

# NAVAL RESERVE OFFICERS TRAINING CORPS

## LEADERSHIP AND MANAGEMENT



CNET P1550/11 (REV. 08-00)

**CHIEF OF NAVAL EDUCATION AND TRAINING**

SF 080011

## TABLE OF CONTENTS

	<u>Page</u>
Table of Contents .....	ii
Record of Changes .....	iii
Letter of Promulgation .....	iv
Definition of Measurement Terms .....	v
Professional Core Competency Objectives .....	vi
List of Lesson Topics .....	ix
List of Assigned Readings .....	x
List of Instructional Aids .....	xv
Bibliography .....	xvii
Recommendations for the Instructor .....	xix
Lesson Guides.....	1-251



**LETTER OF PROMULGATION**

The curriculum guide for *Leadership and Management* provides the basis for the development of effective leadership and managerial competence. It is designed to be taught by experienced commissioned officers of the U.S. Navy and Marine Corps. Units are encouraged to optimize their resources at the university and invite experts in various fields as guest speakers whenever possible. Such faculty members should at least be sought for guest lectures in appropriate areas of the course. As a basis for the development of lesson plans, the lesson guides contained herein provide the instructor with a listing of available reference and training aid resources, suggested instructional techniques, and the minimum baseline for student competencies. With the differing number of contact hours at the NROTC institutions, instructors should design their lesson plans to encompass the maximum breadth of instruction feasible, while ensuring that the minimum competencies are attained.

This course, Leadership and Management, is approved for implementation upon receipt. The curriculum guide for Leadership and Management, CNET P1550/11 (Rev. 4-96), is hereby canceled and superseded.



---

D. L. CAIN  
Captain, U.S. Navy  
Head, Professional Development  
Officer Training & Education  
Division, CNET

Date:

8/23/00

## DEFINITION OF MEASUREMENT TERMS

**I. Know - Recall facts, bring to mind the appropriate material, recognize knowledge.**

Examples: Know the objectives of damage control aboard ship.

Know the safety precautions used to provide the fullest measure of safe small boat operations.

**II. Comprehend - Interpret principles and concepts and relate them to new situations.**

Examples: Comprehend the mission of the U.S. Navy and the U.S. Marine Corps.

Comprehend the concepts of internal forces (e.g., stress, strain, shear, etc.).

**III. Apply - Utilize knowledge and comprehension of specific facts in new relationships with other facts, theories, and principles.**

Examples: Apply correct plotting procedures when navigating in pilot waters.

Apply correct procedures to determine times of sunrise and sunset.

**IV. Demonstrate - Show evidence of ability in performing a task.**

Examples: Demonstrate third-class swimming skills and fundamental water survival skills.

Demonstrate the correct procedure used in radio-telephone communications.

## PROFESSIONAL CORE COMPETENCY OBJECTIVES

The following Professional Core Competency Objectives for this course are taken from the Professional Core Competency Manual for Officer Accession Programs promulgated in 1996.

Items marked in ( ) correspond to chapters from the Leadership and Management textbook.

**1. The student will comprehend the interrelationship between authority, responsibility, and accountability within a task-oriented organization.**

(Chapter 7)

**2. The student will apply leadership and management skills to prioritize among competing demands.**

(Chapter 6)

a. The student will demonstrate the ability to establish meaningful goals and objectives.

(Chapter 6)

b. The student will apply techniques of prioritization and time management to resources and personnel.

(Chapter 6)

**3. The student will apply leadership skills to achieve mission objectives through groups.**

(Chapter 19)

a. The student will comprehend the difference between formal and informal groups.

(Chapter 19)

b. The student will comprehend the contribution of the formal group organization and standard procedures to mission accomplishment.

(Chapter 19)

c. The student will apply leadership and management skills to design work groups based on task requirements, group capability, and available resources.

(Chapter 19)

d. The student will apply techniques and skills to measure organizational effectiveness by establishing qualitative and quantitative performance standards.

(Chapter 10)

- 4. The student will comprehend the importance of planning and follow-up to mission accomplishment.**  
(Chapter 6)
  - a. The student will comprehend the importance of planning and forecasting.  
(Chapter 6)
  - b. The student will comprehend the relationship between goal setting and feedback and apply this understanding to the establishment of control systems.  
(Chapter 10)
  - c. The student will know the important reasons for development of and constant reevaluation of alternatives in decision-making.  
(Chapter 2)
  - d. The student will comprehend major reasons why change is resisted in organizations.  
(Chapter 8)
  - e. The student will comprehend specific techniques that may be used to bring about change in organizations.  
(Chapter 8)
- 5. The student will comprehend the moral and ethical responsibilities of the military leader.**  
(Chapter 17)
- 6. The student will know the types of, and importance of, communication within the military.**  
(Chapter 13, 16)
  - a. The student will comprehend the communications process.  
(Chapter 13)
  - b. The student will comprehend the major causes of communication breakdowns. (Chapter 13)
  - c. The student will demonstrate effective oral and written communication. (Chapter 16)
- 7. The student will demonstrate an understanding of basic counseling skills.**  
(Chapter 21)
  - a. The student will comprehend the importance of feedback to mission effectiveness.  
(Chapter 14)

- b. The student will comprehend the various motivational techniques which may be useful in leadership situations.  
(Chapter 22, 23)
  - c. The student will apply counseling skills to performance evaluation debriefing.  
(Chapter 21)
- 8. The student will comprehend the following personal qualities and be able to relate them to a leader's effectiveness:**  
(Chapters 1, 4, 17)
- a. Loyalty
  - b. Honor
  - c. Integrity
  - d. Courage (moral and physical)
- 9. The student will demonstrate an understanding of the basic principles of Total Quality Leadership (TQL).**  
(Chapter 10)
- 10. The student will comprehend the relationship of Core Values to the role and responsibility of a naval leader.**  
(Chapter 17)

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT  
List of Lesson Topics**

<b>Course Introduction</b>	
0. Course Introduction	1.0
1. Introduction to the Study of Leadership	1.0
2. The Changing Paradigm of Management	1.0
3. From Management to Leadership	1.0
<b>Leadership and Management in Organizations</b>	
4. Leadership in Organizations	1.0
5. Developing Leadership Vision	1.0
6. Planning for Mission Accomplishment	1.0
7. Chain of Command and Leadership Triad	1.0
8. Change and Development	1.0
9. Transactional & Transformational Leadership	1.0
10. Foundations of Control	1.0
<b>Interactional Framework: The Leader</b>	
*11. Personality and Reflection as a Leadership Tool	1.0
*12. The Power of Perception	1.0
*13. Leadership Communication	1.0
*14. Assertiveness and Feedback	1.0
15. <i>Case Study: USS VINCENNES or USS SARATOGA</i>	1.0
16. Briefing Techniques/Oral Presentations	4.0
<b>Interactional Framework: The Follower</b>	
*17. Moral Leadership and Navy Core Values	1.0
18. Followership	1.0
*19. Groups and Teams	1.0
20. <i>Case Study: USS GUITARRO or USS LEYTE GULF</i>	1.0
21. Performance Counseling	1.0
*22. Motivation and Performance: Need Theory	1.0
*23. Motivation and Performance: Situation Theory	1.0
24. <i>Case Study: USS SAMUEL B. ROBERTS or USS STARK</i>	1.0
25. <u>Crimson Tide</u> or <u>Twelve Angry Men</u>	3.0
<b>Interactional Framework: The Situation</b>	
*26. Characteristics of the Situation	1.0
27. Organizational Culture and Command Climate	1.0
*28. Stress and Leadership	1.0
29. Combat Leadership	1.0
30. <i>Case Study: D-DAY or BLACK HAWK DOWN</i>	1.0
31. <u>Twelve O'clock High</u>	4.0
Total Hours	40.0

\* Indicates Lessons Recommended for Student Facilitation

## List of Assigned Readings

### ***Course Introduction***

#### **Chapter 1: Introduction to the Study of Leadership**

The Importance of Learning Leadership

DAFT

Myths That Hinder Leadership Development

HUGHES, GINNETT AND CURPHY

Looking at Leadership Through Several Lenses

HUGHES, GINNETT AND CURPHY

#### **Chapter 2: The Changing Paradigm of Management**

The Changing Paradigm of Management

DAFT

Decision Making: The Essence of a Manager's Job

ROBBINS AND COULTER

#### **Chapter 3: From Management to Leadership**

From Management to Leadership

DAFT

### ***Leadership and Management in Organizations***

#### **Chapter 4: Leadership in Organizations**

Leadership in Organizations

DAFT

#### **Chapter 5: Developing Leadership Vision**

Developing a Vision

YUKL

Visionary Leadership

SASHKIN

#### **Chapter 6: Planning for Mission Accomplishment**

Organizational Planning and Goal Setting

DAFT

Desert Fox: The Third Night

ROBERTS

#### **Chapter 7: The Chain of Command and Leadership Triad**

Hobson's Choice: Responsibility and Accountability

THE WALL STREET JOURNAL

Key Points To Consider

HALL

Delegation

YUKL

**Chapter 8: Change and Development**

Change and Development

DAFT

New Leadership for Learning Organizations

DAFT

Network-Centric Warfare: Its Origin and Future

CEBROWSKI, GARSTKA

**Chapter 9: Transactional and Transformational Leadership**

From Transactional to Transformational Leadership:

Learning to Share the Vision

BASS

Understanding and Applying Transformational Leadership

DONOHUE, WONG

**Chapter 10: Foundations of Control**

Foundations of Control

ROBBINS AND COULTER

The Agenda - Grassroots Leadership aboard USS Benfold

LABARRE

***Interactional Framework, The Leader***

**Chapter 11: Personality and Reflection as a Leadership Tool**

Personality

DUBRIN

Looking at Yourself: The Importance of Introspection

SMITH

From *Incredible Victory*

LORD

**Chapter 12: The Power of Perception**

Perception and Observation

HUGHES, GINNETT AND CURPHY

Professionals in Authority:

Drill Sergeants in U.S. Army Basic Training

FARIS

**Chapter 13: Leadership Communication**

Introduction to Theories of Active Listening

FRITZ, BROWN, LUNDE AND BANSEL

Introduction to Nonverbal Communication

FRITZ, BROWN, LUNDE AND BANSEL

**Chapter 14: Assertiveness and Feedback**

Assertiveness

HUGHES, GINNETT AND CURPHY

**Chapter 15: Case Studies:**

USS SARATOGA (CV-60) AND TCG MUAVENET

*or*

USS VINCENNES (CG-49) AND IRANIAN AIR FLIGHT 655

**Chapter 16: Briefing Techniques and Oral Presentations**

Briefing Skills

HAYWARD

***Interactional Framework, The Followers***

**Chapter 17: Moral Leadership and Navy Core Values**

Courage and Moral Leadership

DAFT

Navy Core Values Charter

Core Value Applications

Colonel John Walter Ripley

TURLEY

**Chapter 18: Followership**

Followership

DAFT

*From A Message to Garcia*

HUBBARD

**Chapter 19: Groups and Teams**

Understanding Groups and Teams

ROBBINS AND COULTER

**Chapter 20: Case Studies**

The Sinking of USS GUITARRO (SSN-665)

*or*

USS Leyte Gulf (CG-55) and USS Theodore Roosevelt (CVN-71)

**Chapter 21: Performance Counseling**

Conducting a Performance Appraisal Interview

BEER

**Chapter 22: Motivation and Performance: Need Theory**

A Theory of Human Motivation

MASLOW

Putting Marines Through a 'Crucible'

PERRY

**Chapter 23: Motivation and Performance: Situation Theory**

One More Time: How Do You Motivate Employees?

HERZBERG

A Kick in the Butt Isn't the Answer

JOLLEY

**Chapter 24: Case Studies**

The Mining of USS Samuel B. Roberts (FFG-58)

*or*

The Stark Report

VLAHOS

Under Fire

LEVINSON AND EDWARDS

**Chapter 25: Film Case Study**

Film Leadership Case: Crimson Tide

INSINGA

*or*

Film Leadership Case: Twelve Angry Men

HARRIS AND BROWN

***Interactional Framework, The Situation***

**Chapter 26: Characteristics of The Situation**

Characteristics of The Situation

HUGHES, GINNETT AND CURPHY

The Perfect Storm

JUNGER

**Chapter 27: Organizational Culture and Command Climate**

Defining Organizational Culture

SCHEIN

Leaders, Managers, and Command Climate

ULMER

**Chapter 28: Stress and Leadership**

Stress and Leadership

BASS

The Endurance

ALEXANDER

**Chapter 29: Combat Leadership**

Why Men Fight

MARSHALL

On Heroes and Heroism

STOCKDALE

**Chapter 30: Case Studies**

D-Day: "A Long, Endless Column of Ships"

AMBROSE

*or*

Black Hawk Down

BOWDEN

## **Chapter 31: Film Case Study**

Film Leadership Case: **Twelve O'clock High**

### **Appendix: Discussion, Facilitation, and Peer Learning**

Facilitating Discussion: Posing Problems, Listening,  
Questioning

McKEACHIE

Peer Learning, Collaborative Learning, Cooperative  
Learning

McKEACHIE

## LIST OF INSTRUCTIONAL AIDS

### I. Videos

- A. The following CNET-funded videos are part of the curriculum and may be obtained through the Navy Media Library at (757) 444-4011, fax (757) 492-6587, or [donna.kerley@cnet.navy.mil](mailto:donna.kerley@cnet.navy.mil):
1. Crimson Tide, 1995 (ASIN: 6303696813)
  2. Twelve Angry Men, 1957 (ASIN: 6301976061)
  3. Twelve O'Clock High, 1949 (ASIN: 6300247090)
- B. The following videos are additional resources that the instructor may find useful; however, they are not provided through CNET funding. Limited quantities of those marked by an asterisk are available through the Navy Media Library; the others may be available at university libraries or purchased by the unit through a commercial vendor.
1. The Power of Vision
  2. \*Change Masters I (#805685)
  3. \*Seven Minutes That Stunned The Navy (#NO443-97-0004)
  4. The Abilene Paradox
  5. Building High Performing Teams
  6. \*The Deming of America (#611598)
  7. Meetings, Bloody Meetings
- C. Most universities have video libraries or audiovisual organizations which can provide current, topical films to units at no cost. Consult with your university's film librarian to locate additional films to support lesson plans.
- D. A wide variety of Department of Defense (DOD) materials are available through the Defense Automated Visual Information System/Defense Instructional Technology Information System (DAVIS/DITIS) website at <http://dodimagery.afis.osd.mil>. This site contains listings and descriptions of thousands of audiovisual productions/videotapes and interactive multimedia instruction products used by DOD.
- E. The Hartwick Classic Film Leadership Cases website offers leadership case studies on a variety of films, including Crimson Tide, Twelve Angry Men, and Twelve O'Clock High, which are included in this course, and

others, such as Apollo 13, Hunt for Red October, Glory, and Gettysburg. Full sample case studies are available free of charge. Information can be located at:  
<http://www.hartwick.edu/hhmi/caselistings.htm>.

## II. Additional Readings and Exercises

- A. Additional Leadership readings may be found on the Naval Institute's "Proceedings" web page:

<http://www.usni.org/cgi-bin/SoftCart.exe/Proceedings/PROindex.htm?L+press+eixi9942+953066938>

- B. Current events with a Department of Defense perspective are available online at <http://ebird.dtic.mil>. The Early Bird provides full text information from newspapers, magazines, and trade journals on the very latest military developments.

- C. CNET offers a Navy Leader's Planning Guide Index page: [http://www.cnet.navy.mil/cnet/nlpg/nlpg\\_index.html](http://www.cnet.navy.mil/cnet/nlpg/nlpg_index.html). Included on this site are monthly Navy Leader's Planning Guide Calendars, the Navy's Core Value Charter, Fitrep/Eval/Counseling Planning Calendars, Elements of Leadership, Naval Leaders' Suggested Reading List, and other useful information.

- D. Additional leadership and management exercises can be found on the Internet. These sites are often designed for civilians, but the exercises can be modified to meet your needs. The Developing Management Skill Surveys found on the University of Houston's (Clear Lake) website are very useful. Survey topics include: Personal Assessment of Management Skills, Diagnostic Survey for Self Awareness, Stress Management, Problem Solving and Creativity, Communicating Supportively, Gaining Power and Influence, Diagnostic Surveys for Motivating Others, Managing Interpersonal Conflict, Effective Empowerment and Delegation, and Team Development Behaviors. These resources are available at: <http://www.cl.uh.edu/edu/awl/survey/surveys.html>

## III. Devices

- A. IBM Compatible PC with Microsoft Office and PowerPoint  
B. VHS Videocassette Player/Monitor  
C. Overhead Projector

## BIBLIOGRAPHY

### I. Texts (1 per student, 1 per instructor)

Leadership and Management. Thomas J. Carlson, LT, USN.  
Boston, MA: Pearson Custom Publishing, 2000. (ISBN 0-536-60662-5)

### II. References (1 per instructor)

Leadership: Theory and Practice. Richard L. Daft. New York, NY: The Dryden Press, Harcourt Brace College Publishers, 1999. (ISBN 0-03-022417-9)

Leadership: Theory and Practice Instructors' Manual, with Test Bank and Transparency Masters. Richard L. Daft. New York, NY: The Dryden Press, Harcourt Brace College Publishers, 1999. (ISBN 0-03-021742-3)

Management, 5<sup>th</sup> ed., with accompanying "Discovering Your Management Career" CD-ROM. Richard L. Daft. New York, NY: The Dryden Press, Harcourt Brace College Publishers, 2000. (ISBN 0-03-025967-3)

Management Instructor's Manual, 5<sup>th</sup> ed., with accompanying PowerPoint CD-ROM. Richard L. Daft. New York, NY: The Dryden Press, Harcourt Brace College Publishers, 2000. (ISBN 0-03-026506-1)

Leadership Instructor's Manual, with Test Bank and Transparency Masters, 3<sup>rd</sup> ed. Robert L. Hughes, Robert C. Ginnett, and Gordon Curphy. New York, NY: Irwin McGraw-Hill, 1999. (ISBN 0-07-303691-9)

Crimson Tide Teaching Note. Hartwick Classic Film Leadership Case #F-274-TN. Oneonta, NY: The Hartwick Humanities in Management Institute, 1998.

Twelve Angry Men Teaching Note. Hartwick Classic Film Leadership Case #F-499-TN. Oneonta, NY: The Hartwick Humanities in Management Institute, 1996.

Twelve O'clock High Teaching Note. Hartwick Classic Film Leadership Case #F-663-TN. Oneonta, NY: The Hartwick Humanities in Management Institute, 1996.

Naval Institute Guide to Naval Writing. Robert Schenk. Annapolis, MD: Naval Institute Press, 1997. (ISBN: 1-55-750831-3)

Teaching Tips, 10<sup>th</sup> ed. Wilbert J. McKeachie. Boston, MA:  
Houghton Mifflin Company, 1999. (ISBN: 0-395-90345-9)

## RECOMMENDATIONS FOR THE INSTRUCTOR

### I. Course Theme

A. This is the first of two core leadership courses that provide the academic foundation of the four-year continuum of leadership development in NROTC. This course builds on the leadership concepts the midshipmen studied in Introduction to Naval Science, which examined leadership from a *values approach* (Naval Service Core Values) and *skills approach* (basic leadership qualities and followership).

B. *Leadership and Management* takes a *process approach*, defining leadership and management as follows:

*Leadership is an influence relationship among leaders and followers who intend real changes that reflect their shared purpose.*

*Management is the attainment of organizational goals in an effective and efficient manner through planning, organizing, leading, and controlling organizational resources.*

Although the terms leadership and management are often used interchangeably, they are not the same thing. The challenge midshipmen face is to balance both leadership and management in their role as junior officers in the fleet and FMF. Leadership cannot replace management; it should be in addition to management.

C. This course stresses learner-centered processes, such as collaboration, experiential exercises, reflective writing and group discussion. After an overview of *Leadership And Management Theory In Organizations*, we use this learning system to examine the leadership process in context of the dynamic interaction of *The Leader, The Followers, and The Situation*.

Case study discussions are sequenced throughout the course to illustrate the relevance of key concepts presented in preceding sessions and relate these ideas to the Fleet. Midshipmen will find that the lessons learned also have an immediate application to the leadership environment and experiences in the NROTC Battalion.

D. The content and structure of *Leadership and Management* are a direct result of input from previous students and

instructors and coordination with the Department of Leadership, Ethics, and Law at the United States Naval Academy.

The course includes key concepts from various fields in leadership, management, the behavioral sciences, and information that comes straight from the Fleet. Our theory to application model provides a scholarly framework complemented by direct deckplate application in each session. Our custom textbook includes classic readings by prominent thinkers from numerous academic disciplines, as well as thoughts from great military leaders like Vice Admiral James B. Stockdale, General Walt Ulmer, General S.L.A. Marshall and Major General Perry Smith.

- E. This course is designed to arm midshipmen with an understanding of the fundamental theoretical concepts of leadership and management, and to give our students a set of practical leadership tools that can be derived from the theoretical concepts. In a very real sense, this is a laboratory course - the laboratory sessions just happen outside the normal academic schedule and in the Battalion instead of an academic building. The value this course has for the midshipmen will be determined by whether they put into action what they learn in the classroom.

## II. **Course Instructor's Guide and PowerPoint Presentations**

- A. The course curriculum guide has been developed to provide instructors with a theoretical overview of each lesson. Provided in each lesson are Reading Objectives and Discussion Objectives.
  - 1. Reading Objectives include all objectives the student should cover for each lesson.
  - 2. The Discussion Objectives provide direction for what is recommended to be covered in the course of a 50-minute lesson.
- B. PowerPoint presentations have been constructed for your use and modification. Each lesson has two different formats available as indicated below. They are available for download from the UC Berkeley NROTC homepage at: <http://navsci.berkeley.edu>.
  - 1. PowerPoint Reading presentation: Includes a presentation on all lesson objectives.

2. PowerPoint Class presentation: Includes a presentation on the discussion objectives and in-class exercise.

### III. **Student Facilitation**

- A. The course is designed around student-facilitated discussions. Further information is contained on page xxxv of this document.
- B. Lessons recommended for student facilitation are indicated by an "\*" on the List of Lesson Topics, page ix of this document.
- C. Student Facilitation is a very useful method for involving the students in the learning process. However, not all instructors are comfortable with this method. Use your best judgment in determining whether this method will work for you.

### III. **Guest Lectures**

This course is expected to be taught as an introductory leadership and management course. Virtually every NROTC campus has a program, department, or even college that contains faculty expertise in this area. Instructors should take advantage of the commonality of interest inherent in this subject matter and interact with these colleagues. Exploring the possibility of having distinguished faculty present guest lectures is highly desirable. These faculty members should be seen as expert sources of advice on the subject matter, on instruction, and on resources. Be sure to explore thoroughly the on-campus availability of texts, periodicals, journals, and video/audio tapes supporting leadership and management instruction.

### IV. **Digging Beneath the Surface**

Instructors who are assigned to teach this course are encouraged to take for credit or at least audit graduate-level courses in the subject matter area. Not only will this broaden your intellectual horizons, but it will also deepen your understanding of leadership and management as an academic discipline. In addition, the Chief of Naval Education and Training has provided you with an excellent set of references and instructional aids.

### V. **Additional Resources**

In addition to the materials provided by CNET, there are a number of additional resources available to make the course more meaningful to your students. Avoid lecturing straight from the text. Motivate your students by incorporating discussions, experiential exercises, and case studies into your class presentations. Use outside videos and articles. Be alert for current news articles or issues that address topics discussed in class.

## VI. **Final Notes**

- A. As you develop or find additional exercises, cases, aids, etc., that prove effective for your class, pass them along to the Course Coordinator for distribution to *Leadership and Management* instructors and to assist in future revisions and improvements to this curriculum.
- B. Use your campus libraries. If certain items which you want and need are not available, discuss the matter with the librarians and faculty colleagues.
- C. Use your Navy/Marine experiences to amplify and reinforce your course lectures, thus significantly enhancing the applicability to the midshipmen.
- D. Fully explore and use the resources identified in the lesson guides.
- E. Take advantage of the student creative component, in the form of written and verbal exercises, that is included in the course. Not only will such exercises broaden and deepen the learning experience, but they will also enhance the building of two of the most important officer skills -- writing and public speaking. Along with exercises already built into the course, suggested assignments include one or more of the following:
  - 1. Written case analysis
  - 2. Impromptu briefs
  - 3. Term paper
  - 4. Critical book analysis
  - 5. Written article briefs
- F. Ensure that you provide a complete course syllabus to students at the first class meeting. State the lesson sequence, assignments, details on the student creative component, test dates and types, attendance policy,

grading scales, and other information you want the students to know. Also, consult campus policies about the preparation of syllabi.

## Useful Items for Students

- I. Useful items for students include the following materials:
  - A. Course Welcome Letter
  - B. Course Policy Statement
  - C. Format for Short Papers
  - D. Recommended Short Paper Topics
  - E. *Leadership and Management* Course Project
  - F. Student Facilitation
  - G. Tips for Facilitation
- II. These resources are provided for your benefit. Instructors always have the right to modify their courses to meet the needs of their university. In no way does CNET mandate the use of the following items or require you to use the grading scales and topics included.

## Course Welcome Letter

This is the first of two core leadership courses that provide the academic foundation of the four-year continuum of leadership development in NROTC. This course builds on the leadership concepts the midshipmen studied in *Introduction to Naval Science*, which examined leadership from a *values approach* (Naval Service Core Values) and *skills approach* (basic leadership qualities and followership).

*Leadership and Management* takes a *process approach*, defining leadership and management as follows:

*Leadership is an influence relationship among leaders and followers who intend real changes that reflect their shared purpose.*

*Management is the attainment of organizational goals in an effective and efficient manner through planning, organizing, leading, and controlling organizational resources.*

Although the terms leadership and management are often used interchangeably, they are not the same thing. The challenge midshipmen face is to balance both leadership and management in their role as junior officers in the fleet and FMF. Leadership cannot replace management; it should be in addition to management.

This course stresses learner-centered processes, such as collaboration, experiential exercises, reflective writing and group discussion. After an overview of *Leadership And Management Theory In Organizations*, we use this learning system to examine the leadership process in context of the dynamic interaction of *The Leader, The Followers, and The Situation*.

Case study discussions are sequenced throughout the course to illustrate the relevance of key concepts presented in preceding sessions and relate these ideas to the Fleet. Midshipmen will find that the lessons learned also have an immediate application to the leadership environment and experiences in the NROTC Battalion.

The content and structure of *Leadership and Management* are a direct result of input from previous students and instructors. The course includes key concepts from various fields in leadership, management, the behavioral sciences, and information that comes straight from the Fleet. Our theory to application model provides a scholarly framework complemented by direct deckplate application in each session. Our custom textbook

includes classic readings by prominent thinkers from numerous academic disciplines, as well as thoughts from great military leaders like Vice Admiral James B. Stockdale, General Walt Ulmer, General S.L.A. Marshall and Major General Perry Smith.

This course is designed to arm midshipmen with an understanding of the fundamental theoretical concepts of leadership and management, and to give our students a set of practical leadership tools that can be derived from the theoretical concepts. In a very real sense, this is a laboratory course -- the laboratory sessions just happen outside the normal academic schedule and in the Battalion instead of an academic building. The value this course has for the midshipmen will be determined by whether they put into action what they learn in the classroom.

## Course Policy Statement

**Purpose:** Welcome! This course requires your leadership, preparation and participation. You and your fellow students will prepare and lead many of the class sessions and your preparation for class is critical in our discussion-based seminar format.

In this course, you will develop your skills in organizational thinking and leadership problem solving. Your text discusses these skills in the context of four categories: *Leadership and Management In Organizations, The Leader, The Followers, and The Situation*. We will examine leadership and management challenges in the context of the interdependence of and interactions between those four perspectives, using historical case studies and your missions in the NROTC Battalion and in the Fleet.

The content of this demanding course in leadership has been designed to develop skills and knowledge that will serve you well in the Fleet and beyond. This is the most challenging and potentially valuable two-credit course you will take in NROTC. If you put little into it, you will get little out of it.

### **Grading Policy:**

Seminar Facilitation	1 <sup>st</sup>	5%
	2 <sup>nd</sup>	10%
Course Project		15%
Midterm Exam		15%
Final Exam		30%
Instructor Input		10%
Three Short Papers		<u>15%</u>
Total		100%

Ensure that you read each session's objectives and complete the assigned reading to prepare for the class session seminars and exercises. You will be evaluated on your application of course concepts during class discussions, seminar facilitations, written assignments, and exams.

Instructor input to your final grade will be quizzes, in-class writing assignments and homework. The assigned readings are fundamental to the course. Failure to regularly participate in class discussions, informally demonstrating proper preparation for class, will result in the loss of one letter grade.

**Course Conduct:** *Leadership and Management* is a discussion-based seminar course. The instructor acts as facilitator in order to ensure discussions include key concepts. Thorough preparation for class, active participation and respect for your classmates' ideas are critical to the success of the course.

**Class Attendance:** Ensure that you receive all materials and notes from missed classes. Try to sit in on other sections if you must miss a class. You and your classmates will discuss a considerable amount of material in each session, and important course themes will carry over from one discussion to the next.

**Writing Assignments:** Submit out-of-class writing assignments in the following format:

Double-spaced on white paper; 12-point Times New Roman type; 1" margins; and labeled with typed name, date, and section number.

Submit in-class writing assignments in neat hand on white paper with your name, date and section number in the top right corner of the page.

## Format for Short Papers

MIDN Your Name  
Section Number  
Date

### Required Format for Short Papers

(title in BOLD, 12-point font, centered)

Three short papers (minimum one page, maximum two pages) are required in this course. They are due in Lesson 5 (on Vision), Lesson 11 (on Personality and Reflection), and Lesson 21 (on Performance Counseling). Specific content requirements will be covered by your instructor. These assignments are to be written in the professional style used in the Fleet<sup>1</sup>, not in the academic style of an essay.

The following specific format requirements apply: Indent paragraphs. Use 12-point Times New Roman font, double-spaced text, with one-inch margins (top, bottom, and both sides). No closing, signature, or "Very respectfully" is needed. *This is an exercise in your ability to follow simple directions.*

Written communication skills are a fundamental requirement for leadership success in the military. Therefore, proper GRAMMAR and PUNCTUATION as well as correct SPELLING are critical. Have someone you trust (friend, roommate, classmate) proofread your papers before you hand them in. Your computer spell-check feature is not enough to prevent errors. Your paper should be a "final product," something you would hand to your future commanding officer. It will represent you, so make sure it is done well.

As a junior officer, your writing will often make the most significant impact on your commanding officer's impression of you, especially in large commands. Ensure your paper has a point and that it makes that point but does not belabor it. You do not have to be brilliant, just express your ideas clearly, concisely, and with impact!

---

<sup>1</sup>Consult *The Naval Institute Guide to Naval Writing*, pp. 22-30, by Robert Shenk, Naval Institute Press, 1997, for specific guidance.

## Recommended Short Paper Topics

### Writing Assignment #1 (Due Lesson 5)

Develop a leadership vision for your battalion next year. Write this vision in the role of Battalion Commander.

### Writing Assignment #2 (Due Lesson 11)

Using the qualities highlighted in the reading for Chapter 11 (Personality and Reflection as a Leadership Tool), write a 1-2 page paper reflecting on your leadership strengths and weaknesses. Include an example of an experience that helped you come to these conclusions and discuss your Personality Type after you have taken the online personality test at <http://www.keirsey.com>.

### Writing Assignment #3 (Due Lesson 21)

Write a 1-2 page paper on performance counseling in the NROTC Battalion.

## **Leadership and Management Course Project**

### **I. Assignment**

You are required to identify a leadership challenge facing junior officers in the Fleet and/or FMF and develop recommendations to address that challenge. The *Leadership and Management* Course Project requires you to apply the course material to a real-world leadership challenge. This is your opportunity to look ahead and prepare yourself for issues you will face following commissioning. You must conduct research and build well-reasoned recommendations which you as a junior officer and your operational command can implement. This assignment contains the following restrictions:

- (1) You must conduct research from credible professional and academic sources which is centered on defining the issue and developing recommendations which are designed to be implemented by junior officers and their operational commands at the unit level (a ship, submarine, squadron, company) without major funding, Congressional action, etc.
- (2) You **MUST** relate, and discuss the application of, relevant syllabus material from *Leadership and Management* to your project topic.
- (3) Topics must focus on the Fleet. NROTC-specific topics will not be approved.
- (4) Project topics which are deemed inappropriate by your Instructor will not be approved.

The Course Project is 15 percent of your final grade.

### **II. Course Project Topics**

Your Instructor may assign or limit project topics as he or she desires. Some possible topic areas include command-level policies and junior officer leadership challenges in:

- (1) Junior Officer Responsibilities for Reducing Attrition or Increasing Retention of Junior Enlisted Personnel
- (2) Suicide Prevention among Junior Enlisted
- (3) Using the Informal Chain of Command to Support the Formal Chain of Command
- (4) Working with Civilian Contractor Personnel Deployed Aboard Ship to Support You

- (5) Coping with the Accidental Death of Junior Personnel While Deployed in Peacetime
- (6) Working in the Field Amidst Forces of Other Nations
- (7) Maintaining Readiness During Extended Peacekeeping Operations
- (8) Dealing with an Indefinite Extension on Station While Deployed
- (9) Preventing or Dealing with Unplanned Pre-deployment Personnel Losses (injury, pregnancy, UA)
- (10) Prevention of Inappropriate Relationships Onboard Ship (fraternization, adultery)
- (11) Prevention of Alcohol Abuse in the Wardroom/in the CPO Mess/among Junior Enlisted
- (12) Changing Your Division/Platoon from a Group to a Team
- (13) Maintaining Unit Cohesion During and Following Change-of-Command
- (14) Supporting Volunteer/Contribution Efforts (CFC, Navy Relief) Without Coercing Participation
- (15) Translation of Successful SPECWAR and USMC Small Unit Communication and Morale Techniques to a Ship/Squadron/Submarine/Navy Division
- (16) Application of Blue-Gold Submarine Crew Practices to Shipboard Duty and Watch Rotations
- (17) Dealing with Surge Operations Right After Returning from a Major Deployment
- (18) Deckplate Pre-deployment Preparations for Ship/Shipmate (subordinates)/Self
- (19) Division Officer Responsibilities for Conquering the "Mid-Deployment Blues" (i.e. entertainment, education, professional)
- (20) Planning for Success in the Advancement of Enlisted Personnel
- (21) Establishing a Positive Work Environment
- (22) Preparing a Marine Platoon for Possible Combat Operations
- (23) Reducing Unplanned Pregnancies Among Junior Enlisted
- (24) Applying a Selected (Maslow, Herzberg, ERG, etc.) Motivation Theory as a Division Officer or Platoon Commander

- (25) Responding to the Rape of a Subordinate
- (26) Bringing Leadership Vision to Reality at the Division/Platoon Level
- (27) Avoiding the "Halo Effect" and Other Attribution Errors in Performance Rankings
- (28) Building Trust in Your Leadership Among Your Subordinates
- (29) Using "Servant Leadership" as a Junior Officer
- (30) Using "Situational Leadership Theory" as a Junior Officer
- (31) Building Credibility with Your Subordinates as a Junior Officer
- (32) Giving Your Subordinates an Ethical Perspective
- (33) Finding and Using a Mentor as a Junior Officer
- (34) Leading Without Coercion as a Junior Officer
- (35) Helping Your Subordinates Cope With Organizational Change
- (36) Effectively Using Non-Judicial Punishment as a Leadership Tool
- (37) Responding to a Suicide in Your Division/Platoon
- (38) Preventing "Groupthink" in Your Command
- (39) Effectively Socializing New Personnel into Your Command
- (40) Keeping Your People Informed Aboard Ship
- (41) Preventing Eating Disorders Among Junior Enlisted
- (42) Effective and Regular Use of a Time of Reflection as a Leadership Improvement Tool
- (43) Time Management for Junior Officers
- (44) And any others that your instructor approves

**Tips on Defining the Project Topic:**

Example 1: Formal/Informal Chain of Command -- An inappropriate approach would be to discuss what constitutes formal or informal C-o-Cs. An appropriate approach would be to look at the informal chains of command within a command (Mess Deck, CPO Mess, Wardroom, Wives Club, etc.) and how to effectively coordinate or

incorporate these in such a way as to make them effectively work for the formal Chain of Command.

Example 2: Downsizing -- What are some of the difficulties facing Fleet operators? An appropriate approach would be to identify specific shipboard, squadron, or on-the-ground scenarios and cull together leadership techniques with supporting evidence that you believe would allow the command to meet an enlarging mission with diminishing human resources. An inappropriate approach would be to attempt to rewrite the mission tasking of the Atlantic Fleet.

### **III. Project Grading**

Your Instructor will:

- Assess your research and writing skills.
- Assess your conformance to the assigned tasking.
- Assess your use of concepts from the course.
- Assess the applicability of your recommendations to Fleet division officers and platoon commanders.

### **IV. Required Products**

You will submit:

- A proposed topic and abstract, reflecting your plans and actions, including a preliminary bibliography with at least 5 references. **Due Lesson 10.**

*Instructor Note: If your university is located in a fleet concentration area, you may wish to enclose the following additional requirements:*

*You must include a proposed interview with an appropriate Subject Matter Expert (SME) approved by your Instructor and a preliminary bibliography with at least 5 references. Due Lesson 10.*

*A minimum of five interview questions, based on your research work, to be asked of your SME. You must cite at least one of the references from your bibliography in at least two of your interview questions. Due Lesson 15.*

- A rough draft of a 6-8 page research paper detailing your research and substantiating your conclusions and recommendations. **Due at Instructor's discretion.**

- A 6-8 page research paper in point paper format summarizing your research and substantiating your conclusions and recommendations. This final report must be a smooth document.  
**Due Lesson 30.** Mandatory report pages not included in the page count are:

\* cover sheet

\* endnote page

\* bibliography with a minimum of 5 sources

\* necessary appendices (pictures, drawings, tables, supporting data)

#### **V. Due Dates**

All items are due at the beginning of class on the indicated dates. Due dates may be altered by your Instructor.

Abstract: Lesson 10

Rough draft of paper: Instructor's discretion

Final paper: Lesson 30

## **Student Facilitations**

### **Facilitating Seminar Discussions**

Students will be divided into three or four-member facilitating teams and each team will facilitate two class sessions. Student-facilitated class sessions will approximate the following model:

#### I. Session Introduction

- a. Conducted by Instructor, 5-10 minutes;
- b. Introduce session concepts;
- c. Answer student questions on reading and objectives.

#### II. Problem/Example-Based Discussion of Concepts

- a. Conducted by Student Team when assigned, 25-35 minutes;
- b. Introduce an experience or scenario (Battalion and then Fleet examples preferred) and lead the class in a discussion of the events in the context of the session concepts;
- c. Film clips (PG-13 and no more than 5 minutes) and experiential exercises are strongly encouraged;
- d. Student teams are graded on their ability to effectively convey the key theoretical concepts and their "real world" applications.

#### III. Summary

- a. Conducted by Instructor, 5-20 minutes;
- b. Address lingering questions.

Relate the session discussion to the rest of the *Leadership and Management* curriculum.

## Tips for Facilitations

### *Student Facilitation: Teaching the Teachers*

#### **Leadership and Management Student Class Facilitation**

##### ***Student Facilitation***

- Each team has two presentations.
- Each session graded: 5% of final grade for first session, 10% of final grade for second session.
- Allows the teams to demonstrate improvement.
- Leaves sessions for the instructor to re-establish the standard and the teams to breathe.

##### ***Session Format: Getting Started***

###### **Session Introduction**

- Conducted by the Instructor, 5-10 minutes.
- Introduce session concepts.
- Answer student questions on reading and notes.
- **This is a brief *REVIEW* of the students' preparation.**

##### ***Session Format: The Discussion***

###### **Problem/Example-Based Discussion of Concepts**

- Conducted by the Student Team when assigned (the asterisk-marked sessions).
- 25-35 minutes, constitutes the bulk of the session.
- **This is where the *LEARNING* happens! This is what prepares you for the exams, using the language of the course to work through leadership scenarios.**

##### ***Session Format: Discussion Method***

- Introduce an experience or scenario and lead the class in a discussion of the events in the context of the session concepts (NROTC Battalion, Fleet).
- Several Techniques:

- Film clips (PG-13, <5 minutes)
- Experiential Exercises
- Fleet or Battalion cases
- Relevant articles (1-2 pages)
- Skits or demonstrations
- Small group work
- PowerPoint presentation/briefing
- Interactive discussion

***Session Format: Conclusion***

***Summary***

- Conducted by the Instructor, 5-20 minutes.
- Address lingering questions.
- Add a Fleet focus if not already addressed in the example, demonstrating any relationship to the Battalion example (if discussed).
- Relate the day's discussion with the class's progress along the Leadership and Management curriculum.
- In-class writing or quiz.

***Rationale Behind the Format***

- Flexible.
- Keeps students engaged; lecturing is most strongly discouraged.
- Gives students ownership of material and presentation style.
- Teaches Fleet-relevant briefing/teaching skills.
- Sets some order, allowing for anticipation.

***Prepping the Teams***

- Each team **MUST meet with the instructor** a minimum of 3-4 days prior to each session it facilitates.
- In each meeting, the team must **make use of the instructor** to ensure that it understands the session language and concepts

and talks through the intended discussion problem, drawing out associations with the session concepts.

- Instructor evaluates, coaches, offers advice, and assists with resources.
- **Video clips and the session plan MUST be specifically approved by the Instructor in advance.**
- Failure to meet with the Instructor in advance will result in the Instructor teaching the entire session and the student team getting a zero.

### ***Facilitation Resources***

- Course Instructor Guide (Held by Instructor)
- Session Cases (if available); may identify own
- Leadership Library audio, video, writings
- Professional journals, e.g. *U.S. Naval Institute* Personal experience in Battalion and in the Fleet
- *Proceedings, Marine Corps Gazette, Journal of Leadership Studies, The Leadership Quarterly*, numerous journals in the behavioral sciences
- Navy publications (e.g., *Navy Times, Fathom, Approach*).

### ***Assumptions***

- **EVERYONE accomplishes the reading and assigned notes/ writings prior to coming to class**
- Instructors and student facilitating teams may consider Question and Answer (QA) periods. Of this assumption... quizzes, in-class writing, notes, etc., should be spot checked in order to reinforce concepts and language.
- Instructor remains a resource during the problem discussion.

### ***What are the important concepts?***

- Identified in the session objectives.
- Emphasized by the instructor in the student team prep session and during the session introduction.
- Valuable concepts are not limited to these. Both the instructor and students may discover original and fertile ground for discussion during preparation and the discussion.

***Do we have to cover every objective in the discussion?***

- No. The objectives are testable, but they are designed as launching points.
- Underscores the importance of everyone preparing before class.
- Likely will lose the reflective value of a discussion if artificially attempt to associate a concept to it; however, that a concept does not play in a particular problem may be a good topic to discuss.

***We thought of a couple of great examples that show just what the book is talking about, but what if nobody understands them?***

- Be prepared with a few.
- Take 2-3 minutes to develop the background in a complicated or technically specific example.
- If it's not working, drop it and go on with something else. Your prep should include more material than you can use.

***How do we choose experiences or scenarios that best illustrate the relevance and utility of the important concepts while avoiding canned or contrived examples?***

- Good question. Remember that among peers (especially within the student teams), it is OK to shift examples.
- Expand your video library beyond *Braveheart* and *Happy Gilmore*. Use your Company Officer or SEL as a resource.

***I have an example, problem, experience for the discussion... now what?***

- Tactics: Present the point, then ask questions.
- Role play, then debrief with analysis of what actually happened.
- Question, then feed parts of the scenario to the group as the discussion develops.
- Experiential Exercise (consult Instructor or design one of your own); then have the class apply to key points.
- Make a statement and challenge for response.

**and...**

- A script? Know what you want to say and what you want to do. Rehearse a bit, so your team members know what parts to play, but don't just read from a piece of paper or your slide show.
- Big questions beget little answers.
- Smaller questions beget better answers.
- Ask for examples or evidence when folks give statements or respond to your questions; do this as well when prepping as a team.
- Have responses to own questions... may need to jump-start the discussion.

**it's OK to...**

- Pause.
- Stray... a little.
- **Student Team organization (one possibility):**
  - Monitor keeps folks on topic while acknowledging class input.
  - Time-Keeper watches the clock (a critical responsibility) and recommends transitions.
  - Tracker notes interesting points for later.
  - Questioner/Discussion Leader/Presenter

***The Ways You Will Be Evaluated***

- Preparation.
- Success in demonstrating the session concepts in a discussion problem.
- Success in productively engaging the class in discussion (if your classmates fall asleep, you're not doing a good job).
- **Ask for feedback immediately following a session and listen to the feedback other teams get.**

***I'm Not Taking a Class in Education!***

- No, you are not. However, much of what we do as naval professionals is educating/counseling/training.

- At your first command, one of your first assignments will almost certainly be to give wardroom training ("and don't be boring" - XO).
- Problem-based discussion and practice are the best ways to meaningfully develop real personal application of the material and identify relevance of advanced concepts.
- The exams require the skills and experience developed in these discussions.

***A humble recommendation...***

- Walk into the class on your assigned day with a clear idea of the **relevance and utility** of the topic and a **personal interest** in the chosen problem or scenario. Use the instructor to help make this happen.

Consider how you might apply the concept that day in your leadership role.

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 0**

**HOURS 1.0**

**TITLE: COURSE INTRODUCTION**

I. Learning Objectives

A. Reading Objectives: None

B. Discussion Objectives:

1. The student will comprehend the course objectives and the expectations for each student.
2. The student will comprehend the four-year NROTC leadership continuum.
3. The student will understand course policy and the daily conduct of class.
4. The student will comprehend why the study of leadership and management theory is important as an integral part of leadership in the Navy.
5. The student will apply the functions of leadership and management to the role of the naval officer.

II. References and Texts

- A. Leadership and Management text
- B. Syllabus
- C. Student Information Sheet
- D. Welcome Letter
- E. Course Policy
- F. Short Paper Format
- G. Short Paper Topics
- H. Course Project

I. Student Facilitations

J. Tips for Facilitations

III. Instructor Notes

*Remember the difference between a boss and a leader: a boss says "Go!" - a leader says, "Let's Go!"*

E.M. Kelley

*The halls of fame are open wide and they are always full. Some go in by the door called "push" and some by the door called "pull."*

Stanley Baldwin

*Stow this talk. Care killed a cat. Fetch ahead for the doubloons.*

Long John Silver,

in Robert Louis Stevenson's *Treasure Island*

*Progress always involves risks. You can't steal second base and keep your foot on first.*

Frederick B. Wilcox

IV. Chapter Outline:

A. Introduction

B. Mission Statement of NROTC

"To develop midshipmen morally, mentally, and physically and to imbue them with the highest ideals of duty, honor, and loyalty in order to commission college graduates as naval officers who possess a basic professional background, are motivated toward careers in the Naval Service, and have a potential for future development in mind and character so as to assume the highest responsibilities of command, citizenship and government."

C. Discuss where *Leadership and Management* fits with the rest of the Leadership Continuum -- the foundation for their professional development in leadership, management, ethics, character development, psychology and humanities:

1. NROTC Indoctrination

2. Midn 4/C experience

3. 3/C Cortramid (Aviation, Surface, Submarine, Marine)

4. *Leadership and Management*

5. Midn 3/C experience (first training role -- superior and subordinate)
  6. 2/C Enlisted Cruise
  7. Midn 2/C experience
  8. 1/C Junior Officer Cruise/Bulldog
  9. *Leadership and Ethics*
  10. Midn 1/C experience
  11. Graduation and Commissioning
- D. Review grading policy and briefly describe the written/oral presentation assignments for the semester.
1. Discuss your expectations of the students (e.g. come prepared, read the material before class, and participate in an involved and civil discussion of topics). Hand out your personal Instructor Policy Statement.
  2. Describe how each day will be conducted. We will discuss readings in forum and apply them to in-class exercises.

V. Discussion Questions: None

VI. In-Class Exercises

Choose from one or more of the following from Leadership Instructor's Manual:

- A. Exercise 1: Truth or Lies, p. 8
- B. Exercise 2: Getting Acquainted, p. 9
- C. Exercise 3: Getting to Know You, p. 10
- D. Exercise 4: Point North, p. 11
- E. Exercise 5: Leadership is Leadership (or Is It), p. 12
- F. Exercise 6: The Line Up, p. 13

VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 1**

**HOURS 1.0**

**TITLE: INTRODUCTION TO THE STUDY OF LEADERSHIP**

I. Learning Objectives

A. Reading Objectives:

1. The student will comprehend the historical and modern definitions of leadership.
2. The student will comprehend the five fundamental paradigm transformations in today's organizations and leaders.
3. The student will comprehend the primary reasons for leadership derailment and the new paradigm skills that can help them avoid it.
4. The student will comprehend how their leadership potential is developed and the stages of development.
5. The student will comprehend and appreciate the value and potential of learning about leadership.
6. The student will know the three basic myths of leadership study.
7. The student will comprehend the interactional framework for analyzing leadership.

B. Discussion Objectives:

1. Discuss the historical and modern definitions of leadership.
2. Discuss the five fundamental paradigm transformations in today's organizations and leaders.
3. Discuss the primary reasons for leadership derailment and the new paradigm skills that can help them avoid it.

4. Discuss the interactional framework for analyzing leadership.

## II. References and Texts

### A. Instructor References

1. Leadership and Management, Chapter 1
2. Leadership Theory and Practice, Chapter 1

### B. Student References

1. Leadership and Management, Chapter 1

## III. Instructor Notes

*If you don't know what you're doing, you keep making the wrong mistakes.*

Yogi Berra

*Leadership and learning are indispensable to each other.*

John F. Kennedy

*Contrary to the opinion of many people, leaders are not born. Leaders are made, and they are made by effort and hard work.*

Vincent T. Lombardi

- A. This chapter introduces the concept of leadership and explains how individuals can grow as leaders. Leadership is defined as an influence relationship among leaders and followers who intend real changes that reflect their shared purposes. Thus, leadership involves people in relationship, influence, change, a shared purpose of achieving a desired future, and taking personal responsibility to make things happen.
- B. The major challenge facing leaders today is the changing world that wants a new paradigm of leadership. The new reality involves the shift from stability to change, from control to empowerment, from competition to collaboration, from focusing on things to building relationships, from uniformity to diversity.
- C. A control philosophy of leadership based on industrial age thinking will probably fail. The challenge for leaders is to grow into an information age mind-set that involves the development of "soft" leadership skills that supplement the "hard" skills of management. Most people are not born

with leadership skills, but leadership can be learned by becoming conscious of leadership qualities and then building personal competence through practical experience.

#### IV. Chapter Outline

##### A. The Definitions Of Leadership

1. The two definitions shown here are similar in that they both involve influencing followers. In the Navy definition of 1944, leadership influences followers to "ardently desire to do what the leader wishes." In Chapter 1 of Leadership and Management, leadership is defined as an influence relationship among leaders and followers who intend real changes that reflect their shared purposes.
2. Navy Definition of 1944:
  - a. Leadership is the art of inspiring, guiding, and directing bodies of men so that they ardently desire to do what the leader wishes. (War Instructions, U.S. Navy, 1944)
  - b. This is the last official Navy definition of leadership, published in 1944.
3. Chapter 1, Leadership and Management definition  
Leadership is defined as an influence relationship among leaders and followers who intend real changes that reflect their shared purposes.
4. Although leadership is necessary in both the military and civilian contexts, the biggest difference is in the goal that the military leader is working to accomplish. Most leaders in civilian organizations do not have national security as their organizational goal. Military leaders must be prepared to lead their subordinates "in harm's way."

##### B. The Nature of Leadership

- a. The key elements of leadership are summarized in Figure 1-1.

(1) Leadership involves influence.

- (2) It occurs among people.
  - (3) Those people intentionally desire significant changes.
  - (4) The changes reflect purposes shared by leaders and followers.
- b. Influence means that the relationship among people is not passive; it is multidirectional and non-coercive.
- (1) Leadership is a people activity and is distinct from administrative paperwork or planning.
  - (2) It occurs among people; it is not something done to people.
  - (3) Since leadership involves people, there must be followers.
  - (4) Leadership is shared among leaders and followers, with everyone fully engaged and accepting higher levels of responsibility.
- c. Of the elements in the leadership definition in Figure 1-1, which is the easiest for you? Which is the hardest? Explain. (Use Transparency Master from end of Leadership Theory and Practice Instructor Manual.)
- d. What activities should you undertake to improve your leadership capability in areas where you are weak? Using Figure 1-1, have students suggest activities to improve weak areas. List the ideas on the board.

### C. The New Reality for Today's Organizations

1. Organizations are changing, and it takes strong leaders to effect the changes needed for survival.
2. Rapid environmental changes are causing fundamental transformations that have a dramatic impact on

organizations and present new challenges for leadership.

3. The transformations, depicted in Figure 1-2, represent a shift in thinking about, perceiving, and understanding our world.

- a. From Cherishing Stability to Valuing Change

The idea of "a place for everything and everything in its place" is a powerful and comforting one, but no longer a reality.

- (1) The Old Paradigm

- (a) Industrial Age

- (b) Stability

- (c) Control

- (d) Competition

- (e) Things

- (f) Uniformity

- (2) The New Paradigm

- (a) Information Age

- (b) Change

- (c) Empowerment

- (d) Collaboration

- (e) People and relationships

- (f) Diversity

- b. Today's leaders are learning to accept change itself as a potential source of energy.

Leaders have shifted from strict control of rigid hierarchies to empowerment and employee participation.

- (1) One of the leader's most challenging roles is to guide their people in using their own power effectively and responsibly by creating and developing a climate of respect and development for all.
  - (2) Power lies more in the strength and quality of relationships rather than in titles, policies, and procedures.
- c. Empowerment emphasizes collaboration over competition and conflict.
- (1) Self-directed teams and other forms of horizontal collaboration are eliminating boundaries among departments.
  - (2) Leaders will need to create an environment of teamwork and community that fosters collaboration and mutual support.
- d. Collaboration reflects a basic shift from an emphasis on things to relationships.
- (1) The industrial age paradigm treats the world as a machine with broken parts to be fixed or replaced to keep the machine running smoothly.
  - (2) The new paradigm takes its cue from science whereby some phenomena can only be understood in relation to other phenomena and everything is connected.
- e. What does the paradigm shift from control to empowerment mean for you? Discuss.
- (1) It is an entirely new way of looking at organizational behavior.
  - (2) It takes much more skill to delegate and make employees participate in decision making than to follow strict policies and procedures. The organization must still attain its goals.

#### D. Leadership is Not Automatic

1. Leaders of today are caught between the practices and principles that defined the industrial era and the emerging principles.
2. Attempts to achieve teamwork, empowerment, and diversity may fail because leaders' and workers' beliefs are stuck in the old paradigm that values control, stability, and homogeneity.
3. Leadership study at Center for Creative Leadership in Greensboro, NC, showed that 75% of managers who arrived at the top had people skills. Unsuccessful managers were:
  - a. Insensitive to others
  - b. Abrasive
  - c. Cold
  - d. Arrogant
  - e. Untrustworthy
  - f. Overly ambitious
  - g. Selfish
  - h. Unable to delegate or build teams
  - i. Unable to acquire appropriate staff to work for them.

E. Where Have All the Leaders Gone?

1. Management and Leadership are NOT the same.
  - a. Management focuses on planning and controlling the organization.
  - b. Leadership focuses on creating a vision for the future and inspiring others to achieve it.
  - c. Organizations today need people who can unite the "hard" skills of management with the "soft" skills of leadership.

d. Teamwork, cooperation, empowerment, employee initiative, and commitment to quality and service cannot be decreed.

(1) They are released from within the hearts and minds of workers throughout the organization.

(2) Leadership calls for caring about and engaging the whole employee and building a community in which workers can learn and grow.

2. Why do you think there are so few people who succeed at both management and leadership? Discuss. Managers tend to remain focused on planning, implementing, and controlling. They have little time for vision, creativity, and empowerment of employees.

#### F. Leadership Can Be Learned

1. Leadership training programs are based on the concept that leaders are made, not born, and they are made by hard work.

2. There are five themes many organizations have concerning leadership:

a. Everyone needs to understand the big picture.

b. Everyone needs to think all the time.

c. Always put yourself in the shoes of an uncooperative opponent.

d. Prepare yourself to the point where nothing can surprise you.

e. Put aside hierarchy, foster self-awareness and self-criticism, and learn to work as a team.

3. By exploring leadership in both business and society, students gain an understanding of the importance of leadership to an organization's success, as well as the difficulties of being a leader.

4. Acquiring personal leadership competence typically involves progress through four stages:

- a. Unconscious Incompetence
- b. Conscious Incompetence
- c. Conscious Competence
- d. Unconscious Competence

G. Myths That Hinder Leadership Development

- 1. Myth: Good Leadership Is All Common Sense
- 2. Myth: Leaders Are Born, Not Made
- 3. Myth: The Only School that Teaches Leadership Is the School of Hard Knocks

H. Looking at Leadership Through Several Lenses -- The Interactional Framework for Analyzing Leadership

- 1. This model describes leadership as the intersection of three elements:
  - a. The Leader
  - b. The Followers
  - c. The Situation
- 2. In each leadership scenario, we need to examine how each of these elements interact and how leaders and followers affect each other in the process.
  - a. The leader possesses personality, position, and expertise.
  - b. The followers possess values, norms, and cohesiveness.
  - c. The situation is comprised of task, stress, and environment.
- 3. The complex interactions among these elements are why it is difficult to generalize the leadership problem.

V. Discussion Questions

- A. What do you consider to be your own strengths and weaknesses for leadership? Discuss your answer with another student.
- B. How do you feel about changing yourself in order to become a leader who can change an organization?
- C. Of the elements in the leadership definition in Figure 1-1, which is the easiest for you? Which is the hardest?
- D. What activities should you undertake to improve your leadership capability in areas where you are weak?
- E. What does the paradigm shift from control to empowerment mean to you? Discuss.
- F. Describe the best leader you have known. How did this leader acquire his or her capability?
- G. Why do you think there are so few people who succeed at both management and leadership?
- H. Of the Top 7 Reasons for Executive Derailment, which have you personally witnessed? Explain.
- I. Think of a learning activity in which you moved through two or more of the stages shown in Figure 1-5. How was moving from unconsciousness to consciousness different from moving from incompetence to competence? Explain.
- J. Explain the limitation of studying only the characteristics of effective leaders?
- K. According to the interactional framework, effective leader behavior depends on many variables. It follows there is no simple prescription for effective leader behavior. Does this mean effective leadership is merely a matter of opinion or subjective preference?
- L. Generally leaders get most of the credit for a group's or an organizations' success. Do you believe this is warranted or fair?
- M. What are some other characteristics of leaders, followers, and situations you could add to those listed in Figure 1-6?

## VI. In-Class Exercises

Choose from one or more of the following from Leadership Instructor's Manual:

A. Exercise 1: Teaching as Leadership, p. 19

B. Exercise 2: Orchestra Conducting as Leadership, p. 21

VII. Supplemental Learning Opportunities

"Elements of Leadership"

[http://www.cnet.navy.mil/cnet/1999 plan/elementsofleadersh99-8x11.htm](http://www.cnet.navy.mil/cnet/1999_plan/elementsofleadersh99-8x11.htm)

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 2**

**HOURS 1.0**

**TITLE: THE CHANGING PARADIGM OF MANAGEMENT**

I. Learning Objectives

A. Reading Objectives:

1. The student will know the four management functions and the type of management activity associated with each.
2. The student will comprehend the difference between effectiveness and efficiency and their importance for organizational performance.
3. The student will comprehend conceptual, human, and technical skills and their relevance for managers and non-managers.
4. The student will know the ten roles managers perform in organizations.
5. The student will comprehend the new management paradigm and the issues managers must prepare for in the future.
6. The student will know the steps in the decision-making process.
7. The student will comprehend why decision-making is so pervasive in organizations.
8. The student will comprehend the role that intuition plays in the decision-making process.
9. The student will comprehend the different decision making styles.

B. Discussion Objectives:

1. The student will comprehend the differences between leadership and management.

2. The student will know the four management functions.
3. The student will comprehend and discuss Decision Making: Rationality, Bounded Rationality, Intuition.
4. The student will comprehend and discuss conceptual, human and technical skills and their relevance for managers and non-managers.

## II. References and Texts

### A. Instructor References

1. Leadership and Management, Chapter 2
2. Management, Chapters 1 and 9
3. Leadership Theory and Practice, Chapter 2

### B. Student References

1. Leadership and Management, Chapter 2

## III. Instructor Notes

*Always be tactful and well mannered and teach your subordinates to be the same. Avoid excessive sharpness or harshness of voice, which usually indicates the man who has shortcomings of his own to hide.*

Field Marshall Erwin Rommel

*For every person who's a manager and wants to know how to manage people, there are 10 people who are being managed and would like to figure out how to make it stop.*

Scott Adams  
Creator of "Dilbert"

*If I had to sum up in one word what makes a good manager, I'd say decisiveness. You can use the fanciest computers to gather the numbers, but in the end you have to set a timetable and act.*

Lee Iacocca

- A. Both leadership and management are essential to the junior officer's success. This lesson introduces the concept of organizations, management, and decision making. Good leadership begins with good management. A junior officer must master the "hard" skills of management before applying the "soft" skills of leadership.
- B. Management is defined as the attainment of organizational goals in an effective and efficient manner through

planning, organizing, leading, and controlling organizational resources. Whereas the purpose of leadership is to establish the direction of the organization and the strategy for getting there, the purpose of management is to implement the strategy through the four management functions. Naval Officers cannot establish their vision without first understanding how to implement the vision. The readings in this section are designed to give the reader a better idea about what management is and why management and decision making are the foundations for effective leadership.

#### IV. Chapter Outline

##### A. The Definition Of Management

1. Management is defined as the attainment of organizational goals in an effective and efficient manner through planning, organizing, leading, and controlling organizational resources.
2. Management is generally considered universal in all military and business organizations because it uses resources to accomplish goals.

##### a. The Four Functions Of Management

- (1) Planning
- (2) Organizing
- (3) Leading
- (4) Controlling.

##### b. Achieving organizational goals in an efficient and effective manner.

Some authors list other management functions such as staffing, communicating, or decision making. In this course, we will cover these functions as subsets of the four primary functions listed above.

##### B. The Four Management Functions

1. Planning

- a. Planning defines where the organization wants to be in the future and how to get there.
- b. A lack of planning, or poor planning, can hurt an organization's performance.

## 2. Organizing

- a. Organizing follows planning and reflects how the organization tries to accomplish the plan.
- b. Organizing involves the assignment of tasks, grouping of tasks into departments, and allocation of resources.

## 3. Leading

- a. Leading is the use of influence to motivate employees to achieve the organization's goals.
- b. Leading is defined as creating a shared culture and values, communicating goals to employees throughout the organization, and infusing employees to perform at a high level.
- c. Leading involves motivating the entire organization.
- d. The ability to shape culture, communicate goals, and motivate employees is critical to operational success.

## 4. Controlling

- a. Controlling means monitoring employees' activities, determining if the organization is on target toward its goals, and making corrections as necessary.
- b. New trends toward employment and trust of employees have led many companies to place less emphasis on top-down control and more emphasis on training employees to monitor and correct themselves.

- c. Controlling often involves using an information system to advise managers on performance and a reward system for recognizing employees who make progress toward goals.
- d. Organization failure can occur when managers are not serious about control or lack control information.

#### C. Organizational Performance

1. The second part of the definition of management is the attainment of organizational goals in an efficient and effective manner.
2. An organization is a social entity that is goal directed and deliberately structured. A social entity is two or more people.
  - a. Goal directed means the organization is designed to achieve some outcome or goal, such as to make a profit.
  - b. Deliberately structured means tasks are divided and responsibility for their performance is assigned to a member of the organization.
3. Effectiveness is the degree to which the organization achieves a stated objective. The organization succeeds in accomplishing what it tries to do by providing a product or service that customers value. "Are we doing the right things?"
4. Efficiency refers to the amount of resources used to produce an output or a product or service. "Are we doing things right?"
5. The ultimate responsibility of managers is to be both effective (do the right things) and efficient (do things right), on time, the first time.

#### D. Management Skills

1. Management skills can be categorized as conceptual, human, and technical.

2. All managers need each skill, but the amount differs at each level in the organizational hierarchy.
3. Conceptual Skill
  - a. Conceptual skill involves the manager's thinking, information processing, and planning abilities or the cognitive ability to see the organization as a whole and the relationship among its parts.
  - b. This skill is especially important for top managers.
4. Human Skill
  - a. Human skill is the manager's ability to work with, and through, other people and work effectively as a group member.
  - b. This is the ability to motivate, facilitate, coordinate, lead, communicate, and resolve conflicts.
  - c. Managers at all levels need human skills.
5. Technical Skill
  - a. Technical skill is the understanding of, and proficiency in, the performance of specific tasks including mastery of the methods, techniques, and equipment involved in specific functions such as engineering, manufacturing, or finance.
  - b. Also includes specialized knowledge, analytical ability, and use of tools and techniques in that specific discipline.
  - c. Technical skills are most important at lower organizational levels and become less important than human and conceptual skills as managers are promoted.

E. What Is It Like To Be A Manager?

1. We have described how managers at various levels perform four basic functions that help ensure

organizational resources are used to attain high levels of performance.

- a. The functions are to plan, organize, lead, and control.
- b. These tasks require conceptual, human, and technical skills.

## 2. Managerial Activities

- a. Are characterized by variety, fragmentation, and brevity.
- b. Include handling problems mixed with trivial events in no predictable sequence.
- c. Include performing a great deal of work at an unrelenting pace.

## 3. Manager Roles

- a. A role is a set of expectations for a manager's behavior.
- b. A manager's job can be organized into ten different roles and divided into the conceptual categories of informational, interpersonal, and decisional.

### (1) Informational category (managing by information)

Includes the monitor, disseminator and spokesperson roles and describes the functions used to maintain and develop an information network.

- (a) The monitor role involves seeking current information from many sources.
- (b) The disseminator role is the opposite since, in this role, the manager transmits current information to others, both inside and outside the organization.

(c) The spokesperson role pertains to making official statements outside the organization about company policies, activities and plans.

(2) Interpersonal category (managing through people)

Pertains to relationships with others and is related to the human skills described earlier.

(a) The figurehead role involves ceremonial and symbolic activities for the department or organization.

(b) The leader role encompasses relationships with subordinates, including motivation, communication, and influence.

(c) The liaison role pertains to the development of information sources both inside and outside the organization.

(3) Decisional category (managing action)

Includes entrepreneurial, disturbance handler, resource allocator and negotiating roles in which the manager must make a choice and take action.

(a) The entrepreneurial role involves initiation of change and occurs when managers become aware of problems and seek improvements.

(b) The disturbance handler role involves resolving conflicts among subordinates or between the manager's department and other departments.

(c) The resource allocator role pertains to decisions about how to allocate people, time, equipment, budget, and other resources to attain desired outcomes.

(d) The negotiator role involves negotiations and bargaining to attain outcomes for the manager's unit of responsibility.

(e) The following table shows a relationship of roles that could be reasonably expected in the Navy.

Role Category	Division Officers	Department Heads	Commanding Officers
Interpersonal	Leader	Liaison	Figurehead
Informational	Monitor	Disseminator	Spokesperson
Decisional	Entrepreneur	Resource Allocator	Negotiator

#### F. Leading The Management Revolution

Management is both an art and a science. It is an art because many skills cannot be learned from a textbook. Management is a science because a growing body of knowledge and objective facts describe management and how to obtain organizational effectiveness.

##### 1. The Changing Paradigm of Management

A paradigm is a mind-set that presents a fundamental way of thinking, perceiving, and understanding the world.

##### 2. The Learning Organization

a. In the new paradigm, the primary responsibility of managers is not to make decisions, but to create learning capability throughout the organization.

b. There is no single model of the learning organization. It is:

(1) A philosophy or attitude about what an organization is and the role of employees.

Everyone in the organization participates in identifying and solving problems.

- (2) In the learning organization, top managers are leaders who create a vision for the future that is widely understood and imprinted throughout the organization.
- (3) Employees are empowered to identify and solve problems because they understand the vision and long-term goals of the organization.
- (4) Traditional top-down hierarchical organization is giving way to flatter organizations built around self-directed teams collaborating across levels and departments.

### 3. Forces on Organizations

a. Organization forces impacting the globalization process include the following:

- (1) Today, everyone is interconnected in the flow of information, money, or products, and interdependencies are increasing.
- (2) Globalization brings a need for relentless innovation, greater concern for quality, rapid response, enhanced productivity, and new levels of customer service.
- (3) Global competition has also triggered a need for new management approaches that emphasize empowerment of workers and involvement of employees.
- (4) A management perspective known as Theory Z proposed a hybrid form of management that incorporates techniques from both Japanese and North American management practices.
- (5) Diversity of the workforce has become a fact of life for all organizations, even those that do not operate globally.
- (6) Another significant shift is that technology is electronic rather than mechanical, as the

world is gradually shifting from a work force that produces material things to one that primarily manages information.

- b. In the face of these rapid transformations, organizations are learning to value change over stability.

#### 4. New Management Competencies

- a. Managers must develop different skills and perform different activities depending on hierarchical level and job responsibilities.
- b. Human skills are important at all levels within the organization.
- c. Critical skills for top level managers in today's world include the ability to create an exciting and demanding work environment and to inspire confidence and belief in the organization and its leadership.
- d. Middle managers have to learn to build relationships, empower others, promote cooperation, and manage conflict.
- e. First-line supervisors need the ability to motivate workers on a day-to-day basis and sustain employee energy toward the completion of organizational goals.
- f. Today's managers must be connected to customers. They must be flexible and adaptable, able to respond quickly to customer and employee needs.
- g. Leadership is dispersed throughout the organization, and managers share rather than hoard power. Team-building skills are crucial for today's managers.
- h. Success today depends on the strength and quality of relationships.

- G. How do these attributes relate to the junior officer's management role?

1. The junior officer has to have the ability to analyze situations, information, and processes.
2. The junior officer must be able to make management decisions for the effective operation of the organization.

#### H. The Decision-Making Process

All junior officers make numerous decisions. The overall quality of these decisions strongly affects the unit's success or failure. The concept of decision making is explored next.

1. A decision is a choice made from two or more alternatives.
2. The decision-making process is defined as a set of eight steps that include identifying a problem, selecting an alternative, and evaluating the decision's effectiveness.
  - a. Identifying a Problem
  - b. Identifying Decision Criteria
  - c. Allocating Weights to the Criteria
  - d. Developing Alternatives
  - e. Analyzing Alternatives
  - f. Selecting an Alternative
  - g. Implementing the Alternative
  - h. Evaluating Decision Effectiveness
3. The Pervasiveness Of Decision Making
  - a. Decision making is important to every aspect of a manager's job.
  - b. Decision making is part of all four managerial functions. In performing these, much of a manager's decision making is routine. However, even though certain problems may seem easy or may

have been faced before, it still involves a decision.

I. Managers can make decisions on the basis of rationality, bounded rationality, or intuition.

1. Managerial decision making is assumed to be rational; that is, choices that are consistent and value-maximizing within specified constraints.

2. Rationality

The assumptions of rationality are shown in Figure 2.7

a. These assumptions are problem clarity (the problem is clear and unambiguous)

b. Goal orientation (a single, well-defined goal is to be achieved)

c. Known options (all alternatives and consequences are known)

d. Clear preferences

e. Constant preferences (preferences are constant and stable)

f. No time or cost constraints

g. Maximum payoff

3. The assumption of rationality is that decisions are made in the best interests of the *organization*, not in the manager's interests.

a. The assumptions of rationality can be met *if*: the manager is faced with a simple problem in which goals are clear and alternatives limited, in which time pressures are minimal and the cost of finding and evaluating alternatives is low, for which the organizational culture supports innovation and risk taking, and in which outcomes are concrete and measurable.

- b. In spite of these limits to perfect rationality, managers are expected to "appear" rational as they make decisions.

#### 4. Bounded Rationality

Since the perfectly rational model of decision making isn't realistic, managers tend to operate under assumptions of bounded rationality, which is behavior that is rational within the parameters of a simplified model that captures the essential features of a problem.

- a. Figure 2-8 compares decision making under perfect rationality and bounded rationality.
- b. Under bounded rationality, managers make satisficing decisions -- in which managers accept solutions that are "good enough," rather than maximizing payoffs.

#### 5. Intuitive Decision Making

Managers also regularly use their intuition. Intuitive decision making is an unconscious process of making decisions on the basis of experience and accumulated judgment.

- a. Making decisions on the basis of gut feeling doesn't happen independently of rational analysis. The two complement each other.
- b. Although intuitive decision making will not replace the rational decision-making process, it does play an important role in managerial decision making.

#### J. Managers have different styles when it comes to making decisions and solving problems.

##### 1. One view of decision-making styles looks at the way managers approach problems.

- a. A problem avoider is a person who approaches problems by avoiding or ignoring information that points to a problem.

- b. A problem solver is a person who approaches problems by trying to solve them as they come up.
  - c. A problem seeker is a person who approaches problems by actively seeking out problems to solve or new opportunities to pursue.
2. Another perspective proposes that people differ along two dimensions in the way they approach decision making. (See Figure 2-9, p. 50.)
- a. One dimension is an individual's way of thinking -- rational or intuitive. The other is the individual's tolerance for ambiguity -- low or high.
  - b. These two dimensions lead to a two x two matrix with four different decision-making styles.
    - (1) The directive style is one that's characterized by low tolerance for ambiguity and a rational way of thinking.
    - (2) The analytic style is one characterized by a high tolerance for ambiguity and a rational way of thinking.
    - (3) The conceptual style is characterized by an intuitive way of thinking and a high tolerance for ambiguity.
    - (4) The behavioral style is one characterized by a low tolerance for ambiguity and an intuitive way of thinking.

## V. Discussion Questions

- A. What similarities do you see among the four management functions of planning, organizing, leading, and controlling? Do you think these functions are related? (That is, is a manager who performs well in one function likely to perform well in the others?)
- B. What is the difference between efficiency and effectiveness? Which is more important for performance? Can an organization succeed in both simultaneously?

- C. Why is decision making often described as the essence of the manager's job?
- D. A college professor told her students, "The purpose of a management course is to teach students about management, not to teach them to be managers." Do you agree or disagree with this statement? Discuss.
- E. Describe decision making from the rationality viewpoint.
- F. Describe decision making from the bounded rationality perspective.
- G. Describe the role of intuition in decision making.
- H. Describe the three styles of approaching problems.
- I. Compare and contrast the four decision-making styles: directive, analytic, conceptual, and behavioral.
- J. Describe the characteristics of a learning organization. How do these characteristics compare to those of an organization in which you have worked. Would you like to work or manage in a learning organization?

#### VI. In-Class Exercise

Have students complete the management aptitude questionnaire included in the instructor reference, Management, pp. 29-30.

- A. Students should complete the questionnaire using the 5-point Likert scale. Point out to them the reverse scoring on the starred items.
- B. The scale is designed to give a general idea (it is not validated) of the three management skills of conceptual, human and technical skills. Such a scale can be used as a kind of "mirror" to the student. Undergraduates, particularly, lack knowledge about what the job of a manager is. Helping them to look at these three skill areas can be of some assistance in assessing their own abilities to be a good manager.
- C. After the students score their questionnaire, you may ask them to share their scores in small groups of 4-5 and discuss their potential strengths and weaknesses as a manager. Also, you may ask them to share answers to the

following questions. These questions may be used with the entire class, without any small group discussions.

1. Why do you think the three skills are all needed to be an effective manager? Give examples of times when each one is used.

Conceptual is used to understand large issues and problems, to develop vision and strategies, and to see relationships between one set of problems and others. Examples are developing strategies, analyzing the cause of problems from mounds of data, and being able to apply theories to the situations at hand. Human skills include the ability to work with people and communicate effectively. Examples are listening, conflict resolution, running meetings, team building, mentoring, and negotiation. Technical skills would include areas such as developing written plans, reading financial reports, computer and management information skills, and logistics.

2. What do you think the ideal ranking would be of the three skills for an effective manager?

There is no one right answer for this, for it depends on the type and level of manager. Generally, human skills are considered more vital in lower level supervisors and conceptual skills in executive-level managers, but even that is only a general guideline. Managers in a software company would need more technical skills than, say, an advertising executive.

## VII. Supplemental Learning Opportunities

The Developing Management Skill Surveys found on the University of Houston's (Clear Lake) website are very useful. Survey topics include: Personal Assessment of Management Skills. Go to:

<http://www.cl.uh.edu/edu/awl/survey/surveys.html>

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 3**

**HOURS 1.0**

**TITLE: FROM MANAGEMENT TO LEADERSHIP**

I. Reading Objectives

- A. The student will comprehend the fundamental differences between management and leadership.
- B. The student will comprehend the crucial importance of providing direction, alignment, relationships, personal qualities, and outcomes.
- C. The student will comprehend the evolution of leadership through four eras to the facilitating leadership required today.

II. Discussion Objectives

- A. The student will comprehend the crucial importance of providing direction, alignment, relationships, personal qualities, and outcomes.
- B. The student will comprehend the evolution of leadership through four eras to the facilitating leadership required today.

III. References and Texts

A. Instructor References

- 1. Leadership and Management, Chapter 3
- 2. Leadership Theory and Practice, Chapter 2
- 3. Management, Chapter 1,

B. Student References

- 1. Leadership and Management, Chapter 3

IV. Instructor Notes

*A leader is best  
When people barely know that he exists*

*Not so good when people obey and acclaim him,  
Worst of all when they despise him.  
"Fail to honor people,  
They fail to honor you";  
But of a good leader, who talks little,  
When his work is done, his aim fulfilled,  
They will all say, "We did this ourselves."*

Lao Tzu

*You've got to give loyalty down, if you want loyalty up.*

Donald T. Regan

*If you act like an ass, don't get insulted if people ride you.*

Yiddish Proverb

- A. Leadership is a distinct focus of study and comprises a distinct set of qualities and skills that can have great impact on others and on organizations and institutions. Leadership is different from management, which is traditionally concerned with the four functions of planning, organizing, directing, and controlling. Research on the roles of managers has been focused in the areas of informational, interpersonal, and decisional activities. Management strives to maintain stability and improve efficiency.
- B. Leadership concerns creating a vision for the future, designing the social architecture to shape culture and values, inspiring and motivating followers, developing personal qualities, creating change, often dramatic change, to improve the greatest possible outcomes. Organizations need to be both managed and led, particularly in today's environment.
- C. The evolution of leadership reflected a shift from stable to chaotic environments. Early leadership perspectives emphasized great men and the traits that enabled them to succeed in government, commerce, the military, or social movements. The next era involved management that reflected the residue of scientific management and fit vertical hierarchies and bureaucracies. Because of the world's transition to a more chaotic environment in recent years, team leadership became important, with its potential for enabling horizontal organizations. And finally, the most recent era is about facilitating leadership, in which leaders use the skills of vision, alignment, and relationships to unlock personal qualities of followers in adaptive, learning organizations.

## V. Chapter Outline

## A. Comparing Leadership and Management

1. Managers and leaders are not inherently different types of people. For example, Robert Noyce, co-founder of Intel, was an electronics wizard who performed the planning, organizing, and controlling functions needed to produce and sell products. Yet, he had the ability to create a shared vision, a clear sense of direction, and energize and empower others.
2. Figure 2-1 compares management and leadership in five areas crucial to organizational performance -- providing direction, aligning employees, building relationships, personal qualities, and leader outcomes.
  - a. Providing direction
    - (1) Management focuses on establishing detailed plans and schedules and then allocating resources to accomplish the plan.
    - (2) Leadership calls for creating a compelling vision of the future and creating farsighted strategies for producing the changes to achieve the vision.
  - b. Alignment
    - (1) Management entails organizing a structure to accomplish the plan, staffing the structure with employees, and developing policies, procedures, and systems to implement and monitor the plan.
    - (2) Leadership is concerned with communicating the vision and developing a shared culture and core set of values that lead to the desired future state.
    - (3) Managers separate people into specialties and functions whereas leaders break down boundaries and create a sense of teamwork and quality for achieving results.
  - c. Relationships

- (1) Management focuses on objects such as machines and reports, whereas leadership focuses on motivating and inspiring people.
- (2) Management is based on formal position power which means that there is a written, spoken, or implied contract wherein people accept either a superior or subordinate role and see the use of coercive as well as noncoercive behavior as an acceptable way to achieve desired results.
- (3) By contrast, leadership tries to make work stimulating and challenging. Leadership involves pulling rather than pushing people toward goals.

d. Personal Leadership Qualities

- (1) Leadership is more than a set of skills; it relies on a number of subtle personal qualities like enthusiasm, integrity, courage, and humility.
- (2) The process of management encourages emotional distance, but leadership means being emotionally connected to others.
- (3) As Max De Pree puts it in his book, Leadership Is an Art, "Leadership is much more of an art, a belief, a condition of heart, than a set of things to do."
- (4) A recent study revealed that people would much rather follow individuals they can count on, even when they disagree with their viewpoint, than people they agree with but who frequently shift their viewpoints or positions. Leadership causes wear and tear on the individual, because leaders are vulnerable, take risks, and initiate change, which typically encounters resistance.

e. Outcomes

The differences between management and leadership create two differing outcomes.

- (1) Management produces a sense of stability predictability, order, and efficiency. This helps the organization achieve short-term results and meet the expectations of the organization.
- (2) Leadership means questioning and challenging the status quo so that outdated or unproductive norms can be replaced to meet new challenges. For example, at Pratt and Whitney, survival meant learning to take risks.

## B. The Evolution of Leadership

1. Change is today's norm, yet concepts of leadership evolved during a more stable, predictable time.
2. Context of Leadership
  - a. The evolution of leadership thought and action has unfolded in four eras, discussed according to two dimensions: whether leadership works on a micro or a macro level, and whether environmental conditions are stable or chaotic.
  - b. Leadership is related to a leader's way of thinking about self, followers, and organizations.
    - (1) The micro side of leadership concerns specific situations, tasks, and individuals.
    - (2) Macro leadership deals with fundamental ideals, values, and strategies that characterize large groups.
    - (3) The stable versus chaotic dimension refers to whether elements in the environment are dynamic. An environment remains stable if it remains the same over months or years. Under chaotic conditions, environmental elements shift abruptly.
3. Framework (See Figure 3-2.)

- a. Era 1, Macro Leadership in a Stable World
- b. Era 2, Micro Leadership in a Stable World
- c. Era 3, Micro Leadership in a Chaotic World
- d. Era 4, Macro Leadership in a Chaotic World

VI. Discussion Questions (See p. 20 of Leadership Theory and Practice Instructor's Manual.)

- A. Is the "Great Man" or "hero" perspective on leadership still alive today? Think about some popular movies. Do they stress a lone individual as hero or savior? Give some examples.
- B. Leadership is more concerned with people than is management. Do you agree? Discuss.
- C. Compare Era 2 of rational management with Era 4 of facilitative leadership. Which approach do you feel more comfortable with for your career?
- D. America is considered a highly individualistic society, so the transition to team leadership has been difficult. What do you consider the most difficult part of being in a team?
- E. What does "control over" versus "control with" as a philosophy of leadership mean to you? Discuss.
- F. What personal capacities should a person develop to be a good leader versus those developed to be a good manager?
- G. Is it reasonable to believe that someone can be both a good manager and a leader?

VII. In-Class Exercises

Choose from one or more of the following from Leadership Instructor's Manual:

- A. Exercise 3 : What's in a Word, p. 22
- B. Exercise 4 : A Word of Difference, p. 23

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 4**

**HOURS 1.0**

**TITLE: LEADERSHIP IN ORGANIZATIONS**

I. Learning Objectives

A. Reading Objectives:

1. The student will comprehend the personal characteristics associated with effective leaders.
2. The student will know the five sources of power and how each causes different subordinate behavior.
3. The student will comprehend the leader behavior of initiating structure and consideration and when they should be used.
4. The student will comprehend Hersey and Blanchard's Situational Theory and its application to subordinate participation.
5. The student will comprehend the path-goal model of leadership.

B. Discussion Objectives:

1. The student will demonstrate how the five bases of power are manifest in behavior.
2. The student will apply Hersey and Blanchard's Situational Theory to the personnel and organization of a Navy warship.
3. The student will comprehend and discuss personal traits that are useful to a leader and determine if these traits are more valuable in some situations than in others.

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 4

2. Management, Chapter 16
3. Leadership Theory and Practice, Chapters 3 and 4

B. Student References

1. Leadership and Management, Chapter 4

III. Instructor Notes

*The body of every organization is structured from four kinds of bones. There are the wishbones, who spend all their time wishing someone would do the work. Then there are the jawbones, who do all the talking, but little else. The knucklebones knock everything anybody else tries to do. Fortunately, in every organization there are also the backbones, who get under the load and do most of the work.*

Leo Aikman, On Bones

*You do not lead by hitting people over the head - that's assault, not leadership.*

Dwight D. Eisenhower

*He who has great power should use it lightly.*

Seneca

*Power in an organization is the capacity generated by relationships.*

Margaret A. Wheatley

A. Traits, Behaviors, and Relationships

The historical development of leadership theory presented in this chapter introduces some important ideas about leadership. While certain personal traits and abilities constitute a greater likelihood for success in a leadership role, they are not in themselves sufficient to guarantee effective leadership.

Rather, behaviors are equally significant, as outlined by the research at several universities. Therefore, the style of leadership demonstrated by an individual greatly determines the outcome of the leadership endeavor. Often, a combination of styles is most effective. To understand the effects of leadership upon outcomes, the specific relationship behavior between a leader and each follower is also an important consideration.

B. Contingency Approaches

The contingency approaches were developed to systematically address the relationship between a leader and the organization. The contingency approaches focus on how the components of leadership style, subordinate characteristics, and situational elements impact one another. Fiedler's contingency model, Hersey and Blanchard's situational theory, and the path-goal theory examine how different situations call for different styles of leadership behavior.

#### IV. Chapter Outline

##### A. The Nature Of Leadership

###### 1. Leadership

- a. Occurs between people.
- b. Involves the use of influence.
- c. Is used to attain goals.

2. Influence means that the relationship among people is not passive. Influence is designed to achieve some end or goal.

3. Leadership as defined here is the ability to influence people toward the attainment of goals.

4. Leadership is reciprocal, occurring between people.

5. Leadership is dynamic and involves the use of power.

Power determines if a leader is able to command compliance from followers.

6. Didn't we already define leadership in Chapter 1?

a. In Chapter 1, Leadership is defined as an influence relationship between leader and followers who intend real changes that reflect their shared purpose.

(1) This type of leadership is known as charismatic and/or transformational leadership.

- (2) Charismatic Leader: A leader who has the ability to motivate subordinates to transcend their expected performance.
  - (3) Transformational Leader: A leader distinguished by a special ability to bring about innovation and change.
  - (4) Charismatic and Transformational Leadership will be discussed in more detail in Chapters 8 and 9.
- b. This chapter, Chapter 4, discusses the management function of leading also known as transactional leadership.
- (1) Transactional Leadership: The management function of leading.
  - (2) Transactional Leader: A leader who clarifies subordinates' role and task requirements, initiates structure, provides rewards, and displays consideration for subordinates.

#### B. Leadership versus Management Power

- 1. Management power comes from organizational structure.  
It promotes stability, order, and problem solving within the structure.
- 2. Leadership power comes from personal sources that are not as invested in the organization, such as personal interests, goals, and values.
  - a. Leadership power promotes vision, creativity, and change in the organization.
  - b. Power is the potential ability to influence the behavior of others.
    - (1) Power represents the resources with which a leader effects changes in employee behavior.
    - (2) There are typically 5 sources of power:
      - (a) Legitimate

- (b) Reward
- (c) Coercive
- (d) Expert
- (e) Referent

(3) Sometimes power comes from a person's position in the organization, while other sources of power are based on personal characteristics.

### 3. Position Power

- a. The traditional manager's power comes from the organization.
- b. The position gives managers power to reward or punish subordinates to influence their behavior.
- c. Examples of position power are:
  - (1) Legitimate power
    - (a) Comes from a formal management position in an organization and the authority granted to it.
    - (b) Subordinates accept this source of power as legitimate, which is why they comply.
  - (2) Reward power
    - (a) Stems from the manager's authority to bestow rewards on other people.
    - (b) Legitimate and reward power are most likely to generate compliance.
  - (3) Coercive power
    - (a) The opposite of reward power.
    - (b) Here, the manager has the authority to punish or recommend punishment, which often generates resistance.

(c) Resistance means workers tend to try to avoid carrying out instructions or will attempt to disobey them.

#### 4. Personal Power

a. Personal power often comes from internal sources, such as a person's special knowledge or personality.

b. Examples of personal power are:

##### (1) Expert power

Results from a leader's special knowledge or skill regarding the tasks performed by followers.

##### (2) Referent power

(a) Comes from leader personality characteristics that command subordinates' identification, respect, and admiration so they wish to emulate the leader.

(b) Subordinate response will be commitment, which means subordinates will enthusiastically carry out instructions.

#### 5. Empowerment

a. A significant recent trend in corporate America is for top executives to empower employees.

b. Today's executives are more participatory, more concerned with consensus building, and more reliant on communication.

#### C. Leadership Traits

1. Early efforts to understand leadership focused on the leader's personal characteristics or traits.

2. Traits are the distinguishing personal characteristics of a leader such as:

- a. Intelligence
  - b. Values
  - c. Appearance
3. Generally, research found only a weak relationship between personal traits and leader success.
- a. Physical, social, and work-related characteristics of leaders have also been studied.
  - b. The appropriateness of a trait or set of traits depends on the leadership situation.
  - c. The same traits do not apply to every organization or situation.

D. Autocratic versus Democratic Leaders

1. An autocratic leader tends to centralize authority and rely on legitimate, reward, and coercive power.
- a. Subordinates perform highly as long as the leader is present.
  - b. Members are frequently displeased with the close autocratic leadership and feelings of hostility frequently arise.
2. A democratic leader delegates authority, encourages participation, and relies on expert and referent power to influence subordinates.
- a. Subordinates perform well even when the leader is absent.
  - b. The group is characterized by positive feelings rather than hostility.
3. These characteristics of democratic leadership explain why the empowerment of lower employees is a popular trend.

4. Research suggests the extent to which the leader is autocratic (boss centered) or democratic (subordinate centered) depends on organizational circumstances.
  - a. The leader tends to be autocratic if:
    - (1) There is a time pressure.
    - (2) Subordinates are slow to learn to make decisions.
    - (3) There is a great skill difference between leader and subordinate.
  - b. The leader tends to be democratic if:

Subordinates are able to learn decision-making skills.

#### E. Behavioral Approaches

1. The focus of research has shifted from leader personality traits toward the behaviors successful leaders display.
  - a. The significance of the following three streams of research is that each one discovered similar dimensions of leadership style.
  - b. The effectiveness of leaders depends on the types of behavior they display.
2. Ohio State Studies

The Ohio State studies of leader behavior identified two major leadership behaviors called consideration and initiating structure.

  - a. Consideration is the extent to which the leader:
    - (1) Is considerate of subordinates
    - (2) Respects their ideas and feelings
    - (3) Establishes mutual trust.
  - b. Considerate leaders tend to:

- (1) Be friendly
  - (2) Provide open communication
  - (3) Develop teamwork
  - (4) Be oriented toward their subordinates' welfare.
- c. Initiating structure is the extent to which a leader is task oriented and directs subordinate activities toward goals.

Leaders with this style typically:

- (1) Give instructions
- (2) Spend time planning
- (3) Emphasize deadlines
- (4) Provide schedules of work activities.

### 3. Michigan Studies

The University of Michigan studies compared the behavior of effective and ineffective supervisors.

- a. Employee-centered leaders were the effective leaders who:
- (1) Established high performance goals
  - (2) Displayed supportive behavior toward subordinates
  - (3) Built effective work groups.
- b. Job-centered leaders were the ineffective leaders and tended to be:
- (1) Less concerned with goal achievement and human needs
  - (2) More concerned with meeting schedules

- (3) More concerned in keeping costs low
- (4) More concerned in achieving production efficiency.

#### 4. The Leadership Grid

Researchers at the University of Texas developed the leadership grid.

This two-dimensional model measures with 1 meaning low concern and 9 high concern.

Concern for production and people measured on a scale of 1 to 9.

- a. Team management (9,9) is often considered the most effective style for all managers.

Organization members work together to accomplish task outcomes.

- b. Country-club management (1,9) occurs when primary emphasis is given to people rather than to work outputs.

- c. Authority-compliance management (9,1) occurs when efficiency in operations is the dominant orientation.

- d. Middle-of-the-road management (5,5) reflects a moderate concern for both people and production.

#### F. Contingency Approaches

Several models of leadership that explain the relationship between leadership styles and specific situations have been developed. These are termed contingency approaches.

##### 1. Fiedler's Contingency Theory.

Fiedler's contingency theory as an idea is simple: Match the leader's style with the organizational situation most favorable for a correct fit or success.

- a. Leadership style describes the leader's style as relationship oriented or task oriented.

- (1) A relationship-oriented leader is concerned with people.
  - (2) A task-oriented leader is primarily motivated by task accomplishment.
- b. Situation leadership can be analyzed in terms of:
- (1) Leader-member relations  
Represent members' attitudes toward, and acceptance of, the leader.
  - (2) Task structure  
Refers to tasks performed by the group which are defined, involve specific procedures, and have clear goals.
  - (3) Position power  
Concerns the leader's formal authority over subordinates.
- c. To use Fiedler's contingency theory, a leader needs to:
- (1) Know whether he or she has a relationship- or task-oriented style.
  - (2) Diagnose the situation and determine if the following are favorable or unfavorable:
    - (a) Leader-member relations
    - (b) Task structure
    - (c) Position power
- d. Fitting the leader style to the situation can yield large dividends.

## 2. Hersey and Blanchard's Situational Theory

The focus of this theory is that subordinates vary in their readiness level.

- a. People low in task readiness need a different leadership style than those with high maturity.
  - (1) People have low task readiness due to:
    - (a) Limited skills
    - (b) Lack of training
    - (c) Insecurity
  - (2) People with high task readiness tend to have:
    - (a) Ability
    - (b) Skills
    - (c) Confidence
    - (d) Willingness to work.
- b. The leader should evaluate subordinates and adopt the appropriate style.
  - (1) If the followers have low levels of readiness, the leader must be very specific and tell them:
    - (a) What to do
    - (b) How to do it
    - (c) When to do it
  - (2) For followers high in readiness, the leader:
    - (a) Provides a general goal
    - (b) Delegates sufficient authority to do the task
    - (c) Expects followers to complete the task as they see fit.

### 3. Path-Goal Theory

Path-goal theory is another contingency approach to leadership.

In this theory, the leader's responsibility is to increase subordinates' motivation to attain personal and organizational goals.

a. The leader increases followers' motivation by:

- (1) Clarifying the subordinates' path to the rewards that are available.

Path clarification means the leader helps subordinates learn the behaviors that lead to task accomplishment and rewards.

- (2) Increasing the rewards that they value and desire.

b. This model consists of three contingencies:

- (1) Leader behavior
- (2) Situational contingencies
- (3) Use of rewards to meet subordinate needs

c. Leader behavior. This is the style or type of behavior the leader can adopt:

- (1) Supportive leadership involves behavior that shows concern for subordinates' well-being and personal needs.

The leader creates a team climate.

- (2) Directive leadership occurs when the leader tells subordinates exactly what they are to do.

- (3) Participative leadership means the leader consults with subordinates about decisions.

The leader encourages discussion and suggestions

- (4) Achievement-oriented leadership occurs when the leader sets clear and challenging goals for subordinates.

The leader shows confidence in subordinates and assists them in achieving high goals.

These are types of leader behavior that every leader is able to adopt depending on the situation.

d. Situational contingencies are:

- (1) The personal characteristics of group members including:

- (a) Ability
- (b) Skills
- (c) Needs
- (d) Motivations

- (2) Work environment includes:

- (a) Degree of task structure
- (b) Nature of the formal authority system
- (c) The work group.

e. Use of rewards. The leader's responsibility is to:

- (1) Clarify the path to rewards for subordinates.
- (2) Increase the amount of rewards to enhance satisfaction and job performance.

V. Discussion Questions

- A. Suggest some personal traits that you believe would be useful to a leader. Are these traits more valuable in some situations than in others?
- B. What is the difference between trait theories and behavioral theories of leadership?

- C. Suggest the sources of power that would be available to the Battalion Commander of your NROTC unit. To be effective, should midshipmen commanders keep power to themselves or delegate power to other midshipmen?
- D. Would you prefer working for a leader who has a consideration or an initiating structure leadership style? Discuss the reasons for your answer.
- E. Consider Fiedler's theory as illustrated in Exhibit 4.5. How often do very favorable, favorable, intermediate, or very unfavorable situations occur in real life? Discuss.

VI. In-Class Exercises

Choose from one or more of the following from Leadership Instructor's Manual:

- A. Exercise 5: Tower Building, p. 38
- B. Exercise 2: Power Charades, p. 99
- C. Exercise 4: Bases of Power Inventory, p. 105
- D. Exercise 1: Leader Traits, p. 136

VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 5**

**HOURS 1.0**

**TITLE: DEVELOPING LEADERSHIP VISION**

I. Learning Objectives:

A. Reading Objectives:

1. The student will comprehend the desirable characteristics in a leader's vision.
2. The student will comprehend the role each of the following play in a leader's vision:
  - a. Mission Statement
  - b. Strategic/Performance objective
  - c. Value statement
  - d. Slogan
3. The student will know and comprehend the Guidelines for Formulating a Vision.
4. The student will know the three considerations of effective visionary leadership and explain why they are important.
5. The student will know and comprehend the four "E's" of visioning skills.

B. Discussion Objectives:

1. The student will comprehend the role each of the following play in a leader's vision:
  - a. Mission Statement
  - b. Strategic/Performance objective
  - c. Value statement
  - d. Slogan

2. The student will know and comprehend the Guidelines for Formulating a Vision.
3. The student will apply the concepts of this chapter to develop a Vision for their NROTC Battalion (or Platoon or Squad.)

## II. References and Texts

### A. Instructor References

1. Leadership and Management, Chapter 5
2. Leadership Theory and Practice, Chapter 5

### B. Student References

1. Leadership and Management, Chapter 5

## III. Instructor Notes

*There can be no leadership without vision.*

Manfred Kets de Vries

*Vision is only a dream if it does not have commitment and support from the people involved.*

Lou Quast and David Lee

*There are many paths in the dark woods, but few are brave enough to walk them. Fewer still are those who believe so deeply in their own vision . . . that they risk saying "Follow me," as they begin the journey.*

Robert Richardson and Katherine Thayer

*The crowd will follow a leader who marches twenty steps in advance; but if he is a thousand steps in front of them, they do not see and do not follow him.*

George Brandes

- A. This lesson highlights the importance of being able to effectively communicate your vision to your subordinates in such a way that they will adopt it as their own, accepting the necessary sacrifices in the anticipation of a greater future outcome. Your vision as a leader is the essence of what you want to achieve and where you intend to go. After defining your vision, you must effectively communicate it to your subordinates, and then back your words up with concrete action to give credibility to your message.

- B. Establishing a clear vision will allow subordinates to understand why they are doing what they are doing and link differing responsibilities to a single grand outcome, compelling everyone involved to strive towards a common, mutually beneficial goal. If your followers are committed to your vision, then great accomplishments are possible.

#### IV. Chapter Outline

##### A. Desirable characteristics in a leader's vision

1. Simple and idealistic, not a complex plan with quantitative objectives and detailed action steps.
2. Appeal to the values, hopes, and ideals of those whose support is needed.
3. Emphasis on distant ideological objectives, not immediate tangible benefits
4. Challenging, but realistic, not wishful fantasy, but rather an attainable future grounded in the present reality; focused, but flexible
5. Simple enough to be communicated clearly in 5 minutes or less.

##### B. Mission Statement

A vision conveys not only a mission statement of what is expected to be achieved, but also why it is worthwhile, and how it can be done to benefit both the customer and the supplier.

##### C. Strategic/Performance objective

A vision focuses on values and ideological themes, as well as the milestones that must be passed towards achieving those ideological objectives.

##### D. Value statement

A vision explains the relative priority of each of the values, how they are interrelated, and how they will be

expressed and achieved, rather than simply stating a list of values.

E. Slogan

1. A vision can incorporate a slogan to summarize and communicate its values in simple terms.
2. However, a slogan is not large enough to encompass the multiple values in a vision, and overemphasis on a simplistic slogan can trivialize the vision.

F. Guidelines for Formulating a Vision

1. Involve key stakeholders such as senior officers, peers, senior enlisted, subordinates.
2. Identify strategic objectives with wide appeal looking for shared values and ideals.
3. Identify relevant elements in the old ideology that may be worthy of preservation in the foreseeable future.
4. Link the vision to core competencies.
5. Evaluate the credibility of the vision.
6. Continually assess and refine the vision, including looking for ways to make the vision more appealing and credible.

G. The three considerations of effective visionary leadership

1. The leader's personal characteristics, the leader's behavior, and the situation.
2. Visionary leaders share certain characteristics that are different from the personality traits on which early leadership research was focused.
3. In addition, they have a deep, basic awareness of key situational factors that dictate what leadership approach and actions are required.

4. Furthermore, these leaders not only know what behaviors are required, they can also carry out those behaviors.

H. The four "E's" of visioning skills

1. Express by behavior the sequence of actions to be taken to realize the vision.
2. Explain the vision to others in such a way that others can embrace the vision as their own.
3. Extend the vision's applicability to a variety of situations to be implemented in several ways across different units.
4. Expand the vision to make it applicable in many different ways in a broad range of circumstances throughout the entire organization.

V. Discussion Questions

- A. Discuss some examples of visionary leaders. Evaluate them with respect to the list of behaviors associated with visionary leaders. What made each of them effective in communicating their vision to their subordinates? Discuss ways to get "buy in" from your subordinates so they adopt your vision as your own.
- B. What are some personal behaviors that are associated with visionary leaders?

Ability to focus other's attention on key issues -- Helping people grasp, understand, and become committed to the leaders' vision.

Effective communication -- Listening for understanding, rephrasing to clarify, giving constructive feedback, and summarizing when appropriate.

Consistency and trustworthiness -- It is always clear where they stand on issues and that people can trust that what the leaders said is, in fact, what was really meant.

Display of respect for self and others -- This display of self-respect comes across not only in the leaders'

attitude of self-confidence but also in how they treat others.

Ability to make others around them feel good by boosting self-worth by paying attention, trusting, sharing ideas, and making it clear how important others are.

Willingness to take calculated risks and commitment to risks -- All their efforts go toward achieving their goals, and they encourage others to take risks with them and share in the effort and the rewards.

They motivate by "pulling" us along with them, rather than pushing us in their desired direction.

- C. Discuss the student's ideas for a vision for their first division or platoon.
- D. Discuss the Commanding Officer's vision for a command you have served in.
  - 1. If you have a copy, put it on an overhead or write it on the chalkboard.
  - 2. How was the vision communicated throughout the command? Was it effective or ineffective?
- E. One great advantage in effectively communicating your vision is that doing so encourages your subordinates to take the initiative in moving forward without having to be directed. Discuss how your proposed vision empowers your subordinates.
- F. Discuss the "Four E's of Visioning Skills" as they apply to implementing one of the vision statements you have discussed.

## VI. In-Class Exercises

- A. Choose from one or more of the following from Leadership Instructor's Manual:

Exercise 3: Finger Ring, p. 202

- B. Announce that your students have just been selected as platoon commanders (or squad leaders or the Battalion Commander) for next fall.

1. Have the students individually write out their vision for their time in this job, then discuss their ideas in small groups.
2. Have each group write a proposed vision on the chalkboard and then discuss the strengths and weaknesses of their ideas.
  - a. Examine each vision for a mission statement, strategic/performance objective, value statement and potential slogan.
  - b. Choose one of the visions on the board and have the students improve it.

VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 6**

**HOURS 1.0**

**TITLE: PLANNING FOR MISSION ACCOMPLISHMENT**

I. Learning Objectives

A. Reading Objectives

1. The student will comprehend goals and plans and explain the relationship between them.
2. The student will comprehend the concept of organizational mission and how it influences goal setting and planning.
3. The student will comprehend the types of goals an organization should have and why they resemble hierarchy.
4. The student will comprehend the characteristics of effective goals.
5. The student will comprehend the four essential steps in the MBO process.
6. The student will comprehend the difference between single-use plans and standing plans.
7. The student will comprehend how responsibility can be allocated to accomplish planning and goal setting.
8. The student will comprehend the new planning paradigm and its use in learning organizations.

B. Discussion Objectives:

1. The student will comprehend the concept of organizational mission and how it influences goal setting and planning.
2. The student will comprehend the four essential steps in the MBO process.

3. The student will comprehend the new planning paradigm and its use in learning organizations.

## II. References and Texts

### A. Instructor References

1. Leadership and Management, Chapter 6
2. Management, Chapter 7

### B. Student References

1. Leadership and Management, Chapter 6

## III. Instructor Notes

*A human being should be able to plan an invasion, butcher a hog, conn a ship, design a building, write a sonnet, balance accounts, build a wall, set a bone, comfort the dying, take orders, give orders, cooperate, act alone, pitch manure, solve equations, analyze a new problem, program a computer, cook a tasty meal, fight efficiently, die gallantly. Specialization is for insects.*

Robert A. Heinlein, *The Notebook of Lazarus Long*

*If you want some ham, you gotta go into the smokehouse.*

Huey Long

*It was not the Roman army that conquered Gaul, but Caesar; it was not the Carthaginian army that made Rome tremble in her gates, but Hannibal; it was not the Macedonian army that reached the Indus, but Alexander.*

Napoleon Bonaparte

*Accomplishing the impossible means only that the boss will add it to your regular duties.*

Doug Larson

*If a man does not know what port he is steering for, no wind is favorable to him.*

Seneca

- A. Planning for mission accomplishment is the work of figuring out how to translate vision and mission into action. Planning is a general description that describes defining goals, establishing strategy, and developing plans to coordinate activities. Like vision, plans change, but successful units develop plans that focus on core competencies and synergy. Planning is implemented through the systems and structures that are the basic architecture for how things get done in the organization.

- B. Leaders decide on direction through rational analysis, as well as intuition and personal experience. Leaders make a real difference for their organization only when they link vision to planning for mission accomplishment, so that vision is more than just a dream. Superior organizational performance is not a matter of luck. It is determined by plans leaders develop. Operation Desert Fox illustrates the concept of planning for mission accomplishment.

#### IV. Chapter Outline

##### A. Overview Of Goals And Plans

Of the management functions described in Chapter 2 (i.e., planning, organizing, leading, and controlling), planning is considered the most fundamental.

1. Everything starts with planning
  - a. Planning is the most controversial management function. Planning cannot read an uncertain future and cannot tame a turbulent environment.
  - b. One authority on planning noted: "Most corporate planning is like a ritual rain dance; it has no effect on the weather that follows, but it makes those who engage in it feel that they are in control."
  - c. Goals and plans have become general concepts in our society.
2. A goal is defined as a desired future state the organization attempts to realize.
  - a. Goals are important because they define the purpose of an organization.
  - b. A plan is defined as a blueprint or plan for goal achievement.
  - c. Plans specify necessary resource allocations, schedules, tasks, and other actions.
    - (1) Goals specify future ends.

- (2) Plans specify today's means.
- 3. The planning process starts with a formal mission that defines the basic purpose of the organization, especially for external audiences.
  - a. The mission is the basis for the strategic (company) level of goals and plans.
  - b. The strategic level of goals and plans shape the tactical (divisional) level and the operations (department) level.
  - c. Planning at each level supports the other levels.
  - d. Planning usually includes determining the organization's goals and defining the means to achieve them

B. Goals, Plans, and Performance

Planning positively affects a company's performance.

1. Legitimacy

- a. An organization's mission describes what the organization stands for and its reason for existence.
- b. It symbolizes legitimacy to external audiences, such as:
  - (1) Investors
  - (2) Customers
  - (3) Suppliers.
- c. It is a source of motivation and commitment.

Goals and plans facilitate employees' identification with the organization.

2. Guides to action

Goals and plans focus on specific targets and direct employee efforts toward important outcomes.

3. Rationale for decisions
  - a. Through goal setting and planning, managers learn what the organization is trying to accomplish.
  - b. Decisions throughout the organization must be consistent with the plan.
4. Standard of performance
  - a. As goals define outcomes for the organization, they serve as performance criteria.
  - b. The overall planning process prevents managers from thinking in terms of day-to-day activities.

### C. Goals In Organizations

1. Organizational Mission
  - a. At the top of the goal hierarchy is the mission, which states the organization's values, aspirations, and reason for existence.
  - b. Mission statements are the basis for development of all goals and plans and often focus on items, such as:
    - (1) Market and customers
    - (2) Desired types of activities
    - (3) Corporate values
    - (4) Product quality
    - (5) Location of facilities
    - (6) Attitude toward employees
  - c. From the mission statement, everyone knows the purpose and values of the company, including the following:
    - (1) Board of directors

- (2) Employees
- (3) Customers
- (4) Suppliers
- (5) Stockholders
- (6) Public

## 2. Goals and Plans

### a. Goals and plans at three different levels:

- (1) Strategic
- (2) Tactical
- (3) Operational

### b. Strategic goals are broad statements describing where the organization wants to be in the future.

- (1) Strategic goals pertain to the entire organization rather than to specific divisions or departments.
- (2) Strategic plans. Define the action steps by which the company intends to attain strategic goals.
- (3) The strategic plan is the blueprint that defines the organizational activities and resource allocations.
- (4) Strategic planning tends to be long-term.

### c. Tactical goals are the results that major divisions and departments within the organization intend to achieve.

- (1) Tactical goals apply to middle management and describe what major subunits must do in order for the organization to achieve strategic goals.

- (2) Tactical plans. Are designed to help execute major strategic plans.
- (3) Tend to be for a shorter time period.
- d. Operational goals are the specific results expected from departments, work groups, and individuals.
  - (1) Operational plans. Are developed at the lower levels of the organization to specify action plans toward achieving operational goals and to support tactical plans.
  - (2) Peter Drucker suggests organizations focus on several content areas:
    - (a) Innovation
    - (b) Productivity
    - (c) Physical and financial resources
    - (d) Managerial performance and development
    - (e) Worker performance and attitude
    - (f) Public responsibility

### 3. Hierarchy of Goals

- a. Effectively designed organizational goals fit into a hierarchy where the achievement of goals at lower levels permits the attainment of higher level goals.
- b. This is called a means-ends chain because lower level goals lead to accomplishment of higher level goals.
- c. Employee empowerment has led to greater involvement of all employees in goal-setting and planning at each level.

### D. Criteria For Effective Goals

#### Goal Characteristics

Goal characteristics pertain to organizational goals at the strategic, tactical, and operational levels and should:

1. Be specific and measurable.
  - a. When possible, goals should be expressed in quantitative terms.
  - b. Vague goals tend not to motivate employees.
  - c. Cover key result areas.
  - d. Key result areas are those items that contribute most to company performance.
  - e. Key result areas should include both internal and external customers.
2. Be challenging but realistic.
  - a. The best quality programs start with extremely ambitious goals that challenge employees to meet high standards.
  - b. When goals are unrealistic, they set employees up for failure and lead to decreasing employee morale.
  - c. If goals are too easy, employees may not feel motivated.
3. Be for a defined time period
  - a. Goals should specify the time period over which they will be achieved.
  - b. A time period is a deadline on which goal attainment will be measured.
4. Be linked to rewards.
  - a. The impact of goals depends on the extent to which salary increases, promotions, and awards are based on goal achievement.

- b. People who attain goals should be rewarded.

#### E. Planning Types And Models

Critical to successful planning are flexibility and adaptability to changing environments. The following are the most popular planning approaches.

##### 1. Management by Objectives

- a. Management by objectives (MBO) is a method whereby managers and employees define objectives for every department, project, and person and use them to monitor subsequent performance.
- b. Four major activities must occur in order for MBO to be successful.

###### (1) Setting goals

- (a) Setting goals is the most difficult step in MBO and should involve employees at all levels.

###### (b) A good goal should:

1. Be concrete and realistic
2. Provide a specific target and time frame
3. Assign responsibility

- (c) Mutual agreement between employee and supervisor creates the strongest commitment to achieving goals.

###### (2) Developing action plans

- (a) An action plan defines the course of action needed to achieve the stated goals.

- (b) Action plans are made for both individuals and departments.

###### (3) Reviewing progress

(a) A periodic progress review is important to ensure action plans are working.

(b) This review allows managers and employees to see if they are on target and if corrective action is necessary.

(4) Appraising overall performance

(a) The final step in MBO is to evaluate whether annual goals have been achieved for both individuals and departments.

(b) Success or failure to achieve goals can be part of the performance appraisal system and the designation of salary increases and other rewards.

c. The MBO cycle repeats itself on an annual basis

d. Corporate goals are more likely to be achieved when they focus' on manager and employee efforts.

e. Problems with MBO occur when the company faces rapid change.

f. The environment and internal activities must have some stability for performance to be measured against goals.

2. Single-Use and Standing Plans

a. Single-use plans are developed to achieve objectives that are not likely to be repeated in the future. Single-use plans include both programs and projects.

b. Standing plans are used to provide guidance for tasks performed repeatedly within the organization. The primary standing plans are organizational policies, rules, and procedures.

c. Quality planning and the Shewhart Cycle.

- (1) Total quality management (TQM) is an example of a standing plan companies use to improve quality and production.
- (2) Companies often use the Shewhart Cycle of continuous improvement, which repeats itself continuously.

### 3. Contingency Plans

- a. Contingency plans, often referred to as scenarios, define company responses to be taken in case of emergencies or setbacks.
- b. Planners identify uncontrollable factors, such as recession, inflation, technological developments, or safety accidents.
- c. A planning team develops a forecast for the worst-case scenario.

### F. Planning Time Horizon

Organizational goals and plans are associated with specific time horizons. Time horizons are long-term, intermediate, and short-term.

1. Long term planning includes strategic goals and plans and may extend five years in the future.
2. Intermediate-term planning includes tactical goals and has a time horizon of one to two years.
3. Short-term planning includes operational goals for specific departments and individuals and has a time horizon of one year or less.

One of the major problems in companies today is the emphasis on short-term results. Short-term performance is rewarded and long term planning is slighted.

### G. Planning In Learning Organizations

The New Planning Paradigm

A compelling vision often serves to increase employee commitment and motivation as well as provide a guide for planning and decision making.

1. Set stretch goals which are:  
Highly ambitious goals that are clear, compelling, and imaginative.
2. Create an environment that encourages learning.
3. Design new rules for planning staff.
4. Make continuous improvement a way of life.
5. Remember that planning still starts and stops at the top.

#### V. Discussion Questions

- A. Define goals and plans and explain the relationship between them.
- B. Explain the concept of organizational mission and how it influences goal setting and planning.
- C. Describe the types of goals an organization should have and why they resemble a hierarchy.
- D. Define the characteristics of effective goals.
- E. Describe the four essential steps in the MBO process.
- F. Explain the difference between single-use plans and standing plans.
- G. Describe how responsibility can be allocated to accomplish planning and goal setting.
- H. Explain the new planning paradigm and its use in learning organizations.
- I. Discuss Major Robert's article about Operation Desert Fox. Relate the strategic, operational, and tactical goals of the operation to the Daft article. What other planning elements did you notice in the reading?

VI. In-Class Exercises

Choose from one or more of the following from Leadership Instructor's Manual:

Exercise 1: Charting Your Goals, p. 274

VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 7**

**HOURS 1.0**

**TITLE: THE CHAIN OF COMMAND AND LEADERSHIP TRIAD**

I. Learning Objectives

A. Reading Objectives:

1. The student will comprehend the concept of the Chain of Command as an institution.
2. The student will know the key factors that determine the effectiveness of the Chain of Command.
3. The student will know the terms Authority, Responsibility, and Accountability and describe how they interrelate within the Leadership Triad.
4. The student will comprehend how Authority, Responsibility, and Accountability relate within the Chain of Command.
5. The student will know why we are held accountable for results and not intentions.
6. The student will know how Authority is an important tool for success in the execution of one's Responsibilities.
7. The student will apply the concepts of Responsibility, Accountability, and Authority to leadership situations in the Battalion and in the Fleet.
8. The student will comprehend the major aspects and potential advantages of delegation.
9. The student will comprehend reasons leaders fail to delegate.
10. The student will comprehend important guidelines for delegation, including what to delegate and how to delegate.

B. Discussion Goals:

1. The student will know the key factors that determine the effectiveness of the Chain of Command.
2. The student will apply the concepts of Responsibility, Accountability, and Authority to leadership situations in the Battalion and in the Fleet.
3. The student will comprehend the major aspects and potential advantages of delegation.
4. The student will comprehend reasons leaders fail to delegate.

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 7
2. Management, Chapter 10

B. Student References

1. Leadership and Management, Chapter 7

III. Instructor Notes

*I wish to have no connection with any ship that does not sail fast,  
for I intend to go in harm's way.*

John Paul Jones

*Don't threaten. I know it's done by some of our people, but I don't  
go for it. If people are running scared, they're not going to make  
the right decisions. They'll make decisions to please the boss  
rather than recommend what has to be done.*

Charles Pilliod

*And when we think we lead, we are most led.*

Lord Byron

*The question, "Who ought to be boss?" is like asking, "Who ought to  
be the tenor in the quartet?" Obviously, the man who can sing  
tenor.*

Henry Ford

*Question authority, but raise your hand first.*

Bob Thaves

- A. In this session, we will discuss the framework for our actions (the Chain of Command) and the concepts by which we function in this framework (the Leadership Triad: Authority, Responsibility, and Accountability).
- B. Fulfilling our responsibilities through the proper use of authority and acceptance of accountability is how naval officers earn the "special trust and confidence" bestowed upon us by our nation. The definitions in the session can get very heavy. Try to ground the meanings of the Chain of Command and the Leadership Triad into tangible examples whenever possible.

#### IV. Chapter Outline

- A. Define and discuss with the students each element of the Leadership Triad: Authority, Responsibility, Accountability.
  - 1. Authority
    - a. Legitimate right to use assigned resources, including personnel, to accomplish a task or objective; the right to give orders and expect obedience.
    - b. Sources of authority include:
      - (1) Conferred by the group over which authority is exercised (may be legitimate or illegitimate).
      - (2) Based on position - command duty officer, gate sentry, etc.
      - (3) Based on rank/pay grade.
    - c. Authority is central to the positional power of managers. Recall the discussion of sources of power from Lesson 4.
  - 2. Responsibility:
    - a. The obligation to complete a task or perform a mission.
    - b. Responsibility exists individually and at all levels of an organization.

"Responsibility is a unique concept. It can only reside and inhere in a single individual. You may share it with others, but your portion is not diminished. You may delegate it, but it is still with you. You may disclaim it, but you cannot divest yourself of it. Even if you do not recognize it or admit its presence, you cannot escape it. If responsibility is rightfully yours, no evasion or ignorance or passing the blame can pass the burden to someone else. Unless you can point your finger at the man responsible when something goes wrong, then you have never had anyone really responsible."

H. G. RICKOVER

3. Accountability

- a. The process by which a subordinate reports the outcome of the use of assigned resources to a designated superior and stands ready to assume the consequences, good or bad, for such outcomes.
- b. Ultimate accountability can never be delegated even though authority and responsibility may be.

4. This would be a good time to interject a sea story that highlights the concept and context of the Chain of Command and the Leadership Triad.

B. Delegation

1. Major aspects of delegation include the following:

- a. The variety and magnitude of responsibilities
- b. The amount of discretion or range of choice allowed in deciding how to carry out responsibilities
- c. The authority to take action and implement decisions without prior approval
- d. The frequency and nature of reporting requirements
- e. The flow of performance information.

2. Potential advantages of delegation include:

- a. Improvement of decision quality
  - b. Great subordinate commitment
  - c. Time management
  - d. Job enrichment
  - e. Development of managerial talent
3. Reasons why leaders fail to delegate
- a. Strong need for power.
  - b. Doubt in subordinate ability.
  - c. Perception of different values and objectives in a subordinate.
  - d. Managers with exceptional task expertise, self-confidence, and a desire to maintain a high quality of work.
  - e. Situational constraints.
  - f. Protection of confidential information.
  - g. Highly interdependent subordinate jobs.
4. Important guidelines for delegation.
- a. What to delegate:
    - (1) Tasks that can be done better by a subordinate
    - (2) Tasks that are urgent but not high priority
    - (3) Tasks relevant to a subordinate's career
    - (4) Tasks of appropriate difficulty
    - (5) Both pleasant and unpleasant tasks
    - (6) Tasks not central to the manager's role
  - b. How to delegate:

- (1) Specify responsibilities clearly
- (2) Provide adequate authority and specify limits of discretion
- (3) Specify reporting requirements
- (4) Ensure subordinate acceptance of responsibilities
- (5) Inform others who need to know
- (6) Monitor progress in appropriate ways
- (7) Arrange for the subordinate to receive necessary information
- (8) Provide support and assistance, but avoid reverse delegation
- (9) Make mistakes a learning experience.

#### V. Discussion Questions

- A. Identify how the concepts of Responsibility, Accountability, and Authority apply to you as midshipmen. NROTC instructions provide the responsibilities of 1/C, 2/C, 3/C and 4/C.
- B. Identify your potential billets next semester and discuss whether delegation will be important in your new billets.
- C. Is it possible to delegate to peers?
- D. How can delegating affect your time management? What can you delegate in order to free yourself for other activities? A CO said, *"I don't want to do my job; I have worked hard for this position. I want the XO to do my job. It trains him to be CO and it gives me more time to attend to the needs of my crew, even if it means time away from my desk and playing golf with them."* That crew won the Battle Efficiency "E" and the Golden Anchor Award that year. The XO screened for CO and was promoted to Commander. Delegation works.

#### VI. In-Class Exercises

Choose from one or more of the following from Leadership Instructor's Manual:

Exercise 1: The Hollow Square, p. 277

VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 8**

**HOURS 1.0**

**TITLE: CHANGE AND DEVELOPMENT**

I. Learning Objectives

A. Reading Objectives:

1. The student will comprehend the concept of organizational change and explain the forces for change.
2. The student will comprehend the sequence of four change activities that must be performed in order for change to be successful.
3. The student will comprehend techniques managers can use to facilitate the initiation of change in organizations, including idea champions and new-venture teams.
4. The student will comprehend sources of resistance to change.
5. The student will comprehend force field analysis and other implementation tactics that can be used to overcome resistance to change.
6. The student will comprehend the differences between transactional, charismatic, and transformational leaders.
7. The student will comprehend which leadership style is best suited to lead organizational change.

B. Discussion Objectives:

1. The student will comprehend techniques managers can use to facilitate the initiation of change in organizations, including idea champions and new-venture teams.

2. The student will comprehend sources of resistance to change.
3. The student will comprehend which leadership style is best suited to lead organizational change.

## II. References and Texts

### A. Instructor References

1. Leadership and Management, Chapter 8
2. Management, Chapter 12
3. Leadership Theory and Practice, Chapter 15

### B. Student References

1. Leadership and Management, Chapter 8

## III. Instructor Notes

*If you miss seven balls out of ten, you're batting three hundred and that's good enough for the Hall of Fame.*

Walter B. Wriston

*He who would eat the fruit must climb the tree.*

Scottish Proverb

*I am tired of dealing with a lot of prima donnas. By God, you tell that bunch that if they can't get together and stop quarreling like children, I will tell the Prime Minister to get someone else to run this damn war.*

General Dwight D. Eisenhower

*I like a little rebellion now and then. It is like a storm in the atmosphere.*

Thomas Jefferson

- A. Change is inevitable in organizations, and the increased pace of change in today's global environment has created even greater problems for leaders. Despite the difficulties of major change, leaders can help ensure a successful change effort by following the eight-stage model of planned change.
- B. There are four types of planned change that can occur in organizations: strategy and structure changes, technology changes, product and service changes, and culture changes. Leaders can create an environment that nourishes

creativity in the entire organization to facilitate change in these areas.

- C. More organizations than ever face a need for fundamental, widespread transformation. Transformational leadership is one way leaders can renew entire organizations. Transformational leadership inspires followers to go beyond their own self-interest for the good of the whole, and it paints a compelling vision of a desired future that makes the pain of change worth the effort.

#### IV. Chapter Outline

##### A. The Learning Organization

1. In today's complex world, organizations need to continuously adapt to new situations if they are to survive and prosper.
2. The current trend is toward development of the learning organization. The learning organization engages everyone in problem solving and continuous improvement based on the lessons of experience.
  - a. Leadership provides vision for development of strategies and serves to support:
    - (1) Empowerment of employees
    - (2) Extent of openness in information sharing
  - b. Empowerment liberates employees and places upon them the added responsibilities of:
    - (1) Working collaboratively
    - (2) Initiating changes
    - (3) Participating in strategy to benefit the entire organization.
  - c. Redefining culture demands the:
    - (1) Rethinking of roles, processes, and values

- (2) Breaking down barriers that have separated departments so that everyone shares information and works together.
  - d. Information sharing requires adjustments on the part of managers for the inclusion of employees, suppliers, and customers, often requiring cultural and structural changes.
  - e. Strategy is linked to structure and culture as the organization changes its fundamental way of doing business.
  - f. The horizontal structure, which replaces the hierarchical pyramid, incorporates empowerment and information sharing.
3. The learning organization simultaneously embraces two types of planned change:
- a. Operational change based on organizational efforts to improve basic work
  - b. Organizational processes in different areas of the business.

## B. Model Of Planned Organizational Change

1. Change can be managed.
- By observing external trends, patterns, and needs, managers use planned change to help the organization adapt to external problems and opportunities.
2. Organizational change is the adoption of a new idea or behavior by an organization. Four events make up the change sequence:
- a. Internal and external forces for change exist.
  - b. Organization managers monitor these forces and become aware of a need to change.
  - c. The perceived need triggers the initiation of change.
  - d. Change is then implemented.

### 3. Forces for Change

Forces for change exist both in the external environment and within the organization.

#### a. Environmental forces include:

- (1) Customers
- (2) Competitors
- (3) Technology
- (4) Economic
- (5) International arena.

#### b. Internal forces for change arise from internal activities and decisions by:

- (1) Management
- (2) Employees
- (3) Labor unions
- (4) Production inefficiencies.

### 4. Need for Change

#### a. External or internal forces translate into a perceived need for change within the organization.

#### b. Managers recognize a need for change when there is a performance gap -- a disparity between existing and desired performance levels.

- (1) Managers must be alert to problems and opportunities.
- (2) Big problems are easy to spot.

#### c. Organizations may be in greater danger when the environment changes slowly, because managers may fail to trigger an organizational response.

### C. Initiating Change

This is the stage where ideas that solve perceived and communicated needs are developed, which is a critical aspect of change management.

1. Responses an organization can make are:
  - a. Search for a change to adopt
  - b. Create a change to adopt
2. Search
  - a. The process of learning about current developments inside or outside the organization that can be used to meet the perceived need for change.
  - b. Search typically uncovers existing knowledge that can be applied or adopted within the organization.
3. Creativity
  - a. Creativity is defined as the generation of novel ideas that may meet perceived problems.
  - b. Creative individuals develop ideas that can be adopted by the organization. Creative people are often known for:
    - (1) Originality
    - (2) Curiosity
    - (3) Open-mindedness
    - (4) Focused approach to problem solving
    - (5) Persistence
    - (6) Relaxed and playful attitude
    - (7) Receptiveness to new ideas.
  - c. Creativity can be designed into organizations. Characteristics of creative organizations

correspond to those of individuals. Creative organizational conditions include:

- (1) Open channels of communication
- (2) Assignment of nonspecialists to problems
- (3) Decentralization
- (4) Freedom to choose problems
- (5) Resources allocated to creative personnel without immediate payoff.

4. Idea Champions and New-Venture Teams

a. Idea champion. A person who sees the need for, and champions, productive change within the organization.

- (1) New ideas must be carried forward for acceptance and implementation.
- (2) Change does not occur by itself.

b. Four roles in organizational change:

- (1) Inventor
- (2) Champion
- (3) Sponsor
- (4) Critic

5. New-Venture Teams. A new-venture team is a unit separate from the rest of the organization and is responsible for developing and initiating innovations.

a. These teams are typically small, loosely structured, and organic, reflecting the characteristics of creative organizations.

b. The intent is to free this team from organizational rules and procedures, organizational bureaucracy, and, in other words, from the constraints of the large organization.

- c. New-Venture Fund. Provides resources from which individuals and groups draw to develop new ideas, products, or businesses.

#### D. Implementing Change

Creative culture, idea champions, and new-venture teams are ways to facilitate the initiation of new ideas. A new, creative idea will not benefit the organization until it is in place and being fully used. A frustration for managers is that employees often resist accepting the new idea for no apparent reason. Managers should be aware of the reasons for employee resistance and be prepared to use techniques for obtaining employee cooperation.

##### 1. Resistance to Change

Idea champions and members of new-venture groups often discover that other employees are unenthusiastic about their new ideas.

- a. Managers and employees not involved in developing an innovation often prefer the status quo.
- b. Employees appear to resist change for the following reasons and understanding these reasons helps managers implement change more effectively:

###### (1) Self-interest

- (a) Employees typically resist a change they believe will take away something of value.
- (b) A proposed change in job design, structure or technology may lead to a perceived loss of power, prestige, pay, or company benefits.
- (c) The fear of personal loss is perhaps the biggest obstacle to organizational change.

###### (2) Lack of understanding and trust

Employees often do not understand the intended purpose of a change or distrust management's intentions for the change.

(3) Uncertainty

(a) Employees lack information about future events.

(b) Uncertainty represents a fear of the unknown as employees do not know how a change will affect them.

(c) Uncertainty is especially threatening for employees who have a low tolerance for change and fear the unusual.

(4) Different assessments and goals

(a) Employees who will be affected by innovation may assess the proposed change differently than an idea champion or new-venture team.

(b) Resistance to the change may call attention to problems with the innovation.

(c) These reasons for resistance are legitimate in the eyes of employees affected by the change.

(d) The best procedure for managers is not to ignore resistance, but to diagnose the reasons for resistance to change and design strategies to gain acceptance by users.

(e) Strategies for overcoming resistance to change typically involve two approaches:

1. Analysis of resistance through the force field technique.

2. Use of selective implementation tactics to overcome resistance.

## 2. Force Field Analysis

- a. Force field analysis suggests that change is a result of the competition between driving and restraining forces.
- b. When a change is introduced, some forces drive it and other forces resist it.
- c. To implement a change, management should analyze the change forces.
- d. By selectively removing the forces that restrain change, the driving forces will be strong enough to enable implementation of the innovation.

## 3. Implementation Tactics

Methods for dealing with resistance to change include the following tactics which have been successful in implementing change:

### a. Communication and Education

- (1) Used when solid information about the change is needed by users and others who may resist implementation.
- (2) Education is important when the change involves new technical knowledge or the users are unfamiliar with the idea.

### b. Participation

- (1) Involves users and potential resisters in designing the change.
- (2) This approach is time consuming, but it pays off because users understand and become committed to the change.
- (3) Participation also helps managers determine potential problems and understand the differences in perceptions of change among employees.

### c. Negotiation

- (1) A more formal means of achieving cooperation. Negotiation uses formal bargaining to win acceptance and approval of a desired change.
- (2) Companies that have strong unions frequently must formally negotiate change with the unions.

d. Coercion

- (1) This means managers use formal power to force employees to change. Resisters are told to accept the change or lose rewards or their jobs.
- (2) Coercion may be necessary in crisis situations when a rapid response is urgent.

e. Top Management Support

- (1) The visible support of top management also helps overcome resistance to change.
- (2) This symbolizes to all employees that the change is important for the organization. Without top management support the desired change will probably not happen.

E. Change Leadership

What kind of people can lead an organization through major changes? Two types of leadership that can have a substantial impact are charismatic and transformational leadership. These types of leadership are best understood in comparison to transactional leadership.

The traditional management function of leading has been called transactional leadership.

1. Transactional Leaders

a. Transactional leaders:

- (1) Clarify the role and task requirements of subordinates

- (2) Initiate structure
  - (3) Provide appropriate rewards
  - (4) Try to meet the social needs of subordinates.
- b. Transactional leaders:
- (1) Excel at management functions
  - (2) Are hardworking
  - (3) Are tolerant
  - (4) Are fair minded.
- c. Transactional leaders often stress the impersonal aspects of performance such as:
- (1) Plans
  - (2) Schedules
  - (3) Budgets

## 2. Charismatic Leaders

- a. The charismatic leader has the ability to inspire and motivate people to do more than they would normally do, despite obstacles and personal sacrifice.
- b. Charismatic leaders are normally able to:
- (1) State a vision of an imagined future with which employees identify
  - (2) Shape a corporate value system for which everyone stands
  - (3) Trust subordinates and earn their complete trust in return.

## 3. Transformational Leaders

- a. Transformational leaders are similar to charismatic leaders, but are distinguished by

their special ability to bring about innovation and change.

- b. Transformational leaders create significant change in both followers and the organization.
- c. They have the ability to lead changes in the organization's mission, structure, and human resource management.
- d. They focus on intangible qualities, such as vision, shared values, and ideas to build relationships, give larger meaning to separate activities, and provide common ground to enlist their followers in the changes.

F. In summary, let's review the Manager's Shoptalk Box on John P. Kotter's Eight Step Plan for Implementing Change

1. Establish a sense of urgency through careful examination of the market and identification of opportunities and potential crises.
2. Form a powerful coalition of managers able to lead change.
3. Create a vision to direct change and the strategies for achieving that vision.
4. Communicate the vision throughout the organization.
5. Empower others to act on the vision by removing barriers, changing systems, and encouraging risk taking.
6. Plan for visible, short-term performance improvements and create those improvements.
7. Consolidate improvements, reassess changes, and make necessary adjustments in the new programs.
8. Articulate the relationship between new behaviors and organizational success.

V. Discussion Questions

- A. What are internal and external forces for change? Which force do you think is the major cause of organizational change?
- B. Carefully planned change often is assumed to be effective. Do you think unplanned change can sometimes be beneficial to an organization? Discuss.
- C. Why do organizations experience resistance to change? What techniques can managers use to overcome resistance?
- D. Explain force field analysis. Analyze the driving and restraining forces for a change with which you have been associated.
- E. Define the roles associated with an idea champion. Why are idea champions so essential to the initiation of change?
- F. Discuss John P. Kotter's Eight Step Plan for Organizational Change and relate the eight steps to VADM Cebrowski's article on Network Centric Warfare

VI. In-Class Exercises: None

VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 9**

**HOURS 1.0**

**TITLE: TRANSACTIONAL AND TRANSFORMATIONAL LEADERSHIP**

I. Learning Objectives

A. Reading Objectives

1. The student will comprehend the characteristics of transactional leadership.
2. The student will comprehend the characteristics of transformational leadership.
3. The student will comprehend the primary differences between transformational and transactional leadership.
4. The student will comprehend the impacts that transformational leadership can have on a unit.

B. Discussion Objectives

1. The student will comprehend the primary differences between transformational and transactional leadership.
2. The student will comprehend the impacts that transformational leadership can have on a unit.

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 9
2. Leadership Theory and Practice, Chapter 15
3. Management, Chapter 16

B. Student References

1. Leadership and Management, Chapter 9

### III. Instructor Notes

*Setting an example is not the main means of influencing another, it is the only means.*

Albert Einstein

*A prime function of a leader is to keep hope alive.*

John W. Gardner

*Nothing great was ever achieved without enthusiasm.*

Ralph Waldo Emerson

*We few, we happy few, we band of brothers;  
For he to-day that sheds his blood with me  
Shall be my brother; be he ne're so vilde  
This day shall gentle his condition  
And gentlemen in England now a-bed  
Shall think themselves accurs'd they were not her.  
And hold their manhoods cheap whiles any speaks  
That fought with us upon Saint Crispians day.*

Shakespeare, *Henry V*

- A. Recent studies in leadership have focused on a variety of approaches to the leadership problem, including theories of situational leadership, path-goal theory leadership, visionary leadership and servant leadership. Two of the most important of these ideas for military leaders are transactional leadership and transformational leadership.
- B. Transactional leadership is an exchange-based relationship between the leader and the followers, in which each gets some (or all) of their needs met. This relationship between leader and follower tends to be transitory and is effective only as long as the relationship is mutually beneficial, but it is still widely utilized.
- C. Transformational leaders have a vision of what a new society or organization could be and cultivate strong bonds with their subordinates - who are perfectly willing to be subordinated. Though it takes time for these strong emotional bonds to develop, the transformational leader, by building a vision based on organizational values and instilling those values in his followers, can achieve tremendous successes. While transformational leaders must have a certain degree of charisma, many leaders who are truly charismatic have pursued a vision based on their own values, not on some greater good.
- D. Charismatic leaders may even have all of the same attributes as transformational leaders, except their efforts are principally directed at self-aggrandizement.

- E. While transactional leaders can achieve shorter-term success, surely you have experienced or read about the sometimes-sensational results obtained by a transformational or charismatic person in a leadership role. Gandhi inspired a third of a billion people in India to rebel non-violently against the British Empire; through sheer force of his will John F. Kennedy (despite his death) led the nation to put a man on the moon and return him safely to earth; and Hitler hurled the entire planet into global warfare! The examples abound of transformational and charismatic leadership. But what amount of charisma is necessary in the recipe that makes great leaders? And is it only personal charisma, properly focused, that makes a transformational leader?

#### IV. Chapter Outline

##### A. Characteristics Of Transactional Leadership

1. Transactional leadership occurs when the leader and followers are in an exchange-based relationship, which has a goal of meeting the other party's needs.
2. The relationship between leader and follower tends to be transitory and is effective only as long as the relationship is mutually beneficial.
3. The characteristics are:
  - a. Contingent reward
    - (1) Contracts exchange of rewards for effort
    - (2) Promises rewards for good performance
    - (3) Recognizes accomplishments
  - b. Management by exception (active)
    - (1) Watches and searches for deviations from rules and standards
    - (2) Takes corrective action
  - c. Management by exception (passive)

Intervenes only if standards are not met

d. Laissez-faire

Abdicates responsibilities, avoids making decisions.

B. Characteristics Of Transformational Leadership

1. Leaders strong in this quality perform exceptionally well in situations of crisis.
2. They have a vision of what a new society or organization could be and they cultivate strong bonds with their subordinates - who are perfectly willing to be subordinated.
3. Furthermore, it takes time for these strong emotional bonds to develop.
4. The characteristics are:
  - a. Charisma
    - (1) Provides vision and sense of mission
    - (2) Instills pride
    - (3) Gains respect and trust
  - b. Inspiration
    - (1) Communicates high expectations
    - (2) Uses symbols to focus efforts
    - (3) Expresses important purposes in simple ways
  - c. Intellectual stimulation

Promotes intelligence, rationality, and careful problem solving
  - d. Individualized consideration
    - (1) Gives personal attention

- (2) Treats each employee individually
- (3) Coaches
- (4) Advises

C. Differences Between Transformational And Transactional Leadership

1. The transformational leader builds a vision based on *organizational* values with an intention of instilling them further with the followers.
2. Transformational leaders have better relationships with their supervisors and make more of a contribution to the organization.
3. Employees exert a lot more effort on behalf of leaders who are transformational.
4. Transformational leadership occurs when one or more persons engage with others in such a way that leaders and followers raise one another to higher levels of motivation and morality; whereas transactional is where a leadership act took place, but it was not one that binds leader and follower together in a mutual and continuing pursuit of a higher purpose.

<u>Categories</u>	<u>Transactional</u>	<u>Transformational</u>
<b>Leader's source of power</b>	Rank, position	Character, competence
<b>Follower reaction</b>	Compliance	Commitment
<b>Time frame</b>	Short term	Long term
<b>Rewards</b>	Pay, promotion, etc.	Pride, self-esteem, etc.
<b>Supervision</b>	Important	Less important
<b>Counseling focus</b>	Evaluation	Development
<b>Where change occurs</b>	Follower behavior	Follower attitude, values
<b>Where "leadership" found</b>	Leader's behavior	Follower's heart

D. Transformational leadership Impacts the Unit

1. Image
2. Recruiting [selection, promotion, and transfer]
3. Development
4. Training

5. Approaches to training
6. Leadership education
7. Job design and assignment
8. Organizational structure

V. Discussion Questions

A. Ask the students to identify at least 1 example from their own experiences for each of the following leadership approaches:

1. Transactional

- a. Was this leadership effective, in terms of results achieved?
- b. Was the leader able to forge a close bond with the followers?

2. Transformational

- a. Did the leader have the values of the followers in mind while setting the new course for the group/organization?
- b. Was there conflict involved? (An example that involves constant reinforcement and trust-building.)

B. Ask the students to identify two instances in which they used or witnessed transactional leadership.

1. Were they (or others) effective?
2. Will they (or others) continue to be effective?
3. What is their (or other's) long range plan?

C. Ask the students to identify two transformational characteristics that they (or others) can take advantage of this week to enhance your personal leadership effectiveness.

1. Who is involved?

2. What is your (or other's) plan?
- D. Have the students identify some leadership situations where a transactional approach would be best and some situations where a transformational approach might be required for success.
  - E. Discuss the relationship of developing leadership vision (Chapter 5) to transformational leadership.
    1. Is an effectively communicated vision required for a transformational leader?
    2. Write the vision statement you developed in Lesson 5 on the board and discuss whether it is a transformational or transactional vision. Discuss how to make it the basis of a transformational approach to leading a unit.

VI. In-Class Exercises

Choose from one or more of the following from Leadership Instructor's Manual:

Exercise 2: Charismatic Leaders, p. 201

VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 10**

**HOURS 1.0**

**TITLE: FOUNDATIONS OF CONTROL**

I. Learning Objectives

A. Reading Objectives

1. The student will comprehend the concept of control.
2. The student will comprehend the two approaches to control.
3. The student will comprehend why control is important.
4. The student will comprehend the differences between the three types of control.
5. The student will comprehend the qualities of an effective control system.

B. Discussion Objectives

1. The student will comprehend the concept of control.
2. The student will apply control to himself/herself.
3. The student will comprehend why control is important.
4. The student will comprehend the qualities of an effective control system.

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 10
2. Management, Chapter 20

B. Student References

1. Leadership and Management, Chapter 10

### III. Instructor Notes

*It's not what we don't know that hurts, it's what we know that ain't so.*

Will Rogers

*Success is going from failure to failure without loss of enthusiasm.*

Winston Churchill

*It is a capital mistake to theorize before one has data.*

Arthur Conan Doyle in *The Adventures of Sherlock Holmes*

*I told (his new artillery unit) I knew they had been making trouble for previous commanders. I said: "I didn't come over here to get along with you. You've got to get along with me. And if there are any of you who can't, speak up and I'll bust you right back." We got along.*

CPT Harry S. Truman, 1918

*It's important that people know what you stand for. It's equally important that they know what you won't stand for.*

Mary Waldrop

- A. Control is the last of the four functions of management and one of the easiest functions to understand. Each of us has taken corrective action one time or another to fix a problem or correct a deviation in performance. We measured actual performance, compared the performance against a standard, and took action to correct the deviation. This is the control process.
- B. Control is important because it's the final link in the functional chain of management activities. It's the only way leaders know whether organizational goals are being met and the reasons why they are or are not. The readings for this chapter include an outstanding article from *Fast Company* magazine about the USS Benfold (DDG-68) and the commanding officer's use of control, empowerment, change, and transformational leadership.

### IV. Chapter Outline

#### A. Introduction

Regardless of the thoroughness of the planning done, an idea or plan may still may be poorly or improperly implemented without a satisfactory control system.

#### B. What Is Control?

1. Control is the process of monitoring activities to ensure they are being accomplished as planned and of correcting any significant deviations.
2. There are two different approaches to designing organizational control systems.
  - a. Bureaucratic control
    - (1) An approach that emphasizes organizational authority.
    - (2) Relies on the following to ensure that employees exhibit appropriate behaviors and meet performance standards:
      - (a) Administrative rules
      - (b) Regulations
      - (c) Procedures
      - (d) Policies
      - (e) Standardization of activities and other administrative mechanisms
  - b. Clan control

An approach to designing control systems in which employee behaviors are regulated by the following aspects of the organization's culture:

    - (a) Shared values
    - (b) Norms
    - (c) Traditions
    - (d) Rituals
    - (e) Beliefs
  - c. Most organizations don't rely totally on just one of these approaches to designing an effective control system.

### C. The Importance Of Control

Reasons control is important:

1. It serves as the final link in the functional chain of management. See figure that shows the planning-control link.
2. Controlling is also important to delegation. If managers develop an effective control system, it may lessen the resistance to delegation.

### D. The Control Process

1. The control process is the process of measuring actual performance, comparing it against a standard, and taking managerial action to correct deviations or inadequate standards. (See Figure in text.)
  - a. Measuring is the first step in the control process.
    - (1) *How we measure* is done through four common sources of information that managers use. Each of these sources has its own advantages and drawbacks.
      - (a) Personal observation
      - (b) Statistical reports
      - (c) Oral reports
      - (d) Written reports
    - (2) *What we measure* is probably more critical than how. Both objective and subjective measures are used.
  - b. Comparing is the next step in the control process.
    - (1) It determines the degree of variation between *actual* performance and the standard.
    - (2) It's critical to determine the *range of variation*, which is the acceptable parameters

of variance between actual performance and the standard. (See Figure in text.)

(3) An example of comparing actual performance to standards is shown in the text.

c. Taking managerial action is the final step in the control process.

Although the manager might decide to "do nothing," two other alternatives are possible.

(1) *Correct actual performance.* Once the manager has decided to correct actual performance, he or she has another decision to make.

(a) Take immediate corrective action, which is correcting an activity at once in order to get performance back on track.

(b) Take basic corrective action, which is determining how and why performance has deviated and correcting the source of deviations.

The action taken will depend on the cost/benefit of doing so.

(2) *Revise the standard.* If the standard was set too high or too low, a manager may decide to revise it.

2. The control process is a continuous flow between measuring, comparing, and managerial action.

#### E. Types Of Control

There are three basic types of controls:

1. Feedforward control is control that prevents anticipated problems.
2. Concurrent control is control that occurs while an activity is in progress.
3. Feedback control is control imposed after an action has occurred.

#### F. Qualities Of An Effective Control System

1. Effective control systems tend to have certain qualities in common.
2. These characteristics of effective control systems include the following:
  - a. Accuracy
  - b. Timeliness
  - c. Economy
  - d. Flexibility
  - e. Understandability
  - f. Reasonable criteria
  - g. Strategic placement
  - h. Emphasis on the exception
  - i. Multiple criteria
  - j. Corrective action

#### V. Discussion Questions

- A. How could you use the concepts of control in your own personal life? Be specific. (Think in terms of feedforward, concurrent, and feedback controls, as well as controls for the different areas of your life.)

Students' responses to this will vary. However, they might point out things such as daily to-do lists, calendars, a career plan that they revise as necessary, a degree program or some other mechanism used to ensure that they're taking the right courses in the right sequence, and so forth.

- B. "Every individual employee in the organization plays a role in controlling work activities." Do you agree or do you think that control is something that only managers are responsible for? Explain.

Control is something that every individual employee plays a role in, particularly in organizations where employees have been empowered. But even in organizations where employees haven't been empowered, these employees play a role in measuring, comparing, and correcting performance. However, managers will still be responsible for establishing the standards, approaches, and guidelines for measuring, comparing, and correcting.

- C. What control factors did you observe from the reading about the USS Benfold?
- D. Discuss the differences between leadership and management and how it applies to the USS Benfold. Comment on vision, change, transformational leadership, and control.
- E. Contrast bureaucratic and clan control.

Bureaucratic control emphasizes organizational authority and relies on administrative rules, regulations, procedures, and policies. Clan control regulates employee behavior by means of the shared norms, values, traditions, rituals, beliefs, and other aspects of the organization's culture.

- F. How are planning and controlling linked?

Controlling activities provide the critical link back to planning. If managers didn't control, they would have no way of knowing whether or not their objectives and plans were on target and what future actions to take.

- G. Contrast the managerial actions of correcting actual performance and revising standards.

Correcting actual performance might include making changes in strategy, structure, compensation practices or training programs, or undertaking job redesign or the replacement of personnel. Revising standards might include resetting a goal that was too high or too low.

- H. Why is feedforward control the most desirable type of control?

Feedforward controls are desirable because they allow managers to prevent problems rather than cure them.

- I. What would an organization have to do to change its dominant control approach from bureaucratic to clan? From clan to bureaucratic?

Changing from a bureaucratic approach to a clan approach would entail a radical change in corporate culture because you would be going from a control system that emphasized rules and administrative mechanisms to a control system that emphasized the cultural values, rituals, and beliefs. Changing from a clan approach to a bureaucratic approach would mean having in place the rules, standardized activities, procedures, and other administrative mechanisms that would be used to control employee behavior.

VI. In-Class Exercises: None

VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 11**

**HOURS 1.0**

**TITLE: PERSONALITY AND REFLECTION AS A LEADERSHIP TOOL**

I. Learning Objectives

A. Reading Objectives

1. The student will comprehend and distinguish between personality traits and psychological types.
2. The student will know their psychological type and describe the implications for their relationships and leadership performance.
3. The student will comprehend why introspection and reflection are valuable tools for a leader.
4. The student will comprehend the Paul Principle and how to avoid it.
5. The student will apply reflection and introspection to better understand their strengths and weaknesses as a leader.

B. Discussion Objectives

1. The student will know their psychological type and describe the implications for their relationships and leadership performance.
2. The student will apply reflection and introspection to better understand their strengths and weaknesses as a leader.

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 11
2. Management, Chapter 15

## B. Student References

### 1. Leadership and Management, Chapter 11

## III. Instructor Notes

*Being entirely honest with oneself is a good exercise.*

Sigmund Freud

*In the course of my life I have often had to eat my words, and I must confess that I have always found it a wholesome diet.*

Winston Churchill

*A man's gotta know his limitations.*

Clint Eastwood in *Magnum Force*

*Ponder, and then act.*

Winston Churchill

- A. Regardless of how technically or physically challenging your job is, or how much knowledge or experience is required, your ability to deal with people will always be a strong determinant of your success. Knowing the different personality types, and how each may react to various situations can be a critical component of effective leadership. This lesson helps to describe some of the traits that research has shown to define our personalities.
- B. Although a general knowledge of the personality traits of your subordinates, peers, seniors, and social acquaintances can be helpful in your day to day dealings with them, an accurate assessment and clear understanding of your own personality traits is an important prerequisite to understanding others.
- C. Once you understand your personality, you then can begin to reflect on your leadership experiences and correlate what occurred with what you have learned in your leadership education. This will allow you to gain the maximum value from both your education and your experience. The reflective leader is able to analyze leadership situations in light of what he already knows. Therefore, what you gain from any leadership program or experience is a function of what you make of it. The difficulty for junior officers lies in making time to reflect when they already have more demands on their time than can be met.

- D. Reflection will help you maximize the value of your experiences. If you want to become a better leader, then you must seek challenges and try to get all you can from any leadership situation or opportunity. One means of doing that is taking time out to think about what happened and why. Reflection is a framework for understanding the contributions of both experience and education in your leadership development.
- E. Student Assignment Due: Using the qualities highlighted in the reading, students should write a 1-2 page paper reflecting on their leadership strengths and weaknesses. Have them include an example of an experience that helped them come to these conclusions.

Have students take the Keirsey character sorter at [www.keirsey.com](http://www.keirsey.com) prior to writing the paper, and then use their personality type in their discussion of their individual leadership strengths and weaknesses.

#### IV. Chapter Outline

- A. Personality traits and psychological types
  - 1. There are five personality traits that have a substantial impact on interpersonal relations and job performance. They are:
    - a. Extroversion: Social, gregarious, assertive, talkative, and active.
    - b. Agreeableness: Courteous, flexible, trusting, good-natured, cooperative, forgiving, softhearted, and tolerant
    - c. Conscientiousness: Careful, thorough, responsible, organized, and purposeful
    - d. Emotional Stability (Neuroticism): Anxious, depressed, angry, embarrassed, emotional, and worried
    - e. Openness to Experience: Imaginative, cultured, curious, original, broad-minded, intelligent, and artistically sensitive

- f. Often added to this list is the additional trait of self-monitoring of behavior.
- B. Psychological types help define cognitive styles, which are the mental processes used to perceive and make judgements from information.
  - 1. Gathering Information
    - a. Sensation type individuals
      - (1) Prefer routine and order
      - (2) Search for precise details
      - (3) Prefer to work with established facts
    - b. Intuitive type individuals
      - (1) Prefer overall perspective - "big picture"
      - (2) Enjoy solving new problems
      - (3) Dislike routine
      - (4) Prefer to look for possibilities
  - 2. Evaluating Information
    - a. Feeling type individuals
      - (1) Have a need to conform
      - (2) Adapt to wishes of others
      - (3) Avoid problems that would result in disagreements
    - b. Thinking type individuals
      - (1) Rely on reason and intellect
      - (2) Downplay emotion in problem solving and decision making
  - 3. Cognitive Styles (See Figure 11-2.)

- a. Sensation/Thinking
- b. Intuitive/Thinking
- c. Sensation/Feeling
- d. Intuitive/Feeling

C. Introspection and Reflection

- 1. Introspection helps a leader to realize that there are gaps between who they are, who they think they are, and who they are perceived to be.
- 2. The introspection process should be accomplished systematically.

D. The Paul Principle

- 1. The Paul Principle is the gradual obsolescence of leaders as they lose touch with the organization they lead.
- 2. They become too conservative, resist innovation and change, and fail to take advantage of technological breakthroughs.

V. Discussion Questions

- A. Discuss the Halsey/Spruance reading. What impact did the change in Task Force Commanders have on the staff and the rest of the task force? Relate this to some of the different personality traits of various bosses you have had at different commands and how a change of command can affect the entire command climate of a ship/squadron/battalion.
- B. Maj Gen Smith says reflection and introspection must be "accomplished systematically". How can this be done in the life of a military leader? Discuss the use of a regular time of reflection and introspection (journaling, lessons learned writing, mission debrief) to improve your leadership performance. Discuss the different areas to be examined. Discuss the Paul Principle and the Red Reactor Problem and how to avoid them.

VI. In-Class Exercises

- A. Have the students break into groups. Assign each group to examine several of the areas to examine in the Smith reading.

Allow 15-20 minutes of small group discussion, then have each group present their findings.

- B. Using the [www.keirsey.com](http://www.keirsey.com) website, ask students for their personality types. Categorize this information on the chalkboard. Highlight famous individuals with similar personality types.

## VII. Supplemental Learning Opportunities

- A. The Keirsey Character Sorter is an online personality questionnaire using the Myers Briggs Type Indicator (MBTI) method. This is a useful indication of personality and can help individuals identify their strengths and weaknesses.

<http://www.keirsey.com>

- B. Surveys from the University of Houston's Clear Lake campus website offer leaders/managers multiple tools to help their subordinates' development. This reading is designed to expose the student to diagnostic tools available at their disposal.

<http://www.cl.uh.edu/edu/awl/survey/surveys.html>

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 12**

**HOURS 1.0**

**TITLE: THE POWER OF PERCEPTION**

I. Learning Objectives

A. Reading Objectives

1. The student will comprehend the effect of the following on leadership situations:
  - a. Perception
  - b. Perceptual biases
  - c. Errors
2. The student will comprehend and apply the following concepts:
  - a. Attributions
  - b. Fundamental attribution error
  - c. Perceptual set
  - d. Self-serving bias
  - e. Actor/observer difference
  - f. Self-fulfilling prophecy.

B. Discussion Objectives: Same as Reading Objectives

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 12
2. Management, Chapter 15

B. Student References

1. Leadership and Management, Chapter 12

III. Instructor Notes

*Irrationally held truths may be more harmful than reasoned errors.*

Thomas Huxley

*Although people object when a scientific analysis traces their behavior to external conditions and thus deprives them of credit and the chance to be admired, they seldom object when the same analysis absolves them of blame.*

B.F. Skinner

*A little learning is not a dangerous thing to one who does not mistake it for a great deal.*

William Allen White

*Genius, in truth, means little more than the faculty of perceiving in an unhabitual way.*

William James

- A. Perception plays a powerful role in a leader's relationships with superiors, peers and subordinates. Each of those groups of people will judge your performance primarily by their perceptions of your intentions and effectiveness, and those perceptions will likely be based on limited observation and incomplete information. Your judgements about your subordinates will also be affected by those same problems.
- B. One reason for these problems of accurate perception is that our expectations play a major role in how we filter information and assign meaning to that information. We are frequently unaware of many of our expectations and yet they significantly influence how we view, and relate to, others in leadership situations. Identifying our expectations, along with understanding how we might make "errors of attribution" helps us to challenge and examine our assumptions in any situation and therefore improve our understanding of what is occurring.
- C. This section includes an important set of terms that are widely used in the behavioral sciences to explain perception biases and their effects. Some of these terms, such as self-fulfilling prophecy, will already be familiar to most students, but the biases that they describe will likely be familiar to almost everyone. These perceptual problems are the basis for problems such as the "halo

effect" and "reverse halo effect", which you have likely already encountered.

- D. As you teach this section, consider how to reduce these biases in your students and others around you.

#### IV. Chapter Outline

##### A. Review of Terminology

1. The effect of perception, perceptual biases, and errors on leadership situations.

We tend to see our own success due to intelligence, personality or physical abilities, while view others' success as more attributable to situational factors or luck.

2. Attributions

Attributions are the explanations we develop in our own minds for the behaviors or actions we attend to.

3. Fundamental Attribution Error

Fundamental attribution error is the tendency to overestimate the dispositional causes of behavior and underestimate the environmental causes.

4. Perceptual Set

Perceptual set is the tendency or bias to perceive one thing and not another.

5. Self-Serving Bias

The tendency to make external attributions (i.e. blame the situation) for one's own failures, yet make internal attributions (i.e. take credit) for one's successes.

6. Actor/Observer Difference

Refers to the fact that people who are observing an action are much more likely than the actor to make the fundamental attribution error.

## 7. Self-Fulfilling

Self-fulfilling prophecy occurs when expectations or predictions play a causal role in bringing about the events we predict.

- B. Use the chapter introductory quotes on page 239 to generate discussion.
- C. Provide the students with some fitness report bullets and ask them their perceptions of the person being written about.

## V. Discussion Questions

Using the John H. Faris article on Drill Sergeants and the midshipmen's own experiences, discuss the following topics with emphasis on the perceptual issues involved:

- A. What are some common perceptions of drill sergeants?
- B. What makes the drill sergeant effective?
- C. Is perception more important, as important, or less important than reality?
- D. How is group punishment perceived? Can it be beneficial?
- E. Why do you become close to the people in your battalion? Do you care what they did before NROTC?
- F. Did you "love" your upperclassmen when you were a freshman?
- G. Did you perceive your upperclassmen to be infallible?
- H. Why does a drill sergeant wear that hat?
- I. How does the attractiveness of a person affect your impression of them?
- J. What are the "halo effect" and "reverse halo effect"?
- K. How do you avoid falling prey to errors of perception and attribution when you are doing rankings and writing performance evaluations?

- L. Why are we so prone to the fundamental attribution error?
- M. How should you account for the actor/observer difference in dealing with your subordinates? In dealing with your boss? In relating to your CO?

VI. In-Class Exercises

- A. Choose from one or more of the following from Leadership Instructor's Manual:
  - 1. Exercise 1: First Impressions, p. 45
  - 2. Exercise 5: Queen Anne, p. 51
- B. New NROTC Instructor exercise.
  - 1. Put the students in groups and tell them they are getting a new NROTC Instructor.
  - 2. Ask for their perceptions of that person (family, car, attitudes, leadership approach, impact on their lives as 3/C).
    - a. Cornell grad - Submarine LCDR coming from Engineer Officer tour on Ohio-class SSBN.
    - b. Texas A&M grad - Marine Captain coming from Recon Platoon tour in Okinawa.
    - c. USNA grad - F-14 RIO Lieutenant coming from VF tour at NAS Oceana.
    - d. UCSD grad - female CH-46 pilot coming from NAS North Island in San Diego.
    - e. Northwestern grad - P-3 NFO coming from staff tour at NAS Brunswick, Maine.

VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 13**

**HOURS 1.0**

**TITLE: LEADERSHIP COMMUNICATION**

I. Learning Objectives

A. Reading Objectives

1. The student will comprehend and explain the following communication terms:
  - a. Congruence
  - b. Frame of reference
  - c. Paradigm
  - d. Active listening
  - e. Impression management
2. The student will comprehend the process of effective communication.
3. The student will comprehend the importance of nonverbal communication and list some of its modes of transmission.
4. The student will comprehend active listening and how it impacts the effectiveness of listening.
5. The student will comprehend strategies for avoiding communications problems, such as excessive use of jargon and gender differences, in large organizations.

B. Discussion Objectives

1. The student will comprehend and explain the following communication terms:
  - a. Congruence
  - b. Frame of reference

- c. Paradigm
  - d. Active listening
  - e. Impression management
2. The student will comprehend the importance of nonverbal communication and list some of its modes of transmission.
  3. The student will comprehend active listening and how it impacts the effectiveness of listening.
  4. The student will comprehend strategies for avoiding communications problems, such as excessive use of jargon and gender differences, in large organizations.

## II. References and Texts

### A. Instructor References

1. Leadership and Management, Chapter 13
2. Leadership Theory and Practice, Chapter 6
3. Management, Chapter 18

### B. Student References

1. Leadership and Management, Chapter 13

## III. Instructor Notes

*What we have here is a failure to communicate.*

Strother Martin  
in *Cool Hand Luke*

*He who has a why to live for can bear with almost any how.*

Nietzsche

*A true test of leadership is not so much based on how much we know, but on how we behave when we don't know what to do.*

George Shapiro

*It is sheer laziness not compressing thought into a reasonable space.*

Winston Churchill

*Vigorous writing is concise. A sentence should contain no unnecessary words, a paragraph no unnecessary sentences, for the same reason that a drawing should have no unnecessary lines and a machine no unnecessary parts. This requires not that the writer make all his sentences short, or that he avoid all detail and treat his subjects only in outline, but that every word tell.*

William Strunk

- A. Good leaders are also usually good communicators. They may not all be great speechmakers, but they make getting their message out a major priority. They may have others speak for them, they may choose to communicate largely in writing (perhaps using the Plan of the Day as their vehicle) or they may function exceptionally well in a small group environment, relying on their chain of command to get the word out. Good leaders develop their communication skills in all these areas, repeating the same message often in all mediums, evaluating the resultant behaviors and actively listening to feedback to determine whether the message was successfully received.
- B. Leaders must be able to both write and speak effectively, often with little preparation or on a tight deadline. The longer any written communication is, the less likely it is to be read, so leaders are continually pushed to compress the greatest amount of information into the fewest words possible while retaining the full meaning of message. Likewise "briefer is better" when speaking to your subordinates -- the longer you talk, the lower the percentage of what you say that is retained by them -- so "be brief and then be seated".
- C. The foundational communication skills for leaders include effective expression of information, active listening, assertiveness, and providing constructive feedback (assertiveness and feedback will be covered in the next section). Mastery of these four skills helps leaders establish and maintain constructive relationships with others.
- D. A key issue in effective communication is the congruence of the message with previous messages and the leader's actions. Congruence is the consistency of a given message with the context within which it occurs and leads followers to "trust" the message from the leader. A perceived incongruence implies a level of dishonesty or sarcasm in the message. For this reason, leaders should avoid sharing transitory feelings with subordinates.

## IV. Chapter Outline

### A. Communications Terms

#### 1. Congruence

Congruency leads followers to "trust" the message from the leader. A perceived incongruency implies a level of dishonesty or sarcasm in the message. Leaders should avoid sharing transitory feelings with subordinates.

#### 2. Frame of reference

The frame of reference originates because people perceive words and concepts differently because their vantage points and perspectives differ.

#### 3. Paradigm

A paradigm is a model, framework, viewpoint, or perspective. A problem can occur when people look at a situation with different paradigms.

#### 4. Active listening

The active listener listens intensely, with the goal of empathizing with the speaker and can provide feedback to the speaker what he or she thinks the speaker meant.

#### 5. Impression management

Impression management is to create desired impressions by using appropriate behaviors.

### B. The Process of Effective Communication

1. Requires the receiver to understand the message the sender intended to communicate.

2. One model of effective communication

a. Ideation

b. Encoding

- c. Transmission
  - d. Receiving
  - e. Decoding
  - f. Understanding
  - g. Taking action
  - h. Feedback
3. Each step requires overcoming barriers and/or noise.
- C. The importance of nonverbal communication and modes of transmission
- 1. Nonverbal behavior accounts for an estimated 93% of the emotional impact of the message.
  - 2. General purpose is to communicate the feeling behind the message.
  - 3. Modes of transmission include environment, interpersonal distance, posture, gestures, facial expressions, voice quality and personal appearance.
- D. Active listening and the impact on the effectiveness of listening
- 1. Active listening precludes all other activity by the listener.
  - 2. It demands eye-contact and the absence of all other distractions.
  - 3. The active listener listens intensely, with the goal of empathizing with the speaker, and can give feedback to the speaker, what he or she thinks the speaker meant.
  - 4. Active listeners should: model nonverbal signals associated with active listening, actively interpret the sender's message, be aware of the sender's nonverbal behaviors, and avoid becoming defensive.

- E. Strategies for avoiding communications problems, such as excessive use of jargon and gender differences, in large organizations.
  - 1. Ensure you understand who your audience is.
  - 2. Avoid any acronyms and jargon which do not improve communication.
  - 3. Understand some typical gender differences in communication.

V. Discussion Questions

- A. Consider communications difficulties you have experienced and ask the students for input. Discuss why large organizations have so much difficulty keeping everyone informed. Ask the students for examples of effective and ineffective communication from the NROTC staff to the Battalion.
- B. Have you ever met or witnessed a good Naval Leader who was a poor communicator? If so, how did they compensate for this deficiency?

Although not a hard and fast rule, typically our best leaders are good communicators. They may not all be great speech-makers; but, they recognize that there is more than one way to get the message out. They may have others speak for them, they may write well (using the Plan of the Day as their vehicle) or they may function exceptionally well in a small group environment, relying on their chain of command to get the word out. Good leaders develop their communication skills in all these areas, repeating the same message often in all mediums and evaluating the resultant behaviors, and actively listening to feedback, to determine whether the message was successfully received.

- C. Have you ever worked for a leader who thought he knew all the answers and did not seek nor accept anyone else's input? How successful was this leader?
- D. What are some examples of poor communication you have witnessed? How could the effectiveness of that communication been improved?

- E. How does defensiveness impact communications? Short term? Long term?

A leader's defensiveness, especially if its openly hostile, can shut-down two-way communication. The flow of constructive feedback from followers will slow to a trickle or stop. Eventually, command climate will suffer and performance will degrade. Leaders need to empathize with their followers. How do you know what it's like to labor under the weight of your own policies? You should try to understand how others perceive things. Avoid responding to criticism by saying, "Yes, but...."

- F. What are some ways that you can use the concept of "impression management" as a midshipman? As a junior officer?
- G. Discuss the military's love of acronyms, slang and jargon and highlight some communications difficulties that are caused by that.

#### VI. In-Class Exercises

Choose from one or more of the following from Leadership Instructor's Manual:

Exercise 1: Only Nonverbals, p. 259

#### VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 14**

**HOURS 1.0**

**TITLE: ASSERTIVENESS AND FEEDBACK**

I. Learning Objectives

A. Reading Objectives

1. The student will comprehend the following terms:
  - a. Assertiveness
  - b. Aggression
  - c. Acquiescence
2. The student will know qualities associated with assertiveness.
3. The student will comprehend the relationship among assertiveness, acquiescence, and aggressiveness and the impact of being assertive/aggressive/acquiescent as a leader.
4. The student will know the term "Abilene Paradox."
5. The student will comprehend some key characteristics of effective feedback, the process involved in providing constructive feedback, and six tips for delivering effective feedback.

B. Discussion Objectives

1. The student will comprehend the following terms:
  - a. Assertiveness
  - b. Aggression
  - c. Acquiescence
2. The student will know qualities associated with assertiveness.

3. The student will comprehend the relationship among assertiveness, acquiescence, and aggressiveness and the impact of being assertive/aggressive/acquiescent as a leader.
4. The student will know the term "Abilene Paradox."

## II. References and Texts

### A. Instructor References

1. Leadership and Management, Chapter 14

### B. Student References

1. Leadership and Management, Chapter 14

## III. Instructor Notes

*There is a simple saying that pertains to leaders and feedback: More rather than less and sooner rather than later.*

Val Arnold

*One of my favorite sayings is that in this company we stack every bit of criticism between two layers of praise.*

Mary Kay Ash

*Hit hard, hit fast, hit often.*

ADM William "Bull" Halsey

*Fred Triggs always pays in cash.*

CAPT Fred Triggs

- A. A leader must be an assertive advocate for his people, for safety, for ethical conduct and for what he believes in. He must normally do this within the chain of command and within the limitations of his authority. In the military, the failure to be assertive when required can lead to disaster. Numerous aircraft mishaps might have been prevented if any other member of the flight crew had assertively opposed the pilot's plan or actions. The case studies in the next section dramatize the need for junior personnel who have important information to be assertive in reporting it. This leads to another challenge you will face as a leader, which is training your subordinates to be assertive.

- B. An example is a case regularly cited in Navy and airline Aircrew Coordination Training programs, which emphasize cockpit teamwork and effectiveness. A former military pilot, hired by a small northeastern commuter airline, was flying as copilot for one of the airline's senior pilots. The senior pilot repeatedly berated him for minor or imaginary infractions throughout the flight. By the time of their return to their home airport, the copilot, infuriated at this treatment and determined to quit his job after they landed, had ceased to say or do anything. On final approach the senior pilot had a heart attack and died, but the copilot, resolutely staring straight ahead and ignoring the pilot, failed to notice. The copilot never took the controls and the plane crash landed short of the runway. Subsequent simulator trials using pilots from major airlines discovered that most of them would not have taken control of the aircraft to prevent the crash under those circumstances either.
- C. One problem caused by a lack of appropriate assertiveness is the phenomenon of the "Abilene Paradox". In an effort to preserve the integrity or cohesion in a group, group members tend to assume that whichever direction a group begins to take must be desired by all of its members, and so they perpetuate the movement in that direction regardless of their personal reservations. A parallel problem is subordinates who break rules because they think that's what the boss wants, but have never asked to find out.
- D. Good feedback is a critical resource for leaders. A leader's defensiveness, especially if it's openly hostile, can prevent feedback, shutting down two-way communication. This may cause the flow of constructive feedback from followers to slow to a trickle or stop. Eventually, command climate will suffer and performance will degrade. Leaders need to empathize with their followers. How do you know what it's like to labor under the weight of your own policies? You should try to understand how others perceive things and avoid responding to criticism by saying, "Yes, but..."
- E. You've heard the expression, "It's lonely at the top." That's true only if "the top" discourages dialogue that contains constructive criticism. Feedback from subordinates can help improve leadership performance. The same is true for peers and subordinates, but too often we

concentrate our feedback skills on the subordinate alone. The whole organization can benefit from constructive feedback.

#### IV. Chapter Outline

##### A. Definition of Terms

###### 1. Assertiveness

The ability to stand up for your rights in a way that also recognizes the concurrent right of others to do the same.

###### 2. Aggression

An effort to achieve personal goals with a disregard for or at the expense of others' goals.

###### 3. Acquiescence

Avoiding conflict by giving up one's own goals or by expressing needs in an apologetic manner.

##### B. Qualities associated with assertiveness

###### 1. Directness

###### 2. Willingness to listen to others

###### 3. Willing to engage in rather than avoid situational conflict to resolve misunderstandings

###### 4. Openness

###### 5. The use of "I" statements

###### 6. Ability to say "no"

###### 7. Persistence

##### C. The relationship among assertiveness, acquiescence, and aggressiveness and the impact of being assertive/aggressive/acquiescent as a leader.

###### 1. Assertiveness sits at the middle of the scale as a balance between exclusively pursuing your own personal

goals (aggression) and completely deferring to others (acquiescence).

2. It is not avoiding conflict in an apologetic, self-effacing way - acquiescence; nor is it goal attainment by hostile attack or intimidation - aggressiveness.
3. Assertiveness builds up trust and mutual respect. Aggression builds antagonism and destroys team building efforts.
4. Acquiescence undermines respect for the leader and trust suffers.

D. The "Abilene Paradox"

1. A group mind-set that occurs when someone in the group suggests an activity that no one really wants to do.
2. Under the false assumption that silence denotes consent, the members will after a short time believe that everyone else wants to do it and will verbally support and eventually take part in the activity.

E. Key characteristics of effective feedback

1. Accurate
2. Frequent
3. Helpful
4. Direct
5. Specific
6. Descriptive
7. Timely
8. Flexible
9. Both positive and negative
10. Avoids blame or embarrassment

F. The process of Constructive Feedback

1. Relates specifically to the act of *giving feedback to others*.
2. Meant to improve performance and to develop subordinates.

G. Delivering effective feedback

1. Good feedback is helpful
2. Not sarcastic
3. Direct
4. Specific
5. Descriptive
6. Timely and flexible.

V. Discussion Questions

- A. Compare and contrast assertiveness, aggressiveness and acquiescence.
- B. How can providing constructive feedback improve the performance of your Senior Officer? Peers? Subordinates?

You've heard the expression, "It's lonely at the top." That's true only if "the top" discourages dialogue that contains constructive criticism. Feedback from subordinates can help improve leadership performance. The same is true for peers and subordinates, but too often we concentrate our feedback skills on the subordinate alone. The whole organization can benefit from constructive feedback.

- C. How can the proper/improper use of assertiveness affect your experience here in NROTC and in the university? In what situations would **you** apply assertiveness?
- D. Give an historic example where assertiveness should have been used.

At some time most every great leader has had to step forward in front of the experts to say that things aren't

what they seem. Assertiveness in terms of moral courage is a critical behavior and there are numerous examples to examine in this context, but two of the most obvious are the massacre at My Lai and the Tailhook Convention, 1991. In both of these examples, the nation's military suffered nearly irreparable harm because no one was willing to intervene in order to prevent atrocious behavior by service personnel.

- E. Consider your relationship with your squad leader and your subordinates. Identify an element of feedback that you would like to communicate to these individuals. With the techniques identified in these sessions, how do you intend to do this?
- F. What are some common leads or statements for paraphrasing and assuring mutual understanding during the feedback process?

From your point of view..., It seems you..., As you see it..., You think..., What I hear you saying..., Do you mean...?, I'm not sure I understand what you mean: is it...?, I get the impression..., You appear to be feeling..., Correct me if I'm wrong...

## VI. In-Class Exercises

- A. Choose from one or more of the following from Leadership Instructor's Manual:

Exercise 1: Role Playing with the 3 A's, p. 266

- B. "Snowflake" Exercise

- 1. Put two students in back-to-back chairs in the middle of the room. Give each a plain sheet of paper and a pair of scissors. Designate one of the students the leader and have him/her fold and cut the paper to make a snowflake (just like in third grade...) while giving specific instructions to the other student each step of the way. The other student, following the step-by-step instructions, will attempt to produce an identical snowflake. Discuss the results (further proof that no two snowflakes are alike) and the effect of eliminating a feedback mechanism from a communication loop.

2. A variation on the same exercise is to have the students construct something from Lego's, Lincoln Logs or Tinkertoys. To make this more like the real world, remove the instructions and one key part from the set of the "follower".
- C. Show the "Abilene Paradox" video, if available.
1. It's a bit long and very 70's, so preview it before you decide to use it.
  2. Discuss the "Abilene Paradox" and apply it to explain a personal experience (ending up at a restaurant or movie that no one was happy about, for instance). Discuss how organizations can fall prey to this same effect. Have the students list ways for individuals and organizations to avoid the "Abilene Paradox".

VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 15**

**HOURS 1.0**

**TITLE: CASE STUDY: USS VINCENNES or USS SARATOGA**

I. Learning Objectives

A. Reading Objectives

1. The student will apply the principles covered in Lessons 1-14 to an analysis of a real world leadership problem.
2. The student will evaluate the actions of leaders in the given scenarios and determine how they could have avoided what occurred.
3. The student will demonstrate an understanding of the application of the course concepts.

B. Discussion Objectives: Same as Learning Objectives

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 15

B. Student References

1. Leadership and Management, Chapter 15

III. Instructor Notes

*If you start yelling and becoming obtrusive and beboppin' around, you give the impression of insecurity and that becomes infectious. It bleeds down into the actors, and they become nervous; then it bleeds down into the crew, and they become nervous, and you don't get much accomplished that way. You have to set a tone and just demand a certain amount of tranquility.*

Clint Eastwood  
on directing films

*Trust men and they will be true to you; treat them greatly and they will show themselves to be great.*

Ralph Waldo Emerson

*Leadership is intangible, and therefore no weapon designed can replace it.*

GEN Omar Bradley

*A little integrity is better than any career.*

Ralph Waldo Emerson

- A. As you read these first two case studies, consider how issues of power, influence, personality, communication, assertiveness and feedback contributed to what happened. The point to focus on is not the tactical decisions that were made or the strategic context in which they occurred, but the leadership actions (or inaction) that affected the outcome.
- B. You will have other opportunities to debate the merits of the tactics, strategy and decision-making in these cases; the purpose of including them here is to focus on what they have to tell us about leadership. As you read the cases, consider what leadership actions before or during these events might have caused different outcomes, and what opportunities junior officers who were present had to affect the course of events.

#### IV. Chapter Outline

- A. Choose whether you want to focus on just one of the case studies or compare and contrast both.
- B. You also have the option to show the *Vincennes* incident video, "Seven Minutes That Shocked the Navy".
- C. The case study is a means to an end -- in this case to a fuller understanding of the course concepts.
  - 1. Remember the importance of your first question (default -- What's the problem here?).
  - 2. Build "teachable moments" into your discussion.
  - 3. Get the students involved; don't dominate the discussion.
  - 4. Use the chalkboard.
  - 5. Establish and enforce a discussion on ROE.
  - 6. Ask questions, don't make declarative statements.

7. Reward participation.
- D. Review pages 178-179 of McKeachie.
  - E. Using the objectives above, review the following process for case study analysis. Prepare notes and be ready to contribute to a class discussion on each of these issues.
    1. Identify the facts of this case.
    2. Define the problem in this case.
    3. Apply theoretical models from previous sessions to diagnose the problem more completely.
    4. Offer a prescription or plan to remedy the problem. We have learned that the situation often dictates our behavior -- prescribes the course of action we take.
    5. As you review the case studies for this session, consider how the situation prescribed the actions by the leaders and followers involved.

V. Discussion Questions

The primary questions are in the text, but the following are some key concepts that can be used for discussion:

- A. Leader/follower/situation. Examine the dynamics of both cases, especially how the situation impacted the actions of leaders and followers.
- B. Power and influence. Focus on expert power and its apparent role in the confusion between the officers and enlisted involved in each case study.
- C. Perceptual set. An especially significant factor in both incidents.
- D. Communication. Review each step in the communication process and identify where breakdowns occurred.
- E. Frame of reference. Remember, the same word, such as "secure" on page 172, means different things to different people/services.

- F. Active listening. Hearing what was actually said instead of what you want or expect to hear.
- G. Assertiveness/acquiescence/aggressiveness. Assertiveness, or the lack thereof, was a key factor in both case studies.
- H. Constructive feedback. Lessons learned? Did we seek constructive feedback in the aftermath of these two incidents?

VI. In-Class Exercises

- A. Have the students break into groups. Assign each group to examine either one or both cases in terms of one or two of the areas above.
- B. Allow 15-20 minutes of small group discussion, then have each group present their findings.

VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 16**

**HOURS 4.0**

**TITLE: BRIEFING TECHNIQUES/ORAL PRESENTATIONS**

I. Learning Objectives

A. Learning Objectives

1. The student will understand the importance of good oral briefing techniques.
2. The student will demonstrate good briefing techniques by giving a presentation to the class (Student Facilitation Presentation or Separate Oral Presentation).
3. The student will be able to identify strong and weak briefing techniques in fellow students' presentations.

B. Discussion Objectives: Same as Learning Objectives

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 16

B. Student References

1. Leadership and Management, Chapter 16

III. Instructor Notes

*Tell me and I'll forget; show me and I may remember; involve me and I'll understand.*

Chinese Proverb

*Your strength as an individual depends on, and will be in direct proportion to, how you react to both praise and criticism. If you become too concerned about either, the effect on you is certain to be adverse.*

John Wooden

*Nurture your mind with great thoughts. To believe in the heroic makes heroes.*

Benjamin Disraeli

*I took a great deal o' pains with his education, sir; let him run the streets when he was very young, and shift for his-self. It's the only way to make a boy sharp, sir.*

Charles Dickens  
in *Pickwick Papers*

- A. A junior officer is expected to be able to speak knowledgeably and professionally to a varied audience. You might find yourself conducting training during a safety stand-down, or delivering a brief to your peers and superiors about your ship, aircraft, or submarine's weapons systems.
- B. In other instances, time and information is limited and expertise in giving presentations will be what sells the idea you are trying to get across.
- C. It is recommended the instructor present the lecture to students in the middle of the curriculum to afford them the opportunity to adequately prepare presentations to be delivered towards the end of the term.
- D. Let students know they will be graded on appearance, voice inflection, knowledge level, confidence level, etc.
- E. Gage presentation length on the number of students and course time allowed.
- F. If a video camera is available, students may view their presentation after the instructor and/or class have provided their feedback.

#### IV. Chapter Outline

- A. Review Briefing Checklist Handout with students
- B. Review grading criteria
- C. Assign oral presentations/distribute topic list

#### V. Discussion Questions: None

#### VI. In-Class Exercises: None

## Briefing Checklist Handout

### I. Preparation

- A. Credibility is established through experience, knowledge and adequate preparation.
- B. Lecturers must be enthusiastic, willing and interested in the subject.
  - 1. Initial preparation
    - a. Vary your sources of research. Different publications may be required.
    - b. Research notes will be useful.
    - c. Understand the subject matter, *don't just read it*. If you don't understand one item, be sure you qualify this at the time the subject is discussed in your lecture.
    - d. Establish the format for presentation early.
    - e. Prepare training aids. Make them interesting and colorful.
  - 2. The day before the lecture
    - a. Dry run with a critic.
    - b. Review the style used.
    - c. Discuss the information presented.
    - d. Tape record your practice lesson.
    - e. Listen and critique yourself.
    - f. Time the lecture and make the necessary adjustments.
    - g. Short notice assignments take a more concentrated effort.
  - 3. Minutes before the lecture.

Good personal appearance is mandatory whether in whites, khakis, or BDUs

4. Set up the room
  - a. Whiteboard/Chalkboard with lecture title and your name on it. All other notes not pertaining to your lecture off.
  - b. Training aids need to be set up.
5. Start on time
6. Formal appearance is important to convey a professional attitude throughout the entire lecture.

## II. Location Of The Lecture

Classrooms are best (if possible)

- A. They are quiet, and you have a minimum of interruptions.
- B. Proper seating can be arranged.
- C. Convert ready room into classroom atmosphere if a classroom is not available.

## III. Organizing The Presentation

- A. Introduction of the lecture should include:
  1. Topic -- State it and define it, if necessary.
  2. Objectives of the topic
  3. Importance to each individual
- B. Avoid:
  1. Apologies -- Never apologize for your lecture; you have done the most with what resources you have available.
  2. Negativity
  3. Numerous jokes

4. Excessive length -- Don't go for more than 45 to 50 minutes without a 5-minute break
- C. Body of the lecture
1. Should have logical progression and be understandable
  2. Continuity of items discussed -- should only be related to subject matter
  3. Keep it simple
  4. Don't try to impress people with miscellaneous facts
- D. Conclusion -- Review what you told them
1. Gives meaning to entire presentation
  2. Summarize what was said
  3. Re-emphasize main points
  4. Solicit feedback by asking questions of the individuals.

#### IV. Techniques Of Effective Communication

- A. Be prepared to know the subject
1. This gives the lecturer confidence.
  2. Gives assurance to the group that you know the subject.
- B. Be physically direct
1. Good posture is expected.
  2. Eye contact will give you clues that the individuals are absorbing and listening.
  3. Natural physical movements and motions will not distract attention.
- C. Dignity of the professional

1. No profane language.
  2. Avoid cheapness in training aids.
  3. Convey honesty and sincerity.
  4. Don't get ruffled; stay cool.
- D. Tolerance and fairness
1. Respect individual questions as being important.
  2. Talk with the individuals, not at them.
- E. Voice control
1. Needs to carry meaning and feeling.
  2. Talk loud enough for everyone to hear.
  3. Don't trail off at the end of sentences (indicates you are bored and not interested).
  4. Monotones will result in excessive use of notes.
  5. Modulate your voice for emphasizing important points.
  6. Keep your sense of humor but do not force it. If you have natural humor, let it flow so other people can enjoy it.
- F. Don't hide your enthusiasm
1. Generate interest and motivation among the people you are addressing.
  2. It is contagious.
- G. Lecturer should look attentively for:
1. Boredom. Can be detected through continuous moving eye contacts.
  2. Puzzlement can destroy interest. Individuals could be confused, or you may have made an error. Correct the situation.

3. Approval/disapproval can be recognized by nodding or shaking the head in a positive/negative way.
4. Weariness is a result of excessive sitting time. Time your breaks so you do not exceed 50 minutes at any one session.

H. Strive to be extemporaneous

1. This will result if you are adequately prepared.
2. Practice makes perfect.
3. Don't read from the notes to the class.

I. Avoid annoying mannerisms

1. Excessive pacing
2. Rigid stance
3. Rocking
4. Pointer, chalk or gadget security. You do not always need to hold on to something. Use only when needed and then put them away so they are not distracting.
5. No smoking or slurping coffee
6. Hands in the pockets
7. Repetitious words or phrases such as "dynamite" or "outstanding"
8. Brushing hair
9. Numerous jokes

V. Training Aids

- A. The more senses brought to bear on a subject, the more effective the lecture. Use video to illustrate the concept.
- B. Visual aids should be correct, current, colorful and are considered a significant part of every lecture.

C. Function of training aids

1. Makes for easier note taking
2. Stimulates the senses
3. Recollection through the use of visual aids is almost four times better than simple words
4. Supplement your own discussion

D. Types of training aids

1. Whiteboards/Chalkboards are good for group discussions
  - a. Use quality whiteboards that will erase.
  - b. Keep it clean. (Get rid of all notes on the board.)
  - c. Use colored pens.
  - d. Use proper lighting so it can be seen.
  - e. Practice how to approach the board and how to use it.
2. Easel with paper
  - a. Accessible
  - b. Easy to use
  - c. Can use colored pencils or markers on it.
3. Video tapes are best for retention
  - a. Good for initial attention getter.
  - b. Use the most current footage.
  - c. Use only applicable section.
4. Charts and maps
  - a. All members should have a copy for reference.

- b. Make sure it is the graphic needed. Should not have excessive information on it.

5. Overhead projector

- a. Do not use it in excess. Fifteen minutes should be the maximum.
- b. Have viewgraphs prepared and in order.
- c. Do not spend time in class making viewgraphs.
- d. Do not use grease pencil on viewgraphs.

6. PowerPoint Slides

- a. Most professional of all visual aids
- b. Easy to store and transport

VI. Improvements

Strive for improvements by use of:

- A. New techniques
- B. New information
- C. Peer input
- D. Never be satisfied with the quality of your presentation

VII. Overhead/Computer Production

- A. With the very good graphics capability available through personal computers, a very quick, efficient and easy technique is available to make professional looking overheads. Availability of 3-beam projectors with direct hook-up capability may also allow direct presentation from the computer.
- B. Procedures
  - 1. Create desired bulleted slide or graphic on computer.
  - 2. Use a standardized background/format.

3. Make paper copy.
4. Use special plastic transparencies available for copy machines to transfer your paper copy to an overhead.
5. Make additional paper copies to provide notes for your audience.

VIII. Miscellaneous

A. Taste

1. Good taste is always desirable.
2. In general, use material that is not controversial in its appeal.

B. Copyright Laws

1. Chapter 17 of the United States, Section 107, addresses fair use of copyrighted material. It states:
  - a. Limitations on Exclusive Rights: Fair Use. Notwithstanding the provisions of Section 106, the fair use of a copyrighted work, including such use by reproduction in copies or phone-records or by any other means specified by that section, for purposes such as criticism, comment, news, reporting, teaching (including multiple copies for classroom use), scholarship, or research, is not an infringement of copyright. In determining whether the use made of a work in any particular case is a fair use, the factors to be considered shall include:
    - (1) The purpose and character of the use, including whether such use is commercial in nature or is for non-profit educational purposes;
    - (2) The nature of the copyrighted work;
    - (3) The amount and substantiality of the portion is used in relation to the copyrighted work as a whole; and

(4) The effect of the use upon the potential market for or value of the copyrighted work.  
Pub.L. 94-553, Title 1, S101, Oct. 19, 1976 90  
Stat. 2546.

b. Care must be exercised if multiple copies of copyrighted material are to be disseminated to others. If material is to be used by you only for instruction, you may copy virtually anything without regards to copyrights. It is considered fair use.

## IX. Summary

- A. Don't over-correct personality quirks.
  - 1. Everyone knows your bad habits and expects to see some of them.
  - 2. Just avoid the most distracting items, such as having your hands in your pockets all the time, or straightening your hair constantly.
- B. Summarize every lecture presented. Some people only recall what you summarize.
- C. Training aids are the most valuable tool for mental retention. Use them!
- D. Slides and overheads can be produced using beautifully simple techniques and your imagination.

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 17**

**HOURS 1.0**

**TITLE: MORAL LEADERSHIP AND NAVY CORE VALUES**

I. Learning Objectives

A. Reading Objectives

1. The student will comprehend a combination of the rational approach to leadership with a concern for people and ethics.
2. The student will comprehend his or her own stage of moral development and ways to accelerate his or her moral maturation.
3. The student will apply the principles of stewardship and servant leadership.
4. The student will know the meaning of the Core Values and each of their sub-elements.
5. The student will comprehend how internalizing the Core Values contributes to the development of character.
6. The student will comprehend how specific Core Values and their sub-elements apply in actual or hypothetical situations.

B. Discussion Objectives

1. The student will apply the principles of stewardship and servant leadership.
2. The student will know the meaning of the Core Values and each of their sub-elements.
3. The student will comprehend how internalizing the Core Values contributes to the development of character.
4. The student will comprehend how specific Core Values and their sub-elements apply in actual or hypothetical situations.

## II. References and Texts

### A. Instructor References

1. Leadership and Management, Chapter 17
2. Leadership Theory and Practice, Chapter 13

### B. Student References

1. Leadership and Management, Chapter 17

## III. Instructor Notes

*Beware of the man who had no regard to his own reputation, since it is not likely he should have any for yours.*

George Shelley

*I have often thought that the best way to define a man's character would be to seek out the particular mental or moral attitude in which, when it came upon him, he felt himself most deeply and intensively active and alive. At such moments, there is a voice inside which speaks and says, "This is the real me."*

William James

*Subordinates cannot be left to speculate as to the values of the organization. Top leadership must give forth clear and explicit signals, lest any confusion or uncertainty exist over what is and is not permissible conduct. To do otherwise allows informal and potentially subversive "codes of conduct" to be transmitted with a wink and a nod, and encourages an inferior ethical system based on "going along to get along" or the notion that "everybody's doing it."*

Richard Thornburgh

*Leadership cannot just go along to get along...Leadership must meet the moral challenge of the day.*

Jesse Jackson

- A. This chapter explores several ideas concerning moral leadership and leadership courage. People want honest and trustworthy leaders. For leaders to create ethical organizations requires that they themselves be honest, ethical and principled.
- B. One personal consideration for leaders is their level of moral development. Leaders use an understanding of the stages of moral development to enhance their own, as well as their followers', personal moral growth. Leaders who

operate at higher stages of moral development focus on the needs of followers and universal ethical principles.

- C. Ideas about control versus service between leaders and followers are changing and expanding. This is reflected in a continuum of leader-follower relationships. The continuum varies from authoritarian managers to participative managers to stewardship to servant leadership.
- D. Leaders who operate from the principles of stewardship and servant leadership can help build ethical organizations. All leaders face ethical dilemmas. Leaders shape the ethical culture of the organization most clearly by their behavior. They can also use a number of formal mechanisms to create ethical organizations.

#### IV. Chapter Outline

##### A. Becoming a Moral Leader

1. All leadership practices can be used for good or evil and thus have a moral dimension.
2. Moral leadership is about distinguishing right from wrong and doing right; seeking the just, the honest, the good; and the practice of right conduct.
3. Leaders have great influence over others, and moral leadership gives life to others and enhances the lives of others (e.g. Raoul Wallenberg).
4. Immoral leadership takes away from others in order to enhance oneself.
5. Specific personality characteristics such as ego, strength, self-confidence, and a sense of independence may enable leaders to behave morally in the face of opposition.
  - a. Leaders can develop these characteristics through hard work.
  - b. A leader's capacity to make moral choices is related to his level of moral development.

## 6. Three Levels of Personal Moral Development

Figure 17-1 shows a simplified illustration of one model of personal moral development.

### a. Preconventional Level

- (1) Individuals are concerned with receiving external rewards and avoiding punishments.
- (2) They obey authority to avoid detrimental consequences.
- (3) The leadership position would tend to be autocratic and aim for personal advancement.

### b. Conventional Level

- (1) People learn to conform to the expectations of good behavior as defined by colleagues, family, friends, and society.
- (2) People follow the rules, norms, and values of the corporate culture - if the rules are to be honest, honesty is followed.
- (3) If the rules of the social system are dishonest, people will go along.

### c. Principled Level

- (1) Leaders are guided by an internalized set of principles universally recognized as right or wrong.
- (2) People at this level may disobey the rules or laws that violate these principles. Internalized values become more important than the expectations of others.

### d. Most adults operate at level two.

### e. Research has consistently found a direct relationship between higher levels of moral development and more ethical behavior on the job.

- f. Leaders can use an understanding of these stages to enhance their own and their followers' moral development and to initiate ethics training programs to move people to higher levels of moral reasoning.

## B. Leadership Control versus Service

1. Much of the thinking about leadership today implies that moral leadership encourages change toward developing followers into leaders, thereby developing their potential.
2. Figure 17-2 illustrates a continuum of leadership thinking and practice.
  - a. In Stage 1, subordinates are passive and expected to do as they are told.
  - b. Stage 2 involves subordinates more actively in their work.
  - c. Stage 3 is stewardship, which moves responsibility from leaders to followers.
  - d. Stage 4 is servant leadership. It represents a stage beyond stewardship, whereby leaders give up control and make a choice to serve employees.
3. Authoritarian Management has a manager who directs and controls the employees.
  - a. Power, purpose, and privilege reside with the top management.
  - b. Leadership emphasizes top-down control, standardization and specialization, and management by impersonal measurement and analysis.
4. Participative Management uses teamwork, but the mindset is still paternalistic in that top leaders determine purpose and goals, make final decisions, and decide rewards. Leaders are responsible for outcomes.
5. Stewardship supports the belief that leaders are accountable to others and to the organization, without

trying to control others, define meaning and purpose for others, or take care of others.

Four principles provide the framework for stewardship:

- a. Reorient toward a partnership assumption
- b. Localize decisions and power to those closest to the work and the customer
- c. Recognize and reward the value of labor
- d. Expect core work teams to build the organization.

6. Servant Leadership is leadership upside-down.
  - a. Servant leaders transcend self-interest to serve the needs of others, help others grow and develop, and provide opportunity for others to gain materially and emotionally.
  - b. The fulfillment of others is the servant leader's principal aim.
  - c. Servant leaders
    - (1) Put service before self-interest
    - (2) Listen first to affirm others
    - (3) Inspire trust by being trustworthy
    - (4) Nourish others and help them become whole
  - d. Servant leaders truly value and respect others as human beings, not as objects of labor.

### C. Naval Service Core Values

The Core Values of the Naval Service specify the kinds of broad behaviors by which officers in the Navy and Marine Corps earn the nation's trust.

1. Fidelity to these core values accomplishes several crucial ends.

- a. It enhances the likelihood of mission accomplishment.
- b. It promotes the well-being of the Sailors and Marines for whom officers are answerable.
- c. It secures the confidence of the citizens and their elected representatives who ultimately exercise oversight of the armed forces.

2. Beyond "Honor, Courage, and Commitment"

In order to bring those desirable ends into being, it becomes necessary to think about the core values in ways that go beyond the meanings normally ascribed to the words, "honor, courage, commitment."

- a. Honor
  - (1) Honor as honesty
  - (2) Honor as integrity
  - (3) Honor as responsibility
- b. Courage
  - (1) Courage as patriotism
  - (2) Courage as loyalty
  - (3) Courage as valor
- c. Commitment
  - (1) Commitment as concern for people
  - (2) Commitment as competence
  - (3) Commitment as teamwork

V. Discussion Questions

- A. If most adults are at a conventional level of moral development, what does this mean for their potential for moral leadership?

- B. Do you feel that the difference between authoritarian leadership and stewardship should be interpreted as a moral difference? Discuss.
- C. Should serving others be placed at a higher moral level than serving oneself? Discuss.
- D. What level of leadership corresponds most closely with the Naval Service Core Values?
- E. Discuss going "Beyond Honor, Courage, and Commitment".
- F. Discuss COL Ripley's heroics as they apply to moral leadership and the Core Values.

COL Ripley exemplifies the making of good ethical decisions as a conditioned ("natural") response to the perils of combat. For him, years of sound decision-making forged his character and were ultimately manifested in actions of honor, integrity and courage. His actions demonstrate a tenacious pursuit of what is right in the face of tremendous personal danger. The midshipmen should associate the commitment of this man with the commitment taken with the Oath of Office and the Commission of an Officer. Furthermore, they should realize that, in essence, this commitment is also the same as that commitment entered upon by the midshipmen themselves when they were sworn in last year.

#### VI. In-Class Exercises

Choose from one or more of the following from Leadership Instructor's Manual:

- A. Exercise 2: Values, p. 120
- B. Exercise 3: Values Rummy, p. 124

#### VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 18**

**HOURS 1.0**

**TITLE: FOLLOWERSHIP**

I. Learning Objectives

A. Reading Objectives

1. The student will comprehend their followership style and take steps to become a more effective follower.
2. The student will comprehend and apply the principles of courageous followership, including responsibility, service, challenging authority, participating in change, and knowing when to leave
3. The student will comprehend developing personal potential to include the Seven Habits of Highly Effective People.

B. Discussion Objectives

1. The student will apply the principles of courageous followership, including responsibility, service, challenging authority, participating in change, and knowing when to leave.
2. The student will comprehend developing personal potential to include the Seven Habits of Highly Effective People.

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 18
2. Leadership Theory and Practice, Chapter 14

B. Student References

1. Leadership and Management, Chapter 18

### III. Instructor Notes

*It does an organization no good when its leader refuses to share his leadership function with his lieutenants. The more centers of leadership you find in a company, the stronger it will become.*

David Ogilvey

*If it moves, salute it. If it doesn't move, pick it up. If you can't pick it up, paint it.*

Anonymous

*A nation of sheep begets a government of wolves.*

Bertrand de Jouvenal

*A community is like a ship; everyone ought to be prepared to take the helm.*

Henrik Ibsen

- A. As organizations continue the trend toward empowerment, the important role of followers can be recognized. People are followers more often than leaders, and effective leaders and followers share similar characteristics. An effective follower is both active and an independent thinker. Being an effective follower depends on not becoming alienated, conforming, passive, or a pragmatic survivor.
- B. Courage is vital to effective followership. Effective followers display the courage to assume responsibility, to serve, to challenge, to participate in transformation, and to leave when necessary. Followers also are aware of their own power and its sources, which include personal and position sources. Strategies for being an effective follower include being a resource, helping the leader be a good leader, building a relationship with the leader, and viewing the leader realistically.
- C. Followers want both their leaders and their colleagues to be honest and competent. However, they want their leaders also to be forward thinking and inspirational. The two latter traits distinguish the role of leader from follower. Followers want to be led, not controlled. Conversely, followers want their peers to be dependable and cooperative. These features help develop community, which enable followers to prosper and to share leadership in the organization.

### IV. Chapter Outline

- A. The Role of Followers

1. The role of followers is important in the discussion of leadership.
  - a. First, leadership and followership are fundamental roles that individuals shift in and out of under various conditions.
  - b. Second, the follower's influence upon a leader can enhance the leader or underscore shortcomings.
  - c. Third, many of the qualities that are desirable in a leader are the same qualities possessed by an effective follower.
2. As organizations empower their members to achieve superior performance, the process of followership will continue to be relevant, and the reciprocal partnership that makes up the leader-followership relationship will warrant increasing attention.

#### B. Styles of Followership

1. Robert E. Kelley described five styles of followership categorized according to two dimensions, as illustrated in Figure 18-1.
  - a. The first dimension is the quality of independent, critical thinking, versus dependent, uncritical thinking.
    - (1) Independent thinkers are aware of the significance of their actions, the actions of others, and the impact of decisions on the company vision.
    - (2) A dependent, uncritical thinker does not consider possibilities, does not contribute to the cultivation of the organization, and accepts the leader's ideas without thinking.
  - b. The second dimension is active versus passive behavior.
    - (1) An active individual participates fully in the organization.

(2) A passive individual is characterized by a need for constant supervision.

2. These dimensions determine five followership styles:

- a. Alienated Follower: Passive yet independent critical thinker.
- b. Conformist: An active participant who does not utilize critical thinking skills.
- c. Pragmatic Survivor: One who has qualities of all four extremes -- depending on which style fits with the prevalent situation.
- d. Passive Follower: One who exhibits neither critical, independent thinking nor active participation.
- e. Effective Follower: One who is both a critical, independent thinker and active in the organization.

C. The Courageous Follower

Courage is found in both effective leaders and followers.

1. A willingness to take risks, to challenge authority, and to believe one's own ideas are equal to or better than one's superior typically marks a follower as a future leader.
2. The role of the follower includes responsibility, service, challenging authority, participating in change, and knowing when it is time to leave an organization.
3. These components of followership require courage.
4. Role of the follower
  - a. Courage to assume responsibility
    - (1) By assuming responsibility for their behavior and its impact on the organization, courageous followers do not presume that a leader or an

organization will provide them with security, permission to act, or personal growth.

- (2) Followers initiate opportunities for personal fulfillment, growth, and the fullest use of their capabilities.

b. Courage to serve

- (1) A courageous follower discerns the needs of the organization and actively seeks to serve those needs.
- (2) Supporting the leader's decision, providing strength, complementing the leader's position, and serving others display a follower's courage.

c. Courage to challenge

- (1) Courageous followers do not sacrifice the purpose of the organization or their personal ethics in order to maintain harmony and minimize conflict.
- (2) They stand up against leaders and decisions when that behavior contradicts the best interest of the organization, or their own integrity.

d. Courage to participate in transformation

- (1) Courageous followers view the struggle of corporate change and transformation; courageous followers support the leader and the organization.
- (2) They are not afraid to confront the changes and work toward reshaping the organization.

e. Courage to leave

- (1) Often organizational or personal changes create a situation in which a follower must withdraw from a leader-follower relationship.

- (2) Followers are not afraid to depart because they do not rely on leaders or organizations for their self-worth.

## 5. Sources of Follower Courage

The courage to accept risk is derived from several sources.

- a. Individuals gain strength from their personal philosophical or religious beliefs.
- b. A vision of the future -- who and where they hope to be -- can provide the courage to follow a difficult course of action.
- c. An event from the past that tested individual courage can make future courageous behavior easier.
- d. Personal values can give one the courage to act.
- e. A commitment to peers, a deep concern for others, and outrage about injustice can foster courage.

## 6. Developing Personal Potential

- a. This can be accomplished through Stephen Covey's approach which defines a habit as the intersection of knowledge, skill, and desire.
- b. In Figure 18-2, seven habits are arranged along a continuum from dependence to interdependence.
- c. Each habit builds on the previous one so individuals grow further along the maturity continuum as they develop personal effectiveness habits.

- (1) Dependent people expect someone else to take care of them and blame others when things go wrong.

- (2) Independent people have developed a sense of self-worth and an attitude of self-reliance.

(3) Interdependent people realize that it is best to work cooperatively with others.

d. From Dependence to Independence

(1) Covey's first three habits deal with self-reliance and self-mastery.

(2) These are called private victories because they only involve the follower.

(a) Habit 1: Be Proactive®

This means being responsible and not blaming others.

(b) Habit 2: Begin With The End In Mind®

This means to start with a clear mental image of your own destination.

(c) Habit 3: Put First Things First®

This habit encourages people to focus on preserving and enhancing relationships and on accomplishing results.

e. Effective Interdependence

(1) The first three habits build a foundation of independence, from which one can move to interdependence -- caring, productive relationships with others which Covey calls public victories.

(2) When a person moves to interdependence, he steps into a leadership role.

(a) Habit 4: Think Win-Win®

This implies an understanding that without cooperation, the organization cannot succeed.

(b) Habit 5: Seek First To Understand, Then To Be Understood®

Seeking first to understand requires a nonjudgmental attitude. Empathetic listening gets inside another person's frame of reference.

(c) Habit 6: Synergize®

Synergy is the combined action that occurs when people work together to create new alternatives and solutions. The essence of synergy is to value and respect differences.

(d) Habit 7: Sharpen the Saw®

This is the process of using and continuously renewing the physical, mental, spiritual, and social aspects of life.

V. Discussion Questions

- A. What were your followership characteristics as a freshman? Have your followership characteristics changed from your freshman year? If so, how?
- B. What are the followership characteristics that you possess now? Do they affect your leadership characteristics? What do you expect from your followers?
- C. Discuss the role of the follower. Why do you think so little emphasis is given to followership compared to leadership in organizations?
- D. Discuss what would make a "perfect" follower. What characteristics would that person have that were different from a good leader? What characteristics would be the same?
- E. Discuss the chapter introductory quotes. What do de Jouvenal and Ibsen imply about the responsibilities of followers?
- F. As followers, what do your students owe to their chain of command, the NROTC Battalion, and the Navy/Marine Corps? What should leaders demand of followers? What should followers demand of leader?

- G. How can you develop initiative in your followers? Why should you?
- H. Compare the alienated follower with the passive follower. Can you give an example of each? How would you respond to each if you were a leader?
- I. Which of the five courageous actions of a follower do you feel is most important to an effective follower? Least important? How does a follower derive the courage and power to be effective? Discuss.
- J. Discuss how students can apply the Seven Habits of Highly Effective People to their lives.
- K. Discuss the "A Message to Garcia" reading. How does this reading apply to the Role Of Followers, Styles Of Followership, and The Courageous Follower?

V. In-Class Exercises

Choose from one or more of the following from Leadership Instructor's Manual:

- A. Exercise 5: Hand Clapping, p. 127
- B. Exercise 2: Blind Walk, p. 213
- C. Exercise 4: Headband Exercise, p. 216

VI. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 19**

**HOURS 1.0**

**TITLE: GROUPS AND TEAMS**

I. Learning Objectives

A. Reading Objectives

1. The student will comprehend the five stages of group development.
2. The student will comprehend how roles and norms influence an employee's behavior.
3. The student will comprehend the key components of conflict and group performance.
4. The student will comprehend the key components in the group behavior model.
5. The student will comprehend the advantages and disadvantages of group decision making.
6. The student will comprehend four techniques for improving group decision making.
7. The student will comprehend the characteristics of effective teams.
8. The student will comprehend how managers can build trust.

B. Discussion Objectives

1. The student will comprehend the five stages of group development.
2. The student will comprehend the key components of conflict and group performance.
3. The student will comprehend the advantages and disadvantages of group decision making.

4. The student will comprehend the characteristics of effective teams.
5. The student will comprehend how managers can build trust.

## II. References and Texts

### A. Instructor References

1. Leadership and Management, Chapter 19
2. Leadership Theory and Practice, Chapter 10
3. Management, Chapter 19

### B. Student References

1. Leadership and Management, Chapter 19

## III. Instructor Notes

*Snowflakes are one of nature's most fragile things, but just look at what they can do when they stick together.*  
Vesta M. Kelly

*You're only as good as the people you hire.*  
Ray Kroc  
(founder of  
McDonald's)

*The high destiny of the individual is to serve rather than to rule.*  
Albert Einstein

*If the blind lead the blind, both shall fall into the ditch.*  
Matthew 15:14

- A. The military leader most often deals with subordinates who are part of a defined group. Though followers are individuals, it is to our advantage to look at followers in terms of groups and teams because these organizational structures give the leader maximum potential for impacting follower behavior.

- B. The point of looking at the structure of groups and teams is not to memorize nomenclature (though these readings provide a substantial amount of useful descriptive nomenclature) or checklists of characteristics. Instead, structure should be seen as a tool that provides a different approach to solving some common leadership problems. Focusing on structure should underscore that there is an approach to changing human behavior that doesn't require attention to motivation, or inspiration, or personality, or even leadership style. Some issues of failure and success can be addressed purely in the context of organizational structure.
  
- C. Understanding the influence of groups, the establishment and enforcement of group norms, and how groups become teams is consequently important to leaders. Building group cohesion is a key goal for leaders. While highly cohesive groups can be exceptionally effective, they are also vulnerable to serious problems like groupthink, which is discussed here by the originator of the term, and overbounding, which is the phenomena by which groups close themselves off from outside resources and help, thereby reducing their own effectiveness.

#### IV. Chapter Outline

##### A. Introduction

1. Work groups are a common arrangement within today's business organizations. Work is being restructured around groups in all kinds and in all sizes of organizations.
  
2. Managers need an understanding of group behavior and the concept of teams in order to appreciate what groups can and cannot do within organizations and how groups function.

##### B. Understanding Group Behavior

Groups exhibit different behavior, more than just the sum total of each group member's individual behavior. In this section, we're going to look at various aspects of group behavior.

1. A group is defined as two or more interacting and interdependent individuals who come together to achieve particular objectives.
  - a. Formal groups are work groups established by the organization and who have designated work assignments and established tasks. (See Figure 19-1.)
  - b. Informal groups are natural, social formations that appear in the work environment.
2. There is strong evidence that groups pass through five stages as they develop. (See Figure 19-2.)
  - a. Forming is the first stage in group development, during which people join the group and then define the group's purpose, structure, and leadership. Figure 19-3 shows some reasons why people join groups. Forming is a stage characterized by much uncertainty.
  - b. Storming is the second stage of group development characterized by intragroup conflict.
  - c. Norming is the third stage of group development, characterized by close relationships and cohesiveness.
  - d. Performing is the fourth stage in group development when the group is fully functional.
  - e. Adjourning is the final stage in group development for temporary groups. It's characterized by concern with wrapping up activities rather than with task performance.
3. We need to look at some of the basic group concepts in order to begin understanding group behavior.
  - a. A role is a set of behavior patterns expected of someone occupying a given position in a social unit. Role conflict can occur when an individual is confronted with divergent role expectations.
  - b. Norms are acceptable standards shared by a group's members. Although each group has its own unique

set of norms, there are common classes of norms that appear in organizations. These focus on effort and performance, dress, and loyalty. Also, because individuals desire acceptance by the groups to which they belong, they are susceptible to conformity pressure. (See Figure 19-4, for an example of the cards used in the Asch study of group conformity.)

- c. Status systems are an important factor in understanding group behavior. Status is a prestige grading, position, or rank within a group.
- d. Group size can also affect the group's overall behavior. The effect depends on which outcomes are focused upon. One finding relating to group size is that as groups get larger, the contribution of individual members often tends to decrease. This is known as the free-rider tendency.
- e. Group cohesiveness is the degree to which members are attracted to one another and share the group's goals. Research has shown that highly cohesive groups are more effective than those that are less cohesive. However, it's important to look at the degree to which the group's attitude aligns with the goals. (See Figure 19-5.)
- f. Conflict management is another group concept that we need to understand. Conflict is perceived incompatible differences that result in interference or opposition.
  - (1) The traditional view of conflict is the view that all conflict is bad and must be avoided.
  - (2) The human relations view of conflict is the view that conflict is a natural and inevitable outcome in any group.
  - (3) The interactionist view of conflict is the view that some conflict is necessary for a group to perform effectively.
  - (4) Some conflicts are functional conflicts, those conflicts that support a group's goals. Others are dysfunctional conflicts which are

conflicts that prevent a group from achieving its goals.

(5) Figure 19-6, illustrates the challenge facing managers regarding conflict and group performance.

g. Managers can use different conflict resolution approaches. (See Figure 19-7.)

(1) Avoidance is withdrawal from or suppression of conflict.

(2) Accommodation is resolving conflicts by placing another's needs and concerns above one's own.

(3) Forcing is satisfying one's own needs at the expense of another's.

(4) A compromise is a solution to conflict in which each party gives up something of value.

(5) Collaboration is resolving conflict by seeking a solution advantageous to all parties.

4. Groups also need information to perform their tasks. How do they get this information?

a. Although there are formal communication channels, many times informal communication -- communication that exists outside the organization's formally authorized communication channels -- is used.

b. The informal communication network is better known by the name grapevine.

5. Many organizational decisions are made by groups.

a. Group decisions have certain advantages over individual decisions.

(1) Provide more complete information.

(2) Generate more alternatives.

(3) Increase acceptance of a solution.

- (4) Increase legitimacy.
- b. However, group decisions also have disadvantages.
  - (1) Time consuming.
  - (2) Minority domination.
  - (3) Pressures to conform which can lead to groupthink.
  - (4) Ambiguous responsibility.
- c. Are group decisions more effective? It depends on the criteria used for defining effectiveness.
  - (1) Group decisions tend to be more accurate.
  - (2) Individual decisions are quicker in terms of speed.
  - (3) Group decisions tend to have more acceptance.
  - (4) The effectiveness of group decisions tends to be influenced by the size of the group. Groups should not be too large.
  - (5) Groups also are not as efficient as individual decision makers.
- d. There are four ways to make group decisions more creative.
  - (1) Brainstorming is an idea-generating process that encourages alternatives while withholding criticism.
  - (2) Nominal group technique is a group decision-making technique in which group members are physically present but operate independently.
  - (3) The Delphi technique is a group decision-making technique in which members never meet face to face.

- (4) Electronic meetings are one way that decision-making groups can interact by way of linked computers.

### C. Turning Groups Into Effective Teams

1. Work teams are formal groups made up of interdependent individuals, responsible for attaining goals. Organizations are increasingly designing work around teams rather than individuals.
2. Most of us are probably familiar with the concept of a team. However, we may not be as familiar with work teams. All work teams are groups, but only formal groups can be work teams.
3. There are different types of teams. Four characteristics can be used to distinguish different types of teams. (See Figure 19-9.)
  - a. Teams can vary in their *purpose or goal*.
  - b. The *duration* of a team tends to be either permanent or temporary.
  - c. *Team membership* can be either functional or cross-functional.
  - d. Finally, teams can either be *supervised or self-managed*.
4. Given these four characteristics, some of the most popular types of teams used today include the following:
  - a. A functional team is a type of work team that is composed of a manager and his or her subordinates from a particular functional area.
  - b. A self-directed or self-managed team is one that operates without a manager and is responsible for a complete work process or segment that delivers a product or service to an external or internal customer.
  - c. Finally, a cross-functional team is one in which individuals who are experts in various specialties

(or functions) work together on various organizational tasks.

D. Why use teams? There are a number of reasons why a team will be used:

1. Creates esprit de corps.
2. Allows management to think strategically.
3. Increases flexibility.
4. Takes advantage of workforce diversity.
5. Increases performance.

E. Developing And Managing Effective Teams

1. Teams aren't automatically going to magically perform at high levels. We need to look more closely at how managers can develop and manage effective teams.
2. There are eight characteristics associated with effective teams:
  - a. Clear goals
  - b. Relevant skills
  - c. Mutual trust
  - d. Unified commitment
  - e. Good communication
  - f. Negotiating skills
  - g. Appropriate leadership
  - h. Internal and external support
3. What's involved in managing teams?
  - a. In planning, it's important that teams have clear goals and that these goals be clear to every member of the team.

- b. Organizing tasks associated with managing a team include clarification of authority and structural issues.
- c. Leading issues include such things as determining what role the leader will play, how conflict will be handled, and what the best communication process is.
- d. Two important controlling issues include how to evaluate the team's performance and how to reward team members. One popular approach to group incentive plans is gainsharing which is a program that shares the gains of the efforts of group members with those group members.

#### V. Discussion Questions

- A. Think of a group to which you belong (or have belonged). Trace its development through the stages of group development shown in Figure 19-1. Think of specific examples or instances describing each stage.

Student responses to this will vary. However, encourage your students to be specific in terms of citing examples of each of the stages.

- B. Why might a manager want to stimulate conflict in a group or team? How could conflict be stimulated?

A manager might want to stimulate conflict in a group or team in order to help that group or team better reach its goals. Managers want to stimulate conflict to gain the full benefits of its functional properties without letting it become a disruptive force. Conflict can be simulated by bringing in outsiders to the group, restructuring the group, appointing a devil's advocate, changing the group's culture, and using communication.

- C. Do you think that everyone should be expected to be a team player, given the trends that we're seeing in the use of teams? Discuss.

Students are likely to have different feelings about this. Although the use of work teams in organizations is increasing, some individuals do not work (perform) best in a team setting. So, should managers expect everyone to be

a team player? Probably not. If the manager's job is to coordinate and integrate work activities, then he or she should take into consideration that some individuals may not perform well in a team setting.

- D. Contrast formal and informal groups.

Formal groups are work groups established by the organization that have designated work assignments and specific tasks. Informal groups are of a social nature. They occur naturally in the work environment in response to the need for social contact and tend to form around friendships and common interests.

- E. What are some types of formal groups in organizations?

Some types of formal groups in organizations are command groups, cross-functional groups, self-managed teams, and task forces.

- F. Describe the five stages of group development.

The five stages of group development are: forming (people join the group), storming (intragroup conflict occurs around resistance to the group's control over individuality and over who will control the group), norming (the group structure solidifies and accepts a common set of expectations about member behavior), performing (the group performs the task at hand), and adjourning (the group prepares to disband).

- G. How can group norms both help and hurt an organization?

Group norms can be extremely powerful in affecting an individual's performance with regard to how hard to work, what level of output to produce, when to look busy, when to goof off, and so on. Group pressures for conformity can affect an individual member's judgment and attitudes.

- H. How might status issues influence group behavior?

It's important for employees to see equity between the perceived ranking of an individual (that is, his or her status) and the status symbols he or she is given by the organization. When they do not, they are likely to reject authority and experience a drop in motivation.

- I. What is the most effective size for a group?

The most effective size for a group depends on the outcomes desired. Small groups are quicker to complete tasks than large groups, while large groups (a dozen or more members) are better at problem solving and getting diverse input. Groups of seven are more effective at taking action.

- J. Describe the relationship between group cohesiveness and productivity.

If its goals are desirable, a cohesive group is more productive than a less cohesive group. But if cohesiveness is high and attitudes are unfavorable, productivity decreases. If cohesiveness is low and goals are supported, productivity increases but not as much as when both cohesiveness and support are high. When cohesiveness is low and goals are not supported, cohesiveness has no significant effect on productivity.

- K. How do conflict management and informal communication influence group behavior?

Neither too much nor too little group conflict is desirable. Managers should stimulate conflict to gain the full benefits of functional conflict but reduce its level when it becomes a disruptive force (dysfunctional conflict). Informal communication serves two purposes for groups: employees can satisfy their need for social interaction, and group performance can be improved through faster and more efficient informal communication channels.

- L. Why are some groups more successful than others? (Hint: Use the group behavior model.)

Factors that influence why some groups are more successful than others include external conditions imposed on the group, group member resources, group structure, group processes, and the complexity and interdependence of the group's tasks.

- M. What are the advantages and disadvantages of group decision making?

- N. Advantages of group decision making are that it provides more complete information, generates more alternatives,

increases acceptance of a solution, and increases legitimacy. Disadvantages are that it is time consuming, is vulnerable to minority domination and pressures to conform, and can suffer from ambiguous responsibility.

- O. When would groups be the best choice for making decisions?

Groups are the best choice for decision making when the desired outcome is accuracy or creativity.

- P. Compare groups and teams.

Work teams are formal groups made up of interdependent individuals responsible for the attainment of a goal. All work teams are groups, but only formal groups are work teams.

- Q. Contrast functional, self-directed or self-managed, and cross-functional teams.

Functional teams are composed of a manager and his or her direct subordinates from a particular functional area. Self-directed or self-managed teams are formal groups of employees who operate without a manager and are responsible for a complete work process or segment that delivers a product or service to an external or internal customer. Cross-functional teams are hybrid groupings of individuals who are experts in various specialties and who come together across departmental lines to work on various organizational tasks.

- R. What characteristics do effective teams exhibit?

Effective teams have clear goals, relevant skills, mutual trust, unified commitment, good communication, negotiating skills, appropriate leadership, and internal and external support.

- S. What types of issues must be addressed when managing a team?

Managing teams requires addressing planning, organizing, leading, and controlling issues.

## VI. In-Class Exercises

Choose from one or more of the following from Leadership Instructor's Manual:

- A. Exercise 4: Value Diversity, p. 125
- B. Exercise 4: Team Juggling, p. 176
- C. Exercise 4: Willow in the Wind, p. 203
- D. Exercise 1: NASA Exercise: Lost on the Moon, p. 222
- E. Exercise 1: Arm Wrestling, p. 285

VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 20**

**HOURS 1.0**

**TITLE: CASE STUDY: USS GUITARRO or USS LEYTE GULF**

I. Learning Objectives

A. Reading Objectives

1. Apply the principles covered in Lessons 1-20 to an analysis of a real world leadership problem.
2. Evaluate the actions of leaders in the given scenarios and determine how they could have avoided what occurred.
3. Demonstrate an understanding of the application of the course concepts.

B. Discussion Objectives: Same as Reading Objectives

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 20

B. Student References

1. Leadership and Management, Chapter 20

III. Instructor Notes

*There is no limit to the good one can do if he doesn't care who gets the credit.*

GEN George C. Marshall

*The way of the superior is three-fold, but I am not equal to it. Virtuous, he is free from anxieties; wise, he is free from perplexities; bold, he is free from fear.*

Confucius

*To act is easy; to think is hard.*

Goethe

*Be willing to make decisions. That's the most important quality in a good leader. Don't fall victim to what I call the "ready-aim-aim-aim-aim syndrome." You must be willing to fire.*

T. Boone Pickens

*Throughout your life, you will judge yourself against two harsh and often painful standards, "Did you get the job done? How many people did it cost?"*

James Webb

- A. A brand new, perfectly constructed submarine sinks at the pier. A ship backs into the ship trying to keep station in its wake. The errors made in these two case studies seem like laughable, "Keystone Kops" style bumbling, except that it was only by good fortune that no one was killed in either case.
- B. Well-meaning, highly skilled professionals made errors that led to millions of dollars in damage while they were working hard to accomplish important tasks. They did not intend to disregard safety procedures or recklessly endanger their vessels. What caused the breakdowns in group effectiveness in these cases? Did junior personnel display good followership skills? How can we prevent such disasters from happening again?

#### IV. Chapter Outline

- A. Choose whether you want to focus on just one of the case studies or compare and contrast both.
- B. The case study is a means to an end -- in this case to a fuller understanding of the course concepts.
  - 1. Remember the importance of your first question (default -- What's the problem here?).
  - 2. Build "teachable moments" into your discussion.
  - 3. Get the students involved; don't dominate the discussion.
  - 4. Use the chalkboard.
  - 5. Establish and enforce a discussion on ROE.
  - 6. Ask questions, don't make declarative statements.
  - 7. Reward participation.
- C. Review pages 178-179 of McKeachie.

- D. Using the objectives above, review the following process for case study analysis. Prepare notes and be ready to contribute to a class discussion on each of these issues.
1. Identify the facts of this case.
  2. Define the problem in this case.
  3. Apply theoretical models from previous sessions to diagnose the problem more completely.
  4. Offer a prescription or plan to remedy the problem. We have learned that the situation often dictates our behavior -- prescribes the course of action we take.
  5. As you review the case studies for this session, consider how the situation prescribed the actions by the leaders and followers involved.

V. Discussion Questions

- A. Consider how the first two case studies revolved around the actions of individuals and how these two cases, by contrast, revolve around the actions of groups.
- B. The primary questions are in the text, but the following are some key concepts that can be used for discussion:
1. Groups and teams. Did these groups function as teams? Were they effective in accomplishing their missions? Why or why not?
  2. Group norms and roles. How did formal and informal norms affect what happened? Were there ineffective or dysfunctional roles involved? Was social loafing a contributing factor?
  3. Group cohesion. Were these cohesive groups or not? Were these incidents of Groupthink, the Abilene paradox, or overbounding?
  4. Leader/follower/situation. Examine the dynamics of both cases, especially how the situation impacted the actions of leaders and followers.

5. Power and influence. Consider whether perceived expert power had a role in the confusion between the various watch teams or work teams.
6. Perceptual set. A significant factor in both incidents.
7. Communication. Review each step in the communication process and identify where breakdowns occurred.
8. Frame of reference. Remember, the same word means different things to different people/services.
9. Active listening. Hearing what was actually said instead of what you want or expect to hear.
10. Assertiveness/acquiescence/aggressiveness. Assertiveness could have altered the outcome in both case studies.

#### VI. In-Class Exercises

- A. Have the students break into groups. Assign each group to examine either one or both cases in terms of one or two of the areas above.
- B. Allow 15-20 minutes of small group discussion, then have each group present their findings.

#### VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 21**

**HOURS 1.0**

**TITLE: PERFORMANCE COUNSELING**

I. Learning Objectives

A. Reading Objectives

1. The student will comprehend the goals of performance appraisal.
2. The student will comprehend problems in performance appraisal.
3. The student will comprehend potential solutions to appraisal problems.
4. The student will comprehend and demonstrate the four methods of the appraisal interview.

B. Discussion Objectives

1. The student will comprehend the goals of performance appraisal.
2. The student will comprehend and demonstrate the four methods of the appraisal interview.

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 21
2. Management, Chapter 13

B. Student References

1. Leadership and Management, Chapter 21

III. Instructor Notes

*Never try to teach a pig to sing; it wastes your time and it annoys the pig.*

Paul Dickson

*All men have some weak points and the more vigorous and brilliant a person may be, the more strongly these weak points stand out. It is highly desirable, even essential, therefore, that the more influential members of a general's staff not be too much like the general.*

MGEN Hugo Baron von Freytag-Loringhoven

*If you want to give a man credit, put it in writing. If you want to give him hell, do it on the phone.*

Charles Beacham

*Children are likely to live up to what you believe of them.*

Lady Bird Johnson

- A. Providing timely performance counseling is a critical responsibility for naval leaders. Your people need regular and candid assessments of both their progress toward promotion and their job performance. Documented counseling is required at least twice a year for all Navy and Marine Corps personnel. Those who fail to live up to accepted naval standards should be counseled more often to address specific deficiencies and map out a plan to correct them. Counseling should also be used as a tool to document and reward superior performance.
- B. A platoon commander or division officer needs to keep well-documented records of the performance counseling he has done, and those records should be countersigned by the counselee (particularly when dealing with performance problems). There are specific requirements for documenting written counseling for Sailors and Marines with performance problems which must be adhered to before a negative performance evaluation can be written or action can be taken to separate a poor performer from the service.

#### IV. Chapter Outline

##### A. Performance Appraisal

1. In order to set new goals, fix problems, and keep subordinates on track, performance evaluating systems are necessary for all types of organizations to achieve success.

2. Performance appraisal is both a system of papers and procedures designed by the organization for use by its managers and subordinates.
3. An interpersonal process in which manager and subordinate communicate and attempt to influence each other.

B. Goals of Performance Appraisal

1. The Organizational Goals

- a. Performance evaluation is an important element in the information and control system of most complex organizations.
- b. The supreme goal of the organization is to influence the behavior and work ethic of the work force through performance evaluations.
- c. Provides information about the performance of organizational members used in decisions about placement, promotions, firing, and pay.
- d. From the organizations point of view, performance appraisal serves two sets of goals: Evaluation Goals and Coaching and Development Goals.

(1) Evaluation Goals

- (a) To give feedback to subordinates so they know where they stand.
- (b) To develop valid data for pay (salary and bonus) and promotion decisions and to provide a means of communicating these decisions.
- (c) To help the company in making discharge and retention decisions and to provide a means of warning subordinates about unsatisfactory performance.

(2) Coaching and Development Goals

- (a) To counsel and coach subordinates so that they will improve their performance and develop future potential.
- (b) To develop commitment to the larger organization through discussion of career opportunities and career planning.
- (c) To motivate subordinates through recognition and respect.
- (d) To strengthen supervisor-subordinate relations.
- (e) To diagnose individual and organizational problems.

## 2. The Individual's Goals

- a. Performance evaluations provide an individual with an opportunity to see how well he or she is doing.
- b. Regardless of their performance up to date, individuals going through a performance evaluation should always set new goals.

## 3. Conflicting Individual and Organizational Goals

- a. Given the fact that it is possible for individual goals to conflict with those of the organization, the organization must attempt to find ways to satisfy both without neglecting its own goals or those of the individual.
- b. Feedback from both the organization and the individual is a must.

## C. Problems in Performance Appraisal

### 1. Ambivalence and Avoidance

- a. Leaders within an organization should not shy away from the performance appraisal process.
- b. Fearful that honest feedback would cause animosity within the organization, some leaders neglect their performance appraisal responsibilities.

- c. This is detrimental for the organization in the long run, for the individual cannot improve if he or she does not know what is wrong.

## 2. Feedback and Defensiveness

- a. In order to prevent defensiveness, the organization must not focus solely on an individual's problems or shortcomings.
- b. Not only must the organization judge the individual's performance, but it must also help to improve it.
- c. It is very difficult for the evaluator to develop open two-ended exchange if he or she focuses solely on negative attributes.

## 3. Avoidance and Defensiveness Combined

- a. If the evaluator focuses solely on an individual's problems and avoids to go into any detail, the performance appraisal accomplishes nothing that is worthwhile.
- b. Only defensiveness from the individual is increased.

## 4. Nonevaluative Evaluation

The central dilemma in the appraisal process is how to have an open discussion of performance that meets the need for feedback without damaging the individual's self-esteem.

## D. Potential Solutions to Appraisal Problems

### 1. The Appraisal System

- a. Uncoupling evaluation and development

Less defensiveness and more open dialogue helps the manager to separate his role as helper and judge.

- b. Choosing appropriate performance data

Rather than focusing on broad problem areas, such as motivation, the manager should focus on specific examples, for they are more likely to be heard.

c. Upward appraisal

In order to reduce defensiveness among subordinates, supervisors giving performance appraisals should also allow the subordinates to appraise them on their performance.

d. Eliminating the performance appraisal system

By eliminating the formal appraisal system and only requiring performance appraisals during special situations, organizations could reduce the problems of defensiveness.

2. Supervisor-Subordinate Relations

a. The day to day boss-subordinate relationship has an important impact on the appraisal process.

b. If the boss-subordinate relationship is strong, the appraisal process will run more smoothly.

3. The Appraisal Interview

a. The tell-and-sell method

Communicates to employees their performance as accurately and directly as possible with little return feedback, but can lead to defensiveness.

b. The tell-and-listen interview

Communicates to employees their strengths and weaknesses, but also allows for return feedback. This creates an environment that is less defensive and stressful for the employee.

c. The problem-solving interview

Playing the role of helper more so than judge, the manager creates an environment through which the

employee can discover his or her own developmental needs.

d. The mixed-model interview

Allows for the problem-solving interview in the beginning, where the subordinate leads off, and finishes off with the tell-and-sell or tell-and-listen approaches if the subordinate has missed some important areas of his or her performance.

E. Tentative Process

1. Scheduling
2. Agreeing on content
3. Agreeing on process
4. Location and space
5. Opening the interview
6. Starting the discussion
7. Exchanging feedback
8. The manager's views
9. Developing a plan for improvement
10. Closing the discussion

F. Guidelines for Assessing the Effectiveness of an Interview

1. At the beginning
  - a. Did the supervisor create an open and accepting climate?
  - b. Was there agreement on the purpose and process for the interview?
  - c. Were both parties equally well prepared?
2. During the interview

- a. To what extent did the supervisor really try to understand the employee?
- b. Were broad and general questions used at the outset?
- c. Was the supervisor's feedback clear and specific?
- d. Did the supervisor learn some new things, particularly about deep feelings and values of the subordinate?
- e. Did the subordinate disagree and confront the supervisor?
- f. Did the interview end with mutual agreement and understanding about problems and goals for improvement?

### 3. Appraisal Outcome

- a. Did the appraisal session motivate the subordinate?
- b. Did the appraisal build a better relationship?
- c. Did the subordinate come out with a clear idea of where he or she stands?
- d. Did the supervisor arrive at a fairer assessment of the subordinate?
- e. Did he or she learn something new about the subordinate?
- f. Did the subordinate learn something new about the supervisor and the pressures he or she faces?
- g. Does the subordinate have a clear idea of what actions to take to improve performance?

## V. Discussion Questions

- A. What are the goals of performance appraisal? Discuss.
- B. Ask the students to provide personal examples of both evaluation goals and coaching and development goals.

- C. Discuss Conflicts in Performance Appraisal (Figure A). Have the students experienced any of these conflicts?
- D. Compare and contrast the different Performance Appraisal methods including Tell and Sell, Tell and Listen, the Problem Solving Interview, and the Mixed Model Interview.

## VI. In-Class Exercises

Scenarios: Depending on the maturity level of the class, you may want students to role-play the following scenarios or tailor a few to your class knowledge and maturity level.

Use each of the appraisal interview methods discussed in the chapter.

- A. You are the BN XO and a 3.5 GPA student. Since you are a MECEP with nine years of enlisted time, the BN CO and MOI have asked you to talk to a new MECEP who has been performing tremendously. He has earned a 4.0 GPA in the EE curriculum and a 300 on the last PFT. The new MECEP, however, carries a heavy attitude and remains somewhat aloof to other members of his class. Counsel this MECEP using the indirect method of counseling.
  - 1. What power base did the BN XO use to approach the new OC?
  - 2. Was the BN XO direct?
  - 3. Did the BN XO listen and ask open-ended questions based on the information he/she heard?
  - 4. Did the BN XO explain that the OC will be expected to set an example and probably hold a leadership position in the battalion?
- B. You are a squad leader and one of your marching members seems to be having difficulties adjusting to college and NROTC life. Everyone thinks this person is a hopeless case, but you think he/she has potential. It is time to do brief evaluations, and you want to provide some constructive criticisms that will be effective in helping the marching member to get his/her performance up?

1. Did the squad leader provide an open environment so the marching member will feel comfortable?
2. Was it necessary to do that?
3. How did the squad leader react to the marching member's comments?

VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 22**

**HOURS 1.0**

**TITLE: MOTIVATION AND PERFORMANCE: NEED THEORY**

I. Learning Objectives

A. Reading Objectives

1. The student will know the five basic needs in Maslow's Hierarchy and explain their components.
2. The student will comprehend how a leader can use knowledge of follower needs to reinforce higher goals for subordinates.
3. The student will apply Maslow's Hierarchy to a subordinate. Identify the extent each of the basic needs is impacting the subordinate's goals and relate them both to the subordinate's current performance and interventions you can make to help align the subordinate to a higher goal.
4. The student will comprehend the degrees of relative satisfaction in relation to the complete satisfaction of needs.

B. Discussion Objectives

1. The student will know the five basic needs in Maslow's Hierarchy and explain their components.
2. The student will comprehend how a leader can use knowledge of follower needs to reinforce higher goals for subordinates.
3. The student will apply Maslow's Hierarchy to a subordinate. Identify the extent each of the basic needs is impacting the subordinate's goals and relate them both to the subordinate's current performance and interventions you can make to help align the subordinate to a higher goal.

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 22
2. Leadership Theory and Practice, Chapter 9
3. Management, Chapter 17

B. Student References

1. Leadership and Management, Chapter 22

III. Instructor Notes

*When you cease to make a contribution, you begin to die.*  
Eleanor Roosevelt

*Some players you pat their butts, some players you kick their butts,  
some players you leave alone.*  
Pete Rose

*I believe that for every artificial peak you create, you also create  
valleys. When you get too high for anything, emotion takes over and  
consistency of performance is lost and you will be unduly affected  
when adversity comes. I emphasized constant improvement and steady  
performance.*  
John Wooden

*There is a legend at the State Department about a staff assistant  
who laboriously drafted a document for Dr. Henry Kissinger only to  
receive it back annotated by the Secretary with "You can do better."  
He researched and produced a second draft, again with the same  
feedback. Exasperated, the staffer doubled his efforts and  
delivered the product in person to Dr. Kissinger, who asked "Is this  
the best you can do?" "Yes, sir!" came the reply. Secretary  
Kissinger eyed the report and said, "Good, now I will read it."  
CDR Joseph Scarpa*

- A. Motivation is what provides direction, intensity and persistence to behavior. The drive and persistence that individuals possess for attaining a specified goal is a key factor in successfully accomplishing any mission or task. Job satisfaction is one's attitudes or feelings toward the work they do. Performance is the evaluation of the adequacy of work behavior relative to some goals or standards.
- B. What motivates people to work hard or to produce excellent work? A wide variety of motivation theories have gained

some currency, and all of these approaches have certain advantages and drawbacks. Leaders should be familiar with several different theories, because they are each likely to provide insight in different situations. Here are some of the major categories that motivation theories can be divided into:

1. Need theories of motivation, such as the *hierarchy of needs* and *existence-relatedness-growth* (ERG) theory, are based on the idea that all people are motivated by certain common, fundamental needs.
  2. Individual theories of motivation claim that motivation is an individual characteristic that is based on personal *achievement orientation* or work-related *intrinsic factors*.
  3. Cognitive theories of motivation claim that people make choices on a *cost-benefit basis* or on their *expectancy of the outcomes* of their efforts.
  4. Situational theories of motivation emphasize the situational characteristics of a given job or job environment, with the *job characteristics model* focusing on the work itself and the *operant model* focusing on the working conditions.
- C. A. H. Maslow postulated one of the most widely utilized need theories in a pivotal paper. He identified needs as the goals for which followers strive. The requirement as a leader to "take care of your people" is a challenge to meet their basic needs (food, shelter, and security). Maslow proposes a hierarchy of needs and says that in order to fully realize higher-level goals, the more fundamental ones must be met first. As you read this section, consider the ways in which the Marine Corps' "Crucible" is an application of Maslow's theory.

#### IV. Chapter Outline

- A. The needs theories (we discuss principally Maslow) have several key points:
1. Needs must be met (not just promised to be met as is often our tendency) in order to eliminate them as distractions from a higher goal.

2. Those whose lower level needs are regularly met are better equipped to tolerate future deprivation while acting to meet a higher need.
3. People strive to meet several levels of needs at once.

B. Maslow's Hierarchy of Needs

Maslow's Hierarchy of Basic Needs results in goals which drive both behavior and perspective from lowest level to highest.

<u>Basic Need</u>	<u>Elements</u>
Physiological	Hunger, Thirst, Sleep, Comfort
Safety	Physical, Emotional Security, Routine and Rhythm, Fairness, Justice
Social/ Love	Love (both giving and receiving, separate from sex), Affection, Belonging, Friendship
Esteem	Desire for strength, achievement, adequacy, confidence, freedom, independence, and the Desire for reputation, prestige, recognition, attention, importance, appreciation
Self-Actualization	Meeting Personal Potential (Basically satisfied people who we expect the fullest (and healthiest) creativity)

C. Knowledge of follower needs to reinforce higher goals for subordinates

1. Needs develop goals in that individuals strive to achieve what will satisfy their needs with an order of precedence biased by what is essential and unfulfilled.
2. Several needs will be worked for by an individual at once. By taking steps to ensure that followers meet their lower level needs, leaders then can introduce higher goals to match the emerging follower needs as they progress through the hierarchy.
  - a. For example, if Sailors are fed, watered, and sheltered, they are more likely to begin concentrating on becoming stronger workcenter team

members, on interaction with peers, and eventually on achievement, higher qualifications, and, with guidance, perhaps service and retention.

- b. Failure to address lower level basic needs while trying to promote activity which meets higher needs can breed cynicism toward the espoused goal, since needs affect not only behavior but also perception -- and the perceptual set impacts reflection and so learning and attitudes.

D. Application of Maslow's Hierarchy to a subordinate

1. Identify the extent each of the basic needs is impacting the subordinate's goals and relate them both to the subordinate's current performance and interventions you can make to help align the subordinate to a higher goal.
2. The subordinate may be a good or poor performer, operating predominantly high or low on the hierarchy.
3. The analysis should show elements of each basic need.
4. Interventions must significantly work towards meeting the targeted need.
5. They must not be superficial statements or promises to meet the needs in the future. The subordinate must be brought to a level where he begins to experience the need before the leader can motivate through a promise to meet it.

E. The degrees of relative satisfaction in relation to the complete satisfaction of needs.

1. Needs do not need to be satisfied 100 per cent before the next need emerges.
2. Most members of our society are partially satisfied in all their basic needs at the same time.

For example, the average citizen is satisfied perhaps 85% in their physiological needs, 70% in their safety needs, 50% in their love needs, 40% in self-esteem needs, and 10% in self-actualization needs.

V. Discussion Questions

- A. Who in a small unit (Navy or Marine Corps) is responsible for the needs of the troops? How? What are they in the NROTC and Fleet contexts?

Certainly the individual Sailor or Marine is responsible, but also the entire chain-of-command. Much of our work is FACILITATING subordinates through the fulfillment of their needs. Certainly in a division, the work center supervisor, leading petty officer, chief, division officer, and department head are intimately engaged in coaching subordinates through advancement requirements, qualifications, safety training, settling in, pay, etc. The analog is the same in Marine units for the NCOs, platoon leader, and company commander. Pertinent needs are both professional and personal, because both impact the focus of the subordinate.

- B. Identify your needs. Where are you with respect to each level of Maslow's Hierarchy?

- 1. Physiological \_\_\_\_\_
- 2. Safety \_\_\_\_\_
- 3. Social \_\_\_\_\_
- 4. Esteem \_\_\_\_\_
- 5. Self-Actualization \_\_\_\_\_

- C. Have you ever tried to motivate a group of people to achieve a higher ideal and received only blank stares? Why were they not receptive? What conditions were they operating under? Respond in terms of their basic needs and each one met.

Consider the 3/C midshipman carrying 20 credit hours, a sport, professional obligations and 3 ECAs. The course project is an outstanding opportunity for the student to think about the Fleet and begin their sprint to commissioning with a thoughtful leg up. Do the students see that the same way? To what degree are struggling students, who are wrestling with a compressed schedule and little routine, well organized enough to handle the work and play load? How about the new deck seaman who just

checked on board and must get DC and 3-M maintenance man qualified in three weeks when he will be yanked from his workcenter to spend six weeks on the mess decks?

- D. What evidence of need-based approaches to motivation are observable in Navy/Marine Corps policy?

Remarkably similar to the situational approaches: Official support of Navy Relief Society, emergency leave, and exceptional family member policies are examples of efforts to sate physiological and safety needs.

The Command Advancement Program (CAP) allowing commanding officers to advance a small number of passed but not advanced (PNA) enlisted personnel each year is an example of an effort to meet an esteem need at a critical juncture for a service member.

Government housing eligibility is centered on physiological and safety needs prioritized by the greatest need (number of dependents), while also attempting to target esteem needs (Chief's housing or O-5/O-6 housing versus an E-1 or an Ensign, respectively).

- E. Identify a subordinate. Chart the subordinate's status with regard to basic needs. Compare the subordinate's performance with that status. Compare the subordinate's attitude with that status. What can you do within the next week that would facilitate the subordinate's progress?
- F. Now you are a junior officer in your first choice service assignment. Who works for you? What do they do? Think about your observations during summer cruise. Now apply this to a subordinate with a mind on retention.
- G. You are climbing around in the mud with your 40 Marines. You have a two-day break. At the end of these two days you must lead your troops up a heavily defended hill. Your Marines have been fighting and on the move for several weeks. Specifically describe what you would do over the next several days to best motivate your Marines to take the hill.

Get them fed and rested; properly outfitted and dressed. (Physiological needs) Do this in a safe place; set up a perimeter; check gear and do initial recon on next

objective. (Safety needs, rhythm, routine) Give them an opportunity to relax together. (Social needs) Talk about how well they have done, specifics of accomplishment; maybe some awards are due. (Esteem needs) Talk about what is next; how they are suited to do it; the importance of accomplishing the mission. (Self-realization)

A direct fall-out of Maslow's theory is that if lower level needs are regularly satisfied, those individuals will be better equipped to tolerate future deprivation and so more apt to sacrifice productively.

- H. Discuss the Marine Corps' "Crucible" in terms of Maslow's theory. In what ways is the "Crucible" an application of Maslow's ideas?
- I. There is an additional point for discussion regarding a parallel theory of Maslow's on cognitive needs.

In his paper, he makes the point that independent of where an individual might be with regards to Basic Needs, he will evolve from a desire to know, through a wish for freedom to be inquisitive, to a desire to understand. Individual drives to traverse this cognitive line differ, but it has applicability to the importance of developing subordinates. If we are able to encourage cognitive growth in the context of how we operate in talented enlisted and officer personnel, they are more likely to feel fulfilled within our organization. This is both a retention issue and an issue of preparing our reliefs. Interestingly, the impact on the perceptual set of an individual's basic needs will directly impact the focus of their cognitive needs.

## VI. In-Class Exercises

- A. Divide the class into groups of three to five and give them 10 minutes to answer one discussion question per group; then generate a group response. Discuss their results, requiring justified responses.
- B. Divide the class into small groups and have each design a squad/platoon/company motivational activity using Maslow's ideas. Have each group brief their proposal and discuss means of improving each idea.

## VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 23**

**HOURS 1.0**

**TITLE: MOTIVATION AND PERFORMANCE: SITUATION THEORY**

I. Learning Objectives

A. Reading Objectives

1. The student will comprehend advantages and limitations to the operant approach.
2. The student will comprehend and distinguish between motivators and hygiene factors.
3. The student will comprehend and distinguish between horizontal and vertical job loading and apply both to a task you require of a subordinate.
4. The student will comprehend the overlapping features shared by both Maslow's and Herzberg's theories.

B. Discussion Objectives

1. The student will comprehend advantages and limitations to the operant approach.
2. The student will comprehend and distinguish between motivators and hygiene factors.
3. The student will comprehend and distinguish between horizontal and vertical job loading and apply both to a task you require of a subordinate.
4. The student will comprehend the overlapping features shared by both Maslow's and Herzberg's theories.

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 23
2. Leadership Theory and Practice, Chapter 9

3. Management, Chapter 17

B. Student References

1. Leadership and Management, Chapter 23

III. Instructor Notes

*I can imagine no more rewarding career. And any man who may be asked in this century what he did to make his life worthwhile, I think can respond with a great deal of pride and satisfaction: "I served in the United States Navy."*

John F. Kennedy

*Summer seas and a good ship - life has nothing better.*

Mark Twain

*Military history is littered with the names of great and good men who were not quite hard enough, and whose disinclination to get their men killed caused only more suffering in the long run . . . The leader therefore not only has to believe in his men, and have that belief reciprocated; he has to be able to inspire them to risk their lives for some greater end which they may only dimly perceive, and he has to have himself the courage to demand that they do so. It is of course in this particular that military leadership differs from other kinds.*

James L. Stokesbury

*The beatings will continue until morale improves.*

Anonymous

*There's no great fun, satisfaction or joy derived from doing something that's easy.*

John Wooden

- A. One of the most useful situational theories of motivation is Herzberg's Two Factor Theory, which postulates that those things that contribute to job satisfaction are not merely the opposite of those that make for job dissatisfaction. Herzberg initiated the understanding that although motivation and job satisfaction are closely linked, neither necessarily predicts performance because of the influence of other factors such as environment, ability, and values. Your leadership challenge is to identify leadership practices that motivate Marines and Sailors to adopt your standards while encouraging them to remain members of our Navy and Marine Corps.

- B. Herzberg also felt that operant (carrot and stick, or KITA) approaches to motivation were unworkable over the long run and should be abandoned. His ideas are particularly relevant to personnel retention. Will you decide to go "five and out" simply because of the money involved? Herzberg says no.
- C. Herzberg also believes that horizontal job loading, a superficial change in the assignment of a subordinate which involves no greater complexity or importance and amounts to a change in scenery, is inherently demotivating. An example of this in a ship's deck division is having a seaman chip paint on the foc'sle, then re-assigning the seaman to carry tools to the after gear locker.
- D. Vertical job loading, however, is a real change in the assignment of a subordinate that involves a greater level of complexity or carries a more significant impact. This new assignment may be in conjunction with a simpler one. An example of this in deck division is assigning the sailor field daying the paint locker to check hazmat codes and dates on the supplies stored there against the MSDS sheets and ship's HAZMAT instruction in the process.
- E. The question that junior officers must answer is "How do I motivate people to do dirty, thankless and boring jobs?"

#### IV. Chapter Outline

- A. Advantages and limitations to the operant approach
  - 1. Careful administration of rewards and punishments can reinforce desired behaviors and help to establish a pattern of proper behavior [to include productivity] by subordinates.
  - 2. However, the resultant motivation typically remains extrinsic, requiring supervisors to constantly monitor and evaluate the competitive [in contrast to the benefits of not desired behavior] quality of their chosen rewards and punishments.
  - 3. It is supervisor intensive, but an effective tool of transactional leadership.
- B. Motivators and hygiene factors

1. Motivators satisfy subordinates -- the things which encourage them to attend work, comply to group or team goals, and produce.
2. They often are linked to performance. Positive recognition by a superior and among peers during a formal meeting is an example of this.
3. Hygiene factors keep subordinates from being dissatisfied. They apply to subordinates regardless of performance.
  - a. Timely and thorough completion of and counseling on fitness evaluations are an example of a hygiene factor.
  - b. The act is expected. When it does not happen, subordinates become dissatisfied and may come to believe that superiors are not taking care of them.
4. Satisfiers (motivators) and dissatisfiers (hygiene factors) lie on completely different scales and must be considered independently.

C. Horizontal and vertical job loading and application to a task you require of a subordinate

1. Horizontal job loading is a superficial change in the assignment of a subordinate. The new assignment has no greater complexity or importance and amounts to a change in scenery.

An example of this in a ship's deck division is having a seaman chip paint on the foc'sle, then re-assigning the seaman to carry tools to the after gear locker.

2. Vertical job loading is a realizable change in the assignment of a subordinate. The new assignment may involve a greater level of complexity or carry a more significant impact. This new assignment may be in conjunction with a simpler one.

An example of this in deck division is assigning the sailor field daying the paint locker to check hazmat codes and dates on the supplies in the paint locker

with the MSDS sheets and ship's HAZMAT instruction in the process.

D. Overlapping features shared by both Maslow's and Herzberg's theories

1. Hygiene factors are predominantly related to lower level needs.
2. Herzberg's motivators target higher level needs.
3. The very notion that dissatisfiers (hygiene factors) and satisfiers (motivators) must be dealt with distinctly is congruent with the distinction between basic needs and what satisfies them.
4. A promise of glory does not necessarily encourage a soldier who has not eaten in five days, even if a turkey dinner is promised after the victory.

This is a clear difference between Maslow and the operant approach -- needs actually have to be met to raise subordinates so that they are receptive to the next level goal, not the promise of reward.

5. Vertical loading is another example.
  - a. Consider the role of vertical job loading in terms of giving junior personnel an opportunity to mentor even more junior personnel, meeting the need to give as well as receive care/affection/concern.
  - b. Also a fall-out of vertical job loading is the fulfillment of esteem in the sense of REAL capacity, achievement, and respect.)

V. Discussion Questions

- A. Who in a small unit (Navy or Marine Corps) is responsible for hygiene factors for the troops? How? What are they in the NROTC Battalion and Fleet contexts?

The entire chain-of-command, but that is an easy answer. Certainly in a division, the work center supervisor, leading petty officer, chief, division officer, and department head are intimately engaged in ensuring proper

administration of performance counseling and fitness evaluations, reasonable working hours for the current mission, leave plans, and fair distribution of assignments. The analog is the same in Marine units, for the NCOs, platoon leader, and company commander.

- B. Who in a small unit (Navy or Marine Corps) is responsible for motivators for the troops? How? What are they in the NROTC Battalion and Fleet contexts?

Again, the responsible parties include the entire enlisted and officer chain-of-command. Motivators include recognition of performance before peers and superiors both formally and informally, conveyance of mission and mission importance, vertical job loading -- assigning good performers greater responsibility, as well as increasing the responsibility of average performers to help spark ownership... (See the objectives.)

- C. Describe an instance when you utilized the operant approach. Was it effective in the short term? In the long term?

Due to difficulty in maintaining an effective reward-punishment system as the primary motivator and its essentially extrinsic motivation nature, results often are short term. The Navy-Marine Corps discipline and reward system is designed to provide an operant framework from which we as Naval leaders can introduce additional, hopefully intrinsic, motivation-building interventions.

- D. Have you ever seen examples of horizontal job loading in the NROTC Battalion or in the Fleet? Describe the circumstances and outcome of this effort.

Challenge the students to identify an example of vertical loading in the way that they conduct the Freshman Indoctrination system. Are rates (freshman required knowledge) or battalion spirit boards horizontal or vertical? A reinforcement of academic performance and professional monitoring and coaching focused to help subordinates improve their academic performance may be an interesting discussion point for vertical loading.

- E. Dr. Herzberg lists 10 Steps to Job Enrichment in his paper which capitalize upon his and companion research. Go through those 10 steps now and make notes below on your

responses to each step. Since you are intimately familiar with what you have done in the last year, start with one of your own jobs. As you go through the steps, envision the changes that you would make to your own job if you were a first class midshipman. What if you were a junior officer?

Select jobs in which attitudes are poor, motivation will make a difference in performance, and it is reasonable to expect that changes can be made at your or your superior's level of authority.

Approach the job thinking that a change can be implemented.

Brainstorm a list of changes.

Screen out hygiene factors from the list, leaving only motivators. (Some interventions serve a dual purpose.)

Identify generalities like "develop honor" and the like and replace with specifics.

Screen out horizontal loading suggestions.

If undergoing this process for a subordinate job, do not include that individual directly beyond initial suggestions... personal involvement often results in confusion between hygiene and motivation factors. If doing this exercise on your own position, be sensitive to this tendency.

Start the changes slowly, controlling the experiment to a scale observable. Try to have a variable and control group. Who would you pick for this?

Anticipate a drop in performance during an adjustment period. What performance drops in this period are acceptable? For how long? What natural tendencies to correct will have to be overcome to allow the adjustment to take place?

If there are supervisors between you and the targeted subordinate, expect some anxiety or frustration on their part. How can you implement collaborative and coalition tactics to bring them on board?

- F. What evidence of situational approaches to motivation (job characteristics, operant, Herzberg) are observable in Navy/Marine Corps policy?

Official support of Navy Relief Society, emergency leave, and exceptional family member policies are examples of non-contingent situational rewards, though in the Herzberg Two-Factor theory they would qualify as hygiene interventions.

The Command Advancement Program (CAP), allowing commanding officers to advance a small number of pass not advanced (PNA) enlisted personnel each year, is an example of a contingent reward (operant) and motivator.

Enlisted warfare specialist qualification policies as they pertain to eligibility for promotion is an example of job characteristics management in that greater responsibility and latitude with rank is an incentive to achieve qualification.

- G. Describe the relationship between making changes to task structure and other like interventions to optimize team effectiveness and employing Herzberg's job loading recommendations.

Often we attribute the ability of an individual or team to achieve an objective to their personal responsibility to self-motivate and accomplish without full regard to the potential for motivation in the situation we have placed them in (fundamental attribution error). In the session on Groups and Teams, we identified specific structural changes in teams which could be made and subsequently result in a much enhanced opportunity for improved performance. Likewise, by taking advantage of our discretion in building assignments and delegating to subordinates, Naval leaders have many opportunities to place subordinates in assignments (through vertical job loading) which optimize the likelihood of ensuring their satisfaction.

- H. Major Jolley says that Herzberg's approach is the best way to lead Marines ("A kick in the butt is not the answer"). Discuss whether this is true or not. Propose several ways to apply Herzberg's ideas in the field. Is this consistent with The Marine Corps' traditions?

- I. Discuss the application of Herzberg's theory to retention of junior officers and junior enlisted. What would Herzberg identify as the keys to retaining our best JO's? How does that contrast with our typical responses to low retention? Develop a list of actions that individual commands can take to improve retention.

VI. In-Class Exercises

- A. Choose from one or more of the following from Leadership Instructor's Manual:

Exercise 1: The Golf Ball, p. 239

- B. Divide the class into groups of three to five and give them 10 minutes to answer one discussion question per group; then generate a group response. Discuss their results, requiring justified responses. The 10-step job loading questions are particularly suited to developing applications and subsequent discussion.

VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 24**

**HOURS 1.0**

**TITLE: CASE STUDY: USS SAMUEL B. ROBERTS or USS STARK**

I. Learning Objectives

A. Reading Objectives

1. Apply the principles covered in Lessons 1-23 to an analysis of a real world leadership problem.
2. Evaluate the actions of leaders in the given scenarios and determine how they could have avoided what occurred.
3. Demonstrate an understanding of the application of the course concepts

B. Discussion Objectives: Same as Reading Objectives

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 24

B. Student References

1. Leadership and Management, Chapter 24

III. Instructor Notes

*The courage to lead involves bold acts based on intuition, accumulated wisdom and shrewd management judgement. The inspirational impact of even ceremonial actions can motivate high levels of workforce commitment and corporate performance. Rather than isolate symbolic and substantive acts of leadership for laboratory analysis, reality suggests that, in practice, they are inextricably intertwined.*

Jeffrey A. Sonnenfeld

*The true leader must submerge himself in the fountain of the people.*

V. I. Lenin

*Don't fight the problem; decide it.*

GEN George C. Marshall

*An acre of performance is worth the whole world of promise.*  
Clark Howell

*Be a yardstick of quality. Some people aren't used to an environment where excellence is expected.*  
Steve Jobs

- A. What motivates someone to work long hours at a difficult and dangerous job for low pay? What motivates someone to risk their life? What allows people to perform nearly superhuman feats under conditions of great stress?
- B. In these two case studies, disaster has already struck. The ship is rapidly flooding or ablaze in fuel-fed flames. People are trapped in wrecked compartments. Further enemy action cannot be dismissed. Communications are out and passageways are filled with choking smoke. There is no pressure in the fire mains and key personnel are unaccounted for. What keeps a team together under such conditions? What was it that allowed these ships "to see the dawn"?

#### IV. Chapter Outline

- A. Choose whether you want to focus on just one of the case studies or compare and contrast both.
- B. The case study is a means to an end -- in this case to a fuller understanding of the course concepts.
  - 1. Remember the importance of your first question (default -- What's the problem here?).
  - 2. Build "teachable moments" into your discussion.
  - 3. Get the students involved; don't dominate the discussion.
  - 4. Use the chalkboard.
  - 5. Establish and enforce a discussion on ROE.
  - 6. Ask questions, don't make declarative statements.
  - 7. Reward participation.
- C. Review pages 178-179 of McKeachie.

- D. Using the objectives above, review the following process for case study analysis. Prepare notes and be ready to contribute to a class discussion on each of these issues.
1. Identify the facts of this case.
  2. Define the problem in this case.
  3. Apply theoretical models from previous sessions to diagnose the problem more completely.
  4. Offer a prescription or plan to remedy the problem. We have learned that the situation often dictates our behavior -- prescribes the course of action we take.
  5. As you review the case studies for this session, consider how the situation prescribed the actions by the leaders and followers involved.

V. Discussion Questions

- A. Consider how the first two case studies revolved around the actions of individuals and how these two cases, by contrast, revolve around the actions of groups.
- B. The primary questions are in the text, but the following are some key concepts that can be used for discussion:
1. Motivation. What motivated these crews to take the actions they did in saving their ships? What lessons can we draw about motivation from this? What motivated these two crews in the hours before these incidents occurred?
  2. Job satisfaction and performance. How can Herzberg's job enrichment ideas be applied to what happened here?
  3. Groups and teams. Did these groups function as teams? Were they effective in accomplishing their missions? Why or why not?
  4. Group norms and roles. How did formal and informal norms of the ship, CIC and damage control teams effect the situations and outcomes?

5. Group cohesion. Were these cohesive groups or not? Were these incidents of Groupthink, the Abilene paradox, or overbounding? What about the success of Samuel B. Roberts during predeployment work-ups?
6. Leader/follower/situation. Examine the dynamics of both cases, especially how the situation impacted the actions of leaders and followers. A good source for the Stark will be the Sharp Report.
7. Power and influence. Consider the roles of referent and perceived expert power in these case studies.
8. Perceptual set. A significant factor for the Stark and possibly a factor in the Roberts case study.
9. Communication. Review each step in the communication process and identify where breakdowns occurred.
10. Assertiveness/acquiescence/aggressiveness. Assertiveness played a major role in both incidents and could have altered the outcome in the Stark case.

#### VI. In-Class Exercises

- A. Have the students break into groups. Assign each group to examine either one or both cases in terms of one or two of the areas above.
- B. Allow 15-20 minutes of small group discussion, then have each group present their findings.

#### VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 25**

**HOURS 1.0**

**TITLE: FILM CASE STUDY: CRIMSON TIDE or TWELVE ANGRY MEN**

I. Learning Objectives

A. Reading Objectives

1. The student will apply the principles covered in Lessons 1-24, to an analysis of a film leadership case.
2. The student will demonstrate an understanding of the application of the course concepts.

B. Discussion Objectives: Same as Learning Objectives

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 25
2. Hartwick Classic Leadership Case - *Crimson Tide* or *Twelve Angry Men Teaching Note*

B. Student References

1. Leadership and Management, Chapter 25

III. Instructor Notes

Crimson Tide

So Mr. Hunter, do you think I was wrong to run that drill?  
CAPT Ramsey

*Ship targeting to target package SLBM 64741/2. This is the captain.*  
CAPT Ramsey

*Captain, I cannot concur.*

CDR Hunter

- A. This Hartwick Classic *Film* Leadership Case is based on the fast-moving, provocative film about a nuclear ballistic submarine that has received orders to do the unthinkable -- launch a nuclear first strike against Russia. The strike is ordered to prevent a threatened launch of nuclear missiles that have come into the possession of a rebellious Russian ultra-nationalist -- a frightening plausible contemporary situation.
- B. At the most critical moment, the command structure falls apart as a dispute between the Captain and Executive Officer over the proper course of action results in the crew splitting into two combative factions. The ship convulses as the rival groups take, then lose, control of command. With the clock ticking towards the last possible moment for launch, the situation must be resolved one way or another, with potentially disastrous consequences to an incorrect decision.
- C. The strength of the film is that the Captain and Executive Officer are both right and wrong. The case study shows the potential conflict that can occur when two senior officers differ on the strategy and course of action to be followed. The dependence of a leader on the willingness of followers is exposed, showing the internal conflict that followers experience when the actions of a leader seem to deviate from their understanding of the mission and values of the organization.
- D. Topics include:
  - 1. Power/Authority
  - 2. Followership
  - 3. Ethics/Values
  - 4. Cultural Diversity
  - 5. Team Breakdown
- E. Theories covered:
  - 1. Theory X and Y
  - 2. Behavioral Perspective

3. Why Leaders Fail
4. Situational Leadership
5. Transformational Leadership
6. Legitimate Leadership
7. Authoritative Leadership

F. Film Information: 1995, rated R, 116 minutes, Color

12 Angry Men

*Okay men, let's take our seats.*

*The Foreman*

*The ball game doesn't start till eight o'clock.*

*The Architect*

*He didn't change his vote, I did.*

*The Old Man*

*You don't really mean you'll kill me, do you?*

*The Foreman*

- A. In this brilliant Hartwick Classic *Film Leadership Case*, Henry Fonda plays a juror who seeks to convince his eleven peers to reconsider their hasty decision to convict a young boy who has been charged with murdering his father. The struggle to change his colleagues' minds is highly charged and fascinating, and gives students the opportunity to consider how important it is for an effective leader to be able to read the behavioral clues of others.
- B. Students come to realize, too, that the increased emphasis on participative leadership suggests that cognitive complexity (accurate perception and insight into self and others, problem solving behavior, flexibility, empathy, and interpersonal skill) is essential to effective leadership.
- C. Topics include:
  1. Behavioral Clues
  2. Cultural Diversity

3. Conflict Resolution
  4. Group Dynamics
- D. Theories covered:
1. Organizational Culture
  2. Conflict Management
  3. Fiedler's Leadership Model
  4. Power and Influence
  5. Groups in Organizations
  6. Ethical Decision Making
  7. Diversity
- E. Film Information: 1957, not rated, 92 minutes, Black and White

#### IV. Chapter Outline

- A. Thoroughly review the Hartwick Classic Film Leadership Case *Teaching Note* and determine which method of presentation works best for you.
- B. The case study is a means to an end -- in this case to a fuller understanding of the course concepts.
1. Remember the importance of your first question (default -- What's the problem here?).
  2. Build "teachable moments" into your discussion.
  3. Get the students involved; don't dominate the discussion.
  4. Establish and enforce a discussion on ROE.
  5. Ask questions, don't make declarative statements.
  6. Reward participation.

- C. Using the objectives above, review the following process for case study analysis. Prepare notes and be ready to contribute to a class discussion on each of these issues.
  - 1. Identify the facts of this case.
  - 2. Define the problem in this case.
  - 3. Apply theoretical models from previous sessions to diagnose the problem more completely.
  - 4. Offer a prescription or plan to remedy the problem. We have learned that the situation often dictates our behavior -- prescribes the course of action we take.
  - 5. As you review the case studies for this session, consider how the situation prescribed the actions by the leaders and followers involved.
- D. Review pages 178-179 of McKeachie.
- E. The case material included in the Leadership and Management text is the first 10-12 pages of each *Teaching Note*.
- F. Each *Teaching Note* is separated into the following sections:
  - 1. Objectives
  - 2. Methodology
  - 3. Background
  - 4. Theories and Issues
  - 5. Discussion Questions
  - 6. Bibliography
- V. Discussion Questions: See *Teaching Note*
- VI. In-Class Exercises: At instructor's discretion
- VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 26**

**HOURS 1.0**

**TITLE: CHARACTERISTICS OF THE SITUATION**

I. Learning Objectives

A. Reading Objectives

1. The student will comprehend the three basic situational variables.
2. The student will comprehend and describe the seven task characteristics which can influence leadership decisions and follower performance.
3. The student will apply their knowledge of situational variables to the excerpt from "The Perfect Storm."

B. Discussion Objectives: Same as Reading Objectives

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 26

B. Student References

1. Leadership and Management, Chapter 26

III. Instructor Notes

*Circumstances alone decide whether a correct conventional maneuver is right or wrong. The circumstances include all the factors which are at work at the time; numbers and quality of troops and their morale, their weapons, their confidence in their leaders, the character of the country, the condition of the roads, time, and the weather: and behind these the politics of their states . . . And it is the true comprehension at any given moment of the dynamic sum of all these constantly shifting forces that constitutes military genius.*

Winston Churchill

*Little things affect little minds.*

Benjamin Disraeli

*I claim not to have controlled events, but confess plainly that events have controlled me.*

Abraham Lincoln

*Some of you always seem to think he (Robert E. Lee) is suddenly going to turn a double somersault, and land in our rear and on both of our flanks at the same time. Go . . . and try to think what we are going to do ourselves, instead of what Lee is going to do.*

GEN Ulysses S. Grant  
to his commanders at The  
Wilderness

*Never tell people how to do things. Tell them what to do, and they will surprise you with their ingenuity.*

GEN George S. Patton, Jr.

- A. The third element of our leader-followers-situation model is often neglected in writing about leadership, but the context in which the leader relates to his followers is of fundamental importance.
- B. The situational variables of the mission or task you are engaged in, the command or other organization you are assigned to, and the environment (tactical situation, climate/weather, larger political situation) you are working in will often significantly limit your options as a leader. The ability to identify the key factors in any given situation is of great value to the leader and must be regularly considered.

#### IV. Chapter Outline

- A. The three basic situational variables
  - 1. Task/Mission: The one you are currently engaged in.
  - 2. Organization: The one you are assigned to.
  - 3. Environment: Tactical situation, climate/weather, larger political situation.

- B. The Work

- Job Characteristics

- 1. Skill Variety: Cross training for understanding and flexibility.
    - 2. Task Identity: Identifiable outcome of work.

3. Task Significance: Importance and impact of work.
4. Autonomy: Measure of control over work process by the workers.
5. Feedback: Information about performance from performing the task itself.
6. Task Structure: Clarity of rules, procedures and methods.
7. Task Interdependence: Coordination with other groups.

C. The People

1. Leaders should look at the followers in terms of skills, knowledge, experience, expectations, needs and preferences.
2. Diversity is no longer merely the politically correct façade of leadership -- it is essential to quality and survival in a rapidly changing world.

D. Environmental Characteristics

Environmental characteristics concern situational factors outside the task or organization that still affect the leadership process.

E. Crises

1. During crises, followers are more likely to look to leaders to identify the problem as well as develop and implement a solution.
2. Groups facing crises generally expect their leaders to be more assertive, directive, and decisive.
3. Leaders are less apt to use participation or consultation during crises.

V. Discussion Questions

- A. Identify some environmental characteristics affecting the Navy today.

Tactical situation, climate/weather, larger political situation. Others might include technology, uncertainty, crisis.

- B. Provide a personal example that illustrates the impact of two of the task characteristics.

Task Structure: Clarity of rules, procedures and methods.

Skill Variety: Cross training for understanding and flexibility.

Task Identity: Identifiable outcome of work.

Task Significance: Importance and impact of work.

Autonomy: Measure of control over work process by the workers.

Feedback: Information about performance from performing the task itself.

Task Interdependence: Coordination with other groups.

- C. Provide a personal example that illustrates the impact of two of the organizational characteristics.

Level of authority, organizational structure, organizational design, and lateral interdependence.

- D. Provide a personal example that illustrates the impact of two of the environmental characteristics.

Tactical situation, climate/weather, larger political situation.

- E. Describe a crisis situation that you have faced in your personal life or as part of a unit over summer cruise. Identify the characteristics of the situation employing the task, organization, and environment model. Describe how the crisis was overcome using those same terms.

- F. You are a squad leader. Describe your unit in terms of the tasks of your subordinates, your unit's place within the company, and the environment within which your unit will normally operate. What aspects of the situation do

you have control over? What aspects do you have no control over?

- G. Discuss the situational variables in the excerpt from "The Perfect Storm." Specifically address the work, the people, the environment, and how the crisis situation affected the outcome and the performance of the crew.

#### VI. In-Class Exercises

Choose from one or more of the following from Leadership Instructor's Manual:

- A. Exercise 2: The Balloon Competition, p. 242
- B. Exercise 1: 7 Task Factors in the Sport of Your Choice, p. 253

#### VII. Supplemental Learning Opportunities

The Perfect Storm Official Movie Home Page provides a wealth of information concerning the events of October 1991, the storm, the rescue, etc. Includes movie trailers to stimulate discussion of Characteristics of the Situation.

<http://perfectstorm.warnerbros.com/cmp/flash-thefilm-fr.html>

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 27**

**HOURS 1.0**

**TITLE: ORGANIZATIONAL CULTURE AND COMMAND CLIMATE**

I. Learning Objectives

A. Reading Objectives

1. The student will apply Schein's four key organizational factors to the analysis of an organization's culture.
2. The student will comprehend organizational culture and list some phenomena associated with the culture of organizations.
3. The student will comprehend the traditional military paradigm and its effect on the culture of the U.S. military.
4. The student will comprehend qualities of "supportive" command climates.
5. The student will comprehend command climate and identify the biggest threat to trust in the chain of command.

B. Discussion Objectives

1. The student will apply Schein's four key organizational factors to the analysis of an organization's culture.
2. The student will comprehend organizational culture and list some phenomena associated with the culture of organizations.

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 27

2. Leadership Theory and Practice, Chapter 7

B. Student References

1. Leadership and Management, Chapter 27

III. Instructor Notes

*Building slow destroyers! One might as well breed slow race horses.*  
Winston Churchill

*Be the best, or don't get in the damn airplane.*  
CAPT Roy "Butch" Voris  
first Blue Angels flight leader

*Study the big problems all the time, but never skip a small task,  
for one of the simple duties may hold the key to the biggest  
problem.*

John T. Faris

*Your decisions will always be better if you do what is right for the  
organization rather than what is right for yourself.*  
Anonymous

- A. What defines the culture of a military unit? Why do different units with the same resources and missions often have such different cultures and success rates? Can you build an organizational culture that will lead to operational success? The concept of organizational culture has come under significant scrutiny over the last few years as these questions have been asked more and more often.
- B. Often it appears that key factors in a mishap or in a major success are long term and deep-seated attitudes about "how we do business here". Cultural factors in a command often continue through several commanding officers, or even through the command's whole history. Individual leaders build on the culture that already exists in a unit. What should be done if a unit's culture is apparently defective? Cultural change is hard. How can it best be accomplished?

IV. Chapter Outline

- A. Schein's four key organizational factors
1. Myths and stories -- Tales about the organization that are passed down over time and communicate the organization's underlying values.

2. Symbols and artifacts -- Objects that can be seen and noticed and that describe various aspects of the culture.
3. Rituals -- Recurring events or activities that reflect important aspects of the underlying culture.
4. Language -- Jargon or idiosyncratic terms of an organization and can serve several different purposes relevant to culture.
  - a. First, identify who belongs by knowledge of the language.
  - b. Second, language can provide information about how people within a culture view others.
  - c. Third, language can be used to create a culture.

B. Definition and phenomena of organizational culture

1. A culture is defined as a pattern of shared basic assumptions that the group learned as it solved problems of external adaptation and internal integration, that has worked well enough to be considered valid, and therefore taught to new members as the correct way to perceive, think, and feel in relation to those problems.
2. A group has a culture when they have enough of a shared history to have formed a set of shared assumptions.
3. Phenomena include:
  - a. Behavior regularities
  - b. Group norms
  - c. Espoused values
  - d. Formal philosophy
  - e. Rules of the game
  - f. Climate

- g. Embedded skills
  - h. Habits of thinking
  - i. Shared meanings
  - j. "Root" metaphors
- C. Traditional military paradigm and its effect on the culture of the U.S. military
- 1. The "combat, masculine-warrior."
  - 2. Military structures and forces are built around combat activities, thus the image of the military is synonymous with the image of combat.
  - 3. Soldiering is viewed as a masculine role and defined by society as men's work.
- D. Qualities of "supportive" command climates
- 1. Pervasive sense of mission
  - 2. Common agreement on top priorities
  - 3. Clear standards
  - 4. Competence is prized and appreciated
  - 5. Willingness to share information
  - 6. Sense of fair play
  - 7. Joy in teamwork
  - 8. Sure sense of rationality and trust
- E. Command climate and the biggest threat to trust in the chain of command
- 1. Command climate: A unit's atmosphere of support, confidence or cohesion (or their opposite) created by a commander's acts and example.

2. Threat: A leader's exploitation of institutional power to coerce from subordinates a private gain, the worst form of which is careerism.

V. Discussion Questions

- A. Discuss the chapter introductory quotes. What sort of organizational culture are each recommending?
- B. Using the objectives as a guide, have students relate command climate to their universities, fraternity/sorority house, NROTC platoons, etc. Is there a pervasive culture that makes one organization unique from another? Why do some groups routinely do well, while others do not (and don't seem to care)? List some leadership practices that you have seen in action that created a good command climate within your squad, company, battalion, etc.
- C. LCOL Karen Dunivin says that the U.S. military's "combat, masculine-warrior" cultural paradigm is outdated and exclusionary. Can this culture be changed? How? Should it be changed? Is that change in culture inevitable?
- D. Gen. Walt Ulmer defines leadership as an influence process whereby one gains the trust and respect of subordinates and moves them toward goals without reliance on positional authority. How do you build an organizational culture that supports and encourages this kind of leadership?
- E. Dr. Jonathan Shay contends that a positive, supportive command climate is the key to preventing "psychological and moral injury" of the sort afflicting many Vietnam veterans. To what degree is this objective achievable? How do you build a command climate where "it is safe to tell the truth" and where subordinate's families are well supported?
- F. How can an organization's culture be changed? Consider Edgar Schien's ideas about cultural change and apply them to your NROTC Battalion or Fleet unit.
- G. What was the command culture and climate of your summer cruise unit this summer? How could you tell?
- H. List some leadership practices that you have seen in the NROTC Battalion that created a good command climate within your squad, platoon, company, etc.

Subordinate support, trust for success and accomplishment, realistic practice, build competence, mentor, no micromanagement, reasonable prioritization, feedback, realistic time-management, etc.

#### VI. In-Class Exercises

Give the students the following scenario: You are reporting to a command that has not won a Battle 'E' in 15 years. They have suffered a long succession of safety breaches and mishaps and are widely regarded as ineffective. The new CO asks you, "what can we do to fix the command?" Recalling the lessons of your NROTC leadership course and your highly squared away instructor, what will be your first step? What cultural indicators will you look for? What suggestions do you have for inducing cultural change?

- A. Have the students break into groups. Assign each group to examine the scenario above.
- B. Allow 15-20 minutes of small group discussion, then have each group present their findings.

#### VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 28**

**HOURS 1.0**

**TITLE: STRESS AND LEADERSHIP**

I. Learning Objectives

A. Reading Objectives

1. The student will comprehend the effects that stress can have on the decision-making process.
2. The student will comprehend directive leadership and contrast how followers tend to view participative and directive leaders in crisis and non-crisis situations.
3. The student will comprehend what inspires confidence in commanders under combat conditions.
4. The student will comprehend the relationship between transformational and transactional leaders in preparing for and during a crisis.

B. Discussion Objectives

1. The student will comprehend what inspires confidence in commanders under combat conditions.
2. The student will comprehend the relationship between transformational and transactional leaders in preparing for and during a crisis.

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 28

B. Student References

1. Leadership and Management, Chapter 28

III. Instructor Notes

*Every night I try myself by Court-Martial to see if I have done anything effective during the day. I don't mean just pawing the ground, anyone can go through the motions, but something really effective.*

Winston Churchill

*A collision at sea can ruin your entire day.*

Thucydides

*Better debate a question without settling it than settle a question without debating it.*

Joseph Joubert

*Any fool can keep a rule. God gave him a brain to know when to break the rule.*

GEN Willard T. Scott

*The Chinese use two brush strokes to write the word crisis. One brush stroke stands for danger, the other for opportunity. In a crisis, be aware of the danger-but recognize the opportunity.*

Richard M. Nixon

- A. Stress is a natural part of our lives, whether at home or at sea. How we cope with stress can have a big impact on those around us.
- B. As military leaders, you will have to cope with a wide range of stresses, the ultimate of which is combat. Will your troops succeed or fail? This will in large measure be determined by how you cope with stress and how they view your competence, preparedness, and decision making skills.
- C. This lesson is at the heart of training combat leaders. While certain leaders function very well in normal day-to-day operations and achieve excellent results, these may not be the same people who excel when stress is added to a situation. It is important to highlight the qualities of both types of leaders and how to incorporate the best qualities of each into the successful combat leader.

#### IV. Chapter Outline

##### A. Stress and the Decision Making Process

Stressed people have the tendency to fall back on intuitive reactions which satisfy immediate personal emotional needs while ignoring organizational or group goals.

- B. Directive and Participative Leadership in crisis and non-crisis situations
1. Directive leadership is a style of leadership that points the way to safety in stressful situations.
  2. The directive leader revises goals, defines objectives, restructures situations, and suggests solutions for dealing with stress and conflict.
  3. In a crisis, followers tend to demand a directive leader that makes quick decisions.
  4. In the absence of a crisis, they tend to prefer a participative leader who allows much greater levels of feedback.
- C. Inspiring Confidence in Commander under combat conditions
1. Professional competence
  2. Belief in his credibility
  3. Perception of caring about his troops
  4. Under continuing stress, professional competence becomes paramount.
- D. Transformational Leadership adds to Transactional Leadership
- Transformational leadership allows followers to:
1. Transcend their own immediate self-interests
  2. Increase awareness of larger issues
  3. Shift goals away from personal safety and security towards achievement and self-actualization.
- E. Relationship of Transformational and Transactional Leadership in preparing for crisis
1. Transformational leaders will often highlight the need for preparedness and early warning.

2. Transactional leaders can be very effective in implementing plans and responding once a system is in place.

V. Discussion Questions

- A. Discuss the chapter introductory quotes. Consider what the Nixon quote has to say about stress, and discuss the validity in decision making of the Joubert and GEN Scott quotes.
- B. Bass says that transformational leadership reduces the impact of prolonged stress by transforming personal concerns into efforts to achieve group goals. How can this be achieved?
- C. Examine the cartoon, "How Aviators View Surface Warfare". In what ways does our organizational culture induce stress? Is this stress productive or destructive? Is stress a good thing, contributing to watchstander alertness and a strict adherence to established procedure?
- D. Reconsider the VINCENNES case study. How did stress affect the actions, reactions and decisions made by junior personnel? By the CO?
- E. The Marine Corps is partial to the "70 percent solution". Believing that speed is of the essence in making decisions, that a mediocre decision early is better than a perfect decision later (at least under combat conditions), and that you can't get 100 percent of the relevant information until its too late, the Marines aim to make a decision as soon as they have about 70 percent of the relevant information. When should this rule be applied by junior officers?

VI. In-Class Exercises: None

VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 29**

**HOURS 1.0**

**TITLE: COMBAT LEADERSHIP**

I. Learning Objectives

A. Reading Objectives

1. The student will comprehend "fighting spirit".
2. The student will comprehend where the sailor/marine finds salvation in achieving the fighting spirit.
3. The student will comprehend the "regimental system" and USN/USMC examples?
4. The student will comprehend the basic inspiration for soldiers to illogically or unnaturally charge into danger vice logically run away from it.

B. Discussion Objectives

1. The student will comprehend the concept of combat.
2. The student will comprehend "fighting spirit".
3. The student will comprehend where the sailor/marine finds salvation in achieving the fighting spirit.
4. The student will comprehend the Junior Officer's responsibility in combat.

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 29

B. Student References

1. Leadership and Management, Chapter 29

III. Instructor Notes

*The issue in this matter is victory or death.*

John Churchill  
Duke of Marlborough

*Battles are won by slaughter and maneuver. The greater the general, the more he contributes in maneuver, the less he demands in slaughter.*

Winston Churchill

*Sensible men concentrate on the essential.*

Frederick the Great

*This ship is built to fight. You'd better know how.*

ADM Arleigh Burke  
at the commissioning of DDG-51

*Leadership remains the most baffling of the arts, and in spite of all the tricks that supposedly make it manageable, it will remain that way. As long as we do not know exactly what makes men get up out of a hole in the ground and go forward in the face of death at a word from another man, then leadership will remain one of the highest and most elusive of qualities. It will remain an art.*

James L. Stokesbury

*There is many a boy here today who looks on war as all glory, but, boys, it is all hell. You can bear this warning voice to generations yet to come. I look upon war with horror.*

GEN William T. Sherman

- A. "Combat Leadership" is meant to be a great "pondering" session. It is important to find ways to tie the deeper themes of this course into the context of performance in combat. Sources of Power, Perceptions, Communication, Assertiveness in the Decision-Making Process, The Balance Between Transactional and Transformational Styles, Group/Team Distinctions, Sources of Motivation, the Influence of Organizational Culture, and the Effect of Stress on Problem Solving and Decision-Making are all mentioned, at least indirectly, in the readings for this session.
- B. The great questions are ones that will have answers which land in the bounds of the objectives, but have subtle, personal variations: "For what will these Midshipmen fight?" "How will they perform under the stresses of combat?" "What can they do before getting into combat to better prepare themselves and their subordinates to perform professionally and honorably once the 'shooting starts?'" "Do the same techniques apply to Marine infantry units as to aviation squadrons and/or Navy ships/subs?" "As tactics adapt and technology changes the way we engage

enemy forces, what are the timeless elements that apply regardless of *how* warriors fight?"

#### IV. Chapter Outline

##### A. Concept of Combat

1. Combat is defined as engaging the enemy with individual or crew-served weapons; being exposed to direct or indirect enemy fire; and otherwise undergoing a high probability of direct contact with enemy personnel and firepower, to include the risk of capture.
2. There is much discussion about whether leadership is different in combat and non-combat situations, with conflicting answers. The U.S. Army does not distinguish between the development of leaders for peacetime and wartime service. The U.S. Marine Corps considers that leading in combat is vastly different than leading in peacetime.
3. The position of the U.S. Navy is that it will develop good leaders for service in both peacetime and for duty in combat. All leadership training courses have a topic that covers leadership specifically in a combat environment. The skills that are taught for leadership development by the Navy are equally applicable in the combat environment. Only the conditions under which they are exercised are different.

##### B. What is the "Fighting Spirit"?

The problem of fighting spirit is the same in every age. Men and women must be persuaded to defy their own logic and their own instincts.

1. The situation seems suicidal, yet the member must press forward.
2. They must obey orders to defy their instincts of self-preservation in the interests of a greater purpose.
3. They must set their lives and welfare at naught.

4. They must be prepared to lose all that they have (i.e., family, friends, wealth, happiness, and even life) without a second thought.

C. Finding Salvation in Achieving a "Fighting Spirit"

1. The individual is so alone in the face of these seemingly elemental forces that he can only find salvation in what has been called "group cohesion and solidarity."
2. They must bond with a small group of others that are sharing the same challenge. These will become comrades in arms.
3. These groups bond with other like groups and will form a tight unit -- a molecular structure -- within which to find a meaning.
4. How these units are grouped and operate becomes the basis for an esprit de corps, which hopefully will maximize the fighting potential of the aggregate of individuals.

D. The Regimental System

1. This system creates a "culture" of colors, trophies, emblems, and uniforms and has helped to provide individual soldiers with a more substantial "identity" and facilitate their induction into the world of military personnel and war.
2. It operates as a "club" to which only individuals who have qualified can belong and which offers its members a "home away from home", and for many the only real home they have ever known.
3. With its strict rules of membership, the regiment can weed out undesirables and set standards to which its members are proud to adhere and traditional achievements on the battlefield which its recent recruits are eager to replicate. Examples:
  - a. Oaths
  - b. Haircuts

- c. Battle emblems
- d. Patches
- e. Awards
- f. Cammies
- g. Ball caps
- h. Historical memorabilia
- i. Slogans
- j. Brown shoes
- k. Unit battle history
- l. Unit/service discipline

E. British Regimental System in WWI

1. In 1914, the British Expeditionary Force sent to France was infinitely more efficient, man-for-man, than any of the numerically superior German units it encountered.
2. They astonished the Germans at Mons and First Ypres who claimed they were facing massed machine guns rather than the single line of riflemen who in fact held the line.
3. They were an elite force who possessed a clear belief in their superiority that was justified by the results.

F. Basic Inspiration for soldiers to rally and charge into danger vice logically run away from it

1. It should not be expected that pride in a uniform or belief in a national cause are of themselves sufficient to make a soldier steadfast in danger and to persuade him to give a good personal account of himself in battle.
2. In battle, you may draw a small circle around a soldier, including within it only those persons and

objects which he sees or which he believes will influence his immediate fortunes.

3. These primarily will determine whether he rallies or fails, advances or falls back. They retain a sense of duty, if not to their country, at least to their units or their friends and, most of all, to themselves.

#### G. Junior Officer responsibilities in combat

Each officer in the Naval Service has a vital role to play in the preparation of the unit for combat and emergency situations. The role of the junior officer is just as important as that of the CO. Each has a different role to play and tasks to perform. The entire unit, operating as a whole, fights together.

##### 1. Junior officer self-preparation

Junior officers can prepare themselves and their subordinates for combat by building resistance to the factors that adversely affect performance (stress, fear, fatigue, time, risk).

##### 2. Train to fight

Junior officers and subordinates respond the way they have been trained to fight. The more the unit trains, the more instinctual will be the unit's actions.

##### 3. Technical and tactical skills

Doctrine, tactics, techniques, and procedures are taught at service schools and within units and generally represent the best way to perform tasks. Good leadership alone cannot bring victory unless the leader has the tactical knowledge and skill to make and execute good plans.

##### 4. Physical fitness

Increases endurance and ability to operate in a high-stress environment. Equally important is mental preparedness, so that there are not unintended interferences with performance of combat or other emergency duties.

5. Develop the will to win

Development of the will to win is a result of a number of factors. The individual has pride in his/her team, unit, combat arm, branch, and service. The Naval Services have provided the individual with excellent equipment in combat or in an emergency or crisis situation. The individual's training is based on doctrine that has made use of the lessons learned from the past.

6. Develop leadership

The final part of the equation is the leadership of the junior officer who represents the command at the team level. That officer must instill pride, confidence, and camaraderie, as well as earning the trust and respect of the Sailors and Marines who must respond to effective orders in time of stress, fear, fatigue, and risk.

V. Discussion Questions

- A. Analyze and discuss the chapter introductory quotes, particularly those by ADM Burke and Stokesbury.
- B. Discuss examples of "fighting spirit". What makes these examples unique? What common characteristics are present?
- C. Discuss the idea of "group cohesion and solidarity". How is this achieved in the Navy and Marine Corps?
- D. Discuss the regimental system and USN/USMC examples.
- E. Discuss the Junior Officer's role in combat. How did this course prepare them to assume this role? What further steps are necessary? How do the students think they will act under fire?

VI. In-Class Exercises: None

VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 30**

**HOURS 1.0**

**TITLE: CASE STUDY: D-DAY or BLACKHAWK DOWN**

I. Learning Objectives

A. Reading Objectives

1. The student will apply the principles covered in Lessons 1-30, with an emphasis on Lesson 29, to an analysis of a real-world leadership problem.
2. The student will demonstrate an understanding of the application of the course concepts.

B. Discussion Objectives: Same as Learning Objectives

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 30

B. Student References

1. Leadership and Management, Chapter 30

III. Instructor Notes

*It is characteristic of wisdom not to do desperate things.*  
Henry David Thoreau

*The mark of a true champion is to always perform near your own level of competency.*

John Wooden

*Success in battle is not a function of how many show up, but who they are.*

GEN Robert Barrow

*It all comes to this, that nothing great will ever be achieved without great men, and men are great only if they are determined to be so.*

Charles de Gaulle

*The execution of tactics on the battlefield is a matter of leadership that captures the hearts and minds of seamen.*

CAPT Wayne P. Hughes, *Fleet Tactics*

These two case studies examine widely divergent operations in battles that occurred 50 years apart, but they both address the fundamental issue of what makes an effective combat commander. Both of these stories tell of plans gone awry and technology being no substitute for leadership, daring and courage. What leadership issues did commanders face in these battles? How can you know if you will make the right decisions when the time comes? As you read these case studies, consider what it will take for you to succeed in combat. When you enter the fleet you will have at your disposal the most advanced weapons and technology ever created for the Navy and Marine Corps. Ask yourself how much difference those factors will make if you ever find yourself in situations similar to these case studies. Can leadership ever be replaced by technology?

#### IV. Chapter Outline

- A. Choose whether you want to focus on just one of the case studies or compare and contrast both.
- B. The case study is a means to an end -- in this case to a fuller understanding of the course concepts.
  - 1. Remember the importance of your first question (default -- What's the problem here?).
  - 2. Build "teachable moments" into your discussion.
  - 3. Get the students involved; don't dominate the discussion.
  - 4. Use the chalkboard.
  - 5. Establish and enforce a discussion on ROE.
  - 6. Ask questions, don't make declarative statements.
  - 7. Reward participation.
- C. Review pages 178-179 of McKeachie.

- D. Using the objectives above, review the following process for case study analysis. Prepare notes and be ready to contribute to a class discussion on each of these issues.
1. Identify the facts of this case.
  2. Define the problem in this case.
  3. Apply theoretical models from previous sessions to diagnose the problem more completely.
  4. Offer a prescription or plan to remedy the problem. We have learned that the situation often dictates our behavior -- prescribes the course of action we take.
  5. As you review the case studies for this session, consider how the situation prescribed the actions by the leaders and followers involved.

V. Discussion Questions

The following are some key concepts that can be used for discussion:

- A. Leader/follower/situation. Examine the dynamics of both cases, especially how the situation impacted the actions of leaders and followers.
- B. Competence. Focus on competence, credibility and caring for the troops and its apparent role in the success and failure of these battle commanders.
- C. Perceptual set. Is this a significant factor in both or either incidents and does 140 years change the perceptual set?
- D. Communication. Review each step in the communication process and identify where breakdowns occurred.

VI. In-Class Exercises

- A. Have the students break into groups. Assign each group to examine either one or both cases in terms of one or two of the areas above.
- B. Allow 15-20 minutes of small group discussion, then have each group present their findings.

VII. Supplemental Learning Opportunities: None

**NAVAL RESERVE OFFICERS TRAINING CORPS  
LEADERSHIP AND MANAGEMENT**

**LESSON GUIDE: 31**

**HOURS 1.0**

**TITLE: FILM CASE STUDY: TWELVE O'CLOCK HIGH**

I. Learning Objectives

A. Reading Objectives

1. The student will apply the principles covered in Lessons 1-30, to an analysis of a film leadership case.
2. The student will demonstrate an understanding of the application of the course concepts.

B. Discussion Objectives: Same as Learning Objectives

II. References and Texts

A. Instructor References

1. Leadership and Management, Chapter 25
2. Hartwick Classic Leadership Case - Twelve O'Clock High Teaching Note

B. Student References

1. Leadership and Management, Chapter 25

III. Instructor Notes

Twelve O'Clock High

Keith, good navigators is the one thing we're not short of. If you decide that you ought to relieve this boy, I'll give you a good replacement.

Gen. Savage

You might as well ask me to stand him up against the wall and shoot him in the back. No, I won't do it, sir. I just can't do it to him; I won't.

Col. Davenport

Gately, Baxter is promoted out of the Leper Colony. Pettingill is your new co-pilot. Well, that's all I've got. Anybody got anything else they want to bring up?

Gen. Savage

Frank, you're swinging after the bell. Tell me something, will you? What was the name of the man you relieved?

Air Chief

- A. This Hartwick Classic *Film* Leadership Case focuses on the crisis that can result when an organization demands "maximum effort" from its members. It is based on the story of a stubborn general's mission to rebuild a bomber group whose shattered morale under heavy losses threatens to undermine the aerial offensive against German-held Europe in World War II.
- B. The case study dramatically contrasts the leadership styles of two very different leaders and provides students with the opportunity to consider the benefits (and costs) of each. Students are challenged to determine why one leader seems to be succeeding whereas his predecessor did not. In the process, they come to realize the importance of matching their leadership style to the situation.
- C. Topics include:
  - 1. Turnaround Management
  - 2. Situational Leadership
  - 3. Transformational Leadership
  - 4. Vision
  - 5. Goal Setting
- D. Theories covered:
  - 1. Transformational Leadership
  - 2. Situational Leadership
  - 3. The Leadership Grid
  - 4. Theory X and Y
  - 5. Why Leaders Fail
  - 6. Behavioral Perspective
- E. Film Information: 1949, 132 minutes, Black and White

#### IV. Chapter Outline

- A. Thoroughly review the Hartwick Classic Film Leadership Case *Teaching Note* and determine which method of presentation works best for you.
- B. The case study is a means to an end -- in this case to a fuller understanding of the course concepts.
  - 1. Remember the importance of your first question (default --What's the problem here?).
  - 2. Build "teachable moments" into your discussion.
  - 3. Get the students involved; don't dominate the discussion.
  - 4. Establish and enforce a discussion on ROE.
  - 5. Ask questions, don't make declarative statements.
  - 6. Reward participation.
- C. Using the objectives above, review the following process for case study analysis. Prepare notes and be ready to contribute to a class discussion on each of these issues.
  - 1. Identify the facts of this case.
  - 2. Define the problem in this case.
  - 3. Apply theoretical models from previous sessions to diagnose the problem more completely.
  - 4. Offer a prescription or plan to remedy the problem. We have learned that the situation often dictates our behavior -- prescribes the course of action we take.
  - 5. As you review the case studies for this session, consider how the situation prescribed the actions by the leaders and followers involved.
- D. Review pages 178-179 of McKeachie.

- E. The case material included in the Leadership and Management text is the first 10-12 pages of each *Teaching Note*.
- F. Each *Teaching Note* is separated into the following sections:
  - 1. Objectives
  - 2. Methodology
  - 3. Background
  - 4. Theories and Issues
  - 5. Discussion Questions
  - 6. Bibliography
- V. Discussion Questions: See *Teaching Note*
- VI. In-Class Exercises: At instructor's discretion
- VII. Supplemental Learning Opportunities: None