistics, petroleum management, food service and other areas in both the Naval and joint environment

(Naval Supply Systems Command, 2004).

The NSCS's guiding principles support the development of the Supply Corps Officer to meet the mission of the Supply Corps. NSCS is dedicated to the Navy's Core Values of Honor, Courage, and Commitment. NSCS is focused on its customers (students). The school's team concept values each member as part of its success.

Therefore, NSCS invests in its people, focusing on their professional and technical development. NSCS also continuously provides the appropriate tools and facilities to allow people to accomplish their jobs. The school endeavors to treat everyone with dignity, respect and trust, while being good steward's of our nation's resources. Through its involvement in the local community, NSCS fosters good community relations and embraces the principle of continuous improvement (NSCS Guiding, 2004).

### **Mission Statement**

NSCS provides professional development through logistics, administrative and media training for Department of Defense and international personnel

(NSCS Mission, 2004).

### **Vision**

- To be a premier, best value provider of training and professional development.
- To provide quality of service that attracts and retains the best people.
- To provide an environment that enhances the educational experience

(NSCS Vision, 2004).

**Learning Objectives:** Yes. The Navy Supply Corps School's learning objectives for the ethics course are the following:

(1) Describe Navy Policies to include: Government Ethics, Drug and Alcohol, Equal Opportunity, Navy Rights and Responsibilities, Physical Readiness, Pregnant Servicewomen and Dependent Care.

(2) Recognize situations in which the following Navy Policies apply: Government Ethics, Drug and Alcohol, Equal Opportunity, Navy Rights and Responsibilities, Physical Readiness, Pregnant Servicewomen and Dependent Care.

(Darring, 2004)

**Case Studies:** Yes. NSCS uses case studies to provide realistic examples of ethical dilemmas faced by Supply Officers. An example case study is finding a \$50.00 shortage in a quarterly cash verification audit of the disbursing officer.

**Classical Theorists:** No. There is no discussion or required reading about the classical theorists in the Basic Qualification Course (BQC)

**Rules and Regulations:** Yes. The following guidance is used by NSCS:

- Code of Federal Regulations – Title 5
  - Part 2635 – Standards of Ethical Conduct for Employees of the Executive Branch
  - Part 3601 – Supplemental Ethics for DoD Employees
- Joint Ethics Regulations
- The Power of Ethical Management by Blanchard & Peale

**Graded:** Yes. The effectiveness of this training program is measured when the students are tested on the material. These tests determine the immediate retention of the students. The material in the NSCS courses conforms to the Center for Naval Leadership’s enabling and learning objectives.

**Term Papers:** No.

**Exams:** Yes.

**Student Presentations:** No.

**Taught by Senior:** No. The ethic program is taught by LCDR Alvin Swain who has replaced LCDR Dave Lockney as the lead of the ethics program.

**Student Critiques:** Yes.

**Core Values:** Yes. Honor, Courage, and Commitment

**Honor Code:** Yes. The Navy Supply Corps Code of Professional Responsibility is taught at NSCS. As stated below:

I am a United States Naval Officer. I am further privileged to serve in the Supply Corps, the Navy’s premiere community of business managers and logisticians. The unique nature of my role entails an

uncompromising degree of stewardship for public funds and property. This accountability follows me throughout my career. I can neither ignore it, nor divest myself of it.

Afloat or ashore, I serve in a capacity of trust and responsibility, and will conduct myself accordingly. My professional actions will reflect the highest degree of personal integrity, selflessness, and moral courage.

I will strive to be a “whole” person, seeking the proper balance between my professional life and private life. But I will always be mindful that in terms of personal conduct, there must be, for me, no difference - in this regard, I am on duty twenty-four hours a day. My oath of office makes no distinctions between time on the job and away from the job; nor do I. I will do nothing in civilian attire I would be ashamed to do in uniform.

Additionally, I will remain sensitive to the critical nature of perceptions, for, in many ways, the appearance of wrong doing can be as harmful as the act itself. The need to conform to standards of behavior which may be more exacting than those demanded in other professions is not a burden but an honor, and I accept it with humility.

I am sworn to uphold the Constitution and abide by the laws of the land and the community in which I live. I am also subject to established military rules, including the Uniform Code of Military Justice, Navy Regulations, and the Standards of Conduct. Recognizing that I will sometimes be tested by complex moral and ethical situations which go beyond the bounds of printed regulations, I will consider these rules only as a minimum standard.

Ultimately, my conscience and personal sense of honor must guide me. But, as I weigh the alternatives, I shall never lose sight of the fact that I am responsible not only to my own Chain of Command, but to an extended family of superiors, peers and subordinates. Being part of an elite community means I cannot take comfort in anonymity. Like it or not, my actions reflect on those of my fellow Supply Corps team members; if I err, the discredit falls upon many besides myself.

Therefore, when I am faced with an ethical challenge - above all other considerations - I will do the right thing. My action must bring nothing but credit to the United States Navy and the Navy Supply Corps. When viewed by those around me, my example will be positive, defensible, and morally correct. If my actions are made public, I will proudly stand by them - knowing that I did the right thing.



I am aware of my place in the Supply Corps' proud tradition and reputation for excellence which has endured for two centuries and more, and am inspired by the example of my predecessors. To the significant challenges which face me today, I shall bring to bear every fiber of my creativity, technical expertise, and commitment, and I shall do so without compromising my honor or integrity as a United States Naval Officer

(Meyers, 2004).

**Decision/Moral Guides:** Yes.

- Define the problem
- Identify the goals
- List applicable laws or regulations
- List the ethical values at stake
- Name all the stakeholders
- Gather additional information
- State all feasible solutions
- Eliminate unethical options
- Rank remaining solutions
- Commit to and implement the best ethical solution

(DoD Directive 5000.7R, 1993)

**Effectiveness measure:** Yes. The school receives feedback from the Type Commanders (TYCOMs) as to the negative performance of a supply officer. Commander Naval Surface Forces Atlantic Fleet collects data on supply officers that were relieved for cause. This data includes information on how these officers handled ethical dilemmas. The type commander's Judge Advocate General (JAG) compiles this information from Non-Judicial Punishment (NJP) and Court Martial reports.

**Summary**

The current Ethics Program at Navy Supply Corps School (NSCS) is designed by supply officers for supply officers. Prior to this program, Chaplain Corps Officers taught

ethics at NSCS. The current ethics course teaches the rules and regulations that govern ethics and then explores situations that involve conflicts between rules. The course also uses realistic case studies to demonstrate ethical dilemmas that occur within the normal execution of a supply officer's duties. The ethical dilemmas in this program highlight conflicts between rules and results, as well as conflicts within the rules themselves. While the course doesn't teach the ethical theorists or describe the different ethical theories, it does explore situations that involve conflicts between these different theories.

The takeaway from this inquiry is that a better understanding of classical ethics theory would benefit the students by providing them with the principles behind ethical decisions, thus better equipping them to resolve future dilemmas.

## **K. AIR WAR COLLEGE**

### **Interview Background**

The data for this inquiry was collected through telephone interview, curriculum review, and website review. The initial data was collected via a telephone interview with Dr. James H. Toner on August 16, 2004. Dr. James H. Toner is Professor of International Relations and Military Ethics in the Department of Leadership and Ethics at the Air War College (AWC). The initial interview provided valuable information which prompted further inquiries into the curriculum and website. The courses within the curriculum that provide ethics education were reviewed. The AWC website was also reviewed with an emphasis on ethics education.

### **Background**

The War Department established the AWC in 1946 at Maxwell Field, Alabama, and the college has operated continuously since that time except for a period of six months during the Korean conflict. To accomplish the AWC mission, students demonstrate mastery of dual challenges—academic enhancement and professional development. To meet these challenges, the college develops the knowledge, skills, and attitudes in its students that are significant to the profession of arms with emphasis on air and space power and its application in joint, combined, and coalition operations.

The AWC is the senior Air Force professional military school. Annually there are 265 resident and over 6,000 nonresident students from all US military services, federal agencies, and 45 other nations to lead in the strategic environment emphasizing joint operations and the employment of air and space power in support of national security. There have been over 25,000 graduates of the resident and nonresident programs since 1946, almost 4,000 are still on active duty, including 138 general officers in every branch of service. The school has produced 393 flag rank officers, including two US Chiefs of Staff, and more than a dozen international Chiefs of Staff and Chiefs of Service around the globe.

(Elder, 2004)

### **Mission**

To educate senior officers to lead at the strategic level in the development and employment of air and space forces, including joint, interagency, combined, and coalition operations, in support of national security.

(AWC Online, 2004)

### **Vision**

The AWC is the foremost center for air and space education and thought preparing the world's best strategic leaders.

(AWC Online, 2004)

### **Goals**

- To be prepared to lead at the strategic level in joint, interagency, and multinational environments, AWC graduates will have demonstrated mastery in the following ways:
- Analyzed, articulated, applied, and/or evaluated concepts embodied in the following learning areas as listed in the Officer Professional Military Education Program, CJCSI 1800.10B, for senior-level colleges:
- National Security Strategy,
- National Planning Systems and Processes,
- National Military Strategy and Organization,
- Theater Strategy and Campaigning,
- Information Operations and C4ISR, and
- Joint Strategic Leader Development.
- Understood, analyzed, and articulated the development of air and space doctrine and the development and employment of air and space assets across the spectrum of potential conflict.
- Analyzed the role of air and space assets within the context of the broader military and national security environment.
- Compared and contrasted US air and space assets (both military and civilian) with those of allies as well as potential adversaries and competitors.

- Assessed regional cultures, resources, and issues including their potential influence on US national security.
- Examined the historical, economic, demographic, political, and military developments that resulted in present military doctrine, systems, and strategies.
- Examined national and global economic, demographic, political, and military trends and their effects on current and future national security environments.
- Examined in-depth evolving issues and concepts such as information operations, cultural intelligence, humanitarian operations, treaty negotiations, network centric operations, homeland security, and effects-based operations.

(Elder & Young, 2004)

**Learning Objectives:** Yes.

#### **DFL 6205 Ethics and the Profession of Arms**

Analyze and evaluate the relationship between ethics and professional military leadership.

#### **DFL 6206 Command Responsibility and Accountability**

Analyze senior officer accountability and responsibility while evaluating the complexities of command.

#### **DFL 6207 Senior Leader Derailment**

Comprehend the complex psychological and sociological pressures that may create an environment that increases the risk of unethical personal or professional behavior by senior officers.

#### **DFL 6208 Ethical Use of Military Force**

Analyze the ethical considerations related to the use of military forces with particular focus placed on GWOT and WMD along with new ways of waging war and their ethical implications.

#### **DFL 6209 Leading in Conflict**

Analyze Leading in Conflict at the Operational and Strategic levels.

**DFL 6210 Ethical Dilemmas in Peacekeeping Operations**

Analyze the decision making process of those at various levels of authority/command in the Srebrenica case as to the ethical issues raised, their implications for senior leaders, and their strategic consequences.

**Case Studies:** Yes. The AWC teaches with case studies that are inductive (logical progression), developing from general to specific. These case studies are developed so that there are many solutions and the course leaves the solutions open-ended. The goal is the process rather than the solution.

**Classical Theorists:** Yes. Classical theorists' education is covered to establish solid ethical principles.

**Rules and Regulations:** No. Rules and regulations are not taught with the ethics program. It assumes that the senior officers attending the AWC are familiar with the rules and regulations.

**Graded:** Yes. Students will be graded on their leadership mid-term exam case study, the leadership final exam case study, and the quality of their contributions to the seminars. Participation in the leadership reading program is part of the student's seminar contribution grade. The student's contribution grade is based on the quality of their participation and their level of preparation. The weights assigned to the course activities are listed below.

Mid-Term Leadership Exam	35%
Leadership Final Exam	35%
Seminar Contributions	30%

**Term Papers:** No.

**Exams:** Yes. As part of the leadership and ethics course, students are given two written examinations consisting of leadership and ethics case studies. Both exams will be take-home, individual effort, and no collaboration is allowed. For each exam, students

are required to analyze and evaluate the scenario in the case and provide a typed, double-spaced response, not greater than 8 pages. Students are graded on the depth of analysis and thoroughness of their answer including supporting detail and synthesis of course material. All previous class materials, notes, readings, and information can be consulted and used in formulating their answers.

**Student Presentations:** No. Students are graded on their participation in the seminars.

**Taught by Senior:** Yes. The AWC ethics courses are taught by O-6 or above and senior professors.

**Student Critiques:** Yes. Students enrolled in the program provide written feedback to the program/course instructors/facilitators at the conclusion of coursework.

The following is an example:

**Objectives and Desired Learning Outcomes (DLOs)**

1. The lesson objectives were written clearly.
2. (Seminar only) The lesson objectives were realistically attainable in the scheduled seminar period.
3. The DLOs were written clearly.
4. (Seminar only) The DLOs were realistically attainable in the scheduled seminar period.

**Reading**

5. The readings were clear, concise, understandable and at the appropriate reading level.
6. The readings were relevant and effectively supported the lesson objectives.
7. The readings were relevant and effectively supported the DLOs.

**Delivery Media**

8. Visual aids provided (maps, illustrations, photos-both printed and electronic) were an effective, relevant learning media that supported lesson objectives, DLOs, and readings.

**Learning Activities**

9. The Questions for Study and Discussion were useful in achieving the DLOs.
10. The Additional readings were useful. Lesson Linkage and Order
11. The lesson's scope sheet, objectives, DLOs, and readings support each other.

**Overall**

12. This material should help our development as senior military or civilian leaders.
13. This lesson does not need major revision for next year.
14. The most effective and useful reading was: Reason:
15. The least effective and useful reading was: Reason:

16. Consider including the following readings in the future:
17. What other learning activities or tools would you suggest we use to support this lesson?
18. General comments

**Core Values:** Yes. Integrity, Service before Self, Excellence

**Honor Code:** No.

**Decision/Moral Guides:** No

**Effectiveness measure:** No

### **Summary**

The AWC has ethics education as one of its core curriculum, demonstrating the importance placed on the ethical development of its students. The AWC continuously develops its curriculum and provides a large collection of outside sources of information on its website. This website provides links to the other war colleges, service academies, civilian universities, and business educational programs. This wealth of information aids the students in their learning.

The Leadership Ethics Course is based on two key assumptions: first, students are already successful leaders, but the challenges they will face in the future will be significantly different from those they faced in the past; and second, students can improve their competence in areas vital to success as strategic leaders. Therefore AWC focuses the student learning on leadership characteristics and skills required to perform successfully as a strategic leader. Students demonstrate these competencies by developing their vision and expanding their capacity to think critically and creatively. The learning is focused towards developing leaders of large complex organizations. The course of study includes a detailed assessment of each student's personal leadership capacities and personality preferences as a foundation for the development of a plan for lifelong personal growth.

The Strategic Leader Education Figure 1 is provided to show how the students progress through the curriculum.



# AIR WAR COLLEGE STRATEGIC LEADER EDUCATION



Figure 1. Air War College Strategic Leader Education

## **L. UNITED STATES ARMY WAR COLLEGE**

### **Interview Background**

The data for this inquiry was collected through e-mail exchanges and website and curriculum reviews. An e-mail exchange in September 2004 with Dr. David L. Perry provided the majority of the information for this summary. Dr. Perry also provided course and curriculum information to further explain the ethics education at the U.S. Army War College (USAWC). Dr. Perry is the Professor of Ethics at USAWC. Additional information was collected from the USAWC website.

### **Background**

Since 1901 USAWC has been preparing senior military officers and civilians for leadership responsibilities. USAWC provides an education that develops dedicated, intelligent, and competent officers who serve the nation in positions of great responsibility. USAWC also provides forums for senior military, civilian, and international leaders from all military services and government agencies to exchange ideas on strategic applications of land power. The college is instrumental in strategic thinking in identifying, developing, and addressing future strategic issues. Carlisle Barracks has been the home of the USAWC for the past 50 years.

(Huntoon, 2004)

### **Mission**

USAWC has the principal functions of education, research and publication, strategic communication, and professional well-being. USAWC continues to anticipate and shape the future, effectively manage institutional change, and increase the effectiveness and efficiency of the college. In the words of Elihu Root, the founder of the USAWC, our grand purpose is:

Not to promote war, but to preserve peace by intelligent and adequate preparation to repel aggression...to study and confer on the great problems of national defense, of military science, and of responsible command.

(Huntoon, 2004)

We achieve this purpose by accomplishing the mission assigned to us by Army:

To prepare selected military, civilian, and international leaders for the responsibilities of strategic leadership; educate current and future leaders on the development and employment of land power in a joint, multinational and interagency environment; conduct research and publish on national security and military strategy; and engage in activities in support of the Army's strategic communication efforts.

(USAWC Reg 10-44, 2004)

### **Vision**

To be the most prestigious institution for the education of strategic leaders and for the study of the development and employment of land power in a joint, interagency, and multinational environment.

(USAWC, 2004)

### **Command Leadership Mission**

The Department of Command, Leadership, and Management's (DCLM) objective is to prepare USAWC students to operate in a strategic environment by developing an understanding of strategic leadership responsibilities through an examination of group learning; creative and critical thinking; strategic leadership competence; Joint and Army Systems and processes; and critical self assessment.

DCLM department provides seminar teaching in two of the four core curriculum courses of the resident program and offers electives in the areas of responsible command, leadership, and management. Students also examine Army leadership doctrine and strategic leadership competency. Subsequently, students study the complexities of high level command that are studied to reinforce the importance of ethical decision making and establishing an ethical climate.

The first core area focuses on strategic leadership. Students clarify personal and professional goals through a reassessment of preferences, values, strengths, leadership behavior, and an understanding of adult learning. Individual skills taught include negotiations, group dynamics, and creative and critical thinking.

The second area of core instruction focuses on the decision and resource systems of the Department of Defense, Joint Chiefs of Staff, and the Department of the Army. This course requires a mastery of defense, joint, and Army processes and systems in order to properly develop the land power component of the National Military Strategy in both current and future settings.

(DCLM Online, 2004)

**Learning Objectives:** Yes.

- a. Identify and discuss the core principles of the American professional military ethic.
- b. Reflect on professional values and obligations using critical reasoning.
- c. Enhance skills in applying ethical principles to issues and dilemmas facing contemporary strategic leaders.
- d. Assess the implications of just-war criteria and international human rights for military decision-making(DCLM Online, 2004).

**Course 106 Ethics and Warfare**

This course enhances students' understanding of classic themes and problems in the just-war tradition, as well as strengthens their skills in applying ethical principles to contemporary warfare. It examines concepts and issues concerning the American professional military ethic, human rights, just-war criteria, and the laws of war. Topics addressed may include: comparative ethical views on war in major religious traditions; the historical development of selected just-war principles (such as non-combatant immunity); questions about the legitimacy of pre-emptive and preventive wars; criteria for humanitarian military intervention; dealing with enemies who don't uphold just-war principles; balancing the protection of enemy civilians against minimizing casualties on our side; challenges of distinguishing combatants from noncombatants in counterinsurgency; interrogation of detainees in the war on terror; assessing war proportionality regarding combat tactics and weapons; and issues regarding the development and use of nuclear, chemical, and biological weapons.

(USAWC, 2004)

**Course 544 Just War Analysis of U.S. Military Intervention**

Since the end of World War II, the United States has intervened with limited military force in every area of the world in pursuit of its interests. This course will examine post-WWII U.S. military interventions using just war doctrine as a common framework for analysis. It is a research seminar to provide the student with a framework for analyzing military interventions from the political, military, and moral perspectives. The faculty instructor will present the framework and a sample case study, after which each student will present their case study.

The course will conclude with a comparison of the cases presented and a critical examination of just war doctrine, focusing on its potential relevance to policymakers.

(USAWC, 2004)

### **Course 248 Political Violence and Terrorism: War By Other Means**

This course develops the theme that terrorism is a form of political violence that attacks the core principles of democracy and international order, as well as the security of the United States and its allies. The course will address the necessary response to terrorism across the spectrum of the instruments of national power, in addition to the moral and ethical issues involved in counter terrorist strategies.

(USAWC, 2004)

### **Course 246 Law for Senior Commanders**

This course combines legal theory and practice and examines topics of special concern to commanders at the operational and strategic level. Primary focus is on issues relating to personnel, disciplinary, fiscal and operational matters. These include: administrative actions against soldiers and officers including elimination/removal from the service; investigations directed by commanders; military justice actions, judicial and non-judicial, with emphasis on the role and authority of commanders; powers of trial and appellate courts; permissible punishments; and rules of criminal procedures and evidence; fiscal law policies and limitations including the authority to obligate funds for various missions; operational law concerns across the spectrum of operations, including legal issues arising on deployment, laws of armed conflict, rules of engagement, status of U.S. forces overseas, human rights law and its impact on modern contingency operations, and other international obligations stemming from treaty, convention, or customary practice. The course examines controlling statutes, regulations and case law affecting the military today and discusses key principles senior leaders must understand. This course is designed for the colonel/captain (O-6) level commander slated to assume command of a brigade, regiment, wing or similar-sized Navy element

(USAWC, 2004)

### **Course 191 Strategic Leadership: Legal, Moral, and political Dilemmas of Senior Leadership.**

The course will examine strategic leadership with emphasis on the role of the senior leader in recognizing and resolving dilemmas inherent in senior leadership. The course addresses civil-military relations, constitutional issues, and contemporary issues in public policy

(USAW Curriculum, 2004).

**Case Studies:** Yes. Real world examples of ethical dilemmas are presented to the student with assigned readings that address and support these situations. The students read about these issues prior to the seminars and present their views of the dilemmas during the seminar.

**Theorists Education:** Yes. The assigned readings in preparation for the seminars contain classical theory. This theory is then related to the situations reviewed in the seminars.

**Graded:** No.

(1) Failed to Meet Standards - Inadequate grasp of course learning objectives. Failed to demonstrate an adequate level of scholarship expected of USAWC students, or failed to submit required coursework at all.

(2) Incomplete - Has not completed course requirements, either in quality or by lack of submission by designated deadline.

(3) Meets Standards - Adequate mastery of course learning objectives demonstrating an acceptable level of scholarship. Analysis, interpretation, and application of material reflect that expected of a future strategic leader.

(4) Exceeds Standards - Superior mastery of course learning objectives demonstrating above average level of scholarship. Analysis, interpretation and application of course material reflecting that expected of practicing strategic leaders.

(5) Outstanding - Exemplary mastery of course learning objectives demonstrating a high level of professional scholarship. In-depth analysis, interpretation, and application of course material at a level expected of very experienced strategic leaders.

(CBks Memo, 2004)

**Term Papers:** Yes. The elective courses require between 4-18 page papers on the subject matter of the course.

**Exams:** No.

**Student Presentations:** No. Students are required to prepare for classes by completing the assigned reading and preparing for informal in-class presentations.

**Taught by Senior:** Yes. The elective courses are taught by Col. Dave Nagle or Dr. David Perry.

**Student Critiques:** Yes.

**Core Values:** Yes. Duty, Honor, Country

**Honor Code:** No.

**Decision/Moral Guides:** Yes. The following guide provides the soldier with a decision model to evaluate the situation. The soldier will have to correctly respond on at least 70 percent of the performance measures to receive a GO on the task.

#### Performance Measures

1. Defined the ethical problem
2. Identified and accurately applied all relevant laws and regulations
3. Correctly identified all appropriate ethical values
4. Determined all relevant guiding moral principles from the ethical values chosen
5. Identified and accurately applied all other relevant moral principles to the ethical problem
6. Identified all appropriate ethical theories that helped explain and justify the ethical solution.
7. Chose a course of action which reflected sound judgment and a thorough analysis of steps one through five.
8. Selected the best method to implement the course of action.
9. Implemented the course of action in accordance with a plan.

10. Accessed results and modified the plan as appropriate.

(USAWC, 2004)

### **Summary**

USAWC provides several ethics-centered courses in the electives curriculum. These five courses cover a variety of ethical areas including warfare, just war, political violence and terrorism, law, and moral dilemmas in leadership. Students take electives with each of the core curriculums and therefore have the opportunity to take a number of courses on ethics. The Army Leadership Framework presented below (Figure 1) shows the professional development of Army Officers. The target group of USAWC is represented by the upper two segments of the pyramid. The USAWC targets officers that are leading organizations in environments of volatility, uncertainty, complexity, and ambiguity.





# The Army Leadership Framework



Figure 1

Figure 1. The Army Leadership Framework

## **M. NAVAL WAR COLLEGE**

### **Interview Background**

The data for this inquiry was collected through telephone interview, e-mail exchanges, and website and curriculum reviews. The initial information was collected through a telephone interview with Professor Thomas B. Grasse and a review of the curriculum guide for the elective courses that address ethics. Dr. Thomas B. Grasse is the James B. Stockdale Professor of Leadership and Ethics at Naval War College (NWC). NWC also hosted an ethics symposium that allowed the researcher to meet some of the leaders of ethics departments from institutions across the services.

### **Background**

Established on October 6, 1884, NWC is the oldest continuing institution of its kind in the world. NWC has expanded from a one-month course for a handful of junior officers into a full-year program. Attending NWC has been integral to a naval officer's career pattern. NWC was developed for the study of strategy, tactics, and operations. The curriculum is presented through a mixture of lectures, readings, and seminars by a faculty that includes senior naval officers, civilians, and senior officers from other services. Disestablishment of NWC has loomed several times due to a belief that everything a naval officer needs to know about the naval profession could be learned aboard ship. This criticism was dispelled through the development of war gaming (systematic method of tactical analysis). War gaming was introduced to acquaint officers with procedures for estimating military situations, determining action, drafting appropriate implementing orders, and evaluating results. These war games have made NWC into a laboratory and war-planning agency for the Navy Department. NWC, in cooperation with the Office of Naval Intelligence, has routinely evaluated and provided solutions for tactical, operational, and technical problems of the Navy Department (NWC History, 2004).

### **Mission**

For over 100 years, NWC has served as the premier center of strategic thought and national security policy innovation for the U.S. Navy and the nation.

Located on Coasters Harbor Island in Newport, RI since its founding in 1884, NWC has two clear missions: to educate tomorrow's leaders of our Navy and our nation, and to define the future Navy. NWC is the leading educational institution for our nation's leaders. It was founded to develop strategic thought and teach the principles of war. The curriculum is based upon three core courses of study: Strategy and Policy, National Security Decision Making, and Joint Military Operations.

The Strategy and Policy course is designed to teach students to think strategically about the theory of warfare. The focus is on the relationship between a nation's political goals and the way in which its military resources are most appropriately used to achieve those goals.

The National Security Decision Making courses are uniquely designed to assist the military and civilian executives dealing with the economic, political, and military factors of decision making in the national security arena. Case studies explore contemporary warfare, geopolitical crises, and contingency force-planning issues which challenge students to develop the skills necessary for assessing the myriad of competing demands involved in determining the size, shape and budget of future military forces.

The Joint Military Operations course focuses on the translation of contemporary national and regional military strategies into naval, joint, and multinational operations, with particular emphasis on operational art and employment of the sea services. Historical and contemporary case studies and planning exercises permit students to hone their skills in making sound operational decisions, preparing them for critical command and staff positions.

NWC awards Master of Arts degrees in National Security and Strategic Studies as accredited by the New England Association of Schools and Colleges. Nearly half of the American students are officers from the Army, Air Force, Coast Guard, and Marines, with several civilian students from defense-related agencies. More than 100 international students attend NWC annually.

Naval War College's contribution to defining the future Navy is accomplished through the development of new operational concepts, experiments at the fleet level, and

refinement of naval doctrine. Teamed with the Center for Naval Warfare Studies and its War Gaming Department, these diverse groups are working to define the next Navy and the Navy after Next (NWC Mission, 2004).

NWC also has an Elective Program that consists of 75 individual courses offered in one or more of the three trimesters. Students may choose from approximately 30 courses offered each trimester. All U.S. students are required to enroll in one elective for credit each trimester. If approved by the Associate Dean of Academics for Electives and Directed Research, a student may fulfill this requirement by conducting a directed research. Students may choose freely from any of the electives offered, subject to limitations imposed by class size. There is no requirement that student choices be distributed in any particular subject matter or sequence, and students are encouraged to select a diverse mix of subjects; however, there are courses designed to be complementary (these will be indicated in the course descriptions). Prior to registration, students are invited to discuss the contents and requirements of prospective elective courses with the instructors, or examine course syllabi available in the Electives Office or at the Library Circulation Desk. In addition to the required elective each trimester, students may audit one other elective. There is also an intercessional conference that addresses ethical issues. The objectives of the course and the intercessional conference are listed below. Also, there are various voluntary opportunities throughout the year at NWC to attend lectures or roundtables on professional ethical matters of interest to military and naval officers. The student-led Leadership Discussion Forum runs approximately six to eight lunch-time free-for-all examinations of practical concerns, almost always involving ethical content, during which officers can share ideas.

**Learning Objectives:** Yes.

**EL 594            ETHICS AND THE MILITARY**

Ethics has always been a core element of the profession of arms; periodically it becomes a headline matter as well. Senior officers are required to be models of professional rectitude. They must make command decisions about organizational policies and practices which influence, for better or worse, the attitudes and behaviors of other service members. They also are expected to be familiar with the terminology,

concepts and issues regularly debated in the public forum about the military profession. This course is intended to help officers address these responsibilities. It is conducted as a seminar to examine fundamental issues in military service from the perspective of ethics. Consideration is given to such topics as the morality of war, the laws of war, deterrence, terrorism, international relations, organizational mores, leadership, and the nature and practices of the military profession. The goal is always to explore the problematic aspects, never to present established answers. Reading in ethical theory will provide a familiarization with the commonly used terms, concepts, and methods of argumentation on moral issues; but the purpose of the course is to assist officers in deepening their understanding of important components of decision-making in the military profession

(Elective Course Descriptions, 2004)

### **EL 581 FAITH AND FORCE: RELIGION, WAR AND PEACE**

Religious beliefs affect our attitudes toward the world and our actions during times of crisis. This course focuses on the three great monotheistic religions of the Western World, Judaism, Islam, and Christianity, as their teachings bear on such issues as war and peace, church and state, land, and power. Other topics include Hinduism and Buddhism; War at the Extremes; Low Intensity Conflict; and Justice, Righteousness, and War

(Elective Course Descriptions, 2004)

### **EL 592 FOUNDATIONS OF MORAL OBLIGATION: THE STOCKDALE COURSE**

Since Socrates, moral philosophy has been taught both as a technical discipline and as a guide to life. Basic ideas discussed in this course include right, good, honor, freedom, necessity, law, justice, and happiness, as these pertain to the human situation generally and to the military ethos in particular. Lectures focus on both classical and modern Western philosophy including the Old Testament, the Socratic dialogues of Plato and the ethical writings of Aristotle, Kant, Mill, Lenin, and Sartre. Following each lecture, the implications of the thought of each philosopher will be discussed in seminars based on readings from Nietzsche, Dostoyevsky, Conrad, Koestler, Solzhenitsyn, and writings on military ethics including Admiral J.B. Stockdale's "The World of Epictetus." Approximately one-half of the reading for the course will be drawn from source philosophical writings and will be challenging. Each course session consists of a lecture followed by a seminar discussion. There is a combined paper and take-home final examination.

### **Annual Intercessional**

There is one and one half day annual intercessional ethics conference, required for all NWC students. The topic varies from year to year "Professional Ethics in War Today" is this year's theme and the intensity of focus on individual professional ethics varies, depending on the topic.

**Case Studies:** Yes. Case Studies are used in all ethics electives. They are designed to inspire discussion about the differences in problem resolution. Case studies show students that their solution isn't the only solution.

**Classical Theorists:** Yes. Readings in ethical theory provide familiarization with the commonly used terms, concepts, and methods of argumentation on moral issues; but the purpose of the courses are to assist officers in deepening their understanding of the ethical component of decision-making in the military profession.

**Rules and Regulations:** No. Rules and regulations are not taught with the ethics program. It is assumed that the senior officers attending NWC are familiar with the rules and regulations of the Navy.

**Graded:** No, Elective course at NWC are graded as described below:

1. U.S. students are graded on a Pass/Fail and High/Pass basis in all electives. A High Pass (HP) grade is reserved for only the most outstanding performance. While not a component of the student's final academic standing, a passing grade in each course is required for graduation. International students are not graded.

2. At least 60% of the student's final grade will be based on some form of written work, ideally spaced throughout the course to avoid overemphasis on any single requirement. Examinations are not mandatory, but may be used for review or reinforcement of course material. Within these guidelines, grading is determined by individual instructors.

**Term Papers:** Yes. Students are required to write papers as part of NWC course of study.

**Exams:** Yes. The exams in the elective programs are not weighed as heavily as the term papers. Exams are used for review or reinforcement of course material.

**Student Presentations:** No. Student presentations are limited to classroom discussions and seminars.

**Taught by Senior:** Yes. The elective courses are taught by senior professors or senior military officer.

**Student Critiques:** Yes. Student input is vital to the future development of these courses. A sample of the elective program's student questionnaire is provided below.

2. Your satisfaction with your elective course as a whole was (1-slight; 7-great):
3. The quality of instruction in your elective course was (1-poor; 7-outstanding):
4. Was your elective an appropriate/valuable elective to offer at NWC? (1,2- no, cancel / 3,4,5 - yes, if modified / 6,7- everybody should take):
5. Would you recommend this elective to your colleagues? (1,2- no, remove / 3,4,5 - yes, selectively / 6,7- everybody should take):
6. Was your elective conducted as advertised in the program syllabus? (1,2- no resemblance / 3,4,5 - revise / 6,7- right on target):
7. Were the course materials used in your elective current and focused? (1,2- not relevant / 3,4,5 - update needed / 6,7- yes, as is):
8. The Electives Program anticipated a student effort of 3 hours outside work for every hour of class time (i.e. 9 hours of outside work per week). Based on this estimate your workload in this elective was:  
(1,2- minimal / 3,4,5 - right on target / 6,7- excessive):
9. Were you satisfied with the general administration of the program by the Electives Office? (1-poor; 7-outstanding):
10. Additional Comments

The critique can be completed one page at a time and then saved. Annex D is a paper copy of the critique that can be annotated as the course progresses, if desired, to assist you in making the required entries in the electronic critique. Note that the hard copy is provided for your convenience and will not be accepted in lieu of the electronic critique at course completion. Seminar leaders will ensure that all students have completed their course critiques prior to the final exam and will provide this information to the seminar moderators so that individual student grades can be promptly released upon course completion.

(Surveys, 2004)

**Core Values:** Yes. Honor, Courage, and Commitment

**Honor Code:** No.

**Decision/Moral Guides:** No

**Effectiveness measure:** No

According to the website, NWC uses the following effectiveness measure for the electives program.

1. To determine the extent to which each elective and the Electives Program as a whole meets its objectives and to appropriately recognize individual instructor performance, the Electives Program Academic Coordinator prepares and distributes a standardized end-of-course questionnaire prior to the last session.

2. The Associate Dean of Academics for Electives and Directed Research reports the questionnaire results to the Provost, via normal channels, with copies to the Electives Policy Committee. He also forwards individual course questionnaire results to each instructor and the instructor's department chairman.

The effectiveness of individual course maybe evaluated this way, but the effectiveness of the ethics education is not measured. This is due to the difficulty in establishing the standard of measurement.

(NWC, 2004)

## **Summary**

The Naval War College course of study is taught in three trimesters of core curriculum. While most of the ethics courses are taught as electives, the National Security Decision Making does have one ethics class. There are also two courses in the



Joint Military Operations curriculum that address war time ethics, international law, and decision-making. The elective courses are covered above. There is also an intercessional ethics conference which all students are required to attend. All students are exposed to ethics at NWC, and some take the electives that provide a more robust learning experience.

When asked about the learning of students, Dr. Thomas B. Grasseley provided the following insightful definition of ethics: “Ethics is the right thing to do here and now, given the limitations of time and knowledge, all things considered” (Grasseley, 2004). He went on to explain that military leaders are required to make ethical decisions in a gray world. This means that there is not a clear answer or solution to ethical dilemmas and military leaders need to have the ability to reason through the problem. Students also learn that some of their preconceived ideals can be challenged. This is done by exposing students to many ethically significant situations to provide a better appreciation for the different ways in which individuals think about ethics. While there are effectiveness measures for the courses themselves via feedback and evaluations, there is no real measure of effectiveness for the ethics education.

## **N. NAVAL OFFICER CANDIDATE SCHOOL**

### **Interview Background**

The data for this inquiry was collected through telephone conversation and website and curriculum reviews. Officer Candidate School (OSC) has no formal ethics education program. OCS included here because it is one of the accession pipelines for supply officers. The information for OCS was collected from the schools website and from a phone conversation with LCDR David Skipworth (Executive Officer of OCS).

### **Mission**

Develop civilians, enlisted, and newly commissioned personnel morally, mentally and physically and imbue them with the highest ideals of honor, courage, and commitment, in order to prepare graduates for service in the fleet as Naval Officers.

The 12 week OCS course is designed to give you a working knowledge of the Navy (afloat and ashore), to prepare you to assume the responsibilities of a naval officer, and to begin developing you to your fullest potential. OCS is extremely demanding; morally, mentally, and physically. Your personal honor, courage, and commitment will be tested at OCS and you will be challenged to live up to the highest standards of these core values. The school's curriculum will demand the most of your academic prowess.

(Officer Training Command Pensacola, 2004)

**Core Values:** Honor, Courage, and Commitment

## **O. AVIATION PRE-FLIGHT INDOCTRINATION**

### **Interview Background**

There is no formal ethics training conducted at the Naval Aviation Schools Command (NASC) in Pensacola, Florida. In an email interview with the Public Affairs Officer for NASC, LT James B. Boehnke, he stated “NASC has not formally introduced Ethics training into the curriculum, but we do enforce a zero tolerance for cheating”. He went on to say that “the Basic Officer Leadership Course (BOLTC) does a minor amount of ethics training and it is given to the API students just prior to manning up a class.”

### **Mission**

Aviation Pre-Flight Indoctrination is the first step on the service member’s journey to become a Naval Aviator or Naval Flight Officer. API is a six-week training program emphasizing water survival, physical readiness, and a rigorous academic program. The academic portion spans the first four weeks and covers aerodynamics, weather, engines, navigation, and flight rules and regulations at a strenuous, accelerated pace.

(Naval Aviation Schools Command, 2004)

**Core Values:** Yes. Honor, Courage, and Commitment

THIS PAGE INTENTIONALLY LEFT BLANK

## LIST OF REFERENCES

### Background

Clark, Timothy M. (2004). *Moral Development At The United States Naval Academy: The Midshipman's Perspective*. Retrieved from BOSUN, Dudley Knox Library Catalogue Naval Postgraduate School

Ryan, Richard J. (1999). *An Inductive Study of The Development, Application, Sociological Impact of Ethics Instruction At the United States Naval Academy*. Retrieved from BOSUN, Dudley Knox Library Catalogue Naval Postgraduate School.

O'Harrow, R. & Shackelford, L. (2003). Special Report: Enron Probe. Retrieved March 13, 2004 from the World Wide Web: <http://www.washingtonpost.com/wp-srv/business/enron/4.html> )

Associated Press. (2004, March 5). Summary of Case against Martha Stewart. Retrieved March 13, 2004 from the World Wide Web: <http://www.finacne.lycos.com/96/news/story.aspx?>

Squeo, A. M., & Lunsford, J. L. (2003, December 21). Boeing Execs and Their Cozy Pentagon Connection, Washington Post. Retrieved March 13, 2004 from the World Wide Web: [http://seattletimes.nwsourc.com/html/business/technology/2001820296\\_pentagon21.html](http://seattletimes.nwsourc.com/html/business/technology/2001820296_pentagon21.html)

CBS News. (2004, July 15). Abuse of Iraqi POWs by GIs Probed. Retrieved November 12, 2004 from the World Wide Web: [www.cbsnews.com/stories/2004/04/27/60II/main614063.shtml](http://www.cbsnews.com/stories/2004/04/27/60II/main614063.shtml)

DeWan, George. (1994, May 12). Failing Grade For Cheaters, Breaking the Honor Code. Retrieved November 12, 2004 from the World Wide Web:  
[www.newsday.com/other/education/ny-cheaters-conflict,0,656890.story](http://www.newsday.com/other/education/ny-cheaters-conflict,0,656890.story)

Thomas, Cathy. (2003, March 10) The Air Force Academy's Rape Scandal. Retrieved November 12, 2004 from the World Wide Web: [www.time.com/time/magazine/story](http://www.time.com/time/magazine/story)

Kelly, Marjorie. (2003, Fall) Business Ethics: It's a Heckuva Time to be Dropping Business Ethics Course. Retrieved March 13, 2004 from the World Wide Web:  
<http://www.business-ethics.com/BizSchlsDropEthics.htm>

### **Scope**

Sims, Ronald R. (2003). *Ethics and Corporate Social Responsibility: Why Giants Fall*. Westport, CT Praeger`Publisher.

### **Methodology**

Carr, W. and Kemmis, S. (1986) *Becoming Critical. Education, knowledge and action research*, Lewes: Falmer Press.

### **Literature Review**

Merriam-Webster Online Dictionary. (2004). Retrieved November 22, 2004 from the World Wide Web: <http://www.m-w.com/cgi-bin/dictionary?book=Dictionary&va=ethics>

Merriam-Webster Online Dictionary. (2004). Retrieved November 22, 2004 from the World Wide Web: <http://www.m-w.com/cgi-bin/dictionary?va=professionalism>

Perry, W.G. (1999). *Forms of Intellectual and Ethical Development in the College Years: A Scheme*. San Francisco: Jossey-Bass.

Dugan, Robert E. & Herson, Peter. (2004) *Outcomes Assessment in Higher Education*. Westport Connecticut. Libraries Unlimited.

Goodpaster, Kenneth E. (2002) *Blackwell Guide to Business Ethics*. Malden, Massachusetts. Blackwell Publishing.

Hinman Lawrence M. (2003) *Ethics A Pluralistic Approach to Moral Theory*. San Diego: Wadsworth/Thomson Learning.

Kogan, Maurice. (1989) *Evaluating Higher Education*. London. Jessica Kingsley Publishers Ltd.

Reynolds, John I. (1978). "There's a Method in Cases", *Academy of Management Review*, Vol. 3, No. 1, January

Toner, James H. (1995) *True Faith and Allegiance the Burden of Military Ethics*. Lexington: The University Press of Kentucky,

Wakin, Malham M. (2000) *Integrity First Reflection of a Military Philosopher*. Lanham, Maryland. Lexington Books.

McFarland, K.P., & Stansell, J.C. (1993). Historical perspectives. In L. Patterson, C.M. Santa, C.G. Short, & K. Smith (Eds.), *Teachers are researchers: Reflection and action*. Newark, DE: International Reading Association.

Noffke, S.E., & Stevenson, R.B. (Eds.). (1995). *Educational action research: Becoming practically critical*. New York: Teachers College Press.

Reason, Peter & Bradbury, Hilary. (2001) *Handbook of Action Research*. Thousand Oaks, CA. Sage Publications.

Marrow, Alfred, J. (1969) *The Practical Theorist*. New York, NY. Basic Books Inc.

Borg, W. (1981). *Applying educational research: A practical guide for teachers*. New York: Longman.

## **Data**

Marchese, Ted. (1995). Sinclair Community College. Program Outcome Reports. Retrieved November 5, 2004 from the World Wide Web:

<http://www.sinclair.edu/about/assessment/reports/index.cfm>

Ethics & Policy Integration Center. (2004). Measures for Corporate Responsibility Program Effectiveness. Retrieved November 3, 2004 from the World Wide Web: [http://www.ethics-](http://www.ethics-policy.org/Measures_Business_Ethics_Program_Effectiveness.htm)

[policy.org/Measures\\_Business\\_Ethics\\_Program\\_Effectiveness.htm](http://www.ethics-policy.org/Measures_Business_Ethics_Program_Effectiveness.htm)

## **United States Naval Academy**

Lucas, George R. (2004) *Chief Warrant Officer Hugh W. Thompson at My Lai*, Rubel and Lucas: Pearson Press.

Rubel, R. and Lucas, G (2004) *Case Studies in Military Ethics*: Pearson Press.

Rubel, R. and Lucas, G (2004) *Ethics and the Military Profession: The Moral Foundations of Leadership*: Pearson Press



R. Rubel, CAPT, USN (Ret), USNA Ethics Director: Distinguished Military Professor of Ethics, U.S. Naval Academy, phone interview, : 29 October, 2004

Rubel, R. (rubel@usna.edu). (2004, Jul. 21). From Student at Naval Postgraduate School. E-mail to LCDR Lee Weber. ([lhweber@nps.edu](mailto:lhweber@nps.edu)).

United States Naval Academy. (2004). About USNA \_Retrieved Sept 15th, 2004 from the World Wide Web: <http://www.usna.edu/about.htm>

Clark, H. H. (1996). *Using language*. Cambridge: Cambridge University Press.

Gabel, D. (1995). NARST President's Speech. Presented at the annual meeting of the National Association for Research in Science Teaching, San Francisco, CA.

Hopkins, D. (1985). *A teacher's guide to classroom research*. Philadelphia: Open University Press.

Kemmis, S., & McTaggart, R. (Eds.). (1990b). *The action research reader*. Victoria: Deakin University.

McCutcheon, G. & Jung, B. (1990). Alternative perspectives on action research. *Theory into Practice* 29 (3): 144-151

### **United States Military Academy**

Jones, D ([David.Jones2@usma.edu](mailto:David.Jones2@usma.edu)). (2004 Aug 21) USMA's Values Education Curriculum. E-mail to Lee Weber. ([lhweber@nps.edu](mailto:lhweber@nps.edu))

D. Jones, LTC, USA, Values Education Officer, United States Military Academy, phone interview, : 28 August, 2004

United States Military Academy. (2004). About the Academy Retrieved August 11th, 2004 from the World Wide Web: <http://www.usma.edu/about.asp>

### **United States Air Force Academy**

USAFA (2004) U.S. Air Force Academy. Retrieved August 6, 2004 from the World Wide Web: <http://www.usafa.af.mil/>

### **United States Merchant Marine Academy**

Gaebelein, T ([GaebeleinT@USMMA.EDU](mailto:GaebeleinT@USMMA.EDU)). (2004 OCT 06) Re: From Student at Naval Postgrad school. E-mail to Lee Weber ([lhweber@nps.edu](mailto:lhweber@nps.edu))

United States Merchant Marine Academy. (2004). About USMMA. Retrieved July.16, 2004 from the World Wide Web: <http://www.usmma.edu/about/default.htm>

### **United States Coast Guard Academy**

United States Coast Guard Academy. (2004). Academy History. Retrieved October 5, 2004. from the World Wide Web:

<http://www.cga.edu/about/academyhistory/academyhistory.htm>

United States Coast Guard Academy. (2004). About the Academy. Retrieved October 5, 2004. from the World Wide Web: <http://www.cga.edu/about/about.htm>

United States Coast Guard Academy. (2004). Honor Concept. Retrieved October 5, 2004. from the World Wide Web:

<http://www.cga.edu/cadetlife/commandantofcadetswelcome/thehonorconcept.htm>

### **Norwich University**

W. Wicks, Reverend, University Chaplain/Honor Committee Advisor, Norwich University, Phone interview, : 10 November, 2004

Wicks, W (chaplain@norwich.edu). (2004 May 25th) Re: From LCDR Lee Weber. E-mail to Lee Weber (lhweber@nps.edu).

Norwich University. (2004). About Norwich University. Retrieved October 10, 2004 from the World Wide Web: <http://www.norwich.edu/about/index.html>

### **University of Virginia Naval Reserve Officer Training Corps**

NROTC. (2004). Program Mission. Retrieved July 23, 2004 from the World Wide Web: [https://www.nrotc.navy.mil/program\\_mission.cfm](https://www.nrotc.navy.mil/program_mission.cfm)

NROTC. (2004). NROTC History. Retrieved October 10, 2004 from the World Wide Web: [https://www.nrotc.navy.mil/history\\_nrotc.cfm](https://www.nrotc.navy.mil/history_nrotc.cfm)

University of Virginia. (2004). Course Offering Directory: Navy ROTC. Retrieved from the World Wide Web: <http://etg08.itc.virginia.edu/cod.pages/20041/AMI/NASC.html#NASC>

### **NSCS**

Lockney, Dave. Naval Supply Corps School Ethics Instructor, Phone interview: 10 July 2004

Naval Supply Systems Command. (2004). Supply Corps officers, Retrieved November 4, 2004 from the World Wide Web: [http://www.navsup.navy.mil/npisupply\\_corps/officers/index.jsp](http://www.navsup.navy.mil/npisupply_corps/officers/index.jsp)

Navy Supply Corps School. (2004). Guiding Principles, Retrieved November 4, 2004 from the World Wide Web: <https://www.nscs.cnet.navy.mil/welcome2.asp?ID=2>

Navy Supply Corps School. (2004). Mission Statement, Retrieved November 4, 2004 from the World Wide Web: <https://www.nscs.cnet.navy.mil/welcome2.asp?ID=3>

Navy Supply Corps School. (2004). Vision, Retrieved November 4, 2004 from the World Wide Web: <https://www.nscs.cnet.navy.mil/welcome2.asp?ID=1>

Blanchard, Kenneth & Peale, Norman V. (1988). *The Power of Ethical Management*. Blanchard Family Publishing.

Meyer, David C. (1999). *The Navy Supply Corps Code of Professional Responsibility*. Retrieved November 12, 2004 from the World Wide Web: <http://www.navsup.navy.mil/npi/lintest/julaug99web/proresp.htm>

## **AWC**

Toner, James H. Professor of International Relations and Military Ethics in the Department of Leadership and Ethics at the Air War College (AWC), Phone interview: 10 July 2004

Elder, Robert J. Jr. (2004). *Commandant's Welcome*. Air War College United States Air Force. Retrieved October 15, 2004 from the World Wide Web: <http://www.au.af.mil/au/awc/welcomes/welcome.htm>

Elder, Robert J. Jr. (2004). Air University Catalogue, Retrieved October 12, 2004 from the World Wide Web: [http://www.au.af.mil/au/au\\_catalog/awc.pdf](http://www.au.af.mil/au/au_catalog/awc.pdf)

## **USAWC**

Major General David H. Huntoon, Jr. (2004). U.S. Army War College, Retrieved October 27, 2004 From the World Wide Web: <http://carlisle-www.army.mil/stratplan.asp>

U. S. Army War College. (2004). Mission Statement, Retrieved October 27, 2004 from the World Wide Web: <http://carlisle-www.army.mil/stratplan.asp#mission>

Department of Army USAWC Carlisle Barracks. (2004). *Personnel Evaluation USAWC Student Academic Assessment and Evaluation Resident And Distance Education Programs*. Retrieved October 26, 2004 from the World Wide Web: <Http://Carlisle-Www.Army.Mil/Usawc/Daa/Pdfs/Usawcstudentacademicassessmentsystem.Pdf>

## **Naval War College**

Grassey, Thomas, Naval War College Ethics Director, Naval War College, Phone interview: 11 August 2004

Naval War College History (2004). About the Naval War College. Retrieved November, 7, 2004 from the World Wide Web: <http://www.nwc.navy.mil/11/History.htm>

Naval War College Mission Statement (2004) Mission of NWC Retrieved November 7, 2004 from the World Wide Web: <http://www.nwc.navy.mil/L1/missionstate.htm>

Naval War College Electives (2004). NWC Electives Retrieved November 8, 2004 from the World Wide Web: <http://www.nwc.navy.mil/electives/elec-dsc.htm>

Naval War College Student Survey (2004). NWC Surveys. Retrieved November 8, 2004 from the World Wide Web:

[https://nwcportal.nwc.navy.mil/surveys/sp\\_eoc\\_cncs\\_200407.htm](https://nwcportal.nwc.navy.mil/surveys/sp_eoc_cncs_200407.htm)

## **Officer Candidate School**

Officer Candidate School Mission (2004). OCS Mission., Retrieved November, 10 2004 from the World Wide Web: <http://www.nsgreatlakes.navy.mil/otcp/>

## **Naval Aviation Schools Command**

Aviation Preflight Indoctrination Mission, Welcome Aboard Packet, Retrieved December 3, 2004 from the World Wide Web:  
[https://www.cnet.navy.mil/nascweb/welcome\\_ aboard\\_ packet.doc](https://www.cnet.navy.mil/nascweb/welcome_ aboard_ packet.doc)

## INITIAL DISTRIBUTION LIST

1. Defense Technical Information Center  
Ft. Belvoir, Virginia
2. Dudley Knox Library  
Naval Postgraduate School  
Monterey, California
3. Captain Richard Rubel  
US Naval Academy  
Annapolis, Maryland
4. Thomas B. Grasseley PhD.  
Naval War College  
Newport, Rhode Island
5. Leslie Sekerka PhD.  
Naval Postgraduate School  
Monterey, California
6. Phil Candreva  
Naval Postgraduate School  
Monterey, California