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NOTICES


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14. ABSTRACT

A primary responsibility for every Army leader is to foster and develop an ethical command climate that contributes to the ethical character of all Soldiers. The operational environment can present leaders and Soldiers with ethically ambiguous and challenging situations that test a Soldier’s adherence to Army Values and the Warrior Ethos. Leaders have an obligation to help their Soldiers understand what “right” looks like, and senior leaders must provide the moral guidelines and direction to help subordinates engage in ethically sound behavior. Although ethics plays a prominent role in today’s operational environment and Army doctrine, few training programs specifically target the contextual aspects that can impact ethical behavior. This document presents instructional materials for facilitating a workshop on how leaders can build and maintain an ethical unit climate. Leaders who complete the workshop should demonstrate greater knowledge of strategies for shaping unit climates and be better prepared to employ these strategies across their units.
ACKNOWLEDGEMENTS

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# CONTENTS

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>INTRODUCTION</td>
<td>1</td>
</tr>
<tr>
<td>CLIMATE TRAINING</td>
<td>1</td>
</tr>
<tr>
<td>Training Purpose</td>
<td>1</td>
</tr>
<tr>
<td>Training Audience</td>
<td>1</td>
</tr>
<tr>
<td>CLIMATE Training Package</td>
<td>2</td>
</tr>
<tr>
<td>REFERENCES</td>
<td>4</td>
</tr>
</tbody>
</table>

## APPENDICES

<table>
<thead>
<tr>
<th>Appendix</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>APPENDIX A: CLIMATE WORKSHOP PREPARATION GUIDE</td>
<td>A-1</td>
</tr>
<tr>
<td>APPENDIX B: CLIMATE WORKSHOP QUICK REFERENCE GUIDE</td>
<td>B-1</td>
</tr>
<tr>
<td>APPENDIX C: CLIMATECARD</td>
<td>C-1</td>
</tr>
<tr>
<td>APPENDIX D: CLIMATE WORKSHOP STORIES &amp; QUICK CASES</td>
<td>D-1</td>
</tr>
<tr>
<td>APPENDIX E: CLIMATE WORKSHOP SLIDES</td>
<td>E-1</td>
</tr>
</tbody>
</table>
CLIMATE

Instructor’s Guide For Ethical Climate Training for Army Leaders

Introduction

Army Leadership Doctrine (ADRP 6-22) indicates a primary responsibility for every Army leader is to foster and develop an ethical command climate that contributes to the ethical character of all Soldiers (U.S. Department of the Army, 2012). While ethical leaders are necessary at all times, this need may be even more pronounced in today’s environment of irregular warfare. The current operational environment often presents leaders and Soldiers with ethically ambiguous and challenging situations that test a Soldier’s adherence to Army Values and the Warrior Ethos. Leaders have an obligation to help their Soldiers understand what “right” looks like, and senior leaders must provide the moral guidelines and direction to help subordinates engage in ethical behavior in the midst of a complex environment. In the face of challenging missions and emergent enemies, Army leaders must continue to develop a climate that demands honor, courage, and commitment to the Army Values.

Although ethics plays a prominent role in today’s operational environment and Army doctrine, few training programs specifically target the issue of climate. This document provides a guide for facilitating instruction to help leaders learn strategies for building and maintaining an ethical unit climate. Leaders who shape a strong ethical climate will have Soldiers who are more apt to make ethically correct decisions and will more quickly inculcate new Soldiers into the ethical norms of their unit and the greater Army. Conversely, leaders who do not espouse or enforce ethical standards of behavior can facilitate the development of unethical climates, which may lead Soldiers to make poor decisions and engage in behavior incongruent with Army ethical standards.

CLIMATE Training

Training Purpose

The instruction, called CLIMATE, is aimed toward developing leadership competency in influencing ethical command climates. Leaders who complete the CLIMATE training program should demonstrate greater knowledge of strategies for shaping unit climates and be better prepared to employ these CLIMATE strategies across their units.

Training Audience

The CLIMATE training program was developed to equip Army Battalion-Level leaders with strategies for proactively shaping an ethical unit climate. Although many of the concepts are relevant at all leadership levels in the Army, senior leaders – Lieutenant Colonels and above – were selected as the training audience due to the large-scale influence they have on multiple echelons of leaders and units (e.g., Battalion, Company, Platoon). Through their leadership and actions, Battalion leaders can play a pivotal role in setting the conditions and standards for the
leaders and units below them to make good ethical decisions. Additionally, this training for senior leaders is intended to complement existing ethical climate training developed by the Center for the Army Profession and Ethic (CAPE) for junior Army leaders.

**CLIMATE Training Package**

The CLIMATE program is a three-hour interactive workshop. CLIMATE workshop materials and a CLIMATE Instructor Guide for facilitating the workshop are included in Appendices A-D. The CLIMATE workshop was designed to promote discussion about ethical climate among senior leaders with a wealth of existing experience leading units. The goal of the workshop is not to lecture participants, but to provide a common framework that makes explicit the strategies for proactively shaping a unit’s ethical climate. While some didactic description of these strategies is required as part of the instruction, the primary goal is to encourage leaders to use the framework to make sense of and describe to others the ethical nature of their past unit climates, as well as considerations for shaping their current and future unit climates.

The CLIMATE workshop is designed as a three-hour seminar for eight to twelve (maximum class size 25), facilitated with the aid of an illustrated slide deck, a CLIMATE Instructor Guide, the ClimateCard as a hip-pocket reference guide for participants, and stories of ethical challenges that can be distributed to and discussed by participants. Exercises are included in every lesson – facilitated by the Instructor – to engage participants in actively defining and shaping ethical climates.

**Didactic Lesson Slides.** The CLIMATE workshop slides serve as a visual aid in the facilitation of six continuous strategy-based lessons. The first two lessons define ethical climates and describe the CLIMATE framework by which leaders can shape and maintain an ethical unit climate. The remaining four lessons describe how the leader strategically shapes the climate using four primary leader behaviors: climate assessment, ethical role modeling, articulating ethical standards, and enforcing ethical standards. Within each lesson the slides provide instructions for interactive exercises that elicit insightful class discussion.

**Detailed Instructor Guide.** The three-hour CLIMATE workshop is delivered via a facilitator and supported by the CLIMATE Instructor Guide (see Appendix A). The guide is a stand-alone training support package designed to assist instructors in understanding and customizing the training content for the CLIMATE workshop. The CLIMATE Instructor Guide is formatted in accordance with Army training support package standards (i.e., TRADOC Regulation 350-70, U.S. Department of the Army, 2011) and consists of didactic information, interactive exercises, illustrative examples, and handouts.

**Quick Reference Guide for Instructors.** The CLIMATE Quick Reference Guide (Appendix B) is a lightweight version of the larger CLIMATE Instructor Guide that is formatted for use during the CLIMATE workshop. The Quick Reference Guide contains an expedited view of all slide screenshots and key notes, with dedicated space for each instructor to make customized notes for each workshop presentation. Additional background and full story text from the full Instructor Guide has been removed, resulting in fewer pages and more targeted facilitation during the workshop. It is recommended that instructors use the quick reference guide
during workshops (Appendix B) but use the more detailed instructor guide in Appendix A to prepare for the workshop.

**ClimateCard.** The ClimateCard (Appendix C) is a hip-pocket reference guide for CLIMATE trainees. The ClimateCard presents over 30 pages of practical strategies, checklists, and insights from the CLIMATE workshop. This tabbed document was designed with portability in mind, enabling workshop attendees to revisit their notes and CLIMATE strategies at any time following the workshop. The ClimateCard is issued to attendees early in the workshop to demonstrate the utility of the Card’s content for transfer following the workshop. Printed back-to-back and centered on the page, the ClimateCard in Appendix C contains cut marks for even cutting. The tabs should be cut appropriately and the document bound on top.

**Stories for Discussion.** Appendix D contains stories for facilitators to use to discuss various climate topics. Stories can be printed and distributed to workshop attendees if so desired. Additionally, facilitators can use or modify these scenarios to emphasize different training objectives throughout the workshop. These stories also can be useful for attendees following the workshop during discussions with their unit leadership teams.
References


APPENDIX A

CLIMATE Workshop
Preparation Guide
# Climate Workshop Preparation Guide

## Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Climate: Workshop Overview</strong></td>
<td>A-5</td>
</tr>
<tr>
<td>Considerations at a Glance</td>
<td>A-5</td>
</tr>
<tr>
<td>Program &amp; Instructor Guide Overview</td>
<td>A-6</td>
</tr>
<tr>
<td>Lessons for Building and Maintaining Ethical Unit Climate</td>
<td>A-7</td>
</tr>
<tr>
<td>Using the Guide</td>
<td>A-8</td>
</tr>
<tr>
<td>General Guidance</td>
<td>A-8</td>
</tr>
<tr>
<td>Components of the Guide</td>
<td>A-9</td>
</tr>
<tr>
<td>Additional Resources</td>
<td>A-9</td>
</tr>
<tr>
<td><strong>Preparing for a Climate Workshop</strong></td>
<td>A-9</td>
</tr>
<tr>
<td>Tailoring the Content</td>
<td>A-9</td>
</tr>
<tr>
<td>Workshop Logistics</td>
<td>A-10</td>
</tr>
<tr>
<td>Background Reading</td>
<td>A-10</td>
</tr>
<tr>
<td><strong>Introductory Slides</strong></td>
<td>A-11</td>
</tr>
<tr>
<td>Slide 1 – Introduction</td>
<td>A-11</td>
</tr>
<tr>
<td>Slide 2 – Army’s Approach to Ethics</td>
<td>A-13</td>
</tr>
<tr>
<td>Slide 3 – Workshop Overview</td>
<td>A-15</td>
</tr>
</tbody>
</table>
LESSON 1: ETHICAL CLIMATES ................................................................. A-18

  Slide 4 – What Is a Climate?................................................................. A-18
  Slide 5 – What Is an Ethical Climate? ............................................... A-21
  Slide 6 – Ethics Drive Results ......................................................... A-26

LESSON 2: ROLE OF LEADERSHIP IN SETTING AN ETHICAL CLIMATE..... A-28

  Slide 7 – Critical Role of Leaders in Shaping Climates ....................... A-28
  Slide 8 – Introducing the ClimateCard ............................................. A-30
  Slide 9 – Activity: What Are Your Ethical Standards? ....................... A-33
  Slide 10 – Shaping Climate .............................................................. A-36
  Slide 11 – Activity: Reasons for an Ethical Climate ......................... A-39

LESSON 3: ASSESSING THE ETHICAL CLIMATE ..................................... A-41

  Slide 12 – Assessing Unit Ethical Climate ......................................... A-41
  Slide 13 – Methods to Assess Climate ............................................ A-43
  Slide 14 – Observe, Assess, and Evaluate Climate ......................... A-46

LESSON 4: MODELING ETHICAL BEHAVIOR ........................................ A-49

  Slide 15 – Modeling Ethical Behavior ............................................. A-49
  Slide 16 – The Importance of Modeling ........................................ A-52
  Slide 17 – Activity: What Makes an Ethical Leader? ....................... A-54
  Slide 18 – Characteristics of Ethical Leaders .................................. A-56

LESSON 5: COMMUNICATING ETHICAL STANDARDS .......................... A-58

  Slide 19 – Articulating Ethical Standards ........................................ A-58
Slide 20 – Embedding Your Ethical Standards................................. A-60
Slide 21 – Revising Ethical Standards Over Time............................ A-62

Lesson 6: Enforcing Ethical Standards.............................................. A-64
Slide 22 – Enforcing Ethical Standards ............................................. A-64
Slide 23 – Enforcement Mechanisms in Action ................................. A-66
Slide 24 – Activity: Encourage Ethical Behavior ............................... A-70
Slide 25 – How Will YOU Set an Ethical Climate? ............................. A-73
CLIMATE: Workshop Overview

Considerations At-A-Glance

<table>
<thead>
<tr>
<th>Intended Class Size</th>
<th>8-12 (maximum capacity = 25)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intended Audience</td>
<td>Battalion-level Leaders</td>
</tr>
<tr>
<td>Intended Duration</td>
<td>3 Hours</td>
</tr>
<tr>
<td>Course Lessons</td>
<td></td>
</tr>
<tr>
<td>Lesson 1: Ethical Climates</td>
<td></td>
</tr>
<tr>
<td>Lesson 2: Role of Leadership in Setting Ethical Climate</td>
<td></td>
</tr>
<tr>
<td>Lesson 3: Assessing the Ethical Climate</td>
<td></td>
</tr>
<tr>
<td>Lesson 4: Modeling Ethical Behavior</td>
<td></td>
</tr>
<tr>
<td>Lesson 5: Communicating Ethical Standards</td>
<td></td>
</tr>
<tr>
<td>Lesson 6: Enforcing Ethical Standards</td>
<td></td>
</tr>
<tr>
<td>Workshop Materials Needed</td>
<td></td>
</tr>
<tr>
<td>• Instructor Quick Reference Guide (Appendix B)</td>
<td></td>
</tr>
<tr>
<td>• ClimateCard (Appendix C)</td>
<td></td>
</tr>
<tr>
<td>• Story Handouts (Appendix D)</td>
<td></td>
</tr>
<tr>
<td>• Activity Materials:</td>
<td></td>
</tr>
<tr>
<td>○ Flip chart/Butcher Paper and Whiteboard</td>
<td></td>
</tr>
<tr>
<td>○ Markers and Pens</td>
<td></td>
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<tr>
<td>○ Name Tents</td>
<td></td>
</tr>
<tr>
<td>○ Post-it Notes</td>
<td></td>
</tr>
</tbody>
</table>
Program and Instructor Guide Overview

This course helps participants hone their leadership skills specific to the way they shape and maintain the ethical climate within their units. It is understood that leaders come to this program with significant experience and a history of successful commands. Consequently, stories, guided reflection, and alternative perspective sharing are central to the content and success of the workshop. This guide has been designed to support facilitators by providing research-based content, example stories, questions to ask students, common terminology, and exercises to tailor instruction to the audience.

The unique situation, past experiences, and future challenges each cohort of participants brings with them to the CLIMATE program requires the facilitator to adapt the content and experience to achieve maximum impact. To support these tailoring efforts, redundancies have been built into these materials with slightly different nuances and purposes to give facilitators multiple options when selecting how they can best present an idea, skill or alternative approach. Nevertheless, participants will get more from the program through guided reflection and sharing with peers. While the materials in this guide provide examples and cases to use, it is preferable to work with a real world example from the group. Also, as the facilitator, you may have a case or story from your past to use; again, this is much better and more authentic than the ones provided in this guide because you will be highly familiar with your own stories.

Overall, the CLIMATE program is comprised of six lessons, outlined on the next page. The first two lessons present the basic concepts, fundamental ideas, and research that make up a research and practice-based model for ethical climate setting. In these two lessons, didactic methods are more heavily weighted and enhanced with experiential exercises and stories. Lessons 3 through 6 each focus on one of the four leadership skill categories outlined in the ethical climate setting model. As the workshop progresses, the level of didactic training reduces and the program incorporates more stories and experiential methods. The workshop culminates with each participant crafting his or her own scenario or case for establishing an ethical climate specific to leadership challenges captured within his or her unit.
Lessons for Building and Maintaining Ethical Unit Climates

Lesson 1: **Ethical Climates**
Define and specify why ethical climates are important.

Lesson 2: **Role of Leadership in Setting Ethical Climate**
Understand, as leaders, how to determine their ethical standards and the ways they can shape the ethical climate of their units.

Lesson 3: **Assessing the Ethical Climate**
Develop skills and share tools for determining the unit’s current ethical climate, as well as key leverage points for shaping the ethical climate.

Lesson 4: **Modeling Ethical Behavior**
Understand the characteristics of what others perceive as an ethical leader, the impact of leader behavior on perceptions of a leader’s ethical standards, and how leader behavior influences the ethical climate of the unit.

Lesson 5: **Communicating Ethical Standards**
Share and practice techniques for effectively communicating ethical standards to have maximum positive impact on the unit’s ethical climate.

Lesson 6: **Enforcing Ethical Standards**
Share and practice techniques for effectively holding unit members accountable for their ethical behavior and the ethical climate of the unit.
Using the Guide

If you have been given these materials and have less than 2 hours to prepare to deliver this workshop, follow these quick tips:

- **Room Scheduling (15 Minutes):** check to make sure you have a room scheduled with a way to project slides. If not, look into printing the slides and notes for participants. If neither of these options is available, you can still go forward with the workshop. As you prepare in the next two steps, focus on stories you will tell and questions to ask as you discuss key topics. This program is more about guided discussion and less about slides.

- **Content Preparation (30 – 60 Minutes):** go directly to Appendix B, pull out the pages, and quickly skim over the content and make notes.
  - Re-read Appendix B and focus on key questions, stories, examples, and points you want to make. Write a few notes for your reference if you have the chance.

- **Room Preparation (15 Minutes):** Set the room up the way you would like it, make sure you have any sign-in materials and other administrative logistics prepared. Spend any last few minutes you might have rehearsing or preparing your first 3 minutes of the program – what you want to say/ask/share.

*Note:* Quick preparation is not optimal. We recommend participating in and observing the CLIMATE workshop at least once before facilitating. We also recommend spending four hours or more preparing by first reading the Workshop Preparation guide (this Appendix).

**General Guidance**

Optimal preparation to facilitate the CLIMATE workshop should include:

1. Participate in a CLIMATE workshop yourself.
2. Observe and assist facilitation of a CLIMATE workshop.
3. Read all CLIMATE instructional materials prior to the workshop.
4. Learn as much as you can about your audience.
5. Tailor the CLIMATE materials for your audience using these and any other materials you deem useful.
6. Evaluate what worked well each time you conduct the workshop and what you would change for the next CLIMATE workshop. Repeat from Step 4 as needed.

Expect to spend at least 4 hours preparing for each CLIMATE workshop.
Components of the Guide

Each lesson includes slide by slide content to draw from when tailoring the CLIMATE workshop for an audience. Specifically, for each slide you can find the following:

- **Timing** – Expected time to present and discuss the topics and key points, as well as recommendations on items to skip if time is running short.
- **Points to Make** – Overview, critical concepts, things to note, and points to make during discussion.
- **Exercises** – Activities for participants to experience key points or prompt discussion.
  - Note: All exercises require attentive facilitation, as participants may try to avoid making choices on certain exercises. Remind them that outside of the classroom, they can have multiple priorities or rationales.
- **Stories to Tell** – Sample stories to highlight key points or prompt discussion.
- **Questions to Ask** – Prompts for encouraging input, guiding reflection, and offering alternative perspectives.
- **Background/Facilitation Notes** – Additional detail on the key points for back-up insights and notes to guide facilitation, based on experience delivering the content.

Additional Resources

**Classroom: Quick Reference Guide (Appendix B)** – Appendix B was created for facilitators to use in the classroom during the workshop itself. Appendix B is structured so that each page contains an image of the CLIMATE slide, abbreviated notes from Appendix A, and space for facilitators to write themselves additional notes to use during the workshop. While reviewing the instructor guide in Appendix A (i.e., this appendix), the facilitator is encouraged to write down additional notes or references for the training within the notes section in the Quick Reference Guide (Appendix B). By providing general slide notes and copies of the slides, each facilitator is encouraged to utilize his or her own experiences to guide and shape the workshop. No facilitator is required to use only the materials provided in this manual - in fact, it is discouraged. The materials presented in this manual are merely a starting place for facilitators to begin brainstorming for their workshop presentation. Please utilize this material as a resource that can be personalized and tailored to instructional needs and the facilitator’s presentation style.

**Appendices** – The appendices include handouts for all of the Stories to Tell and Quick Cases, which facilitators can use to tailor the CLIMATE workshop. Throughout this instructor guide, references will be made to these handouts in order for the facilitator to prepare for the workshop.

**Preparing for a CLIMATE Workshop**

**Tailoring the Content**

Gather as much background on your audience as possible. Consider what challenges they are facing overall. What stories or topics will have the most impact on their learning? Are there any topics to avoid?
Using the information you have gathered about the audience, work through the lessons in this Instructor Guide and highlight any content you feel would be helpful. Drop any content you believe would be distracting.

Once you have determined the content you wish to cover during the workshop, determine the timing for the program. Use the timing suggestions in the Preparation Guide as a reference and think through how much discussion you can expect at each point. Cut or add content as needed. **NOTE:** Plan for at least 20 minutes of extra discussion time, and identify some content you would skip if you become short on time during the workshop. Keep in mind, if you end a bit early, that is fine; if you run out of time without covering some key points, the overall impact of the program may be compromised.

**Workshop Logistics**

Preparing to deliver the CLIMATE workshop includes:

- **Facility considerations:**
  - Room size
  - Base and room access (e.g., security requirements, timing, etc.)
  - Equipment availability (e.g., projector)
  - Material (e.g., flip charts, white boards, etc.)
  - Break facilities

- **Participant sign-in requirements**

- **Ensure you have all workshop materials**

This is not an exhaustive list, but is provided to help a facilitator identify potential elements of a successful workshop prior to delivery.

**Background Reading**

Please read all of Lesson 1-6 background material in the Preparation Guide before conducting the workshop, and print out the Classroom Quick Reference Guide (Appendix B) to take notes as you read through each lesson. The Quick Reference Guide is likely the guide you will wish to use during class because it allows you to write all the notes and exercises you might want to conduct underneath the slide. Preparing your “Quick Reference Guide” as you read through this material will help you create a personalized presentation of the workshop. Prior to the workshop, you can assemble your Quick Reference Guide notes in a binder to help you during the workshop.
INTRODUCTORY SLIDES

Slide 1 - Introduction

Timing: 5 – 10 Minutes

Once the session is called to attention, the time for administrative tasks can vary depending on the number of items requiring attention. Assume about 5-10 minutes for this slide, but you may need to add more time if you conduct the exercise.

Points to Make

This is not an “ethics” workshop, and the goal of this workshop is not to tell you what is ethical.

This is a discussion about leadership and what you, as leaders, can do to strategically shape an ethical command climate. "Doing the right thing" is a very important part of your command climate.

Most of the current ethical leadership training (including in the Army) focuses roughly 80% on making ethical decisions, and about 20% on leading others to behave ethically.

- THIS workshop flips that ratio on its head. The goal is to apply some common terminology to strategies that can help you, as leaders, shape and maintain an ethical command climate so that others continue to behave ethically even when you're not there.

You're already experienced leaders, which is why you're here.
In fact, we expect that you probably already use many of the approaches we'll talk about in the next couple of hours. Our hope is that, together, we can come up with some creative ideas and techniques for you to take back to your units.

*At this point, you may want to conduct an exercise to establish the “ground rules” for participation during the workshop. Later, you can make comparisons to the process of generating ground rules in relation to ethical climate.*

**Exercise**

Ask the group what rules they should observe during the course of the workshop. Write the generated rules on the butcher paper or white board. Examples of rules might include:

- Turning off cell phones
- Not interrupting others
- Being courteous of others
- No name calling
- Non-attribution of participant statements after the workshop. Or, if there is concern someone will say something that cannot not be protected, indicate privacy of statements may not be protected in the event of a reportable offense (e.g., someone did something criminal).

Later, you can use these ground rules as examples of articulating standards and norms for behavior and of setting the climate of the workshop. Establishing ground rules is also a way to break the ice and get people talking aloud.

**Stories to Tell (See Appendix D for Additional Stories and Scenarios)**

Closing the door to the room slowly and making a comment such as the following can be a humorous way to begin the course:

“Just prior to closing the door on a commercial flight, the flight attendants announce the flight number and destination. That is your last chance to leave the plane before they open the door at the destination. If you are on the wrong flight or don’t want to go where that plane is going, that is your last chance. So here is your last chance for leaving the airplane….”

**Questions to Ask**

- What do you hope to learn from this workshop?

**Background/Facilitation Notes**

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1 If you do not want to use a story provided in this manual, you can substitute stories you know or your personal experiences. You also can ask participants to provide their own examples and stories. Additional stories and cases are provided in Appendix D.
Review the class roll sheet for commonalities across participants; are a majority of participants from a specific background? Are there sub-groups to be aware of, or topics to be sure to address or avoid? For example, medics may contend with some different ethical issues than military police.
Timing: 5 – 8 Minutes

Depending on class size, asking the discussion questions can take 5 to 8 minutes.

Points to Make

This quote from Army Leadership Doctrine (ADRP 6-22) makes a clear case for the importance of setting an ethical tone.
- Being a leader of character is important.
- But leaders also have a responsibility to foster a culture that allows their Soldiers to develop and practice character.
- Ethical climates create the conditions for ethical behavior.

[At this point, you may want to discuss an example from Black Hearts, a book about a platoon in Iraq. However, you can also use personal examples or other examples that you might find relevant. Additional stories are provided in Appendix D.]

In ADRP 6-22, the United States Army defines leadership as “the process of influencing people by providing purpose, direction, and motivation to accomplish the mission and improve the organization” (U.S. Department of the Army, 2012, p 1-1).

Unlike a platoon leader, BN Leaders cannot always be right there to guide behavior, give orders, and make decisions in the field or in the office.
• Especially in asymmetric warfare, we cannot predict and provide specific guidance on all possible eventualities.
• By shaping climate, BN leaders create an environment that guides unit members’ actions in a manner consistent with their ethical standards when new or unexpected challenges confront Soldiers.

**Exercises:** None

**Stories to Tell (See Appendix D for Additional Stories and Scenarios)**

*Black Hearts* example: In March 2006, in the south of Baghdad, the 1st Battalion, 502nd Infantry Regiment, 101st Airborne Division faced the most dangerous spot in an extremely dangerous country, the Triangle of Death. It featured improvised explosive devices (IEDs) that made every Humvee ride “an exercise in terror” and a civilian population indistinguishable from the deadly armed militias. With too few men to mount proper patrols and the circulation of suicide car bombings and videotaped beheadings, every Soldier had to endure constant stress and resist hating the very people they were charged with protecting. The book recounts the breakdown of 1st Platoon, Bravo Company, when four Soldiers raped and killed an Iraqi girl and murdered her family. The 1st Platoon’s psychological isolation, a consequence of having three of their leaders killed in a two-week period, resulted in disorder amplified by a leadership vacuum and by discriminatory comparisons by senior officers with Bravo’s other platoons. An elevated sense of self-pity, combined with the perceived disrespect of high command, created a toxic command climate that led to the crime.

**Questions to Ask**

• What does the word *climate* mean to you? (See slide 4 for definitions to review)
  o [As participants respond, listen for them to note, in their words, the key elements of a climate for ethics. This is a good time to start introducing a common language on the topic of climate shaping.]

• How can you tell what the ethical tone in the unit is?

• Who has a story to tell about how they have either shaped the climate in their unit or have seen it change based on some event or intervention?
  o [Keep this brief and ask them to focus on these things:
    ▪ Context: What was the context?
    ▪ Actions taken: What actions were taken?
    ▪ Product: What did the actions produce? OR--
    ▪ Effect: What was the effect of the actions taken?
  ]

**Note:** This forms a useful acronym, **CAPE**
- *The summary of the Black Hearts story is a nice example of how to briefly tell a story that follows the CAPE model.*
- *As students tell the story, ask follow-up questions if they miss a piece of this CAPE model.]*

**Background/Facilitation Notes:** None
INTRODUCTORY SLIDES

Slide 3 – Workshop Overview

Timing: 2 – 4 Minutes

This is one of the few points in the workshop when the facilitator presents the content with limited discussion, and it should go fairly quickly.

Points to Make

This overview displays what we’re going to discuss today. The CLIMATE workshop serves as a discussion forum where you, as experienced leaders, can brainstorm strategies for setting an ethical tone.

The workshop design allows leaders to inspire each other through interactive exercises and experience-based discussions, empowering them to apply these climate setting techniques to real-world settings.

This program is built around a model of ethical climate setting that we will work through in some detail throughout the lessons.

Lessons 1 and 2 set the stage for leadership in ethical climate-setting.

Lessons 3-6 detail critical leadership skills for setting an ethical climate.
[Inform participants there will be discussion/learning checks (depending on time) at the end of the workshop.]

**Exercises:** None

**Stories to Tell (See Appendix D for Additional Stories and Scenarios)**

Link each lesson to some of the actions or examples the participants noted during the Slide 2 discussion of what a climate is. Often participants will note fundamental elements from each lesson. Explain that we understand they are experienced leaders, and the CLIMATE program is designed to help hone their skills.

**Questions to Ask**

- What might be missing from the lessons or, more specifically, in this lesson?
  - [Make notes on butcher paper for the class to see as suggestions are offered.]

**Background/Facilitation Notes**

The lessons covered on this slide somewhat correspond to the ethical climate setting model on Slide 7. At this time, you do not need to discuss the ethical climate setting model on Slide 7. You will discuss the model in greater detail after building a foundation in Lessons 1 and 2. The ethical climate model on Slide 7 is presented below.
Describe learning objectives (see Slide 3) and place on butcher paper or board for viewing throughout the lesson. Let students add any other objectives that are relevant to this lesson (“what might be missing?”).

The following Lesson 1 learning objectives could be placed on butcher paper or board:

- Define an “ethical climate.”
- Specify why ethical climates are important.
LESSON 1: ETHICAL CLIMATES

Slide 4 – What Is a Climate

Timing: – 4-8 Minutes

Instructors may opt to extend the time spent on this slide by spending more time on the discussion questions. However, the next slide will include an exercise to help workshop participants better understand some of the concepts on this slide, so instructors may want to defer in-depth discussion until the next slide.

Points to Make

The climate is set by the leader.

- In ADRP 6-22, the United States Army defines leadership as “the process of influencing people by providing purpose, direction, and motivation to accomplish the mission and improve the organization” (U.S. Department of the Army, 2012, p 1-1).
- Additionally, ADRP 6-22 notes, “People of character must possess the desire to act ethically in all situations. One of the Army leader’s primary responsibilities is to maintain an ethical climate that supports development of such character. When an organization’s ethical climate nurtures ethical behavior, people will think, feel, and act ethically. They will internalize the aspects of sound character” (U.S. Department of the Army, 2012, p 3-5).

Climate has two components: Strength and Direction
Strength: Climates are **STRONGER** when everyone agrees or shares a common understanding of the standards, and **WEAKER** when everyone in the unit has different ideas about what the standards are. Thus, the strength of the climate has to do with how much everyone is in **agreement** with one another.

Direction: Climates are **POSITIVE** when beliefs of group members align with the Army's standards and their leader's expectations\(^2\). Climates are **NEGATIVE** when the beliefs of the group are in opposition to the leader’s and Army’s standards.

The climate of **every** group or unit can be described in terms of its strength (strong versus weak) and its direction (positive versus negative). All groups have a climate; the climate just may not be very strong sometimes.

Any enduring “group” can have a climate. In military settings some common units or groups can include, but are not limited to:
- Squads
- Platoon
- Company

This introduces the notion of “Nested Climates.” Within a battalion, each company may have a different climate. Additionally, within a company there may be several platoons that have very different climates. As a BN leader, identifying and influencing nested climates can pose new challenges. BN leaders need to be concerned about all the climates nested within their BN, from each company to each platoon to each squad.

**Exercises:** None

**Stories to Tell (See Appendix D for Additional Stories and Scenarios)**

**Nested Climates:**
- Following the Battle of Kassarine Pass in 1943, Field Marshal Rommel determined that, overall, he was unimpressed with the American fighting abilities. Nevertheless, he did call out and praise the 13\(^{th}\) Armored Regiment of MG Orlando Ward’s 1\(^{st}\) Armored Division, noting their defense of Sbeitla as “clever and well fought.” While this unit exhibited a discipline and ability other units did not, MG Ward failed to show the tenacity and personal leadership of troops in battle that LTG Patton expected. That is, MG Ward was not demonstrating his capability to lead in alignment with the command standards established by his leaders. Consequently, MG Ward was relieved of command and is the only General that LTG Patton removed from command during the entirety of WWII.

**Climate in Other Contexts:**
- It can be fun to talk about climate from a weather perspective and draw parallels. For example: Encarta defines *climate* as the average weather or the regular variations in weather

\(^2\) Assuming the leader’s expectations are ethical and also in alignment with Army standards.
in a region over a period of years. If you use the analogy of climate with respect to weather, what parallels can you draw when thinking about your own unit’s climate?

**Questions to Ask**

- What do you think of when you hear the term *ethical climate*?
- Can you think of other groups/units that are not included on this list (i.e., the list in the last bullet on this slide)?
- As BN leaders, what is the appropriate group you should focus on for setting ethical climates?

*BN CDRs should immediately ensure the BN leadership team has a common approach to shaping the BN-level climate and feedback loops are in place to consistently determine whether their companies and platoons share those guidelines.*

**Background/Facilitation Notes:** None
LESSON 1: ETHICAL CLIMATES

Slide 5 – What Is an Ethical Climate?

Timing: 10-15 Minutes

After presenting the grid on the slide, conduct the exercise outlined for this slide. The exercise will take some time and leads to good discussion regarding the concepts of Weak/Strong and Positive/Negative climate. You may or may not want to ask all the discussion questions depending on how long you wish to spend on the exercise.

Points to Make

[The background/facilitation notes provide some examples of climates potentially viewed as positive by one group, but negative by another.]

To characterize ethical climates, we ask two questions:

- Will individuals in the unit "do the right/ethical thing" in alignment with Army standards and the commander’s expectations? (POSITIVE/NEGATIVE)
- To what extent does everyone in the unit share a common understanding about how to behave? (STRONG/WEAK).
  - NOTE: Much like peer pressure, stronger climates have more influence over unit member behavior. By nature, individuals want to go with the group.

[Describe the quadrants to students.]
Strong/Positive: Everyone in the unit is on the same page about behaving in accordance with the leader and the Army’s ethical standards. Everyone clearly knows what the standards are and will abide by those standards.

- Patton’s Climate [Refer to story of Patton in North Africa - Appendix D]

Strong/Negative: Everyone in the unit is on the same page about how to behave, but that behavior goes against Army ethical standards.

- The platoon from Black Hearts, for example, had a common agreement about how to behave, but it was in opposition to the Army ethical standards.

Weak Climates: People are not aligned with a common standard, but all have different ideas about what is right and wrong. Depending on whether more people trend toward the Army leader’s standards or against the standards will determine whether the climate is more positive or negative.

Multiple climates are in operation at any given time. For example, a set of standards exist for ethics (ethical climate), a set of standards exist for safety (safety climate), a set of standards exists for performance (performance climate), and so forth. The expectations set in one climate may sometimes come in conflict with the expectations set by another climate. For example, the expectations for achieving results quickly in a performance climate may sometimes conflict with the expectations to behave ethically set forth in an ethical climate. An important part of leadership is to recognize when these sorts of conflicts arise and determine ways to manage that conflict (e.g., prioritizing standards, finding solutions that satisfy both standards). How a leader handles conflicts among contradictory standards can shed light on what the leader truly values.

If we think of the two components (Positive/Negative and Strong/Weak) of Ethical Climates as forming a 2X2 grid, a specific unit’s ethical climate can be plotted as a point on that grid.

- No surprise - High and Right is where you want to go (Strong and Positive Climate).
- Getting a unit into the High and Right quadrant (strong, positive climate) and keeping it there is what this program will help you do.

The ethical climate of a unit can be described at any given time. However, the climate may be weak, meaning Soldiers lack a common understanding with one another about the “right” things to do. Even worse, the climate may be strong, but negative. How we identify and shape the climate and get it into the strong and positive quadrant is a fundamental function of leadership.

Everyone plays a role in the climate of the group. Within an ethical climate, individuals take ownership for the ethical decisions/actions of their unit. If leaders do not step up and hold others accountable for ethical actions, they risk continued problems that may grow worse over time.

Climate is a measure of unit agreement and alignment around a set of standards, and not a measure of the subjective quality of those standards. The amount of agreement tells us the strength of the climate (i.e., strong versus weak). The alignment of the group with higher-order standards (typically, the leader’s standards) tells us the direction of the climate (positive versus negative).
[Can conduct exercise here.]

**Exercise: Grid Practice**

This exercise is used to demonstrate the concepts of climate strength and climate direction. The basic premise is to have each participant place different organizations somewhere on the ethical climate 2X2 grid seen on this slide. Thus, you will need:

- A piece of butcher paper or white board that has the 2X2 Ethical Climate Grid drawn (like the one on the slide).
- A set of post-it notes for each participant. Each post-it note should contain the name of an organization.
  - You can generate the names of organizations prior to class **OR**
  - You can hand participants blank post-it notes and allow them to generate the names of organizations or groups/units.
  - Keep the number of post-it notes (e.g., 5) per participant relatively small to make the discussion more manageable.
  - For larger classes, you might consider only having 4 people from the class do the exercise, while others watch.

An example of post-it notes that might be used is located below. Each participant does not have to have the same set of organizations:

<table>
<thead>
<tr>
<th>Participant</th>
<th>Post-it Note 1</th>
<th>Post-it Note 2</th>
<th>Post-it Note 3</th>
<th>Post-it Note 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Wal-Mart</td>
<td>Afghan Army</td>
<td>Starbucks</td>
<td>US Army</td>
</tr>
<tr>
<td>2</td>
<td>USMC</td>
<td>Wal-Mart</td>
<td>US Army</td>
<td>USMC</td>
</tr>
<tr>
<td>3</td>
<td>US Army</td>
<td>McDonald's</td>
<td>Major League Baseball</td>
<td>Facebook</td>
</tr>
<tr>
<td>4</td>
<td>Enron</td>
<td>US Army</td>
<td>BP (British Petroleum)</td>
<td>CNN</td>
</tr>
<tr>
<td>5</td>
<td>US Senate</td>
<td>Sprint</td>
<td>CNN</td>
<td>Chick-fil-a</td>
</tr>
</tbody>
</table>

Participants should place the post-it notes on the 2X2 grid where they think the organization fits with respect to its Ethical Climate. Participants should think about, and be prepared to discuss, their rationale.

- Debrief: Look for some surprises and ask for explanations.
- Ask: What was easy/hard about this exercise?
- Ask: What additional information would you like to have about the organization to make a better assessment about the ethical climate?
- Ask: How hard was it to identify organizations with weak climates? Why?

Takeaways for participant:

- This is an exercise leaders can use with their units (e.g., companies, platoons) to help them understand the status of the ethical climates for the different units with regard to strength and direction.
- Leaders should be able to formulate an understanding of what places a unit in a specific quadrant and begin to think about how to get units into the upper right quadrant (positive and strong ethical climate).
Stories to Tell (See Appendix D for Additional Stories and Scenarios)

- **GEN Petraeus** said in his 2006 article in Military Review, “if leaders… wink at the mistreatment of detainees or at manhandling of citizens, for example, the result can be a sense in the unit that ‘anything goes.’ Nothing can be more destructive in an element than such a sense.” Although GEN Petraeus did not say it, his example illustrates that the leader is creating an ethical climate—a strong, but negative ethical climate that does not align with the higher Army standard. What do you think of GEN Petraeus’ statement? How does your opinion about the quality of his character influence your willingness to accept his words today?

- **Patton in North Africa:** On February 19, 1943, Field Marshal Erwin Rommel gave the order to attack in and around the Kassarine Pass in North Africa. It was the first significant meeting between the American and German forces in WWII. It was referred to as the time when the amateurs met the professionals, and the Americans were the amateurs. It did not go well for the Americans. Within minutes, the US lines were broken. By the night of Feb. 20th, the Americans were pulling back so quickly that they left their equipment in the field and ran. By nightfall on the 21st, the Germans had pushed so far and so fast that they had outrun their supplies and Rommel gave the order to fall back. Largely, he may have believed the Americans offered little resistance and could easily be routed again. By Feb. 25th, the Germans had left the Kassarine Pass (taking the American equipment as they left) and the Americans had reoccupied it.
  - What followed was a serious study of the battle and what went wrong. This was led by MG Omar Bradley. Many issues were identified, including leadership failures and discipline issues. Command Climate played a large role. On March 6th, MG George Patton was placed in command of II Corps. Changes were made immediately, including:
    - Fines for improper uniform, including helmets (even in the latrine), neckties for officers, daily shaving, and unpopular lace-up leggings.
    - Changes in the way units were deployed and decisions made.
  - Impact was quick: On March 15th 1943, Patton gave the order to attack, with very different results.

- **Black Hearts Story** (Appendix D and Slide 2)

Questions to Ask

- Taking command over units with different norms and standards than yours can be a challenge. Can someone share when this has happened?

- What other climates can affect unit behavior and performance?
  - [Possible answers: Climate for Safety, Climate for Performance, Learning Climate, Climate for Respect, Command Climate, etc. Almost any important aspect of an organization’s performance can have a “climate” associated with it.]
• When you take command over a unit, do Soldiers’ expectations instantly (and magically) align with yours?
  ○ [Answer: No, they typically learn your preferences over time.]

• If the unit is in strong agreement about their former commander’s preferences (e.g., strong/negative climate) and have not yet had the opportunity to know your full intent, how would the group climate move through this grid from top-left to top-right?

• Can the climate move directly from top-left to top-right?
  ○ [Answer: Very unlikely. That would mean that everyone instantly understands and accepts your preferences. In reality your preferences and expectations as a leader are understood by some unit members quickly, while for others it may take time. By nature, this change process may initially weaken the climate by creating disagreement among unit members. Similarly, the climate becomes more positive as unit members (one-by-one) begin to share your expectations. As more unit members share your expectations, the climate becomes stronger and more positive. This creates a “U” shape in the grid. The “U” drops deeper if this process takes longer, but remains shallow if everyone gets on the same page quickly.]

• What things can you do to get people more quickly aligned with your expectations for ethical behavior?

Background/Facilitation Notes

Climate is a measure of unit agreement and alignment around a set of standards, and not a measure of the subjective quality of those standards. Participants often initially confuse Positive Climate with their definition of morally “good” behavior. This is understandable and, to a degree, accurate in the context of evaluating the ethical climate of their units since they are key in setting the ethical standards for their unit. However, when judging other organizations that operate under a different set of moral standards, a climate can be strong and positive, reinforcing behaviors that we, as individuals, disagree with. An example often used to make this point is the Nazi SS who, by most accounts, maintained a strong and positive climate for a set of ethical standards the outside world and history would ultimately judge as reprehensible. The basic point is that whether a climate is determined as “positive” or “negative” depends on the standard by which the comparison is made. For example, Afghan military officers may have a different moral code than their United States counterparts, and thus, a U.S. officer may view the climate of an Afghan unit as corrupt (thus viewing it as a negative climate) while the Afghan officer may not see a problem (thus viewing it as a positive climate).
LESSON 1: ETHICAL CLIMATES

Slide 6 – Ethics Drive Results

**Timing: 3-5 Minutes**

The facilitator can present this content with limited discussion, if pressed for time.

**Points to Make**

Sun Tzu once said, “He will win whose army is animated by the same spirit throughout all its ranks.”

Climate is a powerful tool that can work for and against a leader.

Setting a strong, positive ethical climate is the ounce of prevention that can save a pound of cure.

Data supports the benefit of ethical climates.

- **CAPE:** A survey analyzed in 2010 by The Center for the Army Profession and Ethic - found that Army leaders who engaged in proactive ethical climate-setting strategies had command climates that were more ethical than leaders who did not engage in climate-setting strategies. Also, stronger ethical climates were associated with more effective and efficient mission performance than units with weaker ethical climates.

- **The Corporate World:** These results are not unique to the Army. Research in the private sector showed that 4 of every 5 employees would be willing to take a pay cut to work for an ethical company.
Exercises: None

Stories to Tell (See Appendix D for Additional Stories and Scenarios)

Smoke Jumpers: Shaping the climate is about recognizing the opportunity to clarify expectations and taking action at the right time. Timing is critical. One useful analogy is a common saying amongst smoke jumpers (those who jump out of planes to fight fires in the wilderness): “Every fire you jump out of a plane to fight at some point could have been put out with a half a cup of coffee. You just need to be at the right place at the right time.” As a leader, taking action at the right time requires maintaining awareness of the climate, recognizing opportunities to clarify expectations, and being proactive in shaping those expectations.

Questions to Ask

• How have you experienced the impact of a unit’s climate – ethical or another type of climate– on performance?

Background/Facilitation Notes: None
LESSON 2: ROLE OF LEADERSHIP IN SETTING AN ETHICAL CLIMATE

Slide 7 – Critical Role of Leaders in Shaping Climate

Timing: 3-5 Minutes

The facilitator can present this content with limited discussion. Depending on timing, this may be a good place to take a break in the instruction.

Points to Make

We’ve discussed the importance of ethical climates in influencing Soldier behavior and getting everyone on the same page.

The focus of the workshop will now turn to how leaders can influence the climate to achieve these ethical outcomes.

[Explain this is the underlying model referenced earlier.]

While much of the science of climate is based on perceptions (e.g., thinking ethically), we are going to focus as much or more on ethical behavior.

We will go over each of these components in more detail in the coming lessons. Traditionally, training focuses on the far right boxes—how each individual is responsible for his or her own ethical behavior and also on how to make ethical decisions.
For leaders, embedding ethical problem solving into all other training is key. **All** problem solving can have an ethical component. It is important to routinely challenge Soldiers to think about what is ethical. They should think about “What can I do?” and “What should I do?” Other questions include, “Who is being harmed by this? Who is being helped? What are the long-term consequences on others, the mission, and the Army?”

Assessing climate is much tougher than most people think. If you are not looking, you can incorrectly assume nothing is wrong. No news is not necessarily good news. Leaders need to acknowledge both good and bad and be willing to see it. This rational perspective can be easily lost (e.g., Sassaman\(^3\), Black Hearts, etc.) when immersed in irrational contexts. Staying objective when Soldiers are dying is very difficult and takes concerted thought and effort.

**Exercises:** None

**Examples to Provide**

To set an ethical climate, the leader first must influence at the unit level. The standards set by the unit should trickle down to impact the thoughts and actions of individual Soldiers. Think back to the beginning of this lesson, when we set the norms for how we would treat others in this workshop. We all agreed upon those norms and we all had knowledge of what those norms were. For example, that common understanding has influenced your individual behavior throughout this lesson. Your cell phone may have been ringing, but you didn’t answer it because that was not the agreed upon norm for this group. The same is true for how leaders can ultimately influence the decisions individual Soldiers make and their behavior that results from those decisions.

**Questions to Ask**

- What is missing from this model?

- Is one or more of the boxes more or less important than others?
  - If you were pressed for time as a leader, which of these boxes would you skip and why?
    - What impact might skipping these boxes have?

**Background/Facilitation Notes:** None

\(^3\) More information about LTC Sassaman appears in Appendix D.
LESSON 2: ROLE OF LEADERSHIP IN SETTING AN ETHICAL CLIMATE

Slide 8 – Introducing the ClimateCard

Timing: 3-5 Minutes

Presentation of the ClimateCard can go quickly. Discussing the value of stories and asking if a participant has a story to share can take a minute or two, however, and is valuable.

Points to Make

Story-based training is one of the oldest methods of passing on critical information.

• Dates back to the oral history traditions of the Hopi people and was a fundamental part of Roman military training.

• We use stories throughout this program AND we provide participants with opportunities to practice ethical climate shaping story telling.
  o It is both a method and an outcome of the CLIMATE program.

The ClimateCard is a reference guide that can help you proactively maintain an ethical command climate:

• Many of the ideas we discuss today are included for your reference when you return to your units.

• Several checklists and processes for:
  o Assessing the ethical climate of your unit
  o Leader self-assessment
  o Practical next steps for shaping/maintaining climate
[Slides in the workshop that appear in the ClimateCard have a logo in the bottom-right corner of the slide. You may wish to provide the ClimateCard at the end of the workshop if you do not use it throughout the workshop.]

**REFER TO CLIMATECARD!**

Introduce the ClimateCard as a practical guide for leaders to consult to help maintain an ethical climate. We will point to the usefulness of the ClimateCard throughout the workshop on slides with this icon in the lower right-hand corner.

**Exercises:** None

**Stories to Tell (See Appendix D for Additional Stories and Scenarios)**

Recount a personal experience you had in which a leader shaped an ethical climate (for better or for worse).

Ask participants to tell a story about how they have either shaped the climate in their unit or have seen it change based on some event or intervention.

- Keep this brief and ask them to focus on these things:
  - Context
  - Actions taken
  - Product or
  - Effect

  **Note:** This forms a useful acronym, CAPE. It may also be beneficial to write the acronym and meaning down on the board somewhere for trainees to reference later when thinking of examples.

- As they tell stories, ask follow-up questions to keep them on track.

Additional stories are located in Appendix D.

**Questions to Ask**

- Which section of the ClimateCard will provide the most value to you as a BN leader?
  - [Note to Instructor: Some useful sections are as follows:
    - Assessment: contains useful questions to consider for conducting informal climate assessments and evaluating your own climate-setting actions.
    - Role Modeling: illustrates what most people associate with ethical leaders.
    - Climate-Setting Exercise: a strategic discussion activity for use in down-time with your unit to help convey your expectations using past and hypothetical situations.]

**Background/Facilitation Notes**

Story-based training is likely the oldest method of imparting knowledge, first seen in pre-historic oral traditions of early civilizations. The military tradition of telling or reenacting stories to
illustrate a point in a way that is engaging and memorable extends back to the Roman Empire (Cullen & Fein, 2005). Stories are a powerful tool that simultaneously imparts cultural relevance, guides reflection, models behavior, and establishes outcome expectations, all in an engaging and evocative way (Simmons, 2001; Slater, 2002; Zemke, 1990). Thus, as we approach developing leaders’ climate-setting skills, stories are both a means and an outcome of the learning process.

Some researchers suggest that adults learn best from personal experiences and reflection (Kowalski & Vaught, 2002). Social cognitive scientists and learning theorists would add that adults can also learn by hearing, observing, and reflecting upon the experiences of others. Bandura (1986) referred to the process of learning by observing and reflecting on others’ experiences as vicarious learning. The concept of vicarious learning becomes more salient when considering that, in the military, many experiences shared by others are stories of close calls or situations in which Soldiers were injured or killed. Sharing such experiences is a part of the oral tradition of the military culture; it is hoped that new leaders will learn the lessons by hearing about them and through guided reflection. Nevertheless, personal experience remains a key part of learning and should be incorporated into the workshop whenever feasible.
LESSON 2: ROLE OF LEADERSHIP IN SETTING AN ETHICAL CLIMATE

Slide 9 – Activity: What Are Your Ethical Standards?

Timing: 5-10 Minutes

The story provided in the Exercises section, or one you or the participants provide, forms the foundation for participants to discuss different ways to establish their ethical standards and, ultimately, share their standards with others. If the discussion is productive, it may be beneficial to let it run for a bit. You may wish to cut off discussion if the focus becomes too fixated on specific story details rather than the main point of identifying and articulating ethical standards.

Points to Make

[Use the scenario on the following page to facilitate a discussion about the questions on this slide.

Through facilitation, keep this discussion focused on the ethical climate and the ethical standards in play.

- The actions of the Soldiers are driven by the climate of the unit.
- Note the impact that peers, the environment, AND the unit’s leader all have on the climate and, ultimately, the actions of the Soldiers.

This is a guided reflection exercise. Push them to reflect on how this scenario or case is similar to situations they face.
The questions used here on this slide can be used outside this exercise to help think through the ethical climate and factors impacting a leader’s ethical expectations in any situation.

Your standards shape how you decide “what is ethical.”

• These same standards guide the ethical climate you shape as a leader.

Multiple perspectives can drive your ethical standards.

• Note: Each of the five perspectives in the last box may be more relevant in some situations than in others.

Before articulating your ethical standards, you should take into consideration environmental constraints. What does the Army deem ethical vs. unethical? Also, the decisions that you make as a leader will be impacted by the decisions YOUR leaders make. For example, as a Battalion Commander, you need to consider what your Brigade Commander deems as appropriate ethical behavior. Similarly, your Company and Platoon Commanders will be influenced by what you do and the decisions you make. This does not mean your ethical standards and behavior will be an identical match with the ethical standards of the Brigade commander, but they need to be taken into consideration.

Exercises

Conduct the story (below) and discussion questions. Make sure to make participants think through the questions on the slide. A handout for this story can be found in Appendix D.

• Present SEAL Team Story: In the Hindu Kush mountains of Afghanistan’s Kunar province in 2005, a four-man Navy SEAL team was setting up an observation post, when they were approached by two local men, a 14-year old boy, and approximately 100 goats. The SEAL team had to decide what to do in this situation: Let them go and possibly compromise the SEALs’ location? Kill them to eliminate the threat? Hold them captive until the watch was over? What is the right thing to do here?

• Ask participants what they would do in this situation. As participants make their decisions, ask them to relate their answers back to the questions and bullets on the slides. Ask them specifically how their answers relate to their values and underlying beliefs about “what and who counts” in this situation (e.g., mission, locals, team, goats, etc.). Follow-up questions include:
  o Who is worthy of being considered for ethical treatment? Who really matters in this situation and why?
  o What’s your top priority here – what are you most concerned about? What does that tell you about what you value most?

• Inform the participants of what happened to the SEAL Team. The SEAL Team decided to let the people go. Soon after, Al Qaida fighters swarmed the area, and the SEAL team was

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outmanned. All died but one, who fell off a cliff and lived. Thanks to the care of locals, he survived and told this story. Follow-up questions include:
  o Did the team make the correct decision in letting the two go? Why or why not?
  o How does your answer inform you about what you care about and what your idea of right and wrong looks like? Do you think your Soldiers would agree with you? What about your leader? What about the local population?

**Stories to Tell (See Appendix D for Additional Stories and Scenarios)**

Ask participants if they have ever had to make a similar sort of decision like the one in the exercise. Ask them what their decision says about what they value.

**Questions to Ask:** Included in Exercises section.

**Additional Background/Facilitation Notes**

Discussion can be done as a large group, or these questions can be answered in small groups of 3-4 who later report back to the larger group. If you decide to break into small groups, it will take more time; however, you may get better participation.

The five perspectives in the last box are directly related to the “five filters” listed below. These can provide a transition point between the exercise and the content presented in the next few slides.

Five Filters of Ethical Standards aligned with the questions on the slide:
  1. Utilitarian Filter (produce greatest good and least harm)
  2. Rights Filter (protect and respect the moral rights of all)
  3. Fairness Filter (treat others fairly, if not equally)
  4. Common Good Filter (what’s best for the whole community)
  5. Virtue Filter (fulfilling your highest potential)

More information about the 5 Filters can be found at:
http://www.scu.edu/ethics/practicing/decision/framework.html
LESSON 2: ROLE OF LEADERSHIP IN SETTING AN ETHICAL CLIMATE

Slide 10 – Shaping Climate

Timing: 3-4 Minutes

Timing includes both facilitator presentation and opportunities for discussion. If the discussion is productive, it might be worthwhile to allow it to go beyond the allotted time.

Points to Make

All of the factors on the slide influence climate and ethical behavior.

Peer influence is driven by:
- The number of interactions with peers
- The strength of interactions with peers

Examples of environmental factors:
- Deployment
- Political
- Cultural
- Collect additional factors from the participants

*Explain that the leader can sometimes influence peer interactions and the environmental conditions, so there are both direct and indirect ways the leader shapes ethical climate.*
REFER TO CLIMATECARD

See the “Influencing Ethical Climate” section of the ClimateCard for more about how leaders, peers, and conditions affect the individual Soldier. When possible, leaders should find ways to positively shape conditions and peer interactions.

**Exercises:** None

**Questions to Ask**

- What is an example of how peers influence the behavior of a Soldier in the unit? Think of both positive and negative examples.
- How can a leader impact the peer interactions in a productive way to enhance ethical climate?
- What can the leader do to help mitigate problems caused by tough environmental factors?
- How do peer influence and environmental conditions come together to influence leader actions?
- What other factors impact how a leader sets an ethical climate?
- What other types of behaviors should a leader engage in to shape an ethical climate?
  - *Note: Gather some feedback on these questions and group them according to the four ethical climate setting strategies: (1) assessing unit climate, (2) modeling ethical behavior, (3) articulating ethical standards, and (4) enforcing ethical standards.*
- Who are the most influential people in each of your companies? That is, which Soldiers or officers have the most impact on how the other Soldiers think or act? Who has the tightest bonds? Note that the most “influential” people may or may not be the individuals in formal leadership roles.

**Stories to Tell (See Appendix D for Additional Stories and Scenarios)**

- Use your own personal examples if possible.
- Ask participants to share examples of peer pressure or environmental conditions. Look for both positive and negative examples.
- LTC Sassaman took control of Fourth Infantry Division's 1-8 BN in June 2003. They were not prepared for nation-building or guerilla warfare. Sassaman noted that, "It's like Jekyll and Hyde out here. By day, we're putting on a happy face. By night, we are hunting down and killing our enemies." They worked hard to bring Balad City Council to life, teaching them the ways of democracy. With no manuals for setting up a local government, they set up a Balad Police Department using a police operations manual one of his Reservists brought along from a small town in Maine. It worked pretty well. Clearly the situation required adaptability and an ever changing set of ethical standards as new challenges arose. What factors could influence the unit climate in this situation? What should the leader be doing to create and sustain and strong positive ethical climate?

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Additional examples of the power of groups:
Numerous psychology experiments have demonstrated the power of groups to influence individuals. In 1968, social psychologists Latane and Darley\(^6\) conducted one such investigation. In their experiment, a research subject was placed alone in a room, in a room with 2 “confederates” who pretended to be research subjects but were actually privy to the details of the experiment, or a group with two other research subjects. Research subjects were told they were participating in research about university life. Research subjects and confederates were given questionnaires to complete as they sat in a waiting room. When subjects got to page 2 of their questionnaire, smoke began to fill the room through a vent in the wall. At one point, the smoke became so thick that it obscured vision—the smoke was definitely noticeable. How did research subjects react?

- In the situation in which the research subject was in the waiting room alone, the subject would quickly notice the smoke, get startled, hesitate, and then investigate the smoke. Ultimately, the subject would leave the room and report the smoke, usually within 2 minutes of noticing it.
- What about the situation in which there were 3 research subjects in the room? Out of 8 groups of 3 research subjects, only 1 person reported the smoke within the first 4 minutes it was noticed! Only 3 of the 8 groups reported the smoke at all. Five groups stayed in the room as the smoke flooded in, and stayed in the smoke-filled room for the duration of the experiment.
- And the situation in which one research participant sat in the room with two confederates who were “in on the joke”? In this situation, two of the individuals in the room knew that smoke would flood the room and their role was to briefly acknowledge the smoke, shrug their shoulders, and continue working on their questionnaires. In this situation, only one research subject out of 10 groups reported the smoke. The other nine research subjects waved the smoke from their eyes, opened the window, and coughed, but they stayed in the room and did not report the smoke.

Conclusion: Many times people look to others in the group to see what to do under conditions of uncertainty. A few people may go against the group, but this experiment indicates that people would be willing to endure a potentially hazardous and dangerous condition just to conform to what other members of the group are doing. People actually behaved more responsible in the condition in which they were by themselves as opposed to being in a group.

- TV laugh tracks are often added to sitcoms. We are cued to laugh when we think other people are doing it. When nobody is around, we often do not laugh out loud.

Background/Facilitation Notes
As the participants list actions they can take to influence ethical climate, write them on the whiteboard or flip chart. When moving to the next Slide, work through the examples, aligning them with Behavioral Categories.

Note: Try to point out how behaviors can fit in multiple categories and discuss why.

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LESSON 2: ROLE OF LEADERSHIP IN SETTING AN ETHICAL CLIMATE

Slide 11 – Activity: Reasons for an Ethical Climate

Timing: 5-7 Minutes

This activity helps participants internalize why a positive ethical climate is important. Discussion can take some time and, as facilitator, you must balance the value of additional discussion versus timing. If you have a large group, the discussion can take place at tables or in breakout groups.

Points to Make

There are multiple reasons to establish a positive ethical climate. Let’s examine a few of them.

Exercises

Write down your top 3 reasons for creating a positive ethical climate.

- Give students time to write 3 reasons

Now that you have written 3 reasons down, I want you to scratch off the one that is least important on the list.

- Let students scratch off one reason

Out of the two remaining reasons, scratch off the one that matters to you less.

- Let students scratch off a second reason
The one reason remaining is the one you view as the single most important reason to establish a positive ethical climate. Let’s go around the room and share our reasons.

Knowing the one reason that is highest priority for you helps focus all your other actions going forward. It also helps you see what you value most.

This can be a helpful exercise to use with leaders in your own units to help them see what they value and to align their interests with your interests. You can do this exercise with other topics, such as asking individuals to list their top priorities for their unit or what their unit’s top three accomplishments were for the past year. Then lead a discussion of what values underlie their choices and explore if those values are aligned with your values and expectations.

**Questions to Ask**

- What was your single most important Army, Unit, or individual reason for building an ethical climate?
- What does your top choice say about what you value? Does this match what you thought you valued most?
- Did you find it tough to drop any of the items? Why or why not? If there was a hard choice of what to drop, what does that item say about what you value? Can the values of your first choice and second choice ever conflict with one another?
- Effectively, how many priorities or reasons are helpful? When do they become overwhelming?

**Stories to Tell (See Appendix D for Additional Stories and Scenarios)**

General Sir John Winthrop Hackett stated, "A man can be selfish, cowardly, disloyal, false, fleeting, perjured, and morally corrupt in a wide variety of other ways and still be outstandingly good in pursuits in which other imperatives bear than those upon the fighting man. He can be a superb creative artist, for example, or a scientist in the very top flight and still be a very bad man. What the bad man cannot do is be a good sailor, or Soldier, or airman. Military institutions thus form a repository of moral resource, which should always be a source of strength within the state."

**Background/Facilitation Notes: None**
LESSON 3: ASSESSING THE ETHICAL CLIMATE

Slide 12 – Assessing Unit Ethical Climate

Timing: 3-4 Minutes

This includes both facilitator presentation and opportunities for discussion. If discussion is productive, you might want to go beyond the allotted time.

Points to Make

This lesson is focused on understanding how you, as a leader, can get a good grasp on what the ethical climate of your unit is.

Lesson Objective

- Determine the quality of the ethical climate.
- Understand how leaders perceive ethical climates.
- Utilize methods to assess the ethical climate.
- Continually assess climate and revise ethical leadership strategies, as needed.

Exercises: None

Questions to Ask

- How do you know what the ethical climate is like in your unit?
- What can you look for?
• What type of information can you seek out?

**Stories to Tell (See Appendix D for Additional Stories and Scenarios)**

Revisit the LTC Sassaman case (see slide 10 and Appendix D). During the investigation and trial, LTC Sassaman explained that he did not know his Soldiers were employing extreme non-lethal methods, like “getting people wet.” If he had, he contends he would not have condoned it and would have done something about it. To a degree in this case, hindsight is 20/20, and we often hear after an ethical mishap leaders saying, “If I had known, I would have acted.”

From an ethical climate perspective, what signs did LTC Sassaman miss that might have pointed to the Soldiers’ tactics being viewed as appropriate and acceptable by his unit leaders?

**Background/Facilitation Notes**

Prior to developing plans to shape the ethical climate, it is important for the leader to assess the norms and shared expectations for ethical behavior among unit members. This is particularly relevant to Battalion Commanders, who step into command and inherit a unit with an existing set of ethical standards. Assessing the current norms can provide a comparison between unit members’ ethical expectations and those held by the leader. Such an assessment enables the leader to plan a strategy for successfully implementing a preferred set of ethical standards for guiding ethical behavior. In this effort, the leader should assess not only the quality of the climate (i.e., do unit members’ perceptions align with leader expectations?), but the strength of the group-level norms that guide those behaviors (i.e., to what extent do unit members share a common understanding of the standards?).

The leader can use several potential methods to assess the ethical climate of the unit. More formal methods, such as a climate survey issued to all unit members, can provide information regarding each unit member’s perception of the current ethical climate. Additional statistical analysis from these surveys, using the standard deviations among unit member responses, can indicate the strength of the climate. Statistically speaking, if everyone provides identical ratings, then the climate is strong (even if it is in a less than desirable direction). If everyone provides different ratings on the survey, then the climate is weak since everyone has a different understanding of what is occurring in the unit. However, if statistical analysis is not possible, informal methods—such as discussions with individual Soldiers, the leader’s observations of the unit’s behavior, and receiving direct input from unit members—can all provide information about the quality and strength of the unit ethical climate. All information revealed from these assessments can inform the new leader of the changes that will be necessary to implement and enforce a new set of tactics for shaping climate.

Assessing climate is a continuous process, and leaders should continue to monitor the strength and level of the ethical climate even after initially announcing expectations to the unit. These continuous assessments provide feedback about the leader’s effectiveness in modeling, articulating, and enforcing standards, and may reveal areas where changes in tactics are needed.
LESSON 3: ASSESSING THE ETHICAL CLIMATE

Slide 13 – Methods to Assess Climate

Timing: 3-4 Minutes

This includes both facilitator presentation and opportunities for discussion. If the discussion is productive, it could go beyond the allotted time.

Points to Make

Formal assessments are made with consent from the larger Army. However, informal assessments also can be conducted by the leader at any time.

Formal Assessments: Efforts by the leader to pull/solicit climate-related information from others; others are fully aware that this content is of interest to the leader.

Observations (passive and proactive): Collection of climate-related information by directly observing unit members or vicariously learning through observations of others.

- Direct observation
- Third-party observation

Refer to ClimateCard

See the “Assessment” section (Pg. 10) of the ClimateCard for practical ways in which you can both formally and informally assess the ethical climate in the unit. The methods in the ClimateCard can help you determine when it is time to take
action.

*Exercises*

This exercise is optional. If applicable for your particular audience, you can have students either assess the climate of their unit (page 10 of ClimateCard or page C-11 of this manual) or conduct a self-assessment of their leader behaviors (page 11 of ClimateCard or page C-12 of this manual). You can then lead a discussion about their thoughts on their unit or self-assessment or ask them to keep their assessment results in mind as they go through the rest of the workshop.

If students do the unit assessment exercise (page C-11), you can ask them where they think their unit’s climate fits on the climate grid (i.e., strong positive climate, strong negative climate, weak positive climate, weak negative climate). Strong climates are characterized by a majority of unit members feeling the same way about different aspects of the unit and weak climates are characterized by disagreement. For example, Item 6 states, “Do unit members think they are able to express their opinions?” If the student believes almost everyone in the unit would answer “yes” to that question, that is an indicator of a strong positive climate. If the student believes that some unit members would answer “yes” and some would answer “no,” then the lack of agreement among unit members is an indicator that the climate may be weak.

Conducting this exercise could add 10-20 minutes to the workshop depending on discussion, but may be worthwhile to cover this material at the expense of other material.

*Questions to Ask*

- Have each member of the group choose a different method to assess climate
  - Interview
  - Surveys
  - Direct Observations
  - Third-Party Observations
- Describe how you have done this or could do this in your unit
  - Have individuals share with the group. Ask them to use CAPE (Context, Action, Product or Effect) when sharing their experiences.

*Stories to Tell (See Appendix D for Additional Stories and Scenarios)*

- Use your own personal experiences if possible.
- Sun Tzu indicated, “The general that harkens to wise counsel and acts upon it will conquer.”
- “The skillful employer of men [general] will employ the wise man, the brave man, the covetous man, and the stupid man. For the wise man delights in establishing his merit, the brave man likes to show his courage in action, the covetous man is quick at seizing advantage, and the stupid man has no fear of death.” Su-ma Ch’ien, 100 B.C., adding to the works of Sun Tzu.
Background/Facilitation Notes

Through use of interview and observation techniques, leaders can assess the status of the ethical climate within their units. Leaders can infer climate quality through direct interaction with their subordinates, indirect observation of their subordinates, and third-party observation and assessment of their subordinates’ behaviors. Through continuous climate assessment, leaders can implicitly catalogue and track their Soldiers’ behaviors from time point to time point, creating an ongoing understanding of their Soldiers’ adherence to the existing ethical climate. Additionally, leaders would be well-served to use these behavioral observations to determine whether they need to revise their own actions and behaviors, as the leader’s actions are catalysts for the formation of group ethical climate. It is the continual process of assessment, revision, and reinstitution of leader inputs that allow leaders to maintain an ethical climate within their units.
LESSON 3: ASSESSING THE ETHICAL CLIMATE

Slide 14 – Observe, Assess, and Evaluate Climate

Timing: 3-4 Minutes

This includes both facilitator presentation and opportunities for discussion. If the discussion is productive, this could be a point to allow it to go beyond the allotted time.

Points to Make

This chart provides some prescriptive suggestions for different actions a leader can take, depending on his or her assessment of the unit’s ethical climate.

At the point where the leader believes he or she has observed enough Soldier behavior to determine the unit’s ethical climate, the leader can then make an assessment. The assessment of the ethical climate should take into account the ethical standard the leader originally set or communicated to the unit.

If the leader’s evaluation of unit ethical climate is positive, the leader can then continue the current strategies and behaviors for promoting ethical behavior to the Soldiers. In other words, the leader should remain consistent and continue to communicate his/her ethical standards to keep the climate positive and strong. If the leader perceives a negative ethical climate, then action needs to be taken in some form. At this point, leaders can reexamine their tactics and revise their techniques for achieving expectations for ethical behavior. Once the leader has reexamined his or her leader tactics and techniques, the leader will need to re-communicate these
ethical expectations to unit members. In order to expect unit members to behave ethically, the ethical message needs to be clear and consistent.

Bottom line—leaders always need to communicate their expectations for ethical behavior, even if the climate is exactly where the leader wants it to be. If the climate is negative, additional strategies may be required to align Soldiers perceptions and beliefs about ethical standards with the leader’s expectations.

REFER TO CLIMATECARD
Once you have a good read on the unit climate, what do you focus on next? Refer to this graphic in the “Assessment” section of the ClimateCard for how to make an impact on unit ethical behavior while at various levels of ethical climate.

Exercises: None, unless you want students to tie findings from the unit assessment in Slide 13’s optional exercise to placement on the grid and recommended courses of action.

Questions to Ask

- Recall in Lesson 1 that we discussed the path a unit takes to get to the “High and Right” quadrant.
  - Are there times when a climate in the “High and Right” quadrant is not desirable?
    - This is a good place to bring up the issue of nested climates again. For example, if all Soldiers are aligned with the leader’s vision, but the leader’s vision is not aligned with the greater Army’s vision, then the leader may assess the climate as being strong and positive, when people from the outside looking in will view the climate as being strong and negative.
  - Can you envision a time when a unit is on the line between quadrants? What would you do then?
- Where would you place the ethical climate of this workshop?
  - Why?

Stories to Tell (See Appendix D for Additional Stories and More Detail on LTC Sassaman)

Use stories from your personal experience if possible.

On the next page is an excerpt from a New York Times article called the “The Fall of the Warrior King” by Dexter Filkins (2005, October 23). It is highly recommended that instructors read the full article: http://www.nytimes.com/2005/10/23/magazine/23sassaman.html?_r=3&pagewanted=all. This story is an excellent example of how issues in an ethical climate translate into unethical behavior by Soldiers.
At the time, the American Soldiers were under strict instructions to detain anyone out after curfew, but they usually allowed themselves a little leeway. When, earlier that evening, a carload of Iraqis passed carrying a pregnant woman, the Soldiers waved it through. Sgt. Carl Ironeyes, the squad's leader, told Marwan and Zaydoon they could go; he gave them as stern a warning as he could manage without knowing any Arabic. The Iraqis got into their truck and drove off.

But as the two men pulled away, an order came over the radio from the platoon's officer, Lt. Jack Saville, still nearby in his Bradley personnel carrier, to stop the men again and detain them. The Soldiers flagged down the truck once more and, according to procedure, cuffed the hands of Marwan and Zaydoon and put them on the floor of their Bradley. The Soldiers from Alpha Company's first platoon did not take Marwan and Zaydoon to their base, as they were supposed to. Instead, Saville ordered the platoon to take a detour, to a bridge that runs atop the Tharthar Dam, a mammoth steel barrier that spans the Tigris River just outside of town. Marwan and Zaydoon were ordered out of the Bradleys, and the Soldiers cut their cuffs. The water lay 70 feet below.

"Are you crazy?" Staff Sgt. Tracy Perkins asked Saville.

After some discussion, Saville agreed to a different spot, a place on the riverbank just beneath the bridge. He ordered a squad of five Soldiers to take Marwan and Zaydoon down the trail that led from the road past a pump house to the river bank. This time, the drop was about 10 feet. The moon was high; the water, green and dark.

Questions to ask:
- What is going on in the ethical climate here?
- Why are people making the decisions they are making?
- What conditions would need to be in place to help people make better ethical choices?

Background/Facilitation Notes: None
LESSON 4: MODELING ETHICAL BEHAVIOR

Slide 15 – Modeling Ethical Behavior

Timing: 8-10 Minutes

This includes both facilitator presentation and opportunities for discussion. If the discussion is productive, this could be a place to allow it to go beyond the allotted time.

Points to Make

One of the most important things you can do to showcase your ethical standards to your Soldiers is to lead by example and model those standards.

This lesson will teach you how to:

• Identify characteristics of an ethical role model.
• Demonstrate characteristics of an ethical leader.

“What Got You Here Won’t Get You There” is the title of Marshal Goldsmith’s 2007 book, which targets helping successful people become even more successful.

• A key point made in Marshal’s book, pulled from Peter Drucker, is that “We don’t spend enough time teaching leaders what to stop. Half the leaders I have met don’t need to learn what to do. They need to learn what to stop.”
Exercises

Have each participant take out a piece of paper, draw a line down the middle and label one column “Things to Start,” and the other “Things to Stop.” In the “Things to Start” column, instruct participants to write down things they should begin doing as a leader to improve or maintain the ethical climate in their units. In the “Things to Stop” column, instruct participants to write down things they should stop doing as a leader to improve or maintain the ethical climate in their units. “Things to stop” should not only include behavior they wish to prevent in their subordinates, but should include behaviors that the participant personally demonstrates. For example, the participant might indicate that he or she should stop procrastinating with respect to giving negative feedback to a subordinate for minor infractions.

Have students begin their lists now and instruct them to add to it throughout the course. If desired and time is permitting at the end of the workshop, you can facilitate a dialog about how the items on the list contribute to or derail ethical climate. Relate the items back to the climate setting behaviors discussed in this workshop: assessing climate, modeling behavior, articulating standards, and enforcing standards. You can also ask what obstacles or barriers exist in the current environment that prevent stopping and starting certain activities on the list. You can also ask them to prioritize the list and then ask them what values are represented by each of the activities in the “start” and “stop” columns. Another thing you might do is to ask participants to take the items on their “Stop” list and convert the item into a “Start” behavior. For example, if the participant indicated he or she wanted to stop procrastinating with regard to giving negative feedback, the leader can adjust that statement to read “When minor infractions occur, provide feedback to the individual at the next appropriate opportunity.”

Questions to Ask

- How many stories have you heard about actions someone did not take?
- Can you give an example of a good decision not to act?
- What was a time where you set the example of "doing the right thing" or saw someone else do a good job setting an example?

Stories to Tell (See Appendix D for Additional Stories and Scenarios)

- If possible, relate a story from your personal experience.
- See Appendix D for other possible stories or scenarios.

Background/Facilitation Notes

In addition to treating Soldiers fairly, ethical leaders can influence the values of their Soldiers by engaging in transformational interpersonal behaviors. More specifically, Weaver et al. (2005) suggest that leaders who foster effective ethical climates are those who are caring and show concern and compassion, support and take responsibility for others, value and maintain relationships, are hardworking and helpful, accentuate the positive, and accept others’ failures. When interacting with Soldiers, ethical role models who demonstrate genuine concern for others’
well-being are described as understanding and altruistic. These leaders stand by others and provide support at times when those others are being pressured or challenged. Ethical role models, who foster positive relationships with Soldiers, are able to engage in constructive disagreements with others, while maintaining their good graces. Leaders can also have a positive effect on Soldiers by working diligently and accentuating the positive when aiding others. It is also important for leaders to accentuate the positive when others fail. Accepting failure and turning it into a learning experience will not only inspire each Soldier, but can also strengthen the ethical climate if others in the organization were witness to the failure. By treating Soldiers fairly and engaging them interpersonally, the leader can achieve the following results in making their unit’s collective identity most salient (Grojean et al., 2004):
  o Identification with ethical norms becomes a greater part of the Soldier’s self-concept.
  o The values and goals of the leader are internalized.
  o Soldiers are increasingly committed to those values and goals.
  o Soldiers become more interested in achieving the common good.
LESSON 4: MODELING ETHICAL BEHAVIOR

Slide 16 – The Importance of Modeling

Timing: 4-5 Minutes

This includes both facilitator presentation and opportunities for discussion. If the discussion is productive, you might want to allow it to go beyond the allotted time.

Points to Make

A leader needs to model ethical behavior in order to get his or her Soldiers to engage in ethical behavior. As leaders engage in behavior that represents their ethical standards, unit members will be more likely to adopt these ethical standards as their own and will become committed to showcasing these same values in their behavior.

Setting an ethical climate through modeling can be thought of in steps:

1. A leader must internalize his/her ethical standards and demonstrate them through behavior. When ethical standards are internalized, a leader’s actions will be genuine and authentic.
2. If a leader’s actions are perceived as genuine and authentic by his or her Soldiers, then the Soldiers will be more likely to start to adopt these ethical standards as their own and also internalize them as part of their identity.

Ethical leaders reinforce positive behaviors through rewards and eliminate negative behaviors through punishments, but they also spend a great deal of time modeling ethical behavior,
conveying an ethical vision and helping subordinates incorporate ethical standards as part of their professional identity, challenging subordinates to think ethically, and creating a community of respect and value by treating others respectfully and considerately.

**Exercises:** None

**Questions to Ask**

- Think back to the time when you first joined the Army and when you first started to take pride in the Army Values or began to feel a strong sense of Army identity. To what extent was a leader or role model involved in your feelings of pride, identification, or commitment?

**Stories to Tell (See Appendix D for Additional Stories and Scenarios)**

- Use an example from your own experience if possible.
- In 1914 Sir Ernest Shackleton\(^7\) left England in command of the Endurance with 26 sailors, photographers, and explorers bound for the South Pole. What followed was a story of adventure, tragedy, and survival in some of the harshest conditions on the planet. Over the next 18 months, the Endurance would become trapped and eventually crushed by the ice. Shackleton and his crew would abandon their ship, drag lifeboats across miles of ice, and eventually be rescued after what has been called a miraculous survival. “Shackleton was never too big to ask for advice… Never too big to ask anybody what they thought of anything, including the lower deck,” noted Lionel Greenstreet, first mate on the Endurance. Several men aboard the Endurance noted one of the keys to Shackleton’s success was his ability to lead by example. Specifically, he always put his team’s needs before his own; he was visible in the workplace, he stayed calm in crisis, modeling the behavior he wanted his men to follow; he kept his plans flexible. There are many lessons in leadership we can draw from Shackleton, and at the core is leading by example.

**Background/Facilitation Notes:** None

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LESSON 4: MODELING ETHICAL BEHAVIOR

Slide 17 – Activity: What Makes an Ethical Leader?

**Timing: 5-10 Minutes**

This activity takes between 5-10 minutes. If one person has a particularly good example to share, it can take the bulk of the time, or several people can share. You may consider this to be a really important section for participants to focus on, so you can extend the time if needed.

**Points to Make**

Soldiers will make assumptions about the ethical character of a leader based on how that leader behaves.

**Exercise 1**

- Have participants complete all the questions listed on the slide.
- After they have answered the questions, lead a discussion about their answers.
- Have participants think about what the reasons they selected show them about what they believe “ethical” to be.
- Ask them how they personally put those ethical beliefs into practice as a leader.

- As discussed on the previous slide, a leader needs to be authentic when showcasing ethical standards and behavior. If a leader does not appear authentic, subordinates may make negative inferences about the leader’s character.
• Help workshop participants understand that subordinates’ perceptions are the key, not their perceptions about themselves, and link the subordinates’ perceptions to the actual behaviors of the leader.

**Exercise 2 (Do this right before you go to the next slide)**

• On a white board, create 2 columns: Traits and Behaviors
• Ask participants to list traits and characteristics of leaders they believe are ethical (e.g., reliable, open, honest, integrity, caring, moral, respects others, etc.)
• After participants have finished generating a list of the qualities of an ethical leader, ask them to list a behavior that lets them know a leader embodies that characteristic. For example, a leader who is caring may show he or she is caring by asking his or her subordinates how they are doing.
• Click to the next slide and then see how the list generated by participants compares to the list generated through research on ethical leaders.

**REFER TO CLIMATECARD**

The “Role Modeling” section of the ClimateCard offers a great opportunity and plenty of space for you to reflect on what you consider to be an “ethical leader,” and how you can incorporate those characteristics for building an ethical climate.

**Questions to Ask**

• What behaviors do ethical leaders engage in?
• What does a leader do that leads you to believe that he or she is an ethical or moral person?
  ○ Is that what you do as a leader?
• What can you learn about that leader by observing those behaviors? In other words, what traits do you think that leader possesses that help him/her engage in that behavior?
• Can you think of negative behaviors you have observed in unethical leaders?
  ○ NOTE: You may hear participants offering “Not behaving ethically...” in response to this. Push them to articulate what it is about the leader’s behavior is not ethical.
• How do your Soldiers know that you are an ethical person? (Press them on the behaviors they demonstrate that might convey they are ethical to their Soldiers.)

**Stories to Tell (See Appendix D for Additional Stories and Scenarios)**

If participants are struggling to think of ethical or unethical leaders from their own lives, have them consider LTG Patton (see Slide 2 and Appendix D), GEN Petraeus, or movie characters (e.g., Captain Picard from Star Trek, the boss from Office Space, etc.).

**Background/Facilitation Notes:** None
LESSON 4: MODELING ETHICAL BEHAVIOR

Slide 18 – Characteristics of Ethical Leaders

Timing: 4-5 Minutes

If your class seems like they already get the concept that a Soldier’s perception of them matters and you are running short of time, skip this slide. This includes both facilitator presentation and opportunities for discussion. If the discussion is productive, this could be a point to allow it to go beyond the allotted time.

Points to Make

When seeking to repair or build trust, focus on your Soldiers’ perceptions, not your intentions.
- What Soldiers perceive and believe may not be related to what you intend. A Soldiers’ decision to trust you is based on what he or she believes about you, not what you believe about yourself.

Match the class’s list generated in the previous exercise to the list on this slide. Note those traits or behaviors that the class offered that are NOT on the list. Highlight their creativity.
- These findings are based on scientific research.
- Also, the list on the left does not line up with the list on the right number for number. These are general behaviors that ethical leaders engage in and general perceptions that others have.

These characteristics show the most common characteristics of ethical leaders, as shown through research.
Emphasize the following: "You all know this list, but the key here is: Do you exhibit these behaviors as a consistent part of your leadership style? Only you can know the answer. How many of these would you check off when evaluating yourself? How many of these would your subordinates check off if they were evaluating you?"

**REFER TO CLIMATECARD**
Refer to the “Role Modeling” section of the ClimateCard to think more about leader actions and how they are perceived. Also, see the Leader Self-Assessment in the “Assessment” section to see how you engage in climate-setting behaviors.

**Exercises:** None

**Questions to Ask**

- How often might others misinterpret the intentions behind a leader’s behavior?
  - How would a leader know if his or her actions are being misinterpreted?
- Can you share a time when your actions were misinterpreted by others and led to unexpected outcomes?

**Stories to Tell (See Appendix D for Additional Stories and Scenarios)**

- If possible, share an example from your own life.
- Ask participants for examples of when one of their behaviors was misinterpreted.
- Revisit the Sun Tzu story from Lesson 2 (also see Appendix D). How would he address the importance of leaders’ actions and the perceptions of the followers?

**Background/Facilitation Notes**

Prepare a personal story describing a time that your actions were misinterpreted by others. If you can’t think of one, ask your spouse or another close source for a story about you.
LESSON 5: COMMUNICATING ETHICAL STANDARDS

Slide 19 – Articulating Ethical Standards

Timing: 4-5 Minutes

This includes both facilitator presentation and opportunities for discussion. If discussion is productive, you can allow it to go beyond the allotted time.

Points to Make

Articulating ethical standards is extremely important for battalion-level leaders. More junior-level leaders, like platoon leaders, are typically closer in proximity to their units, making it easier for Soldiers to observe the behaviors that are modeled by that leader. However, at the higher echelons, you may not be in direct contact on a daily basis with many of the Soldiers under your command. Therefore, you must clearly communicate and articulate your ethical standards so that they can get passed down to the lowest levels.

In asymmetric warfare, prior to engagements, very little can be scripted to communicate ethical standards for every possible situation. Guiding the warfighter’s actions in the field requires clarifying intent versus simple example/response pairings.

- When sharing intent, it is key to clarify the assumptions, inferences, and key data educating the decision process, as well as the actual decision process.

Exercises: None
Questions to Ask

- What are the biggest barriers to communication that you confront when shaping the climate within your units?
- How do you ensure your ethical standards are being clearly communicated within nested units or teams you do not directly interact with on a regular basis? For example, how would you ensure that a platoon shares your ethical standards?

Stories to Tell (See Appendix D for Additional Stories and Scenarios)

- Use a story from your own experience if possible.
- “If words of command are not clear and distinct, if orders are not thoroughly understood, then the general is to blame.” Sun Tzu

Background/Facilitation Notes: None
LESSON 5: COMMUNICATING ETHICAL STANDARDS

Slide 20 – Embedding Your Ethical Standards

**Timing: 4-5 Minutes**

This includes both facilitator presentation and opportunities for discussion. If the discussion is productive, this could be a point to allow it to go beyond the allotted time.

**Points to Make**

Adjust your message to your audience. Their perceptions are the reality they will act upon, so it is in your best interest to ensure that their perceptions are in line with your vision. Listening and asking the right questions can have a greater impact on the message your Soldiers receive than what you say does.

Balance advocacy with inquiry.
- Nobody learned anything while they were talking.

Clarifying the questions you receive from others can be very powerful. Most leaders first think when asked a question that they should immediately answer. Clarifying a question posed of you before answering the question has two benefits:
  1. It validates the person asking the question and shows you care and are interested.
  2. It ensures you are answering the underlying question that is really being asked. That is, it helps you answer the true intent of their question versus your initial perception of their question’s intent.
Example of clarifying a question: Could you tell me a little more by what you mean by X?

Training can occur formally and informally. Create a training plan with supports in place to ensure your ethical climate messages are sustained and updated over time.

The more frequently you discuss ethical standards with unit members, the more likely they are aligned and used when making decisions to act.

**REFER TO CLIMATECARD**

Getting others to align with your expectations requires open communication about what’s right and what’s wrong… and why. The “Articulating Standards” section lists ways to motivate Soldiers to share your expectations.

**Exercises:** None

**Questions to Ask**

- What assumptions are you making right now about the ethical climate in your unit that you have not confirmed?
  - What if you are wrong?
  - What can you do to ensure your assumptions are correct? (*Ask for specific actions for specific assumptions*)
- When is talking not enough to get your message across?
  - When is talking too much to get your message across?

**Stories to Tell (See Also Appendix D for Additional Stories and Scenarios)**

- Use a personal example about communication if you have one.
- Words don’t always mean the same thing. In the UK, saying someone has “Bottle” means they have courage. Here, it may mean they have a container to carry liquid. Similarly, there are regional differences in expressions here in the United States. For example, saying “I don’t care to do something” in the South can mean “It is no problem, and I would be happy to do that for you.” In the North, the same expression likely means “I would rather not do that.”

**Background/Facilitation Notes:** None
LESSON 5: COMMUNICATING ETHICAL STANDARDS

Slide 21 – Revising Ethical Standards Over Time

**Timing: 3-4 Minutes**

If timing is short, skip this slide. This includes both facilitator presentation and opportunities for discussion. However, if the discussion is productive, you might wish to go beyond the allotted time.

**Points to Make**

*Discuss the following steps:* Develop standards → Articulate standards → Assess the shared perceptions of your standards → Revise how you convey your ethical standards, as needed. Repeat articulation, etc.

- **Note:** Refer to Lesson 3 for some ideas about how you can test shared perceptions of your standards through assessments of the ethical climate.

Just like assessment was not a once-and-done task, articulating and updating your ethical standards to your unit is an ongoing effort.

As you learn more, and as the context in which your units are working evolves, so too will your discussion of ethical standards. You need to reassess your own standards from time to time, see if your actions are consistent with what you hope to convey, and then revisit those standards with your Soldiers.
Could you imagine what would happen if you got married and your wedding day was the last time you told your spouse you loved him or her? Where would your marriage be a year from that day? Five years from that day? Are the ways that you show love the same 10 years into the marriage as they are 2 years into the marriage? Discussion of your ethical standards is an ongoing conversation that occurs through both word and deed and evolves as the needs of your units and subordinates change.

Creating and deploying ongoing forums for discussion and adapting your ethical message helps ensure your team members remain aligned with you through the dynamic flow of asymmetric warfare.

Refer to ClimateCard
See the “Articulating Standards” section of the ClimateCard to help you revise your message as the unit’s ethical climate evolves. New missions and personnel have varying demands, and your message needs to evolve to remain effective.

Exercises: None

Questions to Ask
• What risks do you face when you adjust your ethical standards?
• How can you tell whether the time is right or not right to make a change in ethical standards?
• If your leader wants to begin emphasizing a particular ethical issue/challenge, how do you broach that topic with your unit? (Examples: fraternization, sexual harassment, working with contractors)

Stories to Tell (See Appendix D for Additional Stories and Scenarios)
• Use a personal example if possible.
• LTC Sassaman case (see Slide 10 and Appendix D)
• “Holding on to our beliefs and assumptions about the world around us is reassuring. It can be uncomfortable to have our view of reality or our beliefs challenged. To avoid this discomfort, we sometimes resist or ignore data that disconfirm our tightly held views. We may not ask the necessary questions or probe for more information because, on some level, we are afraid of discovering that our initial assumptions were wrong.” Phil Harkins in Powerful Conversations: How High Impact Leaders Communicate (1999)
LESSON 6: ENFORCING ETHICAL STANDARDS

Slide 22 – Enforcing Ethical Standards

Timing: 3-4 Minutes

This includes both facilitator presentation and opportunities for discussion. If discussion is productive, you could allow it to go beyond the allotted time. If you are running short on time, however, you can skip the discussion questions and proceed to the next slide.

The story included with this slide is an intriguing one to discuss, though, because you can also have a discussion with the class about positive versus negative ethical climate and how in some cultures by today’s standards, Sun Tzu’s actions would be considered unethical. For example, it is illegal for a BN CDR to behead an officer.

Points to Make

The Army Leadership Doctrine, ADRP 6-22, indicates that enforcing standards is part of a leader’s job.

As a leader, you need to actively guide the ethical behavior in the organization.

Enforcing the ethical standards is critical to successfully guiding the behavior of group members – both through rewarding ethical behavior and punishing unethical behavior.
You, as a leader, need to set the expectations for which behaviors will be rewarded versus punished. A consistent system of rewards and punishments is needed to systematically enforce the ethical standards that you set. This system will help maintain a strong ethical climate once it is in place.

**Questions to Ask**

- Do you generally consider enforcement methods to be inspirational?
  - What is the primary purpose of enforcing (e.g., rewarding and punishing) ethical behavior? Does enforcement inspire people to greatness?

**Stories to Tell (See Appendix D for Additional Stories and Scenarios)**

- Use a personal example if possible.
- Revisit the story of Sun Tzu from Lesson 2 and Appendix D:
  - "If words of command are not clear and distinct, if orders are not thoroughly understood, the general is to blame. But if his orders are clear and the Soldiers nevertheless disobey, then it is the fault of their officers." So saying, he ordered the leaders of the two companies to be beheaded.
  - Now the King of Wu was watching from the top of a raised pavilion, and when he saw that his favorite concubines were about to be executed, he was greatly alarmed and hurriedly sent down the following message: "We are now quite satisfied as to our general's ability to handle troops. If we are bereft of these two concubines, our meat and drink will lose their savor. It is our wish that they shall not be beheaded."
  - Sun Tzu replied even more patiently, "Having once received His Majesty's commission to be general of his forces, there are certain commands of His Majesty which, acting in that capacity, I am unable to accept." Accordingly, and immediately, he had the two leaders beheaded and straightaway installed the pair next in order as leaders in their place. When this had been done the drum was sounded for the drill once more. The girls went through all the evolutions, turning to the right or to the left, marching ahead or wheeling about, kneeling or standing, with perfect accuracy and precision, not venturing to utter a sound.
  - The point here is not that we should execute people who don’t follow the rules, but that the group takes notice when a standard is enforced. Punishment shows that the leader means business.

**Background/Facilitation Notes**

Prepare to pull up the 2X2 grid from Lesson 2 and note where punishment/rewards are placed.

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LESSON 6: ENFORCING ETHICAL STANDARDS

Slide 23 – Enforcement Mechanisms in Action

Timing: 3-4 Minutes

This includes both facilitator presentation and opportunities for discussion. If the discussion is productive, this could be a point to allow it to go beyond the allotted time. Note it is not very important for workshop participants to differentiate between terms like **punishment** and **penalty** and **reward** and **escape**, but that they understand that rewarding ethical behavior improves the chances of seeing more ethical behavior, punishing unethical behavior reduces the chances of future unethical behavior, and ignoring behavior also communicates something about what the leader is willing to tolerate.

**Points to Make**

Let’s talk about four terms here: punishment, reward, positive, and negative.

- **Reinforcement** increases the likelihood of a behavior, whereas **punishment** decreases the likelihood of a behavior.
- **Positive** adds something that wasn’t there, while **negative** removes something that is there. In this instance, **positive** and **negative** do not mean **good** and **bad**. Instead, they mean **presenting** and **removing**.

Things that reinforce behavior (i.e., make behavior more likely to happen)

- **Reward**: The individual receives something good or of value. (Positive reinforcement)
  - E.g., The individual receives a coin for developing a training support package
- **Escape**: The individual has something bad or unpleasant removed. (Negative reinforcement)
- E.g., A Soldier shows initiative, so the commander relieves the Soldier of latrine cleaning duties.

Things that punish behavior (i.e., make behavior less likely to happen)
- **Punishment**: The individual receives something bad or unpleasant. (Positive punishment)
  - E.g., A Soldier steps a little out of line and is assigned latrine cleaning duty as a result.
- **Penalty**: The individual has something good or valuable removed. (negative punishment)
  - E.g., Someone misses two hours of work and it was not approved, so they are not paid for those 2 hours.

The terminology is not too important, though. The key is that both Rewards and Punishments are applied **consistently** to maintain a strong ethical climate. Characteristics that make rewards and punishments effective:
- The reward or punishment is salient (means something) to the individual Soldier. It gets the Soldier’s attention.
- The reward or punishment is clearly connected to the behavior, so that the Soldier understands that behavior has a clear consequence.
- **Climate** is about reinforcing how the standards are viewed and enacted by the unit. Continuous efforts by the leader are needed to maintain a shared understanding about what is deemed ethical and unethical in the unit. Thus, when leaders explain why rewards and punishments are being used, this helps ensure that Soldiers are making the connection between their behaviors and the outcomes they receive or witness.

**Refer to ClimateCard**
Refer back to the “Enforcing Standards” section of the ClimateCard for tips and techniques to reward and punish your Soldiers **effectively** so that the ethical climate of the unit is strengthened. This section is very useful at all ethical climate levels.

**Exercises**: None

**Questions to Ask**

Leaders should be learning from each other in this lesson. Encourage leaders to share techniques and lessons learned from their experiences. Leaders will likely have many examples of punishment, but you may have to really prompt them to provide examples of rewarding ethical behavior. Point out that what is rewarded in an organization often shows what the organization cares about.

- As a leader, what are some examples of either reward or punishment that have been effective for promoting ethical behavior?
  - Why were these approaches effective? Did they inspire, clarify expectations, or have some other effect?
- Which method is most powerful in changing behavior? Can this change over time?
- What happens when you ignore an unethical behavior?
• What happens when you ignore an ethical behavior? In what ways is failing to reward an ethical behavior different from failing to punish an unethical behavior?

Below are some examples to get the conversation started, if needed. You can also write answers on the butcher paper or white board to help facilitate the discussion.

• Reward or Punish by using leave time – either deny a request for leave or give extra leave.
• Reward or Punish by putting something in their personnel file – either write a positive note or a negative one, depending upon whether you are rewarding or punishing.
• Characteristics that make rewards and punishments effective:
  ○ Salient—it grabs the attention of the Soldier.
  ○ Connected to the behavior.

Stories to Tell (See Appendix D for Additional Stories and Scenarios)

Focus the time for this slide on group discussion. Get the leaders in the room to share their experiences and brainstorm ways to reward and punish effectively and consistently. If they are lacking examples, tell stories from your past experience. It is especially important to emphasize rewarding ethical behavior because many leaders are already familiar with and fully grasp the importance of punishing unethical behavior.

Background/Facilitation Notes

Reinforcement increases the likelihood a behavior will happen again in the future; punishment decreases the likelihood of a behavior happening in the future. You do not need to discuss all of these terms as an instructor, but they may be useful to know in the event you are asked in class about any of these terms.

Positive reinforcement increases the future likelihood of a behavior due to the addition of a pleasurable consequence immediately following a response. For example, providing (i.e., adding) treats to a dog when you tell the dog to sit. Positive reinforcement is key to promoting an ethical climate. A truly ethical climate is not solely defined by the absence of unethical behavior. Instead, a truly ethical climate is one in which Soldiers proactively make ethical choices and know how to behave appropriately in difficult circumstances. To increase the likelihood of Soldiers behaving ethically, ethical behavior must be positively reinforced (i.e., rewarded). In sum, to increase good behavior reward (i.e., positively reinforce) good behavior. To eliminate bad behavior, punish bad behavior. However, be aware that punishing bad behavior tells someone what not to do, but does not necessarily let someone know what they should be doing instead.

Negative reinforcement increases the future likelihood of a behavior when the behavioral results in the removal of an aversive stimulus. For example, turning off (or removing) an annoying song when a child asks their parent. By removing something the child did not like, this increases the likelihood that the child will continue to pester the adult in the future when the child hears a song he or she does not like. Another example is if a mouse presses a button to avoid shock. The mouse will continue to push a button in the future to avoid shocks. The concept
of negative punishment is not to be confused with the concept of punishment. Below are two variations of negative reinforcement:

**Avoidance conditioning** occurs when a behavior prevents an aversive stimulus from starting or being applied. Phobias can become stronger through avoidance conditioning. For example, if you are scared of flying and thus avoid flying, you are reaffirming the validity of your fear by not flying. As an example relevant to leadership, sometimes leaders will avoid confronting certain employees because they know the employee is going to have an unpleasant emotional reaction to whatever the leader has to say. Each time the leader avoids the employee, the leader avoids the unpleasant emotional reaction often associated with the employee. This is why many leaders do not deliver important, but negative feedback, to employees; it is punitive to the leader to be the bearer of bad news so the leader simply avoids providing the feedback (thereby avoiding the employee).

**Escape conditioning** occurs when behavior removes an aversive stimulus that has already started. For example, if a person walks out during the middle of an argument, they are escaping the situation and may be conditioning themselves to walk out during the middle of future confrontations.
LESSON 6: ENFORCING ETHICAL STANDARDS

Slide 24 – Activity: Encourage Ethical Behavior

Timing: 6-10 Minutes

This activity can be shortened by doing it as a large group and talking through options, versus having them talk individually or in breakouts. While this is a nice final activity, if time is short, this can be skipped.

Points to Make

In revisiting the process of setting an ethical climate, consider the following process:

- Identify your own ethical expectations in accordance with the Army standards.
- Clearly communicate these expectations to your unit members, so that they understand what your ethical expectations of them are.
- Finally, be on the look-out for Soldiers who either exhibit or do not follow these standards. Keeping these standards in mind will help you decide how to fairly and consistently reward and punish Soldiers for how closely they follow these standards.

Refer to ClimateCard

Additional questions to consider when deciding whom to reward or punish can be found in the “Enforcing Standards” section of the ClimateCard. These questions help leaders determine the time, place, and recipients for reward and punishment.
**Exercises:** Pick a case or example used earlier in the class and focus on the questions on the slide. You might opt to use the LTC Sassaman case, but other stories could be used, as well.

**Questions to Ask**

- **Leaders should learn from each other in this lesson. Encourage leaders to share their experiences.**
- **Ask the questions on the slide after you have received an example from someone or have selected a case to discuss.**
- How can we use rewards and punishment to create a strong ethical climate that will promote ethical behavior?

**Stories to Tell (See Appendix D for Additional Stories and Scenarios)**

- Focus the time for this activity on the ideas offered by the group(s). Get the leaders in the room to share their experiences, and brainstorm ways to reward and punish effectively and consistently in the selected situation.
- You can use the LTC Sassaman example from Slide 10 and Appendix D.

**Background/Facilitation Notes**

If the group is large, it is recommended that you break participants into small groups of 5 or less.

If using the LTC Sassaman example (see Slide 10 and Appendix D), make sure to push participants to think beyond the big mistake LTC Sassaman made when ordering his people to lie to investigators.

- What was driving the ethical climate within his units, as well as impacting his decision process?
- What rewards and punishments were enforcing the climate he was shaping?

Participants will often want to focus only on the negative and very bad actions, noting how the actions were versus how the actions should have been punished. **Keep the discussion focused on the development of the climate**, rather than focusing on a single action or decision.

The LTC Sassaman example has many factors that contributed to the weak ethical climate – consider using these details when asking the group how they would use punishment and rewards to create an ethical climate, in the months prior to the river incident:

- The unit needed to find its own way as an occupying force. There was no handbook on what progress looks like. The unit had to innovate new ways to get violence under control.
- Conflicting messages from above were cause for frustration:
  - Orders for non-lethal force (COL Rudesheim, his commander) conflicted with orders from higher to “increase lethality” (MG Odierno, CDR of Fourth Infantry Division).
  - Many variations of “non-lethal force” were implicitly permitted and sometimes explicitly approved by higher.
“Leave no refuge” policy: For those who opposed the unit, LTC Sassaman’s unit would ask family to remove furniture from their homes and then explode and burn down the houses.

COL Rudeshiem gave an order to surround a town in barbed wire. Surrounding the town with barbed wire to reduce violence was effective in the short-term, but it achieved cooperation via fear, not liberation.

Prior to the river incident, some Soldiers began to bend the rules with an aggressive approach to “non-lethal force”:

- If they caught an Iraqi man out after curfew, they piled him into a Bradley, drove him miles outside of town and told him to walk home.

"People didn't exactly get beaten up. They got slapped around, roughed up, usually after they were detained. It was gratuitous. Sassaman didn't do it, but he definitely knew about it. He definitely condoned it." - Specialist Ralph Logan
LESSON 6: ENFORCING ETHICAL STANDARDS

Slide 25 –How Will YOU Set an Ethical Climate?

**Timing: 5-6 Minutes**

This includes both facilitator presentation and opportunities for discussion. If time permits, ending with a personal story of success in shaping an ethical climate is a positive way to end the program.

**Points to Make**

We have worked through the CLIMATE model in some detail. Let’s do a quick review.

*Link back to the individual program objectives, wherever possible:*
- Leader’s role in setting and maintaining ethical climates;
- The need to assess the ethical climate, both formally and informally;
- The need to demonstrate ethical decision making as a leader;
- The need to clearly articulate ethical standards and expectations; and
- The need to reward ethical behavior and punish ethical violations.

*Revisit the case examples and key learnings.*

*Exercises:* If time permits, you may wish to discuss the Start/Stop List exercise presented on Slide 15. Have participants tie the items to the climate-setting behaviors discussed during this workshop: assessing climate, modeling ethical behavior, articulating ethical standards, and enforcing ethical standards. Ask participants if they have something to start and stop for each
climate-setting behavior. Make sure participants focus on what they can do themselves, not how others around them are behaving.

**Questions to Ask**

- What did you find the most valuable take away from your time in this workshop?
- What are two things you will commit to doing to shape the ethical climate within your unit?
- How can you use the ClimateCard to enhance the ethical climate in your unit?

**Stories to Tell (See Appendix D for Additional Stories and Scenarios)**

- Whenever possible, use stories from your personal experience to illustrate these concepts.
- If you throw a frog into boiling water, it will jump right out before being cooked. If you throw a frog into cool water and slowly turn up the heat, it will stay in until it is cooked. Similarly, it is easy to notice a highly toxic climate from the start, but subtle changes in behavior and expectations can be difficult to detect, especially when you, as the leader, cannot be in all places at all times. A climate usually deteriorates and drifts over time; it generally does not become bad overnight. These small changes in a negative direction can have a large effect over time, which is why proactively re-evaluating the climate periodically is so important, and more difficult, than may be expected.

**Background/Facilitation Notes**

The focus of this slide is to conclude the CLIMATE workshop by reflecting on what members of the group will take away from the course.

Have them reflect on their units and discuss how they would apply some of these concepts and techniques to build and/or maintain a strong, positive ethical climate.

Refer to the ClimateCard as a reference guide and tool that they can use after they leave the course. Emphasize its practical application for maintaining a strong ethical climate and working through issues with others in the unit.
Use this guide during class. For more details on specific activities listed in this Appendix, the reader is referred to Appendix A. Additionally, throughout the class, you may opt to substitute in different exercises and activities. Additional activities can be found in the ClimateCard, which is located in Appendix C.
Introduction (1)

- *Introduce yourself*
- This is not an “ethics” workshop, and we are not telling you what’s ethical.
- This is a discussion about leadership and what you, as leaders, can do strategically to shape an ethical command climate.
  - “Doing the right thing” is a very important part of your command climate.
- Most current ethical leadership training (including Army training) focuses roughly 80% on making ethical decisions as leaders, and about 20% on leading others to behave ethically.
  - This training flips that ratio on its head. The goal is to apply some common terminology to strategies that can help you, as leaders, shape and maintain an ethical command climate - so that others continue to behave ethically even when you're not there.
- You're already experienced leaders, which is why you're here. In fact, we expect you probably already use many of the approaches we'll talk about in the next couple of hours.
- The hope is that, together, we can come up with some creative ideas and techniques for you to take back to your units.
- Note this is not a lecture. We will introduce some topics, but we'll be asking you all to share examples and rationale for how and why these techniques can be applied in your units.

**ACTIVITY:** Develop workshop ground rules.

**QUESTION:** What do you hope to learn from this workshop?

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10 See Appendix A for more detailed notes supporting these slides.
This quote from Army Leadership Doctrine (ADRP 6-22) makes a clear case for the importance of setting an ethical tone.

- Being a leader of character is important.
- But leaders also have a responsibility to foster a culture that allows their Soldiers to develop and practice character.
- Ethical climates create the conditions for ethical behavior.

**EXAMPLE:** Black Hearts book, see Appendix D

**QUESTION(S):**
- What does the word “climate” mean to you?
- How do you know whether there’s an ethical tone in the unit?
- Who has a story about how they have shaped the climate in their unit or have seen it change based on some event or intervention?

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11 Appendix D contains a variety of stories and scenarios you can incorporate throughout the training.
This overview displays what we’re going to discuss today. The CLIMATE workshop serves as a discussion forum where you, as experienced leaders, can brainstorm strategies for setting an ethical tone.

- Lessons 1 and 2 set the stage for leadership in ethical climate-setting.

- Lessons 3-6 detail the critical leadership skills for setting an ethical climate.

In a few minutes, we'll hand out what we call the ClimateCard - a guide, or handbook, with tips and checklists for setting and maintaining an ethical climate.

QUESTION(S):
- What might be missing from this list of lessons?
WHAT IS A \textit{CLIMATE}? (4)

Let's start by defining what we mean by "climate":

- Climate is a measure of what unit members believe about some characteristic of the group.
- This tone can be considered a "climate" (for example, safety, ethics, performance, command)
- Climates are \textbf{STRONGER} when everyone agrees or shares the same standard, and \textbf{WEAKER} when the unit doesn't agree or share the same standard.
- Climates are \textbf{POSITIVE} when beliefs of group members align with the Army's standards and their leader's expectations.
- Climates are \textbf{NEGATIVE} when beliefs of group members go against the Army's standards and their leader's expectations.

\textbf{NOTE:} Smaller groups are nested within larger groups, and each group has a climate. Thus, there are Nested Climates in the Army – Company climate influences Platoon climates (making them similar), but individual Platoon Leaders also uniquely impact their own climates, making Platoons somewhat different from one another.

\textbf{QUESTION(S):}
- What do you think when you hear the term ethical climate?
- Can you think of other groups or units not on this list?
- As BN Leaders, what is the appropriate unit level of focus for you to set an ethical climate? Which group(s) do you focus on and how do you reach each group?
LESSON 1: ETHICAL CLIMATES

WHAT IS AN ETHICAL CLIMATE? (5)

Let’s look at “ethical climate” on these two dimensions:

- To characterize ethical climates, we ask two questions:
  - Do unit members think that others in the unit will "do the right/ethical thing" in alignment with Army Standards and your leader expectations? (POSITIVE/NEGATIVE)
  - Are unit members in agreement about what the standards are and what people will do? (STRONG/WEAK).

NOTE: THE STRONGER THE CLIMATE, THE MORE INFLUENCE IT HAS OVER EACH SOLDIER’S BEHAVIOR.

- Describe the quadrants
  - Strong/Positive: Patton's eventual climate (Appendix D)
  - Strong/Negative: Black Hearts (Appendix D)

QUESTION(S):

- Can you jump straight across from S/N to S/P? (No, more likely to make a U-shape thru weak quadrants)
- Inheriting units with different norms can be a challenge. Can someone share when this has happened?
- If the unit is in strong agreement about their former commander’s preferences (strong/negative climate) and have not yet had the opportunity to know your full intent, how would the group climate move through this grid from top-left to top-right?
- What can you do to get Soldiers more quickly aligned with your expectations for ethical behavior?

ACTIVITY:

- “Post-its” - place them on the board where you think they'll belong. [Possible orgs: US Army, Toyota, Ford, GM, Apple, Microsoft, Google, Taco Bell, McDonald’s, Starbucks]

End with the point: It comes back to aligning the group with organizational values and leader expectations.
ETHICS DRIVE RESULTS (6)

There's data to support the benefits of ethical climates.

- **CAPE:** A survey analyzed in 2010 by the Center for Army Profession and Ethics found that OIF leaders who engaged in proactive ethical climate-setting strategies led to more ethical command climates, and that those climates were associated with more effective and efficient mission performance.

- **Corporate:** These results are not unique to the Army. A recent study showed that 4 of every 5 corporate sector employees would be willing to take a pay cut to work for an ethical company.

**QUESTION(S):**
- Have you witnessed the impact of a unit’s climate—ethical or otherwise—on performance before? Please provide an example.
LESSON 2: ROLE OF LEADERSHIP IN SETTING AN ETHICAL CLIMATE

Here’s a model that describes how leaders can get the group aligned with their standards.

End goal: Group members acting and thinking ethically.

Action and thought are affected by the unit’s ethical climate, which gives group members:
- Knowledge of what's ethical;
- Norms for ethical behavior; and
- Expectations for whether behavior is rewarded or punished.

Leaders can affect ethical climates in these four ways, but they also have to work within a larger organizational and external (physical) context. We'll now discuss directly the role of leadership in setting climates.

QUESTION(S):
- What is missing from this model?
- Do you think some of these boxes are more or less important than others?
  - If you were pressed for time or had to make a choice, which of these boxes would you skip?
LESSON 2: ROLE OF LEADERSHIP IN SETTING AN ETHICAL CLIMATE

INTRODUCING THE CLIMATECARD (8)

Pass out handbook to the participants

The ClimateCard is a reference guide that can help proactively maintain an ethical command climate:

- Many of the ideas we discuss today are in there for your reference.
- It includes several checklists and processes for:
  - Assessing the ethical climate of your unit
  - Leader self-assessment
  - Practical next steps for shaping and maintaining climate.

NOTE: Slides that are also in the ClimateCard have a logo in the bottom-right corner.

Some useful sections are as follows:

- **Assessment**: contains useful questions to consider for conducting informal climate assessments and evaluating your own climate-setting actions.
- **Role Modeling**: illustrates what most people associate with ethical leaders.
- **Climate-Setting Exercise**: a strategic discussion activity for use in down-time with your unit to help convey your expectations using past and hypothetical situations.
LESSON 2: ROLE OF LEADERSHIP IN SETTING AN ETHICAL CLIMATE

ACTIVITY: WHAT ARE YOUR ETHICAL STANDARDS?

Before describing this slide, discuss a story with a tough decision to make.

EXAMPLE: In the Hindu Kush mountains of Afghanistan’s Kunar province in 2005, a 4-man Navy SEAL team was setting up an observation post when they were approached by 2 local men, a 14-yr old boy, and 100 goats. The SEAL team had to decide what to do in this situation: Let them go and possibly compromise the SEALs’ location? Kill them to eliminate the threat? Hold them captive until the watch is over? What’s the right thing to do here? (See Appendix D; you might want to create handouts for class.)

DISCUSSION (use slide):
- What’s your perspective on this one?
- Is there a choice here between multiple good or bad options?
- Who are you looking out for? Who should benefit from your decision?
- What’s your top priority here – what or who are you most concerned about?
- Did the team make the correct decision to let the people go? Why or why not?
- How does your answer inform you about what you care about?
- Do you think your Soldiers would make the same decision as you and value the same things as you?

To build an ethical climate, it’s helpful if leaders can make their standards and expectations clear to others. Asking these, or other similar questions, can get you thinking explicitly about your internal decision making process.

What happened to the SEAL Team? They let the man and kid go. Soon after, Al Quida fighters swarmed the area and the SEAL team was outmanned. All died but one, who fell off a cliff and lived, thanks to the care of locals. He survived and told this story.
LESSON 2: ROLE OF LEADERSHIP IN SETTING AN ETHICAL CLIMATE

SHAPING CLIMATE (10)

Many factors influence a unit member's ethical climate perceptions:

- Direct influence by the leader
- Norms for peer interactions (group norms have great influence)
- **EXAMPLES** (power of groups):
  - Psychology research—People were taking a test. The room was filled with smoke; the participant didn’t move when other people (who were in on the research) ignored it.
  - TV laugh track: We’re cued to laugh when we think other people are doing it. When nobody’s around, we don’t laugh out loud.
- Environmental conditions
- Dirty, wet, hungry (tough to think of anything but survival)
- Institutional (Army) policies or procedures that get in the way of doing the right thing

**QUESTION(S):**

- Can anyone think of an example of how peers influenced the behavior of another Soldier?
- How can a leader impact the peer interactions in a productive way to enhance ethical climate?
- What can you do to help mitigate problems caused by tough environmental factors?

Leaders can actively try to guide the standards that drive peer interactions (climate-shaping; emphasizing respect for standards) and, when possible, make the environmental conditions more favorable.
LESSON 2: ROLE OF LEADERSHIP IN SETTING AN ETHICAL CLIMATE

ACTIVITY: REASONS FOR AN ETHICAL CLIMATE (11)

There are multiple reasons to establish a positive ethical climate.

ACTIVITY
• Write down your top 3 reasons for creating a positive ethical climate.
• Now that you have written 3 reasons, scratch off the one that is least important.
• Now, out of the two remaining reasons, scratch off the one that matters to you less.
• The one that is remaining is the one you view as the single most important reason to establish a positive ethical climate.
• Let’s go around the room and share our reasons.

QUESTION(S):
• What is the single most important Army, Unit, or individual reason for building an ethical climate?
• What does your top choice say about what you value? Does this match with what you believe you value most?
• What reason was the most difficult to eliminate from the list? What does that item say about what you value?
  ○ Can those two values ever conflict with one another?
• Knowing the one reason that is highest priority for you helps focus all your other actions going forward. It also helps you see what you value most.
• This can be a helpful exercise to use with leaders in your own units to help them see what they value and to align their interests with your interests.

INSTRUCTOR’S NOTES
LESSON 3: ASSESSING THE ETHICAL CLIMATE

STATE WHAT WE'VE COVERED:

1. Defined the objectives of an ethical climate *(get unit members to THINK and ACT ETHICALLY)*

2. Described the outcomes of an ethical climate *(knowledge of what's ethical, norms for ethical behavior, expected rewards & punishment)*

WHAT'S NEXT:
- Time to get a read on the ethical tone of the group
- Discussing primary leader behaviors for shaping climate
- Starting with Ethical Climate Assessment

QUESTION(S):
- How do you know what the ethical climate is like in your unit?
- What can you look for? Think not only in terms of positive vs. negative, but also strong vs. weak.
- What type of information can you seek out?
LESSON 3: ASSESSING THE ETHICAL CLIMATE

Methods to Assess Climate

Various methods can be used to assess climate:

- **Formal assessments:** surveys, scheduled interviews, etc.
  - **EXAMPLE:** Army leaders are required to assess command climate via survey within 90 days of taking over a unit, and once/year thereafter *(confirm that with the class).*

- **Informal assessments:** observations, in-the-moment discussions.
  - **EXAMPLE:** Seeing how unit members behave, or hearing from someone else, should influence how you see your ethical climate.
  - **NOTE:** Most Army participants feel informal is key.
  - **Assessment checklist on pg. 10 of ClimateCard (some questions to ask)**

**Question(s):**

- How do you currently assess the ethical tone or climate in your unit?
- What are some other good ways?
- Have you ever gotten blindsided by something unethical in one of your units or seen another leader get blindsided? What should that leader have been looking out for?

**Optional Activities**

- Have participants assess their unit climate using the ClimateCard (page C-11 of manual). Facilitate a discussion of whether they have a strong or weak climate given their answers.
- Have participants self-assess their climate shaping behaviors using the ClimateCard (page C-12 of manual). Ask them to keep their assessment results in mind as they go through the rest of the workshop.
Once you get a sense for your ethical climate, it's good to have a plan for how to change or maintain that climate.

- This slide is also in your ClimateCard
- Strong-negative: take action (discipline, message, enforcement)
- Weak-negative: revise your message to connect better with unit members
- Weak-positive: Need a little more consistency in your message; speak up a bit more and get them on the same page
- Strong-positive: continue actively reinforcing the current ethical climate and monitoring for changes

**QUESTION(S):**
- Have you ever needed to revise YOUR message?
- How about a leader you had in the past – did they adapt?
- What did you (he/she) do?
LESSON 4: MODELING ETHICAL BEHAVIOR

Review the goals of the assessment lesson first.
1. Determine quality of the ethical climate.
2. Understand how you perceive the ethical climate.
3. Use a variety of methods to continually assess the climate.

This section will discuss the importance of role modeling.
• Modeling ethical behavior is probably what the Army spends the most time emphasizing and, at your level, you all are likely experts in doing this.
• One of the most important things that you can do to showcase your ethical standards to your Soldiers is to lead by example and model those standards.
• This lesson will teach you how to:
  • Identify characteristics of an ethical role model.
  • Demonstrate characteristics of an ethical leader.

QUESTION:
• What was a time where you set the example of "doing the right thing" or saw someone else do a good job setting an example?

OPTIONAL ACTIVITY
• Have each participant take a piece of paper and draw a line down the middle.
• Label the 1st column “Things to Start” and the 2nd column “Things to Stop”
• Give students time to begin a list of actions to start and stop to improve and strengthen the climate of their units. Tell them to add to the list as they go through the workshop.
• If desired, you may ask them to share ideas at this time or may have them share ideas at the end of class. Or, you may have them keep their ideas to themselves to honor their privacy.
Lesson 4: Modeling Ethical Behavior

The Importance of Modeling (16)

Modeling is effective because it inspires people through action:
- Unit members adopt these standards as their own.
- Values and goals become internalized.
- Achieving the unit goals becomes a priority.

In order for people to follow your lead, your actions must be in alignment with your message.

Example: Retired Special Forces COLs indicated that you can say whatever you want, but people will follow your actions. You have to walk the talk.

Question(s):
- Think back to the time when you first joined the Army and when you first started to take pride in the Army Values or began to feel a strong sense of Army identity. To what extent was a leader or role model involved in your feelings of pride, identification, or commitment?
- When have you seen a subordinate model what his or her leader was doing?
LESSON 4: MODELING ETHICAL BEHAVIOR

ACTIVITY: WHAT MAKES AN ETHICAL LEADER (17)

“Describing Your Most Ethical Leader”

- How would you describe that leader?
- What are the top 3 reasons why that leader is ethical?
- What behaviors do you see that leader doing?

Write 2 lists on the board/paper:
- Characteristics (or Traits): What are the qualities/personality attributes of the leader?
- Behaviors: What the leader does

Example
Trait: Trustworthy
Behavior: Always does what he says he will do

QUESTION(S):
- What behaviors do ethical leaders engage in?
- What does a leader do that leads you to believe he or she is an ethical or moral person?
- Is that what you do as a leader?
- Can you think of negative behaviors you have observed in unethical leaders?
LESSON 4: MODELING ETHICAL BEHAVIOR

CHARACTERISTICS OF ETHICAL LEADERS

Compare this list to list created from activity

This is what the scientific research shows. Leaders who do these things are perceived by others as having certain characteristics.

On Left: What leaders do (behaviors, actions)
- NOTE: How about “Fair & Consistent”? Could that be another ethical leader action?

On Right: How people see these leaders

EXAMPLE:
Special Forces SME with Asymmetric Warfare Group (AWG): “You can say whatever you want, but people will follow your actions more than anything else.”

Note that these 2 lists are not matched up number for number.
ARTICULATING ETHICAL STANDARDS (19)

Close off/review modeling goals first.
1. Identify characteristics of an ethical role model.
2. Lead by example to create a strong ethical climate.

There are other ways to convey how to "do the right thing," and one of the most efficient is effectively communicating your expectations to unit members.

QUESTION(S):
- What are the biggest barriers to communication that you confront when shaping the climate within your units?
- How do you ensure your ethical standards are being clearly communicated within nested units or teams you do not directly interact with? For example, how would you ensure that a platoon shares your ethical standards?
There are many ways to communicate your ethical expectations to unit members:

- Encourage **greater communication** between unit members.
  - Emphasize "why" they consider decisions to be right or wrong.
- Be a **coach and mentor** to members in your unit, particularly the other leaders that look to you for guidance.
- Find a way to make the Army Values and your ethical expectations a central focus of **all unit training** (not just ethics training).

**QUESTION(S) (if time allows):**

- How do you currently convey a message about ethics in your unit?
- What assumptions are you making right now about the ethical climate in your unit that you have not confirmed?
  - What if you are wrong?
- When is talking not enough to get your message across?
LESSON 5: COMMUNICATING ETHICAL STANDARDS

REVISING ETHICAL STANDARDS OVER TIME

• Just like assessment should not be a one-time occurrence, articulating and updating your ethical standards to your unit is an ongoing effort.
• As you learn more and the context in which your units are working evolves, so too will your ethical standards. You need to reassess your own standards from time to time, see if your actions are consistent with what you hope to convey, and then revisit those standards with your Soldiers.
• Could you imagine what would happen if you got married and your wedding day was the last time you told your spouse you loved him or her? Where would your marriage be a year from that day? Five years from that day? Are the ways you show love the same 10 years into the marriage as they are 2 years into the marriage? Discussion of your ethical standards is an ongoing conversation that occurs through both word and deed and evolves as the needs of your units and subordinates change.
• Creating ongoing forums for discussion and adapting your ethical message help ensure your team members remain aligned with you through the dynamic flow of asymmetric warfare.

QUESTION(S)
• What risks do you face when you adjust your ethical standards?
• How can you tell whether the time is right or not to make a change in your ethical standards?
First review with students the learning goals for the lesson on articulating standards.

1. Clearly communicate ethical standards.
2. Adapt your ethical message to sustain the ethical climate.

The next question becomes: How can leaders sustain a climate for ethics over time?

**QUESTION(S):**

- *(if time allows)* How have you gone about responding to people doing or NOT doing the right thing?
- How often do you reward ethical behavior?
There are multiple ways to reinforce the climate - through rewards and punishment:

- **Rewards (to encourage behaviors):**
  - Giving something good
  - Taking away (escaping from) something bad
- **Punishment (to discourage behaviors):**
  - Giving something bad
  - Taking away something good

Punishment lets people know what not to do. Rewards let people know what they should be doing.

- Punishment is about getting rid of undesirable behavior.
- Rewards are about creating desirable behaviors.

**QUESTION(S):**

- What are some ways of formally/informally rewarding?
  - Other Army leaders say rewarding needs to happen more frequently.

- What are some ways of formally/informally punishing?
  - If you primarily teach about your ethical standards through punishment, people primarily learn what NOT to do. But it doesn’t teach people necessarily what they should be doing.

- *Leaders should be learning from each other in this lesson. Encourage leaders to share techniques and lessons learned from their experiences. Leaders will likely have many examples of punishment, but you may have to really prompt them to provide examples of rewarding ethical behavior. Point out that what is rewarded in an organization often shows what the*
LESSON 6: ENFORCING ETHICAL STANDARDS

ACTIVITY: ENCOURAGE ETHICAL BEHAVIOR

(24)

- Think back to a case from earlier (choose a situation to discuss or draw one from Appendix D).

- As a group, what would you do to encourage ethical behavior in the future?
  - Who are the parties involved?
  - The whole unit or individuals?
  - Review questions on the slide.
  - Take notes on the board.

- DEBRIEF - What was easy, what was tough?

- Leaders should be learning from each other in this lesson. Encourage leaders to share their experiences.

- Ask the questions on the slide.

- How can we use rewards and punishment to create a strong ethical climate that will promote ethical behavior?
LESSON 6: ENFORCING ETHICAL STANDARDS

HOW WILL YOU SET AN ETHICAL CLIMATE? (25)

Before closing the workshop, review the learning goals from the lesson on enforcing.

1. Actively guide and reinforce ethical behavior.
2. Fairly hold individuals accountable for ethical behavior.

- We have worked through the CLIMATE model in some detail. Let’s do a quick review.
  - Leader’s role in setting and maintaining ethical climates
  - The need to assess the ethical climate, both formally and informally
  - The need to demonstrate ethical decision making as a leader
  - The need to clearly articulate ethical standards and expectations
  - The need to reward ethical behavior and punish ethical violations

- Revisit the case examples and key learning points.
- You may wish to revisit the Start/Stop exercise begun on Slide 15.
- As an instructor, you can prompt trainees to think back on the workshop by using phrases like
  - When we talked about...
  - Remember our discussion on...

QUESTION(S)

- What did you find the most valuable take away from your time in this workshop?
- What are two things you will commit to doing to shape the ethical climate within your unit?

Thank them for their time, and tell them you hope they were able to get some good ideas to take back to the unit.

OPTIONAL: Leave them with one last example.
Appendix C

ClimateCard
CLIMATE
ETHICAL TRAINING FOR ARMY LEADERS
Leader Challenge: “Doing the right thing” isn’t always easy. Knowing the right thing to do is even more difficult. Soldiers look to their leader to assist them in analyzing ambiguous situations and to figure out what “the right thing” is. Leaders are directly responsible for setting the climate and ethical guidelines for which Soldiers will be making ethical decisions.

Purpose: The purpose of this guide is to provide a resource for Army leaders who make it a priority to shape an ethical climate within their unit.

Benefits: An ethical climate promotes ethical thoughts and actions of unit members. Additionally, ethical behavior leads to many benefits for the Army, as well as for the individual Soldier or Officer. These positive benefits include, but are not limited to, a positive reputation for the Army and Soldiers, reduced turnover, and mission focus.

How do leaders get Soldiers to think and act ethically?
What is Climate?

- **Climate is a measure** of whether group members think the same way about the group.

- **Climate is “stronger”** if everyone shares the same beliefs about the group.

- **Climate is “positive”** if the content of the shared beliefs aligns with the organizational standards and leader expectations.

- **Example units include:**
  - Squad
  - Platoon
  - Battalion
An ethical climate refers to unit members:

1. Agreeing to common ethical standards.
2. Behaving in accordance to those standards.

An ethical climate:

1. Drives Soldiers to consider moral consequences when making decisions.
2. Helps reinforce rules and standards for acting ethically, by:
   - Providing knowledge of what is ethical.
   - Developing norms for ethical behavior.
   - Setting the tone for expected rewards and punishment.

Ethical Climate Indicators

- Soldiers have open and candid communications about what is and is not ethical
- Soldiers seem satisfied with their jobs
- Soldiers enact core Army Values and leader expectations
Influencing Ethical Command Climate

Ethical command climate is influenced in several ways. Major influencers include:

- **Peers**: Fellow Soldiers provide pressure to engage or not engage in ethical behaviors. They help set the tone for what is considered “ethical.”

- **Environmental conditions**: Conditions of the environment (e.g., lack of food, sleep, resources) can sometimes challenge Soldier to make “ethical” decisions.

- **Leader**: The leader has a direct influence on Soldiers and can strategically shape the nature of peer interactions and many environmental conditions.
A competency required of all Army leaders is the ability to create a positive environment for their unit (Department of the Army, October 2006).

A leader’s influence on the ethical climate of the unit is a continuous process by which the leader shapes the shared perceptions and ethical expectations across all unit members, promoting a greater consideration of ethical implications and ultimately ethical behavior. There are four primary leader behaviors that influence unit expectations and behaviors related to ethical standards, including:

- Assessing the ethical climate,
- Ethical role modeling,
- Articulating ethical standards, and
- Enforcing ethical standards.

It is expected that the strategic implementation of these four primary ethical climate-setting behaviors will enable leaders to gain a greater understanding of the current ethical climate of their unit, their own ethical standards, and their potential for influencing the strength and level of unit climate.
Knowing Your Ethical Standards

Activity: What are your ethical standards?

What am I most concerned about?

a. Producing the most good and doing the least harm
b. Respecting the rights of all who have a stake
c. Treating people equally or proportionately
d. Serving the community as a whole
e. Leading me to act as the sort of person I want to be

Who counts, and what do you consider when making ethical decisions?

Does this decision involve a choice between two "goods" or "bads"?

What are the options for acting?

- Considering the potential outcomes of different actions
- Reflecting on the ethical principles
- Consulting with others
- Seeking guidance from ethical theories or models

Assessment Ethical Role Modeling Articulating Ethical Standards Enforcing Ethical Standards Climate Setting Exercise Scenarios for Discussion

7
To gauge the quality of the ethical climate, the leader must observe interactions among Soldiers and determine whether Soldier behavior adheres to (or deviates from) ethical standards. These ethical standards, as discussed in the previous lesson, are related to what you say and do as a leader, which is greatly influenced by the Army core values.

Based on the outcomes of these observations, the leader evaluates the quality of the unit’s ethical climate. Throughout this assessment, the leader reviews the actions of Soldiers to continually update his or her evaluation of the ethical climate.
Methods to Assess Climate

FORMAL ASSESSMENT

Formal assessments are efforts by the leader to pull/solicit climate-related information from others. Others are fully aware that this content is of interest to the leader. Formal assessments are with consent from the larger Army.

INFORMAL ASSESSMENT

Usually done on the spot by the leader, informal assessments come without warning and do not involve the same structured procedures as the formal assessment. They can either happen proactively (leader initiated) or passively (others come to the leader with information).
Informal Ethical Climate Assessment

One way to informally assess the ethical culture of your unit is to hold an open and honest discussion with unit members. Here are some questions to ask those individuals.

1. Do unit members feel there is sufficient time and adequate resources at their disposal to carry out tasks responsibly?
2. Do you think everyone in our unit has the best interests of their unit members at heart?
3. Do you think everyone in the unit takes our norms and standards seriously?
4. Do people in our unit treat one another with respect?
5. Do unit members think our unit handles reports of unethical conduct with caution?
6. Do unit members think they are able to express their opinions?
7. Do unit members feel like we discuss unethical conduct enough? In the right way?
8. Do unit members feel we take reports of unethical conduct seriously?
9. Do unit members feel like they are able to discuss personal moral dilemmas?
10. Do unit members feel like they can report unethical conduct?
11. When unit members are called to account for their conduct, is it done in a respectful manner?
12. Do unit members believe they will be disciplined if they behave unethically?
13. Do unit members believe that Soldiers who conduct themselves with integrity are more likely to receive rewards than those who conduct themselves without integrity?
Leader Self-Assessment

The list below contains actions leaders can take to strategically build and maintain ethical climates. Reflect on your own approach and gauge the extent to which you engage in these actions.

ASSESSING

☐ Conducts regular formal assessments (e.g., surveys) of the ethical climate of the unit
☐ Welcomes input on ethical implications at appropriate times
☐ Seeks input on ethical dilemmas in your unit with key members
☐ Observes how unit members conduct themselves towards other Soldiers, as well as Coalition partners and local populace

MODELING

☐ Adopts an uncompromising ethical vision when making decisions
☐ Communicates standards by acting in an ethical way (walks the talk)
☐ Treats Soldiers in a fair and equitable manner
☐ Treats others with respect
☐ Maintains a consistent "presence" among the unit and is often available to Soldiers
☐ Acts ethically regardless of personal cost
☐ Accepts responsibility for unit's performance
☐ Does not let emotions impact behavior (for example: does not display extreme anger, effectively manages conflict, remains calm under stress, behaves predictably, and demonstrates patience)
ARTICULATING STANDARDS
- Discusses the importance of ethics on a regular basis
- Explains why certain decisions are important and the ethical implications
- Explains why resources are distributed the way they are
- Encourages ethics-related conversation during appropriate times
- Provides coaching/mentoring about ethics
- Explains the difference between ethical and unethical behaviors

ENFORCEMENT
- Considers individual's ethical behavior when making recommendations for rewards
- Quickly deals with unethical behavior through punishment
- Looks for opportunities to praise ethical behavior in a public way
- When appropriate, publicly punishes unethical behavior as an example of what not to do
Observe, Assess and Evaluate Climate

Take Dramatic Action
- Describe standards in new ways
- Set the tone through your own behavior
- Formal punishment

Remain Consistent
- Keep current message
- Continue to lead by example
- Continue methods for reinforcement

Revise Your Message
- Clarify message for ethical expectations
- Greater visibility of ethical leadership
- More consistent enforcement

Increase Cohesion
- Increase discussion of ethical standards
- Greater visibility of ethical leadership
- Encourage positive ethical behavior

Strong
Weak
Positive
Negative

Assessment Ethical Role Modeling Articulating Ethical Standards Enforcing Ethical Standards Climate Setting Exercise Scenarios for Discussion
1. OBSERVE BEHAVIOR
Observe behavior to the point where the leader has an accurate understanding of the typical behavior within the unit.

2. MAKE ASSESSMENT
The leader can then assess whether followers meet the ethical standards originally set by the leader and made public throughout the unit.

3. EVALUATE
Positive evaluation: If the leader's evaluation of unit members' behavior aligns with current ethical expectations, the leader can continue using the same modeling approach, communication strategies, and reward structures for shaping the ethical climate.

Negative evaluation: If the leader's evaluation of unit members' behavior does not align with current ethical expectations, the leader should reexamine and revise his or her techniques for modeling, articulating, and enforcing ethical standards.

4. CLARIFY EXPECTATIONS
Once the assessment is complete, the leader should once again articulate the standards for ethical conduct across the unit using examples and providing rewards, if applicable.
Ethical Role Modeling

The leader's persistence in defining, encouraging, and reinforcing ethical behavior is critical for establishing a strong ethical command climate. Leaders need to set the ethical example by identifying and acting in accordance with their own standards that are clearly displayed for all unit members. Role modeling ethical behavior is particularly important for Army leaders, who are responsible for demonstrating confidence, moral courage, and competence when leading others (Department of the Army, October 2006).

The purpose of this section is to help leaders understand and practice modeling ethical behavior. The objective of this section is to enable you to:

- Identify characteristics of an ethical role model
- Demonstrate characteristics of an ethical leader
- Lead by example to create a strong ethical climate

What Makes an Ethical Leader?

Think of a leader you've had in the past whom you consider ethical.

- Think about how you would describe that leader.
- What are the top 3 reasons why you would consider this leader to be ethical?
- What behaviors did you see that leader doing?
Ethical Role Modeling – What Leaders Can Do

These characteristics show the most common characteristics of ethical leaders as found in research. As you will notice in the list below, there are different characteristics between what ethical leaders do and what others perceive.

What Others Perceive:

1. Caring
2. Hardworking and helpful
3. Honest and trustworthy
4. Maintain integrity and humility
5. Remain dependable during major and minor issues
6. Not take themselves too seriously
7. Have a sense of humor
8. Not self-promoting
9. Optimistic

What Ethical Leaders Do:

1. Accepting and soliciting input from others
2. Treating others with respect
3. Explaining decisions to followers
4. Showing concern and compassion
5. Supporting and taking responsibilities for others
6. Valuing and maintaining relationships
7. Accepting others’ failures
8. Follow through on promises
9. Accentuating the positive

Army leaders are required to put the organization and subordinates above their personal self-interest, and even self-preservation. Such behaviors can inspire other unit members and serve as an example for how to engage in ethical behavior when faced with difficult decisions.
Articulating Ethical Standards

While leaders can encourage ethical behavior through role modeling, this could be a more difficult task for higher level leaders due to proximity to many subordinates, thus increasing the importance of articulating ethical standards. Verbalizing preferences regarding the values and principles that serve as a foundation for one’s ethical standards can clarify expectations and strengthen the ethical climate.

Creating a Shared Perception

The purpose of this section is to describe leadership techniques for articulating ethical standards within Army units. This material should assist with your efforts to:

- Articulate your ethical standards.
- Help others understand your ethical standards.
- Continue to learn how to establish an ethical environment.
Openly talk about ethics on a regular basis

Feedback on ethical conduct
Reduce ambiguity regarding moral situations
Enhance moral awareness
Balance advocacy with inquiry

Educate newcomers
Refresh existing work group members on standards
The model above shows how a leader revises ethical standards over time. The model includes how a leader identifies standards, articulates and monitors the shared perceptions of his or her standards. As a leader, you then are continually revising how you convey your ethical standards based on your evaluation of the rest of the model.
Articulating Ethical Standards

Steps for Conducting a Discussion on Ethics

Encouraging the open discussion of ethics as part of the decision making process can increase the salience of ethical behavior for unit members. Below are steps a leader can take to prepare for a discussion on ethics.

1) Prepare

**LEADER’S ROLE**
- Seek information as needed
- Clarify unit ethical standards and expectations
- Communicate objectives

**UNIT MEMBER’S ROLE**
- Seek to understand unit ethical standards and expectations
- Determine how to contribute to these Ethical Standards

2) Align

**LEADER’S ROLE**
- Meet with leaders, peers and colleagues to discuss interdependencies across roles within the unit
- Communicate interdependencies to unit members

**UNIT MEMBER’S ROLE**
- Meet with peers and colleagues to discuss and clarify shared responsibilities
- Seek information about interdependent work processes
3) Prioritize

**LEADER’S ROLE**

- Provide direction concerning mission priorities
- Coach unit members in determining the priority of their individual ethical standards

**UNIT MEMBER’S ROLE**

- Work with other leaders to clarify the priorities for various ethical expectations
- Seek additional input as needed

4) Plan Activities

**LEADER’S ROLE**

- Review action plans and provide unit members with coaching and feedback
- Help unit members identify/obtain needed resources to achieve ethical standards

**UNIT MEMBER’S ROLE**

- Develop action plans for achieving ethical standards
- Identify resources needed to achieve ethical standards
- Review and finalize action plans with leadership team

By continuously articulating a common vision for ethical behavior, the leader can increase awareness of expectations and foster a stronger, more ethical climate.
Enforcing Ethical Standards

To maintain a high standard of ethical behavior, a system of rewards and punishment must be implemented that enforces the boundary of ethical standards. The Army Field Manual for Leaders encourages leaders to identify formal standards that can be described, measured, that are challenging but can be achieved, and to enforce those standards judiciously with rewards and punishments.

The purpose of this section is to teach leaders methods to enforce ethical standards within Army units. After reviewing the material, you should be able to:

- Actively guide/direct ethical behavior within your unit.
- Effectively utilize rewards and punishments to strengthen the ethical environment.
- Hold individual Soldiers accountable for ethical behavior in a fair and equitable manner.
The above diagram demonstrates the enforcement mechanism at a climate level. In order to build an ethical climate, a leader needs to understand that there must be a combination of reliable enforcement of ethical standards, shared expectations of future rewards and punishment, and ethical performance.

Climate is about reinforcing how the standards are viewed by the unit. Continuous efforts by the leader are needed to maintain a shared understanding for what is deemed ethical and unethical in the unit.
The picture above describes the main points a leader needs to understand when enforcing standards. Ethical climate enforcement includes both rewards for ethical behavior and punishment for unethical behavior.

**To reinforce unit member behavior:**

- **Reward:** Offer something positive after the behavior, such as an award, promotion, or public praise.
- **Escape:** Take away something negative after the behavior, such as a previous punishment.

**To prevent unit member behavior:**

- **Punishment:** Apply something negative after the behavior, such as additional chores or setting an example in public.
- **Penalty:** Take away something positive after the behavior, such as current privileges.
Planning Your Approach to Enforcement

When planning how to enforce ethical standards, you should ask yourself several important questions. Use the space below for your own ideas.

- What are the major points to emphasize when delivering the reward or punishment?
- How will the group member(s) respond to the discussion?
- How can I address the group member's major concerns?
- How will I explain my point of view?
- What questions can I ask?
- Where do we go from here?
- How can I engage group member(s) in conversation about the needs of the ethical climate?
Enforcing Ethical Standards

**DO...**

- Wisely choose the location for the meeting
- "Warm up" by practicing your delivery in advance
- Start with where you agree and then address any areas of disagreement
- Provide specific examples to support your decision
- Ask for the Soldier’s ideas on how ethical climate can be improved
- Sidestep problems

**DON’T...**

- Negotiate
- Set unrealistic standards or expectations
- Turn the session into a monologue
- Compare the Soldier’s performance to the performance of others

Please take time to review these tips as part of your climate-shaping strategy. Remember, enforcing ethical standards is a responsibility issued to every Army leader.
Climate Setting Exercise

Overview

Problem: Setting ethical climates takes time. Through many months of discussion and setting examples, Soldiers come to understand the leader’s ethical standards through after action reviews (AARs) and other forms of feedback.

Purpose: The purpose of this scenario-based discussion exercise is to provide the leader an opportunity to have an honest discussion regarding ethical dilemmas relevant to his or her unit. The leader should take this opportunity to capture the ethical “pulse” of their unit as well as shape the climate by articulating his or her standards.

Benefits: This discussion process will accelerate the alignment between leaders and their unit members. Encouraging discussions surrounding ethical dilemmas will lead to a stronger ethical climate as participants gain a better understanding of the leader’s expectations regarding ethical thinking and acting. Using this discussion tool will facilitate learning and reduce the risk associated with ethics-related mistakes being made in the field.

1. Step 1: Reflect on your Ethical Standards

2. Step 2: Choose Situation(s) to Discuss

3. Step 3: Facilitate
Discussion

Step 1: Reflect on Your Ethical Standards

Every leader has his or her personal standards about what is "ethical" or "the right thing to do." In order for your unit members to meet your expectations, they need to know your personal preferences as a leader. Particularly when faced with ethically ambiguous situations.

During this step, reflect on your ethical standards and identify those expectations that your unit members must know to guide their ethical behavior. Think back to previous situations in which Soldiers acted ethically or unethically.

The following are some types of situations to consider:

- **OPERATIONAL:**
  Tactical and Strategic Situations

- **SOCIAL INTERACTIONS:**
  Public Appearances and Ethical Dilemmas

- **ADMINISTRATIVE:**
  Resource Issues and Preparation
Step 2: Choose Situation(s) to Discuss

In Step 2, use your past experiences to create some hypothetical situations to discuss with members of your current unit.

Think of past situations:

- Situations in which you were impressed by the ethical thinking and ethical actions of Soldiers (yours or others) when faced with a tough situation.
- Situations in which Soldiers did not meet your ethical expectations. These could include common ethical mistakes made by new Soldiers coming into your command, or critical instances where Soldiers did not act according to your ethical standards.

Identify key features of the situation:

- What was done appropriately or inappropriately?
- What else could have been done appropriately or inappropriately?
- How did your personal expectation(s) affect or not affect the Soldier's behavior?
Climate Setting Exercise

Choose one or two of those past situations to discuss with members of your unit. In the space below, describe the background of the situation leading up to the decision point (e.g., consider METT-TC for tactical scenarios, and the who/what/where/why for social and administrative scenarios).

Write scenario background here:
Step 3: Facilitate Discussion

Discuss the scenario(s) with your subordinates to determine how their decision making aligns with your ethical expectations.

**Present Situation:**
Describe the situation up to the point that an action was taken.

**Subordinates Provide Action and Reasoning:**
Ask your subordinates how they would act and why they would take that action. Their rationale is critical for assessing alignment with your standards.

**Provide Additional Examples of Correct and Incorrect Actions:**
Give your subordinates insight into other possible ways of handling the situation, and "why" those potential actions either meet or violate your expectations.

**Critique Subordinate's Action:**
Inform your subordinates whether they met or violated your expectations. Clarify "why," and give them your rationale.

**Presenting "Spins":**
After working through one decision point, consider changing key parts of the situation by saying, "but what if...?" These alternative "spins" to the same situation create new problems, and new opportunities for your unit members to demonstrate how well they understand your expectations.
An infantry platoon in the 6th month of its deployment to Afghanistan is conducting a routine presence patrol in a local village as an IED explodes and small arms (SAF) fire erupts from several two story dwellings followed by cries of “medic, medic!” Well trained in its battle drills, the platoon reacts to contact, returns fire, clears the buildings where the SAF originated, treats the wounded Soldiers, and calls for a MEDEVAC. The platoon suffered two WIA's, including a popular SPC who the medic states may not make it.

Before the platoon leader can radio his company commander with an updated SITREP, one of his squad leaders reports, “LT, in clearing one of the buildings we discovered two dead civilians who were probably killed by one of our frags. One of the casualties is a small girl. The father is pissed and an angry crowd is gathering outside the house.” While the Medic continues to treat the casualties, the platoon sergeant pulls the LT aside and says, “LT you know what will come out of this if we report the civilian casualties. The last time that happened, the CO and the BN CDR were really mad. The new policy will require an investigation into the civilian deaths and you know what that will mean. A storm of investigators will come down on us like a swarm of locusts. Every Soldier will have to testify before some investigator who hasn’t got a clue what we go through. In the end we will be second guessed about every action we take in the future. The Army will pay off the family anyway. I bet we can scrape enough money together right now from within the platoon and offer it to the family. A few hundred bucks will probably do it. Then we can get back to the FOB and give these guys some rest. What do you say?”

Vignette #1-Serious Incident Report
A day later, MAJ X, the Battalion XO, knocks on the BN CDR’s CHU door and shouts, “Hey, Sir we have a situation you need to know about.” After entering, the XO says, “Sir, sorry to bring you bad news, but yesterday, 3rd Platoon, B Company, you know the one that had the KIA from the ambush and IED in the village, caused two civilian KIAs while clearing a building where they received some SAF. While I think they cleared the building in accordance with our ROE, they didn’t report it for fear it would result in an unneeded and unwanted investigation that would lay blame on the platoon anyway. To avoid this, they scraped some money together and paid off the family. I found out about it from the CSM who overheard one of the ‘Terps’ in the mess hall. I’ve got the Bravo Company Commander waiting in your office now with an update.”

While pissed off, The BN CDR regarded the Bravo Company Commander as his best commander and had hoped to persuade the Bde Commander (Fury 6) to give him command of the BN HHC in a few weeks. There were a couple NBQ Captains on the BDE staff that the Bde Cdr wanted to shove down his throat, and this incident would likely be enough for Fury 6 to disapprove his plan. The platoon leader was also squared away and he had considered him a good choice to take over his PSD. In his office, the Bravo Company commander apologized for not informing him of the incident explaining, “Sir, I learned about it at about the same time as the CSM. While I agree the Platoon leader showed bad judgment, you know he’s a good leader whose career will be in the gutter if this gets up to Fury 6. He’ll be relieved and lucky to be assigned as the assistant BN S4 responsible for leading nothing but the Sh_t burning detail. I need him. My other PLs are new, and he is my most seasoned PL.” The CSM was also in the office and with a tone showing his frustration, stated “And that’s not all. I spoke with the PSG and he confessed that the idea was his. We’ve all seen Fury 6’s temper and if he hears about this, the platoon will be decimated all the way down to the TL level and we will have a platoon good for nothing but perimeter security.” The Battalion Commander dismissed all but the XO saying after they leave, “I thought the bad guys would be my biggest headache. How do I navigate out of this one XO?”
The Battalion Commander of a Field Artillery Battalion deployed to OIF, “Hell Fire 6” has always had a great sense of humor and is popular with the troops because he expertly balances the mission with his genuine concern for the troops’ welfare. To maintain unit morale and break the monotony of the daily Battle Update Brief (BUB) presented by the staff and attended by each of his battery commanders, he charged each of the staff principles to develop humorous PowerPoint Slides to end their portion of the brief. While initially light and funny, after about a month the competition amongst the staff started to get cutthroat and slides begin to get personal, targeting each other as the subjects of increasingly inappropriate and often with highly suggestive sexual content with the S2 taking brunt of the hits. The tone is getting nastier, and when the XO suggests to Hell Fire 6 that they drop that part of the staff briefs, Hell Fire 6 acts surprised and says, “XO, these guys are working hard every day, and this allows them to decompress a little bit. I don’t think it’s gotten to that point yet.” Sure enough, the next day, the Assistant S3 (Infantry Captain) included a slide showing two men in the act of love making with a picture of the S2’s face superimposed on one of the men. The room went instantly silent before the XO thankfully called for the next briefer. The battalion S3 swore that the slide was not in the packet he approved for the update.
Setting Ethical Climates:
A Workshop For Army Leaders

Army Contract Number: W91WAW-09-C-0121

The U.S. Army currently faces continuous threats from insurgent combatants that often use unconventional, unethical, and even immoral methods to achieve their goals. When faced with these tactics, U.S. Soldiers must remain in control of their emotions and respond with ethical tactics. By clarifying and enforcing clear ethical standards, Army leaders can promote strong norms for ethical decision making and ensure that Soldiers understand the need to consider the ethical implications behind every decision.

To develop these competencies, the U.S. Army Research Institute for the Behavioral and Social Sciences (ARI) contracted Aptima to develop the CLIMATE training program to teach leaders the importance of ethical climates and the leadership responsibilities involved with setting and maintaining an ethical climate: climate assessment, ethical role modeling, articulating ethical standards, and enforcing ethical standards.

The CLIMATE training program will improve a leader’s ability to recognize and eschew threats to the ethical unit climate, and effectively enhance their Soldiers’ willingness to engage in the practice of ethical behaviors.

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APPENDIX D

CLIMATE Workshop
Stories & Quick Cases
<table>
<thead>
<tr>
<th>STORY</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>PATTON IN NORTH AFRICA</td>
<td>D-3</td>
</tr>
<tr>
<td>MG PETRAEUS’ FIRST COMBAT COMMAND</td>
<td>D-4</td>
</tr>
<tr>
<td>LTC SASSAMAN—“THE FALL OF THE WARRIOR KING”</td>
<td>D-5</td>
</tr>
<tr>
<td>BLACK HEARTS SUMMARY</td>
<td>D-8</td>
</tr>
<tr>
<td>ROMMEL’S VIEW OF KASSARINE</td>
<td>D-9</td>
</tr>
<tr>
<td>SMOKE JUMPERS</td>
<td>D-10</td>
</tr>
<tr>
<td>SEAL TEAM 10</td>
<td>D-11</td>
</tr>
<tr>
<td>A BIOGRAPHY OF SUN TZU, AUTHOR OF THE ART OF WAR</td>
<td>D-12</td>
</tr>
<tr>
<td>THREE BLIND MEN</td>
<td>D-14</td>
</tr>
<tr>
<td>SHACKLETON</td>
<td>D-15</td>
</tr>
<tr>
<td>COLOR OF YOUR PEN</td>
<td>D-16</td>
</tr>
<tr>
<td>CPT BOUNDS</td>
<td>D-17</td>
</tr>
<tr>
<td>RODEO TIME</td>
<td>D-18</td>
</tr>
<tr>
<td>RESET</td>
<td>D-19</td>
</tr>
<tr>
<td>THE S3 EXPERIENCE</td>
<td>D-20</td>
</tr>
<tr>
<td>NCO BOARD</td>
<td>D-21</td>
</tr>
<tr>
<td>WIVES IN PRINTING BUSINESS</td>
<td>D-22</td>
</tr>
<tr>
<td>10 MONTH DWELL</td>
<td>D-23</td>
</tr>
<tr>
<td>RELATIONSHIP</td>
<td>D-24</td>
</tr>
</tbody>
</table>
Story – Patton in North Africa

- On February 19, 1943, Field Marshal Erwin Rommel gave the order to attack in and around the Kassarine Pass in North Africa.
- It was the first significant meeting between the American and German forces in WWII.
  - It was referred to as the time when the amateurs met the professionals, and the Americans were the amateurs.
  - It did not go well for the Americans.
- Within minutes, the US lines were broken.
- By the night of Feb. 20th, the Americans were pulling back so quickly that they left their equipment in the field and ran.
- By nightfall on the 21st, the Germans had pushed so far and so fast that they had outrun their supplies and Rommel gave the order to fall back.
  - Largely, he may have believed the Americans offered little resistance and could easily be routed again.
- By Feb. 25th, the Germans had left the Kassarine Pass (taking the American equipment as they left) and the Americans had reoccupied it.
- What followed was a serious study of the battle and what went wrong. This was led by MG Omar Bradley. Many issues were identified, including leadership failures and discipline issues. Command Climate played a large role.
- On March 6th, MG George Patton was placed in command of II Corps.
- Changes were made immediately, including:
  - Fines for improper uniform, including helmets (even in the latrine), neckties for officers, daily shaving, and unpopular lace-up leggings – the $25 derby
  - Changes in the way units were deployed and decisions made
- Impact was quick: On March 15th 1943, Patton gave the order to attack, with very different results.
  - The Germans and Italians were pushed out of North Africa by mid-May.
- Additional detail can be provided on the way Patton was viewed by Soldiers at different levels under his command, the way decisions were made before and after Patton took over, and the impact that had on climate.

Additional Background:

For additional history and background on GEN George S. Patton please view the following links:

Personal and military history:  

North African campaign history:  
http://www.u-s-history.com/pages/h1727.html  
http://worldwar2history.info/North-Africa/Patton.html
Story – MG Petraeus’ First Combat Command

- In 2003, Petraeus, then a Major General, saw combat for the first time when he commanded the 101st Airborne Division during V Corps's drive to Baghdad.
- Noted as a sign that Petraeus recognized early that there were significant difficulties ahead following the fall of Sadam’s government, throughout the campaign he periodically would ask embedded Washington Post reporter Rick Atkinson to "Tell me how this ends."
- Najaf is one of the holiest cities in Iraq. In March 2003, Petraeus and the 101st were tasked with securing the city, as V Corps and the 3 IB marched toward Bagdad. Early planning had suggested Najaf could be passed by; however, supply routes now required that it be secure. The effort had risks and challenges, both tactical and psychological.
  - Petraeus and his officers were guided by their warfighters’ two key questions: What can you do? What should you do?
  - For example, they could knock out the electricity for the city, but did they want to see pictures on CNN of the baby who died because power to the incubator was cut?
  - Even at this early juncture in the war, Petraeus advocated using force judiciously. In one specific case, he called off an artillery attack that might have inflicted significant damage on the enemy, yet would cause significant collateral damage. He opted instead for a more deliberate and costly approach using guided munitions.
  - His methods frustrated some of his leaders, who advocated for a more aggressive approach. While he was keenly focused on achieving his mission objectives, he also balanced those with the psychological wellbeing of his warfighters, and the long term stabilization of the country after Sadam’s regime was removed.

Additional Background:

For additional background on GEN Petraeus:
Story – LTC Sassaman - “The Fall of the Warrior King”

Instructors are highly encouraged to read Dexter Filkins’ article “The Fall of the Warrior King” for a rich wealth of details surrounding LTC Sassaman’s story. Quotations in the bullets below are derived from Filkins’ article, which can be accessed at: http://www.nytimes.com/2005/10/23/magazine/23sassaman.html?_r=3&pagewanted=all

Scenario specifics - Unit background
• Commander LTC Nathan Sassaman had 19 years in the Army and “was one of the nimblest, most aggressive officers in Iraq.”
• Well educated and highly trained, Sassaman took initiative and seemed to have command as soon as he walked into the room. He was as tough as he was smart (straight-A student; Master's degree in Public Administration from University of Washington).
• He took control of Fourth Infantry Division's 1-8 BN in June 2003.
• Pre-deployment, the BN prepared for a conventional war against a mock Iraqi Army called the "Kraznovians." They were not prepared for nation-building or guerilla warfare.
• Sassaman's BN was known for taking an aggressive stance. Samarra was a problematic city, and Sassaman’s troops were sent to regain Samarra after it had fallen from American control.
• MG Odierno, Commander of 4ID, asked Sassaman to "increase lethality," to which Sassaman commented, "We are going to inflict extreme violence."
• Sassaman noted that "It's like Jekyll and Hyde out here. By day, we're putting on a happy face. By night, we are hunting down and killing our enemies."
• Commendable acts: Sassaman had commanded 800 Soldiers in the Sunni Triangle, which was rife with insurgents. He was responsible for 300 square miles.

Community-builder in Balad - Embraced by the Shiite people
• Although Sassaman had no formal training in how to establish government and had no manuals to rely on, Sassaman exerted a great deal of effort with the Balad City Council to establish democratic practices.
• He set up a Balad Police Department using a police operations manual that one of his Reservists brought on the deployment.
• Sassaman encountered resistance from the civilian leadership in Baghdad, but he managed to register 45,000 voters for an election. He received permission to hold elections “by agreeing to call the balloting a ‘selection,’ not an ‘election.’”
• He committed questionable acts when challenged or attacked constantly by insurgents in Sunni populations.
• He conducted raids frequently in the nearby Sunni towns of Samarra and Abu Hishma.
• After a brief truce, he was attacked again from insurgents in Abu Hishma.
  o Under direct orders from supervisor COL Frederick Rudesheim, he surrounded Abu Hishma with barb wire, which decreased violence in the short-term, but also created more enemies.LTC Sassaman became an object of fear for the Iraqi people.

Stopping the truck at curfew
• Marwan (24 yrs old) and Zaydoon (19 yrs old) drove a white Kia pickup truck to a checkpoint just before or after curfew. The truck was similar to vehicles used by insurgent mortar teams.
• The truck contained plumbing parts for toilets - something Marwan and Zaydoon went to Baghdad to acquire to sell in Samarra.
• Marwan and Zaydoon claimed their truck broke down on the way from Baghdad, and they stopped to fix it, racing back to Samarra to beat the curfew.
• PLT enlisted Soldiers were satisfied that neither was an insurgent.
• Squad leader SGT Carl Ironeyes let them go with a stern warning.

**Exercising "nonlethal force"**

• LT Jack Saville (First Platoon Leader in Alpha Company) ordered SGT Ironeyes over the radio to stop the men and detain them.
• Soldiers cuffed Marwan and Zaydoon and put them in their Bradley.
• LT Saville ordered the platoon not to return to their base (as protocol dictated), but to take a detour outside of town to a bridge over the Tigris River.
• Soldiers pulled the two men out of the Bradley and uncuffed them.
• After some resistance by SSG Tracy Perkins ("Are you crazy?" he said to Saville), Saville agreed to a different spot - a place on the riverbank beneath the bridge.
• Standing 10 feet above the Tigris River, one of the armed Soldiers motioned to the men, and another said, "Jump."
• Zaydoon (the "skinny" one) kneeled and pleaded not to be thrown into the water. One Soldier pointed a gun at them, while another threw Zaydoon into the Tigris. Marwan (the "fat" one) willingly jumped in after. This amounted to a fraternity prank for the Soldiers, and represented their discretion in using nonlethal force.
• Driving away in the Bradley, Soldiers could see one man, maybe two on the bank of the water where Zaydoon and Marwan were thrown in. They assumed Marwan and Zaydoon made it out of the water safely.

**Sassaman's big mistake**

• Sassaman learned of the event a few days later, and knew from COL Rudesheim that if it was learned that the men threw the two Iraqis in the water, they could all be court martialed. Although Sassaman didn't know, an investigation already began.
• Sassaman did not feel as though his men should receive such a penalty, especially after all they had been through. When he learned that his men would be questioned about what happened, he told one of his company commanders to "Tell them about everything except the water."
• Soldiers quickly made up a common story, but some of the Soldiers told the truth during investigations, causing Sassaman to come clean to MG Odierno directly.
Additional facts revealed later

- Marwan had no doubt that the Americans were trying to murder them. He said the current was so strong that it took him and Zaydoon downstream - he tried to find Zaydoon, but was grasping onto a branch hanging over the water in order to not go through the open gates to the dam (less than 50 feet away from where they entered the water). It was confirmed in court that the dams were open that night, which can easily create a current strong enough to pull a person under and through the dam.
- What is believed to be Zaydoon's body showed up 13 days later in a reservoir.
- Several men were arrested, not for killing Zaydoon, but for throwing the men in the water.
- Sassaman was put away for 45 days for withholding the truth and interfering with an Army investigation.

Additional Background:

Story – Black Hearts Summary

In March 2006, in the south of Baghdad, the 1st Battalion, 502nd Infantry Regiment, 101st Airborne Division faced the most dangerous spot in an extremely dangerous country, the Triangle of Death. It featured IEDs that made every Humvee ride “an exercise in terror” and a civilian population indistinguishable from the deadly armed militias. With too few men to mount proper patrols, and the circulation of suicide car bombings and videotaped beheadings, every Soldier had to endure constant stress and resist hating the very people they were charged with protecting. The book recounts the breakdown of 1st Platoon, Bravo Company, when four Soldiers raped and killed an Iraqi girl and murdered her family. The 1st Platoon’s psychological isolation, a consequence of having three of their leaders killed in a two-week period, resulted in disorder, amplified by a leadership vacuum and by discriminatory comparisons by senior officers with Bravo’s other platoons. An elevated sense of self-pity, combined with the perceived disrespect of high command, created a toxic command climate that led to the crime.

Additional Background:

In North Africa, following the Battle of Kassarine Pass in 1943, Field Marshal Rommel studied the results, as well. Overall, he was not impressed with the American fighting abilities. Nevertheless, he did call out and praise the 13th Armored Regiment of MG Orlando Ward’s 1st Armored Division, noting their defense of Sbeitla as “clever and well fought.” While this unit exhibited a discipline and ability other units did not, MG Ward failed to show the tenacity and personal leadership of troops in battle that LTG Patton expected. As GEN Eisenhower’s directive that generals were also expendable in a war made clear, MG Ward was not demonstrating his capability to lead in alignment with the command standards established by his leaders. Consequently, MG Ward was relieved of command, and is the only General that LTG Patton removed from command during the entirety of WWII.

Additional Background:

http://www.u-s-history.com/pages/h1727.html
http://worldwar2history.info/North-Africa/Patton.html
Shaping the climate is about recognizing the opportunity to clarify expectations and taking action at the right time. Timing is critical. One useful analogy is a common saying amongst smoke jumpers (those who jump out of planes to fight fires in the wilderness): “Every fire you jump out of a plane to fight at some point could have been put out with a half a cup of coffee. You just need to be at the right place at the right time.” As a leader, taking action at the right time requires maintaining awareness of the climate, recognizing opportunities to clarify expectations, and being proactive in shaping those expectations.
Story – SEAL Team10

In the Hindu Kush mountains of Afghanistan’s Kunar province in 2005, the 4-man Navy SEAL Team 10 was setting up an observation post when they were approached by 2 local men, a 14-yr old boy, and approximately 100 goats. The SEAL team had to decide what to do in this situation: Let them go and possibly compromise the SEALs’ location? Kill them to eliminate the threat? Hold them captive until the watch is over? What’s the right thing to do here? (Loosely based on Marcus Luttrell’s, *Lone Survivor* (New York: Little, Brown & Co., 2007)

*What happened to the SEAL Team?* They let the man and kid go. Soon after, Al Qaida fighters swarmed the area and the SEAL team was outmanned. All died but one, who fell off a cliff and lived, thanks to the care of locals – he survived and told this story.

**Additional Background**

Story – A Biography of Sun Tzu, Author of The Art of War


Sun Tzu, whose personal name was Wu, was a native of the Ch‘i state. His Art of War brought him to the notice of Ho Lu, King of Wu. Ho Lu said to him, "I have carefully perused your thirteen chapters. May I submit your theory of managing Soldiers to a slight test?"

Sun Tzu replied, "You may."

The king asked, "May the test be applied to women?"

The answer was again in the affirmative, so arrangements were made to bring 180 ladies out of the palace. Sun Tzu divided them into two companies and placed one of the king's favorite concubines at the head of each. He then made them all take spears in their hands and addressed them thus: "I presume you know the difference between front and back, right hand and left hand?"

The girls replied, "Yes."

Sun Tzu went on. "When I say 'eyes front,' you must look straight ahead. When I say 'left turn,' you must face toward your left hand. When I say 'right turn,' you must face toward your right hand. When I say 'about turn,' you must face right around toward the back."

Again the girls assented. The words of command having been thus explained, he set up the halberds and battle-axes in order to begin the drill. Then to the sound of drums he gave the order "right turn," but the girls only burst out laughing.

Sun Tzu said patiently, "If words of command are not clear and
distinct, if orders are not thoroughly understood, then the general is to blame." He started drilling them again and this time gave the order "left turn," whereupon the girls once more burst into fits of laughter.

Then he said, "If words of command are not clear and distinct, if orders are not thoroughly understood, the general is to blame. But if his orders are clear and the Soldiers nevertheless disobey, then it is the fault of their officers." So saying, he ordered the leaders of the two companies to be beheaded.

Now the King of Wu was watching from the top of a raised pavilion, and when he saw that his favorite concubines were about to be executed, he was greatly alarmed and hurriedly sent down the following message: "We are now quite satisfied as to our general's ability to handle troops. If we are bereft of these two concubines, our meat and drink will lose their savor. It is our wish that they shall not be beheaded."

Sun Tzu replied even more patiently: "Having once received His Majesty's commission to be general of his forces, there are certain commands of His Majesty which, acting in that capacity, I am unable to accept." Accordingly, and immediately, he had the two leaders beheaded and straightaway installed the pair next in order as leaders in their place. When this had been done, the drum was sounded for the drill once more. The girls went through all the evolutions, turning to the right or to the left, marching ahead or wheeling about, kneeling or standing, with perfect accuracy and precision, not venturing to utter a sound.

Then Sun Tzu sent a messenger to the king saying, "Your Soldiers, Sire, are now properly drilled and disciplined and ready for Your Majesty's inspection. They can be put to any use that their sovereign may desire. Bid them go through fire and water and they will not now disobey."

But the king replied, "Let our general cease drilling and return to camp. As for us, we have no wish to come down and inspect the troops."

Thereupon Sun Tzu said calmly, "The king is only fond of words and
cannot translate them into deeds."

After that the King of Wu saw that Sun Tzu was one who knew how to handle an army, and appointed him general. In the west Sun Tzu defeated the Ch'u state and forced his way into Ying, the capital; to the north he put fear into the states of Ch’i and Chin, and spread his fame abroad among the feudal princes. And Sun Tzu shared in the might of the kingdom.
Story – Three Blind Men

Three blind friends were walking through the forest, helping each other along. They came upon an elephant blocking the path. They agreed that they would separate and each examine what was in the path, then return and together they would determine how to get around it. The first reached out and found the elephant’s ear; he concluded that what was blocking their path was thin, flat and similar to a bed sheet. The second reached out and grasped the elephant’s tail; he concluded that it was long and round like a thick rope with a frayed end. The third reached out and found the middle of the elephant; he concluded that it was thick, solid and flat, much like a solid wall. They all came together with their understanding of what was blocking their path. After the first shared his conclusion, the other two strongly disagreed, when the second shared his conclusions the other two again strongly disagreed. After the third shared his conclusions they all began to argue and question the competence of their compatriots. During the argument, the elephant wandered off to find a quieter place to rest. The three blind men became so frustrated with each other they each stormed off alone, convinced they and only they knew what was in their path. All became lost in the forest and none made it back to the village.
The year was 1914, and Sir Ernest Shackleton left England in command of the Endurance with 26 sailors, photographers and explorers bound for the South pole. What followed was a story of adventure, tragedy and, ultimately, survival in some of the harshest conditions on the planet. Over the next 18 months, the Endurance would become trapped and, eventually, crushed by the ice. Shackleton and his crew would abandon their ship, drag lifeboats across miles of ice, and eventually be rescued after what has been called a miraculous survival. “Shackleton was never too big to ask for advice…Never too big to ask anybody what they thought of anything, including the lower deck,” noted Lionel Greenstreet, first mate on the Endurance. Several men aboard the Endurance noted that one of the keys to Shackleton’s success was his ability to lead by example. Specifically, he always put his team’s needs before his own; he was visible in the workplace, he stayed calm in crisis, modeling the behavior he wanted his men to follow; he kept his plans flexible. There are many lessons in leadership we can draw from Shackleton; at the core is leading by example.

Additional Background


A COL took command of an administrative unit. In the past, he had developed a system of taking notes during meetings that included using different color pens to note different things (e.g., red for deadlines, green for new ideas, blue for background, etc.). After several staff meetings, he noticed that his team members were all now bringing different color pens to the meetings and taking notes with them. He had never even mentioned why he did this to anyone in the unit. He started trying different things to see if his unit would mimic him. He carried a backpack everywhere, within two weeks everyone was carrying backpacks; he started bringing a water bottle to meetings, and soon everyone brought water. Every time, he noted how quickly people adopted new habits. Then he started noticing the other habits his team members were adopting that he was not intentionally modeling.
Quick Case – CPT Bounds

With the drawdown in OIF, the Battalion you’re inheriting has had some station time at home. They’ve been tasked to support small missions from time to time, but nothing serious. All METL tasks are in great standing, but these scores are based on their last deployment almost 16 months ago. The unit seems in order, and your in-brief with the BDE CDR indicated you are taking command of a great battalion. The CDR’s words were “don’t screw it up.”

As you head back to the HQ from the chow hall, the S1 intercepts you coming in the door. “Sir, I just got the inbound officer laydown. You will not believe this, but the BDE S1 said we are going to replace the Charlie Company Commander with a CPT Shane Bounds. The BDE S1 said that this was coming straight from the Brigade Commander.”

It is just after 1700 when you knock on the BDE CDR’s door. “Hey, come on in,” he says, “What’s up?” You explain the email from the BDE S1 and ask what is going on, in your most friendly face. The BDE CDR explains that CPT Bounds is the son of an old friend, he has a good head on his shoulders, and you will be asked to mentor him.

Three months later, he arrives to your unit. At the change of command, his voice cracks as he calls the unit to attention. You can hear the Soldiers chuckle in formation. He is a very junior captain. He went from platoon time, to the Captain’s Career Course, and now to your unit. He has had no staff time and his platoon time was not even during combat. By now, everyone knows why he is in command. Soldiers do the minimum to achieve what he asks, and the Soldiers are no longer going the extra mile. He has only one month under his belt at this point. Morale is down. You cannot help but wonder if, or what, you should do about the situation.
Quick Case – Rodeo Time

With the drawdown in OIF, the Battalion you’re inheriting has had some station time at home. They’ve been tasked to support small missions from time to time, but nothing serious. All METL tasks are in great standing, but these scores are based on their last deployment almost 16 months ago. The unit seems in order, and your in-brief with the BDE CDR indicated you are taking command of a great battalion. The CDR’s words were “don’t screw it up.”

At the Commanders meeting, the BDE CDR announces that in two weeks the BDE CSM will host a maintenance rodeo. The Operational Readiness (OR) rates have been low the last few months. Some of it has been due to parts ordering issues, but the CSM wants to jump start the maintenance battalion. He is inviting the other battalions to participate. Each battalion will put together a twenty-man team to perform operator level maintenance tasks during the rodeo.

On the way out of the conference room, LTC Sam Southerland, a very competitive battalion commander who is gunning for your battalion, catches up to talk smack about the maintenance rodeo. He issues you a side wager, as well. If your battalion wins, Sam will shave his head, and if they beat yours, you will shave your head.

The following day, during your staff meeting, you bring up the maintenance rodeo. Your CSM is up to speed and is already making preparations for your team. At the end of the meeting, you explain that this info is close hold.

You just finished chow and your driver is on the way to pick you up. As he greets you outside, he has a troubled look on his face. You quiz him inside the car, and on the way to your next meeting. The driver states that this is the second time he has told off CSM Rick Treadaway (LTC Southerland’s CSM). He feels a bit guilty, since CSM Treadaway was his own 1SG six months ago, but CSM Treadaway keeps asking him questions about their rodeo team. The driver says CSM Treadaway put a lot of pressure on him, and he just told him “with all due respect, I ain’t telling you s&*%.”

You give your CSM credit for loyalty, but you don’t think that’s the way to speak to a senior NCO. You wonder how much pressure your driver was getting from the other BDE CSM.
Quick Case – RESET

With the drawdown in OIF, the Battalion you’re inheriting has had some station time at home. They’ve been tasked to support small missions from time to time, but nothing serious. All METL tasks are in great standing, but these scores are based on their last deployment almost 16 months ago. The unit seems in order, and your in-brief with the BDE CDR indicated you are taking command of a great battalion. The CDR’s words were “don’t screw it up.”

You just started your Command and Staff meeting. Since the battalion is still in the RESET process, you have the S4 brief the battalion’s status as the first item on the agenda. Then, each commander takes you through his status and issues. Nothing out of the ordinary, but timelines for RESET seem more aggressive than you thought they would be. Each installation is different, but something about the schedule does not seem right. Entrance and turn-around times seem ahead of what you were briefed at a Brigade RESET meeting last Friday.

The next day, you have your XO and CSM look into the RESET matter. It takes most of the day, but ends with the Post RESET manager Jack Caraway. Mr. Caraway explained that he and your BN S4 hunt on the weekends. The S4 has a membership to a great deer camp that Mr. Caraway could not afford to join, so he goes as his guest. This has been a relationship that has lasted several years. When the S4 came to Jack to inquire about RESET activities for the battalion, Jack bumped the battalion up in the queue.

You went back to the battalion to confront your S4. He explains he was following previous guidance from the old battalion commander. Everyone on the staff does all it can to ensure the battalion is first and comes out on top. The S4 says, “The battalion is not the most liked in the brigade, but we always get the best ranges and times, best equipment, and score the best during any exercise.” The S4 says he called in the favor so the battalion would be the first to have all its equipment out of RESET and ready for the next deployment.

The esprit de corps is admirable, but you are starting to have issues about the execution. Immediate thoughts go back to what the Brigade has on its schedule for the unit, and the ramifications if your battalion has now bumped the entire Brigade’s plan, or worse, bumped the plans of other Brigades.
Quick Case – The S3 Experience

With the drawdown in OIF, the Battalion you’re inheriting has had some station time at home. They’ve been tasked to support small missions from time to time, but nothing serious. All METL tasks are in great standing, but these scores are based on their last deployment almost 16 months ago. The unit seems in order, and your in-brief with the BDE CDR indicated you are taking command of a great battalion. The CDR’s words were “don’t screw it up.”

You are about to begin the operations portion of a 30-day exercise to train for your unit’s deployment to Afghanistan, and a notional OPORD came in last night. The OPORD called for one general reconnaissance mission and two simultaneous cordon & knocks to look for a high value target (HVT) in separate areas. You have only deployed to Iraq, so the new operational environment provides challenges you are not used to. This is where your S3’s experience will play a pivotal role. The backbrief seems to be accurate, but you give a bit more guidance for the Alpha Company Commander to emphasize one of the avenues of approach based on intelligence from the BDE S2. Your S3 – who has been with the battalion in various roles through the last three Afghanistan rotations – did not say anything about your changes, but his body language showed he was less than happy about it.

The next day, as the S3 is coordinating assets and keeping a watchful eye, the companies execute the cordon & knock in two different areas. Suddenly, Bravo Company has a platoon being pinned down by sniper fire. This S3 gives orders to assist with locating the sniper. Within minutes of the sniper engaging Bravo Company, the other cordon & knock mission has a suicide vehicle-borne improvised explosive device (SVBIED) detonate near one of Alpha Company’s positions, killing a platoon leader and wounding the RTO. You noticed that the SVBIED came down the very avenue of approach that you had asked to receive more attention during the backbrief. After the mission, you pull the S3 aside and ask why your orders were ignored, or if there was miscommunication with the company commander. The S3 replies, “I’ve been to Afghanistan three times. I know what I’m doing. Like I said, normally we don’t have to watch the smaller alleys. This is all just a game, an exercise. I’ve been there. The OC shadowing me deployed to Iraq four years ago. This exercise is not as real as everyone wants us to think.”
Quick Case – NCO Board

With the drawdown in OIF, the Battalion you’re inheriting has had some station time at home. They’ve been tasked to support small missions from time to time, but nothing serious. All METL tasks are in great standing, but these scores are based on their last deployment almost 16 months ago. The unit seems in order, and your in-brief with the BDE CDR indicated you are taking command of a great battalion. The CDR’s words were “don’t screw it up.”

Today you have decided to stop in on the battalion NCO board. Your CSM was happy to see you take an interest. Of particular interest was one E-5, SGT Masters, who started out as an E-6 when you took command four months ago and was later demoted. The CSM had spoken poorly about him in previous conversations. However, SGT Masters did a tremendous job on the board.

As you listened in on the review process, your CSM ran through the list of NCOs. For almost all, he called off a name then let the 1SGs on the board provide their opinions and ratings. On SGT Masters, the CSM led the discussion. His comments were negative against this Soldier. As the other 1SGs chimed in, it seemed that everyone was in agreement. The conversation steered away from SGT Masters’ performance at the board. You knew this was fair. The board is only a small part of the process. The real question is one of SGT Masters being ready for the next level of leadership, especially since he had been a SSG before and was demoted due to poor judgment. However, you heard that SGT Masters had made some progress. You do not monitor him closely, but you took an interest in his case and have followed from a distance. The new consensus among 1SGs was “no.” Even SGT Masters’ 1SG voted against him. However, you know the CSM has a tight rein on his 1SGs. He is what some might call a micro-manager. You wonder if the CSM influenced the other 1SGs by speaking first, and reflect on whether SGT Masters was given fair consideration.
Quick Case – Wives in Printing Business

With the drawdown in OIF, the Battalion you’re inheriting has had some station time at home. They’ve been tasked to support small missions from time to time, but nothing serious. All METL tasks are in great standing, but these scores are based on their last deployment almost 16 months ago. The unit seems in order, and your in-brief with the BDE CDR indicated you are taking command of a great battalion. The CDR’s words were “don’t screw it up.”

At a lunch with a friend, your friend mentions that some of the spouses in the battalion are starting their own business, a small shop like a Kinkos but with a focus on developing posters, fliers, and patches. They are targeting the base and its units. You tell your friend that this could be an issue, and the Family Readiness Group (FRG), as well as your battalion, will have to stick to the rules about organizational conflict of interest (OCI). But, maybe it’s no different from one of your senior NCOs, whose wife opened a Korean restaurant outside the gate. You don’t hold official functions there, but the Soldiers eat there once a week to help them out.

Sitting at your desk you hear the S1 yell, “Why do we not have any printer paper or yellow stickies?” This is a frustrating tirade you have heard from more than one staff officer this week. The battalion has been putting out more OPORDs and FRAGOs over the last few weeks, due to the Division Commander visiting the battalion during field exercises the next week. This could be the reason for the office supply shortage lately. The S4 NCOIC pokes his head out and talks to the S1. Things start to quiet down in HQ.

You have heard this more than once, and decide to ask the XO to “mentor” the S1 about his office tirades and then leave it alone. However, the S1 did not seem to want to leave it alone. The XO reports back that your S1 is accusing the S4 NCOIC of stealing paper, folders, and other supplies for his own personal use. Worse, in the back of your mind you remember one of the spouses starting this new business was the S4 NCOIC’s wife.

There is no proof, and the XO reminds the S1 that this is a very serious accusation. The XO also tells you he will check into it. As you keep your ears open, you begin to hear more rumors about Soldiers in your battalion using Army resources illegally to help out the wives start different businesses. It does not seem to be an issue, but even your Company Commanders are seeing their Soldiers not working well together because of issues between their wives.

How do you respond? What can you do to impact the climate?
Quick Case – 10 Month Dwell

With the drawdown in OIF, the Battalion you’re inheriting has had some station time at home. They’ve been tasked to support small missions from time to time, but nothing serious. All METL tasks are in great standing, but these scores are based on their last deployment almost 16 months ago. The unit seems in order, and your in-brief with the BDE CDR indicated you are taking command of a great battalion. The CDR’s words were “don’t screw it up.”

You just learned from a meeting at Brigade Headquarters that the unit is scheduled to return to Afghanistan with only 10 months dwell time. That gives the entire brigade only a few months left to prepare and deploy. You immediately notice that your battalion is scheduled for a two-week field exercise this month, followed by a thirty day CTC rotation. Your battalion had only basic weapons qualifications last month, and has done no convoy training or live fire exercises due to equipment in RESET.

Immediately after the announcement to all the Soldiers, the unit’s morale dropped. Things that were accomplished in minimal time now seemed to drag on for weeks. Company Commanders were keeping their Soldiers even later every day to accomplish things that could be done during regular duty hours. Maintenance personnel were coming in on weekends to ensure equipment and vehicles were ready for the upcoming field exercises. After a month of this behavior, you can feel the slip in morale even more. The CSM tells you a couple of senior NCOs-- who were good Soldiers-- had asked to transfer out of the unit. Most of the Soldiers in your unit already completed three or four rotations.

If this trend continues, what will you do to get the unit ready for the upcoming training exercises?

What are the implications of this situation for the ethical climate you wish to have for your unit?
Quick Case – Relationship

With the drawdown in OIF, the Battalion you’re inheriting has had some station time at home. They’ve been tasked to support small missions from time to time, but nothing serious. All METL tasks are in great standing, but these scores are based on their last deployment almost 16 months ago. The unit seems in order, and your in-brief with the BDE CDR indicated you are taking command of a great battalion. The CDR’s words were “don’t screw it up.”

You recently heard a rumor that one of your captains was seen coming out of a senior NCO’s trailer. From what you heard, it wasn’t a routine visit by the way they were holding hands when she left. You had heard rumors of all sorts of activity like this going on recently. It was against UCMJ, and especially not good between Commanders and NCOs in high leadership positions. Your CSM thinks it could be the Echo Company Commander and the Alpha Company 1SG. The CSM found an NCO who was friends with the 1SG’s wife. The NCO told your CSM that the Alpha Company 1SG’s wife had unexpectedly received divorce papers about three weeks ago.

The CSM decides to confront the Alpha Company 1SG. The 1SG defends himself, telling the CSM that it’s not what the CSM is implying, and he just needed a female friend to talk to about his marital problems. He tells the CSM he will be more careful about their interactions. Nevertheless, as the months went on, their relationship seemed to be growing and becoming more public. You have a quarterly counseling session coming up with the Echo Company Commander.

What do you plan to do?

What does this situation tell you about the ethical climate in the unit?

What are the implications for the ethical climate in this unit?
Setting an Ethical Climate
Workshop For Army Leaders
Ethics promoted by the US Army as an institution

“Doing the right thing is good. Doing the right thing for the right reason and with the right goal is better. People of character must possess the desire to act ethically in all situations. One of the Army leader’s primary responsibilities is to maintain an ethical climate that supports development of such character. When an organization’s ethical climate nurtures ethical behavior, people will think, feel, and act ethically. They will internalize the aspects of sound character. Leaders who are excessively negative, do not value people’s worth, and berate followers are not setting a good example.”

ADRP 6-22: Army Leadership
Lesson 1: Ethical Climates
Lesson 2: Role of Leadership in Setting an Ethical Climate
Lesson 3: Assessing the Ethical Climate
Lesson 4: Modeling Ethical Behavior
Lesson 5: Communicating Ethical Standards
Lesson 6: Enforcing Ethical Standards
Climate is a measure of whether unit members think the same way about the unit.

Climate is stronger if everyone shares the same beliefs about the unit.

Climate is positive if the content of the shared beliefs aligns with organizational standards or expectations.

Units can include:
- Squad
- Platoon
- Battalion
An ethical climate refers to unit members (1) agreeing to what the ethical standards are and (2) behaving in accordance with those set standards.

For example:

**Strong ethical climate**
= Everyone is in agreement about the ethical standards and will take proactive steps to align decisions and behavior with those well-established standards.

**Weak ethical climate**
= Everyone has a different understanding of what the ethical standards are and there are few proactive attempts to align decisions and behavior with the leader’s ethical standards.
Army OIF survey shows that leader climate-setting behaviors create *stronger ethical climates* and *more effective units*.

Source: Center for the Army Profession and Ethic (CAPE) 2010

82% of corporate employees surveyed said they would be **willing to be paid less** if it meant working for a ethical company.

Source: LRN 2007
Critical Role of Leaders in Shaping Climates

**CLIMATE**

**Leader**
- Assessing Unit Ethical Climate
- Modeling Ethical Behavior
- Articulating Ethical Standards
- Enforcing Ethical Standards

**Unit Ethical Climate**
- Knowledge of What is Ethical
- Norms for Ethical Behavior
- Expected Reward & Punishment

**Individual Group Members**
- Ethical Thinking: Considers Ethics
- Ethical Acting: Ethical Behaviors

Environmental Conditions

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ClimateCard Elements

- Checklist for assessing ethical climates
- Characteristics of ethical role models
- Techniques for identifying and communicating your ethical standards
- Guides for reinforcing ethical behavior

ClimateCard Goals

- Learn to identify and communicate your ethical standards
- Help Soldiers understand how to react in ethically-charged situations
- Develop a strong ethical climate

Developmental Spins

- Resource for helping the leader use “spins” to increase the complexity of hypothetical ethical dilemmas during team discussions
Activity: What Are Your Ethical Standards?

Does this decision involve a choice between two “goods” or “bads”?

Who counts, and what do you consider when making ethical decisions?

What am I most concerned about?

a. Producing the most good and doing the least harm
b. Respecting the rights of all who have a stake
c. Treating people equally or proportionately
d. Serving the community as a whole
e. Leading me to act as the sort of person I want to be

What are the options for acting?
Unit Member Ethical Decisions and Behavior

CLIMATE

Leader Influence

Peer Influence

Environmental Conditions

Shaping Climate
On your own:

- Write down your top 3 Army, Unit or individual reasons for building an ethical climate.
- From this list, select the 2 most important reasons.
- From this list, which is the single most important reason?

Share with the group:

- What is the single most important Army, Unit, or individual reason for building an ethical climate?
- What reason was the most difficult to eliminate from your list?
Assessing Unit Ethical Climate

CLIMATE

Assessing Unit Ethical Climate

Leader

Modeling Ethical Behavior
Articulating Ethical Standards
Enforcing Ethical Standards

Unit Ethical Climate

Knowledge of What is Ethical
Norms for Ethical Behavior
Expected Reward & Punishment

Individual Group Members

Ethical Thinking: Considers Ethics
Ethical Acting: Ethical Behaviors

Environmental Conditions

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Methods to Assess Climate

**Formal Assessments**
- Reviews
- Surveys

**Informal Assessments**
- Observations
- Discussions

Can you think of examples of each?
CLIMATE

Observe, Assess, & Evaluate Climate

Take Dramatic Action
- Describe standards in new ways
- Set the tone through your own behavior
- Formal punishment

Revise Your Message
- Clarify message for ethical expectations
- Greater visibility of ethical leadership
- More consistent enforcement

Remain Consistent
- Keep current message
- Continue to lead by example
- Continue methods for reinforcement

Increase Cohesion
- Increase discussion of ethical standards
- Greater visibility of ethical leadership
- Encourage positive ethical behavior

Greater visibility of ethical leadership

APTIMA
HUMAN-CENTERED ENGINEERING
Assessing Unit Ethical Climate

• Knowledge of What is Ethical
• Norms for Ethical Behavior
• Expected Reward & Punishment

Modeling Ethical Behavior

• Ethical Thinking: Considers Ethics
• Ethical Acting: Ethical Behaviors

Leader

Articulating Ethical Standards

Enforcing Ethical Standards

Unit Ethical Climate

Environmental Conditions

Individual Group Members

CLIMATE
Results

Unit members:
- Adopt ethical standards in their self-concept
- Internalize the values and goals of the institution
- Commit to those values and goals
- Become interested in achieving the common good

Modeling can help connect the follower's sense of identity and self to the leader’s ethical standards.
Think of a leader you’ve had in the past who you consider ethical.

Think about how you would describe that leader.

What are the top 3 reasons why you would consider this leader to be ethical?

What behaviors did you see that leader doing?
What Ethical Leaders Do:

1. Accepting and soliciting input from others
2. Treating others with respect
3. Explaining decisions to followers
4. Showing concern and compassion
5. Supporting and taking responsibilities for others
6. Valuing and maintaining relationships
7. Accepting others' failures
8. Follow through on promises
9. Accentuating the positive

What Others Perceive:

1. Caring
2. Hardworking and helpful
3. Honest and trustworthy
4. Maintain integrity and humility
5. Remain dependable during major and minor issues
6. Not take themselves too seriously
7. Have a sense of humor
8. Not self-promoting
9. Optimistic
Articulating Ethical Standards

CLIMATE

Leader

Assessing Unit Ethical Climate
Modeling Ethical Behavior
Articulating Ethical Standards
Enforcing Ethical Standards

Unit Ethical Climate

Knowledge of What is Ethical
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Individual Group Members

Ethical Thinking: Considers Ethics
Ethical Acting: Ethical Behaviors

Environmental Conditions
Embedding Your Ethical Standards

**Encourage greater communication in your unit**
- Openly talk about ethics on a regular basis

**Coaching and mentoring interventions**
- Feedback on ethical conduct
- Reduce ambiguity regarding moral situations
- Enhance moral awareness
- Balance advocacy with inquiry

**Establish ethical training program**
- Educate newcomers
- Refresh existing unit members on standards
You have now developed your standards.

You have articulated those standards to others.

Now what?
Enforcing Ethical Standards

CLIMATE

Assessing Unit Ethical Climate

Modeling Ethical Behavior

Articulating Ethical Standards

Enforcing Ethical Standards

Unit Ethical Climate

Knowledge of What is Ethical

Norms for Ethical Behavior

Expected Reward & Punishment

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Ethical Thinking: Considers Ethics

Ethical Acting: Ethical Behaviors

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As a group, enforce an ethical climate

- Let’s consider a case from earlier – focus on the climate
- Who should have been rewarded, if anyone?
- Who should have been punished, if anyone?
- What would each enforcement look like?
- Should each enforcement be private or public?
- What are the potential effects of each reward or punishment?
How will YOU set an ethical climate?

CLIMATE

Leader

Assessing Unit Ethical Climate

Modeling Ethical Behavior

Articulating Ethical Standards

Enforcing Ethical Standards

Unit Ethical Climate

Knowledge of What is Ethical

Norms for Ethical Behavior

Expected Reward & Punishment

Individual Group Members

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Environmental Conditions