STO TECHNICAL REPORT **TR-HFM-304**

Factors Affecting Ethical Leadership

(Facteurs ayant une influence sur le leadership éthique)

Final report of Task Group HFM-304.

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The NATO Science and Technology Organization

Science & Technology (S&T) in the NATO context is defined as the selective and rigorous generation and application of state-of-the-art, validated knowledge for defence and security purposes. S&T activities embrace scientific research, technology development, transition, application and field-testing, experimentation and a range of related scientific activities that include systems engineering, operational research and analysis, synthesis, integration and validation of knowledge derived through the scientific method.

In NATO, S&T is addressed using different business models, namely a collaborative business model where NATO provides a forum where NATO Nations and partner Nations elect to use their national resources to define, conduct and promote cooperative research and information exchange, and secondly an in-house delivery business model where S&T activities are conducted in a NATO dedicated executive body, having its own personnel, capabilities and infrastructure.

The mission of the NATO Science & Technology Organization (STO) is to help position the Nations' and NATO's S&T investments as a strategic enabler of the knowledge and technology advantage for the defence and security posture of NATO Nations and partner Nations, by conducting and promoting S&T activities that augment and leverage the capabilities and programmes of the Alliance, of the NATO Nations and the partner Nations, in support of NATO's objectives, and contributing to NATO's ability to enable and influence security and defence related capability development and threat mitigation in NATO Nations and partner Nations, in accordance with NATO policies.

The total spectrum of this collaborative effort is addressed by six Technical Panels who manage a wide range of scientific research activities, a Group specialising in modelling and simulation, plus a Committee dedicated to supporting the information management needs of the organization.

- AVT   Applied Vehicle Technology Panel
- HFM   Human Factors and Medicine Panel
- IST   Information Systems Technology Panel
- NMSG   NATO Modelling and Simulation Group
- SAS   System Analysis and Studies Panel
- SCI   Systems Concepts and Integration Panel
- SET   Sensors and Electronics Technology Panel

These Panels and Group are the power-house of the collaborative model and are made up of national representatives as well as recognised world-class scientists, engineers and information specialists. In addition to providing critical technical oversight, they also provide a communication link to military users and other NATO bodies.

The scientific and technological work is carried out by Technical Teams, created under one or more of these eight bodies, for specific research activities which have a defined duration. These research activities can take a variety of forms, including Task Groups, Workshops, Symposia, Specialists' Meetings, Lecture Series and Technical Courses.

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List of Acronyms

ACSC	Australian Command and Staff Course
ADC	Australian Defence College
ADELE	Australian Defence Education Learning Environment
ADF	Australian Defence Force
ADFA	Australian Defence Force Academy
ADF-P	Australian Defence Force Publication
ADP	Army Doctrine Publication (United States)
ADRP	Army Doctrine Reference Publication (United States)
AEDC	Army Ethic Development Course (United States)
AFCSC	Air Force Command and Staff College (Greece)
AIRTF	Afghanistan Inquiry Response Task Force (Australia)
ALERT	Army Leadership Ethical Reasoning Test (United States)
AO	Officer of the Order of Australia
APS	Australian Public Service
ATA	Attraction-Selection-Attrition
BRd	Book Reference document (United Kingdom)
BVRN	Beliefs and Values of the Royal Navy (United Kingdom)
C2DRIL	Courage, Commitment, Discipline, Respect, Integrity, Loyalty (United Kingdom)
CAF	Canadian Armed Forces
CAF	Czech Armed Forces
CAPL	Center for the Army Profession and Leadership (United States)
CDF	Chief of Defence Force (Australia)
CDLE	Centre for Defence Leadership and Ethics (Australia)
COL	Colonel
COMADC	Commander Australian Defence College
COSC	Chiefs of Service Committee (Australia)
COTE	Commanding Officers of Training Establishments (United Kingdom)
ČR	Czech Republic
CSC	Conspicuous Service Cross (Australia)
CSR	Corporate Social Responsibility
CTCRM	Commando Training Centre Royal Marines (United Kingdom)
CWB	Counterproductive Workplace Behavior
D&I	Diversity and Inclusion (United Kingdom)
DEP	Defence Ethics Programme (Canada)
DL	Developmental Leadership Model (Sweden)
DND	Department of National Defence (Canada)
DSAT	Defence Systems Approach to Training (United Kingdom)
DSC	Distinguished Service Cross (Australia)
DSSC	Defence Strategic Studies Course (Australia)
E1-E10	Enlisted rank (Australia)
EL	Ethical Leadership
ELS	Ethical Leadership Scale
ETEE	Education, Training, Exercises and Evaluation

FCM	Four Component Model
FDF	Finnish Defence Forces
FIBUA	Fighting in Built Up Areas
FM	Field Manual (United States)
FSP	Field Studies Program (Greece)
HACSC	Hellenic Army Command and Staff College (Greece)
HFM	Human Factors and Medicine
HN	Hellenic Navy (Greece)
HNCSC	Hellenic Naval Command and Staff College (Greece)
HNDC	Hellenic National Defence College (Greece)
ICRC	International Committee of the Red Cross
IFOR/SFOR	Implementation Force/Stabilization Force
IHL	International Humanitarian Law
IPIP	International Personality Item Pool
ISPE-E	International Standing Panel of Experts – Ethics (Australia)
JCSP	Joint Command and Staff Programme (Canada)
JOSPEL	Department of Military Pedagogy and Leadership (Finland)
JOSPEL/FYKAR	Department of Military Pedagogy and Leadership/Physical Education Section (Finland)
JOSPEL/JOHTR	Department of Military Pedagogy and Leadership/Leadership Section (Finland)
JOSPEL/SPEDR	Department of Military Pedagogy and Leadership/Military Pedagogy Section (Finland)
JPA	Joint Personnel Administration (United Kingdom)
JPME	Joint Professional Military Education (Australia)
KCL	Kings College London (United Kingdom)
LMA	Learning Management Authority (Australia)
LMX	Leader-Member-Exchange
LOAC	Law of Armed Conflict
LTC	Lieutenant Colonel
LWD	Land Warfare Doctrine (Australia)
MBE	Member of the British Empire (United Kingdom)
MPKK	National Defence University (Finland)
NATO	North Atlantic Treaty Organization
NCM	Non-Commissioned Member (Canada)
NCO	Non-Commissioned Officer
NLDA	Netherlands Defence Academy
O1-O10	Officer rank (Australia)
OCB	Organizational Citizenship Behavior
OF1-10	Officer rank (NATO)
OFOF	Orders For Opening Fire
OMB	Organizational Misbehavior
OPS	Operations
OR1-9	Other ranks (NATO)
PEHENKOS	Defence Command – Personnel Division (J1) (Finland)
PfP	Partnership for Peace
PME	Professional Military Education (Australia)
PO	Person-Organization

PSE/PSF	Psychology English/Psychology French (Canada)
PT	Physical Training
PVHSMK-PE	Administrative Regulations of the Finnish Defence Forces – Defence Command
PVOHJEK-PE	Rules and Regulations of the Finnish Defence Forces – Defence Command
QRF	Quick Reaction Force
RMC	Royal Military College Duntroon (Australia)
RNR	Royal Navy Reservists (United Kingdom)
ROE	Rules of Engagement
RTG	Research Task Group
SAF	Slovenian Armed Forces
SAF	Swedish Armed Forces
SASR	Special Air Service Regiment (Australia)
SJWC	Supreme Joint War College (Greece)
SLG	Senior Leadership Group (Australia)
SOCOMD	Special Operations Command (Australia)
STO	Science and Technology Office
TAP	Technical Activity Proposal
TEWT	Tactical Exercises Without Troops
TL	Transformational Leadership
UK	United Kingdom
UN	United Nations
US	United States
USA	United States of America
YOS	Years of Service

Foreword

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In today's world, military successes and failures cannot simply be measured by battles won or lost. Success is driven by ethical behavior both at home and abroad. Never before in history have troops been subjected to such public scrutiny where every action, and inaction, has the potential to go viral on social media. NATO militaries engage in a wide range of operations and domestic activities where success is dependent upon earning and maintaining the trust of the people. Unethical behavior can have adverse consequences and even generate revenge motivations. Furthermore, even the smallest unethical actions by our troops will inevitably compromise mission success, endanger lives, and jeopardize credibility. Virtually every military incident of unethical behavior can trace its roots to failures in leadership. Furthermore, it has been demonstrated that the behavior of ethical leaders will "trickle down" to their subordinates, thus establishing a standard of behavior where the necessity for ethical and moral conduct is diminished. This undesirable consequence highlights the importance of modelling ethical behavior by leaders.

RTG-304 undertook the challenging task of determining the potential criteria to screen for ethical leaders as well as the educational determinants of ethical leadership. Using a multidisciplinary approach (e.g., moral philosophy, social psychology), involving ten NATO and Partner for Peace (PfP) nations, this collaborative S&T program investigated personal, organizational, and situational antecedents of ethical leadership. As well, it explored developmental/educational/training precursors to ethical leadership. This research program adds value to the current body of knowledge on ethical leadership in that it was the first large-scale research program to investigate factors that can influence ethical leadership amongst military leaders across NATO and PfP nations. As well, it was the first time that NATO partners collated educational/training documents relevant to the development of ethical leaders.

The group identified educational and training tools to better equip leaders, and therefore all military personnel, with the capability to respond to ethical challenges in a principled and virtuous manner. Deliverables from this panel will allow NATO and PfP militaries to be able to more honorably, and effectively ensure mission success while minimizing moral and physical casualties both to our troops and to other nations. Ethical leadership is paramount.

Introduction

It would be difficult to find anyone willing to dispute the importance of ethical behavior in the workplace. It is generally understood among leaders at all levels that activities should be above reproach, conflicts of interest are to be avoided, and decisions need to be driven by principles, values, and solid ethical reasoning. This is why most major corporations promulgate their organizational values and principles. Nevertheless, there is still considerable confusion about fundamental concepts about right and wrong. Brown and Treviño (2006, p. 595) state that:

> Much has been written about ethics and leadership from a normative or philosophical perspective, suggesting what leaders should do. But, a more descriptive and predictive social scientific approach to ethics and leadership has remained underdeveloped and fragmented, leaving scholars and practitioners with few answers to even the most fundamental questions, such as "what is ethical leadership?"

Many organizations conduct ethical training programs and educational institutes tend to include lessons on ethics, especially at the graduate level. These programs typically teach about ethical philosophies and explore aspects like metaethics (the nature of ethics and moral reasoning), normative ethics (guidelines for determining moral reasoning) and applied ethics (using ethical principles to solve moral problems). However, despite the existence of these training and educational programs, numerous examples of leaders behaving unethically or immorally still exist. Consequently, the goal of this STO collaborative research program was to facilitate ethical leadership screening and development, and thus enable leaders to promote ethical behavior amongst organizational members across all levels.

Using a multidisciplinary approach (i.e., moral philosophy, political science, social psychology, theology), this collaborative STO research program investigated personal, organizational, and situational predictors of ethical leadership. As well, it explored developmental/educational/training precursors to ethical leadership. This research program was the first large-scale research program to investigate antecedents of ethical leadership amongst military leaders across NATO and Partner for Peace (PfP) nations, and to collate educational/training documents relevant to the development of ethical leaders.

Specifically, the goal of this STO collaborative research program was as follows:

1) Review multidisciplinary research to identify individual, situational and organizational antecedents to ethical leadership;

2) Review training, educational and development precursors to ethical leadership amongst NATO member nations;

3) Develop and test a model of antecedents to ethical leadership amongst military personnel; and

4) Identity and collate best practices in ethical leadership development for NATO nations.

The results of this research will be instrumental in developing selection and training programs to foster strong ethical leadership within military organizations.

The research program consisted of three Phases. Phase One involved a review of the literature on ethical leadership from a moral philosophical and social psychological perspective, and the development of a model of factors that affect ethical leadership. Phase Two involved research amongst member nations to validate the proposed model, and a review of best practices in ethical leadership development by member nations. Phase Three involved recommendations for the selection and training/development of ethical leaders amongst NATO nations.

This research report comprises five parts:

1) Review of the literature on ethical leadership;

2) Overview of ethical leadership development by RTG member nations;

3) Development and testing a model of factors affecting ethical leadership;

4) Integration of literature and research of factors affecting ethical leadership; and

5) An annotated bibliography of ethical leadership research.

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Factors Affecting Ethical Leadership
(STO-TR-HFM-304)

Executive Summary

Background

NATO members owe it to their military leaders to understand the factors affecting ethical leadership. In 2017, a group of researchers submitted a Technical Activity Proposal (TAP) to the NATO Science and Technology Office (STO), to investigate factors affecting ethical military leadership. The goals of Research Task Group (RTG) HFM-304 included identifying the individual, situational and organizational variables predictive of ethical leadership, developing a model of ethical leadership, and collating best practice in military ethics education amongst NATO and Partner for Peace (PfP) countries. Representatives from ten countries, Canada, Australia, Czech Republic, Finland, Greece, Netherlands, Slovenia, Sweden, United Kingdom (UK) and United States of America (USA) participated in the research, with six (Canada, Australia, Finland, Netherlands, Sweden and the USA) able to collect data despite the upheaval caused by the COVID-19 pandemic.

Methodology

In order to develop a model of the factors affecting ethical leadership, the RTG reviewed relevant literature across moral philosophical and social psychological perspectives, and considered ethics and International Humanitarian Law, before reviewing ethics training across 9 NATO members (Australia, Canada, Czech Republic, Finland, Greece, Netherlands, Slovenia, Sweden, and United Kingdom). Commonalities and examples of best practice were identified. This information was used to inform the model which used the Ethical Leadership Questionnaire (Yukl et al., 2013), and three items from the Ethical Leadership Scale (Brown et al., 2005), and linked each item to either 1) principled/moral manager conduct (10 items); or 2) value-based/moral person conduct (8 items). Using a definition of ethical leadership that reflects both social psychology (notably Brown et al. 2005) and moral philosophy theories, the model was designed to test for the Individual, Organizational, and Situational Antecedents of Ethical Leadership, Interaction of Personal and Organizational Factors in Predicting Ethical Leadership, and The Role of Person-Organization Fit in Predicting Ethical Leadership.

Findings

At the conclusion of the data collection, there were three separate samples of different sizes and make-up. Results were analyzed for each sample prior to integration. Findings show that the ethical behavior of a leader is the most important factor in shaping an organization's ethical climate, and that ethical leadership is strongly associated with values, in particular with value achievement (e.g., setting high standards and striving for excellence) and person-environment fit. Leaders who have the ability to address an ethical dilemma tend also to be those with high standards, a firm foundation in values (such as helping others and generosity) and belief that their institution shares these values. The results of this study further found that moral efficacy, a leader's confidence in their own ability to confront ethical challenges, is the strongest predictor of ethical leadership. This latter finding suggests that ethical leadership reflects a broader, systemic dynamic where foundational social and/or institutional principles have become internalized by the leader.

Case Studies

Case studies are included to assist training for ethical leader development.

Facteurs ayant une influence
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Synthèse

Contexte

Les membres de l'OTAN dépendent de leurs dirigeants militaires pour ce qui a trait à la compréhension des facteurs ayant une influence sur le leadership éthique. En 2017, un groupe de chercheurs a soumis une Proposition d'activité technique (TAP) à l'Organisation pour la science et la technologie (STO) de l'OTAN. Elle visait à étudier les facteurs ayant une incidence sur le leadership militaire éthique. Les objectifs du groupe de recherche (RTG) HFM-304 étaient notamment les suivants : l'identification des variables individuelles, situationnelles et organisationnelles prédictives du leadership éthique ; le développement d'un modèle de leadership éthique ; et le regroupement des meilleures pratiques de formation à l'éthique militaire au sein de l'OTAN et des pays du Partenariat pour la paix (PPP). Les représentants de dix pays, à savoir le Canada, l'Australie, la République tchèque, la Finlande, la Grèce, les Pays-Bas, la Slovénie, la Suède, le Royaume-Uni (R.-U.) et les États-Unis d'Amérique (É.-U.) ont participé aux recherches, six d'entre eux (Canada, Australie, Finlande, Pays-Bas, Suède et États-Unis) étant en mesure de collecter des données malgré les bouleversements causés par la pandémie de COVID-19.

Méthodologie

Afin de développer un modèle sur la base des facteurs ayant une incidence sur le leadership éthique, le RTG a non seulement examiné la documentation pertinente dans le domaine de la philosophie morale et de la psychologie sociale, mais il a également pris en compte la loi sur l'éthique et le droit international humanitaire avant de passer en revue la formation sur l'éthique de 9 membres de l'OTAN (Australie, Canada, République tchèque, Finlande, Grèce, Pays-Bas, Slovénie, Suède et Royaume-Uni). Des points communs et des exemples de bonnes pratiques ont alors été identifiés. Ces informations ont été utilisées pour documenter le modèle qui utilisait le questionnaire sur le leadership éthique (Yukl et al., 2013), et trois éléments de l'échelle du leadership éthique (Brown et al., 2005). Chaque élément a été associé à 1) un comportement de directeur moral/basé sur des principes (10 éléments), ou 2) un comportement d'individu moral/basé sur des valeurs (8 éléments). Grâce à une définition du leadership éthique qui reflète les théories relatives à la psychologie sociale (notamment Brown et al., 2005) et à la philosophie morale, le modèle a été conçu pour tester les antécédents individuels, organisationnels et situationnels du leadership éthique, l'interaction des facteurs personnels et organisationnels dans la prédiction du leadership éthique, et le rôle de la compatibilité entre une personne et une organisation dans la prédiction du leadership éthique.

Résultats

Une fois la collecte de données terminée, trois échantillons distincts, de taille et de composition différentes, ont été créés. Les résultats ont été analysés pour chaque échantillon avant l'intégration. Les résultats démontrent que le comportement éthique d'un dirigeant est le facteur le plus important pour créer un climat éthique au sein d'une organisation, et que le leadership éthique est fortement associé à des valeurs, en particulier à l'adoption de valeurs (par ex., mettre en place des normes élevées et viser l'excellence) et à la compatibilité entre l'environnement et la personne. Les dirigeants qui ont la capacité de résoudre un dilemme éthique ont également tendance à avoir mis en place des normes strictes, une base solide

de valeurs (comme l'entraide et la générosité) et à être convaincus que leur institution partage ces valeurs. Les résultats de cette étude ont également révélé que l'efficacité morale, à savoir la confiance d'un dirigeant dans sa propre capacité à relever les défis éthiques, est le meilleur indicateur d'un leadership éthique. Cette dernière constatation suggère que le leadership éthique reflète une dynamique systémique plus large où les principes sociaux et/ou institutionnels fondamentaux ont été assimilés par le dirigeant.

Études de cas

Des études de cas sont incluses pour faciliter la formation en vue du développement du leadership éthique.

Part I: REVIEW OF LITERATURE ON ETHICAL LEADERSHIP

Chapter 1 – INTRODUCTION TO ETHICAL LEADERSHIP

1.1 MORAL PHILOSOPHICAL PERSPECTIVES OF ETHICAL LEADERSHIP

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Leadership and ethics are often treated as related though separate spheres. But clearly, ethics is an aspect of good leadership, and not a separate approach that exists alongside other approaches to leadership such as the trait approach, the situational approach, etc. This thinking and writing about ethical leadership as just one approach among many other leadership styles is a relatively recent invention. Plato, Plutarch, Machiavelli and Locke, for example, dealt with (political) leadership and ethics as a single subject. It was not before the twentieth century that we saw the rise of a separate leadership industry.

It would perhaps be better if leadership and ethics were (again) treated as a single domain. Since leadership is inextricably related with making decisions, and one would hope that these are principle based decisions, it would be a significant mistake to believe that ethics can be put aside. This holds especially true for the military, as it is one of the few organizations that can legitimately use violence to achieve a legitimate objective. It is this intertwinement of leadership and violence that separates military leadership from leadership in other professions. It also makes the ethical challenges for leaders within the military especially testing.

Moreover, military leaders and commanders are ethically situated in a particularly difficult and challenging position. It is the essence of moral leadership to intermediate between superior authorities and subordinate operatives. Military leadership thus entails a burden of several contradictory responsibilities – for fulfilling the task, ensuring the wellbeing of the subordinates, and safeguarding the appropriate conduct of operatives – that may be often beyond the direct control of the leader/commander (Doty and Doty 2012). Although the end objectives and the effectiveness of leadership may, on occasions, be questioned (see for instance Kellerman 2015), it is still good leadership that keeps soldiers from crossing the line between legitimate force and excessive violence.

Admittedly, the last few decades have witnessed an increasing level of attention for leadership theories that profess to be ethical, such as transformational, authentic, spiritual, and servant leadership. But what constitutes the ethical component of these theories is not always clear.[1] Paying lip service to the importance of values does not make these modern leadership theories more ethical. The argument for leading ethically that underlies transformational leadership (the leading theory today), for instance, is mainly functional: leaders who appeal to the values of their followers are thought to be more effective, and to have followers who are more satisfied with their leader, than leaders who fail to do so (while unethical leadership is explained away as a pseudo-transformational leadership). Clearly, such a functional line of reasoning does not amount to a moral argument. The obvious flip side of a functional argument for leading ethically is that it loses its impact as soon as a leader finds a way to be more effective, and perhaps even to have more satisfied followers, without being ethical – military history is replete with leaders who were absolutely effective but were not ethical at all.

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[1] As Ciulla (2013, p 304) points out, ethics in leadership theories is often rather different from what ethicists consider important: "philosophers who specialize in ethics see their subject differently than do social scientists. Studies of charismatic, transformational, and visionary leadership often talk about ethics. In these studies, ethics is part of the social scientist's description of types or qualities of leaders and/or leader behaviors. From a philosopher's point of view, these studies offer useful empirical descriptions, but they do not offer detailed critical analysis of the ethics of leadership." Also, "the study of ethics and the history of ideas help us understand two overarching and overlapping questions that drive most leadership research. They are: What is leadership? And what is good leadership? One is about what leadership is, or a descriptive question. The other is about what leadership ought to be, or a normative question. These two questions are sometimes confused in the literature."

1.1.1   Professional Ethics Education for Military Leaders – Aim and Basis

An important first question regarding the aim of any professional ethics education is whether it wants to be functional, that is, aimed at making people better at their job, or aspirational, that is, aimed at turning people into more moral persons (Wolfendale, 2008; see also Robinson, 2007). Underlying that question is the more fundamental question whether there is a difference between (mainly functional) role morality and (more aspirational) general morality. Sometimes, this is clearly the case: a lawyer might be expected to defend the guilty, spies must now and then lie, and at times role morality will ask military members to do more than is expected of ordinary civilians (Coleman, 2013). Although one could also argue that military role morality differs from general morality, we see that there is nonetheless a tendency in military ethics education toward a more aspirational approach that aims at making soldiers better persons (see for instance Robinson, 2007), mainly based on the view that a bad person is not likely to be a morally good soldier (although he or she could be an effective one).

This question about the aim of ethics education is separate from, but not unrelated to, the question about what aspects should comprise the basis of ethics education. Clearly, the aspirational approach focuses on character, while the functional approach is more based on conduct and outcomes.[2] This corresponds loosely with the three main strands in moral philosophy, namely virtue ethics, rule-based ethics, and utilitarianism. These three schools are also the three main contenders regarding the question about which moral theory offers the best means to improve the chances of military personnel behaving ethically.

Concerning the first strand mentioned, virtue ethics, it is important to note that virtues and values are two things that are not the same, yet are sometimes treated by military organizations as if they were. As military ethicist Paul Robinson puts it: virtues represent "desirable characteristics of individuals, such as courage," while values, on the other hand, correspond to "the ideals that the community cherishes, such as freedom" (Robinson, 2008, 5). In virtue ethics, virtues are usually described as stable character traits that are worth having, and which generally function as correctives to our self-regarding temptations (Foot, 2002). Motives and emotions are therefore important in virtue ethics, something allegedly overlooked by other schools in moral philosophy. This focus on the kind of person one wants to be instills it with a much broader range than duty-based ethics. Being friendly, for instance, is a virtue, but it is not a duty (van Hooft, 2014). That until recently most modern moral philosophy paid less attention to such things as emotions, character formation, and personality does not mean that there is anything radically new about an approach that centers on virtues. Virtue ethicists hark back to Aristotle's Nicomachean Ethics, where a virtue is defined as a disposition of character, to be developed by finding a middle ground between too much and too little in both feeling and doing. That idea of virtue as a mean between the extremes of excess and defect has by now turned into one of the better known proverbs of Western philosophy. Aristotle further held that virtues are acquired by, and in fact do not exist outside, actually performing virtuous acts. Performing courageous deeds grows courage, for instance. These acts should spring from a good intention and serve a morally just cause. By definition, a virtue cannot serve an unethical end, nor can it be motivated by the desire for money or glory, or by the wish to avoid punishment or disgrace, as a virtue should be its own reward. So, courage is defined as the middle position between recklessness and cowardice, to be developed by practicing courageous acts, and springing from the right attitude concerning feelings of confidence and fear in the pursuance of (and motivated by) an honorable cause. Although virtue ethics comes in many varieties these days, this Aristotelian view on virtues is still pivotal in many texts on military ethics dealing with the subject of military virtues. It focuses on the kind of person one wants to be, calling for the development of good predispositions – we are virtuous to the extent that doing the right thing gives us pleasure.

In that latter aspect, virtue ethics differs from its main contender, duty-based ethics, which stresses the importance of universal, categorically binding moral norms, and (testifying to a much more Calvinistic view on human nature) asks us to follow moral rules against our natural, selfish predispositions. Whereas terms

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[2] One could also argue, however, that by aiming to instill both 'general' virtues, such as integrity and honesty, and more military specific virtues, such as courage and discipline, the military in fact combines an aspirational and a functional approach.

like good, laudable, praiseworthy, etc., (with the focus on the actor) are central to virtue ethics, in duty-based ethics, largely based on the works of Immanuel Kant, the emphasis is on what is wrong, right, permitted, or obligatory (with the focus on the act). The best-known example of duty-based reasoning is the one underlying the prohibition against the use of torture, a ban that by most accounts should be maintained regardless of how expedient it might be not to do so. That is, in any case, the stance a deontologist would take. A virtue ethicist, however, would probably highlight that the most important matter is to be, or to become, the kind of person who would under no circumstances commit any acts of torture. Conversely, a utilitarian might point out that the harm done by the use of torture outweigh the benefits.

With its emphasis on rules and duty, it might look as if this main alternative to virtue ethics aims at the ethical minimum, where virtue ethics asks for a lot more, including the kind of supererogatory acts the military depends on. In this view, virtue ethics urges us to do what is good, while duty-based ethics merely asks us to refrain from doing evil. However, this interpretation is not entirely fair to duty-based ethics. Not asking anyone to go beyond the call of duty, it nevertheless does demand quite a lot from military men and women: duty-based ethics stipulates that moral duties are to be followed, not because they are imposed from the outside and backed by sanctions, but because one accepts them by choice. Today, the work of Lawrence Kohlberg and John Rawls are deemed important and useful for educating military personnel, especially on the topic of moral development. Both Kohlberg and Rawls are adherents of duty-based (or deontological) ethics, and do not see too much of a role for character traits. Kohlberg, for instance, famously denounced virtue ethics as "a bag of virtues approach" (Kohlberg, 1981).

Utilitarianism, finally, holds that we should base our judgment of whether an act is morally right or wrong (and hence also whether it should be done or not) upon the foreseen consequences. Utilitarianism differs in this aspect from virtue ethics and duty-based ethics, which both stress the importance of acting from the right intentions, implying that good consequences alone do not make an action good. The revolutionary moral idea behind the utilitarian credo of, in Hutcheson's (1994, p. 5) famous phrase, "the greatest happiness for the greatest number" (*Treatise* II.III.viii) is not that it puts happiness (or utility) to the fore as the highest good, but its Universalist outlook: each person's happiness should count for the same. So, as a moral rule, the greatest happiness for the greatest number is agent-neutral, meaning that the consequences to everyone should weigh equally. Although this idea has some resemblances with the "golden rule" in ethics that one should treat the other, and not just the members of one's own group, as one wants to be treated one-self (a dictum that goes as far back as Thales of Miletus and Confucius, and underlies to some extent Stoic cosmopolitism, Kant's categorical imperative, and the modern human rights doctrine) this thought was a relatively new one to most people in the eighteenth century.

1.1.2 Merits and Demerits of the Three Schools in Moral Philosophy

Although militaries are traditionally rule-guided organizations, rule-based approaches have an important drawback in a military context because rules and codes lack the flexibility necessary in today's missions, and that they are mostly ineffective when there is no one around. Also, rules and codes attempt to condition behavior, leaving less room for personal integrity (Van Iersel and Van Baarda, 2002). But perhaps the most important drawback is that rule-based approaches can impede the ability to see the moral aspect of what one is doing, while that ability is evidently an important prerequisite for moral deliberation and morally sound decision-making. In the case of competing values, there is not always a 'best' choice, and one must choose the 'lesser evil.' In such cases, it is important to be able to justify the decision taken and to explain how this decision serves the best interests of all parties. However, this requires that one is able to recognize a moral dilemma when there is one.

In defence of a somewhat rudimentary form of duty-based ethics (since it disregards the good intention duty-based ethics asks for), one could argue that pointing out what is permitted and what is not, and what the consequences of transgressing these rules are, should also have a role in the ethics education for military personnel. This is because not adhering to these rules can be costly for perpetrator and victim alike –

something that is possibly overlooked in an ethics education that focuses exclusively on character development. That universal rules lack flexibility is not always a problem; torture, for instance, is presently forbidden for all circumstances. For issues like torture, flexibility could quickly bring us to a slippery slope. Likewise, the use of some types of weapons is forbidden, and for good reasons. We do not leave the decision on these matters to the individual soldier, however virtuous he or she might be.

Utilitarianism, meanwhile, is rarely seen as a good basis for the ethics education for military personnel, mostly because "an outcome-centered approach may lead all too easily to military expedience as the sole guide to actions in war" (Bonadonna, 1994, 18). This position is encountered more often: utilitarianism is not bad per se, but prone to be misapplied in a self-serving way. One author, for instance, writes that "utilitarianism would lend itself to abuse in precisely those kinds of situations in which ethical safeguards are most needed, and should, for this reason, be stricken from the list of viable alternatives for the military" (Snow, 2009, p. 560).

However, the unfavorable verdict on utilitarianism as a basis for military ethics may be a little unfair. Utilitarianism is not an ethic that prescribes that people should maximize their own utility, as some authors seem to hold, but the utility (or happiness) for the greatest number. Although such an impartial view may be expecting too much in a regular war in defence of one's own country, in many of today's operations (in general of a rather different character) one probably should be able to do so a bit more easily, at least to some extent.

Although there are utilitarian and duty-based elements in the ethics of the military, most militaries today see the aspirational virtue ethics approach as the best way to underpin the ethics education of military personnel. And not without reason: what makes virtue ethics interesting for the military is that it is concerned with character formation; it assumes that virtues and character are not inborn qualities, but can be acquired through training and practice. Virtue ethics is in keeping with the aspirational approach that many Western militaries adopt. Traditionally, moral issues are in the military mainly seen through the lens of rules and regulations many militaries now see virtue ethics as an important complement to rules and codes imposed from above.

However, virtue ethics has its own drawbacks, the most important one being that it assumes a fairly straightforward relationship between character and conduct that, in reality, might not actually exist. Recent research in social psychology suggests that the situation we find ourselves in determines our conduct to a far greater extent than we tend (or like) to think.[3] In a way, this is the old insight that knowing the good and doing the good are not the same (see Arjoon, 2008).[4] This holds especially true in stressful circumstances. In combat, situational forces are much stronger than those most of us will ever encounter. Furthermore, sleep deprivation, military training and culture, (racial) ideology, and the role of the primary group are chief causes of unethical conduct (Doris and Murphy, 2007). Notwithstanding the merits of a virtue-based moral education, the situation military personnel find themselves in can thus limit the influence of a virtuous disposition, especially when that disposition is needed the most, and there is an increasing amount of attention in military ethics education for the way situational factors can further unethical conduct (see for instance Mastroianni, 2011; Olsthoorn, 2017; Robinson, 2009). Some suggest that the insight that the situation often determines our conduct undermines virtue ethics as a basis for moral education, but that seems an overstatement. Social psychology only shows that the influence of our natural dispositions is weak. That does not tell us a lot about the influence of virtues, which are the product of training and habituation (see Croom, 2014). Also, the ability to see moral challenges for what they are can make people act ethically, even in spite of the situation (Arjoon, 2008).

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[3] Especially Milgram's research on obedience and Zimbardo's Stanford Prison Experiment, by far the most well-known experiments in social psychology, have popularized the idea that we can all be brought to harm innocent others. These two experiments have made their way into popular culture, and formed the basis for movies, stage plays, and television shows. Apparently, the idea that people have a dark side, and that under the right (or wrong) circumstances we, and (especially) others, can be brought to do almost anything, fascinates many of us.

[4] This insight is thus mainly about tests of integrity: what is right and what is wrong is clear, but the situation induces one to choose the wrong course of action.

But even if the situation determines our conduct to a greater degree than we like or tend to believe, this does not make moral responsibility evaporate; it merely shifts, from the perpetrators to their leaders, and this brings both character and leadership back into the discussion. The "barrel of apples began rotting from the top down," Zimbardo wrote in his book on the Abu Ghraib scandal (Zimbardo, 2007, 415). The context soldiers have to work in is not a given, but at least partly the result of the actions and policies of military (and political) leaders. As the next section shows, good leadership still matters a great deal. Leaders create and bear responsibility for the ethical climate that has an effect on the chances of military personnel behaving unethically.

1.1.3 Command Responsibilities

A military leader, be it a platoon leader or battalion commander, is exposed to difficult moral considerations due to the leader's intermediate role between superior authorities and his or her subordinates. The first duty of a military leader is thus to ensure effective fulfilment of the unit's mission. Simultaneously, the leader should exercise due care for the welfare of subordinates and ensure their lawful and appropriate conduct during the mission. The exercise of these three essential command responsibilities would inevitably lead to morally severe dilemmas, concessions, or even sacrifices. Moreover, the position faced by commanders is even more specific because they are responsible and accountable for the legal and ethical misconduct of soldiers under their command, although very often the commanders are not in control (Doty and Doty, 2012).

Genuine care for the welfare of one's subordinates is a sign of good leadership. Moreover, the connection between small unit cohesion and combat effectiveness places loyalty to one's unit among the most prominent of military virtues. Emotional closeness further adds to the strength of this military virtue (Rorty, 1997; Walzer, 1971). Although attention to the needs and interests of one's subordinates is a sign of good leadership, ethicists tend to see excessive loyalty as a vice rather than a virtue. Excessive loyalty to a primary community has the potential to conceal crimes and lead to other types of undesirable behavior (Connor, 2010; Olsthoorn, 2011, 2013; Winslow, 2004). In a similar vein, some criticize the policy of 'force protection' as the inappropriate privileging of a leader's own soldiers at the expense of lives and safety of innocent 'strangers' (Baer, 2011; Blocq, 2010; Elliott and Cheeseman, 2002; Gentry, 1998).

After all, excessive care for the interests of subordinates may create conflicts with the accomplishment of military tasks. In-group loyalty becomes toxic when it overshadows the virtue of obedience. According to Huntington (1957), obedience to the superior military and political authority is a virtue that constitutes military professionalism. However, even obedience is far from being uncontroversial. The Nuremberg and Tokyo trials made it clear that military leaders cannot defend participating in war crimes by a reference to superior orders. Officers and soldiers are obligated to refuse illegal orders; yet the question remains about their ability to recognize the illegality of an order. Whereas the common practice demands obedience except for orders that are 'manifestly illegal', Osiel (2017) suggests that leaders should be accountable and punished not only for manifestly illegal acts, such as massacres and atrocities, but "for any crimes resulting from an unreasonably mistaken belief that a superior's orders were lawful" (Osiel, 2017, p. 945).

Osiel's (2017) proposal expects stronger sensitivity to international legal and ethical norms than is commonplace. Nonetheless, the commanders' responsibility to humanity should be an essential part of their ethical profile. Command responsibility, in its narrow sense, refers to the obligation of the military leader to ensure that the subordinates follow the provisions of the International Humanitarian Law (IHL) and protect innocent civilians, enemy wounded, and prisoners of war. This exercise of the cosmopolitan ethics should not be viewed as self-imposed emasculation. Especially in peacekeeping operations or in counter-insurgency where hearts and minds are at stake, the recognition of the rights of local people should be a strategic priority (Ignatieff, 2001; Greener-Barcham, 2007; Kucera, 2017). Moreover, Corn (2014, p. 908) points out that among the benefits of IHL compliance is the protection of subordinates 'from the morally corrosive effects of combat'. The command responsibility thus connects the 'thin' cosmopolitan morality with the 'thick' obligations towards the unit.

The U.S. Department of the Army's *Army Leadership* (ADP 6-22) defines a military leader as "anyone who by virtue of assumed role or assigned responsibility inspires and influences people to accomplish organizational goals" (U.S. Department of the Army, 2012, p. 13). This definition points out to the fact that command and leadership do not necessarily mean direct control over subordinates. Command responsibility does not require permanent oversight or even micromanagement of all operational activities of the unit. Instead, leaders and commanders need to exercise their moral influence indirectly and in advance. "Commanders should intentionally and thoughtfully establish and maintain a positive and ethical climate in their units" (Doty and Doty, 2012, p. 38). One of the principal roles of the military leader is thus to ensure that subordinates learn, understand and internalize the ethical requirements.

Depending on the applied moral system, leaders need to act as educators and trainers, disciplinarians, and moral examples. Corn (2014) points out that classroom education about IHL and consequences of its violations is hardly enough to ensure compliance in extreme situations. He suggests, instead, to integrate the legal and moral challenges into the regular training of combat tasks. This way, "compliance will become increasingly instinctive and automatic, like the execution of the task itself" (Corn, 2014, p. 914).

As Jennings and Hannah (2011) put it, leaders may develop and promote collective norms (morality of obligations) and affect the aspirations of followers (virtues) through exemplary leadership. In the former, the leader sets up conditions for rewarding ethical behavior and penalizing violations of the ethical norms. As for the latter approach, exemplary leaders "serve as powerful moral exemplars when as attractive leaders they provide followers with a model of "possible self" to develop toward" (Jennings and Hannah, 2011, p. 563). These two approaches are not mutually exclusive; nonetheless, the authors prefer the latter approach affecting the identity of subordinates as more effective to stimulate supererogatory conduct ('above and beyond the call of duty').

The idea that soldiers may develop an almost reflexive morality in a similar way as the reflexive firing and maneuvers has an evident virtue of effectiveness. Kilner (2002), in contrast, emphasizes the role of rational understanding and reflection of moral obligations. Commanders' responsibility to protect their subordinates should also entail the task to explain the moral justification for the engagement in war fighting. Leaders must explain the ethical reasons for killing in order that subordinate soldiers are able to live with themselves long after the end of their operational deployment or their military career.

1.1.4 Conclusion

Undiluted adherence to one school, whether it be virtue ethics, duty-based ethics, or consequentialist ethics, might be common in academia. However, in real life most people, although most likely without giving much thought to it, tend to see a role for both virtues and rules, and are also inclined to take the consequences of a course of action into consideration when judging it. Even though academics tend to consider this "confused," they are probably quite right in doing so, one could argue that those involved in professional ethics education are almost duty-bound to take a more inclusive approach. For the ethics education of military personnel, this would mean less emphasis on the rules, procedures, and codes, and more attention to character formation, but also for moral deliberation and dilemma training. Assuming that in the military virtue ethics could be a complement to the current rule-based approach, as many seem to hold, there are a few things to take into consideration.

We should first start thinking about which virtues are most relevant for soldiers. Presumably, they are today rather different from the inward-looking virtues, such as loyalty, discipline, and obedience, which most military organizations traditionally espouse (Table 1-1).

Table 1-1: Military Values and Virtues.

Canadian Armed Forces[1]	**Australian Defence**[2]	**France**[3]
Integrity	Service	Mission
Loyalty	Courage	Discipline
Courage	Respect	Initiative
Stewardship	Integrity	Courage
Excellence	Excellence	Self-controlled force
		Fraternity
Swedish Armed Forces[4]	**New Zealand Army**[5]	**Norwegian Armed Forces**[6]
Openness Results	Courage	Respect
Responsibility	Commitment	Responsibility
	Comradeship	Courage
	Integrity	
Germany[7]	**UK Army**[8]	**US Army**[9]
Loyalty	Selfless Commitment	Loyalty
Duty	Respect for Others	Duty
Discipline	Loyalty	Respect
Valor	Integrity	Selfless Service
Moral values	Discipline	Honor
Democracy	Courage	Integrity
		Personal Courage
Spanish Army[10]	**Kenyan Defence**[11]	**Israel Defense Forces**[12]
Courage	Apolitical	Tenacity of Purpose in Performing Missions and Drive to Victory
Spirit Of Sacrifice	The Civil Prerogative	Responsibility
Discipline	Loyalty and Commitment	Credibility
Comradeship	Patriotism	Personal Example
Spirit Of Service	Professionalism	Human Life
Honor	Integrity	Purity of Arms
Exemplariness	Reliability	Professionalism
Love Of One's Homeland	Knowledge	Discipline
Sense Of Duty	Confidentiality	Comradeship
Loyalty	Fairness	Sense of Mission
Professional Excellency		

Japan[13]	Belgian Armed Forces[14]	Danish Armed Forces[15]
Awareness of Mission	Loyalty	Credibility
Individual Development	Integrity	Transparency
Fulfilment of Responsibility	Sense of Honor	Trust
Strict observation of Discipline	Respect	Independence
Strengthening of solidarity	Courage	Responsibility
	Sense of Duty	
	Effort to accomplish mission	
Slovenian Armed Forces[16]	**Czech Armed Forces[17]**	
Honor	Responsibility and sense of duty	
Courage	Self-sacrifice	
Loyalty	Courage	
Comradeship	Loyalty	
Commitment	Honor	

Sources:

1   http://www.forces.gc.ca/en/about/code-of-values-and-ethics.page

2   https://www.defence.gov.au/about/ar-a-glance

3   Robinson (2008).

4   https://www.forsvarsmakten.se/en/about/vision/core-values/

5   http://www.army.mil.nz/culture-and-history/values.htm

6   https://forsvaret.no/en/ForsvaretDocuments/ValuesAndStandards.pdf

7   Robinson (2008).

8   https://apply.army.mod.uk/what-we-offer/what-we-stand-for

9   https://www.army.mil/values/

10   http://www.ejercito.mde.es/en/reportajes/2017/44_tarjeta_valores.html?__locale=en

11   http://www.mod.go.ke/?p=2565

12   https://www.idf.il/en/minisites/code-of-ethics-and-mission/

13   Robinson (2008).

14   https://www.mil.be/nl/pagina/waarden

15   https://www2.forsvaret.dk/eng/About/Pages/About.aspx

16   Military Doctrine, 2006.

17   https://kaplani.army.cz/etika

Second, virtue ethics education often consists of teaching about virtues (and virtue ethics) rather than teaching virtues, which is something different altogether. It is even unsure whether elaborate ethics education for uniformed personnel has any tangible beneficial effects on conduct.[5] We know little about best practices in military ethics education. There is also a question about whom such a more virtue-based ethics education should be directed. In the military, most of the efforts in ethics education are directed at (aspiring) officers, not at soldiers and non-commissioned officers. Although one could argue that it is primarily officers who should keep military personnel from crossing the thin line between legitimate and excessive force, with today's corporals and sergeants functioning with a considerable degree of autonomy, this argument seems no longer valid.

However, moral education should not only aim at furthering virtues, or respect for laws and regulations for that matter, but also at giving insight in the factors that make unethical conduct more likely to take place. A curriculum that does not address the shortcomings of a virtue-based approach would be seriously flawed. Factors such as negative peer pressure, dehumanization, stress, sleep deprivation, the national and organizational culture, but also the amount and kind of training and education that they have received, do make unethical conduct more likely to occur. The insights social psychology offers should hence have a prominent place in the moral education of military leaders.

Last, but not least, the ethical education and development need to take into account that military leaders are not only responsible decision-makers but also need to perform a role as educators. It is their responsibility to create a proper ethical climate in their subordinate unit and ensure that soldiers understand and internalize the moral justification of their deployment. The goal of ethical leadership should not involve using ethics to exercise control and command over people; on the contrary, the objective of effective leadership must be to guarantee the morally right behavior of the subordinate soldiers.

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[5] Martin Cook (2008) writes about the ethics education at military academies that there "is a fundamentally incoherent and confused welter of programs justified, if at all, by the belief that if ethics is important, throwing lots of resources at the subject from any number of angles and approaches must somehow be doing some good" (p. 57).

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1.2   SOCIAL PSYCHOLOGICAL PERSPECTIVES OF ETHICAL LEADERSHIP

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In recent years, significant research attention has been devoted to understanding the ethical behavior of leaders (i.e., the moral person) and how leaders' expectations influence their followers' ethical behavior (i.e., the moral manager; Treviño et al., 2000; Brown et al., 2005). Indeed, some researchers (Neubert et al., 2009; Schminke et al., 2005) suggest that the leader is the single most important determinant in shaping an organization's ethical climate, which has a significant impact on the ethical behavior of organizational members and the operational effectiveness of the military unit in garrison and in a theatre of operations. This paper provides an overview of the development of the concept of ethical leadership from a social psychological perspective.[8]

1.2.1   Ethical Leadership

Early Definitions. Gini (1998) described 'Ethical Leadership' (EL) as a leadership style where leaders use their social power in decision-making, in their own actions, and in influencing others in a way that is in the best interest of followers and respects the rights of all parties. To Gini, it was the motivations of leaders that determined whether or not they could be considered ethical. Similar philosophical perspectives have been proposed by subsequent theorists, all concerned with leaders' intentions as opposed to specific behaviors or consequences (e.g., Ciulla, 2004; Khuntia and Suar, 2004; Scott et al., 2014). Like Gini, other authors have suggested that ethical leadership involves leading in a way that respects the dignity and rights of others (Resick et al., 2006; Ciulla, 2004), or incorporating moral principles in one's values and behavior, and exhibiting commitment to higher purpose (Khuntia and Suar, 2004).

It is important to note that these definitions, which focus on a leader's motivations and intentions, were mostly put forth by philosophers rather than organizational scientists, and thus may be insufficient for the social and behavioral study of ethical leadership. However, defining EL as a matter of intentions lives on in newer feminist definitions such as the management scholars De Roeck and Farooq (2017), who state "ethical leaders appear to care more about the greater good of their employees, organization, and society rather than their own self-interests… Specifically, ethical leaders strive to balance the various needs of stakeholders in a way that serves the interests of all, and therefore they often appear as Corporate Social Responsibility (CSR) champions who demonstrate and promote socially responsible behaviors to followers" (p. 4).

In sum, definitions of EL that are based on theories of moral philosophy are more about the intentions/motivations behind the behavior and disregard the importance of the actual behavior. However,

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[6] Kira Foley worked as a PhD student at ARI under the guidance of Stefanie Shaughnessy.

[7] Portions of this document are taken verbatim from Katharine Berlinguette's Master's thesis (Berlinguette, 2014).

[8] Ethical leadership from a moral philosophical perspective, and the development of a model of predictors of ethical leadership will be covered in a separate RTG HFM-304 paper.

there must be common leader behaviors that embody ethical leadership, because it would be difficult for employees to detect the intention behind their leader's behaviors.

More Recent Psychological Definitions. Psychologists such as Treviño et al., (2000) provide an alternative, more behavioral approach to defining ethical leadership. They argue that for a leader to meet the definition of "ethical leadership" they must be seen as both a moral person (with traits such as honesty, integrity) and a moral manager (who, through their behaviors, fosters an ethical culture that inspires subordinates to also be ethical). At the core of Treviño and colleagues' definition is the idea that for a person to be seen as an ethical leader by their subordinates they must not only be ethical, but they must also lead others in a way that encourages others to be ethical as well.

Theorized in the context of social learning (Bandura, 1977), a fundamental premise behind the concept of ethical leadership is that followers learn by observing their leaders (Brown and Treviño, 2006; Mayer et al., 2009). For a leader to be someone who followers want to emulate, the leader must be perceived as being trustworthy, credible, having self-efficacy, and being attractive (Bandura, 1977). Ethical leaders are perceived as role models, in part, because they can distribute rewards and punishments in a legitimate way, including those for the ethical or unethical behavior of their followers (Brown and Treviño, 2006).

Ethical Leadership and Transformational Leadership. Early ethical leadership research (see Treviño et al., 2003) suggests that ethical leadership is one of the cornerstones of transformational leadership, particularly idealized influence, which Avolio (1999) defined as consisting of three key parts: being a role model to others, demonstrating high moral and ethical standards, and consistently doing the right thing. This definition is similar to Brown and colleagues (2005) definition of ethical leadership, suggesting that transformational leadership may be linked to ethical leadership.

Badrinarayanan et al. (2018) interpret the two dimensions of ethical leadership (i.e., moral person and moral manager) as indicating that, "ethical leaders, therefore, use aspects of both transformational (i.e., "idealized influence" or being known for demonstrating high ethical standards and doing the right thing), and transactional (i.e., "compliance-based influence" or setting standards for followers, conducting performance appraisals, and rewards and punishments to evoke ethical conduct) approaches" (p. 4). Badrinarayanan et al.'s (2018) definition follows the work of Bass, Avolio, and colleagues (see Avolio 1999; Bass and Steidlmeier, 1999), and Treviño et al., (2003) themselves who noted that, at least at the executive leadership level, "ethical leadership includes transactional leader behaviours such as setting ethical standards and holding followers accountable for ethical conduct" (p. 21).

Turner et al. (2002) found that higher levels of moral reasoning (an aspect of ethical leadership) was related to increased transformational leadership behaviors. Toor and Ofori (2009) demonstrated a positive link between ethical leadership and transformational leadership, specifically idealized influence. Other research (e.g., Mayer et al., 2012) reported a significant correlation between ethical leadership and idealized influence. However, as discussed, ethical leadership is not the same as transformational leadership. Although overlaps of personal characteristics described within each definition exist, the two forms of leadership are different (Brown et al., 2005; Treviño et al., 2003). Indeed, Brown and colleagues (2005) found that ethical leadership predicted follower outcomes (dedication and job satisfaction) and perceptions of leaders (effectiveness, trust, and interactional justice) over and above that accounted for by transformational leadership.

1.2.2   How Ethical Leadership is Measured

In their research to develop the concept of ethical leadership, Brown and colleagues (2005) conducted a series of studies to define and then refine a measure of ethical leadership. Building on their working definition of ethical leadership (Treviño et al., 2005), they started with an initial pool of 48 items. Over several studies these items were submitted to exploratory and confirmatory factor analyses, as well as content validation, and the eventual reduction enabled them to develop a 10-item scale. The resulting

10-item ethical leadership scale was found to be psychometrically sound and content relevant to the concept of ethical leadership as defined by Brown and colleagues (2005). Validation research using the ethical leadership scale and the idealized influence scale of transformational leadership reported overlap between the two scales (suggesting evidence of construct validity), but ethical leadership predicted followers' job satisfaction over and above that accounted for by idealized influence, suggesting that ethical leadership is indeed different from transformational leadership.

Psychological studies of ethical leadership use Brown et al.'s (2005) Ethical Leadership Scale (ELS) more often than not. Common themes in how the ELS is used include:

- Participants are usually subordinates of the leader, but it is unclear if researchers compare and contrast employees who work with the same leader.

- Some studies assess EL by surveying the leaders themselves, taking extra precautions to avoid self-serving biases such as social desirability.

- Traditionally, data has been collected in single time point survey. However, more recently authors have adopted daily diary methods.

The popularity of Brown and colleagues' (2005) measure has allowed for some quantitative reviews (e.g., Bedi et al., 2016; Ng and Feldman, 2015). However, the measure has yet to receive adequate psychometric assessment. In addition, authors who believe the ELS is insufficient have raised the following issues:

- Given that "ethics" are themselves a complex and multidimensional concept (Arslan and Chapman, 2001), is it overly simplistic to attempt to measure ethical behavior in a single dimension?

- Are the ELS items too abstract and should they reflect more concrete and visible ethical behavior (Frisch and Huppenbauer, 2014; Kalshoven et al., 2011)?

- Is ethical leadership the opposite of unethical leadership (i.e., negative leader behaviors)?

  - The lack of ethical supervision is not necessarily unethical (Unal et al., 2012).

  - It may not be appropriate to use reverse coded ethical leadership survey items. Perhaps instead researchers should use Item Response Theory (IRT) to see if items function properly.

  - Some items are not characteristic of ethics. Yukl et al., (2013) point out that ELS not only lacks some items but that some of the included items are not directly relevant to ethical leadership. In their view, the items ''listens to what employees have to say'' and ''has the best interests of employees in mind'' are not characteristic of ethical leadership. Brown et al. (2005) themselves admitted that these two items were more representative of the consideration-oriented leadership style than of ethical leadership, but they nevertheless retained both items in their scale without justification. Yukl et al. (2013) developed an adjusted scale consisting of 15 items that included, among others, honesty, integrity, fairness, altruism, consistency of behaviors with espoused values, communication of ethical values, and providing ethical guidance.

  - A final critique is that the scale is not multidimensional. Some scholars have argued that ethical leadership is a multidimensional construct. In opposition to ELS, Resick, et al. (2006) proposed and tested four dimensions of ethical leadership, namely character and integrity, altruism, collective motivation, and encouragement. Kalshoven et al. (2011) also developed a multidimensional scale of ethical leadership consisting of 38 items across the dimensions of fairness, integrity, ethical guidance, people orientation, power sharing, role clarification, and concern for sustainability. Yukl et al. (2013), however, criticized the Kalshoven et al. scale, pointing out that some of the subscales are not inherently related to ethical behavior.

1.2.3   Ethical Leadership and the Ethical Behavior of Followers

Ethical leaders are of tremendous importance in the workplace because they influence those around them. Brown and colleagues (2005) state that ethical leaders use both transactional and transformational leadership, have honesty and integrity, are trustworthy, and treat people with fairness and consideration. The ethical leader not only demonstrates ethical behaviors, but also expects and promotes these behaviors among followers. Research has demonstrated that ethical leadership is linked to numerous organizational outcomes such as followers' job satisfaction and dedication (Brown et al., 2005), employee misconduct (Mayer et al., 2010), workplace deviance (Mayer, et al., 2009), employee willingness to engage in internal whistleblowing (Mayer et al., 2013), unethical behavior intentions (O'Keefe et al., 2017), and organizational citizenship behavior (Piccolo et al., 2010). Mayer and colleagues (2009) found that the ethical behavior of leaders "trickles down" to their subordinates. Specifically, ethical leadership predicted group level altruism, and was negatively associated with deviant workplace behaviors like taking property from work and being late for work.

1.2.4   Existing Research on the Predictors of Ethical Leadership

There are three primary categories of ethical leadership antecedents that have been explored in previous literature: leader individual characteristics, situational factors, and higher-level contextual factors. Predominant theories of ethical leadership agree that there are both leader characteristics and situational factors that make it more or less likely that a leader will been seen as ethical and/or perform ethical behaviors (Brown and Treviño, 2006; Ko et al., 2017), but some authors also stress the importance of more covert contextual factors such as the ethical values upheld in one's society or industry (Eisenbeiß, and Geissner, 2012). Empirical studies have focused mainly on leader characteristics, but some have begun to consider situational factors.

In 2006, Brown and Treviño argued that the field of ethical leadership was a still uncharted territory. Knowing what leaders 'ought to' do, and their impact on followers is well explored, but understanding predictors of ethical leadership is uncultivated. Indeed, our understanding of the predictors of ethical leadership is in early bloom and is ripe for exploration.

Personality. Walumbwa and Schaubroeck (2009) found that the dimensions of conscientiousness and agreeableness were related to ethical leadership, and this research was replicated for the most part by Kalshoven et al., (2011). Kalshoven and colleagues also found that neuroticism was related to ethical leadership when controlling for the influence of the leader-follower relationship as measured by Leader-Member-Exchange (LMX).

Moral Identity. Mayer and colleagues (2012) considered whether moral identity (self-perceived compassion, consideration, and honesty) was a precursor to ethical leadership and examined the relationship by looking at how responsive leaders were to their followers. In this study, leaders self-evaluated moral identity and followers evaluated the leaders' ethical leadership. Mayer et al. (2012) found that leaders can be motivated by their moral identity and that this moral identity encouraged leaders to act in an ethical way that fit with their self-perception.

Moral Development. Studies have examined various leader characteristics as precursors of ethical leadership (Brown and Treviño, 2006; Ko et al., 2017), including a leader's stage of moral development, ethical reasoning ability, and personality traits. A significant amount of evidence has been found in support of the relationship between ethical leadership and leader morality (including cognitive moral development: Jordan et al., 2013; moral reflectiveness/attentiveness: Babalola et al., 2017; Zhu et al., 2016; moral identity: Mayer et al., 2012; Zhu et al., 2016; and social responsibility: De Hoogh and Den Hartog, 2008).

Prior Exposure to an Ethical Leader. Using leaders at the managerial level and followers who reported directly to them, Brown and Treviño (2014) found that leaders who had previously had an ethical role model in their career were more likely to be assessed by their current subordinates as being ethical leaders. This is of particular interest because it supports the foundational social learning theory (Bandura, 1977) approach common to ethical leadership.

In addition to certain aspects of leaders themselves, there are many situational and contextual factors outside of a leader's control that help determine whether ethical leadership is developed and/or fostered. Characteristics of those working above and below a leader act as significant predictors of whether or not a leader will exhibit ethical leadership. Attributes of a leader's direct reports such as rank/status (Pucic, 2015), need to belong (Cornelis et al., 2012), and trustworthiness (Seppälä et al., 2012) have all been found to increase the chances of ethical leadership. On the other hand, the level of ethical leadership modeled by top-level management has also been found to increase ethical leadership lower in the organizational hierarchy (Mayer et al., 2009), which supports the trickle-down hypothesis (see Mayer et al., 2009). Finally, organizational culture and climate factors can influence the extent to which leaders exhibit ethical leadership (Neubert et al., 2009; Yam et al., 2018).

1.2.5   Conclusion

Despite the passing of almost two decades, and the publication of hundreds of articles on ethical leadership, Treviño et al.'s (2000) theoretical framework about what makes an ethical leader is widely accepted by most psychologists. Nevertheless, there have been many inconsistencies in the interpretation of this framework. Indeed, most articles published after 2005 adopt Brown et al.'s (2005) formal definition, which builds on Treviño et al.'s (2000) theory to define ethical leadership as "the demonstration of normatively appropriate conduct through personal actions and interpersonal relationships, and the promotion of such conduct to followers through two-way communication, reinforcement, and decision-making" (Brown et al., 2005, p. 120). Brown and colleagues take a social learning theory (Bandura, 1986) perspective, which relies on the assumption that individuals learn from observing others; thus, people are likely to adopt the behaviors of those who they see as attractive role models. Brown et al.'s (2005) definition argues that what is normative is ethical, which implies at least some notion of cultural relativism (the philosophical theory that there are no universal moral truths, only culturally dependent ones).

We should be cautious in assuming that any author who cites Brown et al.'s (2005) definition are interpreting their words appropriately. Most authors make the assumption that Brown et al.'s (2005) definition inherently includes the theoretical framework of ethical leaders as both moral person and moral manager that Treviño et al. (2000) originally proposed (e.g., Avey et al., 2012; Gok et al., 2017; Hassan et al, 2013; Ng and Feldman, 2015; Potipiroon and Ford, 2017; Quade et al., 2017; Stouten et al., 2010), but this is not always the case. Many authors use Brown et al.'s (2005) definition to bolster their own slightly unique interpretations. For instance, Stouten et al. (2012) suggest that "implicitly enclosed in [Brown et al.'s] definition is leader's intent is to avoid harm onto followers and act in the best interest of others" (p. 2), an idea that is similar to that of Gini's (1998) early philosophical theory of EL. Taking the definition one step further, Lee (2016) argued that "ethical leaders who have high moral standards and behave as moral agents signal to followers that ethical behaviours are expected and appreciated by rewarding such behaviours…These leadership behaviours can be perceived as a high-order norm because leaders have formal authorities and resources, for example, high levels of performance appraisal and information from those at higher levels in organizations" (pp. 1794-1795). Finally, the more transparent authors cite Brown et al.'s (2005) definition as the best option but then state that they do not fully accept it. Many authors in this camp claim that they only agree with the normative aspect of Brown and colleagues' definition (e.g., Ren and Chadee, 2017).

Although it is less likely for authors to adopt a definition in complete disagreement with Brown et al. (2005), there are some definitions that provide slightly unique perspectives. For example, Craig and Gustafson

(1998) argued for a rule-based utilitarianism perspective "because it conforms to the manner in which contemporary Western civilization articulates its laws and behavioural norms" (p. 129). They developed a scale to measure the extent to which employees' perceptions of their leaders' ethical integrity is consistent with their expectations and implicit leadership theories.

Kaptein (2017) provides another unique definition of EL, and proposes that Treviño et al.'s (2000) original moral person-moral manager theory should include an additional dimension – moral entrepreneur – that he believes is required in order to deem a leader ethical, because "ethical leadership does not only follow ethics …it also leads it…an ethical leader is also a moral entrepreneur who creates new ethical norms" (p. 2).

Another, more contextual example can be found in the U.S. Army's doctrine, which does not define "ethical leadership" per se, but does provide an explicit definition of leader integrity, or doing what is legally and morally right: "leaders of integrity consistently follow clear principles… possess high moral standards and are honest in word and deed… honest to others by not presenting themselves or their actions as anything other than what they are… do the right thing because their character permits nothing less. To instill the Army Values in others, leaders must demonstrate them" (Army Doctrine Reference Publication (ADRP 6-22), 2012, p. 3-3). U.S. Army leaders are expected to uphold ethical standards in their own behavior and to guide their soldiers in doing the right thing, which reflects Treviño et al.'s (2000) moral person-moral manager theory. The Canadian Armed Forces (CAF) takes a similar approach to define the ethical domain of leadership, by stating CAF leaders are guided by three ethical principles, which include; respect the dignity of all persons; serve Canada before self; and obey and support lawful authority, which lead to six core ethical obligations (i.e., integrity, loyalty, courage, honesty, fairness, and responsibility; Canadian Armed Forces, 2007). However, the U.S. Army and the CAF's definitions are distinct from scholarly definitions in that they lay out specific virtues such as courage, honesty, and integrity.

Moving Forward. Brown et al.'s (2005) now popular definition was their attempt to further refine the model proposed in Treviño et al. (2000), but they never intended it to be an unquestionable stopping point. Psychologists interested in further developing an operationalizable definition of ethical leadership must address the construct's theoretical overlap with other leadership constructs that consider morality such as servant leadership (or its earlier form: spiritual leadership), authentic leadership, the morality sub-dimension of paternalistic leadership, and the idealized influence component of transformational leadership. The resulting construct validity evidence would be vital for any psychometric assessment of EL measures.

In addition to a rigorous psychometric assessment of construct validity, future research should consider if and how the definition of EL depends on the context in which a given leader lives and works. Resick et al. (2006) argued values should be included in the definition and not just Western values. For example, is the U.S. Army's definition of leader integrity applicable to leaders working in U.S. civilian environments or to military organizations in other countries/cultures? Measures of EL could be improved in a way that accounts for the role of context.

Finally, extant research has focused on the consequences of ethical leadership and largely ignored the potential antecedents of ethical leadership. Brown and Treviño (2006) advanced several propositions that considered individual (e.g., personality, moral reasoning) and contextual (e.g., role modeling, ethical context) influences on ethical leadership. Since then, however, most research has focused on the outcomes of ethical leadership, prompting Brown and Mitchell (2010) to reiterate that there is much to be learned about its antecedents as well.

1.2.6   References

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Chapter 2 – HOW ETHICS IS TAUGHT

2.1   AN OVERVIEW OF ETHICS EDUCATION

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Thankfully, most of us are able to spend our daily lives with relatively few challenges and are comfortable with the understanding that our interactions with others will be mostly routine, unexciting and forgettable. But what happens when this is not the case? Every once and a while we will be required to resolve a situation that is less than commonplace. We may have to deal with something morally ambiguous, perplexing, potentially dangerous, or a situation that demands us to make a crucial decision or take corrective action. When the situation involves potential harm to others, or ourselves, then we will be dealing with an ethical dilemma. Although we would like to believe that most people will respond appropriately, and behave ethically, there are countless examples where this has not been the case. Researchers have confirmed such failings in experimental settings (Milgram, 1974; Zimbardo, 2007); a myriad number of cases exist where military professionals have behaved unethically from the Holocaust during World War II (Arendt, 1963), to Vietnam (Bradley, 2008), Iraq (Hersh, 2004), Somalia, Bosnia, and Afghanistan (Bradley, 2008). Finally, examples of ethical misconduct, immorality, corruption, fraud, and scandals abound in the corporate world (Ruiz-Palomino and Martinez-Canas, 2011; Simola, Barling, and Turner, 2012). How can we counter these misbehaviors and, perhaps more important, can we teach people to recognize the ethical implications that exist in many situations and equip them with the tools to make better moral choices?

When teaching a tangible subject like mathematics and physics, it is easy to break down the elements that needs to be conveyed to students. Subjects such as these have straightforward objectives and a student's successes, and failures are relatively easy to quantify. Furthermore, identifying learning deficiencies and determining the most effective corrective action is relatively uncomplicated for teachers. After all, regardless of culture, education, upbringing, or occupation, two plus two will always be four. As the delivery of education moves into the social sciences like psychology, sociology, and anthropology the rationale for what is correct or incorrect becomes more abstract. Although research can provide the basis for knowledge in these subject areas, the teaching itself is about theories of behavior (for example) rather than absolutes.

Predicting how people will behave in general (e.g., traumatic events will be stressful and there will be psychological and behavioral consequences) can be taught using findings derived from research studies. However, the individual variations on how people will respond to life events is immeasurably vast. As one progresses further into abstract realms, like philosophy or theology, teaching takes on a more esoteric quality because the precise nature of the topics is more elusive. Similarly, assessing what aspects of the material taught is retained and internalized by the students becomes more indefinable. Given that the study of ethics is more philosophical than concrete in nature, the teaching of ethics falls into this third category of knowledge.

Complicating matters further, Davis (2014) contends that teaching ethics means different things to different people. He argues that there are four possible ways to consider teaching ethics:

1) **Ethics as Morality** – First, one can view ethics as simply another word for morality (e.g., do not lie and keep promises). Using this premise, teachers will talk about integrity, values, virtues and right versus wrong. Unfortunately, Davis (2003) believes that this sort of teaching will have little effect on the ethical behavior of students because by late adolescence this type of moral learning/reasoning is complete.

2) **Ethics as Philosophy** – Ethics has received considerable attention over the years as a philosophical field of study. For example, Aristotle viewed *eudaimonia*, a state of contentment where we feel happy and healthy, "as the ultimate goal of human life, and *eudaimonia* can be achieved through the internalization and implementation of moral virtue" (Han, 2015, p. 442). According to Davis (2014), philosophers have expertise in what is typically referred to as ethical theory, moral theory, or moral philosophy. While these approaches may be useful to help us to understand problems of morality, it is unlikely that teaching these theoretical concepts will translate into changes in moral behavior.

3) **Ethics as Professionalism** – The third category offered by Davis (2014) recognizes that professions, organizations, businesses, and agencies will have established accepted standards of behavior. These will appear as in documents as codes of ethics, professional guidelines, or standards of conduct. This means that ethics "consists of special, morally permissible standards of conduct that apply to members of a group simply because they are members of that group. It is in this sense that research ethics applies to researchers and no one else; engineering ethics, to engineers and no one else; and so on" (Davis, 2014, p. 472). Davis also contends that these standards of behavior will be open to interpretation because standards cannot possibly cover all situations.

4) **Ethics in a Meta Sense** – It is understood that professional standards of behavior must originate somewhere. When people start to question the appropriateness of standards, explore improvements, and propose new standards, they have moved into the fourth category offered by Davis (2014). This grouping is closely tied to professionalism. Davis states that at any time, a group can "be roughly divided into actual standards, those the relevant group generally follows, and proposed standards, those viewed by some, but far from all in the group, as what the group (at its rational best) would follow but has not yet taken up in practice" (Davis, 2014, p. 473).

One could easily contend that all four of these ways of thinking about ethics are critical when it comes to teaching ethics. Understanding the nature of morality and gaining an appreciation for philosophical theories will provide a solid grounding for appreciating the nature of right and wrong. We would also expect those who have undergone ethical education to behave professionally and ponder the ethics and morality associated with expected standards of behavior. As explained by Monson and Bock (2000) all of the aspects described by Davis (2014) are critical because ethics is "a process that can take place either within an individual or between members of a group. This process encompasses more than decision making involved with justifying what is moral or ethical. It involves how we perceive situations, how we value ethical actions over other competing needs, and how we show ethical courage in acting upon our beliefs and values in adversity" (p. 5). Nevertheless, ethical education does not necessarily translate into higher levels of moral reasoning and behavior.

Some authors insist that the behavior of students does not improve measurably after following ethical education programs of study (Orwin, 2009; Dean and Beggs, 2006). In the study by Dean and Beggs (2006), the researchers surveyed 27 business ethics faculty members at two American universities by telephone and determined that ethics courses did very little to influence the ethical behaviors of students. However, in the opinion of Bradley and MacIntyre (2017), criticizing "ethics instruction because it does not lead to visible changes in ethical behaviour however reflects a narrow view of moral functioning. Moral behaviour consists of more than observable actions. It also includes less visible behaviours such as perceptions, decision making and motivation" (p. 44). In other words, it would be premature to conclude that the teaching of ethics is a failed venture simply because overt signs of understanding are less than visible.

It is highly possible that changes will take place at the conscious level despite the absence of evidence. The struggle to determine right from wrong is exemplified by Brabeck et al. (2000) who quote President Lyndon Johnston as saying "It is not doing what is right that is hard for a president. It's knowing what is right" (p. 121). Brabeck et al. (2000) also offer the encouraging notion that there "is some evidence within professional psychology that knowledge of professional ethics increases ethical behavior" (p. 123).

If we expect to encourage ethical behavior, we need to first ensure that people can correctly identify dilemmas when they occur. Teaching the fundamental principles of ethics and morality, along with decision making models like Rest's (1986) Four Component Model (FCM) of decision making will help to make this happen. But the first component of Rest's model, Moral Awareness is the most critical because, without this sensitivity, the second component (Ethical Judgment) will never take place (MacIntyre et al., 2017). In their discussion of an ethical decision making error, Butterfield et al., (2000) state that the unethical decision "was not based upon the wrong set of ethical standards or ethical decision processes; rather, the decision…was largely attributable to the failure to recognize the ethical aspects of the decision" (p. 984). Similarly, Godwin (2008) points out that "…everyone does not necessarily perceive moral issues in the same manner. Where one person may determine that a situation involves a moral issue, another individual may not even recognize the existence of a moral issue within those exact same circumstances" (p. 41).

For all these reasons, teaching ethics has always been a daunting undertaking and will in all likelihood, remain challenging. But, for this teaching to have the greatest impact, it must go beyond lecturing about theories and encourage students to think about ethics critically. In this light, Choi and Perry (2010) argue that "much ethics training in government serves to reduce the frequency of unethical conduct and reinforce the organizational culture, instead of encouraging critical thinking about ethics" (p. 2).

Mulhearn et al. (2017) have conducted a comprehensive review of the different approaches to ethics education. They assert that over 50 distinct educational goals have been identified in various training programs. These various goals can be captured within four categories that include a focus on content, processes, delivery methods and activities. Mulhearn and colleagues (2017) state that "content variables concern factors bearing on ethical situations generally, processes help individuals work through a complex, ill-defined ethical problem" (p. 886). In terms of delivery methods, their review included approaches like:

a) Lectures;

b) Web-based instruction;

c) Simulations;

d) Case studies;

e) Electronic discussion boards;

f) Team based learning;

g) Decision making exercises;

h) Experiential learning;

i) Role playing;

j) Sharing personal experiences;

k) Individualized exercises;

l) Self-reflection; and

m) Essays.

It is unlikely that this is an exhaustive list, but it serves as an illustration of the range of approaches to ethical education. Mulhearn et al. (2017) also explored the effectiveness of these approaches in terms of acquiring knowledge, skills, and attitudes. They report the findings of a meta-analysis (Antes et al., 2009 as cited in Mulhearn et al., 2017) that demonstrated modest results for effectiveness. The authors were not discouraged by the modest findings and stated, "it is important to bear in mind that certain instructional features were found to be more effective than others. For example, a greater emphasis on cognitive components of ethical issues, in contrast to social-interactional components, was found to be associated with more effective

programs…Furthermore, case-based instruction was found to be more effective than traditional classroom-based instruction…This series of findings suggests that ethics education can indeed be effective, though certain approaches may be more effective than others" (Mulhearn et al., 2017 p. 887).

In conclusion, the teaching of ethics in general comes in many shapes and sizes. While the effectiveness of educational programs looks modest at best, there is evidence that a shift is taking place, nevertheless. Even though there will be dramatic differences in the awareness of ethical dilemmas, and the judgment processes will be inconsistent, it is encouraging that some approaches have been identified as stronger than others. Armed with this knowledge, programs can be tailored more effectively and, hopefully, success rates will improve.

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2.2 TEACHING ETHICS – MORAL PHILOSOPHICAL PERSPECTIVES

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In Meno, Plato argues that virtue cannot be taught. He cites that there are no teachers and teaching tradition for it, which seems to make virtue a very special kind of topic. Singer (2006, p. 187) states that it is usual in philosophy to think "there is no such thing as moral expertise." If we take Plato's virtue to be the same as being ethical, and Singer's statement made approximately 2,500 years later to also talk about being ethical, it suggests that the teaching of ethics has not developed much, at least when it comes to teaching being ethical after being taught ethics.

Nonetheless, ethics and being ethical has been taught throughout this time, albeit, with emphasis on different perspectives. Thus, care is required when framing the question about the meaningfulness of teaching ethics and the literature used in that teaching; of this project we dare to frame the teaching of ethics here in the framework of teaching it in the armed forces and to the leaders in the armed forces.

When thinking about teaching ethics in the armed forces and teaching military leaders, we are again faced with whether ethics can be taught and, if so, how it is being taught in a military population. For example, is it teaching, training or education? According to Pihlström (2010), in an academic setting, the teaching of ethics is usually done in a manner that it is neutral, objective and scientific. Then, the task of teaching ethics is not learning morals per se, or moral education, or guiding the students toward good or correct choices in their lives. According to Pihlström (2010) this kind of theoretical ethics teaching is possible, and it has its merits, but he does not see it as the best option for teaching ethics. He states that it is difficult, if not impossible, to teach ethics without taking a stand on how a person should act in life. He says, as does MacIntyre (2015), that it is very difficult to think that ethical actions or moral commitments could be conveyed through teaching that does not take moral behavior into account. Pihlström suggests that an ethics teacher striving for

absolute neutrality will give the wrong impression about the nature of ethics (Pihlström, 2010, 2018). Toiskallio (2009) follows a similar line of thinking when he states that ethics teaching for officers should not mean more lectures on moral philosophy or a list of rules on or about ethics. Moreover, it is about developing the student's identity together with practical wisdom and competent action. Grassey (2008) reminds us that the objective is not to transform officers into philosophers, but to teach them ethical models and ways to act that they can apply at work.

The problem in teaching ethics seems to have become, how much "academic" ethics must/should be taught to military personnel and how much of the teaching should be (military) professional or of a nature that emphasizes the virtues that officers should have. A further consideration in teaching is how much of the theoretical teaching ends up into practice and which types of exercises (cases, simulators, group projects, etc.) are truly useful (See Toner, 2005; Cook, 2008; van Baarda, 2006; Berntsen and Rolfsen, 2008; Aalto, 2014; de Graaff et al., 2017). Another aspect concerning the teaching of ethics is the need to go beyond a style of teaching that, according to Cook, is closer to Sunday school classes. A notable challenge is also the lack of research about the effectiveness and impact of the teaching (see Bradley and MacIntyre, 2018).

According to Värri (2007), there is a perception that there is an over-confidence in the individuals' independent ability to develop into moral subjects without specific teaching. The complex society of today requires a well-developed ability to project our own identity. That is why Värri believes that it is necessary to teach such a complex subject as ethics. He does not see a significant difference between teaching citizenship education and military ethics, if it is about teaching a sense of reality, fairness, justice, and common responsibility. He states that the task is very demanding, almost impossible in connection with military education, but that is precisely why ethics is a necessary part of military education and training (Värri 2007).

It could be stated that teaching ethics to military members is not neutral, but it always includes an opinion on what kind of persons that the learners, i.e., military members, hope to become and how they act. But this still demands the question of whether is it about teaching, education, or training?

Värri (2004) divides social and educational relationships in three ways as follows:

1) Immediate educational responsibility – the responsibility to help and the relationship between parents and children, which is fundamentally about securing living conditions for children;

2) Role-based relationship – for example, between a teacher and student that is justified by the teacher's expertise; and

3) Command relationship – a typical example would be during military training where the superior-officer has absolute command over the military subordinates.

Based on the three points above, it suggest that the education relating to military ethics takes place either according to the role-based or the command relationship. Different types of educational relationships do exist, but they do not give the right to make unfounded claims about the moral emotions of the educators. The sense of responsibility of a professional educator or that of an officer to their educational role is therefore not necessarily more technological than a father's or a mother's (Värri, 2004).

It is entirely possible that the armed forces employee who teaches ethics, whether a soldier or a civilian, will prefer an educative style for students. According to Mutanen (2010) military training is, at its core, both training and education. Training refers to different kinds of exercises and drills in both practical and theoretical activity. Education, on the other hand, is slightly more difficult to define. Education is just as goal-oriented as training, says Mutanen. It does not necessarily have to be objectivized or conceptionally specified. (Mutanen, 2010.) Education generally strives for a good outcome. Thus, one could argue that the goal of military education is a good soldier. In military pedagogy, according to Mäkinen's (2008) characterization this means a military member who is disciplined, has initiative, and is active and creative.

Aikko (2010) widens and expands upon the above when he sets goals for military training. The goal is a soldier who is good, effective, and purposeful, able to accomplish the task and physically, mentally, ethically, and socially capable. This leads to the unit being capable and combat-effective. Just like Mutanen, he sees that military training includes elements from both training and education. He still differentiates training to be about the teaching and sharing of certain cognitive aspects, knowledge, and skills. He sees education as something more profound; influencing a person and guiding them (Aikko, 2010).

NATO's Education, Training, Exercises and Evaluation (ETEE) policy document MC458/2 separates education, training, exercise and evaluation. Of these, it is seen that exercise applies to units and teaching to individuals. Training and evaluation apply to both.

Each teaching or training event includes components and interactions when the instructor or teacher also educates students. The teaching methods adopted by the instructor also provide insight into the values that guide the selection. With his or her choices the teacher creates a significant framework that will shape the student's identity. According to Toiskallio (2009), the most important growth and development takes place inside that framework. That is why the framework cannot only consist of schedules and training matrixes (Niemi, 2002; Toiskallio, 2009). The goal should be an individual's growth, training, and learning.

Teaching military ethics should be included in both training and educational aspects of training because it includes elements from all the previously mentioned areas. Goal setting determines the order of precedence between them.

The two main lines for the purpose for teaching military ethics can either be seen as equipping a member of the armed forces or a unit with such ethical models that the unit can carry out its task appropriately, or as developing the character of individual soldiers. They both have their proponents. The separating factor is often in the point of view: do the armed forces have the need, possibility or right to influence the thinking and values of its members in a more profound way, than is necessary to enable the effective and legal actions of the armed forces (see Wolfendale, 2008; Ficarrotta, 2008; Kasher, 2008a).

The arguments of those in favor of ethics teaching based on the tasks of the armed forces are driven by characteristics like age, the nature of the activities, or the privacy of the individual. For example, Olsthoorn (2008) notes that the persons trained in the armed forces are traditionally so young that expecting them to make correct decisions based on a mature ability to evaluate situations and virtues is entirely too optimistic. It is better to give clear instructions on what they can and cannot do. The same applies to the nature of the activities of the armed forces. Few soldiers have the opportunity to have a say in where, how and why they fight. Therefore, it is pointless to expect virtuous activity from persons who do not, in the Aristotelian sense, understand their purpose and the larger meaning of their task. Instead of doing what is good, it is better that they do what is right. In a military environment, this may be best understood as following instructions and international conventions. Kasher (2008b) notes that the virtues of a soldier do not necessarily provide for the ethics needed in a combat situation but are more related to (peacetime – author's note) service. Also, Olsthoorn (2008; 2011) states that different military virtues can be very problematic in a complex operating environment.

It is also unclear whether a soldier or an officer can be required or expected to behave any more ethically when off-duty than the representative of any other profession. For example, according to Ficarrotta (2008) there are no legitimate grounds to demand that teaching ethics in the armed forces should strive to develop the character and nature of personnel. A sufficient level of behavioral control is achieved when military personnel do their jobs faultlessly and well (Ficarrotta, 2008). Those subscribing to this line of thought believe that a soldier's morals, ethics, and attitude are merely tools in producing the desired behavior and actions. At the same time, they do emphasize the importance of teaching ethics in achieving the desired result.

Those who believe that it is important to develop the character of individual soldiers see that despite their profession and task, soldiers must be primarily seen as individuals and moral actors who are responsible for their actions and behavior. According to Snider (2008), they must accept that individual searches for truth, values and purpose are a natural part of their development. Because the soldiers are young, they must be guided in that development. Therefore, there is a goal for persons serving in the armed forces to be more moral than other members of society. According to Berntsen and Rolfsen (2008) this is necessary because, in the end, the purpose is to support good and prevent evil. Those subscribing to this line of thought thus believe that a soldiers' morals, ethics, and attitude are intrinsically meaningful. Just acting correctly is not enough, but one must act and live well as a whole (See Hude, 2008; Snider, 2008; Cook, 2008; Berntsen and Rolfsen, 2008).

According to Wolfendale (2008), we can only discuss who teaches what, to whom, and by which methods after we settle what we are striving for during the teaching of ethics. In his doctoral thesis, Aalto (2016) looked at the goals for ethics teaching in different armed forces. The conclusion was that there are no common goals, but that the teaching methods, teaching material, teachers, amount of ethics teaching, theoretical basis (e.g., Teleological, deontological and consequential) and goal vary greatly between different armed forces.

It must be noted, however, that the two lines of military ethics presented earlier in this article are one theoretical construction. For example, the model about the deep personal nature of ethics, which Toiskallio often refers to, does not fit this construction. The model, which is based on the tradition and thoughts of Søren Kierkegaard and Emmanuel Levinas, has the central question of "How must I act in this specific situation in my life?" One cannot find an answer to that question by acting or behaving in the correct way or by applying theories of ethics about a good life. The answer can only be found through a personal commitment to a moral decision. (see Toiskallio, 2009; 2014). Toiskallio's model has not been adapted as a goal for ethics teaching or education within the armed forces.

Ethics teaching is also tied to a place, time, and a culture. An approach that which works in one military organization may not work in others (see Aalto, 2018). Military ethics and the teaching of military ethics are also concepts that defy a universal definition (See Rohan, 2018) but it has a temporal (Cook and Conversino, 2009; Cook, 2015; Lucas, 2009), cultural (Wilkes, 2017) economic and technological dimension (Baker, 2011; Lucas, 2015; Cook, 2015). Therefore, in the teaching of military ethics it is acceptable that there are multiple options with pedagogical, didactic and technological solutions (Schoonhoven, 2015).

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2.3   ETHICS AND INTERNATIONAL HUMANITARIAN LAW

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Foundations of the relationship between the training towards compliance with the International Humanitarian Law (IHL) and military leadership are inherent in IHL itself. According to the Additional Protocol I to the Geneva Conventions from 1977, participating states are required to disseminate IHL norms and "to include the study thereof in their programmes of military instruction" (Art. 83). To that end, States shall require their military leaders/commanders to "ensure that members of the armed forces under their command are aware of their obligations under the Conventions and this Protocol" and to prevent any violations of IHL (Art. 87). The concept of command responsibility thus places on leaders a legal and moral obligation to prepare their soldiers to always act in accordance with IHL. Being under responsible command, Corn (2014) reminds us, is a prerequisite to having status as a lawful combatant. In the case of the Canadian peacekeepers in Somalia, the Commission also accused several commanding officers because they had not sufficiently trained the subordinates in their legal obligations (Henckaerts and Doswald-Beck, 2005b, 504). There is an inextricable link "between the role of the commander and the effective implementation of the international humanitarian law" (Corn 2014, 901).

This section will review methods of dissemination of IHL to soldiers, the relationship between IHL dissemination and ethical development of soldiers, and, finally, what this means for leaders and leadership in the military.

2.3.1   Dissemination of IHL

The obligation of States to disseminate IHL in their armed forces was first established in the 1906 Geneva Convention and restated in all the relevant treaties afterwards, including 1949 Geneva Conventions and the Additional Protocols of 1977. Authors of the first IHL documents assumed that dissemination of the humanitarian norms and widespread awareness of IHL among citizens would guarantee lawful warfare. The 1949 Geneva Conventions stipulated the obligation for states "to include the study [of IHL] in their programmes of military and, if possible, civil instruction" (Art. 144). However, the convention did not provide any guidance on how IHL should be taught. The Additional Protocol I made the training duty slightly more specific by obligating states to "train qualified personnel to facilitate the application of the Conventions and of this Protocol" (Art. 6), and Art. 87 defined the command responsibility to ensure the awareness the rules among subordinate soldiers (Bates, 2015).

According to the International Committee of the Red Cross (ICRC) study of Customary International Humanitarian Law, the practice of teaching IHL rules in the armed forces takes mostly "the form of written instruction or classroom teaching" (Henckaerts and Doswald-Beck, 2005b). However, experts tend to view this method as insufficient to ensure compliance with IHL rules. In particular, social psychology research questions the historical assumption that dissemination of the knowledge on IHL leads to compliance in armed conflict (e.g., Muñoz-Rojas and Frésard, 2004). The literature on IHL training thus must recognize the challenge of finding a form of IHL training that would lead to effective compliance with IHL (Henckaerts and Doswald-Beck 2005b; Bates 2015).

An alternative to the simple dissemination of knowledge may be found in a kind of training that affects individual attitudes to IHL. The aim of this training should be the internalization of IHL norms "through attitudinal change, discourse and repetition" (Bates, 2015). To this end, South Africa's Law of Armed Conflict (LOAC) Manual explains that "in the circumstances of combat, soldiers may often not have time to consider the principles of the LOAC before acting. Soldiers must therefore not only know these principles but must be

trained so that the proper response to specific situations is second nature" (Henckaerts and Doswald-Beck, 2005a, 3219). The attitudinal approach stands on two pillars: persuasion and reflexive training.

As for the former, Sassoli (2007) suggests that "diverse political, moral, religious or utilitarian arguments can be used" to convince the individual that IHL norms matter (Sassoli 2007, 73). Hampson (1989) endorses discussions in which the soldiers may internalize their knowledge; "If they realise that their sense of right and wrong is confirmed by the international legal rules, they may approach the formal study of the latter without the negative attitude" (Hampson, 1989, 115). Roberts (1997) points out that IHL training needs to be credible and relevant: "A soldier can understand why he has to learn the basic principles of camouflage and concealment or how to use his weapon correctly. The law…must be presented in an equally meaningful, credible and digestible way" (Roberts, 1997, 436). The Abu Ghraib investigative panel proposed that IHL training should emphasize the role of reciprocity within IHL. Acceptance of the norms is easier if the soldiers realize that each party to a conflict should "honour their obligations in the hope that their forces will be granted like consideration by the opposing side" (Gutierrez et al., 2011, 1021).

It has been suggested that junior ranks should learn IHL norms not in the classroom but by doing. "The best training at this level," as Roberts (1997) puts it, "will be given as part of normal field instruction or on exercises. Ambush drills, section attacks, fighting in built-up areas (FIBUA) exercises and so on can all incorporate a small element of law of war training." If soldiers experience IHL and tactics as "part and parcel of the same subject; they become routine, a matter of normal behaviour in action" (Roberts, 1997, 442). In a similar vein, Corn (2014) argues that through regular practice compliance should 'become increasingly instinctive and automatic' and part of "the battle instincts of the soldier" (Corn, 2014, 914).

A different approach emphasizing behavior instead of attitudes has been proposed by Muñoz-Rojas and Frésard (2004). Their study analyzing psycho-sociological factors of IHL violations in warfare brings them to the observation that individual pro-IHL attitudes formed in peacetime have a little causal impact on compliance: "A favourable attitude – or indeed sincere adherence – to a norm does not mean that combatants will conform to it in a real-life situation." Involvement in conflict leads to moral disengagement, and the latter facilitates violations of IHL. Their conclusion and recommendation are in opposition to the mainstream literature on IHL training. The dissemination activities should focus "more on the norms than on their underlying values because the idea that the bearer of weapons is morally autonomous is inappropriate." Strict orders and effective sanctions are argued to be the most effective measures to obtain respect for IHL (Muñoz-Rojas and Frésard 2004, 202-3).

All the recent literature on IHL training is permeated with the term 'integration' (cf. Bates, 2015; Muñoz-Rojas and Frésard, 2004; Corn, 2014) and the ICRC advocates an integrative approach (ICRC, 2015). The character and objectives of basic military training, which includes desensitization, breaking down the reluctance to kill, building up unit cohesion and reflexive obedience, tends to conflict with the aims of IHL training (Bates, 2015). Effective compliance with IHL thus requires that relevant norms be integrated into "doctrine, education, training, equipment and sanctions" (ICRC, 2015, 56), and that IHL should be "continuously relevant to decision-making and communication within the military command structure" (Bates, 2015, 809). The concept of integration includes training and education; however, it is important not to reduce it to training only. The integrative approach also requires an understanding of the operational consequences of IHL and the adoption of concrete measures…' that enable compliance even under the stress of combat (Bates, 2015, 809).

2.3.2   IHL and Military Ethics

It is easy to see IHL and military ethics as two faces of the same subject. Indeed, they both deal, among other things, with soldiers' relations to outsiders. Military ethicists attempt to promote normatively flawless behavior of soldiers to other people. For some authors concerned with the application of IHL, some ethical categories, such as conscience and sense of right and wrong, are crucial factors in internalization and

invocation of the legal obligations (e.g., Hampson, 1989). However, as Bates (2015) observes, "the body of work on IHL training appears to have developed in parallel to the more copious material on military ethics…There is little systematic engagement with the advantages and disadvantages of integrating IHL and military ethics training in particular" (Bates, 2015, 806).

Ethics in general, and military ethics in particular may take a form of various, sometimes rather heterogeneous moral systems, such as virtue ethics, duty-based ethics, and utilitarianism. For this review, we will use a framework developed by Lawrence Kohlberg (1981; 1984; Kohlberg and Hersh, 1977). It stems from the Kantian view of morality as a product of the rational mind and postulates a relationship between moral reasoning and moral action. Kohlberg argues that the individual's moral actions show greater consistency, predictability and awareness of one's rights and responsibilities at higher levels of moral development. The moral development progresses through three levels, each comprising of two stages. At the first, preconventional level the individual abides by the established rules out of fear of punishment (stage 1) or in expectation of reciprocity and mutual advantage (stage 2). At the second, conventional level the individual identifies with the norms of the community and thinks and acts as its loyal member. Right behavior consists in doing one's duty and maintaining the given social order for its own sake. At the third, postconventional level the individual defines moral values and principles that should be generally valid, independently of the community with which the person identifies. Moral values at this level are defined in terms of universal rights and obligations (Kohlberg and Hersh, 1977). Kohlberg's concept is primarily intended to analyze the individual's cognitive development. Nonetheless, the stages of moral development also provide a valuable instrument for understanding the relationship between the development of ethical thinking and IHL training (Kucera, 2017).

The traditional approach of disseminating IHL through military instructions and orders rests on the expectations of conventional moral reasoning. If soldiers know the rules, they will follow them because it is in the nature of a disciplined soldier. Moreover, as Roberts (1997) reflects from his experience as an ICRC instructor, soldiers tend to see IHL more relevant and credible if they realize that it is very much soldiers' law born out of the midst of battle and that it is "rich in military tradition and rooted in age-old custom" (Roberts 1997). In this sense, IHL would not be perceived as externally imposed rules but an inherent part of the military profession.

The IHL dissemination also exercises tendencies towards preconventional mechanisms of compliance. The issue of reciprocal application of the law explicitly relates to the second stage. However, this logic fails in most of the recent deployments in asymmetric conflicts. As Ignatieff (2001) told Canadian Officer Cadets, "Today we are dealing with an enemy who is not interested in moral reciprocity… why [soldiers] should play by the rules at all?" In his answer, Ignatieff gives a pragmatic alternative to reciprocity. Since the military is "in the business of hearts and minds," it is a strategic imperative to comply with the ethical and legal obligations (Ignatieff, 2001, p. 9).

Muñoz-Rojas and Frésard's (2004) suggestions on how to ensure compliance with IHL climbs even lower on the Kohlberg's ladder. In their view, IHL should not be treated as a moral matter at all. Allowing moral judgments only opens the doors to moral relativism and stretching moral values so that they subjectively legitimize violations of IHL. In their view, only strict orders with clear sanctions will guarantee soldiers' compliance with IHL during combat deployments. However, Muñoz-Rojas and Frésard stand out of the mainstream approaches on IHL training. It is more commonplace to assume that the "threat of a potential criminal sanction for violating IHL is not an adequate substitute for training integration and will likely provide little or no deterrence when soldiers confront in extremis situations involving pressures to act in violation of the law" (Corn, 2014).

In contrast with Muñoz-Rojas and Frésard's (2004) research, there is a strong tendency in the literature to reinforce IHL compliance with an appeal to individual conscience and rational moral reflection of what is universally right and wrong (Kohlberg's postconventional level). According to Hampson (1989), the "most

effective inhibiting factor may well be the individual soldier's conscience." Practically, soldiers should learn to understand "the nature and significance of IHL-based constraints." To that end, open discussion is seen as a particularly effective teaching method. Nonetheless, free and open thinking on the rules is not limited to the training process alone. Bates (2015, 810) stresses that soldiers should be given "the opportunity to clarify the lawfulness of a mission or specific order." This may disrupt the military tendency to conformity and reflexive obedience (Bates, 2015). Similarly, Osiel (1998) argues that adequate compliance with IHL requires abandoning "the historical equation of military efficacy with the need for soldiers to be always "reflexively" (i.e., unreflectively) obedient" (Osiel, 1998, 947).

The last approach to the IHL promotion corresponds with some of the currently prominent concepts on military ethics for peacekeeping and other human security operations, such as 'moral fitness' and 'moral autonomy." Regarding the former concept, Richardson et al., (2004, 99) define moral fitness as 'an attitude of alertness and responsibility on a moral level.' Morally fit peacekeepers should be able to cope with ethical dilemmas because they are trained in making moral decisions. Moral fitness does not mean that prescribed principles should be mechanically applied. Rather, the soldiers need to practice self-critical reflection regularly. Moral fitness "requires a continuous reflection on the values and norms one lives by and is confronted with, reflection on what to do and how and why it should be done" (Richardson et al., 2004, p. 107). In a similar vein, Tripodi (2006) maintains that a strong moral autonomy should be an essential part of the peacekeeper's identity. The concept of moral autonomy, in comparison with the concept of moral fitness, suggests that the peacekeeper should develop "a strong self-awareness and the moral strength" to also make those decisions for which he or she could not be trained (Tripodi, 2006, p. 222).

2.3.3   IHL and Leadership

Leaders play a specific role in the process of IHL dissemination. Article 87 of the Additional Protocol I gives leaders the responsibility for disseminating IHL knowledge to soldiers. The classical ICRC's effort in dissemination hitherto focused almost exclusively on commanders ('train the trainers' approach). However, the responsibility of commanders should not be reduced to an occasional role of lecturers. Recent approaches recognize that leaders need to assume more complex function to ensure compliance of soldiers under their command. It is a commonly accepted fact that awareness of the rules is not sufficient to produce compliance. Yet the concept of command responsibility makes the leader accountable for the misconduct of soldiers under his or her command, although very often the leader is not in control (Doty and Doty, 2012). It is, therefore, important for leaders to strengthen the power of the law by creating the right climate and adapting their leadership style.

Among the first obstacles in IHL training is a hostile 'barracks culture' (Roberts, 1997, 2006). Training in IHL rules will not have a lasting effect if a leader shows a lukewarm attitude or reservations for the law. The training thus may succeed only if the leaders believe in IHL and demonstrate their interest in the training. After all, IHL training is rarely a priority during a busy training schedule. As Roberts (2006) puts it, it requires a kind of bravery from the leader to insist on maintaining a module on the law of war.

Serious problems with compliance may be expected during a combat deployment. As Muñoz-Rojas and Frésard's (2004) analysis demonstrates, bad leadership can significantly contribute to the development of moral disengagement and a group climate that is conducive to IHL violations. For instance, "how can we expect combatants to respect the principles of IHL in their behaviour towards their enemies," Muñoz-Rojas and Frésard (2004, 196) ask, when soldiers experience bullying, dehumanizing, and disrespectful behavior within their units. Moreover, combatants tend to shift their individual responsibility from themselves to their commanders. This makes the concept of command responsibility even more relevant. The authors argue that violations of IHL are frequently connected "with a lack of any specific orders not to violate the law or an implicit authorization to behave in a reprehensible manner" (Muñoz-Rojas and Frésard, 2004). The responsibility to ensure compliance therefore requires from leaders to think and act proactively when giving orders and planning operations.

The current ICRC approach emphasizes the need for a fundamental transformation of military leadership style. The integrative framework to the IHL promotion requires that soldiers should be encouraged to ask for clarification of the lawfulness of a mission or an order. Moseley (2008) argues that military leaders, contrary to the most basic military instincts, should promote independent thought and "unlimited criticality." This would disrupt "concepts of conformity and unthinking obedience to the chain of command." As a result, the legal obligation to carry out only lawful orders is argued to become stronger (Bates, 2015, p. 810). To attain this effect, however, military leaders must possess not only knowledge of IHL but also the intellectual capacity and conviction to be persuasive and justify the orders.

Corn (2014) draws attention also to the responsibility of military leaders to protect subordinates from "the moral corrosion inherent in the use of lethal force." To that end, IHL provides leaders with "the framework to facilitate the distinction between legal and illegal violence, which will routinely translate to the distinction between moral and immoral individual conduct" (Corn, 2014, 910). In a similar vein, Kilner (2002) talks about the responsibility of leaders to explain the moral justification for the use of lethal violence so that "soldiers can live with themselves in the years after combat." (Kilner 2002, p. 24).

2.3.4 Conclusion

It is a legal obligation of military leaders to ensure that their subordinates comply with the rules of IHL. However, this obligation cannot be reduced to occasional IHL lectures. The literature, which deals with the issue of IHL dissemination, produces some mutually antithetical proposals, yet certain agreement seems to exist regarding the role of leaders. The integrative approach to the IHL dissemination and application requires that leaders do not perceive the IHL rules as merely externally imposed limitations on their command; they ought to internalize the principles of legal and ethical conduct. Only then they can stimulate climate conducive to the acceptance of legal norms, legal challenges become an essential part of combat training, and legal considerations accompany the entire process of operational planning and issuing orders.

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Part II: ETHICAL LEADER DEVELOPMENT

Chapter 3 – REVIEW OF ETHICS TRAINING BY NATIONS

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It is evident that leaders of the military forces within NATO and Partners for Peace place tremendous value on the importance of ethical conduct within their uniformed forces. Given that the primary purpose of a military force is to deter aggressors and ensure a nation's security, this kind of emphasis is understandable. Military members must also engage in peacekeeping operations, provide aid to civil power as required, during terrorist attacks, and help when natural disasters occur. Soldiers, sailors, and air personnel are highly trained in the use of force to carry out missions but must also serve diplomatic roles as required. The decisions of leaders, and their subordinate troops, can have life and death consequences. Furthermore, inappropriate and unethical behaviors can undermine both the effectiveness and success of operation, as well as cause significant reputational damage for the organization with their international allies and on the home front. Thus, it is imperative for the serving members of these organizations to not only accept the values ingrained in the doctrines within their respective nations, but must also adhere to these values and principles while carrying out their duties honorably and professionally.

However, it would be unrealistic to expect military applicants on enrolment to already possess the values and internalized ethical codes of conduct that serve as guiding principles for the militaries of their respective nations. This means that formal education and training must be in place, along with a robust indoctrination program. Ideally, there will be both formal and informal aspects to the learning process that will enable this transition to take place. Additionally, there will need to be mechanisms in place throughout one's military career to reinforce the importance of ethical behavior and morality. A systematic approach will help military members to successfully adopt the desired value sets and understand how to effectively engage in ethical decision making.

The sections that follow provide insights into the approaches used to teach ethics within the militaries of nine different nations. It will become evident that the methods taken in the different countries do not follow a single blueprint. There are many variations in aspects for example: when the ethics education takes place in a member's career; who conducts the training/education; the kinds of resources that are used; and how students are assessed. This is to be expected because the programs have been developed individually without any overarching guiding principles. Nevertheless, there are common threads that permeate throughout these descriptions. First, it is evident within the descriptions that the value of ethics education is given great prominence by each nation. Second, there is a motivation and desire to impress upon military members that the values and principles espoused by the organizations should be adhered to and, hopefully, internalized. Third, the people who deliver this type of education should be both knowledgeable and passionate. Finally, ethics education should continue throughout a member's career.

3.1   TEACHING ETHICS IN AUSTRALIA

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Military ethics and ethical leadership education in the Australian Defence Force (ADF) has been a specific and enduring interest for the last few decades. However, ADF ethics education now has an even greater focus since the public release of the Afghanistan Inquiry Report (known as the 'Brereton Report') in November 2020, an independent inquiry into alleged war crimes of Australian Special Forces in Afghanistan between 2005 – 2016. Consequently, the Afghanistan Inquiry Response Task Force (AIRTF) was established to implement the agreed recommendations from the report (Australian Defence Force, 2016). The Centre for Defence Leadership and Ethics (CDLE) at the Australian Defence College (ADC) was identified as one of the principal Units within Defence to implement the ethics education reform recommendations from the report. The main ethics education initiative is to '*reform Defence's end-to-end education and training on ethics, command and leadership, and character for all of Defence*'. The first objective of this education reform includes the development, implementation and quality assurance of a Defence-wide ethics education and training continuum, which incorporates addressing both individual and collective training. The history and genesis of ADF ethics education will be discussed to provide context to the current ethics education reform activities.

3.1.1   ADF Ethics-Related Institutions

CDLE was established at ADC in 2002 under the name 'Centre for Defence Command, Leadership and Management Studies'; it then changed to the 'Centre for Defence Leadership Studies' in 2005, and then finally became the 'Centre for Defence Leadership and Ethics' in 2009, and still goes by this name today. The Centre was established and continues to exist out of recognition from the ADF senior leadership that there needs to be a collective body of knowledge in these professional topic areas. While there was excellent work in the command, leadership, and management areas occurring in the single Services domains and the broader Defence community, this work tended to occur in isolation. Any cooperation was by exception, not design. The ADF senior leadership sought to provide a central Defence point of reference to provide an avenue for knowledge sharing, research, and concept development. Thus, one of the enduring roles of CDLE is to give the Commander ADC (COMADC) high-level command, leadership, ethics, management, and development advice and to help shape expertise in these areas within ADC and across Defence.

The challenge for CDLE, and any military promoting ethical leadership, is providing the balance between the experiences of the military practitioner that every member of the ADF can relate to, and the theoretical background, context, and reasoned knowledge of those experiences through academic rigor. A critical factor in this balance is the capacity to translate academic bodies of knowledge to benefit those in the ADF not regularly immersed in ethics or ethical leadership concepts. Thus, the CDLE team comprises those with military backgrounds who have experienced ethical dilemmas and are enthusiastic about sharing these experiences for the betterment of the ADF, and those with academic credentials in leadership, ethics, and human behavior.

3.1.2   ADF Ethics and Ethical Leadership Activities/Courses

It was no coincidence in the late 2000s that redefining CDLE with a particular ethics focus, along with the definition of leadership clearly articulating the context of 'ethical pursuit of missions', saw further activities in the ethics and leadership domain develop. These activities included embedding leadership and ethics programs within ADC in its three major courses of study – the initial entry officer course at the Australian Defence Force Academy (ADFA), the O4/O5 level Australian Command and Staff Course (ACSC), and the Colonel (equivalent) Defence and Strategic Studies Course (DSSC). Further to ADC courses, CDLE

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[1] NB: Views within this brief are that of the author and may not represent that of the Australian Defence Force.

branched out to promote leadership and ethics education, commencing with the single Service promotion level courses – primarily at the E9, O3, O4 and O5 rank levels.

Notwithstanding, the single Services have also embraced a progressive means of looking at leadership and ethics, including: the Royal Australian Navy's Culture team, who conduct leadership development workshops; the Australian Army has re-instated the Centre for Army Leadership at the Royal Military College (RMC), Duntroon; and the Air Force have their long-standing Air Force Adaptive Culture team who run multiple leadership exchange programs a year as well as reviewing the Air Force Professional Military Education (PME) system. CDLE works relatively closely with these teams to share knowledge and discuss future leadership and ethics education developments for ADF members.

The ADF went a through a time of deep enquiry into ethical behavior, which was off the back of a series of high profile ADF incidents that pointed to ethical dilemmas faced by ADF members. These included the Rwanda massacre (1994), aviation crashes (Air Force 707, 1991, Army Black Hawks 1996 and 2006; Navy Sea King 2005), 'Children Overboard Incident' 2001, and decades of F111 deseal/reseal, to name a few. The ADF looked to their coalition partners who also had ethical incidents such as Abu Ghraib, Somalia, and the Balkans. CDLE developed a bank of case studies of local and international incidents on ADF promotion courses and related ethical development activities.

The result of the CDLE enquiry into ethical conduct in the ADF, as published in Chapter 7 of Military Ethics in International Perspectives "*Analysis of Ethical Conduct within the Australian Defence Force*" (International Military Testing Association), resulted in the 2010 Chiefs of Service Committee (COSC) paper recommending ethical case studies to be delivered at set points in an ADF member's career. This project was a whole-of-professional military PME program in ethics education for every promotion course across the Navy, Army, and Air Force. COSC endorsed this program for implementation from Recruit level entrants to one-star rank. This ethics program, known as 'Achilles,' was maintained by CDLE; however, it has not been maintained across the Services and is critical to the current reform initiatives of ethics education for the ADF.

Around the same time as the development of Project Achilles, in 2009, CDLE developed '*A Commander's Guide to Ethical Leadership*'. This pamphlet included an ethical decision-making framework, content on ethical intelligence and ethical fitness in command, a discussion on the utility of ethical leadership, along with commanders talking points on ethical leadership. Visiting fellows at CDLE authored the guide and so had an academic flavor, which was perhaps not as accessible to the audience. The guide has been up for review for some time, and the findings from the NATO RTG Ethical Leadership Model will go some way to contemporize this worthwhile publication.

CDLE's commitment to delivering to ADC courses, and the broader ADF, has been steadily growing since the inception of Project Achilles in 2010. CDLE has branched out further afield from single Service promotion courses and has also included leadership and ethics activities for unit level across the ADF via assisting in developing codes of conduct and delivering professional development seminars and workshops. CDLE has also spread the delivery capacity even further within Defence and externally in recent years. The inclusion of an organizational psychologist position on the team in 2010 meant that a new dimension of understanding human behavior and moral development could now be applied to discussions on leadership and ethics.

3.1.3 Doctrine

At the highest capstone-level joint doctrine for the ADF (inclusive of the Royal Australian Navy, the Australian Regular Army, and the Royal Australian Air Force), the requirement for leaders to act ethically has been well documented and enshrined. The first 'joint' *Leadership* Doctrine was published in 2007 and derived from the 2006 CDLE paper "*In Pursuit of the Capability Edge: Perspectives on the Australian Defence Force Leadership Development Experience*", subsequently published in International Perspectives of Military Leadership (International Military Testing Association). The 2007 CDLE paper "*Strategic*

Perspectives on Military Ethics Education in the Australian Defence Force", published in Strategic Leadership Development: International Perspectives, also heavily influenced the tone of the first Leadership doctrine publication to focus on the ethical requirements of leadership (International Military Testing Association). The second edition of the Leadership Doctrine was published in 2018, with further refinement of leadership concepts for the ADF. In 2020, there was substantial support for a new joint Leadership doctrine that would be accessible to all members of the ADF, as well as aligning single Service leadership into one doctrine. Therefore, in 2021 the ADF saw the release of two critical philosophical level doctrines – *ADF Leadership* (The Forge. ADF Philosophical doctrine – ADF leadership) and *Military Ethics* (Australian Defence Force, 2021).) There is also work underway to develop a joint '*Character*' doctrine for publishing shortly. These three doctrines are a deliberate triumvirate of social mastery concepts to create an optimum, cohesive, joint ADF culture.

3.1.4   Character Doctrine

Historically, single Service doctrine, prior to the joint doctrine publications, often addressed both leadership and ethics; however, they were generally described as mutually exclusive concepts. Addressing the nexus between leadership and ethics began in the early 2000s, with publications such as the 2005 version of the Land Warfare Doctrine (LWD) 0.2.2 *Character*. The LWD *Character* emphasized that military ethics education should be delivered in conjunction with leadership and character development programs. It stressed the importance of not having a template or formula for solving ethical dilemmas in this process. There should also be no assumption that all rational military leaders will be able to identify the correct answer to every tough moral decision consistently (Australian Army, 2005).

LWD *Character* also touched on the focus of military ethics education as being vital to developing intellectual capacities for making well-reasoned ethical decisions in warfare. The education process itself was also recognized as being important for explaining these concepts to others. The LWD *Character* highlighted that ethical decision making is a significant leadership skill and is part of continuous learning in military career development. Notably, the doctrine emphasized the importance of case studies to apply ethical decision making in specific leadership and organizational contexts, using real Australian historical and contemporary examples. The facilitated discussion format for conducting military ethics education case studies was stressed in the LWD as germane to the premise that ethical case studies are not about attributing blame, nor are there necessarily correct answers to some of the most complex dilemmas an ADF member may face (Australian Army, 2005).

Notwithstanding the perennial conceptual relevance of this doctrine, there has been a hiatus in *Character* doctrine development in the ADF until now. Further reflections are being made for ADF character education and training, especially with the ADF social mastery triumvirate – leadership, ethics, and character, as well as through the lens of the lessons from the Brereton Report. The new *Character* doctrine will be nested within the context of the *ADF Leadership* and *Military Ethics* publications.

3.1.5   Leadership Doctrine

In the 2007 and 2018 editions of the joint Leadership doctrine, the definition of 'leadership' demonstrates the careful consideration of ethics in the ADF leadership experience. Where leadership is described as: "The process of influencing others to gain their willing consent in the ethical pursuit of missions." The 2021 edition further states: "Ethical Leadership is the single most important factor in ensuring the legitimacy of our operations and the support of the Australian people." In all editions of the Leadership doctrine, there is a specific reference to the ADF leadership experience as being nested within a values-based organizational context. Being a values-based organization means that there is a range of principles of what leadership should look like, and indeed thinking about 'what is the right thing to do' in the leadership process.

Doctrinally, ethical leadership in the ADF is described in the context of a values-based organization. However, as values can be ascribed to good or bad intentions – personally or organizationally – ethical standards also

need to be considered. For example, terrorist organizations ascribe to specific values, but what is not evident in these organizations is consideration of an ethical outcome. Ethical leadership is about the standards applied for each situation's most suitable outcome. The most recent *ADF Leadership* doctrine highlights that '*Our collective values define the character of the Australian Defence Force'*. Thus, the Defence Values that unite the Royal Australian Navy, the Australian Regular Army, the Royal Australian Air Force, and the Defence Australian Public Servants are couched in terms of the character expected of all members of Defence and the behaviors associated with the expected character (Figure 3-1). ADF members are expected to aspire to all the Defence Values, which can be described as a journey of character excellence. The concept of linking values and character directly correlates to the NATO RTG Ethical Leadership Model in looking at values on an individual and an organizational level that directly affects the quality of ethical leadership.

Figure 3-1: Defence Values.

3.1.6 Military Ethics Doctrine

In 2018, CDLE identified a gap in the general awareness of the Defence population regarding the discernment between *military ethics* and *ethics in the military*. As a result, there became greater traction and appetite to document the ADF approach to military ethics. The ADF has now recognized the need to explore ethics in a deeper and more nuanced way. The CDLE study considered that many ADF members have good knowledge of ethical considerations in the ADF and can apply this knowledge to a range of ethical dilemmas. However, ADF members generally tended to defer the consideration of Just War Theory and the lethal use of force, to the legal fraternity, rather than treating it as a core body of knowledge particular to the profession of arms. The recommendation endorsed by COSC at the end of 2018 was to develop a specific capstone ADF ethics doctrine that addressed this shortfall in military ethics knowledge.

CDLE led the drafting of the inaugural ethics doctrine from 2018 to 2021, with broad-ranging military ethics academics and practitioners providing expert guidance to the content. The publication is a distillation of ethical concepts and their application and relevance to the ADF. It draws on numerous ethical theories and establishes the ADF's approach to military ethics. The Chief of Defence Force (CDF) gives his strong endorsement and calls to all ADF members regarding ethical conduct:

Ethical conduct is essential to the moral authority of the force.

In the profession of arms, acting lawfully is obligatory; acting ethically requires your judgement.

Doing the right thing ethically will, on occasion, expose you to greater personal danger and risk to your life than simply acting lawfully; this is the job we all committed to on enlistment.

The risk of moral injury increases if you are not well prepared and practised in ethical decision making.

Be prepared, now.

General Angus J Campbell, AO, DSC
Chief of the Defence Force
September 2021
(Australian Defence Force, 2021)

3.1.7 Current and Future Ethics and Ethical Leadership Activities in the ADF

CDLE has a solid reputation within the ADF as being the custodians of a broad body of knowledge and expertise in leadership, ethics, and the human behavioral dimensions in these areas. CDLE has often been referred to as the Quick Reaction Force (QRF) for leadership and ethics to assist Units, individuals, and commanders to better understand and grapple with ethical issues. The AIRTF selection of CDLE to address ethics education recommendations from the Brereton Report has also raised the CDLE profile. Activities are underway to enable CDLE to become the Learning Management Authority (LMA) for ethics education across the ADF. From the AIRTF reforms, CDLE also reviewed collective training to establish a baseline of current policy, practice, and stakeholders for ethics. CDLE will use this information to embark on a program of work to strengthen ethical dimensions of Defence collective training in collaboration with relevant Services and Groups. This activity will be progressed in 2022 through a federated approach with a Service-led implementation model. The desired end state is greater ethical resilience of Defence's teams in the contemporary and future operating environments and more robust assurance of the ethical preparedness of Defence. In conjunction with the collective training review, CDLE has drafted a Defence Ethics Continuum that will form the basis for all ethics education in the ADF and the Department of Defence more broadly.

3.1.8   Defence Ethics Continuum

The *Military Ethics* doctrine provides the basis for understanding ethics and is the foundation document for the Defence Ethics Continuum (Figure 3-2 to Figure 3-6). The Defence Ethics Continuum identifies the range of ethical capabilities, individual education and training, continuous professional development resources, ethical learning for groups, collective training and large-scale activities. In conjunction with the *Military Ethics* Doctrine, CDLE conducted Defence comprehensive workshops and consulted the inaugural Australian Defence College International Standing Panel of Experts – Ethics (ISPE-E) and the Ethics Doctrine oversight panel to craft the Defence Ethics Continuum. Further work on the continuum is ongoing and will include: defining requirements and opportunities for mandatory promotion, pre-deployment and certification requirements; establishing a core ethics curriculum (leveraging Project Achilles work and case studies); continuing to grow learning support resources (online, ethics playing cards, masterclasses and case studies), and establish a Quality Assurance framework for ethics.

The ADF is on a journey to move beyond the traditional face-to-face 'joint' touchpoints in a member's career, which is only accessible to very few in the ADF. The aim is to complement face-to-face learning, emphasizing a continuous experience through more accessible, multi-modal, and contemporary learning techniques, including utilizing coaching and mentoring as tools for developing ethical leadership awareness. These activities will also need to be normalized in the workplace, and consistent consideration is given to ethics and ethical decision making regularly. CDLE maintains its professional national and international networks for best practice and knowledge sharing and works closely with ADF senior leadership. Research is still a key focus for CDLE, particularly into leading indicators of ethical behavior and the NATO RTG activity complements this study. CDLE will also look to improve its future direction in the leadership and ethics arena and look for ways for the ADF to comprehensively discuss and analyze leadership and ethics for future battlefield domains – whether it is space, cyber, climate change, artificial intelligence, or other future weaponry. Warfighting is a human endeavor, and as such, there will be a human element – no matter how far removed – as such, there will always be the requirement to consider ethical leadership in the future.

3.1.9   References

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Defence Ethics Continuum
JPME Level 1
ADF: Ab-initio/Recruit/Initial Employment Level
APS: APS1-3

ETHICS CAPABILITY PERFORMANCE ELEMENT

Defence members are able to apply Defence Values and behaviours to make informed judgements and ethical decisions.

ETHICS CAPABILITY PERFORMANCE CRITERIA

- **Commit** to Defence Values and behaviours.
- **Demonstrate** good character and critical self-awareness.
- **Demonstrate** sound judgment, follow rules, regulations and procedures.
- **Accept** responsibility for mistakes and implementing solutions, and actively seek guidance or advice as required.
- **Utilise** ethical frameworks.
- **Identify** ethical risks in order to understand the difference between ethical and unethical actions, and raise concerns appropriately.

ETHICS CAPABILITY LEARNING POINTS

- **Analyse** the requirement to commit to Defence Values and behaviours to ensure an ethical and effective ADF.
- **Analyse** ethical decision making.
- **Analyse** the characteristics of military service and individual responsibility.
- **Analyse** the Government's responsibility to abide by *jus ad bellum*, in making use of force decisions.
- **Describe** the relationship between LOAC, ROE/OFOF and military ethics.
- **Describe** key ethical theories and their application to Defence.
- **Describe** the difference between tests of integrity and ethical dilemmas.
- **Describe** the concept of *jus in bello*, and the four principles of Discrimination, Proportionality, Necessity and Humanity.
- **Describe** the psychological and cultural factors that lead people to rationalise, justify, and tolerate unethical conduct.

LEARNING AND DEVELOPMENT OPPORTUNITIES

- Recruit, ab initio and initial employment courses for the Services – Navy, Army, Air Force
- Australian Defence Force Academy
- APS Orientation
- ADELE – Ethics Courses and Case Studies
- Online Academy/CAMPUS
- Ethics Hub – The Forge
- ADF-P-0 *Military Ethics*

Figure 3-2: ADF Defence Ethics Continuum JPME Level 1.

Defence Ethics Continuum
JPME Level 2

ADF: O2–O3, E2–E7
APS: APS4–5

ETHICS CAPABILITY PERFORMANCE ELEMENT

Defence members are able to apply Defence Values and ethical frameworks to lead teams.

ETHICS CAPABILITY PERFORMANCE CRITERIA

- **Commit** to Defence Values and behaviours.

- **Demonstrate** ethical behaviour in all workplace environments.

- **Demonstrate** ethical leadership of team/s, through encouraging ethical and professional standards in all aspects of work.

- **Demonstrate** ethical decision making to resolve ethical challenges in teams.

- **Foster** ethical reasoning in subordinates.

- **Identify** ethical risks, such as biases and bystander behaviours, in self and others and take appropriate corrective action.

ETHICS CAPABILITY LEARNING POINTS

- **Analyse** the requirement to commit to Defence Values and behaviours to ensure an ethical and effective ADF.

- **Analyse** ethical risk and how to mitigate its effects.

- **Analyse** ethical decision making to resolve ethical dilemmas.

- **Analyse** how the principles of *jus in bello* are applied in military operations.

- **Describe** how ethical concepts and theories can contribute to understanding ethical challenges.

- **Describe** the ethical dimensions of team leadership.

- **Describe** the difference between tests of integrity and ethical dilemmas.

LEARNING AND DEVELOPMENT OPPORTUNITIES

- Service promotion courses
- ADELE – Ethics Courses and Case Studies
- Online Academy/CAMPUS
- Ethics Hub – The Forge
- ADF–P–0 *Military Ethics*

Figure 3-3: ADF Defence Ethics Continuum JPME Level 2.

Defence Ethics Continuum

JPME Level 3

ADF: O4–O5, E9
APS: APS6–EL1

ETHICS CAPABILITY PERFORMANCE ELEMENT

Defence members are able to apply knowledge of complex contexts to make ethical decisions and create ethical cultures across teams.

ETHICS CAPABILITY PERFORMANCE CRITERIA

- **Commit** to Defence Values and behaviours.

- **Foster** ethical cultures within the workplace.

- **Engage** productively when assessing ethical dilemmas using a broad understanding of Defence.

- **Demonstrate** ethical leadership across multiple teams.

- **Identify** ethical risks in self and others and take appropriate corrective action.

- **Demonstrate** ethical and professional standards as a Defence representative in internal and public forums.

ETHICS CAPABILITY LEARNING POINTS

- **Analyse** the requirement to commit to Defence Values and behaviours to ensure an ethical and effective ADF.

- **Evaluate** contemporary ethical challenges across integrated, joint and operational work environments.

- **Evaluate** ethical leadership and ethical reasoning ability in self and others.

- **Analyse** the implications of *jus ad bellum*, *jus in bello*, and individual responsibility.

- **Analyse the** competing ethical considerations in decision-making.

- **Analyse** societal expectations of an ethical culture in Defence.

- **Analyse** the importance of an ethical framework in the prevention of unethical cultures.

- **Describe** the difference between tests of integrity and ethical dilemmas.

LEARNING AND DEVELOPMENT OPPORTUNITIES

- Command and Staff Course
- Capability and Technology Management Program
- Joint Warrant Officer Course
- ADELE – Ethics Courses and Case Studies
- Online Academy/CAMPUS
- Ethics Hub – The Forge
- Cranlana Ethical Leadership Colloquium
- ADF-P-0 *Military Ethics*

Figure 3-4: ADF Defence Ethics Continuum JPME Level 3.

Defence Ethics Continuum

JPME Level 4

ADF: O5–O6, E10
APS: EL1–EL2

ETHICS CAPABILITY PERFORMANCE ELEMENT

A Defence member is able to apply knowledge of complex contexts to make ethical decisions and create ethical cultures at the strategic level.

ETHICS CAPABILITY PERFORMANCE CRITERIA

- **Commit** to Defence Values and behaviours.
- **Create** ethical cultures at the strategic level.
- **Foster** extensive joint and interagency professional ethical relationships to facilitate cooperation and partnership.
- **Engage** productively when assessing complex ethical decisions/dilemmas using deep organisational understanding and capacity to evaluate ambiguous information.
- **Advise** senior Defence leadership on ethical considerations for the employment of the ADF.
- **Guide** subordinate leaders to identify ethical risks in self and others and take appropriate corrective action.
- **Promote** ethical frameworks.

ETHICS CAPABILITY LEARNING POINTS

- **Analyse** the requirement to commit to Defence Values and behaviours to ensure an ethical and effective ADF.
- **Examine** military ethics at the strategic level.
- **Evaluate** ethical decision making to determine possible consequences of strategic decisions, particularly over the long term.
- **Evaluate** ethical considerations for *jus ad bellum, jus in bello, jus post bellum* and *jus ad vim*.
- **Analyse** considerations for senior leadership to create ethical cultures in Defence.
- **Analyse** the conditions for a 'Just War'.
- **Describe** the difference between tests of integrity and ethical dilemmas.

LEARNING AND DEVELOPMENT OPPORTUNITIES

- Defence and Strategic Studies Course
- ADELE – Ethics Courses and Case Studies
- Online Academy/CAMPUS
- Ethics Hub – The Forge
- Cranlana Ethical Leadership Colloquium
- ADF-P-0 *Military Ethics*

Figure 3-5: ADF Defence Ethics Continuum JPME Level 4.

Defence Ethics Continuum
JPME Level 5

ADF: O7-O10
APS: SES Band 1+

ETHICS CAPABILITY PERFORMANCE ELEMENT

A Defence member is able to apply knowledge of complex contexts to steward organisational ethics for the Profession of Arms

ETHICS CAPABILITY PERFORMANCE CRITERIA

- **Commit** to Defence Values and behaviours.

- **Champion** organisational ethics.

- **Shape** ethical and professional standards across Defence and in whole-of-Government and international engagement activities.

- **Influence** key national and international stakeholders regarding ethical considerations for the employment of the ADF.

ETHICS CAPABILITY LEARNING POINTS

- **Analyse** the requirement to commit to Defence Values and behaviours to ensure an ethical and effective ADF.

- **Examine** ethical decision-making in relation to current, emerging and future complex national and international scenarios.

- **Evaluate** ethical considerations for the employment of the ADF, which reflects the analysis of broad and complex national and global issues.

- **Evaluate** ethical considerations for *jus ad bellum, jus post bellum* and *jus ad vim* and the potential long term effects.

- **Describe** the difference between tests of integrity and ethical dilemmas

LEARNING AND DEVELOPMENT OPPORTUNITIES

- Operations Based on Experience Course
- Commander Joint Task Force Course
- ADELE – Ethics Courses and Case Studies
- Online Academy/CAMPUS
- Ethics Hub – The Forge
- SLG Forum offerings
- Cranlana Ethical Leadership Colloquium
- ADF-P-0 *Military Ethics*

Figure 3-6: ADF Defence Ethics Continuum JPME Level 5.

3.2 TEACHING ETHICS IN CANADA

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3.2.1 Introduction – The Defence Ethics Programme

Although ethics and morality are important concepts for the Canadian Armed Forces (CAF), there is no single CAF school devoted to the training and education required for an understanding of ethical principles and practice. Instead, students and serving members throughout the CAF receive ethics instruction at training schools, units, and workshops. Furthermore, our two military colleges contain courses for junior officers that explore philosophical underpinnings, just war theories and ethical decision making models.

The overarching umbrella guiding the ethical values and principles for serving members of the CAF, as well as the Department of National Defence (DND) is the Defence Ethics Programme (DEP). The DEP came into being with the endorsement and formal authorization by the Deputy Minister and Chief of the Defence Force in 1997. According to the program website, the DEP "is a comprehensive values-based ethics program put in place to meet the needs of the DND and the CAF, at both the individual and the organizational levels. The aim and primary focus of the DEP is to foster the practice of ethics in the workplace and in operations such that members of the CAF and employees of the DND will perform their duties to the highest ethical standards" (Department of National Defence, 2021). The DEP provides a *Statement of Defence Ethics* that includes three principles and five core values. The three principles, viewed as a hierarchy are:

1) **Respect the dignity of all persons** – This principle is viewed as treating people with fairness and respect; valuing diversity in the workforce; creating and maintaining safe and healthy workplaces without harassment or discrimination, and working with others in an open, honest and transparent manner which encourages collaboration and respectful communication.

2) **Serve Canada before self** – This principle reflects the need for DND employees and CAF members to fulfill their commitments in such a manner that their behaviors will best serve Canada, its people and democracy. This means that these members are expected make decisions in the public interest, perform their duties to high ethical standards, avoid conflict of interest situations and provide leaders with the advice they need in an open, candid, and impartial manner.

3) **Obey and support lawful authority** – This principle stipulates the need for DND employees and CAF members to uphold Canada's democracy and institutions by respecting established laws and fulfilling their responsibilities in accordance policies and regulations in a non-partisan and unbiased way.

The assumption is that adherence to these principles in an internalized manner will lead to appropriate behaviors and contribute to a healthy ethical climate for the organization. The DEP has also stipulated a set of five core values for all CAF members and DND employees. While the DEP presents the principles as possessing a hierarchy (Principle 1 takes precedence over Principle 2, etc.) the values have equal weights. These values are integrity, loyalty, courage, stewardship, and excellence.

3.2.2 Leadership Doctrine and Publications

Starting in 2003, the Canadian Forces Leadership Institute released the first in a series of doctrine associated with the profession of arms and leadership. Although these publications did not include ethics or morality in the titles, these concepts weave a significant thread throughout the behavioral expectations for the CAF. The publications are of consequence here because these volumes provide the conceptual basis for leadership education throughout the CAF. For example, *Duty With Honour: The Profession of Arms in Canada* (DND, 2003) addresses the impact of military ethos on the function of the profession of arms and states:

The military ethos comprises values, beliefs and expectations that reflect core Canadian values, the imperatives of military professionalism and the requirement of operations. It acts as the center of gravity for the military profession and establishes an ethical framework for the professional conduct of military operations. (p. 25)

Duty With Honour also presents a set of four core values that are very similar to the DEP values. These are Duty, Courage, Integrity and Loyalty. The common values are courage, loyalty and integrity. The "Duty" aspect from *Duty With Honour* is captured by the DEP as stewardship and excellence. Arguably, the most important value for ethics education is integrity, given that a person with integrity will exhibit sound moral and ethical principles, live his or her life according to personal values like respect, excellence, honesty and fairness. There will be a consistency between their values, their moral principles and their behavior.

The doctrinal volume *Leadership in the Canadian Forces: Conceptual Foundations* (DND, 2005) provides leaders at all levels in the CAF:

with a broad conceptual understanding of military leadership and a systems overview of the requirements of leadership in the [Canadian Forces]. As such, it serves as both a guidance document and a single-source instructional reference for Officer and Non-Commissioned Member (NCM) leadership education. (p. vii).

Consequently, Conceptual Foundations, along with its companion volumes on Leading People and Leading the Institution have become manuals for teaching leadership throughout the CAF. This is highly critical for instilling a sense of morality and ethical consideration into the CAF because the leadership doctrine is fundamentally about values-based leadership. In its purest sense, most definitions of leadership are neutral with respect to values and simply describe leadership. For example, Northhouse (2007) defines leadership as "a process whereby an individual influences a group of individuals to achieve a common goal" (p. 4). There is no mention of behaving honorably or with integrity; leaders influence others to achieve goals. However, Conceptual Foundations defines effective leadership as: "Directing, motivating, and enabling others to accomplish the mission professionally and ethically, while developing or improving capabilities that contribute to mission success" (DND, 2005, p. 30). This goes far beyond a generic or neutral definition by incorporating aspects like professionalism and ethics as significant characteristics of leadership.

The fact that the CAF has produced volumes on professionalism and leadership, with content that acknowledges the importance of ethics and morality, carries considerable weight with respect to appreciating how much the CAF values these fundamental principles. It is reassuring that these documents have been distributed throughout the organization for the betterment of the CAF. A further testament to the prominence placed on ethics education for the CAF is the production of a two-volume set of ethical dilemmas for use in educational settings. One volume (*Ethics in the Canadian Forces: Making Tough Choices – Workbook*; DND, 2006a) contains 40 dilemmas (20 on Operations and 20 in Garrison) for students to discuss and learn that ethical challenges do not always have straightforward solutions. The companion volume (*Ethics in the Canadian Forces: Making Tough Choices – Instructor Manual*; DND, 2006b) contains the same dilemmas with explanations of the types of dilemmas and guidelines for instructors who are teaching ethics. It is important to note that the cases included in these volumes are real events; they have not been fabricated.

The instructor's manual includes an overview of ethical principles and offers guidelines for using the cases to teach ethics. It also explains the different types of dilemmas contained in the volumes. These are:

a) **The Uncertainty Dilemma** – When faced with this type of dilemma, the choice of the correct type is action is not clear. There are equally valid reasons for two or more solutions and right versus wrong is not evident.

b) **The Competing Values Dilemma** – This is a challenge when different critical values support alternate courses of action. For example, our loyalty to a friend may be at odds with our integrity.

    c) **The Harm Dilemma** – This is a particularly difficult dilemma because it does not matter what course of action is selected, harm or injury will befall one of more of the people involved. It is best viewed as a "lose-lose" situation.

A fourth type of challenge is commonly known as a "test of integrity." A test of integrity takes place when we are fully aware of the right thing to do but, due to situational circumstances, taking the correct action is a challenge.

3.2.3   Ethics Education in the CAF

As mentioned earlier, the publications are focused on ethical behaviors and permeate the CAF educational system. The DEP conducts ethics workshops at various units and online education are available through the Defence Learning Management System. The educational opportunities go beyond a simple exploration of ethical principles and includes exposure to case studies that will challenge the students' reasoning. The DEP also has an online service where members can examine case studies and discuss possibilities at their leisure (Department of National Defence, 2022).

At the Royal Military College of Canada, all students must undertake a fourth year course in professionalism and ethics (PSE/PSF401) prior to graduating and becoming commissioned officers in the CAF. This mandatory course explores the philosophical underpinnings of ethics and morality and makes extensive use of real military case studies. The course professors are either serving officers with a graduate education or civilian professors with prior military experience. The course syllabus describes the main objectives of the course as (Royal Military College, 2019):

1) **Understand and apply basic and intermediate ethical concepts integral to the military profession.** This goal draws the attention of students to the military values and principles that constitute the Canadian professional military ethos – duty, loyalty, integrity, and courage as described in *Duty with Honour: The Profession of Arms in Canada* (DND, 2009). The students will grasp important intermediate level concepts, such as just conduct in war and conflicting obligations that are central to many of the ethical problems faced by junior military leaders.

2) **Develop moral sensitivity.** This goal involves working on moral imagination and considering the perspectives of others in an effort to develop the moral awareness of students.

3) **Develop moral judgment**. Students learn to solve ethical and professional dilemmas using a variety of approaches, such as rule-based, consequence-based, and virtue-based ethics, while recognizing the limitations of each.

4) **Internalize professional standards into the professional self-concept.** Through a process of self-reflection, students should examine the extent to which they have internalized professional military standards. They can monitor their personal growth and evaluate their progress in developing professional military values.

5) **Promote an ethical leadership climate.** This goal is based on the recognition that unit culture and other environmental factors can influence the ethical behavior of military personnel. Officers have the ability to shape the culture and climate within their unit. This objective is aimed at showing students the range of social influences that guide individual actions and the important role for leaders in establishing ethical leadership climates.

Specific course topics related to ethics (about one week each) include:

1) Introduction to moral philosophy;

2) Ethical analysis;

3) Individual and situational factors in ethical decision making (2 weeks);

4) Case studies (e.g., Captain Samrau, Somalia);

5) Just War Theory and Laws of War; and

6) Just War Theory: Application to modern conflicts.

3.2.4 Conclusion

As discussed, ethics education in the CAF does not lie within one intuition, but instead is provided across the CAF in the form of ethics instruction at training schools, units, and workshops, as well as in the two military colleges. The overarching umbrella guiding ethical training for CAF and DND employees is the values-based Defence Ethics Programme (DEP), which promotes three principles – Respect the dignity of all persons; Serve Canada before self; and Obey and support lawful authority – that are the basis for all ethics education in the CAF. Officer Cadets are the Royal Military College of Canada must complete a course on professionalism and ethics, which covers topics on moral philosophy, just war theories and ethical decision making from a leadership perspective. It is clear there is considerable time and effort that goes into ethics training in the CAF. What is less clear is whether the training has an impact on the ethical behavior of CAF members.

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3.3   TEACHING ETHICS IN THE CZECH REPUBLIC

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3.3.1   Ethics and Ethical Leadership in Military Doctrines

The transformation from a communist army determined the attitude of the politico-military leadership to the role of the ethics in the military. The service in the pre-1990 Czechoslovak military was characterized by an omnipresent role of the Communist party and an intensive ideological indoctrination. The military was considered one of the pillars of the ruling party. Dismantling the political and ideological structure became the most urgent task in the transformation process. In terms of ethical features promoted in strategic and doctrinal documents in the 1990s, the values of patriotism, democracy, and non-partisanship were selected to replace the communist ideology (Ministerstvo obrany ČR 1991).

It became a direct and indivisible responsibility of military commanders to promote the values of patriotism and democracy among soldiers, mostly conscripts. The commander was expected to be fully responsible for the ethical conduct of his/her subordinates. In this sense, exemplary leadership was recommended as the most effective way of promoting these values. However, The Concept of the Czech Armed Forces Development (1993) stipulated a set of criteria to assess if career soldiers wanted to keep their positions: impeccability, expertise, health, physical readiness, and age. Moral integrity or other ethical qualities were not among the conditions (Ministerstvo obrany ČR 1993).

The Concept of the Czech Armed Forces Development proposed that chaplains should assist commanders by serving as moral educators (1993). At the time, however, this was just a hypothetical proposal. Although the first Military Chaplain was deployed with the Czech IFOR/SFOR contingent in Bosnia and Herzegovina in 1996, systematic development of military chaplaincy in the Czech Armed Forces (CAF) began in 1998.

Throughout the 1990s, the approach of the Armed Forces to ethics and ethical leadership was ambiguously shaped by the pre-1990 socialist legacy and its compulsory military service. With regard to the former, the military lost the legitimacy to act as a moral authority. Nonetheless, due to the latter, the military could not resign on ethics education. The CAF's approach to ethics revolved around the concept of the soldier as a 'citizen in uniform' (Ministerstvo obrany ČR, 1995). The military institution should not, and could not, change the value system of adult citizens. The commander could only ensure that the principles of fledgling democracy would not get violated. Later, after the transformation to an all-volunteer force, the focus on the democratic values was considered instrumental in preventing infiltration of extremist ideologies into the military community.

At the turn of the century, the CAF became increasingly occupied with obligations to NATO crisis management and expeditionary operations. The national defence lost its priority in strategic thinking. Correspondingly, the composition of the force was scheduled to change into an all-volunteer force in 2004. This situation prompted a formulation of a distinct professional military ethic. Although the democratic values have not disappeared from the official discourse, warrior ethos started taking precedence over the values of the citizen in uniform.

In 2002, the Ministry of Defence published *The Code of Ethics of the Professional*. The Code stipulates five virtues to which every soldier should aspire: responsibility and sense of duty, self-sacrifice, courage, loyalty, and honor. These traditional military values would constitute the backbone of the education effort by the military chaplains and in the University of Defence.

In 2013, however, the Code as an official document was revoked and replaced by The Code of Ethics of the Ministry of Defence Employees. The purpose of the latter Code was "…to define and promote desirable standards of employees' behavior towards the public and co-workers" (Etický Kodex Zaměstnanců Ministerstva Obrany, 2013, para. 1.2). The values promoted in the Code in no way addressed the specific character of the military profession. The original military values were formally kept only in a brief remark in the 2013 Doctrine of the Czech Armed Forces. However, these values established a strong formal foundation; the five traditional values remain to function as the only common ground for the development of military ethics among Czech soldiers.

3.3.2   Actors in the Ethics Education in the CAF

Each soldier of the Czech Armed Forces encounters ethics education in several stages of his/her career development. Two institutions are primarily responsible for the delivery – Military Chaplaincy and the Department of Leadership at the University of Defence. In most cases, the first exposure to ethics takes place during basic training; prospective officers are taught ethics in the first term in the University of Defence, further discussion on ethical issues may happen during the regular service in units, and before, during and after deployment.

The Military Chaplaincy in the CAF was established in June 1998, following an agreement between the Ministry of Defence, on the one side, and the Ecumenical Council and the Czech Bishop Conference, on the other. The Military Chaplaincy is founded on strictly ecumenical bases and on respect to the secular character of the CAF. Religious service thus may be considered only the last task of military chaplains. They should act, in the first place, as commanders' advisors regarding the human dimension of soldiers' lives, including ethical and moral values. Moreover, they should be available to all soldiers, regardless of religiosity, with a helping hand in the case of personal crises and difficulties (Duchovní Služba Armády České Republiky, n.d.).

The Military Chaplaincy as an institution is a loose confederacy of chaplains, who report directly to the commander of their parent unit or military installation and, fulfill their duties independently of the leadership of Military Chaplaincy. There is a dedicated Pastoral Centre of the Military Chaplaincy attached to the Training Command/Military Academy.

Among the primary tasks of the Pastoral Centre is to conduct ethics seminars during basic military training. Every recruit is expected to attend a 4-hour long session organized by the chaplains. These sessions take place outside the garrison walls and in the absence of military instructors or other superiors. Using the form of learning by experience, the chaplains expose the trainees to the moral values, obligations, and challenges of the military service. It is neither possible nor the aim of these seminars to instill new moral values into soldiers or to develop their character. Instead, these seminars should provoke the trainees to consider whether they fit with the military values and can accept the moral obligations.

The Department of Leadership at the University of Defence oversees the ethics education for future officers and advanced career courses for senior and general staff officers. Regarding the latter, ethics education is not systematic, limited to occasional lectures. The main effort of the team of (currently) three lecturers focuses on the development of ethical thinking and ethical leadership of students in the undergraduate/graduate courses. However, since 2010 professional ethics has been systematically taught at the University of Defence.

Since 2014, the ethics education at the University of Defence is part of the module on leadership. In their first term, students are introduced into the theory of ethics, the values of professional military ethics, and to the issues of ethical leadership and how to build ethical climate. The most important and effective part of this course is a group case-study exercise (see Nekvapilová et al., 2018). In the case-study exercise, students are assigned roles (superior/subordinates…) and presented with an ethically challenging situation. The students

are encouraged and supported to find an ethically appropriate way of handling the given situation from the perspective of their roles. In words of the seminar convenors:

> *This allows better understanding of the fact that each person pursues his/her own goals in human behaviour, has his/her hidden motives, is an element that does not behave completely passively, but can change the elements of the situation by altering the ethical value of the leader's own conduct. It gives future leaders the opportunity to comprehend that even the people who follow them have their needs, rights and responsibilities and, on the other hand, to comprehend the important fact that the leader is not an unlimited master of the situation but bound by the legal norms and internal rules of the organization as any other member. It shows how it is important to keep the principle of empathy and understanding the situation of others in ethical thinking and conduct.* (Nekvapilová et al., 2018, 5)

The instructors provide students with specific questions that they must address before making their final decision. Such an exercise aims to advance the students' moral reasoning, their ability to assess morally challenging situations critically and comprehensively, with a clear understanding of one's value orientation, without misleading emotions, and with determination and effectiveness (Nekvapilová et al., 2018, 5).

The ethics development in the CAF is not managed, supervised, or coordinated by any central authority. There is no formal institution that could ensure the unity of effort of the ethics lecturers in the University of Defence and military chaplains (cf. Mikulka et al., 2018). Even the Military Chaplaincy does not issue any methodological guidelines to their members. The Code of the Professional Soldier – formally cancelled in 2013 – is the only common ground for all the actors. Nonetheless, this does not mean that the actors in ethics development would pursue completely different directions. The community of actors is rather small with well-established informal interpersonal connections. In the area of ethics education, friendship and informal communication substitute the missing bureaucratic leadership.

3.3.3   Ethical Leadership in the CAF

Ethical leadership requires a military leader to act in three roles. The leader is, first and foremost, a decision-maker, whose decisions and orders should be ethically sound. Second, through his/her decisions and everyday conduct, the leader sets an example for followers. Third, the leader affects the moral climate within the unit and moral attitudes of the subordinates. Embracing these requirements, the leader/commander must accept some responsibility for the ethical (mis)conduct of followers.

The CAF's doctrinal writing traditionally emphasizes the responsibility of commanders for the ethical conduct of subordinates and their role to set the right example. The 1993 Concept of the Development of Armed Forces thus stipulates that 'the commander at every level will be fully responsible for the ethical conduct of their subordinates, he must have the moral values and be an example to his subordinates' (Ministerstvo obrany ČR 1993).

However, the unequivocal position of ethical leadership in the doctrinal texts did not meet the reality of a post-communist military. In the communist army, officers were educated and trained as technical experts. The human and moral dimension of command was entrusted to political deputy commanders. Since the political deputies represented the main instrument of ideological control, there was no place for them in the democratic transformation of the Armed Forces. The care for the human and ethical issues fell on the commanders who lacked adequate education or professional experience in this field.

The ethical aspects of leadership, as research conducted between 2004 and 2008 demonstrates, did not become a part of the leaders' self-reflection. The interviewed commanders tended to accentuate the exercise of technical skills or physical prowess as a source of their leadership authority and a way of setting an example to their subordinates. The need for moral qualities remained almost entirely ignored (Laštovková

and Barták 2015). After all, professional ethics and ethical leadership was only established within the curriculum of the University of Defence in 2010. Only the youngest officers are therefore equipped with theoretical knowledge of ethical leadership and its significance.

In 2018, the University of Defence published a textbook – Introduction to Military Leadership (Nekvapilová 2018) – which includes a chapter on ethical leadership. This is the first and, currently, the only study material on military ethics and ethical leadership available to the future officers of the CAF. The chapter draws on the values and virtues of *The Code of Ethics of the Professional Soldier* and proposes a double-track approach to the development of military ethics. While all members of the Armed Forces should adhere to the ethical minimum of the parent society and rationally understand their professional obligations, leaders should aspire to build moral integrity based on virtue ethics (Nekvapilová and Mikulka 2018). The aspirational approach to the ethics of leaders emphasizes the need to set an example to the followers and thus cultivate the ethical climate in the unit.

Regarding the cultivation of ethical climate, commanders have two other instruments at their disposal. Soldiers may deepen their reflection of moral issues in ethical seminars convened by military chaplains. However, the commanders' role is not insignificant in this issue; but that stated, it is dependent only on the commander and his priorities, whether and how frequently these seminars happen. It is customary to hold an ethical seminar before deployment so that soldiers can get prepared for the psychological and moral challenges of the operations. Nonetheless, it is not uncommon that these seminars become the first victims of the lack of time for pre-deployment training and preparations.

The second instrument available to commanders is the annual personnel evaluation form. The task of all commanders is to write evaluation reports on their subordinates. A considerable part of the questionnaire is dedicated to character assessment, which includes attitude to military duties, teamwork, reliability, independent fulfillment of tasks, and interpersonal skills. Only the assessment of the last category uses explicitly ethical terms, such as "dishonest and insincere behaviour," nonetheless, all the character assessment questions implicitly draw on the values of *The Code of Ethics of the Professional Soldier*. The annual evaluation thus gives the commander a tool to eliminate individuals who diverge from the values prescribed in the Code – responsibility and sense of duty, self-sacrifice, courage, loyalty, and honor.

3.3.4   Limits of the Ethical Leadership in the CAF

The current effort to develop ethical leadership faces an uphill struggle due to the historical neglect of consideration of ethics. Systematic development of ethical leadership is a matter of recent years. Nonetheless, even if taking the ideal version of the current concept of ethical leadership, one can observe its limits.

The Code of Ethics of the Professional Soldier, on which the Czech concept of ethical leadership draws, is predominantly inward-looking. It prescribes, among others, a sense of duty, initiative in fulfilling tasks, respect to laws, rules and orders, teamwork, the courage to make decisions and to take responsibility, and loyalty to the country and the armed forces. Respect to the values of the Code thus should ensure, first and foremost, smooth functioning of the military organization.

However, so defined professional ethics completely misses an outward orientation. It avoids moral reasoning about the military missions, the purpose of specific deployments or the ethical foundations of the International Humanitarian Law. The University of Defence curriculum does not cover the Just War Theory, and internalization of the moral reasoning behind the International Humanitarian Law is beyond the ambition of the lectures in law. The ethical seminars which military chaplains convene in preparation for deployment do not discuss the ethical justification for the given operation and moral obligations specific for the type of deployment (e.g., protection of innocent civilians). The purpose of the seminars is merely to prepare soldiers for the psychological hardship and challenges that the deployment may bring about, such as the risk of death or estrangement from families.

The neglect of Just War Theory in military education is partly a result of the lack of time in a busy curriculum. Nonetheless, it is also a logical consequence of the explicit delimitation of military ethics in the CAF. The legitimacy of military deployment stems from political decision making of democratic governments and is outside the scope of soldiers' free will and, therefore, beyond their ethical judgment (Nekvapilová and Mikulka 2018, 66-67). The professional military ethics thus requires soldiers to accept the decisions of constitutional authorities without question.

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3.4   TEACHING ETHICS IN FINLAND

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Military leadership education and training in the Finnish Defence Forces always begins during conscript service. However, since this overview focuses mainly on professional soldiers and other salaried members of the Armed Forces, it is probably sufficient to say that the ethical leadership training given during conscript service is based on special leadership training material for conscripts who are going to be trained as NCOs and officers in reserve. The training is given during the reserve Non-Commissioned Officer (NCO) course and reserve officer course where trainees are taught the values and ethics of leadership in the Finnish Defence Forces. In addition to the above, those trained as reserve officers must know the importance of open information sharing and community relations from the perspective of a military leader, and that they should grow into their role as members of the Finnish reserve officer corps (PVOHJEK-PE 022, 2018).

Professional NCOs undertake their initial ethical education during the common portion of their basic course in the Army Academy, Air Force Academy or Naval Academy. The intention is that after the course (as a Sergeant) the student will understand the shared values that are built on common principles and core values for the Finnish Defence Forces. Additionally, it is expected that they will act appropriately according to the rights and duties of a public servant, understand the meaning of developing their own (ethical) competence and know how to develop it in others. Following the NCO Basic Course 1, the aim from the perspective of military ethics is that the junior NCO will act according to the values of the Defence Forces and be competent in applying the principles in such a way that they are able to develop and maintain the ethical competence of the unit and its members. At the Advanced NCO Course phase (a requirement for ranks of Sergeant 1st class/Chief Petty Officer, Master Sergeant/Senior Chief Petty Officer and Sergeant Major / Master Chief Petty Officer), the focus shifts from developing the NCOs' own value-basis to strengthening the value-basis of subordinates or junior NCOs. For example, this might be accomplished by providing strong moral leadership as an illustration of an appropriate standard to emulate.

Developing the ethical leadership curricula is the responsibility of the branch schools and the implementation of the curriculum is mainly the responsibility of the course director. Thus, the implementation of teaching the ethics of leadership may vary from branch to branch, and even from course to course. The courses do not have separate classes on the ethics of leadership, but the ethics of leadership is holistically integrated into wider studies and included in the practical scenarios in classes that deal with, for example, values, leading and leadership (PVHSMK-PE055, 2018).

The ethical leadership training and education of regular officers is the responsibility of the National Defence University and its Department of Leadership and Military Pedagogy (PVHSMK-PE044, 2018). The teaching of ethics is not a separate entity during the three-year Bachelor of Military Sciences studies, but is linked with the other studies of leadership and military pedagogy. The first year of studies covers the basics of ethical competence, the essential aspects of ethical leadership and the fundamental theories of normative ethics. All the studies are delivered as lectures and include separate article and literature assignments. The purpose is that the student will become familiar with the glossary of ethics and the identity of a soldier, and is able to understand the meaning of morals, ethics, and values in supporting a leader. Study unit examples are listed Table 3-1.

Table 3-1: National Defence University, Department of Leadership and Military Pedagogy: First Year Studies.

Code	Course	Scope	Year, Term	Department	Responsibility	Assessment
Y4A_16	Basics of military pedagogy	3 credits	1, 1	JOSPEL	JOSPEL/SPEDR	0-5
Y4B	Action competence	3 credits	1, 1	JOSPEL	JOSPEL/FYKAR	0-5
Y3C	Leadership in a wartime operating environment	3 credits	1, 1-2	JOSPEL	JOSPEL/JOHTR	0-5

During the second year of studies the ethical competence knowledge is deepened with the help of different case exercises, and leadership studies which look at the ethics required by the different operating environments. The teaching methods include lectures, case studies and writing a learning diary. The objective is that the student will understand the holistic nature of action competence and be able to analyze its different areas. There is also a focus on understanding their effect on competence in battle and being able to analyze the importance and meaning of ethics to leadership in different operating environments. The students may also do their Bachelor's thesis on a topic in the field of ethics (MPKK SK-tutkinnon opinto-opas 2018). During these three years of study, the cadets are welcomed and accepted as officers within the military profession and expected to adopt the values and ethos associated with this profession. After completing the Bachelor's degree they start their military career as lieutenants.

On the 2-year long Master's course, typically commenced after a working phase of approximately five years (and a promotion to 1st lieutenant), the students deepen their skills in leadership on courses mentioned in

Table 3-2. On the Master's course students have the opportunity to select "Advanced Action Competence" as a voluntary 10 credit course. The study unit in question concentrates on the special characteristics of different cultures, religions, and ethical theories, and applies the theories of normative ethics to the ethical problems faced during an officer's career (including leadership). Again, the students have the opportunity to write their Master's thesis on an ethics-related topic (MPKK SK-tutkinnon opinto-opas 2018). After completing the Master's degree students are promoted to the rank of Captain/Lieutenant Senior Grade.

In the senior staff officer and general staff officer courses, ethics is tied to practice in the leadership and action competence studies. The focus is on the ethics of leadership. The students have the opportunity to write their final thesis on an ethics-related topic.

Table 3-3 mentions the study units that touch upon the ethics of leadership.

Table 3-2: National Defence University, Department of Leadership and Military Pedagogy: Master's Studies.

Code	Course	Scope	Assessment	Department
1C07_16	Leading and being a supervisor in a unit	4 credits	0-5	MPKK/JOSPEL
1C02_16	Leadership in a wartime operating environment 2	5 credits	0-5	MPKK/JOSPEL
3C08C_16	Advanced Action Competence	10 credits	S	MPKK/JOSPEL

Table 3-3: National Defence University, Department of Leadership and Military Pedagogy: Senior Staff Officer and General Staff Officer Courses.

Code	Course	Scope	Assessment	Department
1YET1_2	Commandership	5 credits	S	MPKK/JOSPEL
1YET2_1	Command and leadership skills	3 credits	S	MPKK/JOSPEL
1YET3	Organizational culture and social structure of the organization	3 credits	S	MPKK/JOSPEL

On different leadership and education skills courses, whether continuing education or postgraduate studies (which are not part of specific degree studies), the course director can have a major influence on the content of the course, and that is why the content may vary greatly from course to course, depending on the emphasis. It must be noted that all of the previously mentioned career courses include the Superior and Interaction Skills Course (see below). Also, special officers (officer specialists) are taught the ethics of leadership via the Superior and Interaction Skills Course.

The Finnish Defence Forces' Superior and Interaction Skills Course is based on the "Deep Leadership" training program (PEHENKOS, 2013), which is built on the doctoral thesis of COL (ret.), Dr. Vesa Nissinen (Nissenen, 2001). Completing the course takes a little over 12 months, and two 360-degree leadership surveys are conducted during the course. The surveys are used to analyze the participant's leadership skills. One of the contact teaching days of the course is purely focused on the values and leadership of ethics and researching the resulting desired behavior and actions (PEHENKOS, 2015).

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3.5   TEACHING ETHICS IN GREECE

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This section refers to the academic modules, lectures, simulations, and training (both academic and military) used for introducing cadets and officers to leadership, ethics, and International Humanitarian Law (hereafter: IHL). In Greece, there are three Military Institutions of Higher Education providing education and degrees equivalent to that of universities (Greece, 2003), these are: Hellenic Air Force Academy; Hellenic Army Academy; and Hellenic Naval Academy.

The minimum duration of studies at these Military Academies is four years and studies are organized into academic semesters. The supervision of the Military Academies is exercised by the Minister of National Defence via the Hellenic Air Force General Staff, the Hellenic Army General Staff, and the Hellenic Navy General Staff respectively. Upon graduation, cadets are commissioned as Second Lieutenants of the Hellenic Air Force, Army, and Navy.

The purpose of the Military Academies (Hellenic Air Force Academy, Department of Aeronautical Sciences, 2015; Hellenic Army Academy, 2013)[2] is to provide the Hellenic Air Force, Army and Navy with officers possessing the appropriate education and ethical standing for the fulfillment of each branch's needs, to offer knowledge and promote research, but also to support the operational tasks of each branch with the means and personnel available to it. In relation to the ethical background, Hellenic Military Academies' academic mission is to develop the military virtues and ethics appropriate for an officer with a military conscience, as well as to offer training, social, cultural, and political education, so that cadets will become able leaders with a robust scientific and vocational grounding. Military training pertains to theoretical, technical, and practical knowledge and skills and involves applied training related to the specific needs of each branch's operational environment. The aim of military education is to develop the finest military virtues and leadership attributes. Therefore, cadets are introduced to notions such as: conscious discipline, collective spirit and commitment to the mission and will learn to respect the ideals of democracy, freedom, and human rights.

As far as the **Hellenic Air Force Academy**[3] is concerned, military ethics, leadership and IHL are discussed through several modules (distributed within the four-year Academic Curriculum), provided as part of the Division of Leadership-Command, Humanities and Physiology. The Division offers academic courses on: *Practical Ethics*, *Military Ethics*, and an *Introduction to IHL*, where leadership and ethics are discussed throughout. There are also some related courses, where leadership, ethics and IHL may not be the focus, but they are also discussed, in relation to: *Military History*, *Military Sociology*, *Military Aviation History*, *Military Psychology* and *Management of Military Organizations*. The **War Games Lab**, which is supervised by the Division of Leadership-Command, Humanities and Physiology, has developed an educational e-game, as well as a number of (tabletop: historical, fantasy and miniature) war games (related to different levels of war: tactical, operational and strategic), Tactical Exercises Without Troops (TEWTs) and role-playing simulations, so that cadets can realize the pressures and difficulties of ethical decision making during war. Simulation with the use of movies and exercises related to the use of artificial intelligence are also used. Applied research on various issues of military ethics, leadership and IHL has taken place during the academic years 2005 – 2019 and is available for distribution, upon request. As far as military training is concerned, there are some lectures and discussion of movies on military ethics and leadership at the first and the eighth semester of the curriculum.

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[2] Further information on Hellenic Naval Academy can be found on: http://www.hna.gr/el/studies/acad-training (available on June, 6, 2019).

[3] Further information on Hellenic Air Force Academy can be found on: https://www.haf.gr/en/career/academies/haf-academy/ (available on June, 6, 2019).

Concerning the **Hellenic Army Academy**[4], leadership and military ethics are not discussed as part of a specific academic module of the Division of Theoretical Sciences, but references are made within several modules, such as: *Military History*, *History*, *Social Psychology, Methods of Decision Making and Negotiation*, *Strategic and Tactical Analysis of Battles, War and Civilization*. IHL, though, is discussed throughout through modules distributed within the four-year studies Academic Curriculum. As far as military training is concerned, there are some lectures and discussions on leadership, ethics and IHL.

The Division of Humanities and Political Science of the **Hellenic Naval Academy**[5] addresses issues of leadership, ethics and IHL in specific modules distributed within the four-year studies Academic Curriculum, such as: *Philosophy*, *Leadership*, *Social Psychology, Naval History,* and *Introduction to Law.* As far as military training is concerned, there are some lectures and discussions on leadership, ethics and IHL.

There are also NCO Academies, in particular:

- **Hellenic Air Force Technical NCO Academy**[6];
- **Hellenic Air Force Administrative NCO Academy**[7];
- **Hellenic Air Force Radio Navigators' Academy**[8];
- **Non-Commissioned Officer Army Academy**[9]; and
- **Hellenic Navy's Petty Officer Academy**[10].

In the NCO Academies there is some discussion on issues of military ethics, leadership and IHL, but not to the extent that these subjects are taught at the Hellenic Air Force Academy, the Hellenic Army Academy or the Hellenic Naval Academy. There are modules, such as *Military History*, *Naval History*, *Introduction to Law*, but the references about leadership ethics and IHL are kept to a minimum and refer to very basic concepts.

After graduation, officers of the Hellenic Air Force, Army, and Navy receive educational updates on ethics, leadership and IHL, by attending:

- **Air Force Command and Staff College (AFCSC):**[11] which has the mission to provide officers with theoretical and practical training for further extension of their staff and command capability to carry out their duties as staff officers and Commanders. Officers who attend AFCSC are encouraged to study and research on issues related to the application of 1) Leadership as an administrative/managerial tool; and 2) IHL to current air operations.

- **Hellenic Army Command and Staff College (HACSC):** During their training, Officers achieve (through lectures, research, and visits) leadership skills (not necessarily related to ethics), and they also attend lectures on the Law of Armed Conflict (LoAC) and IHL (Hellenic Army Command and Staff College, 2017).

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[4] Further information on the Hellenic Army Academy can be found on https://sse.army.gr/en (available on June, 6, 2019).

[5] Further information on the Hellenic Naval Academy can be found on http://www.hna.gr/en/ (available on June, 6, 2019).

[6] Further information on the Hellenic Air Force Technical NCO Academy can be found on https://www.haf.gr/en/career/academies/stya/ (available on June, 6, 2019).

[7] Further information on the Hellenic Air Force Administrative NCO Academy can be found on https://www.haf.gr/en/career/academies/syd/ (available on June, 6, 2019).

[8] Further information on the Hellenic Air Force Radio Navigators' Academy can be found on https://www.haf.gr/en/career/academies/sir/ (available on June, 6, 2019).

[9] Further information on the Non-Commissioned Officer Army Academy can be found on https://smy.army.gr (available on June, 6, 2019).

[10] Further information on the Hellenic Navy's Petty Officer Academy can be found on http://smyn.hellenicnavy.gr/?lang=en (available on June, 6, 2019).

[11] Further information on the Air Force Command and Staff College can be found on https://www.haf.gr/en/structure/haftc/sdiep/ (available on June, 6, 2019).

- **Hellenic Naval Command and Staff College (HNCSC):**[12] Its mission is to provide HN Officers with a first-class postgraduate education as well as command and staff training to support the operational effectiveness of the Hellenic Navy. During their training, Officers achieve (through lectures, research, and visits) leadership skills (not necessarily related to ethics), such as: critical thinking development, communication skills, team building and team motivation, decision making, to understand the Hellenic Navy command structure and function, and relate theory to practices through Field Studies Program (FSP). They also attend lectures on the Law of Armed Conflict (LoAC) and IHL.

- **Supreme Joint War College (SJWC):** Its mission is to provide senior Officers of the three services of Armed Forces with common training at operational and strategic level and education on key geopolitical issues. The aim is to promote their ability to plan, coordinate and conduct joint operations, develop their proficiency to be assigned to national and allied headquarters, and enhance their capability as commanders and staff officers for Joint Headquarters. To this end, Officers are taught (through lectures, research, visits, and execution of war games) a variety of subjects, such as: *Leadership-Command, Organization – Management – Administration, Command and Control in the Armed Forces Structure, Crisis Management – Decision Making Process – Operational Training within each branch of Armed Forces, Joint Operations Design planning and execution.* These subjects are related to both leadership, ethics and IHL, but they have a managerial perspective rather than an ethical one (Supreme Joint War College, n.d.).

- **Hellenic National Defence College (HNDC):**[13] Its mission is to educate and train Officers of the Armed Forces, the Security Bodies, the Fire Brigade, and the Coast Guard, as well as employees of Ministries, Organizations and public or private law companies, for them to become capable of handling National Defence issues in the field of their responsibilities. Moreover, the College functions as scientific body for the Armed Forces on issues of Defence Policy and National Strategy. To this end, Officers are taught (through lectures, discussions, seminars, research, educational travels and visits, training exercises) a variety of subjects, such as: *Leadership-Management, Strategy-Geopolitics, Political and Diplomatic History, Theories of Leadership, Crisis Management,* all related to leadership ethics and IHL, but with a focus more on the managerial side than the ethical one.

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[12] Further information on the Hellenic Naval Command and Staff College can be found on http://www.hellenicnavy.gr/el/viografika/1717-hellenic-naval-command-and-staff-college-hncsc-2.html (available on June, 6, 2019)

[13] Further information on Hellenic National Defence College can be found on https://setha.army.gr/content/programma-spoydon (available on June, 6, 2019).

3.6   TEACHING ETHICS IN THE NETHERLANDS

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When conducting operations, the Netherlands Armed Forces try to practice something labelled (by the Dutch themselves) as 'the Dutch approach' that is to say: non-threatening, culturally aware, transparent, making minimal use of force, mutually respectful, and firm but friendly with the local population. This approach is thought to yield better information and more cooperation from the local population, and thus increased security for the troops. The ethics curriculum at the Netherlands Defence Academy (NLDA) is designed within the framework of this approach.

The NLDA trains officers for the Royal Netherlands Army, Air Force, Constabulary (*Marechaussee* in Dutch) (all in Breda) and Navy (in Den Helder). Students, who in most cases have just left high school and are about eighteen years old, can opt for either the short (one year) or long (four year) curriculum. The latter option possibly perceived as enhancing the chances of a long career, ending in the higher strata. The four-year curriculum consists of around six months of military training at both the start and the end, and three years of academic education in the middle. The Academy transferred the academic portion to the Bachelor-Master's degree system in 2003, in line with civilian higher education. As a result, the curriculum enjoys academic recognition. The cadets and midshipmen (i.e., trainee officers who take the longer route), study for Bachelor's degrees in Management, War Studies, or the Technical Major. The choice of major largely depends upon the chosen branch. For example, Army and Air Force cadets usually choose Management or War Studies, the Constabulary mostly follows Management, while midshipmen in most cases choose the Technical Major. After finishing their studies at the NLDA, students can enroll at a university to obtain their Master's degrees.

The ethics curriculum at the NLDA is elaborate, and loosely based on virtue ethics, although the Dutch Armed Forces do not have a fixed list of virtues (or values). However, students must be familiar with different approaches in ethics. In the literature used at the NLDA, virtue ethics is presented to the students as being better suited to the military profession than rule-based ethics. The reading material used is also more substantial with respect to virtue ethics than to deontological ethics.

The design of the courses offered, and the textbooks used at the NLDA provide support for the expeditionary task of the military, and the same holds true for the lectures, courses, and dilemmas in the ethics curriculum. Aims, assumptions and basic outlines of the ethics education are established in *Military Ethics* and the accompanying *Practice Book Military Ethics* (both have appeared in English in a single abridged and updated volume, Baarda and Verweij, 2006). These two books are primarily aimed at those responsible for training in military training centers and the NLDA. The authors argue that the ethics curriculum will contribute to the future officer's moral competence (assuming this can be developed) at cognitive, affective, and volitional levels. More specifically, this means that moral questions should be recognized as such, and not merely as practical problems; this requires the ability to recognize and analyze moral problems. It also means that military personnel should be open-minded, being able to consider both sides of the situation. Finally, moral convictions should be so central to one's identity that one also acts upon them (Baarda and Verweij 2006, 14-18).

Ethics education is not delivered as a single course, but is included within different courses taught at the NLDA. Ethics education and training at the NLDA consists of the following elements:

- Academic education for the NLDA bachelor's courses.

- Education to the Intermediate and Higher Defence Education, as well as the Defence Top Management Course.

- Non-academic education for (aspirant) officers, such as the NLDA short officer courses.

- Other courses (foreign students, civil-medical personnel, professionally qualified officers, etc.).

- 'Train the Trainer Military Ethics course' – an in-depth course for service personnel who are tasked with the teaching of ethics classes.

In their second year, students majoring in Management or War Studies complete the course 'Military Leadership and Ethics,' the centerpiece of the ethics curriculum. The first part of the course is mainly (but not exclusively) on leadership. Although ethical issues are addressed; the course starts, for instance, with a meeting during which the television documentary *Four hours in My Lai* (1989) is shown and discussed. The remainder of the first part of the course consists of seven meetings (in classes of about fifteen students), discussing the compulsory reading for that week, sometimes using some video material. The second part of the course, mainly devoted to the subject of military ethics, involves considerably more student participation than the first element. At each meeting, a group of three or four students will provide a presentation on the required reading.

The course 'Military Leadership and Ethics' is developed within the framework of the expeditionary era, and unlike the current code of conduct, it is less about ethics concerning the dealings with colleagues than it is about ethical behavior when deployed abroad. Cadets and midshipmen explore notions such as Just War Theory, physical and moral courage, the Kohlberg levels of moral development, and virtue ethics. Other subjects are moral disengagement, erosion of standards during difficult circumstances, social cohesion, and military virtues. The required reading for this course is academic in nature, and includes Peter Northouse's (2018) *Leadership*, and articles and papers on military ethics. Students must give a presentation, write a paper, and pass an exam to meet the course requirements.

As a rule, students at the NLDA are interested in ethics, and they hold the topic to be important. This is especially relevant as they expect postings abroad after their education, possibly getting some firsthand encounter with ethical dilemmas. This may explain why they prefer discussing real life problems, preferably leading to one best solution. They are somewhat less interested in abstract ethical theory. For instance, they would rather avoid examining the relative merits of virtue ethics and deontological ethics, and do not want to engage with the founding forefathers of philosophy such as Aristotle or Kant. Nonetheless, the ethics curriculum consists not only discussing practical problems, but also of studying ethical theories to underpin these discussions.

The course 'Military Leadership and Ethics' is accompanied by some other relevant courses, such as Human Resource Management, Public Administration, Armed Forces and Media.

Overall, the ethics curriculum at the NLDA is comprehensive for those who follow the Management or War Studies major. However, the great majority of midshipmen who follow the Technical Major are considerably less well off (as least as far as ethics education is concerned); for undisclosed reasons their ethics education, as part of their academic training, is rather limited.

Missing (and this is probably due to the need to be practical) is anything substantial on Just War Theory. What is also absent is a course in philosophy as an underpinning, and a clear link with the law curriculum: as ethics and law are separate areas in the curriculum, they are most likely separated in the minds of cadets and midshipmen, while in reality they are often complementary. To what extent the curriculum has some beneficial effects is meanwhile not entirely clear, as there is at best anecdotic evidence that it does; given the amount of time and effort spent on ethics education, the question whether it works deserves some more attention. Despite the time and effort spent at ethics education, we only know that after their ethics education aspiring officers certainly know more about ethics, yet we do not know whether they have become more ethical.

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3.7 TEACHING ETHICS IN SLOVENIA

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The Republic of Slovenia established its own military forces (formally named *Slovenska vojska* – Slovenian Armed Forces with the Defence Act adopted in 1994) after gaining independence in 1991. Today the Slovenian Armed Forces is an all-volunteer force, consisted of approximately 7,200 members;[14] it is not only a defence force but also a valuable partner in international operations and missions.

3.7.1 Documents, Studies, and Writings About Military Ethics in Slovenia

The Slovenian government, in 2009, adopted the Code of Military Ethics for the Slovenian Armed Forces (SAF). As stated in Article 2 of the Code, the basic purpose of the Code is that every member of the SAF, according to the ethical guidelines and principles of the Code, must act honorably when executing military service. The Code consists of an introduction (purpose of the Code and instructions for soldiers), ethical guidelines and principles, and instructions on how to appropriately execute military service. Every member of SAF is required to sign a statement accepting the Code.

Following a long period of development, a special task group of military officers and NCO's was formed to finalize the Code in 2008. This was a legal necessity because the 2007 Service in the Slovenian Armed Forces Act obligated the SAF to have such a code.[15] Furthermore, the team that developed the Code, as well as other experts who dealt with the military ethics prior to the Code, insisted that military work and its special characteristics demanded the ethical code (see Gregorič, 2010).

A year after adopting the Code, a special supplement to the military magazine *Slovenska vojska* (Slovenian Armed Forces) titled *Slovenian Armed Forces and Ethics: One Year After the Adoption of the Code* was published. The content of this special supplement included an interview with the then Chief of General Staff of SAF about the ethical code of SAF and its implementation in the military. It also contained information about how the Code was considered and developed, some insights from senior military officers and other members of the SAF about ethics, the Code and values; an article about military values, and an article about the ethical codes of other military forces.

In fact, the issue of ethics was a part of a comprehensive project of transition from the conscript to the all-volunteer military in Slovenia at the beginning of 21st century. Unfortunately, the project was abandoned after some years, but some articles and other texts were published about the issue of ethics in the military anyway. For example:

- Primožič (2005) wrote an essay about ethics and ethical threats in public administration and military; and

- Vešnar (2006), explained the philosophical and broader theoretical basis of ethics and then presented the nature, role, and content of the ethical code.

One of these authors, Marjan Vešnar (2007), also prepared a textbook *Ethics and Leadership* (in Slovene language), which was published by the Ministry of Defence/Slovenian Armed Forces. The purpose of the textbook was to serve as a study guide for candidates attending the Command and Staff School in the SAF. It contains a review of philosophical thoughts about ethics that demonstrated the development of the lessons

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[14] As of June 2019: 7,222 members of SAF (regulars 6,512, reservists 710) http://www.slovenskavojska.si/o-slovenski-vojski/.

[15] Service in the Slovenian Armed Forces Act (2007) mentions ethics and respectful relation in the military in 4th, 5th and 6th article, while in the Defence Act (1994) ethics is not mentioned. The Rules on Service in Slovenian Armed Forces only mentions the code of ethics (in the article about the conduct of soldiers).

on ethics and provides some thoughts about values, military, leadership, and military culture. The textbook offers a theoretical basis for learning ethics.

In 2012 a textbook titled *Ethics and Leadership on Strategic Level* was published (Horvat, 2019). It was prepared for the candidates of General Staff programs in SAF.

The values of the SAF are listed in the Code, but in fact it was the Military Doctrine, adopted in 2006, that managed to unify the military values. The values of SAF are based on values of the Slovenian society and general civilization values and reflect the unique aspects of military work. They are incorporated within a patriotism framework. The values are honor, courage, loyalty, comradeship, and commitment. In the Military Doctrine there is also a short description of the values. It is important for leaders to understand the official descriptions for these values; otherwise, they could be misinterpreted.

The Military Doctrine also defines military leadership. The concept of military leadership for SAF (derived from the US Army leadership field manual: FM 22-100, released in 1999) was adopted in 2007, however, it has not yet been implemented as a doctrinal document.

The scientific and professional journal *Contemporary Military Challenges*[16] that has been edited and published by SAF, has published more articles about military ethics and values. Pešec (2011) focused on personnel in military education and training. She claimed that they had to reach the highest standards of qualifications and respect of values which regulate interpersonal relations. They should internalize and act in accordance with high didactic principles as well as a special code of conduct for education and training. Obrulj (2011) explored military discipline and noted that it was connected to military values. He realized that military leaders had to provide advice to subordinates in ambiguous situations when it is difficult to decide what constructs proper behavior. He also included in the article a list of some unethical behaviors (such as rumors, intrigue, and defamations) that influenced military discipline. Fedran (2012) provided some explanations about ethics and related terms and extensively discussed these terms. Since the professional culture (with a set of values and norms) and ethics are an inevitable part of professionalism, we should also mention that there have been some articles about military professionalism published in the journal.

3.7.2   Ethics in Education of Military Leaders

All members of SAF must sign the basic ethical document – Code of Military Ethics of Slovenian Armed Forces – to show that they know and accept it. However, this approach must be accompanied with other measures. The non-commissioned and commissioned officers in SAF get some basic education about ethics and ethical issues when they attend the programs of military education and training, mostly during courses on leadership.

In the programs for non-commissioned officers there are few hours dedicated to ethics and similar issues:[17]

- In the military course for corporals there are lectures on ethics and the process of ethical decision making (2 hours) and human rights and management of diversities (1 hour).

- In the basic military program for non-commissioned officers there are a few topics dedicated to ethics, which total 6 hours – military ethics (2 hours), process of ethical decision making (1 hour), human rights (1 hour), cultural awareness (1 hour) and management of diversities (1 hour). All topics are part of a course on Leadership and Ethics.

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[16] The journal has a predecessor – *Slovenian Armed Forces Bulletin*, that was established in 1999. The newsletter was renamed Contemporary Military Challenges in 2011 and has transformed into scientific and professional journal. And, as noted Šteiner (2013, p. 30) also the Slovenian Armed Forces Bulletin had brought some articles about ethics and leadership – 10 in the period 1999 – 2008.

[17] The valid programs in June 2019.

- In the 1st level of advanced military program for non-commissioned officers there are topics that are similar to the ones included in the basic program (together 10 hours in the course of Leadership and Ethics), but the learning outcomes expected to be achieved is of a different and higher level.

- In the 2nd level of advanced program, the course and topics are once again the same, the learning outcomes correlating to that level of study (the active analysis and resolutions are expected from the candidates).

- In the high military program for non-commissioned officers there are the issues of ethics included in the topic on leader development and topic of military leadership in SAF (the course Leadership).

In the programs for SAF's officers, ethics are offered as part of the following situation:[18]

- **School for Military Officers (one year military program for graduates of different civilian programs at universities and high schools):** the topic military professional ethics (6 hours) is part of a course on leadership.

- **Staff program:** topic ethics (9 hours) in the course on Military Leadership.

- **High staff program:** provides the insights of invited lecturers (military commanders) about military leadership in different situations, and the course includes topics like ethics and religion (8 hours) and the topic ethics in military organization (11 hours). These are all part of the course on Military Leadership and Ethics.

- **General staff program:** ethical issues are included in the course entitled Strategic Leadership.

One of the holders and lecturers of the courses on leadership and ethics in the SAF, LTC Dejan Okovič (interview, e-mail, 20 June 2019) explained that the topic of ethics is part of education and training of military leadership. The exposed issues in the leadership courses are the leadership potential of military personnel and in particular, gaining trust. During the courses, the ability of candidates to evaluate their subordinates' level of ethics is developed. In addition, tools for ethical decision making are offered, the awareness of possibilities of troubled behavior of soldiers in crisis situations is developed and solutions to such behavior are discussed and considered. The Military Chaplaincy has been regularly included in the pedagogical process. There was also a desire to include active military commanders to present and provide lectures on ethics, however their response has been low.

During the study process – in civilian faculties or military supplementary programs – some of the members of the SAF decided to write a final study paper/work on military ethics. The examples of such cases are:

- Marko Rupar (2006) finished a military staff program with the work titled *Military Leader and Integrity*;

- Dejan Okovič (2007) wrote a Master thesis *A Problem of Ethical Relations in Slovenian Armed Forces* at a private university;

- Aleš Luznar (2007) wrote a specialist paper titled *Organizational ethics of Slovenian Armed Forces* at a public university;

- Uroš Kovačič (2007) finished the officer school with a paper on values in the military and the role of the commander in implementing of the values;

- Dejan Okovič (2010) wrote another Master thesis titled *Implementation of Ethics: Study Case of Code of Military Ethics of Slovenian Armed Force*s at a public university;

- Jure Krejač (2012) wrote a Master thesis *Living Military Values* at a public university;

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[18] Valid programs in June 2019. Some changes are planned in the future.

- Aleš Kunstelj (2012) wrote a Master thesis on courage as an important military value at a public university; and

- Borut Vitek (2013) wrote a final paper about military values while on the military staff program

- As Okovič (2019) mentioned in an interview, there are not as many final works about ethics in military staff courses as there could be (not many candidates are interested writing about ethics). The above listed and other works on military ethics can be of a great value for the education of military leaders as well as for other members of SAF. They present not only the theoretical frameworks but many contain interesting data from empirical surveys completed by soldiers on different kind of ethical and leadership issues. However, the question raised here is: are these works known, used, read, and considered among military leaders and other members of the SAF?

- Regarding the commanders' work and responsibility, it should be mentioned, that they are able to seek the support and advice from military chaplains and military psychologists. These professionals are available to support the commanders.

3.7.3   Conclusion

The SAF has the basic ethical document, the Code, which regulates the behavior and bearing of its members. In fact, the Code is a consistent contributor to the provisions that are written in other legally binding documents, as discussed by Okovič (2010). There are other documents which also regulate the behavior and mindset of soldiers (some of these are even stronger than the ethical code). We can also find several professional or even scientific articles and other kinds of work on topic of ethics and related issues, most of them are written by members of the SAF. The issue of ethics is included in all programs of military education and training in SAF, usually in courses on leadership. Even though the topic of ethics is covered in documents, military educational programs and writings, the level, and tools of implementation of ethics in work and behavior of military units and military men and women, leaders, and rank-and-files, are more or less unknown. When Vitek (2013) asked members of one military unit about values of SAF, he identified that most respondents could not list these values.

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3.8   TEACHING ETHICS IN SWEDEN

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This section reviews training, educational and developmental precursors to ethical leadership in the Swedish Armed Forces based on official documents and doctrine. It should be noted that it covers the main features but is not exhaustive.

3.8.1   Ethics and Ethical Leadership in Military Doctrine

The Swedish Armed Forces (SAF) uphold Swedish democratic values, norms and principles that include the equal value of human beings, justice and human rights. Swedish society depends on the SAF for national security. Consequently, the profession has a moral obligation to provide societal safety. Every individual within the SAF has a personal responsibility to work in the best interest of Swedish society. This responsibility includes acting as a national representative, developing knowledge of applicable laws, rules, and regulations, and treating each other with respect and dignity. Everyone must embrace a sense of duty and responsibility to society and coworkers. Hence, those working within the military profession must share fundamental values and convictions that they are willing to declare and defend (Försvarsmakten, 2017).

The military strategic doctrine (Försvarsmakten, 2017) serves as a compass that, in combination with good judgment, aligns the moral and ethical foundation in the SAF. The military strategic analysis identifies prerequisites in all dimensions (security policy, resources, law, coordination, collaboration nationally and internationally, etc.). Military force competence is described as a temple, carried by three pillars that include three synergetic factors: physical (force, personnel, other factors), conceptual (doctrine, policy) and morality. The moral elements reflect the human side of willpower, courage, leadership, education, exercise, training, hardiness, ethics, etc.

The ethical attitude within the SAF takes its starting point from Swedish legislation and International Law. Ethical and moral norms are continuously developed and established in different regulatory documents. The Code of Conduct describes those values, abilities and actions that are central for successful task completion that will produce confidence, communion, and trust. This is formalized in writing but also includes informal values, norms, and traditions. Adherence to the Code of Conduct is observable in actions and routines. The basic principles affect everything, from action in combat to everyday administrative tasks and constitutes the soul of the military profession that binds everyone together within a common identity. Three words describe the values: Openness, Results, Responsibility (Försvarsmakten, 2017).

Openness refers to the SAF being an inclusive organization, to working closely together, and being competent team players interacting with actors both inside and outside the SAF. This requires the ability to work in different cultural and social environments and to have knowledge of and respect for cultural and religious differences. Globalization processes are suggested to bring about greater mutual interdependence – politically, economic, culturally, socially, and morally. *Results* is about having a strong will to act, to take initiative and to be decisive in every situation. It also includes making judgments based on the common values and being sincere and direct in communication. Despite circumstances, skill, discipline, sacrifice, courage, and confidence are crucial. *Responsibility* is about being loyal to each other and to the military task. In response to decisions, everyone should work towards the achievement of goals to the best of their ability. For military personnel completing tasks and training prior to support missions is not enough. To be successful includes acting according to fundamental values, as it is essential to the perceptions of the SAF. Living by and acting according to morals and standards will make others perceive the SAF as competent, energetic, and reliable (Försvarsmakten, 2017).

The common principles of the SAF are illustrated in its unique tasks across four areas. The first includes the use of force; this includes risking lives and responding to rapidly changing circumstances during physical and psychologically demanding conditions. This requires great ethical and moral maturity as well as guidance and support. The second aspect refers to the differences that exist between functioning in military operational settings and in administration and management. The third is that the SAF and its personnel cooperate with other actors. For example, working with other armed forces, authorities, and organizations and must contribute in varied perspectives to achieve success and ensure a favorable reputation. A fourth aspect, and the most essential, is that the SAF is an integrated part of the society it must defend. Thus, Swedish society expects that the SAF will reflect and manage the values and standards that are applicable in society in an adequate way. As both civil and military competences are necessary to complete the military task and as they create a joint capability to accomplish their duty, they must understand and respect each other's knowledge (Försvarsmakten, 2017).

To defend Swedish wellbeing means vouching for society's utmost safety and security, which includes handling physical violence and, as a last resort, using lethal force while also ordering others into harm's way and being prepared to risk one's own life. Having a well-developed ethical approach is important, particularly in military operations where the use of violence or instruments of aggression may amount to great risks for military personnel, human suffering and cause vast material damages. Adhering to ethical principles means being able to evaluate and decide how to act in each situation and deciding what actions to take or to avoid. The SAF is a practical-oriented organization, thus judgment to act in accordance with prevailing circumstances demands ethical positioning in every situation. Military personnel must comply with a stricter code of discipline in comparison with other professional roles and must accept restrictions in their individual rights in favor of the needs of the community. Everyone must be prepared to act and to accept the consequences of their actions. Respecting and observing decisions, orders and rules is paramount. Being part of the SAF means being reliable, loyal to the mission, following rules, and trusting one's ability and avoiding inadequate actions that may harm individuals, the surrounding environment, or the mission. Trust feels no boundaries. What officers and soldiers do during their free time may affect and damage trust and thus their possibility to work within the military. Everyone who works within the SAF must act and live according to the basic principles while on, or off, duty (Försvarsmakten, 2017).

3.8.2   Leadership in the Swedish Armed Forces

The SAF exercises a mission-oriented command/control, based on well-educated leaders and soldiers/mariners with initiatives, decisiveness, and the will power to take responsibility, continuous tactical development, good ethics, great commitment, and mutual trust. Thus, it is essential that officers and soldiers understand when to abandon the initial plan and can act according to a Commander's Intent. This requires good judgment and confidence. Mission type tactics include military discipline and freedom with responsibility, which requires a well-developed moral compass. Strategic leadership includes being a role model, to continually lead and communicate direction. Leaders are responsible for their unit's actions, morally as well as legally, consequently they must take full responsibility for failures and generously shares credit when things turn out well (Försvarsmakten, 2017).

The Swedish model *Developmental Leadership* is the official leadership model of the SAF, a "Scandinavized" version of Bass' transformational leadership, an approach from which military leadership should emanate (Försvarsmakten, 2017). The ethical leadership concept is not used, but many of its innate qualities are implied in the Developmental Leadership model (DL) (see for example, Larsson, Lundin and Zander, 2017). Exemplary, authentic actions mean approaching leadership situations based on an attitude characterized by self-reliance and morally good behavior. These comprise three sub factors: value base, role model and responsibility. Value base includes behaviors as expressing humanistic values and having high standards in terms of ethics, out of which credibility based on authenticity and loyalty is perhaps the most important from a leader's perspective. It concerns discussing what values are important, to be upright and straightforward and to have the courage to stand by one's own values. Role model refers to the leader's

actions and words corresponding to one another while responsibility involves the leader taking responsibility for solving the organization's tasks, for the welfare of his or her employees as well as for the organization's disciplinary status. For example, ensuring that the organization's rules are discussed to ensure that they are understood and respected (Larsson, Lundin and Zander, 2017). Caring about followers is a prerequisite to enforcing and maintaining good discipline. A good leader will maintain such order, atmosphere and discipline that is required to complete the tasks. Leaders must thus be direct when giving orders, provide necessary resources and demand accountability. If the task is not completed, clarifying potential consequences is a necessity.

Military strategic doctrine (Försvarsmakten, 2016) states that the SAF's personnel, particularly leaders, must be prepared for the various ethical considerations they may face. Every decision to use force, or justify the use of force, means that officers must accept personal responsibility to make correct moral and ethical judgments. Leadership permeates every activity within a military organization and demands long-sightedness, a comprehensive situational view, and the knowledge and experience necessary to ensure critical reflection. Ethical awareness (and sensitivity) is created through education, practical training, and exercise as well as discussion and reflection. Together with feedback and reflection, this approach contributes to developing the ability to exercise appropriate leadership in a variety of situations. Support is of great importance for leaders to succeed with their tasks.

The need to establish an equality perspective on leadership is important regarding one's own organization as well as the external operating environment. Furthermore, leaders will consciously work towards gender equality and develop an understanding of the gender perspective within the organization. A central leadership role regarding work is to instill basic values and an increase the awareness of the need for equality. A leader's behavior will affect the values and the actions of followers, but also the entire environment. It is important for everyone to be respected for who they are. Leaders must be loyal to the task, able to learn and adapt from consequences, be economical with resources, and voice a complaint if they are not provided with the necessary preconditions and resources to do a good job (Försvarsmakten, 2016).

3.8.3 Ethical Leadership Education in the Swedish Armed Forces

The SAF educates and trains for ethical and moral awareness; based on the SAF value system and the Code of Conduct with the aim of increasing the military's ability to, in all situations improve decision making. This is done through reflection and dialogue to develop the individual, the group, and the unit. It is demanded that everyone reflect upon and make the values and Code of Conduct their own. By reflecting one's own values as well as exploring the common actions of others, leaders will gain knowledge and an understanding of the types of ethical difficulties that may arise in otherwise unexplored situations. Military violence and its use constitute the rationale for the military education system. As such, adopting an ethical approach is essential for officers and soldiers to act in an ethically correct way. Become a practitioner of the profession requires years of education and practice before the essential expertise may be developed (Försvarsmakten, 2016).

Professional skills refer to expertise expressed in actions, developed through theoretical and practical execution of the profession. The need for a scientific approach is noted, whilst it is clarified that everyone is not expected to be an academic. It is rather the width and depth of practical skills on the one hand and intellectual theoretical knowledge on the other, that will favor professional development (Försvarsmakten, 2016). Based on this, the Swedish military education system has been subject to fundamental changes. Military entries have almost doubled and there has been an increase in academic demands, however, the time allotted for education has decreased. Within the SAF, ethics is taught during Basic Military Training (not emphasized here), the Officers Program (basic level) and the Higher Joint Command and Staff Program (advanced level). The Swedish church also plays a part in the ethical leadership education and training of officers.

3.8.4   Officers' Program[19]

The Officers' Program is a three-year course lasting six terms, which leads to the award of a bachelor's degree (a total of 180 credits). Terms 1, 2, 3 and 6 are spent at the Karlberg Military Academy in Stockholm, part of the Swedish Defence University. During the first three terms the course is primarily theoretical and is designed to form a basis for further studies and give students an understanding of the officer profession. Terms 4 and 5 take place at the Swedish Armed Forces' Service and branch schools and units around the country. These terms are service/branch oriented, building on the theoretical foundations established during terms 1-3, and consist largely of the application and practice of the various subjects. These terms are essential for an officers' professional development and provides the basis for reflection on both professional and personal development.

The main portion of ethical leadership education takes place during the Leadership module. The first course aims to increase the students' understanding of their own prerequisites, values, and development needs for exercising military leadership. It includes aspects of self-awareness and the demands of the profession, in terms of command, leadership, ethics and values (professional military ethics). Using ethical models, students analyze morals and standards, as well as moral issues, situations and dilemmas within the military profession. The course provides tools for continuous leader development. The second course addresses developmental leadership and how leadership can be used to promote a management culture that supports mission-oriented command/control. The intermediate course in leadership includes, in collaboration with other subjects, an opportunity to practice skills and abilities in leadership and command, to learn about the SAF directives and manuals and the profession's ethical rules and policies. There is an explicit emphasis on judgment to positively affect fighting capability in relation to morals, stress, and cohesion. The students are expected to demonstrate developmental leadership behaviors and an ethical attitude.

Apart from the above discussion, there are courses that support ethical leadership, but that do not address leadership directly. In War Studies, for example, there are profile-specific (Air, Marine, Army) basic courses that address Swedish tactical regulations and the ability to put them into application, as well as war laws in different combat situations at lower organizational levels. There is an emphasis on developing the ability to make tactical judgments and decisions, and appropriate ways to design and give an order, both verbally and in writing. The course is based on judgment methodology and is conducted through seminars, lectures, and war games. There is also a focus on war laws and their impact on tactical discretion. Professional, societal, and ethical issues that concern the use of force and their tactical conduct on basis of a strategic context are discussed. The intermediate course aims at providing a deeper understanding of irregular warfare focusing on western doctrines and the protection of human rights. Cultural understanding and the gender perspectives are similarly addressed. Courses in military strategy address ethical aspects of the military profession by focusing upon the use of military force with the aim of making a basic military strategic analysis. The main principles of the UN-charter, and rules concerning conflict management and the use of force are explored. Additionally, the way Swedish laws direct the use of the SAF in national and international operations is included. The aim is to attain knowledge on how societal and ethical aspects concern the use of military instruments of power and how these aspects affect the officers' profession. Another example is a basic course in Military Technology that includes the officer's responsibility to consider relevant laws and conventions besides societal and ethical aspects when using technological systems. The intermediate course in Military Technology covers safety clauses and their differential impact during peace and war with the aim of being able to understand and apply applicable regulations and instructions.

3.8.5   Higher Joint Command and Staff Program[20]

The Higher Joint Command and Staff Program at the Swedish Defence University is a contract approach to education for the Swedish Armed Forces. It is aimed at military officers who desire to advance and move

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[19]   Information retrieved from the Swedish Defence University course syllabuses).

[20]   Information retrieved from the Swedish Defence University course syllabuses.

forward in their careers and is an academic approach that culminates with a Master's degree (60/120 credits). Most subjects are similar to those at the Officers' Program whereas in this program, officers are expected to deepen their knowledge. The main subject is war science, but officers also attend courses in Military Technology, Leadership and Public International law. The pedagogics involve a mix of theory, discussion, practical exercises, internship, study tours and coaching and there is a clear connection to the officers' future positions and to manage and make decisions. After having completed the program, officers will be able to plan, lead and follow up combined operations, both humanitarian and military, at the full range of conflicts. Thus, the program develops military professional competence to perform qualified tasks at higher managerial levels. In comparison to the Officers' Program, officers are required to reflect in a more independent manner, to draw their own conclusions and find their own solutions.

The major portion of ethical leadership education is included in the leadership module and commences with an understanding that professional officers are determined, independent, and deliberative military leaders who can command, collaborate, and communicate through a well-thought out and mature ethics foundation. Plus, they will embody developmental leadership approach that is based on mission-oriented command/control and the SAF value system. There is a specific emphasis on virtue ethics. Professional military ethics is addressed in terms of discernment and moral judgment. Ethical conflicts and dilemmas besides psychological processes that may interfere with moral judgment are discussed, but from an Indirect Leadership (IL) perspective. Indirect leadership refers to leadership at higher organizational levels where leaders lead via subordinate managers. They influence in an action-oriented way in parallel with a more image-oriented way by being a role model. Ethical leadership as such is not addressed but being a role model (image-oriented influence, IL) comprises basic attitude (value base, responsibility and consideration), driving force (positive energy, conscious effort), inspiration (appreciation, participation), competence development and communication (clarity and information handling). Students are provided with opportunities to analyze morally demanding situations from an indirect leadership perspective.

It should be noted that, similar to the Officers' Program there are courses that do not explicitly touch upon ethical leadership but that do support its development. For example, the Operative Law courses include conflict gradation from peace to war in the form of a fictitious scenario where operative-juridical questions are addressed, as well as the national and international laws and regulations that guide the SAF mandate in peace, war and the so called "grey zone" as well as public International Law, human rights and the UN Charter. It should be noted that training for non-commissioned officers is carried out at the military Academy in Halmstad and at the Tactical Staff Course at the Swedish Defence University. Here there is a particular emphasis on situations where individuals and groups are exposed to high demands. Concepts such as self-awareness, group dynamics, coping, and crisis- and conflict management are important as well as knowledge regarding ethics, values, diversity and so forth. Work with value-related case reports is an important method used to deliberate on the values of the SAF.

3.8.6   The Swedish Church

Another actor involved in the ethics education and training of the SAF is the Swedish Church that has considerable experience associated with coping and understanding the existential questions in life. Their work is based on an interreligious perspective, meaning that their work transcends the boundaries of different religions. Since the 16th century the Swedish church has collaborated with and given their support to the SAF. As part of the State, the Swedish church was initially responsible for providing church services and care. During the 19th and 20th centuries religion, and thus the place of the church, was contested and subject to change. However, whereas the religious dimension did not enjoy the same natural place in society, the need for care within the Armed Forces remained the same. In 1942, the government decided to introduce a staff commission with the main task of promoting the religious, cultural, and social care of personnel, where the Chaplain came to be a natural participant. In 1990, the Swedish church assumed responsibility for the military care. Today, the work is managed by the SAF Chaplain together with the Headquarters staff pastor and a network of pastors at the larger units that are divided into three different categories:

1) At units and military schools, with the task of supporting soldiers and personnel (approx. 30 chaplains and a minor number of deacons);

2) Within the Home Guard, with the task to support society (approx. 40 chaplains and a minor number of pastors); and

3) A pool of deployable priests (approx. 30 experienced chaplains) (Svenska kyrkan, 2017).

The field pastor is responsible for the care at units, according to the directions of the Unit Leader, to execute church services (to contribute to the practice of religion and the celebration of religious feasts), to carry out individual care and to educate in crisis support and international public law. One particularly important aspect concern supporting military personnel who need to cope with death. This is done through dialogue, funerals, and everyday worship. The assignment includes providing reminders about the SAF values and war laws in association with taking care of the individual's wellbeing, both psychologically and spiritually. In practice the implementation of ethical training appears to vary depending on the individual chaplain (Svenska kyrkan, 2017).

3.8.7   Summary

Ethical leadership is not the focus of specific courses, but ethical aspects are rather introduced in relation to other subjects throughout an officer's education and training. Consequently, this approach favors the promotion of ethics as an integrated part of every aspect in the military. However, implementing and keeping the values and common principles alive may be a challenge. It appears as if such endeavors may vary profoundly as the task is closely related to the commitment of every individual commander.

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3.9   TEACHING ETHICS IN THE UNITED KINGDOM

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3.9.1   Ethics Training and Education in the British Royal Navy: Training for Today and Opportunities for Tomorrow

This section outlines how the British Royal Navy are currently engaging with the opportunities to optimize training and education about ethos, culture, organizational climate, and ethical leadership. It is a personal perspective, as the Royal Navy's first Head of Conduct and Culture. This role was established in November 2020, to enhance engagement across the Service with ethics, values, and standards. The was also founded as a way to help leadership teams at all levels to embrace the opportunities to go further and faster through ethical leadership and developing psychologically safe teams. Be under no illusion; this is about being ready to fight and win, and teams that feel safe to be themselves and who prosper in positive ethical climates will have the advantage in the conflicts of today and tomorrow.

The Royal Navy formally published its first pamphlet on Ethos, Values and Standards in September 2012 outlining the organization's commitment to, and focus on, Courage, Commitment, Discipline, Respect, Integrity, and Loyalty or C2DRIL as it is known across the organization. The organization numbers more than 30,000 uniformed personnel plus Royal Naval Reservists (the RNR) and Defence Civil Servants who adhere to C2DRIL and, additionally, operate under a Defence Civil Service values framework. This was published for staff titled *The basic principles of working in Defence*, published in May 2011[21]. Traditionally, aspects of the Royal Navy's ethos, values and standards were contained in the BRd3 Royal Navy Rules and Regulations. The traditional approach to the Royal Navy's ethos has celebrated the importance of the inter-related facets of character, heritage, tradition, and history as well as the C2DRIL framework and the Ethos pamphlet and re-invigorated focus on C2DRIL has elevated the Service's ethics agenda.

Values and Standards are initially taught for all new joiners through what the UK defines as Phase 1 (initial) and Phase 2 (continuation) training establishments. Training delivery is coherent with the Defence Systems' Approach to Training (DSAT) and the training requirement is set by the Navy Headquarters at 2* level and delegated to Training Delivery at OF5 and OF4 level to Commanding Officers of Training Establishments (COTEs). COTEs emphasize the delivery of training and resources through two avenues: military instructors, who often emphasize the overlaps between Law of Armed Conflict (LoAC) training and Rules of Engagement (ROE); and the Royal Navy Chaplaincy. The Chaplaincy operate under a central set of lesson plans and discussion period grouped together under the Beliefs and Values of the Royal Navy (BVRN) program. Furthermore, chaplains deliver up to four sessions away from military instructors to students, overlapping values and standards with crucial sessions on morality in war, challenge culture, the risks of initiations and the road to war crimes. Informal case studies include detention operations in Iraq, the "Mne A" case of former Sgt Blackman battlefield killing of a wounded Taliban fighter, and the more traditional and highly valuable cases including Mai Lai, Srebrenica and Somalia. The chaplaincy-delivered sessions have sound instructional material, and each Chaplain is encouraged to personalize their material and 'own it'. This has the benefit of providing a common framework for qualified Officers, Non-Commissioned Officers, Ratings, Sailors and Marines to approach the Chaplaincy on operations if they have concerns. This is viewed as a valuable investment for building rapport and positive engagement for the future should individuals have ethical concerns that they wish to address.

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[21]   Dependent upon our Service they require us to display values of **commitment, loyalty, service, integrity, honesty, objectivity, impartiality, excellence, courage, discipline, and respect**; and to maintain high standards of compliance with the law, professionalism and personal behavior.

Instructor-led sessions increase in intensity as personnel achieve greater rank and commensurate lived experience in the Royal Navy. There is an OF4-led Royal Navy Leadership Academy who deliver ethics and ethical leadership training for Officer Cadets at the Britannia Royal Naval College in Dartmouth. The academy staff further cascade these sessions which cover working definitions of ethics, moral injury, moral intensity, ethical drift and how to recognize and mitigate it, to Junior Rate and Senior Rate leadership courses. As ever, training is optimized by those instructors who have rich life experience and understand the theory and practice of ethics, ethical leadership, and countering ethical drift. The very best can offer the behavioral science causes of ethical drift, the indicators and warnings of things going awry and the command advice and options for leaders at any level to confront unacceptable behavior and re-set teams to fight and win.

For the Royal Marines, a 6800 strong integral part of the Royal Navy and one of 5 fighting arms (the others are the Surface Flotilla, the Submarine Flotilla, the Royal Fleet Auxiliary, and the Fleet Air Arm), ethics training is centered at the Commando Training Centre Royal Marines. The Commando Leadership Handbook was published in 2021 and now covers leadership theory, personal vignettes from those that have been in command over the last 2 decades and key terms and perspectives on ethics and ethical leadership. Vignettes cover both operational and organizational dilemmas and the handbook itself is used on course as well as providing a tool for leaders to reflect and cross-refer with their leadership development as they return to the front line and operational units. Ethics training is re-visited formally, as part of the syllabus for junior NCOs and Ratings as well as Senior NCOs and Rating. Royal Marines Warrant Officers and Regimental Sergeant Majors also have an assessed essay that drives personal reflection on ethical leadership and how they lead, themselves, when they compete for promotion to OR9.

For Commanding Officers and their Executive Officers, the last 2 years have seen a half-day of ethics in command study period. Led by an external academic, the Royal Navy have harnessed the experience and background of the UK's Kings' College London (KCL) who have driven forward KCL ethics' decision-making cards which are now available in an App format. This is then followed by a Conduct and Culture Cell period on building an effective Command Climate, Ethical Leadership and the indicators and warnings of ethical drift. These sessions also highlight the importance of establishing a visible command philosophy and laying this out as a statement of intent in building a leadership environment where everyone can win, teams and team-mates are psychologically safe and empowered across the organization. These sessions are now replicated for the Royal Navy Warrant Officer Staff Course. Royal Marines Commanding Officers and Warrant Officers now get exposed to a full day of ethics in command discussions and briefings. Topics include ethical decision making, building a winning command climate and then two detailed case studies based on Afghanistan: the Australian SOCOMD investigation into potential war crimes by the SASR in Oruzgan and the Royal Marines response to the illegal killing of a wounded Taliban fighter in 2011 by former Sergeant Blackman.

In terms of continuation training, there are annual values and standards online training packages which are tracked through the Joint Personnel Administration system (JPA) which also tracks annual D&I training. This is an important inter-related area for currency and drives appropriate behaviors for inclusivity. These online packages are adequate but often transactional, two-dimensional, and simplistic. To bring the ethics agenda to life, there has been an annual Ethical Leadership Symposium championed at 3* level, intermittently, since 2017. There is a nascent online portal to catalogue online briefings and presentations and, like many militaries, the quality and variety of products available on open-source unclassified media like YouTube has changed the access and impact of open-source material for small teams deployed at range wishing to drive their own team and personal development. 1* Heads of Fighting Arms commit to an ethics and ethical leadership program although this is complex and difficult due to competing priorities, the scarcity of training time, the dislocation of platforms operating globally and the low number of instructors and enablers who can facilitate this form of training and education. In reality, it is variable in scale and impact.

The Conduct and Culture Cell resides within the Royal Navy Personnel and Training 2* directorate and supports symposia and training as well as also conducting confidential reviews and assurance visits.

Inevitably, there is a tension between the focus on practical training and education with the requirement to deliver an assured view of the ethical tone on some platforms and in some units where there may be unacceptable behavior. Moving forward, the Cell is due to uplift from two to four members. Compound impact is always achieved when operating in 1* command areas where ethical leadership is visible in policy and tangible in example, action and decision making. As we move forward, next steps include developing a more intuitive ethics' learning portal and a more coherent reading pack for nominated 1* ethics project officers to master their brief. The generation of complex case studies, to mirror the excellent cases studies within the NATO handbook, is underway and will be used to develop even better individual and team decision making as well as using some examples to re-emphasize best practice and appropriate policy when areas of concern emerge. A final project is worth mention: CTCRM are currently scoping an ethical decision-making portal to offer greater realism and more insight and measurability to develop the decision making of teams and leaders at all levels. Scenarios will be exposed in either a physical or online workspace, and a facilitator/enabler will feed variable factors to increase complexity, time pressure and moral intensity for students. The potential outcomes could be substantial: standardized decision-making habitual behavior for leadership teams, a feedback loop for leaders on the realities of their judgment and command plus a growing understanding of what makes some decision making emotional and complex from the very outset.

I remain extremely grateful to our Ethics' Outreach Group – incredibly professional and gifted individuals who offer their support to the Royal Navy as we continue through this most complex and demanding training challenge. The focus on ethical leadership makes it clear what is – and is not acceptable – and with the right 4* tone from the top, example setting at all levels of command, and education and training to develop our people, we continue to limit the impact of unacceptable behavior and decision making on the Royal Navy and those that are proud to serve, as well as increasing our ability to fight if required and win.

Chapter 4 – ETHICAL LEADERSHIP CASE STUDIES

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4.1 CASE STUDIES: INTRODUCTION AND INSTRUCTOR'S GUIDE

4.1.1 Introduction

One important deliverable for this RTG is the development of case studies that can be used in ethical leader development across NATO countries. To this end, RTG member nations developed ethically charged case studies, which were linked to the model of ethical leadership developed for this RTG (see Figure 5-1, Chapter 5). All cases are presented in Annex C.

Many of the case studies are based on real events, but some of the critical details have been altered to make the cases less identifiable. There was also a deliberate decision to not reveal the outcome of the real cases. Although the true cases were most often resolved successfully, there was some apprehension that the solutions in the real cases would be viewed as the most correct resolution. Because these are all ethical dilemmas, there are no clear right or wrong answers. As discussed, the case studies presented here were designed to be used in a teaching environment to generate discussion among students and explore possible solutions.

Members of military forces engage in a profession that is unlike any other occupation. Military members must accept that their job may entail causing harm to others, or even killing enemy combatants. Military leaders also have the unique requirement to order followers into harm's way. As a result, ethics and moral behavior must guide leaders to do the right thing. Military applicants have values that have been instilled in them by their parents, their teachers, and their culture. One's culture is particularly important because it is culture that provides society's norms and a shared understanding of what is right and wrong. Military organizations also have ingrained in their doctrine the values and principles expected of military members. In an ideal world, the individual values of members will be closely aligned with the values promulgated by their military.

A common characteristic of military organizations involves the traditions and expectations that have been passed down from generation to generation. The traditions are often conveyed by telling stories about past military situations with an aim to helping junior members appreciate the challenges that they may face while carrying out their duties. Unfortunately, during this story telling, it is seldom the case that the ethics and morality involved in these "war stories" are explicitly explored and discussed. Nevertheless, there is no doubt that these narratives will convey a sense of right and wrong and they will serve as valuable lessons. One way that military ethics can be effectively taught is using case studies that are designed as ethical dilemmas. In a teaching environment, these case studies will provide students with an opportunity to ponder the critical aspects of the situation in a led stressful classroom setting. They can imagine that they are facing the challenges in the case studies and exercise their critical thinking skills to arrive at decisions to resolve these dilemmas. In a non-threatening environment, military leaders can develop their reasoning skills and become better prepared when to face legitimate challenges.

Instructors should be prepared to present these case studies to students and allow them to work through the possibilities independently or as part of a group. Instructors need to resist the urge to direct students to a solution that they would personally view as ideal. Military members are accustomed to dealing with situations that might best be viewed as black or white. Life is simple when the correct answer is evident.

However, with ethical dilemmas this will never be the case. The ethical case studies presented in this report (see Annex C) are characterized as dilemmas because there are no easy solutions and fellow humans may suffer the consequences of decisions that are rendered. Instructors are encouraged to read these scenarios before using them in a classroom situation and to think through what decisions they might make. The students should be able to assess the situation, explore the ethical components and consider the options and risks associated with their choices. The cases in this document include both Garrison and Operational scenarios and they differ in complexity and severity. The cases are graded on a scale of 1 to 10 based on the severity of the situation. Some ethical dilemmas are life-and-death situations while others will contain less severe consequences. The situations presented in Annex C commence with less severe circumstances and progress to ones with more dire consequences. This rating system should not be confused with Jones' (1991) categorizations of moral intensity. Jones (1991, p. 372) explains that moral intensity is "a construct that captures the extent of issue-related moral imperative in a situation." This approach explores the intensity associated with ethical decisions rather than the situation itself.

Jones (1991) presented six factors associated with the intensity of an ethical decision. These are:

1) **Magnitude of the Consequences.** This is the sum of the harms imposed on the victims of the decision (or alternatively, the sum of the benefits of the recipients). Thus, a decision that causes the death of a person is more consequential than one that causes a minor injury.

2) **Social Consensus.** This is the degree of social agreement that an act is either good or evil. When there is a high degree of social consensus, there is little ambiguity about what should be done. Thus, the greater the likelihood that most people would view an act as wrong, the greater the intensity.

3) **Probability of Effect.** This is a calculation that an ethical decision will lead to an action and the probability that the result act will either be harmful or beneficial. Thus, the level of moral intensity increases in conjunction with the probability of an adverse event arising from a decision.

4) **Temporal Immediacy.** This is the length of time between the present and the onset of the consequences of a moral decision. When the effect is imminent, it is considered to have a higher degree of moral intensity.

5) **Proximity.** This is the feeling of nearness, either socially, psychologically, culturally, or physically, that the person has for the victims (or beneficiaries) of the act in question. When there is a high degree of proximity, there is also a high level of intensity.

6) **Concentration of Effect.** This is an inverse function of the number of people affected by an act of a given magnitude. Thus, the level of moral intensity is higher when an act has a significant effect on a single individual, as opposed to a modest effect on many people. For example, is a decision will cost one person $1,000.00 this is a higher concentration of effect than a decision that will cost 100 people $1,000.00. The higher the concentration of effect, the higher the intensity.

Instructors should ensure that students are able to apply these factors during their decision-making process. They should also encourage the use of the Four-Component Model of ethical decision making developed by James Rest (Rest, 1986) in helping students to work through these case studies. This model provides four conditions or stages that can be used when dealing with these dilemmas. The first stage is *Ethical Sensitivity*. It is during this stage that one comes to the awareness that the circumstances they are facing include aspects that will challenge them from an ethical or moral viewpoint. This is also the most critical stage, because if students are not aware of the ethical challenges in the situation, they will never be able to work through the decision-making process. The second component in Rest's model is *Moral Judgment*. If one expects to achieve success during this stage of the model, a knowledge of ethical principles, codes of conduct, and the ability to judge right and wrong is critical. The third component of the model is *Moral Motivation*. According to Rest an understanding of the right thing to do is important, but one also must make it a priority. There will always be competing choices and decision options for the people facing the dilemmas. Sometimes the easiest choice may be the most compelling option, but it may not be the right choice. The third stage of

Rest's model means that one must be motivated to do the right thing. Failures in moral motivation can occur when personal values, or easy solutions, take priority over doing what is right. The final component of the model is referred to as *Moral Character*. This is a critical stage in the moral decision-making process because people must have the courage to carry through with their decision. It is not enough to be ethically sensitive, render good ethical judgments, and give it high priority if one does not carry through with what is viewed as the correct solution to the dilemma.

4.2   KEY DEFINITIONS

The case studies presented in this document should be tackled with a sound understanding of some specific ethical components.

Ethics: the term ethics comes from the Greek *ethos*. It is generally used to refer to a field of philosophy that is focused on an understanding of what is right and wrong. The term often goes hand in hand with being moral which comes from the Latin *Mores* because, at its fundamental level, ethics is a study of morality. These terms are often best understood within a specific culture and ethics itself comes in a variety of forms.

Deontological Ethics: Deontology is an ethical approach that argues that we can judge whether an action is good or bad by examining whether it is consistent with a clear set of rules. The term has its roots in the Greek word *deon* which means duty. When actions are consistent with these sets of rules, they can be judged as ethical while actions that are not consistent with the rules are viewed as unethical. For this reason, deontological ethics is often used interchangeably with *duty-based ethics*.

Teleological Ethics: While deontological ethics passes judgment on the actions themselves teleological ethics places its focus on the outcome of our actions. Teleology has its root in the Greek word *telos* which means "end," thus we can appreciate its focus on the end state rather than the action.

Utilitarianism: This approach to ethics argues that actions that benefit most people can be viewed as right. For those familiar with Star Trek, this is akin to Mr. Spock arguing that "the needs of the many outweigh the needs of the few, or the one."

Consequentialism: the consequentialist approach argues that an action should be judged as moral or ethical purely based on its consequences. Although this sounds very similar to utilitarianism there is a fundamental difference. While utilitarianism focuses on the greatest good for the greatest number, consequentialism also pays attention to the nature of the consequence.

Universalism: At its purest level universalism is based on the notion that there should be a common system of ethics that would apply to everyone without regard to race, religion, culture, or nationality. In a sense, this is closely related to the golden rule that simply argues that we should always treat others the way we would wish to be treated.

Ethical Relativism: In stark contrast to universalism, ethical relativism argues that morality is best judged within the norms of the culture in which it is practiced. In other words, an identical action may be viewed as morally repellent in one culture yet be seen as morally correct in another. It is ethical relativism that helps us to understand why a society will incarcerate someone who kills another human yet grant medals and honours to soldiers who do the same thing while engaging in legitimate and morally justified combat situations.

Virtue Ethics: Virtue ethics is a moral philosophy that has its roots in the work of Aristotle and other ancient Greeks. Rather than focus on a particular action or its consequences, virtue ethics pays more attention to the character and morality of the person engaging in the actions. Consequently, it is character traits like integrity and generosity that makes a person virtuous and moral.

Ethical Dilemma: an ethical dilemma refers to a situation where someone is forced to make a difficult choice between two or more courses of action and these actions may be equally undesirable. It could also mean that whatever choice is made it will mean that the person making the decision must violate a moral principle or value.

Uncertainty Dilemma: An uncertainty dilemma is often referred to as the most frequent type of ethical dilemma. This kind of dilemma occurs when the right course of action is not readily apparent. There are equally legitimate reasons to support a variety of solutions but there is no simple choice between right and wrong.

Competing Values Dilemma: When we are faced with a competing values dilemma, it means that we are in a situation where the different possible solutions will cause us to violate one or more of our values. In other words, our basic values are competing during our decision-making process. For example, we may want a solution that maintains our loyalty to a friend or comrade, but our sense of duty compels us to choose differently.

Harm Dilemma: A harm dilemma could be viewed as the most serious type of dilemma. This kind of dilemma occurs when there are different solutions, but no matter which choice is made harm will come to somebody. It is a lose-lose type of scenario, and a choice must be made to do the least harm possible.

Test of Integrity: A test of integrity is not really an ethical dilemma because the correct course of action is evident. However, there may be situational factors that are compelling us to choose a course of action that is not in line with our sense of integrity. Even though this is not categorized as a dilemma, the decision process can still be very difficult.

4.3   CASE STUDIES: INSTRUCTOR GUIDELINES

There are many ways for the ethical case studies presented in Annex C to be used in a classroom setting. The purpose here is not to dictate how instructors must use the cases, but to provide some guidance and suggestions on how to use the case studies. Instructors will no doubt develop techniques that are effective and well suited to their pedagogical style. Whatever approach is selected, instructors are encouraged to allow students time to work through the elements of the case studies and resist the temptation to steer students in a direction that the instructor might view as most correct. We readily acknowledge that this urge will likely be present, but the best way for students to develop these critical and ethical thinking skills is having the opportunity to work independently. By independently, we mean a separation from the instructor's direct guidance, not from fellow students. A rich learning environment can be cultivated by encouraging students to debate the critical elements in the case studies. Nevertheless, instructors will play a valuable role by facilitating discussion and asking challenging questions as students work through the case studies.

Readers will note that the narrative for each case study appears on a page by itself. This approach was deliberate to allow instructors to distribute the case descriptions to students without providing the additional details that are available to instructors. Attached to this set of guidelines is a sample analysis sheet that can be distributed to students.

The instructor's material associated with each case includes information that is not immediately available to students. Under *Assessment of the Situation* there is a sub-heading labelled *Facts*.

The **Facts** section provides a summary of the key elements from the case. These facts describe the elements of the case as they are presented in the scenario. The position occupied by the key player, the people involved and what is taking place that is presenting an ethical dilemma.

The section **Ethical Factors** includes the sub-headings: *Individual Variables*, *Organizational Variables*, and *Situational Variables*. The **individual variables** refer to the decision maker's personal values, responsibilities, and authorities. This section may also include information regarding military rank, the position, and location. The **organizational variables** provide insight into constraints that may exist with respect to factors such as rules and regulations. There may also be some insights into organizational conditions such as ethical climate. These constraints can be important; for example, one may feel that the right thing to do is render assistance, but deployment rules of engagement may prohibit taking direct action. Finally, the **situational variables** capture the current conditions where the decision maker is operating. This information can tap into things like the cultural norms at the location and some insights into what might be viewed as acceptable or unacceptable behavior.

The next heading is titled **Type of ethical dilemma**. The information contained in this section identifies the dilemma as being a *Harm Dilemma*, *Uncertainty Dilemma*, *Competing Values Dilemma*, or even as a *Test of Integrity*. It is important to keep in mind that most case studies will be a combination of two or more of these types. For example, values like duty and loyalty may be competing but there will also be harm no matter what decision is made. This is also not an exact science because ethical situations often are very ambiguous. This means that instructors, or even students, could argue the case that the type of dilemma is one that is not identified in this instructional material. This is perfectly acceptable and understandable.

The **Possible Options** section outlines a variety of decisions that could be made for a given situation. This is not to be viewed as an exhaustive list and it is very likely that students and instructors may generate possibilities that are not included here. Once again, this is perfectly acceptable and understandable. The final section, titled *Optional Challenge Questions*, includes questions that instructors can use to generate additional challenges for students. The use of these questions will be discussed in more detail in the following section on possibilities of pedagogical approaches.

4.4 PEDAGOGICAL POSSIBILITIES

4.4.1 Discussion in Plenary

Discussion in plenary is the most straightforward of the approaches that can be used in association with these case studies. Working in plenary could mean a classroom full of students engaging in a lively debate. The instructor would either distribute the case studies or project them on a screen. The students would immediately start interacting with each other as they work through the elements of the dilemmas. As in most classroom situations there will be students who will take a more dominant role while others will sit quietly and observe. One of the key objectives for the instructor will be the use of various techniques to engage the quieter students and get them involved as well.

4.4.2 Independent Analysis Followed by a Plenary Session

This approach is very similar to the discussion in plenary with one small exception. Students are initially granted an opportunity to work through these scenarios on their own and after an acceptable period the plenary discussion would commence. This can lead to even more engagement and lively debates because some students in the classroom will have reached unique decisions and may feel the urge to justify their stance. Instructors should keep in mind that students may feel threatened if they feel that their decisions are being questioned from an ethical viewpoint. When this happens, it is important for the instructor to emphasize that these dilemmas are dilemmas because there is no clear course of action. This also means that it is possible for there to be more than one correct solution. If the solutions were easy these would not be dilemmas.

4.4.3   Group Work

An effective variation to the previous approach is to break the classroom into smaller groups and have the individual groups work through a solution before coming back to a plenary session. This is an especially effective technique when working with many students. Once again this can lead to lively debates and the groups may exhibit more resistance to altering their stands because they have already embraced their solution with the support of their group members.

4.4.4   Guided Group Approach

The guided group approach is very similar to the group work previously described with one critical difference. The instructor would still break the classroom into groups, but each group would be assigned a specific ethical viewpoint. For example, one group could be asked to analyze the case and reach a decision from a utilitarian perspective. Similarly, other groups could be told to focus on philosophical approaches like deontological ethics or virtue ethics. This can be an invaluable learning experience and help the students to understand the different philosophical approaches more fully and appreciate how these different filters can lead to different ethical solutions.

4.4.5   Optional Challenge Questions

The two questions that are included in the instructional material for each case study are designed to introduce additional complications into the case studies. The usual approach would be to hold these questions in reserve until students have exhausted their analysis of a given case scenario. Although two questions have been included for each case study, these are examples of the ways in which an instructor can challenge students. The possibilities for challenge questions are endless and limited only by the creative imagination of the instructors. Another pedagogical approach would be for the instructor to invite students to add additional twists, turns, and complexities to the situations.

4.5   SUMMARY AND CONCLUSION

The case studies provided in this document have been produced in collaboration with military members and specialists from several NATO and Partners for Peace countries as part of a multi-year research project exploring ethical leadership. Although each case was initially written with a specific country in mind, and often with military terminology that would be unique to the author's country, an effort has been made to make these scenarios generic and thus relevant for military members from any NATO or Partnership for Peace country. When working through these scenarios, students are encouraged to use the Rest decision-making model that was described earlier. Students will need to be sensitive to the ethical components of the case, exercise moral judgment when reviewing the elements of the situation and make sound decisions to resolve the situation in the best way possible. It is hoped that when military leaders face real life ethical dilemmas, they will have the moral motivation to make the correct action a priority and the strength of moral character to follow through with their decision.

4.5.1   References

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Part III: DEVELOPING AND TESTING A MODEL OF FACTORS AFFECTING ETHICAL LEADERSHIP

Chapter 5 – MODEL OF ETHICAL LEADERSHIP

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5.1   MODEL OF FACTORS AFFECTING ETHICAL LEADERSHIP

As stated in a previous chapter, significant research attention has been devoted to understanding the ethical behavior of leaders (i.e., the moral person) and how leaders' expectations influence their followers' ethical behavior (i.e., the moral manager; Treviño et al., 2000; Brown et al., 2005), with some researchers suggesting that the leader is the single most important determinant in shaping an organization's ethical climate, and as such significantly impacting the ethical behavior of organizational members (see Neubert et al., 2009; Schminke et al., 2005).

Brown and colleagues (2005) define ethical leadership as "…the demonstration of normatively appropriate conduct through personal actions and interpersonal relationships, and the promotion of such conduct to followers through two-way communication, reinforcement, and decision-making" (p. 120). Using the social learning theory perspective, they propose that leaders influence the ethical conduct of followers via modelling. They argue that both the personal ethical conduct of the leader, and leaders' expectations of ethical conduct among followers play a large part in promoting prosocial behavior in the workplace. The authors explored ethical leadership from the perspective of organization members and argued that leaders are models for ethical conduct and, as such, set the standards for emulation by followers, influence ethics-related outcomes, and engage in and reinforce ethical behavior.

Research has demonstrated that ethical leadership predicts leader effectiveness, interactional justice, followers' job satisfaction, and dedication (Brown et al., 2005). It is worth noting that these predictions were over and above predictions accounted for by transformational leadership, suggesting that ethical leadership is indeed different from transformational leadership. Ethical leadership is also linked to reductions in employee misconduct (Mayer et al., 2010), declines in workplace deviance (Mayer et al., 2009), improvements in organizational citizenship behavior (Piccolo et al., 2010), decreases in unethical intentions (O'Keefe et al., 2017), and morale, job satisfaction, and career intentions (O'Keefe, Peach, and Messervey 2019). Mayer and colleagues (2009) found that the behavior of an ethical leader "trickles down" to subordinates. Specifically, ethical leadership predicted group level altruism, and organizational citizenship behavior related to the extent to which employees engage in helping behaviors with other employees. Ethical leadership was also negatively associated with deviant workplace behaviors like taking property from work and being late for work without seeking permission.

Most strikingly, extant research has focused on the consequences of ethical leadership and largely ignored the potential antecedents of ethical leadership. Brown and Treviño (2006) advanced several propositions that considered individual influences of ethical leadership, such as occupational personality constructs (i.e., agreeableness, conscientiousness, and neuroticism), as well as Machiavellianism (negative relationship) and moral reasoning (positive relationship). Organizational factors include role modelling and ethical context

(e.g., climate). However, most research has focused on outcomes of ethical leadership; thus, Brown and Mitchell (2010) argue that there is much to be learned about its antecedents as well. The proposed model of antecedents to ethical leadership (see Figure 5-1) advocates the use of individual (personal), organizational, and situational factors, and the interactions of these factors in predicting who might be an ethical leader.

Developmental/Educational

Ethics Education
- Moral Philosophy
- Moral Reasoning/ethical decision making/ethical sensitivity
- Reasonable Challenge (Chilcot)

Situational/Societal/Cultural aspects related to ethical leadership (e.g., deployed OPS/combat exposure, groupthink)

Person-Organization Fit

Individual Variables

Values/Personality
Moral Efficacy
Machiavellianism
Ethical Sensitivity
Dealing with culturally diverse environments

Ethical Leadership

Organizational Variables

Leader's Leader Ethicality
Organizational Trust
Ethical Climate Strength
Psychological Safety

Situational Variable

Role Stress

Figure 5-1: Antecedents of Ethical Leadership.

Most research on ethical leadership is rooted in social psychology and uses the Brown et al. (2005) definition of ethical leadership. However, because the current research is rooted in both moral philosophy and social psychology, we decided to adopt a definition of ethical leadership that reflects moral philosophy theories (i.e., deontological, and virtue-based ethics) and social learning theory. As such, for the purpose of this research, we define ethical leadership as *the demonstration of principled and value-based conduct through actions and relationships, and the promotion of such conduct to followers.*

This definition is similar to Brown et al., (2005) in that it still maintains a focus on modelling (social learning) appropriate behavior (*moral person*) and expecting ethical behavior from followers (*moral manager*). However, the addition of the words *principled and value-based conduct* can be linked to moral philosophy.

Principles are truths or propositions that serve as a basis or rationale for action. Values give answers to questions about why an action is (or is not) good or worthy. By locating our discussion of factors affecting ethical leadership to moral philosophy, the intention is to locate social-scientific research within a wider context of ethical thought. As such, principled is most akin to duty-based or deontological ethics, while value-based is more reminiscent of virtue ethics. More specifically, principled conduct involves the adhering to, promoting of, and, if necessary, enforcing of codes of ethics, organizational and societal norms, rules, and regulations. Value-based conduct is conduct that is inspired by (and promotes) organizational and societal values such as tolerance, respect, and equality, or more organization specific, discipline and obedience.

As well, to capture the essence of our newly developed operational definition, we decided to use the Ethical Leadership Questionnaire (Yukl et al., 2013), and three items from the Ethical Leadership Scale (Brown et al., 2005), and link each item to either 1) principled/moral manager conduct (10 items), or 2) value-based / moral person conduct (8 items; see Table 5-1).

As stated above, Brown and Treviño (2006) proposed several individual antecedents of ethical leadership, which included personality and Machiavellianism. Other individual characteristics that have not been investigated, but we believe are linked to ethical leadership, are the values of achievement, benevolence, conformity, universalism, moral efficacy, and ethical sensitivity. We also propose several organizational antecedents to ethical leadership, which include, perception of the ethicality of one's leader, organizational trust, climate strength, and psychological safety, and situational factors, which include, cultural complexity and role stress. Additionally, we discuss the role that person-organization fit, as well as, the interaction of individual, organizational, and situational factors in predicting ethical leadership. Finally, the developmental and educational precursors to ethical leadership identified on the model will be covered in another chapter.

Table 5-1: Ethical Leadership.

Scale Items	Principled/Moral Manager Value-Based/Moral Person
Ethical Leadership Questionnaire (Yukl et al., 2013)	
1) Shows a strong concern for ethical and moral values.	Value-Based Moral Person
2) Communicates clear ethical standards for members.	Principled Moral Manager
3) Sets an example of ethical behavior in his/her decisions and actions.	Value-Based Moral Person
4) Is honest and can be trusted to tell the truth.	Value-Based Moral Person
5) Keeps his/her actions consistent with his/her stated values ("walks the talk").	Value-Based Moral Person
6) Is fair and unbiased when assigning tasks to members.	Principled Moral Manager
7) Can be trusted to carry out promises and commitments.	Principled Moral Manager
8) Insists on doing what is fair and ethical even when it is not easy.	Value-Based Moral Person
9) Acknowledges mistakes and takes responsibility for them.	Principled Moral Manager

Scale Items	Principled/Moral Manager Value-Based/Moral Person
10) Regards honesty and integrity as important personal values.	Value-Based Moral Person
11) Sets an example of dedication and self-sacrifice for the organization.	Principled Moral Manager
12) Opposes the use of unethical practices to increase performance.	Principled Moral Manager
13) Is fair and objective when evaluating member performance and providing rewards.	Principled Moral Manager
14) Puts the needs of others above his/her own self-interest.	Value-Based Moral Person
15) Holds members accountable for using ethical practices in their work.	Principled Moral Manager
Ethical Leadership Scale (Brown et al., 2005)	
1) Disciplines employees who violate ethical standards.	Principled Moral Manager
2) Defines success not just by results but also the way that they are obtained.	Principled Moral Manager
3) When making decisions, asks "what is the right thing to do?"	Value-Based Moral Person

5.2 INDIVIDUAL ANTECEDENTS OF ETHICAL LEADERSHIP

5.2.1 Values

Schwartz and Bilsky (1987) developed a universal model of human values, defined as concepts or beliefs that pertain to desirable end states or behaviors. Values are trans-situational beliefs that serve as guiding principles for people's evaluations and behaviors. Schwartz (1994) postulated ten types of values; these are:

1) Achievement (pursuit of personal success through demonstrating competence according to social standards);

2) Benevolence (concern for and enhancement of the welfare of others in one's life);

3) Conformity (restraint of actions and impulses that are likely to upset others or violate social expectations and norms);

4) Hedonism (personal pleasure and gratification);

5) Power (dominance over others);

6) Self-Direction (independent thought);

7) Security (safety and stability);

8) Stimulation (excitement and challenge);

9) Tradition (moderation and preservation); and

10) Universalism (concern for and protection of the welfare of all people and nature).

There is a general link between Schwartz's (1994) values and transformational leadership (Krishnan, 2003), and between the individual values of achievement, benevolence, self-direction, and universalism and transformational leadership (Sarros and Santora, 2001), but there is little research investigating the link between values and ethical leadership. Research with a small sample of senior Canadian Armed Forces (CAF) officers undergoing the year-long Joint Command and Staff Programme (JCSP) course ($n = 50$) found significant positive correlations between followers' rating of ethical leadership and leaders self-rating of Conformity ($r = .36$, $p = .02$) and Universalism ($r = .31$, $p = .04$: O'Keefe, 2014).

Using Schwartz and Bilsky's (1987) model of human values, we hypothesize that the values Achievement, Benevolence, Conformity, and Universalism will be related to ethical leadership. Ethical leadership includes the demonstration of ethical behavior, which should therefore be related to the restraint of actions that violate social norms (Conformity), as well as the pursuit of personal success (Achievement). Moreover, ethical leadership also involves the expectations of ethical behavior amongst followers, which should be related to the concern for others in one's life (Benevolence) and the welfare of others (Universalism).

5.2.2 Personality

The 'Big Five' factor structure of personality has strongly influenced the study of individual differences in the workplace (Barrick et al., 2001). These broad personality domains incorporate hundreds of traits into five categories (Bateman and Crant, 1993):

1) Neuroticism, or emotional instability;

2) Extraversion, described by a need for stimulation, activity, and interpersonal interaction;

3) Openness, represented by flexibility of thought and openness to new ideas;

4) Agreeableness, represented by a compassionate interpersonal orientation; and

5) Conscientiousness, or degree of organization, persistence, and goal-directed behavior.

Meta-analytic research investigating the link between the Big Five factors and Transformational Leadership (TL) shows that extraversion, openness, and agreeableness correlate significantly with TL. Specifically, the TL dimension of idealized influence is positively correlated with extraversion, openness, and agreeableness (Bono and Judge, 2004). Just a few studies have investigated the link between the Big Five and ethical leadership. Walumbwa and Schaubroeck (2009) found that agreeableness and conscientiousness (and none of the other three factors) were positively related to ethical leadership. Kalshoven et al. (2011) replicated these results and O'Keefe (2014) was able to demonstrate a significant positive correlation between leaders' self-rating of agreeableness and followers' rating of ethical leadership ($r = .33$, $p = .03$).

We propose that agreeableness and conscientiousness (specifically achievement-striving) will be positively related with ethical leadership. This is because agreeableness deals with altruism and cooperation and conscientiousness deals with hard work and self-discipline; all of which are characteristics of ethical leaders (Brown et al., 2005).

5.2.3 Moral Efficacy

Based on the concept of self-efficacy (i.e., perceptions of one's ability to accomplish a task; Bandura 1977), moral efficacy is a state-like personal belief that one is confident in his/her ability to act effectively as a moral person, while persisting in the face of moral adversity (Hannah and Avolio, 2010). Self-efficacy is part of a malleable psychological construct entitled moral potency, which comprises moral courage, moral efficacy, and moral ownership, and is described as a sense of ownership over the moral aspects of one's environment. Arguing that prevalent models of moral development (e.g., Kohlberg, 1981; Rest, 1986) offer insight into moral judgments, but fail to speculate how judgments lead to behavior, Hannah and Avolio

(2010, pg. 292) postulate that "…moral potency provides leaders with the psychological resources that bridge moral thought to moral action." Walumbwa et al. (2011) found that perceptions of ethical leadership were linked to followers' self-efficacy (i.e., confidence in one's ability to do one's job). O'Keefe, Squires, and Howell (2019) reported a positive relationship between leaders' self-rating of moral efficacy and their ethical leadership as rated by followers.

A concept like moral efficacy is 'reasonable challenge,' a term coined from the Chilcot inquiry, which was an investigation into the United Kingdom's role in the Iraq War (Chilcot, 2016). Chilcot argues that an effective way to address 'groupthink' is through the use of reasonable challenge. Reasonable challenge involves instituting a safe environment where challenge of a decision is expected and accepted, and personnel are receptive to exploring alternative options. In receiving a reasonable challenge, personnel are encouraged to be open to questions and new ideas from all staff, not take it personally, seek diversity in thought, and encourage the use of evidence in decision making. More relevant to this research, people offering reasonable challenge are encouraged to be polite, respectful, logical, yet firm in their resolve to challenge a decision or action – all characteristics of moral efficacy.

An indicator of moral efficacy within the workplace would be evidenced through the encouragement and existence of 'reasonable challenge' as normative behavior between all levels of staff. This environment would facilitate the opportunity to discuss alternative options enabling better and more educated decision making resulting in a healthy organizational culture which empowers all staff through involvement by recognition.

We propose that because moral efficacy deals with one's confidence to take decisive actions when addressing a moral issue, and that ethical leadership includes the demonstration of ethical behavior, that moral efficacy will be positively related with ethical leadership.

5.2.4   Machiavellianism

Machiavellianism is a pattern of behavior that includes manipulation, deception, and opportunism in an effort to gain power and control. People high in Machiavellianism are characterized as having a cynical disregard for morality (Muris et al., 2017). Meta-analytic research reports a positive relationship between Machiavellianism and anti-social behavior such as aggression/delinquency (e.g., erratic behavior, sex-related issues, interpersonal difficulties, and morality problems; Muris et al., 2017). Brown and Treviño (2006) argue that leaders who are high in Machiavellianism act in an unethical manner and are willing to manipulate others for their own self interests. Den Hartog and Belschak (2012) found that the relationship between ethical leadership and employee engagement was stronger for leaders who were low on Machiavellianism. Thus, we expect that leaders who are high in Machiavellianism would be poor ethical leaders.

5.2.5   Ethical Sensitivity

Although it sounds obvious, a critical aspect of ethical behavior is having the ability to be aware that ethical issues exist. Ethical sensitivity is the "… ability to recognize potential ethical conflict in a decision context is a function of an individual's ethical sensitivity…and sensitivity precedes judgment." (Chung and Monroe, 2007, pp. 247-248). Being ethically sensitive involves two critical domains – affective and cognitive. When faced with ethical circumstances one needs to think about the situation and experience some sort of affective response. Bunk and Magley (2011) support this affective and cognitive approach; they state, "Given that we define sensitivity as the strength of one's cognitive and affective responsiveness to interpersonal encounters, it is not simply being aware of interpersonal treatment that marks high sensitivity; one must be aware of and react strongly to these encounters" (p. 396).

Although Rest's (1986) four component model includes moral awareness/sensitivity, MacIntyre et al., (2012) argue that there is little attention paid to the concept of ethical sensitivity. MacIntyre et al., (2012) outlined

some of the major shortcomings in the ethics literature and identified a need to focus greater attention on ethical sensitivity, the initial stage in Rest's (1986) Four Component Model (FCM) of ethical decision making. They argue that if awareness, or ethical sensitivity, does not take place, then the remainder of the FCM of ethical decision making is rendered inoperative, and there will be no opportunity for judgment, motivation, or action. Indeed, without this sensitivity or awareness, the observer is behaving mindlessly and is oblivious to the ethical dilemma and the possible need to take action. In response, MacIntyre et al., (2016) developed an ethical sensitivity scale that included ethically charged or benign scenarios and respondents are asked to indicate whether they found the scenario upsetting (assessing the affective domain) and whether they would think negatively about the scenario (assessing the cognitive domain).

It goes without saying that for leaders to be ethical they need to be sensitive to ethical issues around them. As such, we propose that ethical sensitivity will be positively related with ethical leadership.

5.2.6 Ability to Deal with Culturally Diverse Environments

Leadership is about influencing individuals and groups to achieve common goals. Such relationships increasingly take place across cultural differences, imposing an intercultural dimension. It is widely accepted that leaders must understand the potential impact of culture on ethical behavior as an important consideration for success and efficiency (see, Hodgetts et al., 2006). In order to be an ethical leader, in a culturally complex context, leaders must be able to recognize their biases, be sensitive to cultural differences and be able to avoid generalizations about culture (Erlen, 1998). Therefore, it is suggested that awareness of cultural complexity is a critical aspect of ethical leadership.

Work force population trends have increased the numbers and kinds of culturally diverse people who work together (Chao and Moon, 2005). This also applies to the military. Military leaders are, for example, exposed to internal cultural diversity based on assertions and demonstrations of professional skill, competence, and expertise (Woodward and Jenkings, 2011) and subcultures of different arms (Magnusson, 1998). Military leaders may additionally be exposed to culturally complex situations during international military missions, as these are primarily joint missions, including different military forces, as well as combined missions, which comprise collaborating nations. During deployment, individual officers at the military strategic staff level often exist in a complex multinational context as both senior and subordinate, and staff members tend to originate from other cultures. Civil-military relations have additionally become an object of universal concern (Foster, 2005). Thus, overlapping cultural identities may exist across national, regional, organizational, and generational lines in parallel with subcultures based on gender, race ethnicity, religion, and social class that are discernable within and apart from broader cultures (Laurence, 2011).

Culture is defined as socially learned and shared knowledge, beliefs, values, customs, symbols, behaviors, and practices and refers to the way a group, community, or society tends to commonly view the world (Monaghan and Just, 2000). An important personal factor that is suggested to influence feelings and performance in culturally complex situations is the individual's attitudes towards diverse workgroups (van Knippenberg and Haslam, 2003; van Knippenberg and Schippers, 2007). Attitudes towards diverse workgroups can be defined as "a generalized evaluation of diversity of workgroups or the extent to which an individual likes working or interacting with those from different backgrounds in work contexts" (Nakui et al., 2011, p. 2328). As leaders are in a formal position to act on ideas and insights of followers, it can be assumed that negative feelings towards those who are different may result in leaders being less inclusive and give voice to those who are more similar to the leaders (Brewer, 2007). Moreover, it can be expected that negative feelings towards others may interfere with a leader's motivation to act in ways that demonstrate responsiveness to the needs and interests of others, which are characteristics inherent in the conception of being a moral person (Mayer et al., 2012). Cultural complexity may also moderate for an individual's inclination to be an ethical leader as culture may equip followers with social cues regarding norms for appropriate behaviors, that are encouraged or discouraged and that affect perceptions of what type of leadership is regarded most effective (Den Hartog et al., 1999; House and Javidan, 2004; Salancik and

Pfeffer, 1978). Follower expectations in leaders are critical to leadership "as they influence the types of people who are accepted as leaders, the amount of discretion and the authority that leaders are able to exercise, follower loyalty and the type of leadership provided by leaders" (Resick et al., 2006, p. 349). Pulakos et al. (2000) suggest that leaders need to adapt to work effectively in versatile environments. Cultural complexity may also moderate ethical leadership positively by reducing risks of groupthink or the negative effects of majority influence (Nemeth and Nemeth-Brown, 2003).

5.3 ORGANIZATIONAL ANTECEDENTS OF ETHICAL LEADERSHIP

From an organizational perspective, we propose that leaders' perceptions of the ethicality of their own leader, as well as perception of organizational trust, climate strength, and psychological safety should influence ethical leadership.

5.3.1 Role Modelling and Ethical Leadership

As discussed, ethical leadership is grounded in social learning theory (Bandura, 1977), which suggests that people learn appropriate behavior vicariously by observing the actions of significant others. Brown et al. (2005) argue that ethical leaders teach ethical conduct to workers through their own behavior. Leaders are role models for behavior by virtue of their position and, as such, can inculcate ethical behavior amongst followers through their own ethical behavior and thereby set an expectation of ethical behavior amongst followers. It therefore follows those ethical leaders are key role models for ethical leadership amongst followers. In support of this assertion, Brown and Treviño (2014) found that leaders who had strong ethical role models during their career were perceived as more ethical by their followers compared to leaders who had weak ethical role models. O'Keefe et al., (2020) reported a positive relationship between how leaders rate their immediate supervisor on ethical leadership and how they themselves were rated by their followers. For this reason, we expect that leaders' perceptions of the ethicality of their own leader will influence their own ethical leadership.

5.3.2 Organizational Trust

Organizational trust is multi-dimensional (across individual, group, firm, and institution) and multi-faceted (i.e., ability, benevolence, and integrity; Mayer et al., 1995), and although definitions vary amongst researchers, can be defined as a "… psychological state comprising the intention to accept vulnerability based on positive expectations of the intentions or behaviour of another" (Rousseau et al., 1998, p. 395). Meta-analytic research found that organizational trust was positively related to risk-taking behavior, task performance, and organizational citizenship behavior, and negatively related to counterproductive behavior (Colquitt et al., 2007).

Tan and Tan (2000) argued that most trust research focused on interpersonal trust, trust in the supervisor, and trust in top management, and little attention has been given to trust in the organization. Adapted from the work of Gambetta (1988), they define organizational trust as "… the global evaluation of an organization's trustworthiness as perceived by the employee … that the organization will perform an action that is beneficial or at least not detrimental to him or her" (Tan and Tan, 2007, p. 243). Tan and Tan (2000) found that trust in the organization was linked to global variables such as perceived organizational support and justice and predicted organizational commitment and career intentions, leaving them to surmise that employees who trust the organization will be more likely to purse a long-term career and would be less likely to leave. We propose that organizational trust will predict ethical leadership, such that leaders who feel that they trust their organization will be more ethical. This is because leaders who feel that they can trust their organization to enact organizational policies and procedures to support employees should be motivated to act trustworthy in their own role as leaders. As such, leaders should be motivated to act in accordance with their perceptions of the organization in which they belong, thus resulting in strong ethical behavior and high expectations of ethical behavior from followers.

5.3.3   Ethical Climate and Situational Strength

Ethical climate is the "… general and pervasive characteristics of organizations, affecting a broad range of decisions…" that people use to decide if a decision is right or wrong (Victor and Cullen 1988, p.102), which has a profound impact on the ethical behavior of workers (Barnett and Vaicys, 2000; Vardi, 2001). Schneider (1975) hypothesized that ethical climate has an organizational basis, and that groups within organizations develop a unique approach and set of rules regarding decision making. When group members know these rules well enough, the rules become part of the work climate or the psychological life of the organization. Organizations with clear ethical norms and strong ethical climates report fewer serious ethical problems and are more likely to deal with ethical issues when they arise, compared with organizations that have weaker ethical climates (Bartels et al., 1998).

Victor and Cullen (1988) developed an ethical assessment measure; although initially hypothesized as a nine-dimensional construct, statistical analyses yielded a five-component solution of climate types (labelled, Caring, Law and Code, Rules, Instrumental, and Independence). Each component represents a distinct theoretical type of climate. Several studies report a significant relation between ethical climate and maladaptive practice at work, such as Organizational Misbehavior (OMB) intentions, which is defined as intentional acts that violate formal core organizational rules (Barnett and Vaicys, 2000). For example, one study using a sample from a metal-products company reported that the ethical climate factors of Rules, Caring, and Instrumental significantly predicted OMB, with Rules having the largest impact on behavior (Vardi, 2001).

In recent years, researchers have started to focus on situational strength, which is the level of agreement amongst organizational members on their perceptions of workplace climate, or the level of within-group agreement on perceptions of climate (Schneider et al., 2002). Schneider and colleagues (2002) argue that a climate that is positive and strong would result in positive organizational behavior, and a climate that negative and strong would result in negative organizational behavior. However, when climate strength is weak, there is little agreement amongst organizational members on whether the climate is positive or negative, resulting is less situational cues for appropriate behavior, and as such, climate may not be a strong predictor of behavior compared when climate strength is strong. Shin (2012) found that climate strength moderated the relationship between ethical climate and Organizational Citizenship Behavior (OCB), such that the relationship between ethical climate and OCB was stronger when climate strength was higher compared to when climate strength was lower.

We propose that ethical climate as it relates to Caring and Rules (i.e., organizational emphasis on following rules) will be positively correlated with ethical leadership when situational strength is strong, but not when it is weak. This is because organizations that promote a caring environment will encourage organizational members to follow strong morals; and emphasizing the importance of adhering to laws and rules should create an environment where leaders not only display ethical behavior, but also promote ethical behavior from followers.

5.3.4   Psychological Safety

Team psychological safety is the shared belief regarding the extent to which team members view the social climate as conducive to interpersonal risk taking (Edmondson, 1999). It can be defined as "being able to show and employ one's self without fear of negative consequences of self-image, status or career" (Kahn 1990, p. 708). It measures team member engagement in behaviors designed to monitor progress and performance against goals, as well as engagement in behaviors intended to seek information and feedback from others in the organization. Importantly, psychological safety in teams is not the same as group cohesiveness, as cohesiveness could be seen to negatively impact member's willingness to challenge others or disagree with them, as would be the case in groupthink (Edmondson, 1999). In psychologically safe teams, members feel safe to speak up about issues with colleagues to improve team performance, and there is evidence that it is related to individual well-being, team functioning, and enhanced performance, including safer and ethical practices as well as learning from mistakes.

We propose that psychological safety will moderate the relation between personal variables and ethical leadership. Specifically, we propose that among leaders who believe that their organization promotes a psychologically safe environment personal variables such as values and moral efficacy would predict ethical leadership.

5.3.5   Situational Antecedent of Ethical Leadership

Some scholars suggest that unethical behavior, and thus ethical leadership, is better explained by the situation that individuals operate in rather than by their disposition. For example, Flanagan (1991) notes that, "there is an inclination to overestimate the impact of dispositional factors [individual traits] and to underestimate situational ones" (p. 306). Indeed, Zimbardo (2007) echoes this sentiment; he argues that most people could behave unethically given the right situation. Thus, the propensity for a leader to behave ethically must go beyond individual dispositional and even organizational factors. Critical factors include cultural aspects, situational factors, and contextual factors. For our purposes, we propose role stress as a situational factor that could affect ethical leadership.

5.3.6   Role Stress

Work-related stress is defined as the non-specific physiological and/or psychological response of the body to events at work that are perceived to be threatening or taxing to a person's well-being (Riggio, 2003; Spector, 2003). Role stress, an aspect of work stress, is multi-dimensional and is categorized by Glaser and Beehr (2005) as consisting of role ambiguity (i.e., uncertain of one's role in the workplace), role overload (i.e., having many competing demands), and role conflict (i.e., experiencing incompatible demands). Meta-analytic research has reported a negative correlation between role ambiguity, role conflict, and work overload with organizational outcomes such as job satisfaction, organizational commitment, and job involvement. Conversely, findings indicate a positive correlation between role ambiguity and role conflict with outcomes like anxiety and propensity to leave (see Fisher and Gitelson, 1983; Fried et al., 2008; Viswesvaran et al., 1999). Research using a multinational sample (i.e., Hungry, Italy, UK, and US) report a positive link between role overload, role conflict, and role ambiguity and anxiety and intent to leave, and a negative link between role overload, role conflict, and role ambiguity and affective commitment; these relationships were stable across countries, suggesting that the consequences of role stress are common across nations (Glazer and Beehr, 2005).

Other meta-analytical research reports that stress has a negative effect on leader behavior and that work-related stress has a negative effect on leader-follower relationships (Harms et al., 2017). Research investigating the link between work stress and ethical leadership has demonstrated a direct (negative) link between work-related stress and ethical leadership, and that work-related stress mediated the relationship between ethical leadership and turnover intention. The nature of the mediation was such that the perception of higher ethical leadership leads to lower work-related stress which in turn leads to lower turnover intentions (Elci et al., 2012). We propose that leader work-related role stress will have a negative effect on their ethical leadership.

5.3.7   Interaction of Personal and Organizational Factors in Predicting Ethical Leadership

So far, we have argued that personal and organizational factors might play a direct role in predicting whether one might be an ethical leader. While we anticipate that this will be the case, we also expect that the relationship between these factors and ethical leadership will be more complicated. Furthermore, it is highly likely that these aspects will influence each other. For example, benevolence may predict ethical leadership in an organization that promotes a psychologically safe work environment, but not in an organization whose workers feel that it is not concerned with their welfare or safety.

The idea that personal and situational factors interact in predicting behavior is not new. Mischel (1973) postulated the cognitive social learning approach to explain behavior and argued that relatively stable personal variables interact with situational characteristics to generate stable but discriminative patterns of behavior. According to Mischel, an individual's level of cognitive social competence reflects the degree to which he/she can attend to and process information in a manner that permits it to be integrated with an existing cognitive structure, and then to generate adaptive and skillful behaviors that will be beneficial for him/her (Mishel and Shoda, 1995; Shoda et al., 1994).

We propose an interactionist model of antecedents of ethical leadership that advocates for an interaction between personal and organizational factors when predicting ethical leadership. There is some evidence to support this assertion. Treviño (1986) postulated an interactionist model of ethical decision making in organizations and argued that decision making can be explained in terms of an interaction between moral cognition (i.e., stage of moral development based on Kohlberg's model) and situational components. In her model, Treviño argued that organizational factors such as culture (e.g., normative structure, reference to others, obedience to authority, and responsibility for consequences) could moderate the cognition-to- behavior relation, such that when culture is weak, the relation between the stage of moral development and ethical behavior should be significant and positive. Barnett and Vaicys (2000) found such an interaction and reported that perceived climate did not have a direct effect on behavioral intentions, but it did moderate the relationship between ethical judgment and behavioral intentions. Specifically, when the perception of the ethical climate was weak, as ethical judgment (i.e., ratings of ethicality of behavior) increased, unethical behavioral intentions (e.g., questionable selling practices) decreased. In contrast, when the perception of ethical climate was strong, the relation between ethical judgment and unethical behavioral intentions was non-significant. These results suggest that perceptions of the ethical climate of an organization can influence how frequently people engage in unethical behavior. Although no research shows the interactive effects of personal and situational factors when predicting ethical leadership, we postulate that such an effect may exist.

We propose that although personal, organizational, and situational variables may have a direct impact on ethical leadership, it is also probable that they interact when predicting ethical leadership. For example, it is possible that perceptions of ethical climate as it relates to caring will moderate the relationship between personal variables such as moral efficacy and ethical leadership. Specifically, we propose that among leaders who feel that their organization cares about the welfare of organizational members that the relationship between moral efficacy and ethical leadership will be significant and positive. This is because organizations that promote a caring environment also encourage members to have strong morals, which should create an environment where leaders display ethical behavior. In contrast, when leaders perceive the ethical climate as it relates to caring is low the relationship between leaders' self-rating of moral efficacy and ethical leadership would be weak or not significant.

5.3.8   The Role of Person-Organization Fit in Predicting Ethical Leadership

Another factor that may influence one's propensity to be an ethical leader is Person-Organization (PO) fit. PO fit refers to the degree to which organizational members feel that their values are congruent with those of the organization in which they belong (Chatman, 1989; Kristof, 1996). Research has shown that PO fit has a significant effect on work-related outcomes, such as organizational citizenship behavior (Afsar and Badir, 2016; Cable and DeRue, 2002; de Lara, 2008; Lauver and Kristof-Brown, 2001), corporate ethical values, organizational commitment (Ostroff et al., 2005; Valentine et al., 2002), attraction to an organization (Dineen et al., 2002), job satisfaction (Lauver and Kristof-Brown, 2001; Ostroff, et al., 2005), and turnover intentions (Cable and DeRue, 2002; Hoffman and Woehr, 2006; Lauver and Kristof-Brown, 2001; Ostroff et al., 2005).

Meta-analytic research investigating the link between PO fit and leadership has shown that PO fit is positively related to satisfaction with one's supervisor and trust in one's manager (Kristof-Brown et al., 2005). Other research found that followers' perceptions of leader ethical behavior (a subscale of servant leadership: Liden et al., 2008) was positively correlated with their PO fit, and that the relationship between

followers PO fit and organizational citizenship behavior was stronger when followers perceive their leader as behaving more (versus less) ethical (Vondey, 2010). However, apart from one study (O'Rourke, 2019) that found a positive link between PO fit and ethical leadership, there is a dearth of research on how PO fit might predict leader ethical behavior.

We propose that the attraction-selection-attrition (ASA) framework might help explain the link between PO fit and ethical leadership. In developing the ASA model, Schneider (1975; 1987) argued that people are attracted to an organization as a function of their interests and personality, and employees who do not fit a work environment will tend to leave. Schneider (1987) states that different kinds of people will be effective leaders in different kinds of organizations. Using the ASA framework then, we can surmise that perhaps the dispositional factors of values might predict ethical leadership only when leaders feel that their values are congruent with the organization.

Earlier, we proposed that the values of Achievement, Benevolence, Conformity, and Universalism should predict ethical leadership. However, perhaps these relationships might be buffered by PO fit. To this end, we propose that PO fit might moderate the relationship between the values of Achievement, Benevolence, Conformity, and Universalism and ethical leadership, such that the effect between these values and ethical leadership will be significant and positive when PO fit is higher. In contrast, when PO fit is low the relationship between values and ethical leadership would be low and not significant.

5.4   METHOD

5.4.1   Procedure

Data for this research were collected from several groups of leaders from NATO HFM RTG 304 member nations and are reported in three separated analyses. Leaders rated themselves using a measure of ethical leadership and completed self-ratings of values, moral efficacy, Machiavellianism, a measure of ethical climate, organizational trust, climate strength, and person-organization fit. Leaders were also asked to complete measures of cultural complexity and role stress.

5.4.2   Measures[1]

Ethical leadership was assessed using the Ethical Leadership Questionnaire (Yukl et al., 2013) and three items from the Ethical Leadership Scale (ELS; Brown et al., 2005). The values of Achievement, Benevolence, Conformity, and Universalism were assessed using four facet scales from the IPIP (Goldberg et al., 2006). Agreeableness was assessed using two items from the Sympathy facet of the IPIP (Goldberg et al., 2006) and two items from the OCEAN.20 personality questionnaire (O'Keefe et al., 2012). Moral efficacy was assessed using five items developed by Hannah and Avolio (2010). Reasonable Challenge was assessed using nine items developed based on the Chilcot (2016) report. Machiavellianism was assessed using the Machiavellianism scale developed by Christie and Geis (1970). Ethical sensitivity was assessed using nine items from the MacIntyre et al., (2016) The Impact of Life Events scale. Organizational Trust was assessed using a seven-item scale developed by Gabarro and Athos (1976; items were modified to replace 'employer' with 'military organization'). Ethical climate as it relates to caring and rules was assessed using the Canadian Forces Organizational Climate questionnaire (Kelloway et al., 1999). Climate strength was assessed using the Situational Strength at Work (SSW) scale (Meyer et al., 2014). Person-Organization Fit was assessed using three items developed by Cable and DeRue (2002). Cultural complexity was assessed using the Universal Orientation Scale (no prejudice: Phillips and Ziller, 1997). Role stress was assessed using nine items from Occupational Strain Inventory (Osipow and Spokane, 1983) that assess role overload (3 items), role ambiguity (3 items), and role conflict (3 items). Confirmatory factor analyses with a Canadian military sample (Squires et al., 2016) report high factor loadings and good fit for a three-order structure

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[1] All measures are presented in Annex B.

(items only loading on their associate factor: role overload, role ambiguity, role conflict) compared to a one-order factor where all items loaded on one factor (i.e., role stress; see Table 5-2).

Table 5-2: Overview of Measures.

Construct	Measure	Source
Ethical leadership	Ethical Leadership Questionnaire (15 items)	Yukl et al. (2013)
	Ethical Leadership Scale (3 items)	Brown et al. (2005)
Values: Achievement; Benevolence; Conformity; and Universalism	**IPIP Facets** Achievement-Striving (4 items) Altruism (4 items) Dutifulness (4 items) Trust (4 items)	Goldberg et al. (2006)
Agreeableness	IPIP Facet Sympathy (2 Items)	Goldberg et al. (2006)
	OCEAN.20 (2 items)	O'Keefe, et al. (2012)
Moral efficacy	Moral Efficacy Scale (5 items)	Hannah and Avolio (2010)
	9 items based on Chilot (2016) report	Chilcot (2016)
Machiavellianism	Machiavellianism Scale (20 items)	Christie and Geis (1970).
Ethical sensitivity	The Impact of Life Events scale (9 items)	MacIntyre, Doty, and Xu (2016)
Organizational Trust	Organizational Trust Scale (7 items)	Gabarro and Athos (1976)
Rules and Caring Ethical Climate	**Canadian Forces Organizational Climate Questionnaire** Rules (7 items) Caring (5 Items)	Kelloway, Barling, Harvey, and Adams-Roy (1999)
Climate Strength	Situational Strength at Work (SSW; 28 items) Clarity (7 Items) Consistency (7 items) Constraints (7 items) Consequences (7 items)	Meyer et al. (2014)
Psychological Safety	Team Psychological Safety (7 items)	Edmondson (1999)
Person-Organization Fit	Person-Organization Fit Scale (3 items)	Cable and DeRue (2002)
Cultural Complexity	The Universal Orientation Scale (no prejudice; 19 items)	Phillips and Ziller (1997)
Role Stress	**Occupational Strain Inventory** Role Overload (3 items) Role Ambiguity (3 items) Role Conflict (3 items)	Osipow and Spokane (1983)

5.4.3 Data Analysis

Data were analyzed using correlation and stepwise regression analyses. In total, data were collected from six countries. Data were combined for four countries and two countries retained the right to analyze their country's data separately. Results of the three separate samples are reported in the next chapter of this report.

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Chapter 6 – RESEARCH ON ETHICAL LEADERSHIP BY RTG NATIONS

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In this chapter, results of three separate analyses with data from six nations using the same measures to test the model of ethical leader (see Figure 5-1 in the previous chapter) are reported.

6.1   SAMPLE ONE

Using a combination of military leaders from four nations, this sample used self-reported data to explore the relationships among the predictors of ethical leadership as illustrated in Figure 5-1 of the previous chapter. The sample consisted of senior non-commissioned members (Warrant Officers Class 1 completing a two-month joint senior appointment course), junior officers (Captains completing a six-month staff college course), and senior officers (Major and Lieutenants-Colonel completing command and staff course) in their respective countries.

6.1.1   Method

6.1.1.1   Participants and Procedure

Data were collected from a total of 362 military leaders undergoing command and staff training. Leaders were invited to participate in the survey on a voluntary basis and rated themselves on several measures. Of the 362 respondents, 274 (75.7%) were male and 75 (20.7%) were female, while 2 (0.6%) reported their gender as *other* (11 (3.0%) cases with missing data). Most respondents were from the 35 – 44 years old age group ($N = 220$), 63 were from the 25 – 34 years old age group, and 68 were from the 45 and over age group (11 cases with missing data). Years of service ranged from 6 – 10 years ($N = 8$), 11 – 15 years ($N = 83$), 16 – 20 years ($N = 140$), 21 – 25 years ($N = 68$), and more than 26 years ($N = 48$; 10 cases with missing data).

6.1.1.2   Measures

Ethical leadership. Ethical leadership was assessed using an 18-item scale adapted from the Ethical Leadership Questionnaire (Yukl et al., 2013), and the Ethical Leadership Scale (Brown et al., 2005). Sample items include "I set an example of ethical behaviour in my decisions and actions," and "I define success not just by results but also the way that they are obtained." Respondents were asked to rate themselves on each item on a 6-point scale (1 = *Strongly Disagree* to 7 = *Strongly Agree; α* = .89).

Values. The values of Achievement (e.g., "Set high standards for myself and others;" *α* = .74), Benevolence (e.g., "Am concerned about others;" *α* = .77), Conformity (e.g., "Follow the rules;" *α* = .61), and Universalism (e.g., "Believe in human goodness;" *α* = .86) were assessed using four facet scales from the International Personality Item Pool (IPIP; Goldberg et al., 2006). Agreeableness was assessed using two items from the Sympathy facet of the IPIP (Goldberg et al., 2006; e.g., "Value cooperation over competition"), and two items from the OCEAN.20 personality questionnaire (O'Keefe et al., 2012; e.g., "Always treat other people with kindness"). The Cronbach for the Agreeableness scale was .76. Using a 5-point scale (1 = *Very Inaccurate* to 5 = *Very Accurate),* respondents were asked to rate themselves on each statement.

Moral Efficacy. Moral efficacy was assessed using five items developed by Hannah and Avolio (2010; e.g., "I am confident that I can confront others who behave unethically to resolve the issue;" *α* = .81). Reasonable Challenge was assessed using nine items developed for this NATO research study and based on the Chilcot report (2016; e.g., "When confronting others on ethical issues, I use logic and reasoning to explain my point; *α* = .84). Both scales used a 5-point scale (1 = *Not at all Confident* to 5 = *Totally Confident*). Because we postulate that the concepts of moral efficacy and reasonable challenge are similar, and the correlations between the two scales is high (*r* = .86), we combined the two scales to assess moral efficacy (*α* = .89).

Machiavellianism. Machiavellianism was assessed using the 19-item 7-point (1 = *Disagree Strongly* to 7 = *Agree Strongly*) Machiavellianism scale developed by Christie and Geis (1970; e.g., "The best way to handle people is to tell them what they want to hear;" *α* = .74).[1]

Ethical sensitivity. Ethical sensitivity was assessed using nine items from The Impact of Life Events scale (MacIntyre et al., 2016). Respondents were asked to review several brief vignettes representing everyday events that might occur in one's life. The vignettes either included ethically charged (7 items), or benign scenarios (2 items; included as distractors and not used for scoring). Using a 6-point scale (1 = *Strongly Agree* to 6 = *Strongly Disagree*), respondents were asked to indicate whether they found the scenario upsetting (assessing the affective domain) and whether they would think negatively about the scenario (assessing the cognitive domain). Both ratings were combined for the ethical sensitivity score for each item. A sample vignette includes "One of your employees, Jamie, a strong performer, has become a respected colleague and friend. Jamie is a front runner for a promotion to a management position. During a routine background check, you discover that Jamie used a falsified resume and should not have been hired" (*α* = .83).

Organizational Trust. Organizational Trust was assessed using a 7-item 5-point (1 = *Strongly Disagree* to 5 = *Strongly Agree*) scale developed by Gabarro and Athos (1976). Items were modified to replace "employer" with "military organization', and a sample item is "My military organization is open and upfront with me" (*α* = .87).[2]

Ethical climate. Ethical climate, as it relates caring (six items: e.g., "In this unit we look out for one another;" *α* = .96), and rules (seven items: e.g., "It is very important to follow regulations here;" *α* = .84), was assessed using the 5-point (1 = *Strongly Disagree* to 5 = *Strongly Agree*) Canadian Forces Organizational Climate questionnaire (Kelloway et al., 1999).[3]

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[1] Data for item 17 was missing for one nation, which was treated as missing data.

[2] Data for item 6 was missing for one nation, which was treated as missing data.

[3] Data for item 7 for the rules scale was missing for one nation, which was treated as missing data.

Climate strength. Climate strength was assessed using the 28-item, 7-point (1 = *Disagree Strongly* to 7 = Agree Strongly) Situational Strength at Work (SSW) scale (Meyer et al., 2014). The scale consists of four 7-item subscales, which include Clarity (e.g., "In my organization, specific information about work-related responsibilities is provided;" α = .90), Consistency (e.g., "In my organization, procedures remain completely consistent over time;" α = .90), Constraints (e.g., "In my organization, personnel are prevented from making their own decisions;" α = .89), and Consequences (e.g., "In my organization, there are consequences if personnel deviate from what is expected;" α = .83). [4]

Person-Organization Fit. Person-Organization Fit was assessed using a three-item, 6-point scale (1 = *Strongly Disagree* to 6 = *Strongly Agree*) scale developed by Cable and DeRue (2002). Items were modified to replace "my organization" with "military." Sample items include "The things that I value in life are very similar to the things that the military values" (α = .89).

Cultural complexity. Cultural complexity was assessed using the 20-item, 5-point scale (1 = *Does not describe me well* to 5 = *Describes me very well*) Universal Orientation Scale (non-prejudice: Phillips and Ziller, 1997). Respondents were asked to rate themselves on how well statements describe them (e.g., "I tend to value similarities over differences when I meet someone;" α = .67).

Role stress. Role stress was assessed using nine items from the Occupational Strain Inventory (Osipow and Spokane, 1983) that assesses role overload (3 items: " My job requires me to work on several equally important tasks at once;" α = .57), role ambiguity (3 items" "When faced with several tasks at once I know which should be done first" (R); α = .77), and role conflict (3 items; "My supervisors have conflicting ideas about what I should be doing;" α = .65). Participants asked to respond to each item using a 4-point scale (1 = *Never* to 4 = *Frequently*).

6.1.1.3   Results and Discussion

Table 6-1 presents means, standard deviations and correlation coefficients among the study variables. Tests for differences based on nation, sex, age, and years of service were conducted for all predictor variables. There was a significant difference among the nations for PO fit, F (3, 352) = 4.38, p = .005, moral efficacy, F (3, 352) = 2.21, p < .001, the value achievement, F (3, 352) = 2.84, p = .04, benevolence, F (3, 352) = 4.83, p = .003, Conformity, F (3, 352) = 4.15, p = .007, ethical sensitivity, F (3, 351) = 10.36, p < .001, caring climate, F (3, 351) = 4.12, p = .007, rules climate, F (3, 351) = 21.50, p < .001, organizational trust, F (3, 351) = 4.92, p = .002, situational strength clarity, F (3, 350) = 7.13, p < .001, situational strength consequences, F (3, 350) = 3.64, p = .01, and role conflict, F (3, 349) = 4.49, p = .004. However, these results should be taken with caution given the unequal distribution of respondents from the nations (Rusticus and Lovato, 2014). [5] Nonetheless, we controlled for nation in all subsequent analyses.

There was a significant difference between men and women on ethical climate with regard to rules (t = 2.80, p = .005; Female: M = 3.61; Male: M = 3.79) and caring (t = 2.84, p = .005; Female: M = 3.61; Male: M = 3.85), situational strength consequences (t = 2.90, p = .004; Female: M = 4.62; Male: M = 4.99), and organizational trust (t = 1.98, p = .05; Female: M = 3.53; Male: M = 3.71) with men scoring higher than women, and the values of achievement (t = -2.94, p = .003: Female: M = 4.55; Male: M = 4.37), benevolence (t = -3.64, p = .001: Female: M = 4.44; Male: M = 4.18), agreeableness (t = -4.50, p < .001: Female: M = 4.43; Male: M = 4.11), and ethical sensitivity (t = -3.85, p < .001; Female: M = 5.02; Male: M = 4.69) with women scoring higher than men.

There was a significant difference based on Years Of Service (YOS) for universalism, F (4, 344) = 3.06, p = .02, with respondents with 25 + Years Of Service (YOS: M = 4.13) scoring higher than the 16 – 20 YOS (M = 3.83), the situational strength clarity. F (4, 342) = 3.40, p = .009, with respondents with

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[4] Data for one nation was missing for three Clarity and one Constraint items, which was treated as missing data.

[5] The mean scale scores for individual samples are not reported in this report.

25 + Years Of Service (YOS: M = 5.57) scoring higher than the 6 – 10 YOS (M = 4.45), and cultural complexity, F (4, 340) = 3.03, p = .02, with respondents with 11 – 15 Years Of Service (YOS: M = 3.59) scoring higher than the 16 – 20 YOS (M = 3.45).

As indicated in Table 6-1, ethical leadership was positively correlated with ethical climate as it relates to rules (r = .15), caring (r = .21), moral efficacy (r = .81), cultural complexity (r = .24), organizational trust (r = .27), PO fit (r = .46), role overload (r = .19), climate strength clarity (r = .28), climate strength consistency (r = .28), achievement (r = .56), benevolence (r = .54), conformity (r = .55), universalism (r = .35), agreeableness (r = .54), and ethical sensitivity (r = .41), and negatively correlated with Machiavellianism (r = -.38), role conflict (r = -.19), role ambiguity (r = -.26), and climate strength constraints (r = -.15). These significant correlations were regressed onto ethical leadership using stepwise regression analysis. Nation, sex, and years of service were controlled for by being entered in the first step of all regression analyses.

The regression model predicting ethical leadership was statistically significant, $F(10, 327)$ = 56.48, $p < .001$, accounting for 63% of the variance. There was a main effect for moral efficacy, B = .18, SE = .04, $p < .001$, 95% CI [.11, .25], values of conformity, B = .23, SE = .04, $p < .001$, 95% CI [.15, .31], agreeableness, B = .11, SE = .03, p = .001, 95% CI [.04, .17], achievement, B = .14, SE = .04, $p < .001$, 95% CI [.07, .21], benevolence B = .09, SE = .03, p = .01, 95% CI [.02, .15], PO fit, B = .07, SE = .02, p = .001, 95% CI [.03, .11], and ethical sensitivity B = .09, SE = .02, $p < .001$, 95% CI [.04, .13], such that higher levels of moral efficacy, the values of conformity, agreeableness, achievement, and benevolence, PO fit and ethical sensitivity were related to higher levels of ethical leadership.[6]

Additional (moderated) regression analyses were conducted to determine if the main effect of moral efficacy was moderated by ethical climate as it relates to caring. We expected the link between moral efficacy and ethical leadership might be influenced by ethical climate as it relates to caring. Specifically, in line with a similar finding by O'Keefe et al. (2019), we expected when leaders perceive that the ethical climate as it relates to caring is high, the relationship between their moral efficacy and ethical leadership would be significant and positive. This is because organizations that promote a caring environment also encourage members to have strong morals, which should create an environment where leaders display ethical behavior. In contrast, when leaders perceive the ethical climate as it relates to caring is low the relationship between leaders' self-rating of moral efficacy and ethical leadership would be weak or not significant.[7]

We also tested the interaction between the values of achievement, agreeableness, conformity and benevolence and PO fit in predicting ethical leadership. We expected that the link between values and ethical leadership would be significant and positive when PO fit was higher because leaders who feel their values match those of the organization might be more inclined to act ethically. In contrast, we expected when PO fit was low, the relationship between values and ethical leadership would be low and not significant.

Five separate moderated regression analyses were conducted using Hayes (2013) bootstrapping technique (5000 iterations) conditional PROCESS analysis (Model 2). Predictor variables were mean centered to provide interpretable parameter estimates. In each model, the predictor variables were either moral efficacy, achievement, agreeableness, benevolence, or conformity, the moderator variables were ethical climate as it relates to caring (for moral efficacy), or P-O fit (for the values), respectively. Ethical leadership was entered as the criterion variable. As in the stepwise regression, we controlled for nation, sex, and years of service.

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[6] Only significant predictors are reported here. See Annex A for the complete results of the stepwise regression analysis.

[7] In light of situational strength research (i.e., level of agreement amongst organizational members on their perceptions of workplace climate), we included a measure of situational strength in the survey in order to assess whether it influences the relationship between ethical climate as it relates to both rules and caring and ethical leadership. We speculated that perhaps climate would be a better predictor of ethical leadership when situational strength was high. As such, we conducted a series of regression analyses with either ethical climate as it relates to rules or caring as the predictor variable and one of the four situational strength scales (i.e., clarity, consistency, constraints, and consequences) as moderators in predicting ethical leadership. In none of the eight separate analyses did situational strength influence the relationship between with rules or caring climate and ethical leadership, and as such situational strength was not included in subsequent analyses.

Table 6-1: Means (Standard Deviation), and Correlation Between Study Variables.

	Mean (SD)	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
1. EL[1]	5.42 (.39)																				
2. Rules[2]	3.73 (.74)	.15**																			
3. Care[2]	3.79 (.65)	.21**	.25**																		
4. Cult[2]	3.51 (.36)	.24**	.09	.24**																	
5. Mach[3]	3.27 (.60)	-.38**	-.20**	-.32**	-.30**																
6. Moral[2]	4.13 (.49)	.81**	.23**	.31**	.15**	-.30**															
7. Trust[2]	3.67 (.69)	.27**	.33**	.38**	.11*	-.35**	.31**														
8. P-O Fit[1]	5.09 (.75)	.46**	.27**	.35**	.14**	-.31**	.43**	.46**													
9. Rol.Ovr[4]	3.34 (.48)	.19**	.08	.04	.08	.02	.08	.00	-.02												
10. Rol.Am[4]	1.61 (.54)	-.26**	-.06	-.28**	-.06	.21**	.25**	-.27**	-.25**	.06											
11. Rol.Co[4]	2.42 (.67)	-.19**	-.08	-.27**	-.08	.22**	-.19**	-.34**	-.22**	.27**	.38**										
12. Clar[3]	5.24 (1.02)	.28*	.36**	.35**	.12*	-.22**	.36**	.47**	.38**	.01	-.48**	-.30**									
13. Consist[3]	3.82 (1.15	.28**	.39**	.34**	.08	-.26**	.34**	.50**	.33**	-.04	-.34**	-.36**	.65**								
14.Constra[3]	3.82 (1.10)	-.15**	-.08	-.32**	-.09	.29**	-.26**	-.41**	-.25**	.04	.25**	.38**	-.30**	-.36**							
15.Conseq[3]	4.92 (.99)	.08	.29**	.10	.07	-.04	-.09	.15**	.17**	.14*	-.08	.01	.21**	.18**	.14**						

	Mean (SD)	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
16. Achiev[2]	4.41 (.46)	.56**	.08	.14**	.20**	-.20**	.47**	.19**	.29**	.27**	-.22**	-.07	.18**	.14**	-.11**	.08					
17. Ben[2]	4.23 (.54)	.54**	.07	.13*	.21**	-.27**	.49**	.18**	.29**	.09	-.21**	-.11*	.21**	.15**	-.17**	.01	.39**				
18. Conf[2]	4.50 (.40)	.55**	.18**	.18**	.10	-.30**	.36**	.18**	.30**	.08	-.15**	-.12*	.11*	.18**	-.13*	.03	.47**	.29**			
19. Univer[2]	3.93 (.62)	.35**	.12**	.21**	.19**	-.49**	.30**	.38**	.33**	.03	-.15**	-.21**	.23**	.26**	-.21**	.04	.21**	.35**	.28*		
20. Agree[2]	4.17 (.55)	.54**	.08	.18**	.29**	-.40**	.44**	.19**	.26**	.17**	-.14**	-.11*	.18**	.15**	-.18**	.05	.33**	.61**	.36**	.45**	
21. ES[1]	4.75 (.67)	.41**	.06	.04	.12*	-.30**	.22**	.11*	.19*	.13*	-18**	-.09	.14*	.17**	-.11	-.01	.27**	.24**	.24**	.20*	.32**

Note: EL = Ethical leadership; Rules = Climate Rules; Care = Climate Caring; Cult = Cultural Complexity; Mach = Machiavellism; Moral = Moral Efficacy; Trust = Organizational Trust; P-O Fit = Personal Organization Fit; Rol.Ovr = Role Overload; Rol.Am = Role Ambiguity; Rol.Co = Role Conflict; Clar = Climate strength Clarity: Consist = Climate strength Consistency; Constr = Climate strength Constraint; Conseq = Climate strength Consequence; Achiev = Achievement; Ben = Benevolence; Conf = Conformity; Univer = Universalism; Agree = Agreeableness; ES = Ethical Sensitivity.

* $p < .05$. ** $p < .01$. [1] = 6-point scale; [2] 5-point scale; [3] = 7-point scale; [4] = 4-point scale

In model 1 (moral efficacy and caring climate), the overall regression model predicting ethical leadership was significant (6, 337) = 36.22, $P < .001$, accounting for 39% of the variance. There was a main effect for moral efficacy, $B = .47$, $SE = .04$, $p < .001$, 95% CI [.40, .54], such that higher levels of moral efficacy were related to higher levels of ethical leadership. There was no main effect for ethical climate as it relates to caring, $B = .03$, $SE = .03$, $p = .34$, 95% CI [-.03, .08], or the interaction of moral efficacy and ethical climate as it relates to caring, $B = .03$, $SE = .05$, $p = .34$, 95% CI [-.03, .08], suggesting that, contrary to the finding by O'Keefe et al. (2019), ethical climate as it relates to caring did not affect the relationship between moral efficacy and ethical leadership.

In model 2 (achievement and PO fit), the overall regression model predicting ethical leadership was significant (6, 337) = 40.19, $p < .001$, accounting for 42% of the variance. There was a main effect for achievement, $B = .37$, $SE = .04$, $p < .001$, 95% CI [.29, .45], such that higher levels of achievement were related to higher levels of ethical leadership. There was a main effect for PO fit, $B = .16$, $SE = .02$, $p < .001$, 95% CI [.11, .20], such that higher levels of PO fit were related to higher levels of ethical leadership. There was no interaction between achievement and PO fit, $B = -.03$, $SE = .04$, $p = .34$, 95% CI [-.10, .04], suggesting that PO fit does not affect the relationship between the value of achievement and ethical leadership.

In model 3, (agreeableness and PO fit) the overall regression model predicting ethical leadership was significant (6, 337) = 40.26, $P < .001$, accounting for 42% of the variance. There was a main effect for agreeableness, $B = .32$, $SE = .03$, $p < .001$, 95% CI [.26, .39], such that higher levels of agreeableness were related to higher levels of ethical leadership. There was a main effect for PO fit, $B = .16$, $SE = .02$, $p < .001$, 95% CI [.12, .21], such that higher levels of PO fit were related to higher levels of ethical leadership. There was no interaction between achievement and PO fit, $B = -.03$, $SE = .04$, $p = .72$, 95% CI [-.11, .04], suggesting that PO fit does not affect the relationship between agreeableness and ethical leadership.

In model 4 (conformity and PO fit), the overall regression model predicting ethical leadership was significant (6, 337) = 44.22, $P < .001$, accounting for 44% of the variance. There was a main effect for conformity, $B = .45$, $SE = .04$, $p < .001$, 95% CI [.37, .53], such that higher levels of conformity were related to higher levels of ethical leadership. There was a main effect for PO fit, $B = .14$, $SE = .02$, $p < .001$, 95% CI [.10, .19], such that higher levels of PO fit were related to higher levels of ethical leadership. There was no interaction between conformity and PO fit, $B = -.08$, $SE = .05$, $p = 07$, 95% CI [-.17, .005], suggesting that PO fit does not affect the relationship between conformity and ethical leadership.

In model 5 (benevolence and PO fit), the overall regression model predicting ethical leadership was significant (6, 337) = 35.88, $P < .001$, accounting for 39% of the variance. There was a main effect for benevolence, $B = .31$, $SE = .03$, $p < .001$, 95% CI [.24, .38], such that higher levels of benevolence were related to higher levels of ethical leadership. There was a main effect for PO fit, $B = .17$, $SE = .02$, $p < .001$, 95% CI [.12, .21], such that higher levels of PO fit were related to higher levels of ethical leadership. There was no interaction between conformity and PO fit, $B = -.02$, $SE = .04$, $p = 63$, 95% CI [-.11, .06], suggesting that PO fit does not affect the relationship between benevolence and ethical leadership.

In summary, in a combined sample of leaders from four countries we found that the dispositional values of moral efficacy, ethical sensitivity, PO fit, and the values of conformity, agreeableness, achievement, and benevolence are good predictors self-ratings of ethical leadership, However, other dispositional values such as Machiavellianism, and one's ability to deal with culturally diverse environments did not predict ethical leadership. Moreover, none of the situational variables (i.e., ethical climate, organizational trust, climate strength) predicted self-ratings of ethical leadership, or influenced the relationship between personal variables and ethical leadership. In the next series of analyses, we tested to see if the relationships found in this combined sample might extend to samples from two other nations.

6.2   SAMPLE TWO

This sample consisted of self-reported data from military leaders undergoing a higher Joint Command and Staff Programme.

6.2.1   Method

6.2.1.1   Participants and Procedure

Data were collected from military leaders undergoing higher Joint Command and Staff training in 2020. One hundred and eighty-four (184) officers were asked to participate, of which total of 41 responses were obtained, yielding a response rate of 22%. The questionnaire was completed voluntarily and anonymously. The project received ethics approval.

Of the 41 respondents, 37 (92.5 %) were male and three (7.5%) were female (one case with missing data). Most respondents were 35 – 44 years old ($N = 35$), three were 25 – 34 years old, and another three were from the 45 and over age group. Years of service ranged from 6 – 10 years ($N = 4$), 11 – 15 years ($N = 13$), 16 – 20 years ($N = 13$), 21 – 25 years ($N = 8$), and more than 26 years ($N = 3$).

6.2.1.2   Measures

This sample used the same measures as described in Sample 1, with the following exceptions: due to low reliability, the Conformity scale ($\alpha = .37$), was not used in the analyses; and one item in the ethical climate, as it relates caring (i.e., "In this unit it is important to look out for your own interests") was removed to improve scale reliability).

6.2.1.3   Results and Discussion

Means, standard deviations and correlations coefficients among the study variables are presented in Table 6-1. Tests for differences based on sex, age, and years of service were conducted for all predictor variables. There was only one significant difference between men and women. This difference was for climate strength consequences ($t = 2.07$, p = .046; Female: $M = 3.57$; Male: $M = 4.80$), with men scoring higher than women. However, these results should be taken with caution given the unequal distribution of respondents across the different sub-groups (Rusticus and Lovato, 2014).[8] Subgroup comparisons revealed no statistically significant differences in age or years of service across the investigated groups.

Table 6-2 shows that ethical leadership was positively correlated with moral efficacy ($r = .58$), role overload ($r = .38$), achievement ($r = .67$) and benevolence ($r = .33$), and negatively correlated with climate strength constraint ($r = -.32$).

Partial correlations were conducted for significant predictor variables to control for the potential influence of other significant predictor variables, thus exploring how each variable contributes uniquely to the relationship with ethical leadership. There was a moderate, positive, partial correlation between moral efficacy and ethical leadership, controlling for the predictor variables achievement, benevolence, universalism, and agreeableness ($r = 38$, $n = 37$, $p < .027$). An inspection of the zero-order correlation ($r = .58$, $n = 38$, $p < .000$) suggests that the controlled predictor variables (i.e., achievement, benevolence, universalism, and agreeableness) may have some effect on the relationship between the two variables. A closer inspection of the influence of the predictor variables respectively; achievement ($r = .41$, $n = 38$, $p = .012$), benevolence ($r = .51$, $n = 37$, $p = .001$), universalism ($r = 59$, $n = 38$, $p < .001$) and agreeableness ($r = .60$, $n = 38$, $p < .001$), suggest that the relationship between moral efficacy and ethical leadership may be influenced by the value of achievement.

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[8] The mean scale scores for men and women are not reported in this report.

Table 6-2: Means (Standard Deviation and Cronbach Alpha), and Correlation Between Study Variables.

Pearson	Mean (SD)	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
1. EL[1]	4.83 (.42)	(.83)																			
2. Rules[2]	3.76 (.64)	.08	(.85)																		
3. Care[2]	3.42 (.45)	.19	.11	(.72)																	
4. Cult[2]	3.78 (.38)	.19	-.21	.03	(.64)																
5. Mach[3]	3.28 (.60)	-.25	-.11	-.19	-.62***	(.74)															
6. Moral[2]	3.99 (.46)	.58***	.01	.15	.39*	-.28	(.87)														
7. Trust[2]	3.66 (.58)	.08	.21	.33*	.09	-.32*	.07	(.72)													
8. P-O Fit[1]	4.44 (.85)	.29	-.26	.25	.23	.09	.22	.43**	(.82)												
9. Rol.Ovr[4]	3.46 (.50)	.38*	-.02	.25	.21	-.15	.30	.13	.31*	(.70)											
10. Rol.Am[4]	2.98 (.57)	.08	-.16	.20	.24	.01	.31	.36	.33*	.07	(.61)										
11. Rol.Co[4]	2.43 (.88)	.27	-.17	-.05	-.09	.07	-.02	-.04	.14	.30	-.07	(.72)									
12. Clar[3]	4.22 (1.16)	.17	.25	.16	.08	-.11	.14	.27	.02	.09	.39*	.06	(.92)								
13. Consist[3]	4.16 (1.03)	.06	.36*	.35*	-.10	-.10	.04	.46**	-.09	.12	.06	.00	.59***	(.83)							
14. Constra[3]	3.60 (1.02)	-.32*	.08	.04	.14	-.25	-.14	.44**	-.07	-.24	.22	-.27	.004	.15	(.83)						
15. Conseq[3]	4.71 (1.03)	.13	.30	.03	.02	-.04	-.09	.03	-.07	.23	-.17	.16	.36*	.14	-.24	(.81)					
16. Achiev[2]	4.37 (.47)	.67***	.18	.23	.14	-.15	.47**	.11	.31*	.40**	.06	.39*	.03	.13	-.31	.04	(.75)				
17. Ben[2]	4.14 (.58)	.33*	.03	.09	.38*	-.33*	.45**	.16	.29	.44**	.30	.12	.42**	.11	-.21	.18	.33*	(.67)			
18. Univer[2]	3.53 (.79)	-.02	.18	.27	.28	-.52**	.15	.07	-.12	.14	-.08	-.07	.06	.19	-.04	.03	.13	.38*	(.90)		
19. Agree[2]	4.01 (.51)	.11	.14	.28	.39*	-.51**	.43**	.46**	.13	.12	.05	-.11	.07	.13	.07	-.07	.12	.42**	.59***	(.63)	
20. ES[1]	2.07 (0.44)	-.28	-.03	-.18	-.29	.31	.17	.06	-.13	-.15	.25	-.26	.21	.15	.03	-.13	-.14	-.005	.02	-.03	(.83)

Note: EL = Ethical leadership; Rules = Climate Rules; Care = Climate Caring; Cult = Cultural Complexity; Mach = Machiavellism; Moral = Moral Efficacy; Trust = Organizational Trust;
P-O Fit = Personal Organization Fit; Rol.Ovr = Role Overload; Rol.Am = Role Ambiguity; Rol.Co = Role Conflict; Clar = Climate strength Clarity: Consist = Climate strength Consistency;
Constr = Climate strength Constraint; Conseq = Climate strength Consequence; Achiev = Achievement; Ben = Benevolence;
Conf = Conformity; Univer = Universalism; Agree = Agreeableness; ES = Ethical Sensitivity.

* p < .05. ** p <.01. *** p<.001

[1] = 6-point scale; [2] 5-point scale; [3] = 7-point scale; [4] = 4-point scale.

There was a positive partial correlation between the value achievement and ethical leadership, controlling for moral efficacy, benevolence, universalism, and agreeableness ($r = .54$, $n = 39$, $p = .001$). Based on the zero-order correlation ($r = .67$, $n = 38$, $p < .001$), the controlled variables appear to have some effect on the relationship between these two variables. Investigating the influence of each of the predictor variables; moral efficacy ($r = .55$, $n = 36$, $p < .001$), benevolence ($r = .63$, $n = 37$, $p < .001$), universalism ($r = .68$, $n = 38$, $p < .001$) and agreeableness ($r = .66$, $n = 38$, $p < .001$), moral efficacy seems to have some effect on the strength of the relationship between achievement and ethical leadership.

The partial correlation between benevolence and ethical leadership controlling for the other significant variables was not significant ($r = .09$, $n = 38$, $p < .599$), despite the significant zero-order correlation ($r = .33$, $n = 37$, $p < .044$). As such, it appears that benevolence does not have a unique relationship with ethical leadership over and above that accounted for by the other significant predictors (i.e., moral efficacy, achievement, universalism, and agreeableness).

It was hypothesized that leaders who feel that their values match those of the organization are more inclined to act ethically. For that reason, we controlled for the influence of PO fit on the relationship between achievement and benevolence and ethical leadership. When controlling for PO fit, there was a significant partial correlation between achievement and ethical leadership ($r = .64$, $n = 38$, $p < .001$), but not between benevolence and ethical leadership ($r = .27$, $n = 37$, $p < .103$).

Previous research (O'Keefe et al., 2019) shows that moral efficacy might be influenced by ethical climate as it relates to caring, as organizations that promote a caring environment also encourage members to have strong morals and leaders to display ethical behavior. For that reason, a partial correlation was conducted to determine the relationship between moral efficacy and ethical leadership while controlling for ethical climate as it relates caring. There was a positive partial relationship between moral efficacy and ethical leadership, controlling for ethical climate as it relates to caring ($r = .57$, $n = 35$, $p < .001$) with high levels of moral efficacy being associated with strong ethical leadership. However, a review of the zero-order correlation between moral efficacy and ethical leadership ($r = .58$, $n = 38$, $p < .001$) suggests that ethical climate as it relates to caring has little influence on the relationship between these two variables.

Finally, based on the idea that ethical climate would be a better predictor of ethical leadership when situational strength (i.e., level of agreement amongst organizational members on their perceptions of workplace climate) is high, its effect on the relationship between ethical climate as it relates to rules, caring and ethical leadership was also investigated. The analyses showed that controlling for the situational strength variables; clarity, consistency, constraint, and consequences did not influence the relationship between rules or caring climate and ethical leadership.

In summary, in sample two, we found a significant zero-order correlation between ethical leadership and moral efficacy, role overload, achievement, benevolence, and climate strength. However, partial correlation analyses of these variables found that just moral efficacy and achievement were uniquely related to ethical leadership.

The small sample size (N = 41), and non-normality of some the variables suggest prudence should be taken in interpretation of these results; however, note that moral efficacy and achievement were amongst the strongest predictors of ethical leadership in sample one, which speaks to the robustness of these findings.

6.3 SAMPLE THREE

This sample consisted of self-reported data from Army leaders.

6.3.1 Method

6.3.1.2 Participants and Procedure

Data were collected from 58 Army leaders. Leaders were invited to participate in the survey on a voluntary basis and rated themselves on several measures. Of the 58 respondents, 44 were male and 7 were female (7 cases with missing data). Most respondents were from the 35 – 44 years old age group ($N = 24$), 16 were 34 years old or younger, and 18 were from the 45 and over age group. Years of service ranged from 1 – 10 years ($N = 10$), 11 – 15 years ($N = 19$), 16 – 20 years ($N = 11$), 21 – 25 years ($N = 5$), and more than 26 years ($N = 13$).

6.3.1.3 Measures

This sample used the same measures as described in Sample 1, and all measures had acceptable levels of internal consistency reliability (see Table 6-3 for Cronbach alphas for all scales).

6.3.1.4 Results and Discussion

Table 6-3 presents means, standard deviations, and correlation coefficients among the study variables. As indicated in Table 6-3, there were no significant correlations between ethical leadership and any of the predictor variables; however, caution should be taken due to the small sample size. Also note that the very high Cronbach alpha ($\alpha = .97$) and lack of variability in the ethical leadership scores may account for these non-significant findings.

6.4 GENERAL CONCLUSION

Significant research attention has been devoted to understanding how ethical leadership influences organizational behavior (Brown et al., 2005; Trevino et al., 2000); however, there is a dearth in the research investigating predictors of ethical leadership. Using multi-national samples of military leaders, this study was the first to test a comprehensive model of predictors of ethical leadership.

In a combined sample ($N = 362$) of military leaders from four nations, we found that leaders who see themselves as ethical leaders also rate themselves high in moral efficacy and the values of conformity, agreeableness, achievement, and benevolence, are sensitive to ethical issues, and feel that their values match the values of their organization. These results were partially supported in a second sample ($N = 41$) of leaders where we found that moral efficacy and the value of achievement were unique predictors of ethical leadership. However, in a third sample of Army leaders ($N = 58$) there were no significant associations between ethical leadership and any of the predictor variables, thereby questioning the generalizability of the findings, notwithstanding this small sample.

In general, the results from the first two samples support previous findings reporting a link between ethical leadership and conformity (O'Keefe, 2014), agreeableness (Kalshoven et al., 2011; Walumbwa and Schaubroeck 2009), moral efficacy (O'Keefe et al., 2019), and PO fit (O'Rourke, 2019), but also significantly contributes to the literature by demonstrating the additive effect of the values of achievement and benevolence, and ethical sensitivity in predicting ethical leadership. Taken together, the results from two of the three samples in this research initiative suggest that leaders who can recognize ethical conflict, are confident in their ability to act as a moral person in the face of moral adversity, strive for excellence while adhering to social standards, have a compassionate interpersonal orientation, as well as a concern for the welfare in one's life tend to be higher in ethical leadership.

Table 6-3: Means (Standard Deviation and Cronbach Alpha), and Correlation Between Study Variables.

	Mean (SD)	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
1. EL[1]	5.32 (.78)	(.98)																				
2. Rules[2]	3.45 (.64)	.04	(.88)																			
3. Care[2]	3.68 (.65)	.11	.30*	(.77)																		
4. Cult[2]	3.49 (.41)	.01	.38**	.44**	(.72)																	
5. Mach[3]	3.02 (.67)	.11	-.27	-.43**	-.51**	(.76)																
6. Moral[2]	4.25 (.69)	.12	.51**	.38**	.37**	-.37**	(.97)															
7. Trust[2]	3.50 (.73)	.12	.38**	.67**	.43*	-.33*	.22	(.85)														
8. P-O Fit[1]	5.10 (.82)	.08	.10	.28*	.21	-.20	.22	.43**	(.89)													
9. Rol.Ovr[4]	3.30 (.60)	-.05	-.18	-.26	.01	-.05	-.05	-.31*	.00	(.75)												
10. Rol.Am[4]	1.54 (.46)	-.15	-.39**	-.21	-.12	.11	-.20	-.33*	-.17	.45**	(.62)											
11. Rol.Co[4]	2.28 (.81)	-.01	-.21	-.42**	-.27	.28*	.02	-.54**	-.18	.35**	.45**	(.80)										
12. Clar[3]	5.04 (1.03)	-.02	.62**	.35*	.18	-.27	.41**	.55**	.13	-.18	-.45**	-.36*	(.92)									
13. Consist[3]	4.46 (1.15)	-.11	.64**	.39**	.25	-.30*	.54**	.39**	.19	-.10	-.32*	-.14	.68**	(.90)								
14. Constra[3]	3.48 (1.29)	.19	.09	-.39**	-.17	.16	.15	-.41**	-.19	.09	.35*	.47**	-.13	.00	(.94)							
15. Conseq[3]	5.04 (1.26)	.16	.59**	.37**	.31*	-.29*	.45**	.32*	-.05	-.11	-.26	-.16	.46**	.48**	.10	(.93)						
16. Achiev[2]	4.29 (.57)	.28	.40**	.26	.15	-.18	.63**	.21	.17	-.13	-.35*	-.12	.37**	.47**	-.06	.35*	(.85)					
17. Ben[2]	4.42 (.66)	-.06	.52**	.24	.31*	-.39**	.70**	.19.	.13	.11	-.11	.13	.49**	.53**	.23	.41**	.61**	(.89)				
18. Conf[2]	4.60 (.62)	.18	.47**	.30*	.19	-.27	.72**	.24	.02	-.17	-.19	-.09	.41*	.38**	.23	.44**	.69**	.79**	(.89)			
19. Univer[2]	3.88 (.85)	.12	.44**	.28*	.28*	-.44**	.50**	.32*	.17	.00	-.05	.03	.46**	.54**	.24	.24	.44**	.73**	.57*	(.90)		
20. Agree[2]	4.24 (.72)	.03	.57**	.14	.21*	-.34*	.67**	.16	.08	.15	-.06	.09	.49**	.60**	.30**	.44**	.54**	.84**	.69**	.73**	(.84)	
21. ES[1]	2.63 (.89)	-.30	-.30*	-.50**	-.29*	.17	-.20	-.42**	-.22	.27	.24	.24	-.04	-.15	.30*	-.34*	-.38*	-.12	-.34*	-.11	-.11	(.85)

Note: EL = Ethical leadership; Rules = Climate Rules; Care = Climate Caring; Cult = Cultural Complexity; Mach = Machiavellism; Moral = Moral Efficacy; Trust = Organizational Trust;
P-O Fit = Personal Organization Fit; Rol.Ovr = Role Overload; Rol.Am = Role Ambiguity; Rol.Co = Role Conflict; Clar = Climate strength Clarity: Consist = Climate strength Consistency;
Constr = Climate strength Constraint; Conseq = Climate strength Consequence; Achiev = Achievement; Ben = Benevolence; Conf = Conformity; Univer = Universalism; Agree = Agreeableness;
ES = Ethical Sensitivity.

* p < .05. ** p <.01.

[1] = 6-point scale; [2] 5-point scale; [3] = 7-point scale; [4] = 4-point scale.

Interestingly, none of the situational variables (i.e., ethical climate, organizational trust, climate strength) predicted ethical leadership, which is counter to our expectations based on previous research. One reason for the null findings may be the self-presentational aspect of how ethical leadership was assessed in this study (i.e., leaders rated themselves), which may be victim to fundamental attribution error (i.e., placing greater value on internal [dispositional] explanations of behavior than on external [situational] reasons; Heider, 1958; Ross, 1977). Heider (1958) argued that in some situations, people tend to overestimate personal factors and underestimate situational factor in accounting for behavior, particularly in explaining positive behavior. In this study, because we asked leaders to rate a positive behavior (i.e., their own ethicality), respondents may have ascribed a higher priority to their own dispositional makeup than to situational factors such as organizational climate. Indeed, in other research that used followers' ratings of ethical leadership (e.g., Mayer et al., 2010; O'Keefe et al., 2019), situational factors predicted ethical leadership.

On the topic of using a survey of self-ratings, a potential limitation of this monomethod research is that the data were collected via a self-report survey instrument resulting in possible common method variance (i.e., the constancy in the means of data collection may have enlarged relations among the data; Hair et al., 2018; Kock, 2015; Podsakoff et al., 2012). This effect has been widely cited in the literature (Avolio et al., 1991; Glick et al., 1986; Wagner and Gooding, 1987). While common method variance is a threat to the validity of the research findings, one method to minimize this effect is to statistically control for the effects of method variance by partialling out the effects of the predictor variables on the criterion variable (Podsakoff et al., 2003). We attempted to do this by first controlling for demographic variables such as, nations, sex, and years of service in step one of the regression analyses and then using stepwise regression, which accounts for the unique predictive power of predictive variables in the presence of other predictor variables. Note however, that this technique helps to minimize, but not eliminate, the effects of common method variance and, as such, future research testing this model should use multi-source data.

Another issue of having leaders rate themselves on ethical leadership concerns the accuracy of the ratings compared to follower ratings. Kuenzi et al., (2018) found that leaders rate themselves more favorably on ethical leadership compared to followers' ratings, and this finding is supported by meta-analytic research on self-other leadership agreement (Lee and Carpenter, 2018). Additionally, meta-analytic research of self-other ratings (Harris and Schaubroeck, 1988; Lee and Carpenter, 2018) and other leadership research (see Fleenor et al., 2010) report moderate correlations between self-ratings and other ratings, leaving one to wonder which rating is more accurate.

While self-ratings of leadership may lead to inflated scores (Kuenzi et al., 2018), followers' ratings of ethical leadership could be problematic as well. While followers may be in a good position to rate the moral manager aspects of ethical leadership (i.e., expectations of ethicality of followers), it may be difficult for them to rate the moral person aspect (i.e., the leader's own ethical behavior) because they may not observe the leader's behavior outside of work. Thus, it can be argued that leaders are in the best position to rate themselves on ethical leadership. Moreover, leaders may inflate their self-ratings of ethical leadership, but it could be argued that they could also inflate other self-ratings as well (e.g., moral efficacy, values). If we assume that all leaders tend to inflate leadership self-ratings (a questionable assumption), then we can ostensibly assume that we will see an equivalent increase in the mean scores for the predictor variables as well. However, the magnitude of the relationship between the predictors and ethical leadership should remain constant. Nonetheless, future research to test this model should include several methods to assess ethical leadership.

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Appendix 6-1: REGRESSION ANALYSIS RESULTS

Sample 1: Results of stepwise regression in predicting self-reported ethical leadership, controlling for sex, years of service, and nation

	Beta	**SE**	**t**	**p**	**95 % CI**
Control Variables					
Sex	-.04	.03	-1.16	.25	-.13, .03
YOS	.01	.01	.41	.68	-.02, .03
Nation	-.05	.02	-2.59	.01	-.09, -.01
Significant Predictors					
Moral efficacy	.18	.04	4.99	< .001	.11, .25
Conformity	.23	.04	5.78	< .001	.15, .31
Agreeableness	.11	.03	3.28	.001	.04, .17
Achievement	.14	.04	4.02	< .001	.07, .21
Benevolence	.09	.03	2.55	.01	.02, .15
PO Fit	.07	.02	3.35	.001	.03, .11
Ethical sensitivity	.09	.02	3.90	<.001	.04, .12
Excluded Variables					
Rules	-.02		-.42	.68	
Caring	.01		.09	.93	
Cultural complexity	.05		1.52	.13	
Machiavellism	-.04		-1.05	.30	
Organizational trust	-.02		-.41	.69	
Role overload	.04		.97	.33	
Role ambiguity	-.04		-.96	.34	
Role conflict	-.01		-.33	.74	
Climate Strength clarity	-.01		-.03	.98	
Climate Strength consistency	.01		.20	.84	
Climate Strength constraint	.07		1.92	.06	
Universalism	-.04		-1.08	.28	

Part IV: INTEGRATION AND CONCLUSIONS: FACTORS AFFECTING ETHICAL LEADERSHIP

Chapter 7 – INTEGRATION AND CONCLUSION

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7.1   FACTORS AFFECTING SELECTING ETHICAL LEADERS

Scholars suggest that the leader is the single most important factor in shaping an organization's ethical climate, which has a significant impact on the ethical behavior of organizational members (e.g., Neubert et al., 2009). However, research on how to influence ethical leadership is largely underdeveloped. In this multinational RTG, we postulated and tested a model of personal, organizational, and situational antecedents to ethical leadership.

In a three-sample study with a total sample of over 400 leaders across six RTG member nations, we found that ethical sensitivity, moral efficacy, the values of conformity, agreeableness, achievement, and benevolence, and person-organization fit were linked to how leaders see themselves from an ethical dimension. These results suggest that leaders who feel that their values are congruent with those of the military, can recognize ethical conflict, are confident in their ability to act ethically, strive for excellence while adhering to social standards, have a compassionate interpersonal orientation, as well as a concern for the welfare in one's life tend to be higher in ethical leadership.

Importantly, we hypothesize that the fit between the leaders' and the organizational values are critical to foster ethical leadership, and as such military organizations should consider screening for values as part of leader selection. As postulated in the Attraction-Selection-Attrition (ASA) framework (Schneider, 1975; 1987) people are attracted to an organization as a function of their values, interests, and personality. Given that this research highlights the importance of the values conformity, agreeableness, achievement, and benevolence in predicting ethical leadership, it behooves military organizations to screen for these values as part of their selection systems. To this end, we recommend that military organizations screen for these values via a self-report values questionnaire, selection interview, and reference check as part of the leader selection.

As discussed earlier, this research did not find a link between the organizational factors such as ethical climate. Nonetheless, we still emphasize the importance of a strong ethical climate in shaping ethical behavior of organizational members. We believe that the non-significant finding in our research is likely a function of the data collection process. Indeed, as found in other research, we believe in the importance of the ethical climate in influencing ethical conduct, and for this reason military organizations need to foster a climate of caring that instills a sense of integrity and benevolence for all members.

This research would be remiss if we didn't speak to the importance of role modeling of ethical leadership behavior. Military leaders, at all levels, are role models by virtue of their position and can influence ethical behavior among their subordinates by setting expectations (Brown and Trevino, 2014; O'Keefe et al., 2020), highlighting the importance of role modeling in encouraging the emulation of ethical leadership. Indeed, there is ample evidence that followers will adopt the principles, values, and behavior exhibited by their leaders. When leaders speak about the importance of appropriate values, and act accordingly, their followers will also recognize the necessity to behave morally. As such, leader development programs need to make a concentrated effort to inculcate the ethical dimensions of leadership.

Finally, as will be considered in the next section, a discussion about ethical leadership cannot omit the importance of training and education. However, it is important to understand that leaders will never become ethical in their behavior if they cannot first correctly identify dilemmas when they occur, thus highlighting

the importance of ethical sensitivity. In this research, we found that leaders who were able to recognize ethical conflict and felt confident in their ability to act ethically also identify as being higher in ethical leadership. It is one thing to teach the fundamental principles of ethics and morality, but this may not translate into ethical behavior if leaders are not sensitive to the ethical nature of the world around them.

7.2   FACTORS AFFECTING DEVELOPING ETHICAL LEADERS

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7.2.1   Introduction

In an ideal world, members of military forces would invariably perform their duties ethically and professionally. They would embrace and internalize the values and principles espoused by their organizational doctrines and consistently behave honorably. Regrettably, the reality falls short of this ideal: while many members do exhibit high standards of behavior, others fail to meet these expectations and, through inappropriate actions, bring shame and disgrace upon their organizations. Although it is relatively simple to screen applicants for aptitudes and abilities, assessing people for characteristics as nebulous as values and ethics is a daunting undertaking. Nevertheless, once enrolled in the military, there are opportunities during formal and informal training/education to provide the necessary tools for members to understand the importance of ethical behavior and help instill the desired values. The purpose of this section is to elaborate upon the possible approaches that could be employed to develop these desirable traits and increase the likelihood that behaviors will be honorable rather than shameful.

Following nearly two decades of war (e.g., Iraq and Afghanistan), there have been significant examples of moral misconduct on the battlefield. However, moral misconduct is not uniquely associated with battlefield military operations. Incidents of ethical misconduct perpetrated by service members have been on the rise. These ethical violations have taken place in garrisons (home station) operations, in the briefing room, in the halls of congress, and even in the personal lives of military members. As Toner (1995) writes, "The preeminent military task, and what separates it from other occupations, is that soldiers are routinely prepared to kill" (p. 9). Consequently, military professionals who prepare for war, and wage war on the behalf of society, must exhibit standards of ethical conduct that fosters the trust of a nation's citizens.

From entry level military service members to those leading the institution (in Senior Enlisted and General/Flag Officer ranks), a system of education and training is essential for the moral development of these agents serving as military professionals (Ficarrotta, 2006). It is not enough to develop a legal system for mitigating ethical misconduct; military members must develop a system that combines moral reasoning and action in light of the rapid changes in warfighting tactics, and in the development and uses of technology and other weapons concurrently influencing how one fights for their nation. For effectiveness and longevity of moral formation and moral leadership, education and training in a military setting must fluidly range from the theoretical to the practical; it must not simply rely on posters, pamphlets, or motivational speeches and programs (Ficarrotta, 2006).

Teaching ethics in the armed forces is not easy. Although ethical theories are relatively easy to convey to students, teaching the soldiers of different ranks to behave ethically is a more challenging task. Authors who write about teaching military ethics have identified several associated issues.

These issues include:

a) Is teaching ethics to military members necessary?

b) What is the best way to teach ethics in the military?

c) Who should teach ethics in the military?

The following sections address these questions.

7.2.2   Is Teaching Ethics to Military Members Necessary?

The study, and development, of a system of military ethics centers on the idea of exploring what sort of conduct is either honorable or shameful within the military profession (Toner, 1995). The military as a profession dedicates its expertise to the defence of the nation, its interests, and the civic community. Consequently, the military forces of a nation must understand that their primary role is the use of violence and, in using violence, recognize that this brings with it moral obligations governing its use, as well as restraints (Baker, 2012). It is here that military ethics brings to the military professional an awareness of one's moral duties, obligations, and responsibilities as an agent of violence.

Countless authors have addressed the need for military members to be moral. Robinson (2007) refers to a statement by General Taylor inferring that a good soldier could also be a bad man and argues that this sentiment is no longer valid since there is the need for public support of operations and militaries. Owens (2011) suggests that the relationship between military and civil leaders has eroded since the terrorist attacks on America carried out on 9 September 2001 and the long years of persistent conflict in the Middle East. Dobbin (2010) speaks about so-called moral communities and asks if the military is, or can be, a moral community. He says that one can recognize the military and its sub-divisions as a community, which, because of the very nature of the work, require values and standards as well as ethical guidelines on how to live and operate. Clifford (2007) utilizes the history of the US efforts in Vietnam to posit that there are boundaries for moral actions. He describes a moral continuum ranging from moral decisions and actions which, on the one hand would produce minimum moral discomfort and not harm one's moral identity to the other extreme where performing a requested action would do grave damage to one's moral identity and agency (and thus should not be performed). Wortel and Bosch (2011) recognize that moral dilemmas can occur during both garrison (home station) and deployment. They argue that to effectively analyze and respond to these dilemmas the profession of arms needs moral competency. Thomson and Jetly (2014) recognize the unique and fundamental moral nature of the profession of arms. They review the complex, and stress-inducing nature of warfighting operations and moral lapses these can create. Robinson et al., (2008) stress the importance of individual character education and shaping "good soldiers into good people," and Cycyota et al., (2011) emphasize that ethical leader development is important for the success of an organization. Callina et al. (2017) express the importance of theories and research for promoting and developing positive character in military cadets. Snider and colleagues (Snider et al., 2005; Snider et al., 2008) view ethics as a critical component of professionalism and they stress the development and sustainment of morale. Hartle (2004) articulates a vision of war as a harsh event that creates moral ambiguity, confusion, and stress upon a warfighter's conscience. He also underlines the importance of values and ethics for the military profession as it acts within a profession that demands high levels of morality. Howard and Korver (2008) demonstrate that ethical reasoning and action not only prevent moral lapses and failures, but also serves as a tool for human moral flourishing and well-being. Connelley and Tripodi (2012) discuss the impact of moral incompetence, ambiguity, and moral failure on operations, and post-deployment reintegration. Finally, Toner (1995) focuses on describing the honorable and shameful in military conduct and action, prescribing a method that links morality and ethical goodness to the military profession.

The opinions expressed above provide support for two major arguments: first, why is there a need for soldiers to be ethical; and second, why ethics educations exists for military members. The former of these issues is associated with the relationship that is dominant between society and military (e.g., support and responsibility of the military to society, soldiers as citizens); this relationship demands an ethical soldier and a leader with character. The second aspect is part of the organizational culture of the militaries. Namely, the nature of military work will often place soldiers into moral dilemmas. Ethically educated and trained soldiers will be able to confront such dilemmas successfully. However, it is of paramount importance for the organizational culture to embrace the requirement for ethical behavior as this will assist a soldier's decision making process while navigating ethical challenges.

7.2.3   What is the Best Way to Teach Ethics in the Military?

A holistic program that seeks to develop and form the ethical reasoning and moral conduct of the military professional must seek to address and develop core military values, military virtues, and the concepts of trust, character, conscience, moral obedience, and moral disobedience (Toner, 2005; Mitchell 1999). Furthermore, Miller (2004) argues that ethical education and formation must move beyond the questions of how and why, because these questions suggest that ethical education should be centered on propositions and techno-philosophical inquiry. Instead, he argues, that effective military ethics education must include formative questions concerning how one becomes ethical from a qualitative perspective. This means that military education should seek to shape and form an individual's ethical character to ensure that they become ethical from a qualitative perspective, i.e., that military education should seek to shape and form the quality of an individual's ethical character. Thus, in a mutually supportive and interdependent manner, military education will shape and form the ethical character of the organization one belongs to, as well as one's military institution.

When we look at the suggestion offered by authors writing about teaching ethics in the military, it is evident that different ideas, experiences, and suggestions emerge. One of the highly critical questions concerns whether the teaching of ethical behavior is even possible. Paskoff's (2014) answer is: "Yes, ethics can be taught." However, he decisively adds; "The real question is whether you're making sure it is learned." (p.1).

Robinson (2007) describes two approaches for producing ethical soldiers. The first is a method of osmosis (slow, unseen, and gradual influence during a soldier's career), the second is more deliberate and involves the teaching and training of ethics. He also points out that there are two kinds of ethics, namely virtue ethics (character) and value-based ethics (values of the society and military). The virtue approach has an inherent vulnerability in that a person bears the blame for an ethical failure (even though the reason for the moral failure may or could be attributed in situational or institutional factors). Robinson suggests a number of methods of teaching and training including training in moral philosophy, case studies, and the inclusion of motivational speakers and role models. He also warns that the use of negative cases (cases of unethical behavior) could lead to risk avoidance behavior.

Baker (2012) argues that it is not enough for a military ethics course only to investigate ethical issues; he says that "a true military ethics course must in addition meet two key criteria that Cook and Syse propose: it must be real world and focused on decision-making" (p. 210). He suggests a method of ethical triangulation – putting the cases through three lenses: the lenses of deontology (duty and rule), utilitarianism (consequences) and virtue-based assessment ("the character check"). He adds that although this approach narrows the choices, the triangulation does not produce a moral certainty. Baker warns about historical cases, which he views as being problematic because the cases used are primarily negative (ethical wrongdoing). He argues that it would be better to use the cases without providing the known result, thus encouraging students to work through determining the best available ethical decision. He also proposes the use of Computer Aided Argument Mapping (diagramming the structure of argument) as an after-action review of the case.

Cook (2006) presents an account of his personal experience teaching both leadership and ethics using what he refers to as some great books. One of the books he recommends is by Thucydides (The History of the

Peloponnesian War). In his evaluation, the content of the book offers all the possible situations that military leaders might encounter, and points out that "almost without exception, students evaluating this elective commented that *everything in the War College curriculum can be found in this book*" (p. 354). Cook argues that this way of teaching fosters higher order ethical reasoning and reflection.

Ficarrotta (2006) analyses the work of Manuel Davenport, a thinker and teacher of military ethics. Regarding teaching military ethics, Davenport advocates for associating the courses of military ethics close to the commissioning sources. He also thinks that we cannot teach military ethics by using posters, pamphlets or short motivational speeches. Instead, individual engagement is important – one student at one time.

Miller (2004) differentiates among approaches to teaching ethics including the technical ("how"), the scientific ("what") and the philosophical ("why"). He argues that instead of asking philosophical questions like "Why be moral" or "Why is it wrong to kill non-combatants," the technical approach to ethics would ask "How do I become a good officer" and "How do I decide at whom I aim." However, the consequences of looking for a simple and straightforward answer to these technical questions can be devastating. Miller also emphasizes that "those, responsible for teaching ethics to the military must be willing to back away from a training model and embrace – or at least make room for – Socratic dialogue" (p. 208).

Toner (1998) expresses some personal thoughts about teaching ethics in the military (he has experience teaching ethics at the Air War College in Alabama and other institutions). His summarized thoughts include:

1) People entering the forces already have the power of ethical judgment. There is no need to teach (and build) them from the bottom up.

2) Nevertheless, these people do not know everything. The teacher's task should be to impart some sense of order, some overarching scheme of discipline to the ethical sense and awareness that already exists.

3) There is difference between teaching ethics (for example, chaplains are often used for this role) or setting the example or "walk the talk" (commanders – they have more difficult task).

4) Ethics in not a simple matter (especially not in the military, commanders must act and not be afraid of making ethical mistakes).

5) Not all commanders (despite being ethical examples) are good teachers of ethics.

6) Teaching must be passionate with dedication to the content of the teaching. Some traditional teaching methods are not necessarily functional in teaching ethics. In his book about core values, virtues and traits that would define the moral professional member of the military, Toner (2005) also uses case studies and anecdotes from civilian experiences to discuss moral virtue and explains how to communicate them within a military context.

Wrage (2012) is another author who writes about his personal experiences with teaching ethics and International Relations. He uses a case approach (he includes six real cases selected as being equivocal – with no single right answer, and no entirely right answer). He uses three lenses/discourses/conceptual models: realist, idealist, and constructivist. He explains that multiple overlapping, using several lenses, is the best approach for understanding issues of ethics in foreign policy.

Robinson et al. (2008) provide a detailed synopsis of ethics training for military members in multinational settings, with a focus on unique military traditions within a national setting. The authors demonstrate commonalities in programs which:

• Address global military ethics problems within the context of a national military tradition;

• Target the development of individual character education and shaping "good soldiers into good people";

- Address the concept of role responsibility for the military profession, and of specific branches (e.g., doctors, chaplains) and their duty to perform or not perform certain actions; and

- Incorporate case studies within the text.

Hartle (2004) points out the significance of looking at warfighting through the prism of Just War Principles. Finally, Englen et al. (2018) demonstrate two key goals of moral education:

1) Equipping individuals with capabilities to engage ethically; and

2) Developing critical skills needed for creating and sustaining moral agency without coercion or undermining options, reflection, and assessment.

In addition to these suggestions and experiences with teaching ethics, we should consider the fact that teaching ethics and teaching about ethics in the military are also a regular part of education and training for military leaders. This is especially the case during a military member's character formation and acquisition of leadership competencies (see Wilson, 1985; Williams, 2005; Ciulla et al., 2006; Snowden and Boone, 2007, Snider et al., 2008; Cycyota et al., 2011; Owens, 2011; Crissman, 2013; Callina et al., 2017; Vie et al., 2017).

7.2.4   Who Should Teach Ethics in the Military?

The question regarding who can, or should, teach ethics in the military is not simple. A review of the relevant literature reveals recommendations that primarily mention philosophers, lawyers, priests (military chaplains) and military officers/commanders as teachers. The opinions found in this literature are inconsistent with respect to who might be the most appropriate ethics teacher. We discover that there are more questions than answers. For example, should the military ethics teachers be academics or practitioners? In addition, is it enough to be an ethical person to teach ethics? As Toner (1998) notes, while some (e.g., chaplains) can only teach ethics, others (e.g., commanders) can also set the example. However, not all commanders, even if they are able to serve as good ethical examples, will be good teachers of ethics. However, diversity in instructors will most likely enhance the learning experience by exposing students to a variety of approaches and frameworks.

7.2.5   Conclusions

Every nation with a military organization is responsible for ensuring that its military embodies a unique and fundamental moral nature for its profession of arms (Thompson and Jetly, 2014). This includes a moral code that aligns with national and international laws, treaties and conventions that govern war, humanitarian intervention, and other military oriented operations. This will help to ensure that their military operates ethically and competently in diverse and oftentimes difficult circumstances (Williams, 2005; Wortel and Bosch, 2011). Furthermore, while each military institution operates under the direction of its national governing authorities, more and more nations are operating in unity to address international problems. The difficulty in any joint and allied military operation is having a common set of moral principles that transcend one's national culture and values but uphold them at the same time.

A critical requirement for any military organization is to educate and train its military in a common moral understanding and language of what the requirements to be a military professional. This would include instilling the appropriate traits, attributes, and behavioral expectations for its members and its leaders (Berkowitz, 2011; Snider et al., 2008; Owens, 2011). As noted above, the inculcation of the moral language of the military profession begins at initial entry training and continues until the end of one's military career. This professional military education must link intellectual and technical proficiency and incorporate strategies that facilitate critical reasoning (Englen et. al., 2018; Howard and Korver, 2008). This will actualize for the military profession the ability to develop within its members the capacity for moral awareness, moral vision, and, ultimately, moral action (Connelley and Tripodi, 2012).

In addition, each nation must include in its education and training programs not only the philosophical components of moral reasoning and development, but also other sciences, which contribute to the development of the individual. These other sciences could even include theology and religion where applicable. The combined approaches to teaching ethics within the military professions will also facilitate the development of critical reasoning, and skills for moral discernment that are necessary in aiding the profession of arms as its members address questions of legality and morality, particularly in moments where legality and morality may collide. Moral complexity abounds, and with education and training geared towards the development of critical reasoning and thinking skills military members will mature past the elemental stages of moral development seen primarily in the realm of unbending obedience to codes, creeds, and laws. Instead, military members will operate within the realm of moral agency and obedience to the unenforceable (Moulton, 1924) – a critical component of successful leaders. Furthermore, in the realm of moral education and training, the agent who learns appropriately will recognize the dark sides of the military profession and will develop the ability to identify and overcome these darker aspects of the profession. This is important in two ways. First, ethical education and training in this manner provides skills and capabilities for mitigating moral injury – in oneself, or others. Second, moral education and training will provide the individual the means to recognize and resist inherent temptations that accompany the military profession (Hartle, 2004; Williams, 2005).

For the military professional, ethical instruction is not a one size fits all approach. In addition to the approaches already suggested, there are still other creative ways to teach ethical reasoning and foster ethical and moral reasoning. One way is the use of moral actors and exemplars, past and present. These exemplars provide the military professional with a snapshot of how an individual, rightly and wrongly, dealt with military and personal moral challenges. The means by which they reasoned during ethical dilemmas, and how they matured as a result, can be invaluable learning experiences (Jedan, 2009; Cook, 2006; Hartle, 2004; Clifford, 2007; Robinson, 2007). Furthermore, the use of both positive and negative moral models provides the military profession with robust ways to approach ethical and moral actions, which enhance and deepen moral formation and moral action in times of temptation, ambiguity, and chaos whether on the battlefield, or at home.

Ethical education and training in a military environment are paramount for both waging, winning, and ending wars. It is not enough that Just War Principles be affirmed and followed prior to and during war, but a just peace must be viewed as the desirable end state. There are a few further observations to consider. Firstly, as Paskoff avers, even though teaching ethics is possible, the real question is whether the military professional is learning (Paskoff, 2014). Secondly, the question each nation faces is who are the lead instructors? Will it be the academic, the organizational leader, the Chaplain, or the lawyer? While each nation will develop its own approach, literature and experience shows that the ethical and moral formation of leaders should be an "all of the above approach." Thirdly, each nation should continue to develop its own system of ethical education and training, but a common language, and unifying purpose should drive each program. The drive to develop moral leaders with the intellectual capacity to engage moral challenges effectively, decide the best course of action, and ultimately, act morally is paramount. Fourthly, any moral education and training program must include the learned capability to dissent from orders (Clifford, 2007: Gouveia, 2004), which will lead to a deepened moral agency and identity. Fifthly, a successful moral education and training program must consider challenges and collisions that can occur when a person's personal moral perspective conflicts with military moral perspectives.

This chapter has provided a comprehensive overview of the need for ethics education and training in the military, the various approaches to education and a discussion about who should be involved as teachers and instructors. A review of the chapters in this document (see Chapter 3) elaborating the approaches to teaching ethics in different NATO countries highlights six key elements:

1) It is evident that NATO countries have placed an emphasis on the importance of ethics education.

2) The many of the approaches illustrated in this chapter are utilized by different countries in varying degrees.

3) The delivery of ethics training and education is most effective when students are exposed to authentic situations (in both garrison and operations) thus allowing them to grapple with the complex and challenging issues that they may encounter as military professionals.

4) The education is provided by a diverse rich mix of professionals including Chaplains, philosophers, and social scientists, as well as both uniformed and civilian professionals.

5) It is evident that ethics education is of paramount concern and importance for NATO countries.

6) The education provided takes place throughout a member's career.

There will always be a question concerning whether ethics training and education will make people more ethical. This is a limitation that must be accepted but, if anything, it serves to emphasize the importance of ethics education. In other words, we should never stop trying to inculcate the values and principles desired. It is also important to accept, as illustrated by the findings of this research, that even people who possess high levels of ethical principles will face circumstances that will test their ability to behave appropriately. This is because individual characteristics only provide a single piece of the ethical behavioral puzzle. These ethical members will also be influenced by organizational factors and situational demands. Most significantly, military members will also be further influenced by their leaders who must do more than '*talk the talk*', they must '*walk the talk*'.

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7.3   CONCLUSION

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As society witnesses repeated examples of unethical leadership in politics, industry, finance, the church, and many others, there remains a glimmer of hope. Ongoing public outrage implies most people still believe their leaders should be ethical and are sincerely disappointed when they are not. Ethical leadership is important, it engenders trust, creates unity, encourages commitment and speaks to a basic human preference for goodness rather than evil. Ethical leaders set the moral standards for their followers and reinforces ethical behavior in their day-to-day interactions. However, even though a leader is expected to be ethical, this expectation falls short of explaining why some leaders manage to behave ethically throughout their careers and others do not.

Being an ethical leader involves more than having sound general leadership skills or the ability to influence people. Yet, despite the importance of ethical leadership, it remains a poorly defined and a largely under-researched phenomenon. More to the point, when the factors that enable leaders to be ethical are poorly understood, it is not surprising that institutions, including the military, struggle with the construct.

The goals of this RTG involved identifying the individual, situational, and organizational variables predictive of ethical leadership, developing a model of ethical leadership, and collating best practices in military ethics education amongst NATO and Partner for Peace (PfP) countries.

Representatives from ten countries, Canada, Australia, Czech Republic, Finland, Greece, Netherlands, Slovenia, Sweden, United Kingdom (UK) and United States of America (USA) participated in the research, with six able to collect data despite the upheaval caused by the COVID-19 pandemic.

7.3.1   Review of the Literature on Ethical Leadership – Part 1

A multidisciplinary approach incorporating perspectives from moral philosophy, political science, social psychology, and theology was utilized to develop of a model capable of explaining the factors that affect ethical leadership. Part 1 of this report provides a review of this broad literature and how it informed the research decisions inherent in the RTG.

Previous research has shown that ethical leadership requires more than just being an ethical person. An ethical leader not only sets an ethical example but also inspires ethical behavior in those they lead. Consequently, ethical leadership is a dynamic process that reflects the relationship between the individual characteristics of the leader and the context in which their leadership occurs.

To test this relationship, the RTG proposed an interactionist model of antecedents of ethical leadership, where ethical leadership is the product of an interaction between personal, situational, and organizational factors. As these variables do not occur in a vacuum, broader influences such as the importance of institutional ethics education for leaders formed an integral part of the research.

7.3.2   Ethical Leader Development – Part 2

The purpose of military ethics education is two-fold; a functional purpose, to develop a more effective and ethical workforce and an aspirational purpose, to shape better people. While the functional purpose is about personnel conduct and ensuring correct behavior, the aspirational element is aligned with character and internalized principles. Both aims are important in shaping an ethical culture and contributing to ethical leadership.

To map the wider ethical climate of the countries participating in this study, RTG members outlined the professional military ethics training currently undertaken at military training institutions in the countries represented. Part 2 of this report provides an overview of the approaches to ethical education across a culturally varied but representative group of NATO and PfP countries.

An important aspect of the development of ethical awareness is learning from experience. The use of ethical case studies has long been accepted as an excellent method for teaching ethics in a military context. However, other than a few highly publicized incidents, most case studies remain unknown outside a close circle of insiders with lessons learned unavailable to a wider audience.

The development of a collated set of 50 international case studies to enhance the curriculum for professional ethics training was an important goal of RTG HFM-304. By carefully de-identifying sensitive information, it has been possible to bring together, for the first time, the ethical lessons learned from these incidents across a wide spectrum of military experience.

7.3.3   Ethical Leadership Screening – Part 3

Based on the literature review, the RTG developed a survey, comprising well-validated scales measuring 16 unique constructs. Individual variables included measures of values, moral efficacy, Machiavellianism, ethical sensitivity, and cross-cultural awareness. Organizational variables included measures of the ethicality of the leader's leader, organizational trust, and ethical climate. Situational variables included measures of role stress and person-environment fit. The survey was administered in six countries and in four languages.

Data collection commenced in 2019 and took over two years to complete (largely due to the hurdles created by the COVID-19 pandemic). At the conclusion of the data collection, there were three separate samples. Sample 1 consisted of 362 respondents from four countries. This sample included senior non-commissioned members, as well as junior and senior officers completing staff preparation courses in their respective countries. Sample 2 comprised 41 officers who completed a higher Joint Command and Staff training, and sample 3, included 58 Army leaders who completed the questionnaire on a volunteer basis.

Taken together, the results from this research initiative suggest that leaders who can recognize ethical conflict, are confident in their ability to act as a moral person in the face of moral adversity, strive for excellence while adhering to social standards, have a compassionate interpersonal orientation, as well as a concern for the welfare in one's life, tend to be higher in ethical leadership. Given the prominence of values in predicting ethical leadership in this research initiative, we recommend that military organizations screen for values such as agreeableness, achievement, and benevolence as part of leader selection.

These findings indicate that leaders who can address an ethical dilemma are also those with high standards, a firm foundation in values (such as helping others and generosity) and the belief that their institution shares these values. In other words, as leaders, such people see themselves as the active exemplars of the ethical climate they wish to engender, not passive onlookers to unethical behavior.

These results are not overly surprising in the military, where an interventionist mindset forms the foundation of almost all leadership training. Nevertheless, to engender ethical cultures and attract, train, and sustain principled leaders there is a need for military institutions to emphasize values, reinforce ethical decision making and promote and value ethical leadership from the beginning of one's career. Furthermore, this emphasis on ethicality needs to be reinforced throughout a member's career.

In conclusion, military ethical failure reflects the character not just of individuals involved but the institutions that shaped them. The shame of such failure for individuals, institutions, and even whole nations can exist long after the incident has passed. This not only lessens our institutional esprit de corps, but it threatens our right to question the moral behavior of others and it diminishes us as people. On any level, such an outcome is unacceptable.

Ethical leadership is the foundation stone that ensures such ethical failures do not happen. While research into what makes an ethical leader is relatively new, the results of this RTG demonstrate that military leaders themselves understand that such leadership reflects directly on who they are as people. Given the high-risk nature of military service, especially with respect to doing the right or wrong thing, we owe it to our leaders to reinforce what it means to be ethical at every opportunity.

Annex A – ANNOTATED BIBLIOGRAPHY

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This annotated bibliography was prepared for this RTG and subsequently published as a U.S. Army Research Institute report (Research Note 2021-02).

An in-depth review of the literature in 2018 resulted in the following synthesis of the literature and annotated bibliography. The annotations serve as a starting point for understanding the state of the research around ethical leadership and provided a foundation for the work of RTG HFM-304. In addition to annotations of 20 seminal articles, the literature is synthesized to help define the topic of ethical leadership, provide information on how it is measured in the scientific community, and outline the predictors and outcomes of the construct.

A.1 INTRODUCTION

Ethicality plays a crucial role in the success of today's Army leaders. As Mendonca and Kanungo (2007) explain, "ethics is to leadership in organizations what the thread is to the spider web hanging from the fence…That thread sustains the whole framework of the web; without it everything loosens" (p. ix). There are two key components of the leadership process that make leader ethicality especially relevant to organizational success. First, many organizational initiatives rely on leader decisions; leader ethicality determines whether ethical issues are noticed during the organizational decision-making process and, if so, how they are addressed. Second, leadership is, at its core, a social influence process in which leaders motivate and direct subordinates' behaviors. When leaders act ethically, subordinates are likely to follow suit, which leads to a "trickling down" of ethical leadership (Mayer et al., 2009), and in turn, a variety of positive outcomes for individuals and organizations (Bedi et al., 2016; Peng and Kim, 2019).

The central role of ethics in leadership had led many seminal leadership theories to incorporate an ethical dimension (e.g., Avolio's [2004] full range model, Day's [2000] leadership development theory, Mumford's [2006] charismatic-ideological-pragmatic model). However, recent trends towards positivistic scholarship in the organizational sciences (Hannah et al., 2014), has also fostered a "new genre" of positive, prosocial leadership theories whose central focus is ethical, moral, and political issues (Bryman, 1992). Within this literature, theorists have proposed a number of morally oriented leadership styles, including the concept of ethical leadership, defined as "the demonstration of normatively appropriate conduct through personal actions and interpersonal relationships, and the promotion of such conduct to followers through two-way communication, reinforcement, and decision-making" (Brown et al., 2005, p. 120). According to this definition, ethical leaders are those who are moral persons (i.e., do the right thing and make ethical decisions) and moral managers (i.e., inspire others to do the right thing and make ethical decisions; Treviño et al., 2000). However, the specific behaviors characteristic of ethical leaders are largely unknown as ethical leadership depends on the social context in which a leader operates. This assumption that the ethicality of a given behavior is determined by social norms follows the larger management literature on "business ethics," which defines ethical workplace behavior as "behavior that is consistent with the principles, norms, and standards of business practice that have been agreed upon by society" (Treviño and Nelson, 2011, p. 19).

Within the specific context of the U.S. Army, ethical leaders are those who reflect the Army values and the Army ethic, which have both developed over time. The Army ethic refers to "the set of enduring moral principles, values, beliefs, and laws that guide the Army profession and create the culture of trust essential to

Army professionals in the conduct of missions, performance of duty, and all aspects of life" (Department of the Army, 2019, p. 6). The Army values "embody the practical application of the Army Ethic" (Department of the Army, 2019, p. 12) and compass specific core values. As of 2019, the Army ethic includes seven values:

1) **Loyalty:** Bear true faith and allegiance to the Constitution of the United States, the Army, your unit and other Soldiers.

2) **Duty:** Fulfill your obligations.

3) **Respect:** Treat people as they should be treated.

4) **Selfless service:** Put the welfare of the nation, the Army, and your subordinates before your own.

5) **Honor:** Live up to the Army Values.

6) **Integrity:** Do what is right, legally and morally.

7) **Personal courage:** Face fear, danger, or adversity.

These seven Army values and the Army ethic that they embody serve as a foundation for many concepts within the Army leadership doctrine. For example, the Army Leader Requirements Model (see Department of the Army, 2019, p. 1:15-1:16) describes the Army values as a key component of Army leader character or "the moral and ethical equality of the leader" (see Department of the Army, 2019, p. 1:16).

The environments in which Army leaders operate are highly complex and dynamic. Modern, 21st century warfare is challenged by increased urbanization, a blurred distinction between peacetime and wartime, and an expanded battlefield that now includes space and cyberspace (Department of the Army, 2018). As a result of this new operational environment, Army leaders often work across domains (land, sea, air, space, and cyberspace), services, and nations, which may increase the ambiguity surrounding normatively ethical conduct. Army leaders themselves are a diverse group of individuals with their religious values and cultural backgrounds (Kamarck, 2019), which may influence their moral and ethical conduct. Thus, to identify and develop ethical leaders and to maximize the strengths of ethical leadership in the U.S. Army, an understanding of the cumulative academic research findings and the extent to which these findings apply within the modern, military context (i.e., dynamic, multi-national, culturally diverse) is needed.

The purpose of the current resource is to provide definitions of relevant constructs, highlight themes in research topics and methods, and to identify areas in need of future research. While this paper is not meant to provide an in-depth analysis of the ethical leadership literature, it does aim to cover all seminal empirical and theoretical in this area published up until April 2020. After an explanation of the methods used to review the literature on ethical leadership, a narrative synthesis is provided to address four main questions: a) What is ethical leadership? b) How is ethical leadership measured? c) What are the antecedents of ethical leadership? and d) What are the outcomes of ethical leadership? Then, a discussion focuses on three key areas deserving of future research attention. Finally, seminal works are annotated in Appendix A-1.

A.2 METHOD

Given the extensive body of empirical literature on ethical leadership, we began our literature review by identifying narrative and quantitative reviews published before April 2020. First, online databases (Academic Search Complete, Business Search Complete, PsychINFO, PsychARTICLES, and DTIC) were searched for the keywords "ethical leadership" and "review" or "meta-analysis" (keywords must appear in abstract, but no publication date, format, or journal restrictions were used). This produced 5 relevant narrative reviews (e.g., Ko et al., 2018) and 4 meta-analyses (e.g., Peng and Kim, 2019) of the ethical leadership literature. We read these reviews carefully and identified 11 additional seminal works to include in our summary of the ethical leadership literature. Papers were considered of central importance to the ethical leadership literature (i.e.,

"seminal") if they reported novel theoretical insights (e.g., Treviño et al.'s [2000] moral person-moral manager theory), methodological developments (e.g., Brown et al.'s [2005] definition and measure of ethical leadership), or integrative syntheses (e.g., Hoch et al.'s [2016] meta-analysis on the incremental validity of ethical, authentic, servant, and transformational leadership styles).[1]

A.3   LITERATURE REVIEW SYNTHESIS

A.3.1   What Is Ethical Leadership?

Many foundational leadership theories suggested by academic scholars and adopted by practitioners recognize the importance of an ethical dimension of leadership. This sentiment is reflected across military scholarship (e.g., MacIntyre et al., 2013; O'Keefe et al., 2013; Pucic, 2014; Zheng et al., 2015), training (e.g., Erwin and Kirsch, 2018), and doctrine (Department of the Army, 2019). For example, part of the definition of "military expertise" is to apply landpower in a way that is "informed by the Army ethic and in compliance with legal and regulatory requirements… [which requires] ethical reasoning in decisions and actions at all levels of leadership" (APD 6-22, 2019, p. 1-4). Despite agreement on the importance of ethics in leadership, what is meant by "ethical leadership" depends on whether the research adopts a social psychology or a moral philosophy perspective.

Those who study ethical leadership through a social psychological lens use Brown et al.'s (2005) definition of ethical leadership – "the demonstration of normatively appropriate conduct through personal actions and interpersonal relationships, and the promotion of such conduct to followers through two-way communication, reinforcement, and decision-making" (p. 120) – to promote an empirical, Western-based approach to business ethics. In contrast, those who adopt more of a moral philosophical lens tend to define ethical leadership by identifying specific ethical principles that leaders can apply. There have been a few attempts to integrate different perspectives (e.g., Eisenbeiss, 2012), but Brown et al.'s (2005) framework remains the most widely adopted approach to defining and measuring ethical leadership in the literature.

A.3.1.1   The Dominant Approach: Moral Person and Moral Manager

The most dominant approach to defining ethical leadership as a psychological construct comes from the management scholars Michael E. Brown, Linda K. Treviño, and their colleagues. The now heavily cited definition from their 2005 paper (Brown et al., 2005) builds on earlier qualitative work (e.g., Treviño et al., 2000; 2003) where the concept of "moral person + moral manager = a reputation for ethical leadership" was born out of interviews with senior executive and corporate ethics officers. From these interviews, Treviño et al. (2000) learned that given the nature of the role, it is difficult but not impossible for senior leaders to have an ethical neutral reputation (i.e., neither clearly ethical nor clearly unethical). However, if organizational members know anything about a given leaders ethics, then the extent to which that leader seems to be a moral person and a moral manager determines where they fall on a spectrum from ethical to unethical.

In their subsequent paper, Treviño et al. (2003) outlined five key aspects of ethical leadership that emerged as common themes from their content analysis of interviews with both senior leaders and corporate ethics officers. First, ethical leaders are seen as those with a people orientation: "they care about people, respect people, develop their people, and treat people right" (Treviño et al., 2003, p. 14). Second, ethical leaders "are role models of ethical conduct who lead by example and who walk the ethical talk" (Treviño et al., 2003, p. 14), and thus their ethical actions and traits are visible to others. Third, ethical leadership uphold ethical standards and accountability by demonstrating "standards and expectations regarding appropriate and inappropriate conduct" and using "rewards and punishments to hold people

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[1] We did not set a specific cut-off or minimum citation count for seminal papers; however, according to Google Scholar on 30 June 2020, the 21 seminal works reviewed were cited an average of 667.10 (*SD* = 1147.98) times, including 5 papers published in the past year. See Table A-1 and Appendix A for a list of seminal papers.

accountable to standards – creating a system that reinforces ethical behavior, and punishes ethical violations" (Treviño et al., 2003, p. 18). Fourth, ethical leaders have a broad ethical awareness, which means they are concerned "about serving the greater good" and "about the interests of multiple stakeholders, including the community and society" (Treviño et al., 2003, p. 19). Finally, ethical leaders use ethical decision-making processes that rely on fair criteria and principles such as the golden rule (i.e., treat others as you want to be treated) and the flashlight/newspaper test (i.e., would you be comfortable with your action being disclosed to the public?).

In 2005, Brown et al. proposed a social learning or social cognitive theory (Bandura, 1977) of ethical leadership, a formal definition of the construct, and a ten-item measure called the Ethical Leadership Scale (ELS). They defined ethical leadership as "the demonstration of normatively appropriate conduct through personal actions and interpersonal relationships, and the promotion of such conduct to followers through two-way communication, reinforcement, and decision-making" (Brown et al., 2005, p. 120). Despite not defining specific behaviors or traits that characterize a moral person or manager, Brown et al.'s (2005) definition is meant to maintain the moral person-moral manager theory developed in their earlier work (Treviño et al., 2000; 2003).

Michael E. Brown, Linda K. Treviño, and their colleagues' concept of ethical leadership made two important claims. First, they advanced Barnard's (1968) idea that ethical leadership is a multidimensional construct with two factors: moral person and moral management. Specifically, Treviño et al. (2000; 2003) found that in order to develop a reputation as a moral person, leaders must have certain traits (integrity, honest, and trustworthiness), perform certain behaviors (i.e., they tend to do the right thing, act concerned for people, are open and transparent), and make ethical decisions (that hold to values, are objective and fair, consider the wellness of society as a whole, and follow ethical decision rules). However, Treviño et al.'s (2000, 2003) findings also suggest that being seen as a moral person who also happens to be a leader is not enough to develop a reputation for ethical leadership. Instead, leaders must adopt the three core aspects of moral management: a) Role modeling ethical behaviors through visible action, b) Using rewards and discipline to enforce ethical rules, and c) Communicating about ethics and values.

Second, they assume that ethical leadership and unethical leadership exists at opposite ends of the same spectrum. However, the extent to which the refraining from unethical leadership is indicative of performing ethical leadership or enacting ethical leadership implies refraining from unethical leadership remains an open question. Research over the past two decades since Treviño et al.'s (2000) seminal study has not fully addressed this issue, yet unethical leadership has split into its own research stream (see Tepper [2000] and Krasikova et al. [2013] for reviews).

Various commentaries have been published that analyze the strengths and weaknesses of Brown et al.'s (2005) definition (e.g., Frish and Huppenbauer, 2014; Stouten et al., 2012). Many contributors to this discussion cite Brown et al.'s (2005) definition as the best option available in published literature but then explicitly state why they do not fully accept it. Some claim that they only agree with the 'normatively appropriate behavior' aspect of Brown and colleagues' definition (e.g., Ren and Chadee, 2017). Others argue that the normative component is not comprehensive enough to universally describe ethical leader behavior across all types of organizations around the world (e.g., Eisenbeiss, 2012; Resick et al., 2006).

There have been a few attempts at expanding Brown et al.'s (2005) definition of ethical leadership. For instance, Kapetin (2017) proposed that Treviño et al.'s (2000) original moral person-moral manager theory which underlies Brown et al.'s (2005) definition should be expanded to include a 'moral entrepreneur' dimension. They argue that "an ethical leader is not only… [someone] who demonstrates what is normatively appropriate behavior and follows the current ethical norms. An ethical leader is also a moral entrepreneur who creates new ethical norms" (p. 2). This theory highlights differences between those who study ethical leadership from a management versus a business ethics perspective. As a business ethics scholar, Kapetin (2017) expands Brown et al.'s (2005) management focused model to conceptualize ethical leaders, which may

or may not be managers. Managers work within the bounds of their roles, which often include decision-making power but not necessarily the power to decide what is normatively appropriate in their organizations. In contrast, leadership can exist outside of these formal roles and thus, leaders may have more autonomy to be moral entrepreneurs. Future research on ethical leadership would benefit from a clearer distinction between moral management and moral leadership. However, moving beyond Brown et al.'s (2005) definition may also require more than just expanding on the model. Over a decade ago, Brown and Treviño (2006) noted:

> much has been written about ethics and leadership from a normative or philosophical perspective, suggesting what leaders should do. But, a more descriptive and predictive social scientific approach to ethics and leadership has remained underdeveloped and fragmented, leaving scholars and practitioners with few answers to even the most fundamental questions, such as 'what is ethical leadership?' (p. 595).

In the following years, many alternative approaches have proposed new theories and definitions of ethical leadership. Although none of these alternatives have been widely adopted, they may help pave a new path for future research.

A.3.1.2   Alternative Approaches

Ethical leadership is unique from other leadership constructs in that it lies at the intersection of the organizational sciences and the study of moral philosophy, two fields historically kept separate. The study of ethical leadership from an organizational science perspective is an attempt to adapt earlier philosophical theories for use in social and behavioral research. To study ethical leadership as a psychological construct, social scientists (e.g., management scholars, organizational psychologists) have attempted to define specific behavioral and social processes performed by ethical leaders. While this approach allows scholars to measure specific leaders' ethical leadership, the need for a "real-world" definition of what is ethical is often in contrast to the ambiguity of philosophical theories. Philosophical definitions of ethical leadership can be traced back to Al Gini's (1998) work on the role of morality in leadership, in which he defined 'ethical leadership' as a style enacted by "leaders who use their social power in their decisions, their own actions, and their influence on others in such a way that they act in the best interest of followers and not enact harm upon them by respecting the rights of all parties" (Stouten et al., 2012, p. 1). In contrast to Brown et al.'s (2005) dominant approach, philosophers like Gini argue that a leader's motivations not behaviors will determine whether they embody ethical leadership (Ciulla, 2004). Although the work of Brown and colleagues remains the dominant approach to defining ethical leadership in the literature, various alternative definitions and theories of ethical leadership have been proposed in recent years. Many of these theories draw explicitly on moral philosophical approaches to propose alternative definitions of "ethical" in the context of leadership. In addition, alternative approaches have made attempts to integrate complementary perspectives into more complex, multilevel theories of ethical leadership.

The Role of Moral Philosophy. Often the purpose of more recent philosophy-centric definitions of ethical leadership is to further refine the meaning of "ethical" in a leadership context. For example, Riggio et al. (2010) focused on the "cardinal virtues" of prudence, courage, temperance, and justice to describe the motivations behind leaders' ethical behavior. Similarly, Silke Astrid Eisenbeiss and colleagues (see Eisenbeiss, 2012; Eisenbeiss and Giessner, 2012) argue that a comprehensive understanding of ethical leadership requires a universal definition of what is ethically appropriate behavior in order to prevent misconduct due to mismatches between conflicting norms. This argument is in contrast to the dominant idea that ethical leaders define what is normatively appropriate (as implied by Brown et al., [2005]); Eisenbeiss (2012) posits that ethical leadership requires an orientation towards four central values: humanity, justice, responsibility and sustainability, and moderation. Eisenbeiss and Giessner (2012) then apply this theory to their multilevel framework of the antecedents of ethical leadership, arguing that ethical leadership is more likely in organizations, industries, and societies that value humanity, justice, responsibility, and transparency. Eisenbeiss and colleagues cite the concept of human rights as their source for these specific values.

On one hand, philosophical theories of morality are useful for defining specific behavioral norms for ethical leadership. However, it is important to note that all theories and definitions of ethical leadership make assumptions that stem from moral philosophical perspectives regardless of how explicit or aware authors are of those assumptions. Thus, answering Brown and Treviño's (2006) question of 'what is ethical leadership?' may require working backwards to identify the moral philosophies which underlie established theories of ethical leadership. For example, Lemoine et al. (2019) used moral philosophy to integrate the ethical leadership construct with two similar leadership styles, authentic and servant, and to propose a moral leadership framework. Specifically, match ethical, authentic, and servant leadership with the three most dominant overarching theories in moral philosophy – virtue ethics, consequentialism, and deontology – to distinguish points of overlap and uniqueness. Authentic leadership, a style used by leaders who lead through behaviors that align with their "true self" (Avolio and Gardner, 2005) and are highly self-aware (Shamir and Eilam, 2005), is matched with virtue ethics. Virtue ethics theories argue that specific virtues (e.g., honesty, authenticity) are good qualities that are necessary to be a moral person. Those who follow a traditional, Aristotelian view of virtue ethics posit that virtues, whatever they may be, are universally good and should be fostered by all people at all times. However, others have applied a relativistic perspective to virtue ethics. For example, the philosopher Friedrich Nietzsche argued that different virtues are needed for different roles in society or different social contexts (Rachels, 2012). Scholars who study authentic leadership tend to take the former approach, as they assume that in order to embody the authentic style, leaders must value authenticity, demonstrate self-awareness, and actively seek feedback for personal growth regardless of context-specific norms. In contrast, servant leadership, which refers to those who lead by putting others needs before themselves (Greenleaf, 1977) by working to develop others, foster growth in their followers, and serve the needs of all stakeholders (Ehrhart, 2004), is matched with consequentialism. Consequentialism posits that actions are ethical if their consequences are ethical. For example, utilitarianism is a consequentialist theory because it argues that the morality of actions is determined by their utility, which refers to the extent to which they produce the most happiness and the least unhappiness in the world. Similarly, servant leadership theory assumes that leading ethically depends on the outcomes of a leader's behavior (e.g., follower development and wellbeing) not the behaviors themselves involves creating valued outcomes for others. Finally, Lemoine et al. (2019) argue that ethical leadership embodies a deontological approach to morality. Deontology argues there are absolute moral rules that determine whether or not an action is right or wrong. In contrast to the consequentialist idea that morality is determined by the products of actions, deontological ethics theories argue that morality is determined by the actions themselves. For example, the influential German philosopher Immanuel Kant contended that the act of lying is absolutely wrong no matter what the context. Lemoine et al. (2019) argue that ethical leadership is most alignment with a deontological philosophy because of its focus on norms and standards.

Integrative Theories. The second purpose of alternative approaches to defining ethical leadership is to integrate complementary perspectives into more complex, multilevel theories of ethical leadership. Theoretically, all ethical organizational behavior is determined by multiple influences related to person characteristics and situational or contextual factors. Thus, most definitions and theories of ethical leadership consider the construct to be multilevel. This includes Brown et al.'s (2005) dominant approach, which argues that part of ethical leadership is being a moral manager who role models ethical behavior in a way that facilitates similarly ethical behavior in followers. This "trickle-down effect" from leaders to their followers has also been empirically supported (e.g., Mayer et al., 2009); however, it has not been fully integrated into Brown et al.'s (2005) theoretical definition of ethical leadership.

The multilevel nature of ethical leadership is not understood through one dominant paradigm. Instead, various alternative theories have considered the multilevel complexity of ethics in organizations but have addressed this issue differently. For example, Eisenbeiss and Giessner (2012) propose an interdisciplinary integrative conceptual framework of ethical leadership that uses Brown et al.'s (2005) definition but explicitly considers the role of context in shaping what is ethical. The framework suggests that there are three kinds of contextual characteristics, societal, industry, and intra-organizational, that influence the development and maintenance of ethical leadership. In another alternative perspective, Solinger et al. (2020) develop a multilevel theory of moral

leadership that merges micro- and macro-level concepts of leadership and define ethical leadership as "a situation where individuals take a moral stance on an issue, convince others to do the same and together spur change in a moral system" (p. 1). Research on the intersection of ethics and leadership has been spear headed by micro-level scholars interested in organizational behavior, but this issue has also been considered in macro-level organizational and institutional research (e.g., values work, corporate social responsibility research). Solinger et al. (2020) note the lack of integration across micro and macro research as a challenge that future research must tackle.

A.3.1.3   Issues in Defining Ethical Leadership

Research on morally oriented leadership styles has been highly criticized for its excessive positivity (Alvessona and Einola, 2019; Collinson, 2012), ideological nature (Eagly, 2018), and questionable methodological rigor (Antonakis, 2017; Banks et al., 2018). Of particular concern to those who question the trustworthiness of empirical findings from this literature is the issue of construct over-proliferation and redundancy (Brown and Mitchell, 2010; Den Hartog, 2015). In addition, scholars have raised a number of qualms about the ethical leadership construct itself. Alternative approaches that focus on specific philosophical theories could reduce confusion in the literature. However, conceptualizing ethical leadership in ideological terms may be insufficient for the behavioral and social study of the construct. The following sections provide brief discussions of four issues that must be addressed in order to develop a more rigorous definition of ethical leadership: a) Vague definition; b) Ethical vs. unethical leadership; c) Construct redundancy; and d) Tautological arguments.

Vague Definition. Brown et al.'s (2005) approach to studying ethical leadership has been interpreted in different ways throughout the literature (Ko et al., 2018). Specifically, variation exists in the way Brown et al.'s (2005) definition of ethical leadership has been interpreted and in how their Ethical Leadership Scale (ELS) has been used to measure the construct (see Table A-1). For example, Brown et al.'s (2005) definition explicitly assumes that ethical leadership depends on the extent to which a leader's actions are normatively appropriate. However, some (e.g., Stouten et al., 2012) have adapted Brown et al.'s (2005) ethical leadership construct to study ethical leadership as determined by specific universal moral virtues. Stouten et al. (2012) suggest that "implicitly enclosed in [Brown et al.'s (2005)] definition is leader's intent to avoid harm onto followers and act in the best interest of others" (Stouten et al., 2012, p. 2). Although showing concern for followers is a core aspect of ethical leadership as conceptualized by Brown et al. (2005), serving others' needs first is more in line with the concept of servant leadership (see Table A-2). De Roeck and Farooq (2018) agree with Stouten et al. (2012) in that ethical leadership results from good intentions but propose another addition to Brown et al.'s (2005) definition, arguing that a belief in corporate social responsibility is what motivates a leader to be ethical. Brown et al.'s (2005) definition does not state what specific ethical standards or moral values a leader must uphold to embody ethical leadership. Instead, Brown et al.'s (2005) dominant approach assumes that ethicality is determined by the social norms within a leader's unique context. Alternative definitions of ethical leadership such as Stouten et al. (2012) and De Roeck and Farooq (2018) deserve further theoretical and empirical exploration; however, this research must prioritize clarity in in both definition and measurement.

In addition to vagueness surrounding whether or not Brown et al.'s definition allows for ethical leaders to be those who follow context-specific norms and/or universal moral foundations, the role of a leader's intentions versus behaviors remains unclear. Theoretically, subordinates would see leaders who engage in ethical behavior but do not have ethical intentions as hypocrites (Treviño et al., 2000), but leaders may not always show their true intentions. Depending on one's moral philosophical perspective, the motivations and intentions behind leader behaviors may or may not determine their ethicality. For example, virtue ethics theorists might stress the importance of a leaders having honest intentions whereas deontologists would rather focus on the leaders' actions themselves and consequentialists would prefer to examine the outcomes of a leaders' behavior. If the "ethical" aspect of ethical leadership is defined as "normatively appropriate" as Brown et al. (2005) suggest, then additional information would be needed from the population of interest to

determine the importance of leader intentions on a study by study basis. However, to accommodate the study of ethical leadership in populations where leader intentions do matter for fostering a reputation for ethical leadership, more work on the measurement of ethical leadership would be needed. Brown et al.'s (2005) ELS measure is intended to capture follower perspectives of their leader's ethical leadership, but observers may not be able to accurately rate a leaders' intentions. Thus, if leader intentions do matter, then measures need to include items to capture such intentions and ratings of ethical leadership may need to come from multiple sources including the leader themselves.

Another example of how researchers have interpreted Brown et al.'s (2005) definition differently is the lack of clarity about what level of leadership or management the construct of ethical leadership can or should be applied to. Brown et al. (2005) originally developed the construct as a reputation held by executive and senior level leaders. Subsequent work has applied their definition and measure to lower-level managers whose roles and relationships are likely very different than those of executive leaders (Ko et al., 2018). Executive leaders who gain a "reputation for" ethical leadership even though they rarely interact with most organizational members may do so through very different means than a lower level manager who is more likely to interact directly with employees. The extent to which ethical leadership can be defined or measured in a similar way for leaders across organizational remains an important question that warrants further investigation.

Ethical vs. Unethical Leadership. The relationships between ethical leadership and unethical leadership is unclear and has been underexplored. There is a growing body of literature on leadership which centers on identifying the behaviors that define abusive or toxic leaders (Harms et al., 2011; Liu et al., 2012; Tepper, 2007). For example, constructs such as abusive supervision, destructive leader behavior, petty tyranny, supervisor undermining, and toxic leadership have all received a great deal of attention in the literature (Ashforth, 1997; Duffy et al., 2002; Einarsen et al., 2007; Schmidt, 2008; Tepper, 2000). For the most part, this research on unethical leadership has been kept separate from the ethical leadership literature. Yet, many ethical leadership research assumes that ethical and unethical leadership are opposites ends of the same spectrum (e.g., Brown and Mitchell's [2010] review address both ethical and unethical leadership). There is little research to support or refute this assumption. For example, it is unclear whether a high level of ethical leadership implies a low level of unethical leadership. Moreover, more research is needed to determine if the absence of unethical leadership makes one an ethical leader. Camps et al. (2012) is one of the few studies that examines both ethical and unethical aspects of leaders simultaneously. Specifically, Camps et al. (2012) examined how employees respond to leaders who act ethically but at times also self-interestedly and found that if employees perceive their own outcomes as fair (i.e., distributive justice), then they perceived less harm in the self-interested behavior of their leader. Going forward, additional empirical and theoretical exploration is needed to clearly distinguish or integrate ethical and unethical leadership.

Construct Redundancy. New leadership theories possessing a moral orientation have emerged as research topics in recent years (see Table A-2). For example, authentic leadership (Avolio and Gardner, 2005), benevolent leadership (Karakas and Sarigollu, 2012), ethical leadership (Brown and Treviño, 2006), inclusive leadership (see Randel et al., 2018), primal leadership (Goleman et al., 2013), respectful leadership (Van Gils et al., 2018), responsible leadership (Pless and Maak, 2011), and servant leadership (Greenleaf, 1977) have all been treated as unique constructs in the literature. The sheer number of these ethical leadership theories is overwhelming and creates confusion in the literature. In order to ensure both scientific progress and the practical usefulness of this research, additional theoretical development is needed to clarify the ethical leadership construct space.

Tautological Arguments. The way ethical leadership is defined in the literature is often tautological. This issue is common across much of the positive, prosocial psychological literature. Definitions of positive, prosocial leadership constructs often mistakenly rely on tautological or circular arguments (i.e., begin by assuming the very thing that is meant to be proven by the argument itself) in that they conflate behavioral aspects of the leadership with theoretical outcomes of those behaviors. For example, Solinger et al. (2020)

posit that ethical leadership is defined by its outcomes such that not only do ethical leaders convince others to take moral stances on issues but also that by taking a moral stance, leaders and followers "together spur change in a moral system" (p. 1). Defining ethical leadership as both a behavioral process and an outcome creates confusion in the literature as studies attempt to identify the antecedents and outcomes of ethical leadership. Specifically, the extent to which current measures of ethical leadership capture something distinct from those positive outcomes is still an open question (Lemoine et al., 2019). This means that there is still a great amount of work to be done on the predictive validity of the ethical leadership construct, and thus, conclusions that "even though the ethical leadership field is relatively young, it is quite clear that ethical leadership provides many positive aspects for followers" (Stouten et al., 2012, p. 2) may be premature.

Table A-1: Definitions and Operationalizations of Ethical Leadership in Seminal Theoretical Papers and Meta-Analyses.

Citation	Paper Type	Definition and Measurement of Ethical Leadership [a]
Bedi et al. (2016)	Meta-analysis	• *Definition:* Cite Brown et al.'s (2005) definition, interpreted as "ethical leaders are fair, honest, and principled individuals that use various forms of rewards, punishments, and communication mechanisms to influence their followers' ethical behavior." (p. 517) • *Measurement:* Inclusion criteria required that primary studies used Brown et al.'s (2005) ELS.
Brown and Mitchell (2010)	Review	• *Definition:* Cite Brown et al.'s (2005) definition, noting that "ethical leaders 'teach' ethical conduct to employees through their own behavior. Nest ethical leadership under the term "(un)ethical leadership" and claim ethical leadership and unethical leadership are polar opposites: "leaders who engage in, enable, or foster unethical acts within their organizations do not display ethical leadership" (p. 588); instead, they display unethical leadership, which they define as "behaviors conducted and decisions made by organizational leaders that are illegal and/or violate moral standards, and those that impose processes and structures that promote unethical conduct by followers." (p. 588) • *Measurement:* Call for future research to further refine measures of ethical leadership and to develop a measure of unethical leadership. • *Level:* Consider ethical leadership both as an individual and group-level perception of a single leader.
Brown et al. (2005)	Theory; Measure	• *Definition:* Propose the common definition of ethical leadership "as the demonstration of normatively appropriate conduct through personal actions and interpersonal relationships, and the promotion of such conduct to followers through two-way communication, reinforcement, and decision-making." (p. 120) • *Measurement:* Propose and present validation evidence for their 10-item Ethical Leadership Scale (ELS). • *Level:* Aggregate individual follower perceptions of a common leaders' level of ethical leadership to group level average, provided this was justified by agreement statistics.

Citation	Paper Type	Definition and Measurement of Ethical Leadership [a]
Brown and Treviño (2006)	Theory	• *Definition:* Cite Brown et al.'s (2005) definition but note ethical leaders are "honest, caring, and principled individuals who make fair and balanced decisions… frequently communicate with their followers about ethics, set clear ethical standards and use rewards and punishments to see that those standards are followed… do not just talk a good game—they practice what they preach and are proactive role models for ethical conduct" (p. 597). • *Measurement:* Advocate for measuring ethical leadership from the perspective of a given leaders' direct reports.
Den Hartog (2015)	Review	• *Definition:* Takes "an organizational behavioral/psychology perspective [that] focuses on a behavioral and perceptual view of ethical leadership" (p. 410) and review different definitions of ethical leadership that have been used in this literature without committing to one. Use the term "(un)ethical leadership" not to indicate that unethical leadership should be considered on the same spectrum as ethical leadership but to advocate for "including both ethical and unethical leader behaviors in research to better understand their relationships with each other and outcomes" (p. 421). • *Measurement:* Reviews existing measures, including Brown et al.'s (2005) ELS, Kalshoven et al.'s (2011) ELW, and Yukl et al.'s (2013) scale. Question the validity of measuring ethical leadership as behaviors observed by followers versus leader's self-reported behavioral intentions.
Eisenbeiss (2012)	Qualitative Study; Theory	• *Definition:* Based on the results of a qualitative interview study, defines ethical leadership as behavioral expressions of normative ethical principles. Specifically, ethical leadership requires an orientation towards four central values: a) Humane; b) Justice; c) Responsibility and sustainability; and d) Moderation. • *Measurement:* Cites Brown et al.'s (2005) ELS and Kalshoven et al.'s (2011) ELW as scales that do tap into a leader's a) humane and b) justice orientations, but call for future research to develop a measure of ethical leadership that also covers orientations towards c) responsibility and sustainability and d) moderation.
Eisenbeiss and Giessner (2012)	Review; Theory	• *Definition:* Cite Brown et al.'s (2005) definition and maintain the assumption that ethical leadership is an individual-level leader attribute. Propose a framework of contextual factors at multiple levels of analysis (organizations, industries, and societies) that are expected to predict ethical leadership development and maintenance. • *Measurement:* Advocate for ethical leadership to be operationalized as an average across multiple observer ratings.

Citation	Paper Type	Definition and Measurement of Ethical Leadership [a]
Fehr et al. (2015)	Theory	• *Definition:* Cite Brown et al.'s (2005) definition. Consider ethical leadership, transformational leadership, servant leadership, and authentic leadership under the umbrella of moral leadership. • *Measurement:* Use items from Brown et al.'s (2005) ELS and Kalshoven et al.'s (2011) ELW to demonstrate points. Note that Brown et al.'s (2005) ELS does tap into the care/harm and fairness/cheating moral foundations but call for future research to develop an expanded measures that covers other moral foundations.
Hoch et al. (2016)	Meta-analysis	• *Definition:* Cite Brown et al.'s (2005) definition, which is interpreted as "ethical leadership can be reflected by leader traits, such as integrity, social responsibility, fairness, and the willingness to think through the consequences of one's actions. However, ethical leadership is also reflected by specific behaviors, whereby the leader promotes workplace ethicality." (p. 506) • *Measurement:* The specifics of how ethical leadership was measured in primary studies is not reported.
Kaptein (2019)	Theory	• *Definition:* Cites Brown et al.'s (2005) definition but note various criticisms (e.g., some items are not characteristic of ethics). Argue that Brown et al.'s (2005) assumption that ethical leadership involves being both a moral person and moral manager should be expanded to include a "moral entrepreneur" dimension. • *Measurement:* Calls for future research to develop a measure of ethical leadership that includes moral entrepreneurship.
Ko et al. (2018)	Review	• *Definition:* Cite Brown et al.'s (2005) definition. Show that most prior empirical studies have examined ethical leadership at the middle management level. • *Measurement:* Show that Brown et al.'s (2005) ELS is the most commonly used measure of ethical leadership in prior empirical studies despite the variety of scales that have been proposed.
Lemoine et al. (2019)	Review	• *Definition:* Cite Brown et al.'s (2005) definition, nesting ethical leadership under the umbrella of moral leadership which integrates the concept of ethical leadership with authentic leadership and servant leadership. • *Measurement:* Uses Brown et al.'s (2005) ELS to demonstrate points.
Mayer et al. (2012)	Empirical Study	• *Definition:* Cite Brown et al.'s (2005) definition, assuming there are "three key building blocks of ethical leadership: being an ethical example, treating people fairly, and actively managing morality" (p. 151). • *Measurement:* Uses Brown et al.'s (2005) ELS to demonstrate points. • *Level:* Individual follower perceptions of a common leaders' level of ethical leadership were aggregated to the group level average, which was justified by agreement statistics.

Citation	Paper Type	Definition and Measurement of Ethical Leadership [a]
Newstead et al. (2019)	Theory	• *Definition:* Propose a virtues-based approach to leadership, which defines "good leadership" has a combination of effectiveness and ethicality. • *Measurement:* Cite Riggio et al.'s (2010), Thun and Kelloway's (2011), and Wang and Hackett's (2015) virtue-based measure of ethical leadership but call for future research to develop a measure that corresponds with their theory. • *Level:* Conceptualize good leadership as a relational leadership process that involves both leaders and followers.
Ng and Feldman (2015)	Meta-analysis	• *Definition:* Cite Brown et al.'s (2005) definition, highlighting that "ethical leaders are trustworthy, fair, prudent, and self-disciplined" and that "ethical leaders proactively attempt to shape followers' values by being moral role models, communicating important ethical values to followers, using rewards and punishments to promote higher ethical standards, and treating followers with care and concern." (p. 948) • *Measurement:* Most primary studies (61%) used Brown et al.'s (2005) ELS, but the sample also included studies that used Kalshoven et al.'s (2011) ELW, measures by Yukl et al. (2013), Bass and Avolio (2000), Cheng et al. (2000), Craig and Gustafson (1998), De Hoogh and Den Hartog (2008), Kouzes and Posner (2003), Pelletier and Bligh (2006), or developed their own new scale (see Khuntia and Suar, 2004; Khuntia, 2003; Lau et al., 2007; Pucic, 2011; Tanner et al., 2010). • *Level:* Primary studies examined individual- and/or group level indicators of ethical leadership.
Paterson and Huang (2019)	Theory	• *Definition:* Cite Brown et al.'s (2005) definition. • *Measurement:* Use Brown et al.'s (2005) ELS to measure ethical leadership. • *Level:* Individual follower perceptions of a common leaders' level of ethical leadership were aggregated to the group level average, which was justified by agreement statistics.
Peng and Kim (2018)	Meta-analysis	• *Definition:* Cite Brown et al.'s (2005) definition, assuming ethical leadership includes "not only on personal qualities (e.g., honesty) but also on managerial behaviors (e.g., disciplining unethical behaviors) that promote normative conduct." (p. 7). • *Measurement:* Most primary studies (87%) used Brown et al.'s (2005) ELS. The remaining studies used measures by Kalshoven et al. (2011), Yukl et al. (2013), De Hoogh and Den Hartog (2008), Kouzes and Posner (2003), or Pelletier and Bligh (2006). The authors note that they "examined the items in these instruments and concluded that they match with the Brown et al.'s core conceptualization of ethical leadership as being both a moral person and a moral manager. A supplementary analysis also showed that the reported effect sizes did not differ in studies using these other instruments than in those using ELS" (p. 7).

Citation	Paper Type	Definition and Measurement of Ethical Leadership [a]
Stouten et al. (2012)	Commentary	• *Definition:* Cite Brown et al.'s (2005) definition but note that "implicitly enclosed in this definition is leader's intent is to avoid harm onto followers and act in the best interest of others" (p. 2). • *Measurement:* Question the validity of ethical leadership measures that assume the leader's values are the norm and that employees share these "normative" values.
Solinger et al. (2020)	Theory	• *Definition:* Propose a definition of emergent moral leadership: "a process where a person becomes a focal point of influence in initiating, scaling up, and securing a moral reframing of issues." According to this theory, moral leadership is not as a formal management style, but as an emergent process that any organizational member can perform. • *Measurement:* Call for future research to develop a measure of emergent moral leadership. • *Level:* Conceptualize moral leadership as an emergent and relational process that involves both leaders and followers.
Treviño et al. (2000; 2003)	Qualitative Studies; Theory	• *Definition:* Based on the results of qualitative interview studies, propose the idea that "moral person + moral manager = reputation for ethical leadership" which underlies Brown et al.'s (2005) definition. • *Measurement:* Used open-ended questions such as "What is ethical leadership?" to prompt individual interviewees to provide in-depth responses that were then coded by authors.

Note. This table lists all seminal papers annotated in Appendix A.1.

ELS = Ethical Leadership Scale (Brown, Treviño, and Harrison, 2005); ELW = Ethical Leadership at Work Questionnaire (Kalshoven, Den Hartog, and De Hoogh, 2011).

[a] This column answers the following questions: How do they interpret Brown et al.'s (2005) definition? Do they propose an alternative to the dominant approach? Did they use Brown et al.'s (2005) ELS? At what level is ethical leadership is measured/analyzed? Some rows do not include level because it was not explicitly stated or examined in the paper.

Table A-2: Definitions of Ethics-Related Leadership Styles.

Construct	Definition	Theory/Focus	Dimensions	Level	Survey Measures	Recent Review
Authentic Leadership	Authentic leadership theory posits that "(a) The role of the leader is a central component of their self-concept, (b) they have achieved a high level of self-resolution or self-concept clarity, (c) their goals are self-concordant, and (d) their behavior is self-expressive." (Shamir and Eilam, 2005, pp. 398-399)	Self-determination theory (Ryan and Deci, 2000)	• Self-awareness • Relational transparency • Balanced processing • Internalized moral perspective	Leader – Follower	Neider and Schriesheim (2011) 14-item Authentic Leadership Inventory (ALI); Walumbwa et al.'s (2008) 16-item Authentic Leadership Questionnaire (ALQ)	Gardner et al. (2011)
Benevolent Leadership	"The process of creating a virtuous cycle of encouraging and initiating positive change in organizations through (a) ethical decision making, (b) creating a sense of meaning, (c) inspiring hope and fostering courage for positive action, and (d) leaving a positive impact for the larger community." (Karakas and Sarigollu, 2012, p. 537)	Social exchange theory (Blau, 1964)	• Ethical Sensitivity • Spiritual Depth • Positive Engagement • Community Responsiveness	Leader – Organization	Karakas and Sarigollu's (2012) Benevolent Leadership Scale	Karakas and Sarigollu (2012)
Emotionally Intelligent/ Primal Leadership	"An emotionally intelligent leader can monitor his or her moods through self-awareness, change them for the better through self-management, understand their impact through empathy, and act in ways that boost others' moods through relationship management." (Goleman et al., 2001)	Emotional intelligence	• Self-awareness • Self-regulation • Motivation • Empathy • Social skill	Leader – Follower	Goleman et al.'s (2011) Emotional and Social Competence Inventory (ESCI)	Goleman et al. (2013)

Construct	Definition	Theory/Focus	Dimensions	Level	Survey Measures	Recent Review
Empowering Leadership [a]	"Leader behaviors directed at individuals or entire teams and consisting of delegating authority to employees, promoting their self-directed and autonomous decision making, coaching, sharing information, and asking for input." (Sharma and Kirkman, 2015, p. 194)	Autonomy	• Meaningfulness • Competence • Self-determination • Impact	Leader – Follower or Group/Team	Ahearne et al.'s (2005) Leadership Empowerment Behavior (LEB) measure; Arnold et al.'s (2000) Empowering Leadership Questionnaire	Cheong et al. (2019)
Ethical Leadership	"The demonstration of normatively appropriate conduct through personal actions and interpersonal relationships, and the promotion of such conduct to followers through two-way communication, reinforcement, and decision-making." (Brown et al., 2005, p. 120)	Social learning theory (Bandura, 1977)	• Moral person • Moral role-model • Moral manager (reinforcement)	Leader – Follower	Brown et al.'s (2005) 10-item survey measure	Den Hartog (2015)
Ideological Leadership	Leaders who, in vision formation, "emphasize personal values, standards to be maintained, and the derivation of meaning through adherence to these standards." (Strange and Mumford, 2002, p. 346)	Theory of vision formation (Mumford and Strange, 2002)	• N/A	Leader – Follower	None	Lovelace et al. (2019)
Inclusive Leadership	"A set of leader behaviors that are focused on facilitating group members feeling part of the group (belongingness) and retaining their sense of individuality (uniqueness) while contributing to group processes and outcomes." (Randel et al., 2018, p. 191)	Optimal distinctiveness theory (Brewer, 1991); Social identity theory (Tajfel, 1978; Tajfel and Turner, 1986)	• Facilitates belongingness • Values uniqueness	Leader – Follower or Group/Team	Carmeli et al. (2010); Ratcliff et al. (2018)	Randel et al. (2018)

Construct	Definition	Theory/Focus	Dimensions	Level	Survey Measures	Recent Review
Integrative Public Leadership [b]	Leadership necessary to bring "diverse groups and organizations together in semi-permanent ways, and typically across sector boundaries, to remedy complex public problems and achieve the common good." (Crosby and Bryson, 2010, p. 211)	Public service	• Integrative… • Thinking • Behaviors • Leadership resources • Structures and processes	Leader – Group/Team or Organization	None	Sun and Anderson (2012)
Paternalistic Leadership [c]	A style that "combines strong discipline and authority with fatherly benevolence and moral integrity couched in a 'personalistic' atmosphere." (Farh and Cheng, 2000, p. 84)	Paternalism; Theory Z (Ouchi, 1981)	• Authoritarianism • Benevolence • Moral Leadership	Leader – Follower	Cheng et al.'s (2000, 2004) 27-item Chinese measure	Pellegrini and Scandura (2008)
Respectful Leadership	Behavior that manifests in "the belief that the other person (i.e., the follower) has dignity and value in his or her own right." (Van Gils et al., 2018, p. 1592)	Respect	• N/A	Leader – Follower	Van Quaquebeke and Eckloff's (2010) 12-items	Van Quaquebeke and Eckloff (2010)
Responsible Leadership	"A relational and ethical phenomenon, which occurs in social processes of interaction with those who affect or are affected by leadership and have a stake in the purpose and vision of the leadership relationship." (Maak and Pless, 2006, p. 103)	Stakeholder theory (Freeman, 1984)	• N/A	Leader – Multiple Stakeholders	Voegtlin's (2011) 19-item Discursive Responsible Leadership (DRL) scale	Pless and Maak (2011)

Construct	Definition	Theory/Focus	Dimensions	Level	Survey Measures	Recent Review
Servant Leadership [d]	"The servant-leader is servant first... the difference manifests itself in the care taken by the servant – first to make sure that other people's highest priority needs are being served… do those served grow as persons? Do they, while being served, become healthier, wiser, freer, more autonomous, more likely themselves to become servants? And what is the effect on the least privileged in society; will they benefit or, at least, not be further deprived?" (Greenleaf, 1977, pp. 13-14)	Social exchange theory (Blau, 1964); Social learning theory (Bandura, 1977); Social identity theory (Tajfel, 1978; Tajfel and Turner, 1986)	• Authoritarianism • Behaving ethically • Creating value for the community • Conceptual skills • Emotional healing • Empowering • Helping others grow and succeed • Putting others first	Leader – Multiple Stakeholders	Liden et al.'s (2008) 28-item Servant Leadership measure (SL-28); Liden et al.'s (2015) 7-item short form of the SL-28 (SL-7)	Eva et al. (2019)
Spiritual Leadership	A causal theoretical framework "comprising the values, attitudes, and behaviors that are necessary to intrinsically motivate one's self and others so that they have a sense of spiritual survival through calling and membership." (Fry, 2003, pp. 694-695)	Self-determination theory (Ryan and Deci, 2000)	• Vision (spiritually grounded) • Hope/faith • Altruistic love	Leader – Organizational Climate	Fry et al.'s (2005) 33-item Spiritual Leadership Questionnaire (SLQ)	Oh and Wang (2020)

[a]   Empowering leadership is highly related to paternalistic leadership.

[b]   Integrative public leadership is similar to inclusive leadership in that reflects a motivation to bring together diverse groups, yet the former is more concerned with functional diversity whereas the latter is concerned with demographic diversity.

[c]   Paternalistic leadership is highly related to empowering leadership as well as benevolent leadership.

[d]   The seven dimensions listed here are from Liden et al. (2008; 2015) and are most popularly used to define servant leadership. However, there are alternative definitions that include six (Sendjaya et al., 2008; 2018), eight (van Dierendonck and Nuijten, 2011; van Dierendonck et al., 2017), or twelve dimensions (Anderson and Sun, 2017).

A.3.2   How Is Ethical Leadership Measured?

Most empirical research on ethical leadership uses Brown et al.'s (2005) Ethical Leadership Scale (ELS; Bedi et al., 2016; Ng and Felman, 2015). The original 48 items were developed and revised in attempts to capture the full domain of ethical leadership as it was theorized to exist within formal and informal leaders at all organizational levels. A pilot test consisting of MBA students whittled the number of items down from 48 to 21. Additional testing further reduced the total down to 10 items. Evidence for the psychometric quality of these 10 final items (see Appendix B) was obtained from a sample of employees from a large, multi-location, financial services firm in the U.S. Factor analyses led Brown et al. (2005) to conclude that the ELS provides an internal consistent (alpha = .92) measure of ethical leadership as a single dimensional construct.

Studies tend to administer the ELS to subordinates who are asked to report their perceptions of a specific leader. These individual-level scores are typically used to predict subordinate outcomes (e.g., increased organizational citizenship behaviors: Peng and Kim, 2019). However, some studies collect multiple ratings per leader and then aggregate individual subordinate perceptions to a group average (e.g., Mayer et al., 2012). Surveying leaders themselves to measure ethical leadership is rare given the prevalence of self-serving biases such as social desirability, but self-reports may provide important information that is otherwise unavailable (e.g., leader behavioral intentions: Den Hartog, 2015). Traditionally, ethical leadership has been measured in single time point surveys, which relies on the assumption that ethical leadership is a relatively stable style that leaders consistently display over time. However, more recently, authors have adopted daily diary methods to examine how a leader's level of ethical leadership ebbs and flows across the workday or week (e.g., Bormann, 2017). Such a dynamic perspective will require future research to make methodological advancements in how ethical leadership is measured.

The popularity of Brown et al.'s (2005) measure has allowed for some quantitative reviews (e.g., Bedi et al., 2016; Ng and Feldman, 2015). However, the measure has yet to receive adequate psychometric assessment. Authors who believe the ELS is insufficient have cited a number of issues. For example, given that "ethics" are themselves a complex and multidimensional concept (Arslan and Chapman, 2001), some argue that it may be overly simplistic to attempt to measure ethical behavior in a single dimension. Others have noted that the ELS items are too abstract and instead should reflect more concrete and visible ethical behavior (Frisch and Huppenbauer, 2014; Kalshoven et al., 2011). Critiques such as these have inspired more recent adaptations and extensions of the ELS, many of which continue to rely on Brown et al.'s (2005) definition of the construct and some who even recycle items from the ELS.

For example, Yukl (2013) proposed an expanded version of the ELS called the Ethical Leadership Questionnaire (ELQ). Similar to Brown et al. (2005), Yukl (2013) defines ethical leadership as some combination of "(a) honesty and integrity (including consistency of actions with espoused values), (b) behavior intended to communicate or enforce ethical standards, (c) fairness in decisions and the distribution of rewards (no favoritism or use of rewards to motivate improper behavior), and (d) behavior that shows kindness, compassion, and concern for the needs and feelings of others (rather than attempts to manipulate, abuse, and exploit others for personal gain)" (pp. 40-41). The ELQ is a 15-item measure meant to capture these aspects of supervisors' ethical leadership – honesty, integrity, fairness, altruism, consistency of behaviors with espoused values, communication of ethical values, and providing ethical guidance – as rated by subordinates. Some of the items were inspired by and/or adapted from the ELS (Brown et al., 2005). Yukl (2013) also draws on the Perceived Leader Integrity Scale (PLIS; Craig and Gustafson, 1998), the Morality and Fairness Scale (De Hoogh and Den Hartog, 2008), and results from interview studies to develop items.

Yukl (2013) observed high internal reliability across the ELQ 15 items (Cronbach's alpha = .96) in their original paper, and then again in a subsequent study that utilized the ELQ scale (Hassan et al., 2014: Cronbach's alpha = .96). However, no other evidence of reliability has been reported in the literature. Exploratory factor analysis (using principal components and oblique rotation) suggested the ELQ

scale items fell onto a single factor and were mostly unrelated to other similar constructs (i.e., relational behaviors, change behaviors, task behaviors). There was some overlap between ELQ items and relational behavior items, but Yukl (2013) concluded this overlap was of an insignificant amount. Additional discriminant validity evidence was obtained via a confirmatory factor analysis. In addition, evidence of criterion-related validity was obtained by examining whether ELQ items predicted leader-member exchange quality above and beyond other effective leader behaviors (i.e., task-, relations-, and change-oriented behaviors). Hierarchical regression results suggested that ELQ did in fact account for a significant amount of variance in leader-member exchange quality even when variance explained by these other behaviors was accounted for.

Other alternative measures to Brown et al.'s (2005) ELS include scales intended for use in specific countries (e.g., Kalshoven et al.'s [2011] Ethical Leadership at Work Questionnaire was developed in the Netherlands; Zhu et al.'s [2019] Ethical Leadership Measure was developed in China) and measures that go beyond the dominant definition of ethical leadership to include specific values and philosophies that leaders must hold to be considered ethical leaders (e.g., Kalshoven et al., 2011).

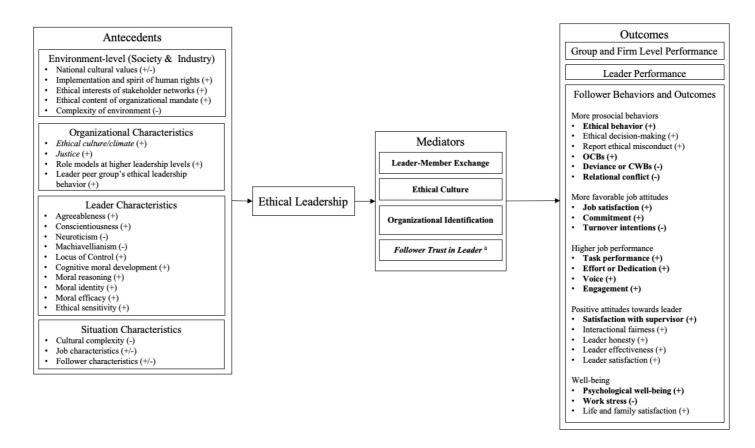### A.3.3   Antecedents and Outcomes of Ethical Leadership

An integrated model of the antecedents and outcomes of ethical leadership was developed and presented in Figure A-1. The model builds on previous theoretical models and framework (e.g., Brown and Treviño, 2006; Den Hartog, 2015; Eisenbeiss, 2012; Esenbeiss and Giessner, 2012; Ko et al., 2018) in order to clarify key variables and organize them by levels of analysis. Previous empirical research has mostly focused on the outcomes of ethical leadership, drawing on social learning theory to explain how ethical leaders inspire favorable attitudes and behaviors in their followers (Den Hartog, 2015). However, more recent studies have begun to identify what leader characteristics predict the development of a reputation for ethical leadership in a leader, the organizational and situational conditions that aid leaders in exhibiting ethical leadership, and the boundary conditions that may restrict the predictive utility of ethical leadership even when all other conditions support it.

A.3.3.1   What Predicts Ethical Leadership?

The body of knowledge about how organizations can select and develop ethical leaders is surprisingly small relative to the extent of our understanding about the outcomes of ethical leadership (i.e., all four meta-analyses reviewed focus on outcomes and not on antecedents). There have been a variety of correlational studies that have identified variables that differentiate leaders and organizational environments where ethical leadership is more or less likely. However, in order to understand the causes of ethical leadership, additional longitudinal research is needed. In the meantime, organizations seeking to increase the presence of ethical leaders among their ranks might look to: a) Empirical research on correlates of ethical leadership; and/or b) Research on training interventions meant to teach individuals how to develop ethical decision-making skills.

Empirical Research on Antecedents. Theoretical models of ethical leadership (e.g., Eisenbeiss and Giessner, 2012; Seppala et al., 2012) have distinguished between three levels of antecedents: environmental factors, organizational characteristics, and leader attributes. At the highest level of abstraction, models attempt to account for the influence of general environmental factors, such as those that characterize a society or industry as a whole. Aspects of the environment in which a leader leads are thought to interact with leader characteristics, organizational policies and procedures, and situational factors to influence ethical leadership. For example, Eisenbeiss and Giessner (2012) argue that at the societal level, national cultural values for responsibility, justice, humanity, and transparency influence the development and maintenance of ethical leadership, making ethical leadership more or less likely depending on the extent to which a society has implemented the spirit of human rights. Similarly, Eisenbeiss and Giessner (2012) posit that industry characteristics such as the ethical interests of stakeholders and complexity of the business environment can act as barriers to leaders developing and maintaining their ethical leadership style.

Antecedents

Environment-level (Society & Industry)
- National cultural values (+/-)
- Implementation and spirit of human rights (+)
- Ethical interests of stakeholder networks (+)
- Ethical content of organizational mandate (+)
- Complexity of environment (-)

Organizational Characteristics
- *Ethical culture/climate* (+)
- *Justice* (+)
- Role models at higher leadership levels (+)
- Leader peer group's ethical leadership behavior (+)

Leader Characteristics
- Agreeableness (+)
- Conscientiousness (+)
- Neuroticism (-)
- Machiavellianism (-)
- Locus of Control (+)
- Cognitive moral development (+)
- Moral reasoning (+)
- Moral identity (+)
- Moral efficacy (+)
- Ethical sensitivity (+)

Situation Characteristics
- Cultural complexity (-)
- Job characteristics (+/-)
- Follower characteristics (+/-)

Ethical Leadership

Mediators
- **Leader-Member Exchange**
- **Ethical Culture**
- **Organizational Identification**
- *Follower Trust in Leader* [a]

Outcomes

Group and Firm Level Performance

Leader Performance

Follower Behaviors and Outcomes

More prosocial behaviors
- **Ethical behavior (+)**
- Ethical decision-making (+)
- Report ethical misconduct (+)
- **OCBs (+)**
- **Deviance or CWBs (-)**
- **Relational conflict (-)**

More favorable job attitudes
- **Job satisfaction (+)**
- **Commitment (+)**
- **Turnover intentions (-)**

Higher job performance
- **Task performance (+)**
- **Effort or Dedication (+)**
- **Voice (+)**
- **Engagement (+)**

Positive attitudes towards leader
- **Satisfaction with supervisor (+)**
- Interactional fairness (+)
- Leader honesty (+)
- Leader effectiveness (+)
- Leader satisfaction (+)

Well-being
- **Psychological well-being (+)**
- **Work stress (-)**
- Life and family satisfaction (+)

Note: OCB = organizational citizenship behavior; CWB = counterproductive workplace behavior. Model is based on the following theoretical models: Brown and Treviño (2006); Den Hartog (2012); Eisenbess (2012); Eisenbeiss and Biess (2012); Ko et al. (2018). Variables in bold text have been shown by the following meta-analyses: Bedi et al. (2016); Hoch et al. (2016); Ng and Feldman (2015); Peng and Kim (2019). Variables in italicized text have been shown to be correlated with ethical leadership but were not examined in the way that they appear in this model (e.g., follower perceptions of ethical climate have been shown as an outcome of ethical leadership not an antecedent).

a   Follower Trust in Leader is in both bold and italicized text to indicate mixed findings in the literature (i.e., trust in leader has been repeatedly shown as an outcome of ethical leadership but not as a mediator between ethical leadership and more distal outcomes such as OCBs or CWBs).

Figure A-1: Integrated Conceptual Model of Ethical Leadership Antecedents and Outcomes.

At the organizational level, characteristics such as the strength of ethical climate or the ethicality of executive leaders have been considered as antecedents to ethical leadership at lower levels of the organization. There are many formal policies and informal processes that an organization can implement in order to increase the chances of ethical leadership among their ranks. In general, fostering a climate for ethical behavior and ethical leadership is helpful for encouraging ethical leadership (Bedi et al., 2016; Hoch et al., 2016) and for aiding ethical leadership in leading to positive outcomes (Peng and Kim, 2019); however, organizations with both ethical organizational climate and an internal audit function to enforce ethical rules may be better able to foster ethical leadership (Arel et al., 2012; Brown and Treviño, 2006).

Finally, characteristics of leaders themselves (e.g., traits, values, attitudes) are expected to predict ethical leadership. In order to develop a reputation for ethical leadership, leaders must demonstrate that they are truly concerned about ethics and their behavior is guided by a strong set of morals. Thus, individual attributes related to a leader's sense of morality and ability to act ethically are likely to be predictive of ethical leadership. For example, indicators of the extent to which leaders are concerned about morality (e.g., moral reasoning, stage of cognitive moral development, ethical sensitivity, moral identity) and feel able to act in accordance with their morals (e.g., moral efficacy, locus of control) are positively predictive of ethical leadership. In addition, some personality traits distinguish between leaders who are more or less likely to adopt an ethical leadership style. For example, Brown and Treviño (2006) proposed that those who are more agreeable, more conscientious, less neurotic, and lower in Machiavellianism are more likely to be seen as ethical leaders.

Training Ethical Decision Making. Beyond identifying characteristics of leaders and organizations that antecedent ethical leadership, the literature on ethics education may be useful for understanding what aids the development and maintenance of ethical leadership. Training leaders to be experts in ethical decision making is a core principle of the U.S. Army leadership doctrine. Currently, the Center for the Army Profession and Leadership (CAPL) is charged with ethical leadership training via the Army Ethic Development Course (AEDC). In support of these efforts, military scholars have explored the topics of ethical decision-making and ethical leadership in military contexts (see Thompson and Hall [2011] for a review). In addition to this research stream, a variety of developmental and assessment tools have been proposed in the military literature. For example, the Army Leadership Ethical Reasoning Test (ALERT) was developed by Lieutenant Colonel Michael Turner, U.S. Army, as a measure of Army leader moral development. The instrument uses six hypothetical military-related ethical dilemmas that can be used as an educational tool and/or assessment (Dini, 2006; Turner, 2008).

A.3.3.2   What Are the Consequences of Ethical Leadership?

Unfortunately, ethical misconduct persists in today's organizations (Burris et al., 2006; Tepper, 2000). One of the main goals of the ethical leadership literature is to explain how organizations can select and develop ethical leaders in order to prevent and address these practical issues. Leaders who display ethical leadership should, theoretically, display low levels of unethical behavior; however, ethical leaders are also expected to prevent follower ethical misconduct. Meta-analytic studies have shown support for this notion (e.g., Bedi et al., 2016). In creating a fair and trustful environment and developing high quality relationships with subordinates, ethical leaders stimulate ethical and prosocial employee behaviors such as increased organizational citizenship behaviors and decreased counterproductive behaviors (Bedi et al., 2016; Hoch et al., 2016; Ng and Feldman, 2015; Peng and Kim, 2019). This "trickle-down effect" of ethical behavior from leaders to their followers has also been shown from more senior leaders to middle managers (e.g., Mayer et al., 2009), which suggests that the positive effects of ethical leadership may not depend on specific job roles but can have widespread effects throughout the organization.

Beyond spreading ethical behavior and preventing unethical behavior, ethical leadership has also been shown to improve a variety of performance outcomes. Specifically, ethical leadership is related to a) Favorable follower behaviors such as increased effort, dedication, and task performance (Bedi et al., 2016; Hoch et al., 2016; Ng and Feldman, 2015; Peng and Kim, 2019); b) Improved follower attitudes, including higher job

satisfaction, increased organizational commitment, and reduced turnover intentions (Bedi et al., 2016; Hoch et al., 2016; Ng and Feldman, 2015); and c) Positive follower outcomes such as higher psychological wellbeing and reduced work-related stress (Bedi et al., 2016).

Mediating Mechanisms. Despite the wide range of outcomes examined, studies tend to use the same few theories to explain ethical leadership effects on follower outcomes. In a recent meta-analysis, Peng and Kim (2019) found that most studies relied on social learning theory and/or social exchange theory, with some also drawing on social identity theory and other theories. However, a number of mediating mechanisms have been explored in empirical studies of the consequences of ethical leadership. Given that follower outcomes have received the most attention in prior ethical leadership studies, the mediators that have been studied are typically indicators of the relationship between leaders and followers. For example, studies have examined the extent to which ethical leaders encourage favorable follower outcomes because their followers are more trusting of them. This research allowed Ng and Feldman (2015) to shown in their meta-analysis that trust in leader mediates the positive influence of ethical leadership on task performance and organizational citizenship behaviors. In another meta-analysis, Peng and Kim (2019) showed the relationship between ethical leadership and task performance, organizational citizenship behavior, and counterproductive workplace behavior is mediated by leader-member exchange, ethical culture, and organizational identification, such that ethical leadership leads to favorable outcomes. The authors noted that positive outcomes resulted from the tendency for ethical leaders to have higher quality leader-follower exchange relationships, stronger ethical cultures in their workgroups, and inspire higher organizational identification in their followers.

A.3.4   Future Research Recommendations

From a review of seminal empirical studies, narrative reviews, and meta-analyses, three key areas for future research were identified. First, work is needed in order to clarify the meaning and measurement of ethical leadership as a distinct construct and to further test issues of redundancy with similar constructs. Second, future empirical research should examine and identify new research approaches that addresses participant biases in ethical leadership research given it is an inherently personal and positivistic construct. Third, a focus should be given to better understanding of cultural assumptions and dependencies that drives ethical meaning and behavior.

A.3.5   Construct Clarification and Redundancy

Ethical leadership is one of many theories of morally oriented leadership styles. This literature suffers from construct over-proliferation and redundancy (Brown and Mitchell, 2010; Den Hartog, 2015). Not only do many general leadership theories incorporate morality (e.g., Day's (2000) leadership development theory), but various specifically morally oriented leadership styles have received research attention. In order to ensure both scientific progress and the practical usefulness of this research area, additional theoretical development is needed to clarify what is meant by ethical leadership and for what contexts ethical leadership is applicable as opposed to similar constructs.

For the Army specifically, research efforts should consider the role of organizational context in how leader ethical behavior should be defined and measured. For example, servant leadership, rather than ethical leadership at it is commonly defined in the literature, may be more suited to defining ethicality as it is displayed by U.S. Army leaders (see Vickery, 2005). Alternatively, some combination of leadership styles (or their components) that have been treated as distinct in the academic literature may, in practice, make be more productive for U.S. Army leaders.

A.3.6   The Biases of Positivistic and Ideological Scholarship

For the past few decades, many leadership scholars have been focused on positive forms of leadership, following larger trends in the organizational sciences towards positivistic scholarship (Hannah et al., 2014).

This path has led to a "new genre" of leadership theories (Bryman, 1992) including Brown et al.'s (2005) ethical leadership and others such as Avolio's (2004) full range model and Mumford's (2006) charismatic-ideological-pragmatic model. While a positive or ideological approach may be especially appropriate for addressing the ethics issues that organizations continue to face, critics have noted that research on ethical leadership styles can be excessively positive and ideological (Alvessona and Einola, 2019; Collinson, 2012). For example, Collinson (2012) refers to the excessively positivity of both leaders in practice and researchers in the literature as "Prozac leadership," a comparison with the widespread use of the drug used to treat depression. Biases regarding the study of ethical leadership arise when both scientists and practitioners solely focus on the positive side of leadership without also working to understand the less attractive aspects of effective leaders (e.g., disciplinary behaviors) and to prevent unethical or negative leader behaviors (Collinson, 2012). Thus, future ethical leadership studies must consider the role of researchers own assumptions and intentions in the research questions pursued.

Specifically, future research should consider the role of ideologies in the questions asked, the methods used to test them, and the findings that come from them. Taking an excessively positive and/or ideological approach can lead scholars to be reluctant to consider alternative voices. Ethical leadership research also tends to promote ideological prescriptions for leaders than may be impossible to implement in practice. While "ideologies may be inspirational for research and make it catchier on the surface" (Alvessona and Einola, 2019, p. 1), they can also "become a stultifying straitjacket in relation to research…and make one's research a prisoner of that ideology" (Eagly, 2018, p. 882). These biases may also risk research becoming detached from the needs of organizations which have their own goals and ideologies that may not align with researchers and of leaders who are dealing with functional demands of task accomplishment in complex environments. The definition of ethical leadership as involving "normatively appropriate conduct" (Brown et al., 2005, p. 120) makes the assumption that social norms dictate the definition of ethical and that the definition can change as social norms change. These two claims will likely not align with every organization's or individual's definition of ethical behavior, which presents a gap between the transition of theory to practice.

Addressing the issues of positivistic and ideological biases in the ethical leadership literature may require integrating ethical leadership research within other areas of organizational science. For example, if ethical leadership is simply effective leadership in an ethical context, then it may be useful to incorporate ethical behavior into models of leader performance (see Russel et al., 2017). It may also require multidisciplinary and interdisciplinary scholarship. Just as the norms and assumptions of authors trained in one field (e.g., management) may not be the same as those trained in another field (e.g., industrial-organizational psychology), authors' individual values, preferences, and experiences influence the questions they ask and the evidence they seek to support their claims. Beyond these efforts, simply recognizing the role of researchers' philosophical assumptions has the potential to strengthen the relevance and impact of ethical leadership research.

A.3.7 Western Bias and the Role of Culture

Ethical leadership has been studied by scholars across the globe; however, the dominant approach to defining and measuring the construct originated from American researchers. Given the origin, a body of scholars criticize research grounded in Brown et al.'s (2005) definition as biased towards Western cultural norms, because it was developed by Americans and validated using samples of students and employees within the U.S. (see Resick et al., 2006; Zhu et al., 2019). As a result, much of the ethical leadership literature makes assumptions that may not be true for all leaders across the globe and from all cultural backgrounds.

Moreover, Brown et al.'s (2005) dominant definition assumes that what is normative is ethical, which implies a notion of cultural relativism, the philosophical theory that there are no universal moral truths, only culturally dependent ones. From a cultural relativist perspective, what is morally right or wrong is dependent on a society's moral code. Cultural relativism is useful for distinguishing between social norms at different

level of abstraction such as general norms in the U.S. versus in Europe. However, cultural relativism is challenging to apply to organizational leadership given that leaders tend to hold multiple social roles (e.g., citizen of the U.S., soldier in the U.S. Army, Army leader), all of which may have different and potentially competing norms about what is ethical. Future research should explore the boundaries and intersection of different cultures as applied to ethical leadership.

Although Brown et al. (2005) do not specifically endorse a relativistic philosophy, some have argued that their approach is limited by its lack of specific behavioral norms (e.g., Eisenbeiss, 2012). On one hand, the vagueness of Brown et al.'s (2005) definition of ethical leader behavior as "normatively appropriate conduct" (p. 120) allows for the study of ethical leadership across contexts. On the other hand, when the specific behavior that underly ethical leadership are dependent on context it is unclear which behaviors are and are not generalizable to other contexts, which reduces the practical implications of research for aiding in the identification, selection, and training of ethical leaders. Additional research is necessary in order to better understand the strengths and weaknesses of defining ethical leadership in normative terms.

A.3.8   Conclusion

The role of ethics in leadership is indisputable. However, no single approach perfectly reflects the Army values and ethics even with the numerous definitions and measures found in the scientific literature. This gap provides opportunity for military scholarship and education to further develop the meaning of ethics in leadership. This review of ethical leadership, as it has been conceptualized in the social science literature, provides a first step towards integrating knowledge from the scholarly research with what has long been a core practice of Army leadership in order to inform future research that explicitly considers the Army values, culture, and operational environments.

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Appendix A-1: ANNOTATED BIBLIOGRAPHY OF SELECTED SEMINAL PAPERS

Bedi, A., Alpaslan, C.M., and Green, S. (2016). A meta-analytic review of ethical leadership outcomes and moderators. Journal of Business Ethics, 139(3), 517-536. DOI: 10.1007/s10551-015-2625-1.

Bedi et al. (2016) use data from 134 independent samples involving 54,920 employees to conduct a meta-analysis of the outcomes of ethical leadership. Replicating Ng and Feldman (2015) and similar to Hoch et al. (2016), their results suggest ethical leadership is associated with various positive outcomes, including favorable attitudes towards the leader and increased follower job satisfaction and psychological wellbeing. They examined the moderating effects of publication status, geographical location, and organizational sector on these relationships and found evidence that the influence of ethical leaders is stronger in published rather than unpublished studies, varies depending on geographical region (specifically, between North America vs. Western European populations), and is stronger for public vs. private sector employees. In addition, they assessed the relationship between ethical, transactional, and transformational leadership styles, and found that ethical leadership is strongly related to transformational leadership.

Brown, M.E., and Mitchell, M.S. (2010). Ethical and unethical leadership: Exploring new avenues for future research. Business Ethics Quarterly, 20(4), 583-616. DOI: 10.5840/beq201020439.

The primary purpose of this review is to propose an agenda for future social scientific study of ethical and unethical leadership. Building on earlier work (see Brown et al., 2005; Brown and Treviño, 2006; Treviño et al., 2000; 2003), the authors claim that "leaders who engage in, enable, or foster unethical acts within their organizations do not display ethical leadership" (p. 588); instead, leaders who engage in workplace deviance display unethical leadership, which they define as "behaviors conducted and decisions made by organizational leaders that are illegal and/or violate moral standards, and those that impose processes and structures that promote unethical conduct by followers." (p. 588). This paper argues for future research on the role of ethics in leadership to consider "both a positive and negative angle" that integrates ethical leadership with unethical leadership, i.e., the study of "(un)ethical leadership." Specifically, the authors recommend future research examine the roles of a) emotions (e.g., the influence of emotions on leaders' ethical judgements); b) value congruence (e.g., issues of leader-follower agreement); c) identity (e.g., leader moral identity) in the process of ethical leadership.

Brown, M.E., Treviño, L.K., and Harrison, D. (2005). Ethical leadership: A social learning perspective for construct development and testing. Organizational Behavior and Human Decision Processes, 97(2), 117-134. DOI: 10.1016/j.obhdp.2005.03.002.

In this seminal article, Brown et al. (2005) propose a formal constitutive definition of ethical leadership as "the demonstration of normatively appropriate conduct through personal actions and interpersonal relationships, and the promotion of such conduct to followers through two-way communication, reinforcement, and decision-making" (Brown et al., 2005, p. 120). In addition, this article reports on the development of their 10-item Ethical Leadership Scale (ELS). Rather than focusing on the intent or motivation of ethical leaders, Brown et al.'s (2005) definition specifies ethical leadership in terms of behavior. Drawing on social learning theory, the authors argue that an ethical leader encourages ethical behavior in their subordinates by communicating standards and using rewards as well as discipline to reinforce appropriate and less appropriate behavior. Results from seven empirical studies that sampled a variety of populations (including MBA students, employees from a financial services firm, management and industrial-organizational psychology professors, and senior undergraduate students) provide evidence of construct validity in support of "ethical leadership" as it is measured by the ELS. Specifically, ethical leadership was related but distinct from leader consideration, interactional fairness, leader honesty, and the idealized influence dimension of transformational leadership, and was unrelated to rater demographics or

perceived demographic similarity between leader and subordinate. Finally, subordinates' perceptions of ethical leadership explained variance in satisfaction with the leader, perceived leader effectiveness, willingness to exert extra effort on the job, and willingness to report problems to management. All of these effects were found to operate beyond the effect of the idealized influence dimension of transformational leadership, arguably the existing leadership construct that is conceptually closest to ethical leadership.

Brown, M.E. and Treviño, L.K. (2006). Ethical leadership: A review and future directions. The Leadership Quarterly, 17(6), 595-616. DOI: 10.1016/j.leaqua.2006.10.004.

The purpose of this paper is partly to a) further develop Brown et al.'s (2005) definition of ethical leadership as distinct from three related leadership constructs with ethical dimensions (spiritual, authentic, and transformational leadership), but also to b) propose a theoretical model of the antecedents and outcomes of ethical leadership. They draw on social learning theory, social exchange theory, and findings from their seminal interview study (see Treviño et al., 2000) to make a number of propositions that underly their theoretical model. In terms of antecedents, they argue that leader characteristics as well as aspects of the organizational and situational contexts contribute to whether or not followers will see their leaders as ethical. In terms of leader personality, highly agreeable leaders are more likely than their less agreeable counterparts to develop an ethical leadership style given that "agreeableness reflects the tendency to be trusting, altruistic and cooperative." (p. 603) While the highly conscientiousness leaders are not necessarily more likely to be moral persons, if they are moral persons, then their conscientious supports the spread of those values to followers (i.e., moral management), which increases their level of ethical leadership. Highly neurotic leaders are less likely to exhibit ethical leadership, because they are less likely to be seen as moral persons or to be successful role models of moral behavior, because "neurotic leaders are thin-skinned and hostile toward others." (p. 603) Leaders who are motivated to take on a leadership role (that involves power over others) by a need for self-serving power are less likely to be seen as ethical leaders than those motivated by a need to use power for the collective benefit. Similarly, leaders higher in Machiavellianism (i.e., self-serving, manipulative) are less likely to develop an ethical leadership style, because not only are they less likely moral persons but they are also less likely able to socially influence others in any capacity. In contrast, leaders that have reached a higher level of moral development are more likely to be moral persons and moral managers, especially when they are high in moral utilization. Leaders with an internal locus-of-control, who believe they have control over their life events, are more likely to make ethical decisions and, in turn, to develop as ethical leaders. In terms of organizational and situational predictors, leaders with ethical role models are more likely that those without ethical role models to be ethical leaders themselves (i.e., "the trickle-down effect" of ethical leadership). In addition, leaders working in organizations with a stronger ethical climate are more likely to be ethical leaders than those working in weaker ethical climates. This positive effect of ethical context is enhanced by moral intensity – such that is a stronger predictor of ethical leadership when leaders encounter morally intense situations (i.e., clearly include a moral issue that if handled improperly could result in significant harm) than when situations are morally ambiguous – and by leader self-monitoring – such that compared to low self-monitors, high self-monitors are more influenced by the ethicality of their organizational climate. By modeling ethical behavior and communicating the importance of ethical standards, ethical leaders facilitate better ethical decision-making, decrease counterproductive behavior and increase organizational citizenship behavior, job satisfaction, motivation, and organizational commitment in their followers.

Den Hartog, D.N. (2015). Ethical leadership. Annual Review of Organizational Psychology and Organizational Behavior, 2(1), 409-434. DOI: 10.1146/annurev-orgpsych-032414-111237.

In this review, Den Hartog summarizes previous theoretical and empirical work on ethical leadership published in organizational science journals before 2015. The various definitions of and major approaches to understanding ethical leadership in organizational contexts are integrated into a more general "organizational behavioral/psychology perspective [that] focuses on a behavioral and perceptual view of ethical leadership" (p. 410). An overarching theoretical model of antecedents and outcomes of ethical

leadership is proposed. This model suggests that perceived ethical leadership is preceded by both individual level and contextual antecedents, whereas perceived ethical leadership predicts ethical cognitions, norms, decisions, and awareness in the leader as well as identification-based motivation (e.g., engagement), relational and social information (e.g., trust), and obligation (e.g., duty) in subordinates. The model also outlines more distal outcomes of perceived ethical leadership, including positive attitudes, ethical behaviors, increased effort, and performance. Open questions are identified, and future research directions are discussed. For example, there is a need to clarify whether the ethicality of leaders' interactions with individuals outside of their organizations should be considered in the definition of ethical leadership. In addition, there is a need for further psychometric analysis of common ethical leadership measures, as many different behaviors have been proposed as components of ethical leadership, including individual differences such as character/integrity as well as behaviors such as sharing power or acting fairly and honestly. Addressing measurement issues may also help establish greater discriminant validity of ethical leadership distinct from similar constructs (e.g., servant leadership, authentic leadership).

Eisenbeiss, S.A. (2012). Re-thinking ethical leadership: An interdisciplinary integrative approach. The Leadership Quarterly, 23(5), 791-808. DOI: 10.1016/j.leaqua.2012.03.001.

This theory paper argues for an "interdisciplinary integrative approach to ethical leadership" by defining a new ethical leadership construct, proposing a new theoretical model of predictors and outcomes, and then, based on results from an interview study, outlining how an integrated definition of ethical leadership informs managerial practice. The author's interdisciplinary integrate approach is intended to reconcile the empirical-descriptive Western-based approach to business ethics with the normative approach to ethics in general. While the former has been promoted by Brown et al.'s (2005) definition, the latter is based on moral and religious philosophy and has been adopted by practice-orientated books (e.g., Ciulla, 1995; Gini, 1997; Kanungo and Mendoca, 1996; Northhouse, 2001). Merging these perspectives, Eisenbeiss defines ethical leadership as behavioral expressions of normative ethical principles. Specifically, she argues that ethical leadership requires an orientation towards four central values: humane, justice, responsibility and sustainability, and moderation. The first two values – a) *humane orientation*, "to treat others with dignity and respect and to see them as ends not as means" (p. 795); and b) *justice orientation*, which involves "making fair and consistent decisions and not discriminating against others" (p. 796). – have been considered by the social sciences' empirical-descriptive approach. Whereas the second two values – c) *responsibility and sustainability orientation*, which refers to "leaders' long-term views on success and their concern for the welfare of society and the environment" (p. 796); and d) *moderation,* defined as "temperance and humility and balanced leader behavior" (p. 797) – have been neglected in ethical leadership research. The idea is that leaders who rely on these four orientations when setting goals and influencing others are those who practice ethical leadership. Eisenbeiss argues that while Brown et al.'s (2005) definition of ethical organizational behavior as "normatively appropriate conduct" (p. 120) is more generalizable and context sensitive, specifying what norms leaders should use to guide their intentions and behavior is necessary in order to clarify what is ethically appropriate (i.e., prevent ethical relativism). This definition is used to develop a theoretical model in which leader moral identity and cognitive moral development predicts expression of the central four orientations, which favorably influences follower organizational citizenship behavior, job satisfaction, turnover intentions, and eventually, firm performance by increasing follower and costumer trust. Finally, Eisenbeiss uses illustrative cases from 30-100-minute interviews with 10 international senior leaders (i.e., executives with a range of professional and leadership experience, working across a variety of industries and countries) to explain how her interdisciplinary integrative approach can aid managers decisions within organizational ethical dilemmas. The paper concludes with a call for measurement development. In order for this new universal definition of ethical organizational behavior to replace Brown et al.'s (2005) established definition, Brown et al.'s (2005) ELS must be expanded to include items for responsibility and sustainability orientation and moderation orientation.

Eisenbeiss, S.A. and Giessner, S.R. (2012). The emergence and maintenance of ethical leadership in organizations. Journal of Personnel Psychology, 11(1), 7-19. DOI: 10.1027/1866-5888/a000055.

This paper presents a conceptual framework based on a qualitative review of 11 empirical ethical leadership studies that were published in top industrial-organizational psychology journals between 1990 and 2011. The proposed framework is meant to address the contextual antecedents of ethical leadership that have previous been disregard in the literature. Specifically, the framework is based on theoretical propositions about the role of intra-organizational characteristics (e.g., ethical leadership behavior of the leader's peer group) within industry characteristics (e.g., ethical interests of stakeholder networks) within societal characteristics (e.g., ethical cultural values). These theoretical propositions are integrated into a multilevel model that is meant to guide future research on the development and maintenance of ethical leadership within organizations. The authors call specifically for future research to further illuminate the embeddedness of ethical leadership by analyzing presently overlooked contextual factors (e.g., organizational structure, division of work, form of organization, promotion policies, recruitment guidelines), and to investigate the interaction between leaders' personal characteristics and the contextual antecedents of ethical leadership.

Fehr, R., Yam, K.C., and Dang, C. (2015). Moralized leadership: The construction and consequences of ethical leader perceptions. Academy of Management Review, 40(2), 182-209. DOI: 10.5465/amr.2013. 0358.

Ethical leadership is defined by the dominant paradigm as a reputation and, thus, is measured by asking subordinates to rate their leader's reputation for ethical leadership. This introduces a variety of biases on the part of the subordinate raters not only related to their perceptions of the leader-follower relationship in general but also to their own understanding of ethicality and morality. Despite a leader's intentions, whether their behaviors are seen as moral depends on the observer's interpretation. Fehr et al. (2015) use moral foundations theory to explore how followers interpret the morality of their leaders' behaviors and how this interpretation process determines subsequent follower behaviors. Moral foundations theory organizes human morality into a set of six discrete domains of moral value, intuition, and social practices: care/harm, fairness/cheating, loyalty/betrayal, sanctity/degradation, authority/subversion, and liberty/oppression. These six domains form the foundations of human morality, yet individuals and groups vary in the extent to which they endorse each of the six moral foundations. Fehr et al. (2015) argue that followers are most likely to moralize their leaders' behaviors when those behaviors align with a) the follower's own moral foundations and b) the moral foundations salient within an organizational culture. For example, a leader who "provides followers with equal opportunities" exhibits endorsement of the fairness moral foundation. If the observing follower also endorses fairness as an important aspect of morality, then they are likely to see that leader behavior as moral (even more so if they are working in an organization that also values fairness). Fehr et al. (2015) argue that once leader behavior has been moralized, a follower's motivations to maintain their personal moral standards and to preserve an outward-facing image as a moral person leads them to act in value-consistent ways. In addition, Fehr et al. (2015) posit that the specific moral foundation that is expressed in a leader's behavior determines what type of behavior followers will be motivated to perform as a result. Specifically, followers will engage in a) prosocial behavior when they moralize leader behavior that is consistent with the care/harm or fairness/cheating foundation; b) pro-organizational behavior when loyalty/betrayal or sanctity/degradation; and c) pro-leader behavior when authority/subversion, and pro-individual behavior when liberty/oppression. In sum, Fehr et al. (2015) like many others argue that a complete understanding of ethical leadership requires an exploration of the content of leader behavior not just the extent to which leader behavior is "normatively appropriate." However, they make an interesting contribution by specifically applying this argument to the social influence process that is at the core of ethical leadership construct and by using moral foundations theory to explain this process as opposed to relying only on social learning theory like most ethical leadership literature.

Hoch, J.E., Bommer, W.H., Dulebohn, J.H., and Wu, D. (2018). Do ethical, authentic, and servant leadership explain variance above and beyond transformational leadership? A meta-analysis. Journal of Management, 44(2), 501-529. DOI: 10.1177%2F0149206316665461.

Hoch et al. (2018) quantitively reviews the literature on the outcomes of ethical, authentic, and servant leadership styles, using data from 397 samples. Similar to Bedi et al. (2016), their results suggest ethical leadership is associated with various positive outcomes, including follower job performance and organizational citizenship behavior. However, results from a meta-analytic relative weights analysis suggest that ethical leadership (nor authentic or servant leadership) explain more than 2% incremental variance beyond transformational leadership in follower performance outcomes. These findings suggest that there is still measurement development work to be done in order to empirically differentiate ethical leadership from similar leadership styles.

Kaptein, M. (2019). The moral entrepreneur: A new component of ethical leadership. Journal of Business Ethics, 156(4), 1135-1150. DOI: 10.1007/s10551-017-3641-0.

Kaptein (2019) argues Brown et al.'s (2005) classic definition of ethical leadership as both the moral person and moral manager should be expanded to include a "moral entrepreneur" dimension. They take a social learning perspective in contrast to the social development perspective taken by Brown and colleagues and draw on Carroll's (1979) typology of corporate social responsibility (CSR) to argue that an ethical leader does not only follow and demonstrate what is normatively appropriate (moral person and moral manager) but also proactively creates new ethical norms, as a moral entrepreneur. To demonstrate the way in which moral entrepreneurship plays an integral role in ethical leadership, they make a number of propositions. First, moral entrepreneurship is more likely when the opportunity for moral entrepreneurship is present (moral issues and moral void), the individual has a vision for moral entrepreneurship (moral awareness, moral development, and moral identity), and has the capability for moral entrepreneurship (drive towards transition and capability to gain power). In turn, moral entrepreneurship has a positive influence on the moral development of society and on the trust that stakeholders place upon the person who demonstrates this quality. Finally, the effect of moral entrepreneurship on both outcomes is strengthened by being a moral person and being a moral manager. In sum, future research is needed to operationalize moral entrepreneur as a new sub-construct of ethical leadership.

Ko, C., Ma, J., Bartnik, R., Haney, M.H., and Kang, M. (2018). Ethical leadership: An integrative review and future research agenda. Ethics & Behavior, 28(2), 104-132. DOI: 10.1080/10508422.2017.1318069.

In this qualitative review of empirical articles on ethical leadership published from 2005-2015, the authors leverage previous findings to propose a conceptual model of ethical leadership that identifies antecedents, mediators, moderators, and outcomes of ethical leadership. In addition, they suggest a set of research questions for scholars to explore in the future. First, most previous research has focused on middle managers and their subordinates, and thus, future research should diversify the unit of analysis as these findings may not be generalizable to other organizational levels and roles. Second, there is a need for more qualitative studies to better understand the practical and dynamic characteristics of ethical leadership. For example, how sustainable is an ethical leader in an unethical organization? Specifically, longitudinal qualitative studies regarding the interaction effect of ethical leadership and unethical organizations are needed. Third, we need to know more about the antecedents of ethical leadership in order to strengthen our understanding of how to develop ethical leadership and to answer questions such as: a) What are the major challenges in developing ethical leaders?; b) How do followers' responses to their ethical leaders differ across cultures?; and c) What is the nature and role of the relationship between individual level and organization level mechanisms in explaining how ethical leadership influences performance outcomes?

Lemoine, G.J., Hartnell, C.A., and Leroy, H. (2019). Taking stock of moral approaches to leadership: An integrative review of ethical, authentic, and servant leadership. Academy of Management Annals, 13(1), 148-187. DOI: 10.5465/annals.2016.0121.

This theory paper attempts to provides an integrative review of moral leadership research. The authors compare and contrast the three most commonly studied leadership constructs that are heavily based in ethics and morality, ethical leadership, authentic leadership, and servant leadership. The purpose of this review is to address the proliferation of morally based leadership approaches by clarifying the points of redundancy between constructs as well as highlighting the ways in which these constructs are distinct. An organizing framework is developed by drawing on moral philosophy concepts to better differentiate the specific moral content (i.e., deontology, virtue ethics, and consequentialism) that underlies ethical, authentic, and servant leadership, respectively. The results of this discuss are theoretical arguments for construct validity and clear avenues for future research that avoid construct redundancy but leverage the unique contributions of each of these three literatures as one broader moral leadership domain.

Mayer, D.M., Aquino, K., Greenbaum, R.L., and Kuenzi, M. (2012). Who displays ethical leadership, and why does it matter? An examination of antecedents and consequences of ethical leadership. Academy of Management Journal, 55(1), 151-171. DOI: 10.5465/amj.2008.0276.

In two empirical studies, the authors examined antecedents and consequences of ethical leadership and compares measures of ethical leadership to the similar constructs of idealized influence, interpersonal justice, and informational justice. One source of motivation for leaders to exhibit ethical behaviors arises from moral identity (i.e., the self-defining knowledge structure that motivates leaders to act in ways that demonstrate some responsiveness to the needs and interests of others). From two samples of employees from a variety of industries, the authors found evidence of a positive relationship between leader moral identity and ethical leadership. In addition, ethical leadership was found to be negatively related to subordinate unethical behavior and relationship conflict. The authors conclude that in order to set the ethical tone of an organization, leaders have to be moral individuals, but also have to go one step further and actively model ethical behaviors and use reward and punishment systems to influence followers' behaviors.

Newstead, T., Dawkins, S., Macklin, R., and Martin, A. (2019). We don't need more leaders – We need more good leaders. Advancing a virtues-based approach to leader(ship) development. The Leadership Quarterly. DOI: 10.1016/j.leaqua.2019.101312.

Newstead et al. (2019) explore the concept of "good leadership," a combination of effective leadership and ethical leadership, in the context of leadership development. They draw on their earlier definition of virtue as "the inclination to feel, think, and act in ways that express moral excellence and contribute to the common good" (see Newstead et al., 2018) to advance a virtue-based approach to ethical leadership where good leadership is defined as engaging in virtuous influence practices. Newstead et al. (2019) argue that virtue and leadership are synergistic concepts, and thus, a virtues-based approach: a) Accounts for leadership effectiveness and ethics; b) Is well suited for leadership development research given that virtue and leadership are both learnable; c) May also account for leader character development given the close relationship between a leader's virtues and character; d) Is generalizable across contexts and cultures because virtues tend to be universal (e.g., human inclination towards good); and e) Accounts for goodness in terms of both leaders own intrapersonal development and for the development of leaders who act towards the common good. Newstead et al. (2019) suggest future research directions within three emerging areas of research on virtue-based leadership development: a) Virtues language and labelling; b) Pedagogical approaches; and c) The Virtues Project, a training program spearheaded by Julia Annas. The authors conclude with comments about the aspirational nature of good leadership, highlighting the importance of leader intentions not just leader behavior.

Ng, T.W. and Feldman, D.C. (2015). Ethical leadership: Meta-analytic evidence of criterion-related and incremental validity. Journal of Applied Psychology, 100(3), 948-965. https://psycnet.apa.org/doi/10.1037/a0038246

This meta-analysis reviews the literature published from 2000-2015 on the outcomes of ethical leadership. The authors, two management scholars, used data from 101 samples involving 29,620 individuals. Their results suggest ethical leadership is associated with various positive outcomes, increased follower positive job attitudes (job satisfaction and affective commitment), job performance, and favorable attitudes towards the leader. They also show support for the mediating role of trust in leader and examine how study design variables moderate these relationships. Finally, they found ethical leadership explains variance in follower task and contextual performance outcomes above and beyond transformational leadership and other leadership styles (contingent rewards, management by exception, interactional fairness, and destructive leadership), but that the amount of incremental validity was weak and nonexistent when predicting job attitudes.

Paterson, T.A., and Huang, L. (2019). Am I expected to be ethical? A role-definition perspective of ethical leadership and unethical behavior. Journal of Management, 45(7), 2837-2860. DOI: 10.1177 %2F0149206318771166.

Paterson and Huang (2019) introduce the concept of role ethicality to explain why ethical leadership prevents follower ethical misconduct. They define role ethicality as "the degree to which organizational members consider acting ethically as part of their organizational role requirements" (p. 2838). Ethical leadership is expected to reduce unethical behavior, because leaders are a core source of role expectations for followers, thus, leaders' ethical behaviors provide followers with an indicator of role ethicality (i.e., suggest the extent to which ethical behavior is expected from someone within a given organization or unit). In two field studies, Paterson and Huang (2019) examine follower role ethicality as a mediating mechanism between ethical leadership and follower unethical behavior, first, in a sample of 462 employees (68 supervisors and 394 of their subordinates) from a large consulting company in China, and second, in a sample of 121 working professionals from multiple companies attending a leadership training workshop in East China. Across both studies, they found follower ratings of leader ethical leadership were positively related to follower perceptions of their own role ethicality, and that those role ethicality perceptions were negatively related to follower unethical behavior (rated by supervisors in study 1 and self-reported in study 2). In addition, the negative effect of ethical leadership on follower unethical behavior depends on high follower ratings of leader ethical voice (i.e., the extent to which leaders speak up in order to uphold norms for appropriate behavior) such that the relationship becomes insignificance when leader ethical voice is low. Paterson and Huang (2019) call for subsequent research to consider role theory in addition to social learning theory in the study of ethical leadership and its outcomes.

Peng, A.C., and Kim, D.A. (2020). Meta-Analytic test of the differential pathways linking ethical leadership to normative conduct. Journal of Organizational Behavior. DOI: 10.1002/job.2427.

These management scholars meta-analyzed a mediation model of the relationships between ethical leadership and follower performance (task performance, organizational citizenship behavior or OCB, and counter-productive workplace behaviors or CWB), using mediators (leader-member exchange or LMX, ethical culture, organizational identification, and trust in leader) chosen because they correspond to the two main theoretical explanations, social learning theory and social exchange theory, for the influence of ethical leadership on follower outcomes. They used data from 301 samples involving 103,354 individuals. Results from a meta-analytic path analysis replicate the finding that ethical leadership has a positive effect on both task and contextual performance also shown by Bedi et al.'s (2016) and Hoch et al.'s (2016) meta-analyses. They use a structural equational model based on meta-correlations to explore the extent to which these effects are mediated. Specifically, ethical leadership had a stronger indirect effect on task performance when mediated by LMX (rather than ethical culture or organizational identification), on OCB when mediated by LMX or ethical culture (rather than organizational identification), and on CWB when mediated by ethical

culture (rather than LMX or organizational identification). These findings held even when job satisfaction was included as a mediator, suggesting that these relationships are not simply a function of job satisfaction. In addition, the full mediation model was run while controlling for the effect of transformational leadership on performance outcomes. This finding suggests that contrary to Hoch et al.'s (2016) findings, ethical leadership provides incremental validity above and beyond transformational leadership when predicting follower performance.

Stouten, J., Van Dijke, M., and De Cremer, D. (2012). Ethical leadership. Journal of Personnel Psychology, 11(1), 1-6. DOI: 10.1027/1866-5888/a000059.

In this introduction to a special issue on ethical leadership in *Journal of Personnel Psychology*, the authors suggest a number of future research directions. For example, what motivates leaders to be ethical, and do the antecedents of ethical leadership matter? Future research is needed to spell out whether moral persons and moral managers are truly perceived as such by followers and whether they will respond differently as a result of this. In addition, future research should explore whether the emergence of ethical leadership is dependent not only on the moral or social norm but also on the perception of ethical awareness, responsibility, and guilt as well as perceived control and personal attitudes. Finally, how do individual followers or leaders ethical match up, and how to they relate to society's values as a whole? Current measures of ethical leadership usually only capture the follower's perspective and disregard these potential idiosyncrasies.

Solinger, O.N., Jansen, P.G., and Cornelissen, J. (2020). The emergence of moral leadership. Academy of Management Review, 45(3), 504-527. DOI: 10.5465/amr.2016.0263.

Solinger et al. (2020) criticize the lack of integration across different areas of organizational research on ethical leadership. They propose a process theory of moral leadership emergence to integrate micro-level research (e.g., ethical leadership at the individual leader level) with macro-level approaches (e.g., corporate social responsibility at the organizational level). Contrary to Brown et al.'s (2005) dominant definition of ethical leadership, Solinger et al. (2020) define moral leadership not as a formal management style, but as an emergent process that any organizational member can perform. Specifically, emergent moral leadership is defined as "a process where a person becomes a focal point of influence in initiating, scaling up, and securing a moral reframing of issues." They posit that "emergent moral leaders essentially defy an existing moral order and spur change in moral systems over time." This process is broken down into six critical steps across three phases. In the first phase, moral leaders begin to initiate the reframing of moral issues within their organizational environment by a) becoming morally aware and b) finding moral courage to speak up in defiance of the status quo. Then, in the scaling up phase, leaders engage in c) coalition building and d) negotiation with others as they shift from individual to collective action around moral issues. Solinger et al. (2020) suggest three ideal-typical approaches that emerging moral leaders can take during this second phase in order to establish a new moral contract with their colleagues: a) the principled theologian (highly entrenched in their own moral convictions and thus frames issues parochially); b) the pragmatic politician (moderately entrenched in their own moral convictions and uses relational framing); or c) the statesman (uses strategic framing given their own moral convictions are not very entrenched). Finally, in the securing phase, moral leaders and their followers move through two final steps, e) formalization and f) guardianship, in order to maintain the new moral order that they have created. Soligner et al.'s (2020) idea of moral leadership as behaving contrary to preestablished norms implicitly reflects Kaptein's (2019) moral entrepreneurship theory. Such theories provide a stark contrast to the dominant paradigm of defining ethical leadership as upholding what has already been established as normatively appropriate in a given organizational context.

Treviño, L.K., Brown, M., and Hartman, L.P. (2003). A qualitative investigation of perceived executive ethical leadership: Perceptions from inside and outside the executive suite. Human Relations, 56(1), 5-37. DOI: 10.1177%2F0018726703056001448.

This paper reports the results of an inductive, qualitative study. The study was based on the same interview data referenced in Treviño et al. (2000), who argued that "ethical leadership" is not only a collection of traits such as honesty and integrity but also requires a transactional component to guide ethical behavior of others. This study focused on ethical leadership at the executive level, and examined the following overarching research question: How is executive leadership perceived and understood by those inside and outside the executive suite? Interviews were conducted with 40 corporate ethics/compliance officers and senior executive leaders from medium to large American companies. Transcripts were content analyzed in order to a) Identify categories or common themes; and b) Sort responses into categories. This led to the identification of 5 broad themes associated to what people consider "ethical leadership": people orientation, visible ethical actions and traits, standard setting and accountability, broad ethical awareness, decision-making processes.

Treviño, L.K., Hartman, L.P., and Brown, M. (2000). Moral person and moral manager: How executives develop a reputation for ethical leadership. California Management Review, 42(4), 128-142. DOI: 10.2307%2F41166057.

This paper proposes a new theory of ethical leadership based on interview data from 40 senior executives and corporate ethics officers. The main argument is that in order for a leader to perform "ethical leadership" they must develop a "reputation for ethical leadership." To do so, others must see the leader as both a moral person (with individual traits such as honesty, integrity, etc.) and a moral manager (who fosters an ethical culture that inspires subordinates to be ethical themselves). The authors argue that having a reputation for ethical leadership is essential for top management leaders to influence the ethicality of lower-level subordinates because many of those subordinates do not directly interact with top executives enough to model their actual behavior, and instead attempt to replicate their own perceptions of leader behaviors

Appendix A-2: LIST OF KEY ETHICAL LEADERSHIP MEASURES

Ethical Leadership Scale (Brown et al., 2005)
Scoring: Typically administered using a 5-point Likert scale with response options *strongly disagree* (1) to *strongly agree* (5).
Reference: Brown, M.E., Treviño, L.K., and Harrison, D. (2005). Ethical leadership: A social learning perspective for construct development and testing. Organizational Behavior and Human Decision Processes, 97(2), 117-134.
Items
1.   Listens to what employees have to say.
2.   Disciplines employees who violate ethical standards.
3.   Conducts his/her personal life in an ethical manner.
4.   Has the best interests of employees in mind.
5.   Makes fair and balanced decisions.
6.   Can be trusted.
7.   Discusses business ethics or values with employees.
8.   Sets an example of how to do things the right way in terms of ethics.
9.   Defines success not just by results but also the way that they are obtained.
10. When making decisions, asks "what is the right thing to do?"

The Ethical Leadership Questionnaire (Yukl, 2013)

Instructions: This questionnaire is designed to study the relevance of ethics to effective leadership. The term "unit" refers to the team, department, division, or company for which your boss is the formal leader, and the term "members" refers to the people in the unit who report directly to your boss. Please indicate how well each of the following statements describes your current boss by selecting one of the following response choices (1 = Strongly Disagree; 6 = Strongly Agree). Write the number of the choice on the line provided. Leave the item blank if you do not know the answer.

Reference: Yukl, G., Mahsud, R., Hassan, S., and Prussia, G.E. (2013). An improved measure of ethical leadership. Journal of Leadership & Organizational Studies, 20(1), 38-48. DOI: 10.1177%2F1548051811 429352.

Item stem: **My boss…**

1.	Shows a strong concern for ethical and moral values.
2.	Communicates clear ethical standards for members.
3.	Sets an example of ethical behavior in his/her decisions and actions.
4.	Is honest and can be trusted to tell the truth.
5.	Keeps his/her actions consistent with his/her stated values ("walks the talk").
6.	Is fair and unbiased when assigning tasks to members.
7.	Can be trusted to carry out promises and commitments.
8.	Insists on doing what is fair and ethical even when it is not easy.
9.	Acknowledges mistakes and takes responsibility for them.
10.	Regards honesty and integrity as important personal values.
11.	Sets an example of dedication and self-sacrifice for the organization.
12.	Opposes the use of unethical practices to increase performance.
13.	Is fair and objective when evaluating member performance and providing rewards.
14.	Puts the needs of others above his/her own self-interest.
15.	Holds members accountable for using ethical practices in their work.

Ethical Leadership at Work Questionnaire (Kalshoven et al., 2011)	
Reference: Kalshoven, K., Den Hartog, D.N., and De Hoogh, A.H.B. (2011). Ethical Leadership at Work questionnaire (ELW): Development and validation of a multidimensional measure. The Leadership Quarterly, 22(1), 51-69. DOI: 10.1016/j.leaqua.2010.12.007.	
Item stem: **My leader…**	*Construct Dimensions*
1. Holds me accountable for problems over which I have no control.	Fairness
2. Holds me responsible for work that I gave no control over.[a]	
3. Holds me responsible for things that are not my fault.[a]	
4. Pursues his/her own success at the expense of others.[c]	
5. Is focused mainly on reaching his/her own goals.[c]	
6. Manipulates subordinates.[a]	
7. Allows subordinates to influence critical decisions.[b]	Power sharing
8. Does not allow others to participate in decision making.[b]	
9. Seeks advice from subordinates concerning organizational strategy.[b]	
10. Will reconsider decisions on the basis of recommendations by those who report to him/her.[b]	
11 Delegates challenging responsibilities to subordinates.[b]	
12. Permits me to play a key role in setting my own performance goals.[b]	
13. Indicates what the performance expectations of each group member are.[b]	Role clarification
14. Explains what is expected of each group member.[b]	
15. Explains what is expected of me and my colleagues.[b]	
16. Clarifies priorities. [b]	
17. Clarifies who is responsible for what.[b]	
18. Is interested in how I feel and how I am doing.	People orientation
19. Takes time for personal contact.	
20. Pays attention to my personal needs.[d]	
21. Takes time to talk about work-related emotions.	
22. Is genuinely concerned about my personal development.	
23. Sympathizes with me when I have problems.[f]	
24. Cares about his/her followers.	
25. Would like to work in an environmentally friendly manner.	Concern for sustainability
26. Shows concern for sustainability issues.	
27. Stimulates recycling of items and materials in our department.	

Item stem: **My leader…**	*Construct Dimensions*
28. Clearly explains integrity related codes of conduct.	Ethical guidance
29. Explains what is expected from employees in terms of behaving with integrity.	
30. Clarifies integrity guidelines.[b]	
31. Ensures that employees follow codes of integrity.	
32. Clarifies the likely consequences of possible unethical behavior by myself and my colleagues.[e]	
33. Stimulates the discussion of integrity issues among employees. [c]	
34. Compliments employees who behave according to the integrity guidelines.[e]	
35. Keeps his/her promises.	Integrity
36. Can be trusted to do the things he/she says.	
37. Can be relied on to honour his/her commitments.[d]	
38. Always keeps his/her words.	

Note: Kalshoven et al.'s (2011) scale integrates various previously established scales.

[a] Item adapted from Den Hartog, D.N. and De Hoogh (2009). Empowerment and leader fairness and integrity: Studying ethical leader behavior: From a levels-of-analysis perspective. European Journal of Work and Organizational Psychology, 18, 199-230.

[b] Item adapted from De Hoogh, A.H.B., and Den Hartog, D.N. (2008). Ethical and despotic leadership, relationships with leader's social responsibility, top management team effectiveness and subordinates' optimism: A multi-method study. Leadership Quarterly, 19, 297-311.

[c] Item adapted from Arnaud, A.U. and Schminke, M. (2006). Beyond the organizational bases of ethical work climates: A new theory and measure. Paper presented at the 66th Annual Meeting of the Academy of Management, Atlanta August.

[d] Item adapted from House, R.J. (1998). Appendix: Measures and assessments for the charismatic leadership approach: Scales, latent constructs loadings, Cronbach alphas, and interclass correlations. In F. Danserau and F.J. Yammarino (Eds.), *Leadership: The multiple-level approaches: Contemporary and alternative*, Vol. 24, Part B. (pp. 23-29). Stamford: JAI Press INC.

[e] Item adapted from Brown, M.E., Treviño, L.K., and Harrison, D.A. (2005). Ethical leadership: A social learning perspective for construct development and testing. Organizational Behavior and Human Decision Processes, 97, 117-134.

[f] Item adapted from Craig, S.B. and Custafson, S.B. (1998). Perceived Leader Integrity Scale: An instrument for assessing employee perceptions of leader integrity. *Leadership Quarterly, 9*, 127-145.

Annex B – MEASURES USED TO ASSESS FACTORS AFFECTING ETHICAL LEADERSHIP

B.1 ETHICAL LEADERSHIP

Ethical Leadership Scale

(Yukl et al., 2013; Brown et al., 2005)

Instructions: Please indicate how well each of the following statements describes your current boss by selecting one of the following response choices. Write the number of the choice on the line provided. Leave the item blank if you do not know the answer.

1	2	3	4	5	6
Strongly Disagree	**Moderately Disagree**	**Slightly Disagree**	**Slightly Agree**	**Moderately Agree**	**Strongly Agree**

Ethical leadership Questionnaire (Yukl et al., 2013)
1.   Shows a strong concern for ethical and moral values.
2.   Communicates clear ethical standards for members.
3.   Sets an example of ethical behavior in his/her decisions and actions.
4.   Is honest and can be trusted to tell the truth.
5.   Keeps his/her actions consistent with his/her stated values ("walks the talk").
6.   Is fair and unbiased when assigning tasks to members.
7.   Can be trusted to carry out promises and commitments.
8.   Insists on doing what is fair and ethical even when it is not easy.
9.   Acknowledges mistakes and takes responsibility for them.
10.   Regards honesty and integrity as important personal values.
11.   Sets an example of dedication and self-sacrifice for the organization.
12.   Opposes the use of unethical practices to increase performance.
13.   Is fair and objective when evaluating member performance and providing rewards.
14.   Puts the needs of others above his/her own self-interest.
15.   Holds members accountable for using ethical practices in their work.
Items from Ethical leadership Scale (Brown et al., 2005)
16.   Disciplines employees who violate ethical standards.
17.   Defines success not just by results but also the way that they are obtained.
18.   When making decisions, asks "what is the right thing to do?"

B.2 VALUES AND PERSONALITY

VALUES: Achievement; Benevolence; Conformity; and Universalism

PERSONALITY: Conscientious (Achievement Striving); and Agreeableness

Assessed using facets of the International Personality Item Pool (18 items)
(Goldberg et al., 2006)

OCEAN.20 Personality (2 items)
(O'Keefe, Kelloway, and Francis, 2012)

Using the scale below, describe yourself as you honestly see yourself (not as you wish to be), in relation to other people you know of the same sex and roughly your same age. Indicate how accurately each statement describes you using the following rating scale:

1) Very Inaccurate.

2) Moderately Inaccurate.

3) Neither Accurate Nor Inaccurate.

4) Moderately Accurate.

5) Very Accurate.

Construct	IPIP Facet	Item	1	2	3	4	5
Achievement	Achievement – Striving	Work hard.					
Achievement		Turn plans into actions.					
Achievement		Set high standards for myself and others.					
Achievement		Demand quality.					
Benevolence	Altruism	Anticipate the needs of others.					
Benevolence		Strive to help others.					
Benevolence		Am concerned about others.					
Benevolence		Make people feel welcome.					
Conformity	Dutifulness	Follow the rules.					
Conformity		Keep my promises.					
Conformity		Pay my bills on time.					
Conformity		Tell the truth.					
Universalism	Trust	Believe in human goodness.					
Universalism		Trust what people say.					
Universalism		Believe that people are basically moral.					
Universalism		Believe that others have good intentions.					
Agreeableness	Sympathy	Feel sympathy for those who are worse off than myself.					
Agreeableness		Value cooperation over competition.					
Agreeableness	**OCEAN.20** Agreeableness	Am always generous when it comes to helping others.					
Agreeableness		Always treat other people with kindness.					

B.3   MORAL EFFICACY

Moral Efficacy
(Hannah and Avolio, 2010)

In looking at the following statements, when you think of your knowledge, skills, and abilities, indicate your level of confidence in your ability to accomplish each item below.

1	2	3	4	5
Not at all confident	**A little confident**	**Somewhat confident**	**Mostly confident**	**Totally confident**

I am confident that I can…

1	…confront others who behave unethically to resolve the issue.
2	…readily see the moral/ethical implications in the challenges I face.
3	…work with others to settle moral/ethical disputes.
4	…take decisive action when addressing a moral/ethical decision.
5	…determine what needs to be done when I face moral/ethical dilemmas.

Additional Items reference Reasonable Challenge:

When confronting others on ethical issues, I…

1) …am courteous and polite.

2) …use logic and reasoning to explain my point.

3) …consider interpersonal dynamics.

4) …and keep the dialogue professional.

5) …raise the issues in a timely manner.

6) …receive challenge positively and respectfully.

7) …promote diversity of thought to avoid group think.

8) …encourage and include broad evidential discussion when considering the challenge.

9) …take forward the challenge with more senior colleagues on behalf of those who are unable.

B.4   MACHIAVELLIANISM

Machiavellianism
Christie and Geis (1970)

Listed below are a number of statements. Each represents a commonly held opinion and there are no right or wrong answers. You will probably disagree with some items and agree with others. We are interested in the extent to which you agree or disagree with such matters of opinion. Read each statement carefully. Then indicate the extent to which you agree or disagree using the scale below.

1	2	3	4	5	6	7
Disagree strongly	**Disagree somewhat**	**Disagree slightly**	**Neutral**	**Agree slightly**	**Agree somewhat**	**Agree strongly**

1.	Never tell anyone the real reason you did something unless it is useful to do so.
2.	The best way to handle people is to tell them what they want to hear.
3.	One should take action only when sure it is morally right. (R)
4.	Most people are basically good and kind. (R)
5.	It is safest to assume that all people have a vicious streak and it will come out when they are given a chance.
6.	Honesty is the best policy in all cases. (R)
7.	There is no excuse for lying to someone else. (R)
8.	Generally speaking, people don't work hard unless they're forced to do so.
9.	All in all, it is better to be humble and honest than to be important and dishonest. (R)
10.	When you ask someone to do something for you, it is best to give the real reasons for wanting it rather than giving reasons which carry more weight. (R)
11.	Most people who get ahead in the world lead clean, moral lives. (R)
12.	Anyone who completely trusts anyone else is asking for trouble.
13.	The biggest difference between most criminals and other people is that the criminals are stupid enough to get caught.
14.	Most people are brave. (R)
15.	It is wise to flatter important people.
16.	It is possible to be good in all respects. (R)
17.	Barnum was wrong when he said that there's a sucker born every minute. (R)
18.	It is hard to get ahead without cutting corners here and there.
19.	People suffering from incurable diseases should have the choice of being put painlessly to death.
20.	Most people forget more easily the death of a parent than the loss of their property.

B.5 ETHICAL SENSITIVITY

Impact of Life Events Scale
MacIntyre, Doty, and Xu (2016)

Below, you will be presented with a series of brief vignettes representing everyday events that might occur in anyone's life. Each vignette is accompanied by two statements and a response scale. Using the scale beside each question, please fill in the circle that corresponds with your level of agreement/disagreement with the given statement.

1	2	3	4	5	6
Strongly Agree	**Agree**	**Somewhat Agree**	**Somewhat Disagree**	**Disagree**	**Strongly Disagree**

1. You are walking to the coffee break area at work and notice a colleague's office door slightly opened. You glance into the room and notice the individual watching pornography.						
• This would upset me.	1	2	3	4	5	6
• I would not think negatively about this.	1	2	3	4	5	6
[Ethical – Moderate]						

2. One of your employees, Jamie, a strong performer, has become a respected colleague and friend. Jamie is a front runner for a promotion to a management position. During a routine background check you discover that Jamie used a falsified resume and should not have been hired.						
• This would upset me.	1	2	3	4	5	6
• I would not think negatively about this.	1	2	3	4	5	6
[Ethical – Extreme]						

3. While going for a walk one day you hear some loud noises coming from behind a large fence. You peek through a hole in the fence and notice a few people hitting dogs with sticks and clubs						
• This would upset me.	1	2	3	4	5	6
• I would not think negatively about this.	1	2	3	4	5	6
[Ethical – Extreme]						

4. You work in a small office and feel that one of your married co-workers, Jamie, is behaving inappropriately towards a subordinate - Jesse. What started as casual flirting has progressed to suggestive comments and outright harassment. Jesse's discomfort is obvious. You find out Jesse is a single parent and can't afford to lose this job.						
• This would upset me.	1	2	3	4	5	6
• I would not think negatively about this.	1	2	3	4	5	6
[Ethical – Extreme]						

5. You are a soldier on a peacekeeping mission in a foreign country. After 2 months in the country you have come to the realization that the only way to get host-nation support is through the use of bribes.						
• This would upset me.	1	2	3	4	5	6
• I would not think negatively about this.	1	2	3	4	5	6
[Ethical – Moderate]						

6. You read in the newspaper about a young child being kidnapped.						
• This would upset me.	1	2	3	4	5	6
• I would not think negatively about this.	1	2	3	4	5	6
[Distractor – Moderate]						
7. You are a company commander on a training exercise and notice that, as required by regulations, a few soldiers are not wearing their helmets while traveling in open vehicles.						
• This would upset me.	1	2	3	4	5	6
• I would not think negatively about this.	1	2	3	4	5	6
[Ethical – Moderate]						
8. While going for a walk one day you hear some noises coming from behind a large fence. You peek through a hole in the fence and notice a few people shooting water pistols at two dogs.						
• This would upset me.	1	2	3	4	5	6
• I would not think negatively about this.	1	2	3	4	5	6
[Ethical – Moderate]						
9. You hear on the radio there are protests and violence occurring overseas and the protestors are burning your country's flag.						
• This would upset me.	1	2	3	4	5	6
• I would not think negatively about this.	1	2	3	4	5	6
[Distractor – Moderate]						

B.6 ORGANIZATIONAL TRUST

Organizational Trust Scale

(Note: the word is *military* added)

(Gabarro and Athos, 1976)

Please answer the following questions using the rating scale below.

1	2	3	4	5
Strongly Disagree	**Disagree**	**Neutral**	**Agree**	**Strongly Agree**

		1	2	3	4	5
1.	I am not sure I fully trust my military organization. (R)	1	2	3	4	5
2.	My military organization is open and upfront with me.	1	2	3	4	5
3.	I believe my military organization has high integrity.	1	2	3	4	5
4.	In general. I believe my military organization's motives and intentions are good.	1	2	3	4	5
5.	My military organization is not always honest and truthful. (R)	1	2	3	4	5
6.	I don't think my military organization treats me fairly. (R)	1	2	3	4	5
7.	I can expect my military organization to treat me in a consistent and predictable fashion.	1	2	3	4	5

B.7 ETHICAL CLIMATE

Canadian Forces Organizational Climate Questionnaire *(Rules and Caring Climate)*
(Kelloway, Barling, Harvey, and Adams-Roy, 1999)

For each of the following statements, please rate the extent of your agreement concerning how things are right now using the following scale. The items that refer to your" unit" mean your immediate working unit. The items that refer to the "organization" mean the Military in general.

1	2	3	4	5
Strongly Disagree	**Disagree**	**Neutral**	**Agree**	**Strongly Agree**

RULES (i.e., organizational emphasis on following rules)					
1.	In this unit we go strictly "by the book."	1	2	3	4	5
2.	It is very important to follow regulations here.	1	2	3	4	5
3.	Everybody is expected to follow regulations to the letter.	1	2	3	4	5
4.	Successful people in this unit adhere strictly to regulations.	1	2	3	4	5
5.	In this organization we go strictly by the book.	1	2	3	4	5
6.	This organization has regulations that are strictly followed.	1	2	3	4	5
7.	This organization enforces the rules and regulations.	1	2	3	4	5
CARING					
8.	In this unit we stick together.	1	2	3	4	5
9.	In this unit we look out for one another.	1	2	3	4	5
10.	In this unit we protect each other.	1	2	3	4	5
11.	In this unit, it is expected that each member takes care of his/her coworkers.	1	2	3	4	5
12.	In this unit it is important to look out for your own interests. (R)	1	2	3	4	5

B.8   SITUATIONAL STRENGTH

Situational Strength at Work[1]
Meyer et al., (2014)

Listed below are a number of statements pertaining to your organization. Please indicate the extent to which you agree or disagree using the scale below.

1	2	3	4	5	6	7
Disagree strongly	**Disagree somewhat**	**Disagree slightly**	**Neutral**	**Agree slightly**	**Agree somewhat**	**Agree strongly**

In my organization…

Clarity

1) …specific information about work-related responsibilities is provided.

2) …easy-to-understand information is provided about work requirements.

3) … straightforward information is provided about what personnel need to do to succeed.

4) … personnel are told exactly what to expect.

5) … precise information is provided about how to properly do one's job.

6) … specific information is provided about which tasks to complete.

7) … personnel are told exactly what is expected from them.

Consistency

1) … different sources of work information are always consistent with each other.

2) … responsibilities are compatible with each other.

3) … all requirements are highly compatible with each other.

4) … procedures remain completely consistent over time.

5) … supervisor instructions match the organization's official policies.

6) … informal guidance typically matches official policies.

7) … information is generally the same, no matter who provides it.

Constraints

1) … personnel are prevented from making their own decisions.

2) … constraints prevent personnel from doing things in their own way.

3) … personnel are prevented from choosing how to do things.

4) … personnel's freedom to make decisions is limited by other people.

5) … outside forces limit personnel freedom to make decisions.

6) … procedures prevent personnel from working in their own way.

7) … other people limit what personnel can do.

---

[1] The word "employee" was replaced with "personnel."

Consequences

    1) … personnel's decisions have extremely important consequences for other people.

    2) … very serious consequences occur when personnel make an error.

    3) … important outcomes are influenced by personnel's actions.

    4) … other people are put at risk when personnel performs poorly.

    5) … mistakes are more harmful than they are for almost all other jobs.

    6) … tasks are more important than those in almost all other jobs.

    7) … there are consequences if personnel deviate from what is expected.

B.9 PSYCHOLOGICAL SAFETY

Team Psychological Safety[2]
Edmondson, A. (1999).

Listed below are a number of statements pertaining to your organization. Please indicate the extent to which you agree or disagree using the scale below.

1	2	3	4	5	6	7
Disagree strongly	**Disagree somewhat**	**Disagree slightly**	**Neutral**	**Agree slightly**	**Agree somewhat**	**Agree strongly**

1) If you make a mistake on this team, it is often held against you.

2) Members of this team are able to bring up problems and tough issues.

3) People on this team sometimes reject others for being different.

4) It is safe to take a risk on this team.

5) It is difficult to ask other members of this team for help.

6) No one on this team would deliberately act in a way that undermines my efforts.

7) Working with members of this team, my unique skills and talents are valued and utilized.

---

[2] Data was not collected on Psychological Safety.

B.10 PERSON-ORGANIZATION FIT

Person-Organization Fit
(Cable and DeRue, 2002)

Please answer the following questions using the rating scale below.

1	2	3	4	5
Strongly Disagree	**Disagree**	**Neutral**	**Agree**	**Strongly Agree**

1.	The things that I value in life are very similar to the things that my organization values.	1	2	3	4	5
2.	My personal values match my organization's values and culture.	1	2	3	4	5
3.	My organization's values and culture provide a good fit with the things that I value in life.	1	2	3	4	5

B.11   CULTURAL COMPLEXITY

The Universal Orientation Scale (no prejudice)
Phillips and Ziller (1997)

Using the rating scale below, please rate the following questions on how well they describe you .

1	2	3	4	5
Does not describe me well		**Neutral**		**Describes me very well**

1) The similarities between males and females are greater than the differences.

2) I tend to value similarities over differences when I meet someone.

3) At one level of thinking we are all of a kind.

4) I can see myself fitting into many groups.

5) Little differences among people mean a lot.

6) I can see myself fitting into many groups.

7) There is a potential for good and evil in all of us.

8) When I look into the eyes of others I see myself.

9) I could never get accustomed to living in another country.

10) When I first meet someone, I tend to notice differences between myself and the other person.

11) Between describes my position with regard to groups better than does "in" and "out."

12) The same spirit dwells in everyone.

13) Older persons are very different than I am.

14) I can tell a great deal about a person by knowing their gender.

15) There is certain beauty in everyone.

16) I can tell a great deal about a person by knowing his/her age.

17) Men and women will never totally understand each other because of their inborn differences.

18) Everyone in the world is very much alike because in the end we all die.

19) I have difficulty relating to persons who are much younger than I.

20) When I meet someone I tend to notice similarities between myself and the other person.

B.12 ROLE STRESS

Role Stress Scale
Adapted from Occupational Strain Inventory

(Osipow and Spokane, 1983)

Rate the frequency with which they experienced stressors at work using the following scale:

1	2	3	4
Never	**Rarely**	**Sometimes**	**Frequently**

Role Overload
1. I feel I have more to do than I can comfortably handle.
2. I work under tight deadlines.
3. My job requires me to work on several equally important tasks at once.
Role Ambiguity
4. When faced with several tasks at once I know which should be done first.
5. I have a clear understanding of how my supervisor wants me to spend my time.
6. The priorities of my work are clear to me.
Role Conflict
7. My supervisors have conflicting ideas about what I should be doing.
8. I have more than one person telling me what to do.
9. I generally have divided loyalties at work.

Annex C – ETHICAL LEADERSHIP CASE STUDIES

This Annex contains 50 ethical case studies. Instructor guidelines for use with these case studies can be found in Chapter 4.

MATRIX OF NATO ETHICAL DILEMMA CASE STUDIES

NATO	Case Study Title	Type of Ethical Dilemma					
		Harm Dilemma	Uncertainty Dilemma	Competing Values Dilemma	Test of Integrity	In Garrison (G) or on Operations (O)	Ethical Decision Intensity /10
01	How it is done around here	X		X	X	G	2
02	The morgues are full		X			O	2
03	Inappropriate gift	X	X			G	2
04	Fit for promotion		X		X	G	2
05	Question of sobriety	X		X		G	2
06	Deployment decision			X		G	2
07	Conduct unbecoming			X		G	2
08	Unit inequities	X	X	X		G	3
09	Suicide ideation	X	X	X		G	3
10	A question of culture		X	X		O	3
11	Social media presence	X	X			G	3
12	The meaning of camaraderie		X	X		G	3
13	Drinking commander	X		X		O	3
14	Occupation transfer	X		X	X	G	3
15	Expert operator 1		X	X		G	3
16	Can you force equality?	X	X	X		G	3
17	Expert operator 2	X		X	X	G	3
18	Cheating students	X		X	X	G	3

NATO	Case Study Title	Type of Ethical Dilemma					
		Harm Dilemma	Uncertainty Dilemma	Competing Values Dilemma	Test of Integrity	In Garrison (G) or on Operations (O)	Ethical Decision Intensity /10
19	Eye candy	X	X		X	G	3
20	Questionable order	X		X	X	O	3
21	Tough initiation	X		X	X	G	4
22	Harassment	X	X			G	4
23	Troubling bigotry	X		X	X	O	4
24	Gender discrimination	X	X	X	X	G	4
25	Missing parents	X		X		O	4
26	Harsh discipline	X	X	X		O	4
27	Inappropriate symbols	X		X		O	4
28	Intoxicated accident	X		X		G	5
29	Is fraud justified?			X		G	5
30	Civilian disagreement	X				O	5
31	Removal from training	X		X	X	G	5
32	Rescue or not	X	X			O	5
33	Political dilemma			X		O	6
34	Injured child	X	X	X		O	6
35	Sexual assaults	X	X	X	X	O	6
36	Friendly fire	X	X	X		O	6
37	Anti-venom or not	X		X	X	O	6
38	Serial sex offender	X				G	7

NATO	Case Study Title	Type of Ethical Dilemma					
		Harm Dilemma	Uncertainty Dilemma	Competing Values Dilemma	Test of Integrity	In Garrison (G) or on Operations (O)	Ethical Decision Intensity /10
39	Rescue mission	X		X		O	7
40	Sexual misconduct	X		X		G	7
41	Flood warning	X		X		O	7
42	Risky informant situation	X		X		O	7
43	Evidence of abuse	X	X	X		O	7
44	Mandatory vaccinations	X				G	7
45	Tasers and assault	X	X	X		O	8
46	Kinetic strike	X		X		O	8
47	Desperate to escape	X	X	X		O	8
48	Possible revenge and war crimes	X	X			O	9
49	Medical cover-up	X		X	X	O	9
50	Collateral damage	X		X		O	9

Case Number: NATO 01   **Case Intensity 2/10**   **How it is Done Around Here**

You are a newly commissioned twenty-two year old officer posted to your very first military unit. You are advised by your boss (a major) that he and a captain from your unit were going on a brief duty trip to a city located about 300 k from your base. The major says that he has arranged for you to accompany them because your boss saw this as a valuable learning opportunity. The captain would be driving a car and the trip would include one night in a hotel. You have already formed a positive impression of your major and the captain you would be traveling with also seemed like a great person. You view the invitation as exciting and look forward to the experience.

When you return from the trip, you submit your travel itinerary (dates, times) to the claims clerk along with your hotel receipt. When the clerk calls you to sign your claim, you discover that she has changed your return time to your home base from 1600 Hrs to 1900 Hrs. When you question the change, she declares that this was to be consistent with what the major and captain had submitted because you were traveling together. You go to speak to the captain who explains that the changed timing means that the reimbursement would include the per diem rate for a supper meal, so it is a bit of a bonus. You feel that this is wrong and wondered to the captain if you should raise this with the major. The captain orders you keep quiet and not speak to the major. The captain, clearly upset by your suggestion, declared that everyone altered claim timings like this.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) You are newly commissioned and still learning your position.

2) You are much younger than the major and captain.

3) Altering an official document was fraudulent.

4) You have been given an order by a higher ranked officer.

Ethical Factors

Individual Variables

1) You have a strong sense of values.

2) This is your first real military position.

3) You are still learning about the organizational culture.

4) You believe that the actions taken by the Major and captain are wrong.

Organizational Variables

1) If everybody does this, then the ethical culture is weak.

2) You are too junior to even understand that not all orders are legitimate.

Situational Variables

1) The claims clerk seemed to be well aware of what was happening.

2) You have already angered the captain, you did not wish to anger the major.

3) You feel a sense of obligation to the captain and major because they did something good for you.

Type of Ethical Dilemma

One could argue that this is a *Competing Values Dilemma* (loyalty to the major and captain versus Duty). It could also be a minor form of *Harm Dilemma* – do nothing and the organization suffers a theft yet, do something and harm your working relationships. Deep down, you know the correct thing to do, so this is not an *Uncertainty Dilemma*. Because the correct action is clear, this is a *Test of Integrity* – you know the correct decision, but compelling factors may interfere with you doing the right thing.

Possible Options

1) Do nothing.

2) Do nothing. But, report the situation within your chain of command.

3) Speak to the major and insist that he correct the timings.

4) Take action by informing the claims clerk to adjust the timings for your claim.

Optional Challenge Questions

1) Would you react differently if the claims clerk expressed concern about being party to a lie?

2) How would you handle the situation if you had also been appointed recently as the unit ethics coordinator?

Case Number: NATO 02   **Case Intensity 2/10**   **The Morgues are Full**

You have served in the armed forces of your country for almost 20 years; your current rank is lieutenant colonel. You have been advised by your superiors that operational experience in a command position is a requirement for being promoted to Colonel and subsequently being offered a posting as brigade-level commander in your country. With this in mind, you accept a six-month deployment as one of the contingent leaders for your armed forces. For this deployment, two nations operate in a single base under the command of a senior officer from your partner nation. This partner nation is extremely committed to building a good relationship with the local population and, despite significant cultural differences, it strives to do its best to understand how things are done in this part of the world.

You serve as the deputy commander of the base. Your base operates autonomously in the area of a larger coalition. The commander of the base is on vacation in his home country, and you are the acting commander during his absence.

The base has ordered a local construction entrepreneur to build a new check point at about 40 km. from your camp. Upon completion of a day's work, the entrepreneur starts his drive away from the construction site. As per a pre-arranged agreement he is escorted to a point where the local police are expected to escort him the rest of the way to town. There had been some threats that rebels may attack the entrepreneur as revenge for his "fraternizing" with Western military troops. However, the local police did not arrive as scheduled. After waiting for a considerably long time, the entrepreneur decided to head for the city with his workers. On his way, he is attacked by people who are apparently rebels. He ends up dead by the roadside with several gunshot wounds in his body. None of the other workers are injured.

Some of the soldiers and advisors at the base want to place the body in a morgue at the camp for a day and a half. The arguments are: "he took the bullets for us" and "the city morgues are full." This is apparently also the wish of the entrepreneur's family. However, some of the advisors do not think it is a good idea because no local people have had access to the base and the procedure was not covered by regulations. The body would need to stay in the morgue until the family could carry out a funeral in accordance with the local customs and religion. In practice, this would be 24 hours.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) You have only been in the country for a short period.

2) The culture is very different from your own.

3) Resources are limited.

4) The wish of the partner nation is clear.

5) Your expert advisors are not in agreement about what should be done.

6) Your decision will have a bearing on how the locals perceive your troops (and all the coalition troops).

7) Either way you decide, your decision will not please all the locals and or all your own advisors.

Ethical Factors

Individual Variables

1) You have a strong sense of values and professionalism.

2) You are unfamiliar with the nation's culture and its expectations.

3) As deputy commander, you want to act according to the commander's wish.

4) You do not think that your platoon, or you, are responsible for what happened.

Organizational Variables

1) You don't know how higher-level leaders will react.

2) You don't know how the local people will react.

3) The values of the partner nation differ slightly from those of your country's armed forces.

Situational Variables

1) You do not know the consequences of either decision you could make.

Type of Ethical Dilemma

This is an *Uncertainty Dilemma*. There are no competing values, and your decisions will not lead to additional harm.

Possible Options

1) You take the body in the base.

2) You do not take the body in the base.

Optional Challenge Questions

1) Your troops only escorted the workers for a portion of the trip. If there were questions regarding whether they should have continued with the escort when the police failed to appear, would this alter your decision?

2) The partner nation is extremely committed to building a good relationship with the local population. How much will this knowledge affect your decision?

Case Number: NATO 03   **Case Intensity 2/10**   **Inappropriate Gift**

You are the commander of a relatively newly formed company. Your unit is composed of almost all males, but there is one female member. This is a diverse group with different professional backgrounds, military experiences, and a wide range of ages. From your perspective as company commander, you assess the relations and attitudes in the unit very positively and you are pleased with how well they have been performing. The young female member of your company recently announced that she would be leaving the unit. She has been a member of this unit for several months; it was her first posting after entering the military. But she has received word that she was being transferred to an appointment in a new position. Even though she was a very junior member of the unit she has performed her tasks well and established collaborative relations with other unit members. Before leaving the unit, she invited her fellow soldiers to a small farewell party inside the military barracks. The fellows bought her a small farewell gift. It turned out the gift consisted of a sex toy and a cookbook. You discover the nature of the gift shortly before the party and you feel that this gesture is not a proper one.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) You are an experienced and competent leader.

2) You assess the relations and attitudes in the unit positively.

3) The unit is performing very well, all the members perform their duties effectively and responsibly.

4) There are no special military regulations regarding the gender, gender equality is respected.

5) There have not been any reported incidents in the unit so far.

Ethical Factors

Individual Variables

1) You have a strong sense of professionalism and strong ethical motivation to behave morally.

2) You have no prior experiences with gender mixed military units.

3) You do not know why this specific gift was chosen among the unit members.

4) You cannot predict how the female soldier will react to the gift.

Organizational Variables

1) Gender mixed units are relatively new in the military.

2) There are no special military regulations regarding the gender.

Situational Variables

1) The relations and attitudes among unit members, including a female one, are good.

2) Invitation to a farewell party is a friendly gesture that contributes to the good organizational climate.

3) The party took place in the military barracks.

4) You find you about the gift a minute before the party starts.

Type of Ethical Dilemma

This is a *Harm Dilemma.* If you allow the gift to be given the female soldier will likely react negatively. If you refuse to let the men give the gift, they will feel that they have let their commander down and worry about career repercussions. You also know that your wrong reaction could provoke some interpersonal conflicts or other kinds of damage in the unit cohesion or complaints to higher command. It is also an *Uncertainty Dilemma*. You do not know the true nature of the relationship between the young woman and the men in the unit. It is possible that the gift will be accepted as an appropriate joke.

Possible Options

1) Do nothing.

2) Approve the gift (as a gift, no moral judgments).

3) Intervene moderately. Ask the female soldier to be prepared for a joke.

4) Intervene. Forbid the handover of the gift.

5) Intervene. Forbid the party.

Optional Challenge Questions

1) How would you react if this was an all-female unit, and the departing member was the sole young male in the unit?

2) How would you respond if you noticed that the gift was labelled as being from all unit members and your name is included?

Case Number: NATO 04   **Case Intensity 2/10**   **Fit for Promotion**

You are a junior non-commissioned officer (NCO) responsible for administering your unit's Physical Training (PT) tests. One of the individuals taking the test is an NCO who is up for promotion but can only be promoted if they score maximum points on their PT test. The individual maxed out the running and sit-up portions of the test but unfortunately was one push-up away from getting a max score. At the end of the test, the individual approaches you as the grader and ask that you change the score on their PT card. Even though they outrank you, you tell them there is nothing you can do and record the correct information on the PT card.

One month later, you see promotion eligibility has been posted and notice that the NCO who asked for their PT test scores to be falsified has made the list. You are confused, because the only way this NCO could have been eligible for promotion was if they maxed out the PT test, which you know they did not. The idea that this individual was recommended for promotion based on false information is concerning. You ask to see the NCO's last PT card. It appears the information was entered incorrectly, to show that the NCO earned the highest scores in all categories, but your name has been removed from the record and replaced with another grader whom you do not know.

What do you do?

<div align="center">

Instructor's Guidelines

Assessment of the Situation

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Facts:

1) On the PT test you administered, the NCO passed, but did not attain a maximum score.

2) A maximum score was required for promotion for this NCO.

3) You recorded the information correctly and submitted it.

4) The test information was changed.

5) Your name was replaced on the scorecard.

<div align="center">

Ethical Factors

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Individual Variables

1) You value restraint when it comes to actions that go against how things are typically done.

2) You would prefer to discuss this dilemma with your peers to see how they might approach it.

3) You believe it is important to respect the wants and needs of superiors even if it means breaking the rules, because they have influence on your career.

4) You tend to be sensitive to the ethical characteristics of situations.

Organizational Variables

1) You are unaware if this is a common practice in the unit.

2) You are relatively confident that you will not face any consequences if you do not intervene.

3) Your unit has a history of bending the rules to get things done.

4) You do not feel comfortable speaking up in support of ethical standards within this unit.

Situational Variables

1) It is unclear whether it is appropriate for you to intervene at this point.

2) You do not want to anger leaders who outrank you.

3) It is unclear what led to the test score being changed.

<div align="center">

Type of Ethical Dilemma

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This is an example of an *Uncertainty Dilemma.* You already did your part in recording the NCO's true score when you were grading their PT test, but someone has overridden your scores. It is now unclear what power you have over this situation and whether the right thing is to intervene. It is a *Test of Integrity* for you now you believe the results have been changed.

Possible Options

1) Do nothing. You have already done everything that you could.

2) Report the information to your chain of command.

3) Report the information to the individual responsible for managing the PT program.

4) Investigate the situation and report what you know.

5) Discuss the situation with the NCO in question and ask what, if anything, they are going to do about it.

Optional Challenge Questions

1) If you discovered that your name was still on the scorecard, how will this influence your decision?

2) If there was a chance that the NCO being promoted could become your boss following the promotion, would this impact your decision?

Case Number: NATO 05   **Case Intensity 2/10**   **A Question of Sobriety**

You have served a little under 20 years in the armed forces and you were recently promoted to the rank of lieutenant colonel. About one month ago you were appointed as the chief of a section in a new unit. There is a very experienced, professional, socially skilled, friendly, and well-liked non-commissioned officer (NCO) serving in your section. He is not your direct subordinate, but you interact with him in professional matters almost daily. He has worked in the unit for a long time, and he often jokes about his retirement that is a few years away.

During the last week you have seen him frequently in the mornings, and you think he has seemed exceptionally tired, even though he has not worked late. Additionally, you have noticed him using strong breath mints in the mornings. You suspect that he is using the mints to mask another odor. You have also noticed that sometimes he comes to work by car, sometimes by bike or by foot. You suspect that the behaviors you are observing may be the consequence of a pattern of alcohol abuse. You would want to find out more, but you are not sure how.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) You have been in the unit for only a short time.

2) You don't yet know all the people and the interpersonal relationships.

3) The person is not your direct subordinate.

4) The person's work contribution is normal and there is nothing negative to say about it.

5) You are not completely sure if your observations about their condition are correct.

6) You do not know why he is so tired, etc.

7) According to regulations, you must address alcohol and intoxicant abuse.

8) Driving under the influence is a criminal offense.

Ethical Factors

Individual Variables

1) You have a strong sense of values and professionalism.

2) You will be working in this community for at least the next two years.

3) You work with this person daily.

4) You are not familiar with the interpersonal relationships in the community.

5) You want to intervene and help if this person has a substance abuse.

Organizational Variables

1) You do not know how the person would react to raising the issue.

2) You do not know how the person's superior would react to raising the issue.

3) You do not know how the working community would react to it.

4) According to regulations, you must address substance abuse issues.

Situational Variables

1) Your responsibilities are uncertain.

2) You are not the person's direct superior.

3) You need to take many interpersonal relationships into account.

4) You must consider that this person may endanger bystanders if they drive while impaired.

Type of Ethical Dilemma

This is a *Competing Values Dilemma*; you are obliged to follow your duty as a leader with respect to substance abuse, but you also want to respect this person's right to privacy, and you may have misread the signs. It is also a *Harm Dilemma*; if you do nothing and there is an alcohol then there could be harmful consequences for the person and others. Conversely, if you act the person's reputation could be harmed and his career jeopardized. The Uncertainty Dilemma is also apparent, you have no definitive evidence, and the correct action is unclear.

Possible Options

1) Do nothing.

2) Talk to the person in question.

3) Talk to the person's superior.

Optional Challenge Questions

1) Would you handle this situation differently if there was evidence that this person's work performance was declining?

2) Would you handle the case differently if his retirement was a few months away rather than a few years away?

Case Number: NATO 06	Case Intensity 2/10	Deployment Decision

You are a company commander. In three weeks, you and 2/3s of your unit will be deployed abroad on a peacekeeping mission. The unit finished the pre-deployment training successfully, most of the decisions about the personnel, concerning who would deploy and who remains at home have already been completed. As the company commander you have complete responsibility for this selection process and your decision is final. There is only one position left to fill and you must decide between two soldiers. The first one is an excellent, experienced soldier who handles all situations very effectively. The contingent would benefit from including him on the deployment. The second soldier is also an excellent soldier, but he is not as experienced. He has asked you to include him on the deployment for financial reasons. He is a young soldier who has just bought an apartment for him and his young family. As a result, he is now in a financial bind because he has overextended his finances. He wants to attend the mission abroad to earn some additional money for his family situation.

What do you do?

<div align="center">**Instructor's Guidelines**</div>

<div align="center">**Assessment of the Situation**</div>

Facts:

1) You are experienced and competent leader.

2) You need one more soldier for a deployment to a mission abroad.

3) You must choose between two soldiers. One who is more experienced, the one who is more junior with family financial needs.

4) The selection of the personnel is your responsibility.

5) There are no specific guidelines with respect to your selection decisions.

<div align="center">**Ethical Factors**</div>

Individual Variables

1) You are a responsible leader.

2) You want to have the best possible contingent deployed.

3) However, personal wishes and needs of your subordinates are important to you.

4) You want the best for the company.

5) You also want to help your soldiers if possible.

Organizational Variables

1) Only 2/3 of the unit will be deployed.

2) The decision about the personnel who deploy is company commander's responsibility.

3) There are no guidelines specifying how you should make your selection decisions.

Situational Variables

1) Both candidates are sufficiently trained and experienced.

2) However, the first one is more experienced more.

3) The second candidate has personal needs for requesting the deployment.

<div align="center">**Type of Ethical Dilemma**</div>

This is a *Competing Values Dilemma* (Optimizing mission performance effectiveness (Duty) versus compassion for a company member with personal needs (Loyalty)).

Possible Options

1) Choose the more experienced soldier.

2) Choose the soldier with financial needs.

3) Change a previous decision. Select both for the mission and change the decision for a previously chosen soldier.

Optional Challenge Questions

1) How would you react if you discovered that the financial needs for the junior candidate was truly because of a gambling debt?

2) How would you decide if this was not a peacekeeping mission but an operational deployment that could become hostile in nature?

Case Number: NATO 07   **Case Intensity 2/10**   **Conduct Unbecoming**

You are a lieutenant colonel, and you are currently a battalion commander.

One Monday morning you are notified that there was an incident in an interest group event hosted by one of the highly specialized companies under your command. The company commander has publicly shouted at the interest group representatives and called them names. He has also publicly given improper orders was present at the meeting. They say the reason for the company commander's improper behavior was the commander's visible inebriation. The 2IC says the unit personnel feel indignation over their CO's behavior and expect you to interfere.

In the afternoon, you get a call from an outside interest group representative who was present at the event and was called names by the company commander. He says he expects a public apology at the least. If he does not receive an apology, then he will file a criminal complaint.

You call the company commander, who you have known for many years, and who you interact with often both on duty and off duty. During the call, he admits that they had some alcohol that was offered at the event but vehemently denies being drunk. In addition, he says that they he has not called anyone names, but rather used sarcastic humor when talking to the interest groups. He also claims that the orders to the unit personnel were military humor. You tell him that he should explain his actions and clear the air, both with the interest groups and with the unit personnel, but he doesn't seem to be too eager to do as you said.

You are the company commander's superior, and you have the authority to start a preliminary investigation about their suspected drunkenness on duty and on conduct unbecoming a soldier. You know that you should also report this to your own superiors.

What do you do?

<div align="center">

Instructor's Guidelines

Assessment of the Situation

</div>

Facts:

1) The actions of the company commander have angered members of an outside interest group.

2) There are competing versions with respect to the circumstances.

3) You have the authority to decide on further actions.

<div align="center">

Ethical Factors

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Individual Variables

1) You have a strong sense of values and professionalism.

2) You have known the company commander for a long time.

3) You want the issue handled.

4) You want to fulfil your responsibility as a superior.

Organizational Variables

1) You do not know how the unit will react.

2) You do not know how the interest groups will react.

3) You do not know how the armed forces will react.

4) You do not know how the public will react.

5) You do not know how higher superiors will react.

Situational Variables

1) You have a superior's responsibility but also the possibility to choose different actions.

<div align="center">

Type of Ethical Dilemma

</div>

This is a *Competing Values Dilemma*, loyalty to the company commander r versus your responsibility as a leader.

Possible Options

1) You reprimand the company commander verbally, but do not do anything else.

2) You contact the unit and the interest groups and tell them that you are going to reprimand the commander verbally (and you will).

3) You reprimand the company commander verbally and notify higher superiors.

4) You launch an official investigation into the matter.

Optional Challenge Questions

1) You receive information from a reliable source indicating that the members of the interest group initiated the confrontation. How does this affect your decision?

2) The company commander has been the subject of similar charges in the past. If he is found guilty, this could cost him his rank, or his career. How does this knowledge affect your decision?

Case Number: NATO 08   **Case Intensity 3/10**   **Unit Inequities**

You have been posted as one of the three senior warrant officers in the unit. During your service you have had many postings and deployments and have lost members of the team while on operations. When you marched into your new posting, you were aware that most of the unit had deployed on operations in the previous year. During that operation there were deaths within the Task Force and some of those deaths were unit members.

Soon after taking up your position, you notice there is a segregation between members of the unit based on those who had deployed and those who had not. This demarcation mostly relates to social behavior but also occurs in a work context. At first, you are unconcerned as it is understandable for people with similar experiences to congregate together. However, you also notice that members are being treated differently when it comes to discipline and how they are treated in the unit.

You believe there is a noticeable leniency regarding the misbehavior of members who have deployed. Moreover, deployed members are rarely given the menial and unpleasant tasks within the unit and are never corrected for minor lapses when others in the unit are picked up for similar infractions. There is even a different attitude to the dress code, with deployed members able to continue displaying patches they should remove. Taken individually, none of these issues amounts to much. However, when viewed collectively, it is evident to you that a significant double standard is operating in the unit.

You ask your colleagues about the issue, and they point out the deployed folks are popular members of the unit who have a few issues relating to the deployment in the previous year. The way the unit is dealing with it is by being more lenient on them. This seems to be widely accepted.

However, it concerns you because this inequality in the treatment of unit members is bad for morale and is reinforcing a perception that some people are 'untouchable.' You are also concerned these members are becoming ill-disciplined soldiers and are not getting the appropriate help to get over their problems, this does not seem to be the best way to manage the situation.

What do you do?

Instructor Guidelines

Assessment of the Situation

Facts:

1) You have only recently arrived in the unit and did not deploy with these members.

2) You have observed double standards within the unit and in social settings.

3) Discipline offense have occurred, and you see punishment leniencies for the members who deployed.

4) You have no formal authority to intervene, as the soldiers concerned are not in your direct chain of command.

5) The chain of command is part of the issue and outranks you.

6) The primary ethical factors appear to be bias in the workplace (conscious or unconscious) through inconsistent application of military justice, and tribalism in the workplace/social settings between previously deployed and new joining members.

Ethical Factors

Individual Variables

1) You have a strong sense of values and professionalism.

2) You are still new to this unit.

3) You have been gaining the trust and respect of your fellow peers deployed or not.

4) You are unfamiliar with the unit's culture and its expectations.

5) Your ethical alarm bells are ringing, and you view what is happening as fundamentally wrong.

Organizational Variables

1) It appears as though the ethical climate here is very different to your last unit.

2) You judge this behavior as unacceptable but are unable to ascertain the broader harm of it.

3) You do not know how higher-level leaders will react if you complain about what is going on.

Situational Variables

1) You are not part of the offending chain of command.

2) Your responsibility and authority is unclear with respect to the members concerned.

3) There is increasing dislike between the deployed and non-deployed members of the unit.

4) Unit cohesion is failing and may already need an intervention to fix these problems.

Type of Ethical Dilemma

This could be viewed as a *Competing Values Dilemma* (loyalty to fellow peers/chain of command versus integrity/duty) or even a *Harm Dilemma* (the mental stress of the soldiers being treated unfairly versus intervening and the harm to your status/respect within the unit). It could also lead to harm for the deployed personnel either because their psych issues will get worse if they are ever pulled into line or because they are not being managed as military personnel in the normal way. Most clearly of all, this is an *Uncertainty Dilemma* as you are confused about the best course of action to take.

Possible Options

1) Do nothing. The members concerned are not in your chain of command and people seem to accept what is happening.

2) Do nothing for now. Initiate discussions amongst the other non-commissioned officers (NCOs) about what is happening and find out what the long-term management plan is for the deployed soldiers.

3) Intervene. Raise your concerns within your own chain of command, by discussing the issue as an example of double standards within the unit.

4) Intervene. Make a written representation directly to the CO.

5) Intervene. By discussing the issue with senior personnel outside your chain of command.

Optional Challenge Questions

1) Given that you did not deploy with these favored unit members, how would you react if you started to be treated in a manner that you consider to be unfair?

2) Assume that you have a reason to discipline one of the unit members who had deployed. You issue what you feel to be a fair, and perhaps even lenient, punishment. However, your direct superior suggests that you should reverse the punishment. How would this affect your decision making?

Case Number: NATO 09   **Case Intensity 3/10**   **Suicide Ideation**

You are the senior warrant officer within your unit. You receive a phone call from a female SGT from your unit whom you know very well. She sounds highly emotional and informs you she has received an upsetting phone call from her husband, a major from your higher HQ.

During the call, the major told his wife he was sick and tired of life and just wanted the pain to stop. The SGT explained she was currently on course in another state and could not check on her husband herself. Her husband was highly intoxicated, and she was concerned he may do something silly. She doesn't want the matter reported up the chain of command but wants you to visit her home to check on the welfare and safety of her husband.

You have an obligation to mandatorily report the matter to the unit duty officer and you inform her of this. she vehemently objects to this and asks you not to report the matter higher; however, you point out it is best for the welfare and safety of her family. a short time later, you call the unit duty officer, a major also from your higher HQ.

You have known the duty officer for well over a decade. After informing him of the circumstances, the duty officer advises you that the major is a good friend of his. He believes this is not the sort of thing his friend would do and suggests his wife is overreacting. Based on his knowledge of the family situation he says there is no need for a welfare check as it could make things worse between the couple. Although you question this decision, the duty officer is not going to change his mind and tells you not to go to the house.

What do you do and why?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) A member of your unit, a female SGT you know well, has called you as a trusted and reliable mentor seeking your advice.

2) The SGT has reported that her husband, a major posted to your higher HQ, has implied self-harm. Excessive alcohol use is a contributing factor, and she is concerned for his safety.

3) The duty officer, to whom you have reported the matter to, does not believe there is an issue as he knows the family situation well. He cannot be convinced otherwise.

Ethical Factors

Individual Variables

1) You have a duty of care for the major's welfare.

2) You do not have a detailed knowledge of the personal or family situation of the female SGT or her husband but feel that you trust the female's version of the situation.

3) You believe the duty officer is more concerned about the negative ramifications for his friend's career than his actual wellbeing.

4) You believe you have now compromised the trust of your SGT and can now not even do as she asked without directly going against the instructions of another major.

Organizational Variables

1) There are serious service ramifications if the major harms himself and the unit did nothing to help him.

2) You believe the whole point of mandatory reporting is to ensure the safety of members as a priority.

3) You are not part of the major's chain of command.

Situational Variables

1) Your responsibility and authority are unclear, although you have a responsibility to the SGT who works for you.

2) The SGT and her husband seem to have problems in their marriage, but until this point you were unaware of them.

Type of Ethical Dilemma

There are *Competing Values* between the importance you place on procedure and reporting and the importance the duty officer places on career and individual privacy. However, this is primarily a *Harm Dilemma*. On the one hand you are supporting the major by ensuring he gets the care and support he needs and, on the other, there is the risk to his career of exposure as a suicide risk. There is also *Uncertainty* about the best approach to take in this case, as whatever you do there could be negative ramifications for you and others.

Possible Options

1) Do nothing further as you have already reported the matter to your superiors – which is the main requirement of mandatory reporting.

2) Call the area Duty Chaplain and recommend that he/she contacts the duty officer, and they attend the major's residence together.

3) Take the matter into your own hands and conduct a welfare check and not inform anyone other than the SGT.

4) Go back to the SGT, tell her what has happened and suggest she rings someone else to go and visit her husband.

5) Report the matter to the unit commander and advise them that the duty officer has failed to take action and that you are concerned the major may self-harm.

6) Call the local police and tell them there is a risk the major may self-harm.

Optional Challenge Questions

1) Would you view this situation differently if there were young children in the home?

2) Who do you think would be the best judge of the major's state of mind? His wife or his friend, the unit duty officer?

Case Number: NATO 10   **Case Intensity 3/10**   **A Question of Culture**

You are a junior officer (or non-commissioned officer) recently posted as an augmentee to a unit to replace an injured soldier midway through a six-month operational tour in a foreign country. The culture of this country is very different than your own country.

Many locals are employed on your base as cleaners. One day, shortly after you arrive in theatre, you are relaxing in your Mess and there is a local man and boy cleaning. A sports competition is playing on the Big Screen TV and the boy is infatuated with the show, suggesting that he had never seen a TV before. The boy is staring at the TV when the local man comes up behind him and hits him violently in the back of the head, knocking the boy to the floor and cutting his lip. The man yells something in his native language and boy scampers to his feet, wipes the blood from his lip and returns to cleaning.

There are several people in the Mess who obviously witnessed the incident – no one seems to act surprised and they do not do anything.

What do you do?

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Instructor's Guidelines

Assessment of the Situation

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Facts:

1) You have only been in the country for a short period.

2) You are new to the operation and the unit.

3) The culture is very different from your own.

4) You have observed what you would view as mistreatment of a minor.

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Ethical Factors

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Individual Variables

1) You have a strong sense of values.

2) You are still new to this deployment with three months to go.

3) You are unfamiliar with the nation's culture and its expectations.

4) You think striking a child is fundamentally wrong, regardless of the reason.

Organizational Variables

1) It appears as though the culture here is very different than your home country.

2) You do not know how the other soldiers who witnessed the incident will react if you intervene.

Situational Variables

1) Your responsibility and authority are unclear.

2) Several people have witnessed this offense, and no one reacted.

Type of Ethical Dilemma

This could be viewed as a *Competing Values Dilemma* (the rights and safety of the boy, values of the society you come from, the values of the local society). It could also be an *Uncertainty Dilemma*; you are having a hard time determining the correct action to take.

Possible Options

1) Do nothing.

2) Do nothing. But report the situation within your chain of command.

3) Intervene. Approach the man and tell him hitting child is wrong, and demand that he does not strike the child again.

4) Intervene. Approach the man and casually ask for a word in private and tell him your concerns.

Optional Challenge Questions

1) How would your reaction differ if the perpetrator was a fellow member from your own nation?

2) Would you feel differently about the incident if you had a son about the same age as the boy who was struck?

Case Number: NATO 11   **Case Intensity 3/10**   **Social Media Presence**

You are a lieutenant colonel, and you are the chief of a division in a command headquarters.

All the personnel of your armed forces have been mandated to attend social media training. It is expected that, while on social media, officers will behave so that they do not jeopardize the public's trust towards them, their profession, or the armed forces. As an advance assignment for the training, your staff personnel have been asked to write a dos and don'ts list for things armed forces personnel should follow while using social media, both in official capacity and as private persons. You have assigned the task to a few younger officers (captains).

On the day of the training, there are approximately 200 persons present from different divisions of the staff in the staff auditorium. When it is the turn of your division's working group to present their work, it turns out that they have included many pictures of a young officer serving in another division of the staff in their presentation. Before his military career and during his university studies, the officer in question had been a male model. The pictures are from underwear modelling photoshoots and from a so-called "risqué men's calendar" photoshoot, that were found using an internet search engine. They are not from the officer's own social media accounts.

When presenting the pictures, the working group of your division uses the images in a humorous manner. They say, among other things, "You should think about what kind of jobs you do, if you don't want to be presented half-naked in front of colleagues." The entire auditorium laughs multiple times; you included. The young officer in question is also in the auditorium that day. After the training day you get an enraged all from the chief of the young officer's division. The chief demands that you at least verbally reprimand, or preferably punish, the officers who made the presentation. According to the chief, the well qualified and talented young officer is deeply embarrassed by what happened. He is now pondering whether he will be able to continue in his career. The chief is also demanding that you order your subordinates to apologize for what happened.

On the one hand, you understand the rage of your fellow chief and the embarrassment that this has caused for the young officer. But, on the other hand, you think that your subordinates have acted just as they were ordered to. Additionally, their presentation highlighted the point of the training: what you post, or others post online, will always be there.

What do you do?

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Instructor's Guidelines

Assessment of the Situation

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Facts:

1) Your subordinates have completed the assigned task.

2) Another officer has been embarrassed in front of the working community.

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Ethical Factors

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Individual Variables

1) You have a strong sense of values and professionalism.

2) You understand the embarrassment of the officer who was targeted.

3) You want to defend your subordinates who completed the task.

4) You acknowledge that it may also be an indirect or intentional smearing of a fellow officer. But you do not know why that would be.

Organizational Variables

1) You don't know how higher-level leaders will react.

2) You don't know how the working community will react.

3) You don't know how the other officers will react.

4) You don't know how your younger officers will react.

5) You don't know how the young officer who was targeted will react.

Situational Variables

1) You do not know the consequences.

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Type of Ethical Dilemma

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This is an *Uncertainty Dilemma*; a clear course of action is not apparent. It could also be viewed as a *Harm Dilemma*. The young officer may feel forced to leave the military and your subordinates may end up being punished for doing the job as you directed.

Possible Options

1) You verbally reprimand your subordinates like the other chief demanded, but you take no further actions.

2) You ask that your subordinates to tell the officer that they are sorry.

3) You defend the way your subordinates acted.

4) You do not do anything.

Optional Challenge Questions

1) How would you react differently if the young officer on public display was a female military member?

2) What would you do if you discovered that the pictures displayed during the presentation were false and the soldiers in your command had photoshopped the images?

Case Number: NATO 12   **Case Intensity 3/10**   **The Meaning of Camaraderie**

You are a captain in charge of a cadet squadron at the air force academy. You believe it is critical that cadets are of high moral character, consequently, you are not tolerant of indifference, cheating, and lying. As you walk around the squadron you discover that a fourth-year Air Cadet KL is unjustifiably absent from the academy. After his delayed entry and non-attendance at roll call, he is informed that the lieutenant colonel, the Head of the Department of Military Education, who is looking for him to discuss his unjustified absence. Air Cadet KL asks a favor from his classmates. When asked, they will testify that this was a misunderstanding.

During his meeting with the lieutenant colonel, Air Cadet KL says that he had asked for a day off and he was never informed that his request had been declined. He adds that until this incident he had never been involved in significant misconduct and violations of the academy's regulations. The lieutenant colonel questions the classmates. He discovers that the fourth-year cadets lie and attempt to cover up what their classmate did. It also comes to light that Air Cadet KL had been involved in small, but numerous misconducts during his years at the academy.

The lieutenant colonel decides that no further investigation is needed. He views their actions as a show of collegiality. They thought the right thing to do was to help their classmate instead of giving him away. The lieutenant colonel states that cadets need to discuss, and realize in depth, the ethical dimension of the Honor Code instead of being punished. It is obvious to you that lieutenant colonel favors a far too lenient handling of the incident, and you can't help but to wonder, if the personal informal discussion he proposes, would be sufficient to deal with this case and effectively motivate the cadets to follow the rules. The lieutenant colonel, who is your senior, wishes no further investigation of the matter, but you do not think this is appropriate.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) You are an experienced leader, and you know that you must enforce the Honor Code and the regulations of the academy.

2) There are both ethical rules and legal obligations that cadets must follow.

3) A cover-up is not acceptable to show support for classmates.

4) Fourth-year cadets serve as a moral example for junior cadets.

5) The cover-up was discovered by the lieutenant colonel.

6) You are obliged to deal with the incident and make sure that nothing of this kind will happen in the future.

7) You must talk with the cadet, but also with the lieutenant colonel and the commander of the academy.

8) The lieutenant colonel is senior to you, and you agree that the cadets behaved inappropriately.

9) But you disagree with him on how to deal with it.

10) You bear responsibility about the actions of the cadets you supervise.

Ethical Factors

Individual Variables

1) You have a strong sense of professionalism and an ethical motivation to act in accordance with the regulations and the Honor Code.

2) You want to follow what your senior officer says, but you also feel that there is more that needs to be done.

3) You believe that the cadets need to understand the ethical obligations and the moral values described by the Honor Code.

4) You are familiar with what really happened because you attended the discussion between the cadets and the lieutenant colonel.

5) You believe that you have the authority to take further action because you oversee the air squadron.

6) You know that the commander of the academy expects you to enforce the regulations.

7) If you fail to do so, you may be held responsible.

8) You wish to effectively make sure that all cadets understand the Honor Code.

Organizational Variables

1) This is a new situation, no precedent exists to guide you.

2) Your sense of duty makes you want to both punish and teach, because you feel this will help the cadets in the future.

3) You want to deal with this within your chain of command, as you don't agree with how your senior officer dealt with the situation.

Situational Variables

1) Cadets try to live by the Honor Code, but they also believe that it is ethical to help each other.

2) This is the first case of such a cover-up while you have been in charge.

3) The incident is known to your superiors, both the lieutenant colonel and the commander of the academy.

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Type of Ethical Dilemma

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This is a *Competing Values Dilemma*; cadets seem to make their own interpretations and choose which values of the Honor Code (and in which way) they follow. It could also be viewed also as *Uncertainty Dilemma;* you do not know whether you should follow the opinion of the lieutenant colonel who is your senior or whether you should go straight to the commander of the academy and express the opinion that treating the issue with an unofficial discussion is not enough.

Possible Options

1) Do nothing. Accept the opinion of the lieutenant colonel and let him handle the issue in any way he feels right.

2) Intervene moderately. Discuss in private with the lieutenant colonel your view on the incident and the importance of obeying the rules you call for strict punishment.

3) Intervene. Discuss the incident across the chain of command and the way you believe is appropriate to handle it.

4) Intervene. You file an official report and talk about the incident with the commander of the academy explaining why you disagree with the lieutenant colonel.

5) Intervene. Act outside the chain of command after the informal discussion that the lieutenant colonel has with the cadets. You talk with the cadets involved, but you also seek strict punishment, according to regulations and standard procedures.

Optional Challenge Questions

1) How would you react differently if the lieutenant colonel threatened to charge you for insubordination if you go against his decision?

2) Would you respond differently if the cadets responsible came to you and apologized for their behavior?

Case Number: NATO 13   **Case Intensity 3/10**   **Drinking Commander**

You are a company commander. You strive for professionalism, demand strict discipline in the unit, and act as a role model for subordinates. Your military career is normal, you have not suffered any negative incidents during you career in the unit or your own professional life. You are married with two small children. The family supports you as a career military officer as well as your deployments.

You have been deployed to a mission abroad with your unit for three months and have not yet been on leave from the mission. The unit is functioning very well; the members are highly disciplined and motivated. As a company commander you have managed to resolve unit problems successfully and quickly when they occur.

One day you receive a message from your spouse saying that she wants a divorce. You are surprised, so call her and ask for explanation. The call does not go well, and you have a nasty quarrel. After the telephone conversation you cannot stop thinking about your family and the impending divorce. Since you are not on duty that evening, you leave the military base to clear your mind. You end up entering a pub to drink a glass of beer even though you know that consuming alcohol is forbidden during deployment. Unfortunately, you drink too much and get drunk. Nevertheless, you manage to return to the base and fall asleep.

In the morning you fail to wake up and miss a flag ceremony. You also miss attending the regular morning meetings with superiors and subordinates. When you finally wake up, you realized that you have made some huge mistakes.

What do you do?

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Instructor's Guidelines

Assessment of the Situation
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Facts:

1) You are a competent leader and role model for your followers.

2) You and your unit are coping well during the deployment.

3) Drinking alcohol during the mission is forbidden.

4) The message about the divorce upset you very much.

5) You ended up drinking – and drinking too much.

6) You missed morning duties.

7) You did not cause any significant harm to the mission and unit (since only routine stuff were on agenda).

<div align="center">

Ethical Factors
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Individual Variables

1) You are a responsible person and a responsible leader.

2) You would not tolerate alcohol abuse among your subordinates, and you have maintained the same standards for yourself.

3) You would demand explanations from your subordinates if they missed their duties.

4) The message about the divorce upset you very much.

5) You made a mistake drinking alcohol and missing your morning duties.

Organizational Variables

1) You are seen and respected as a competent and professional leader in your organization.

2) Consuming alcohol during mission/deployment is forbidden.

3) Regular executing of tasks and duties is a necessity in the military.

4) As an element of organizational culture, the irregularities in the military are processed by conversation with the superiors first, later other measures are taken if necessary.

Situational Variables

1) The message about the divorce upset you very much.

2) Despite you were not on active-duty last evening, you are a commander 24/7.

3) You did not cause any significant harm to the mission and unit (since only routine matters were on agenda).

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Type of Ethical Dilemma
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This is a *Competing Values Dilemma* (Doing one's duty conflicts with losing the ability to be a role model if the situation becomes public). But it can be also a *Harm Dilemma* (If the commander reports himself, there could be career implications. If he does not report himself, he will lose the respect of the soldiers who may know what happened).

Possible Options

1) Do nothing. Wait till somebody ask you for an explanation.

2) Do nothing. Ask the superiors for the leave and go home to cope with the family crisis.

3) React. Arrange a meeting with your superior to explain the situation and express your regrets. You want to stay at the position and on mission.

4) React. Ask the commander to press charges against you.

Optional Challenge Questions

1) How would you react if you know that you drove back to your base the night before and today you notice some serious damage to the front of your vehicle?

2) Your recollection of the night before may not be clear, but you vaguely recall seeing one of your unit's Sergeants at the pub the night before. How would this affect your decision?

Case Number: NATO 14   **Case Intensity 3/10**   **Occupation Transfer**

You are in a leadership position with authority to reclassify soldiers to different occupations. One of the soldiers in your unit is the child of a close family friend. You have done your best to avoid showing the soldier any favoritism based on your personal connection and, as a result, your experience so far has been entirely professional. However, maintaining this boundary can sometimes be difficult. The soldier is a good performer in his present occupation and all-around a great fit with the unit culture. You cannot help but be proud, as you have known the soldier since he was a child.

One day, you get word that your friend's child has requested reclassification to a coveted occupation that he is not qualified for. The soldier's parent, your close friend, calls you to ask for help with the situation. During the call, your friend makes a case for their child to be reclassified to the new occupation and asks if you can pull a few strings to help make it happen. You tell your friend that you will "look into it." It is tempting to approve the request, especially to help family friends who have been there for you through past difficulties. You also know that others in your unit have occasionally bent rules to get things done. However, you know that approving the request would take away a slot from a deserving occupation qualified soldier and that your actions would be perceived as favoritism.

What do you do?

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Instructor's Guidelines

Assessment of the Situation

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Facts:

1) You have the formal authority to approve the reclassification request.

2) You are at risk of making a biased decision given your personal relationship with the soldier in question and their family.

3) Reclassifying a soldier to an occupation they are not qualified for is not common practice.

4) The soldier in question is performs well in their current occupation.

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Ethical Factors

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Individual Variables

1) You are concerned about hurting your friendship with the soldier's parents.

2) You are worried about the impact of your decision on your career.

3) You believe it is never okay to break the rules even if you are not caught.

4) You tend to be highly aware of and highly emotional about ethical issues.

Organizational Variables

1) You trust that your superiors will support your decision regardless of what you choose.

2) You are worried that if you show favoritism towards this soldier, your unit will question your leadership and judgment.

3) Your unit has a history of bending the rules to get things done.

Situational Variables

1) This situation is challenging given you have many demands on your time and energy as a leader.

2) You feel a sense of obligation to your friend given the long history you share together.

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Type of Ethical Dilemma

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This situation is a *Competing Values Dilemma*. You must choose between being a loyal friend to the soldier's parent and your duty to uphold the standards of your organization. Thus, the decision is not straightforward. You could bend the rules and approve the request out of loyalty to your friend or you could hold your ground and deny the request out of duty to your organization. This could also be considered a *Harm Dilemma*. Assigning a soldier to a job that requires skills they have not acquired could be dangerous to that soldier and their entire unit. In addition, your career could face negative consequences if your leadership found out that you approved a reclassification request due to your personal relationship with a soldier and not due to their qualifications. It is also a *Test of Integrity* for you.

Possible Options

1) Do nothing. Ignore the reclassification request.

2) Ask someone else with decision authority to deal with the situation as an unbiased party.

3) Approve the reclassification request out of loyalty to your friend and discuss with the soldier how the necessary skills for the desired occupation can be quickly acquired.

4) Deny the reclassification request out of a duty to uphold the formal rules of your organization. Offer to work with the soldier to gain the necessary skills so they can compete for reclassification in the future.

5) Deny the reclassification but offer to help the soldier get into a different occupation, one which they are qualified for, and which is like the one they desire.

Optional Challenge Questions

1) If bending the rules was an extremely uncommon practice in your unit, how will this influence your decision?

2) If the transfer the friend's child wants is to an occupation with a high training failure rate, what impact will this have on your decision?

Case Number: NATO 15   **Case Intensity 3/10**   **Expert Operator 1**

You are the commander of a battalion that is about to depart for qualification training. Your unit is required to successfully qualify prior to an upcoming deployment set to occur in six months. It is unclear what the situation will be when you deploy, but the area is currently experiencing a rise in insurgent attacks. Within your unit, there is a piece of equipment that is important to the functioning, safety, and success of the entire battalion. The sole operator of the equipment is an expert regarding the system and is irreplaceable, as your unit does not have another qualified operator.

The soldier is currently in the middle of a family dispute, and the soldier's spouse has fled with their children against court orders. Your soldier has requested immediate authorization to retrieve the children with a judge's approval and the assistance of law enforcement. It is unclear how long it will take to retrieve the children or whether the soldier has a care plan that does not include the estranged spouse.

You know that your unit is about to depart for training and that this soldier is the only operator of essential equipment.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) Your unit is about to depart for mandatory qualification training.

2) In six months, your unit will deploy to an area currently experiencing heightened attacks.

3) You only have one soldier able to operate important equipment. It is essential that this is operated and fully integrated in the qualification training.

4) It is unclear if you can obtain a replacement operator.

5) The soldier is experiencing a significant family matter requiring his immediate attention.

Ethical Factors

Individual Variables

1) You are worried about how your decision will impact the soldier's wellbeing and focus during the training.

2) You are concerned that your battalion will not qualify without this soldier to operate the special equipment.

3) You are worried about the safety of your troops if the operator does not deploy with the unit.

Organizational Variables

1) Your unit prides itself in its commitment to ethics.

2) The army has a strong emphasis on taking care of soldiers' families.

Situational Variables

1) This is an overwhelming situation for you as a leader given you have many competing responsibilities.

2) The rules are unclear in the current situation.

Type of Ethical Dilemma

This situation is an example of a *Competing Values Dilemma*. You must choose between protecting the well-being of your soldier and ensuring the efficiency of your unit for mission success. This case is also an *Uncertainty Dilemma* because the repercussions of your decision to approve or deny the soldier's leave request are unknown and there are no formal rules that cover such a decision.

Possible Options

1) Allow the soldier to retrieve their children, thus departing for training without an operator for an essential piece of equipment.

2) Do not allow the soldier to retrieve their children, ensuring operational readiness while your unit qualifies. However, it may lead to a distracted operator while being assessed.

3) Allow the soldier to retrieve their children, but with the understanding they will meet the unit at training as soon as their home situation is resolved. Your unit will not have an operator upon arriving for qualification.

4) Try to find a qualified replacement from another unit.

Optional Challenge Questions

1) You find out that the soldier's spouse has fled with the children because of domestic violence; how will this influence your decision?

2) A friend of the soldier confides in you that the soldier plans to submit resignation paperwork if the request to collect the children is denied. What impact will this knowledge have on your decision?

Case Number: NATO 16   **Case Intensity 3/10**   **Can You Force Equality?**

You serve as a lieutenant colonel in charge of an all-weather squadron. you are new to the combat wing and for the past 5 weeks you have concentrated on learning your new duties and making sure that your squadron executes its tasks effectively; you also meet on a regular basis with your personnel to check that all is well. things seem to run smoothly until the colonel who oversees the combat wing calls you to meet him for an unofficial talk.

Upon arriving at his office, he hands you a letter which looks like an unofficial report. You cannot believe in your eyes. In the anonymous letter it is clearly stated that a woman serving in your squadron, Sergeant M, gets help with every task assigned to her. She does nothing by herself and every job is done by her colleagues. Although she is not asking for help, she enjoys the attention she receives and the fact that she is doing almost nothing, but just watching other people doing her job. The unknown writer threatens to make an issue out of this, so that Sergeant M's tasks won't be taken care by others anymore. It is also mentioned that some among the personnel believe that those in the squadron receive unfair treatment based on gender, age, and beauty. What strikes you is that the letter states that you know the case but do nothing about it, because Sergeant M is young and beautiful. The closing statement is that the other three women who serve in your squadron are older and get no such benefits.

The colonel is clearly worried that this could go public, so he insists that appropriate action be taken immediately. He asks you if you know about this and if it is true. You know nothing specific, but you have a sense that the letter is not completely incorrect. During your walks around the squadron, you have noticed that Sergeant M appeared to get extensive help from her colleagues, but nobody seems to think that this is wrong. There have been no complaints, and nobody has ever shown up to your office to object or report something unacceptable. You walk away from colonel's office baffled and unclear about what you should do.

On your way to your office, you encounter a warrant officer and a master sergeant; so, you ask them, how they felt about helping women in the squadron to do their job. They both tell you that women are more sensitive than men and that they need help, especially when heavy duties are assigned to them. So, if men in your squadron help with Sergeants M's work out of their own free will, how can you enforce equality?

What do you do?

Instructors Guidelines

Assessment of the Situation

Facts:

1) You are new to the squadron, but you are in charge. Therefore, you bear responsibility for your subordinates' actions, especially if it is proven that you did nothing to prevent something wrong from happening.

2) You do know that you must enforce the regulations related to the equality in the workplace.

3) You have never ordered anyone to do somebody's else job. You believe that women should be able to accomplish their duties as well as men.

4) There are legal obligations about equality in the workplace. Even if men wish to help their female colleagues, they cannot do their job every time and all the time.

5) The situation was reported to your senior in the form of an unofficial anonymous letter.

6) Given your position, you have a duty to intervene. Your senior officer demands that you do so.

7) You have a sense that there is some truth to what is reported in the letter.

Ethical Factors

Individual Variables

1) You have a strong sense of professionalism and an ethical motivation to act according to the regulations.

2) You agree with the colonel, you need to treat the situation in an appropriate way, so that the notion that women are more sensitive than men or less capable of accomplishing their tasks stops.

3) You believe that men and women are equal, as described by the regulations; it appears that your subordinates need to understand that.

4) You are not completely familiar with the details of what happens every day between men and women in your squadron.

5) You believe that you have the authority to intervene given your squadron position.

6) The Colonel expects you to enforce the regulations.

7) If you fail to do so, you will be held accountable for your lack of action.

8) You wish to effectively resolve the situation and ensure that all subordinates appreciate the importance of equality in the workplace.

Organizational Variables

1) This is a new situation to you; no precedent exists to guide you.

2) You want this situation to end, but you don't want to argue with your subordinates, because you are still trying to get to know them.

3) You have a duty to cultivate a culture of equality in the workplace.

Situational Variables

1) It is possible that your subordinates are unaware that they are not following the regulations.

2) It is possible they believe that it is appropriate to help women, especially a particular woman they seem to like.

3) Someone is dissatisfied with the culture in the squadron and expresses this feeling in a letter. Even though it is an anonymous letter you are still responsible to put things right.

4) The incident is known to your superior, and he has asked for immediate action.

Type of Ethical Dilemma

This is a *Competing Values Dilemma*; you want to be loyal to your subordinates and respect their values, but you also have an obligation to maintain equality in the workplace. It could also be viewed also as an *Uncertainty Dilemma;* you do not know whether you should accept the opinion of Colonel that immediate action is required, and you don't know how you should react. It is also a *Harm Dilemma*; do nothing and there may be career implications for you, do something and people might stop doing their jobs effectively as a means of opposition to an unfair job environment.

Possible Options

1) Do nothing. Ask the colonel to investigate the issue; you are new to the post and he is your superior, so he knows better. Of course, you will help him with anything he asks.

2) Intervene moderately. Discuss the issue in private with your subordinates. Explain to them that in your squadron there must be workplace equality irrespective of gender or age. Emphasize that each member must perform his or her own duties.

3) Intervene. Discuss the issue openly with your subordinates, but at an unofficial meeting. Explain to them that in your squadron you demand equality irrespective of gender or age; each of your subordinates must perform his or her duties.

4) Intervene. Discuss the issue openly with your subordinates at an official meeting, which the colonel will also be invited to attend. Explain to them that in your squadron you demand equality irrespective of gender or age; each of your subordinates must perform his or her duties.

Optional Challenge Questions

1) How would you react differently if the letter was not anonymous and was signed collectively by the other women in the squadron?

2) If the colonel who oversees the combat wing was a woman, how would this impact your decision?

Case Number: NATO 17   **Case Intensity 3/10**   **Expert Operator 2**

You are the commander of a battalion that is about to depart for qualification training. Your unit is required to successfully qualify prior to an upcoming deployment set to occur in six months. It is unclear what the situation will be when you deploy, but the area is currently experiencing a rise in insurgent attacks. Within your unit, there is a piece of equipment that is important to the functioning, safety, and success of the entire battalion. The sole operator of the equipment is an expert regarding the system and is irreplaceable, as your unit does not have another qualified operator.

The soldier was recently caught hazing junior soldiers, which is an offense you could use to discharge him from the army. If you separate this soldier from the army, you will not have an operator for the important system during your qualification assessment. If you ignore the offense, you set a bad example for the rest of your troops and hurt morale.

You know that your unit is about to depart for training and that this soldier is the only operator of important equipment.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) Your unit is about to depart for mandatory qualification training.

2) In six months, your unit will deploy to an area currently experiencing heightened attacks.

3) You only have one soldier able to operate important equipment.

4) The soldier has committed an act that warrants expulsion from the military.

5) It is unclear if you can obtain a replacement operator.

Ethical Factors

Individual Variables

1) You are of the opinion that breaking the rules or "letting things slide" is okay if your intention is good.

2) You are worried about the safety of your troops if the operator does not deploy with the unit.

3) You are worried that morale while deployed will be low if the operator is allowed to remain in the unit.

4) You are concerned that your battalion will not qualify without the operator.

5) You are worried about how both reporting and not reporting this soldier will impact unit effectiveness.

Organizational Variables

1) The ethical climate in your unit is generally strong.

2) You have heard stories of similar issues in other units, and you would rather not open your unit up to scrutiny.

3) The military is actively working to end hazing.

Situational Variables

1) As the leader, you are responsible for addressing misconduct in your unit.

2) You have a duty to ensure that your unit is qualified and ready for deployment.

Type of Ethical Dilemma

This situation is an example of a *Competing Values Dilemma*. You must choose between addressing the hazing issue versus ensuring the readiness of your unit for deployment. It is a *Harm Dilemma* and also a *Test of Integrity*.

Possible Options

1) Do nothing, ensuring that you have an operator for the important equipment when your unit qualifies. It may hurt unit morale, but you will be able to use a much-needed piece of equipment.

2) Broker a local resolution where the perpetrator offers an apology to their victims and this allows everyone to focus on the most important issue, preparing for the operational deployment.

3) Remove the soldier from their position and start the paperwork to remove him from the army, thus training without an operator for an important piece of equipment.

4) Report the soldier and undertake the training whilst also trying to find a replacement from another unit for the operational deployment.

Optional Challenge Questions

1) The soldiers who were the victims of the hazing are also in your battalion and will be deploying with this person; how will this influence your decision?

2) You receive word that no replacement with the necessary expertise will be available for the qualification training and deployment; but the deployment will take place regardless. How will this impact your decision?

Case Number: NATO 18   **Case Intensity 3/10**   **Cheating Students**

You are the commander of senior staff program at a military academy. Candidates attending the one-year senior staff program finish by submitting a final thesis on a topical and important military, defence, or security issue. They are allocated three months to write the thesis and the written work must be original and of an acceptable quality for a defence before an academic commission. While reviewing the submissions (from a previous year) you discover that two of the final dissertations contain an identical single chapter. This is surprising because the dissertation topics are different, but the theoretical chapters are a perfect match.

You unofficially talk to both officers involved, and they each claim that they wrote their own chapters. You then ask them to provide proof demonstrating the originality of their final theses. Upon further investigation, it comes to light that the first officer wrote the chapter. However, he handed his work over to the second author when he asked the first one for urgent help. The second one transcribed the first author's chapter he got into his own thesis. He then showed his work to the first author. The first one did not react, did not demand the removal of the chapter, and did not even mention the transcribed chapter. However, he was also unwilling to rewrite his own chapter. He did not anticipate that he might be required to testify on cheating (plagiarism) and was unprepared for this.

It is unacceptable for students, especially military officers, to cheat. On the other hand, military culture also expects members to help each other when they need urgent assistance.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) Cheating is forbidden and should be punished.

2) One of the officers cheated.

3) A second officer was involved.

4) Both officers have already built successful careers. They are both respected in the military, no incidents on their behalf have been ever reported.

5) You are not currently a commander of any officers.

6) The case happened several years ago.

Ethical Factors

Individual Variables

1) You have a strong sense of professionalism and strong ethical motivation to react correctly.

2) You do not want to ruin the career of any officer, especially a good one.

3) You understand that, in one sense, this is not a pure ethical dilemma (cheating is forbidden).

4) However, for you it is a dilemma (because there will be consequences for one or even both officers if the cheating is reported).

5) You cannot understand why the first officer was so helpful (or naïve) to voluntarily hand over his own finished (but undefended) work.

Organizational Variables

1) This is not only an ethical case. Plagiarism is professional offense and is formally regulated.

2) You are responsible as the school commander but not as the current commander for these two officers.

3) The supervisors of the candidates at the academy during their course year failed to identify this episode of cheating.

Situational Variables

1) The plagiarizing officer asked for urgent help from a classmate.

2) The officer he asked was helpful but naïve.

3) Both officers have built successful careers (before and after the senior staff program).

4) They are both respected in the military.

5) To the best of your knowledge, no other incidents on their behalf have been ever reported.

6) The case happened several years ago.

Type of Ethical Dilemma

This is a *Harm Dilemma*. Revealing the details of this case can have harmful consequences for the reputation of the school, the reputation of the officers involved and the reputation of the entire military. If you do not act, you are in effect condoning this sort of behavior. It can be also viewed as a *Competing Values Dilemma* (integrity versus loyalty to fellow officers). Finally, it is a *Test of Integrity* because the correct action is clear.

Possible Options

1) Do nothing.

2) Intervene moderately. Unofficially ask the second officer to rewrite the plagiarized chapter and keep the corrected document as an internal file at the school.

3) Intervene. Report the case and open an investigation within the school.

4) Intervene. Report the case to higher authorities for action outside the school.

Optional Challenge Questions

1) How would you react if you discovered that the second officer was not aware that his work had been copied?

2) How would you respond if one or both officers have been promoted to a very senior rank in the military?

Case Number: NATO 19   **Case Intensity 3/10**   **Eye Candy**

You are a major and have recently arrived at your latest post. While you are not new to the army, you are new to the unit and have recently attended multiple garrison social functions to get to know your colleagues better. You notice that the female junior officers attend every event, and you feel that their dress is slightly inappropriate. You find the behavior confusing as these junior officers are incredibly professional during the workday.

At work, you overhear two of the junior female officers talking about an upcoming social event and how much they are dreading it. As you spend more time in the unit, you learn that the junior officers fear the battalion commander, because he demands they serve as "eye candy" at these social functions. You have not directly heard the commander make inappropriate requests and do not know of any incidents being reported, although you have noticed very low morale within the unit.

What do you do?

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Instructor's Guidelines

Assessment of the Situation

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Facts:

1) You are new to the unit.

2) Morale is suffering within the unit, especially among junior female officers.

3) Your commander seems to have different expectations for male and females.

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Ethical Factors

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Individual Variables

1) Abiding by the informal social norms and expectations has always been critical to your success in the army.

2) You do not know how others are responding to this situation.

3) You tend to be highly sensitive to ethical issues.

4) You believe it is important to respect those in your chain of command.

Organizational Variables

1) During most unit discussions, you do not feel comfortable speaking up.

2) The ethical culture set by your leaders appears to be weak in this unit. There seems to be a difference between expectations of clothing and behavior between male and female colleagues.

3) The leadership climate may be damaging to members of the unit.

Situational Variables

1) You are unsure whether it is your responsibility to address this issue.

2) You are worried about angering your commander as you are new and do not know them yet.

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Type of Ethical Dilemma

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This situation is an example of a *Harm Dilemma* (do nothing and your organization's morale continues to suffer, do something and harm your relationship with the commander). In addition, this case could be considered an *Uncertainty Dilemma*, because there are no formal rules that explain how to respond to this kind of situation. It may not be as it seems and it may not be your direct responsibility to act. This is also a *Test of Integrity* because you know that something must be done to resolve this situation in terms of lower morale and a potential injustice for female colleagues.

Possible Options

1) Do nothing.

2) Seek out a Chaplain or Ethics Counselor for guidance.

3) Talk to the junior officers; tell them about what you have perceived. Ask them how they feel, if there is anything they feel uncomfortable about enough to complain.

4) Ask the junior officers if they have done anything to address the situation and offer to raise the issue if they do not feel comfortable doing it themselves.

5) Report the situation within your chain of command.

6) Speak to the battalion commander about the situation.

Optional Challenge Questions

1) Your new position with this unit includes a key secondary duty as Unit Ethics Coordinator. How will this influence your decision?

2) You discover that the social functions are optional for the young men of the unit but mandatory for the young women. How will this knowledge impact your decision?

Case Number: NATO 20   **Case Intensity 3/10**   **Questionable Order**

You are a junior officer deployed overseas operating as part of a coalition with multiple allied countries. Your commanding officer (CO) is a senior officer from another country; the CO is often present and is very hands-on with the operational aspects of the mission.

One day your commanding officer directs you to create a video presentation (a "highlight reel") of a weapons system from your country. The information is unclassified, and the weapon is currently being used by some allied countries, but the task is far outside of your operational mission. The CO has asked you to put together the information to influence an international procurement competition for weapons systems and ensure that your country's system wins the contract instead of a weapons system from a different coalition partner.

You do not have any intermediary leadership from your country to go to for guidance. You feel that it is important to maintain your relationship with your chain of command and ensure that you are a trusted coalition partner, but completing the request seems suspect.

What do you do?

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Instructor's Guidelines

Assessment of the Situation

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Facts:

1) You are a junior officer deployed overseas as an individual augmentee.

2) You are working as a part of a coalition with multiple allied countries.

3) Your commanding officer directed you to develop a presentation for a weapon that is far outside your operational mission, which seems suspect.

4) You do not have any leaders from your country within your direct chain of command to seek guidance from.

5) As an individual you should not advocate for any particular type of equipment that could impact on procurement processes.

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Ethical Factors

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Individual Variables

1) You are worried about disobeying a direct order from a commanding officer.

2) You are unsure if the order is one you should be following.

3) You wish there was someone you could go to for guidance.

4) You are worried about angering an allied partner and damaging the relationship.

5) You have always prioritized ethics over personal relationships.

Organizational Variables

1) You do not trust your commanding officer's intentions.

2) You are unsure of what will happen if you speak up about your concerns.

3) It is important that your country retain a good working relationship with your coalition partners.

Situational Variables

1) This situation presents you with inappropriate demands to be an advocate for a type of equipment that you cannot publicly endorse.

2) It is unclear if there are cultural differences in how procurement competitions are operated in other countries, but the request does not appear to meet your country's standards for fair competition.

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Type of Ethical Dilemma

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This is a *Competing Values Dilemma* (loyalty to the CO versus Duty to your country). It could also be a *Harm Dilemma* – do nothing and the business from your country may not win the contract, do something, and be distracted from your operational mission. This will place you in a conflict-of-interest situation. It is also a *Test of Integrity*.

Possible Options

1) Do nothing. Ignore the request from your commanding officer.

2) Tell your CO that it is not appropriate for you to create the highlight reel, potentially angering your CO and damaging the coalition partnership.

3) Encourage your CO to talk to someone else about the weapons system.

4) Spend a small amount of free time working on the request and only put together minimal information. You will not be ignoring an order, but also will not be aiding in potentially influencing the procurement process.

5) Reach back to leadership from your country for guidance.

Optional Challenge Questions

1) Assume that even though the information that would need to be included in the highlight reel is not classified, it is sensitive and proprietary. How would this factor into your decision?

2) When you resist the direction from your CO, he confides that he will receive a kickback from the company if the weapons system is purchased. He claims that this is normal practice in this culture, and he offers you a substantial cut. How would this affect your decision?

Case Number: NATO 21   **Case Intensity 4/10**   **Tough Initiation**

You are the regimental sergeant major (RSM) of a special ops unit. The warrant officer (WO) from the administration cell asks if he can speak to you in private. You have a good working relationship with this man and regard him as a good operator. He tells you that one of his admin corporals just finished the Special Operations Cadre Course. There was an initiation ceremony at the end of the course where he was physically harmed and had to go to seek medical attention after skin was torn off his back.

You know about the initiation ceremony and believe it just involves current members of the regiment painfully backslapping the new members. The WO agrees this is what it 'used' to be. Since a new officer has taken over, it has morphed into something much worse. The admin WO has not told anyone about the initiation ceremony and has brought it to you first. You know the officer in charge of the cadre course is a popular member of the regiment. In the current climate an accusation like this, if proven, could end his career and have negative ramifications for your commanding officer and even yourself.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) You are a capable and experienced RSM who has worked in the Special Ops world for most of your career.

2) You have a good relationship with the Admin Cell WO and trust him as an experienced hand.

3) A CPL has received medical attention after receiving an injury to his back, apparently during an initiation ceremony in your unit.

4) Your unit has a mildly uncomfortable initiation ceremony – but no one has ever complained about it.

5) You have been advised that under the leadership of a new officer this ceremony has become something much worse.

Ethical Factors

Individual Variables

1) You are an experienced and very well regarded RSM.

2) You trust the WO and believe he is a capable hand.

3) You have close ties going back many years with everyone involved in this story excluding the admin CPL.

4) You are aware that initiations are not acceptable in the modern military.

5) You also believe there is something to be gained from the bonding of people through initiation – so long as this is done in a positive way.

6) You are very troubled by the story you have been told as it sounds like people have abused their power in this case – they have also abused the trust placed in them.

7) You are also concerned that political correctness is damaging the esprit de corps of the military.

8) You also know that to do nothing is not an option.

Organizational Variables

1) There could be a serious risk to the unit because of this allegation.

2) The initiation ceremony issue will get escalated to the service chief level as soon as people know about it.

3) Just having an initiation ceremony will be regarded as a serious issue with negative consequences for everyone, including you.

4) However, if the abuse being reported in this case is proven the consequences could be career ending.

5) It may be uncomfortable, even as an RSM, to have to potentially challenge a more senior rank (the officer running the cadre).

Situational Variables

1) You have close ties with everyone involved.

2) The unit has turned a blind eye to the initiation ceremony in the past because it seemed harmless, and no one complained.

3) You know the consequences of making this behavior public will have serious consequences for you and others.

Type of Ethical Dilemma

This is a *Competing Values Dilemma* loyalty to the young man versus loyalty to members of your regiment. You believe being able to tolerate a reasonable amount of physical hardship is part of being a soldier, but you accept this has escalated beyond what is acceptable in this case. It is also a *Harm Dilemma*, as there is an accusation that people are being harmed by an initiation ceremony that you have always regarded as benign. There is some uncertainty about the right thing to do in the culture of your unit, but not uncertainty about doing something. This could also be viewed as a *Test of Integrity* because there is no doubt that corrective action is required.

Possible Options

1) Ignore the issue and tell the WO to 'harden up' and advise him to tell his CPL to harden up also.

2) Take the issue seriously and make enquiries amongst your NCO network about what is happening. If they provide corroboration of the story, then discuss it immediately with the officer involved. Tell him that if the behavior does not stop you will take the issue to the CO.

3) Follow the steps above but advise the officer to tell the CO about what has happened himself. If he does not, then commit yourself to do so and advise him of this.

4) Follow the steps in Para 2, but do not discuss the issue with the officer concerned – discuss it privately with the CO who can then discuss it directly with the officer.

Optional Challenge Questions

1) How would your decision making change if the injuries sustained were severe enough that the corporal was placed on sick leave?

2) Would you think differently about this case if the corporal was a female soldier?

Case Number: NATO 22   **Case Intensity 4/10**   **Harassment**

You have been a battalion commander for several years. Your unit and all the sub-units have diversified personnel according to education, military experiences, age, and sex. The unit regularly and successfully executes a variety of tasks like training, military exercises, and tasks associated with civil-military cooperation). You receive an urgent report about an incident of alleged sexual harassment in one of the platoons. A female soldier has made an accusation of sexual harassment against a male soldier. You summon the subordinate commander of the company and ask what happened and what solutions or action has been taken. The subordinate commander advised you that the platoon commander spoke with both soldiers (the female and male). After questioning them both, he concluded that it was a false accusation. The female soldier received pressure from her peers in the unit and soldier withdrew the charges.

Although you thought that the situation was handled, a few days later the story about the sexual harassment in your unit is published in a local newspaper. Your superior commander demands an explanation from you about what happened and what actions had been taken. The case becomes widely debated in the media and the public. Thankfully, the two soldiers at the heart of the incident do not participate in the public debates. The superior orders you to resolve the situation and preserve the good reputation of the military. He implies that failure to do so would mean that you will be replaced.

What do you do?

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Instructor's Guidelines

Assessment of the Situation

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Facts:

1) You are an experienced and competent leader.

2) There is a law where you live that forbids all kinds of harassment.

3) Gender equality is a societal norm.

4) The harassment in your subordinate unit was reported.

5) You have a duty to intervene.

6) You reacted within the chain of command and talked with the subordinate commander.

7) It was concluded that the incident was a false accusation, and the charges were withdrawn by the female soldier due to pressure from her peers.

8) The media reported about the incident of sexual harassment in your unit.

9) After the incident become public, you were ordered to resolve the situation or be replaced.

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Ethical Factors

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Individual Variables

1) You have a strong sense of professionalism and strong ethical motivations to react correctly.

2) You are an experienced commander of gender mixed units.

3) You support gender equality in the society and the military.

4) You do not have all the facts about what really happened between the female and male soldiers.

5) You respected your subordinate commander and supported his assurance, following his meeting with the soldiers, that there was no incident. The accusation was withdrawn.

6) You do not know why and how the incident became public.

7) You would like to satisfactorily resolve the situation (for all actors) and keep your position.

Organizational Variables

1) All the sub-units in the battalion are gender mixed.

2) This is the first reported incident of sexual harassment in the battalion.

3) The professionalism in the unit seems high.

4) You reacted within the chain of command when the incident was reported.

5) After the incident went public, your superiors demanded action.

Situational Variables

1) The unit executes its tasks well.

2) It is the first case of the sexual harassment accusation in the unit.

3) Unfortunately, the incident has gone public.

Type of Ethical Dilemma

This is a *Harm Dilemma*; your perceptions and decisions could lead to injustice for at least one of several actors – the involved male and female soldiers or the subordinated commanders. Your own career is in jeopardy. It could be viewed also as *Uncertainty Dilemma*; you do not exactly how to handle the situation. You need to investigate to find out if someone is guilty, but you also know that the clear truth is almost impossible to discover.

Possible Options

1) Do nothing. Accept your replacement.

2) Intervene moderately. Hope that everything will be forgotten inside your unit, in the military, its command and in the public eye. In the unit you demand strict professionalism, including respectful attitudes among soldiers.

3) Intervene. Act within the chain of command and replace the subordinate commander. In the unit you demand strict professionalism, including respectful attitudes among soldiers.

4) Intervene. Act within the chain of command and demand measures from the subordinated commanders. Wait for their reaction. In the unit you demand strict professionalism, including respectful attitudes among soldiers.

5) Intervene. Act outside the chain of command and individually question the soldiers yourself. If necessary, demand a replacement of one of the soldiers involved in the incident. They can each express their desire to stay in the unit or leave. In the unit you demand strict professionalism, including respectful attitudes among soldiers.

Optional Challenge Questions

1) How would you react if you discover that the female was not simply subjected to peer pressure, but she received threats if she did not withdraw the accusation?

2) What would your response be if, during the questioning, you conclude that the female soldier was the one who was really perpetrating the sexual harassment?

Case Number: NATO 23   **Case Intensity 4/10**   **Troubling Bigotry**

You have been appointed as a battalion commander and are responsible for setting up a mission to Afghanistan. You are aware of the tough task ahead, as there has been unrest and violence in the previous mission. You spend the six months prior to the deployment by preparing your officers and soldiers in the best way possible. This includes getting the right people in the right place. A military officer, who is also close friend, accepts your offer to take on one of the more demanding positions as a company commander.

After spending a few weeks in the host country, you learn that the company commander has openly and, on several occasions, expressed a negative attitude towards both the Afghan military and the Afghan local population. In particular, he has made several disparaging remarks regarding the religious practices of the country. As the days pass, your sense of discomfort increases as the testimonies about your friend's inappropriate comments continue.

Due to the seriousness of the accusations, you decide to get in contact with a friend of the company commander. During this conversation you learn that the officer has not served abroad prior to now. He has avoided deployments because he is convinced that "those countries can handle their shit on their own." However, knowing that as it is expected of anyone pursuing a career within the armed forces, he decided to accept this one offer. He is described of as a person with many preconceived biases and prejudices. He has been candid with his friends about his views and is aware that his attitudes do not conform to the values of the armed forces. Nevertheless, he finds it irritating that he is not able to express his true views because he believes that this kind of openness should be acceptable for people living in a democracy.

You are appalled of what you have discovered about the company commander. You cannot help but worry about the potential implications this may have for his commanding role during this mission and the decisions that will be made by him during his time in Afghanistan.

What do you do?

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Instructor's Guidelines

Assessment of the Situation
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Facts:

1) You are experienced and competent.

2) You are appalled by the accusations and do not know what to believe.

3) The accusations are vague, and no official accusation has been made.

4) The situation in Afghanistan is characterized by unrest and you know that decisions by the company commander will affect both the Afghan military and the Afghan local population (task completion, human suffering, etc.).

5) You have formal authority to intervene.

6) Intervening will cause a temporary vacancy of an important position.

7) Intervening may make others question your judgment, having put the company commander in such an important position.

8) The company commander is a close friend of yours, so is his family.

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Ethical Factors
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Individual Variables

1) You have a strong sense of values and professionalism.

2) You think that preconceived prejudices are fundamentally wrong.

3) You blame yourself for a lack of judgment.

4) You worry that you may have let the mission down.

5) You worry about what higher-level leaders may think and your future career.

6) You feel somewhat responsible for the family of the company commander.

Organizational Variables

1) You know that a vacancy would put great job strain on the mission.

2) You do not know how higher-level leaders will react to this situation.

3) You do not know how higher-level leaders will react if you decide to remove the company commander.

4) The company commander's career would most likely suffer immensely if you decided to displace him, which in turn would affect his family.

Situational Variables

1) You are responsible and your authority is clear.

2) Decisions made by the company commander will most likely affect both the Afghan military and the Afghan local population.

Type of Ethical Dilemma

This could be viewed as a *Competing Values Dilemma* (loyalty to the company commander versus integrity/duty) or a *Harm Dilemma*. Do nothing, and the Afghan Armed Forces or Afghan local population may be harmed, intervene and the harm may be to your status/respect and your future career. It could also lead to harm for the company commander and his family if he receives discipline or is relieved of duty. Finally, it is a Test of Integrity, you know what needs to be done, but acting will be uncomfortable.

Possible Options

1) Do nothing. Dismiss the accusations as hearsay and rumors. Provide the company commander with full support.

2) Do nothing. Observe the situation and hope that the company commander behaves and proves those having raised their concerns wrong.

3) Intervene. Make those questioning the company commander stop gossiping.

4) Intervene. Approach the company commander and casually ask for a word in private.

5) Intervene. Approach the company commander and order him to cease the inappropriate behavior immediately.

6) Intervene. Relieve the company commander of duty and request a replacement.

Optional Challenge Questions

1) If the company commander was not a friend, how would this affect your decision?

2) How would you react if you discovered that others working closely with the company commander have started to express similar opinions?

Case Number: NATO 24   **Case Intensity 4/10**   **Gender Discrimination**

You are a major and have been in your unit for over a year. You are the executive officer for the battalion commander, and you get along well, having worked with him multiple times over the course of your career. You respect your battalion commander and view him as a mentor.

In a personnel discussion with your commander, he comments on a junior officer, noting that the captain needs to accomplish multiple things before being promoted. Nine months ago, your commander made a similar statement regarding a junior NCO. Both instances happen to be about females; males within the unit who have a history of similar or worse performance are recommended for promotion without having to clear such hurdles.

Prior to your arrival in the unit, and under the previous battalion commander, an inspector general (IG) complaint (a formal process for notifying officials of suspected misconduct) was initiated where gender discrimination was alleged to occur within the unit. An investigation was conducted and there have been lingering unit climate issues as a result.

There may be issues with the current and previous commander and there may be issues at a variety of levels across the unit.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) You have a good relationship with the battalion commander.

2) You have noticed some discrepancies in how your commander talks about the potential career trajectories of females and males in the unit.

3) This unit has a history of alleged gender discrimination under the previous leadership.

4) The unit climate is weak as the previous gender discrimination allegations were never resolved.

Ethical Factors

Individual Variables

1) You value inclusivity and people being treated the same regardless of their gender.

2) You are a trusted confidant of the battalion commander.

3) The battalion commander is someone you look to as a mentor.

4) You see your relationship with the battalion commander as one of the most important factors for career success.

Organizational Variables

1) The unit is committed through policy to Diversity and Inclusion.

2) Previous male leadership denied gender discrimination was a problem, publicly stating that whoever issued the complaint was wrong. As a result, the prior complaints of gender discrimination remain unresolved.

3) The climate for ethics in your unit is suffering.

Situational Variables

1) You are conflicted. You value your relationship with the battalion commander., but also respect your female colleagues.

2) Your battalion commander may not realize his potential biases and may not be aware of how he is perceived.

Type of Ethical Dilemma

This situation could be considered a *Competing Values Dilemma* (loyalty to your battalion commander. versus loyalty to peers). This case is also an *Uncertainty Dilemma* because the right course of action is unclear. Finally, this case could also be considered a *Harm Dilemma*, because of the potential harm to the professional careers of the female soldiers in your unit versus the potential harm to your relationship with the battalion commander. It is a personal *Test of Integrity* as the executive officer and deputy to the commander.

Possible Options

1) Do nothing.

2) Speak to the battalion commander about the inconsistencies and offer suggestions to address gender inequality.

3) Speak to the battalion commander about his own personal commitment to confronting gender discrimination.

4) Report the situation to your brigade commander.

5) Take action by informing the inspector general.

Optional Challenge Questions

1) You are aware that your current battalion commander and the previous battalion commander, who was under investigation for gender discrimination, are close friends. How does this awareness influence your decision?

2) In your position as the commander's executive officer, you review the battalion's annual performance appraisals. When you review the current files, you note that all the top assessments are for male soldiers. How will this knowledge impact your decision?

Case Number: NATO 25	**Case Intensity 4/10**	**Missing Parents**

You have recently graduated from the Naval Academy. Two weeks following graduation, you were given the opportunity to deploy as a deputy platoon commander with a mechanized rifle company. You enjoy your commanders and the military comrades in your unit. In the mission area, the parties recently signed a ceasefire agreement, and the situation has become more stable. A few months into the mission, the safety situation is considered so stable that internal displaced persons begin to move back to areas close to the former confrontation line. Unfortunately, the safety situation worsens in your area of responsibility as loosely organized militia attack the civilian population attempting to return home. The aggression is characterized by houses and bridges being blown up, nightly gunfire (undirected gunfire straight up in the air) and murder. A dead body is dumped into a nearby river.

Your company is directed to make its presence felt and provide protection for the village under attack. The task is to be completed with at least eight infantrymen, one armored Personal Carrier (APC), and a non-armored jeep. The task is enforced during both day and night.

Late one evening when you and your 10 soldiers complete the surveillance task, a group of children aged 3 – 9 years approach you. In the local language they try to make you understand that their mum and dad have gone to check on their house, from which they were displaced in the beginning of the war. The parents were expected to be away for about one hour, but now they have been gone for almost ten hours. The children cry and hug your legs while asking: "Please can you go to the other side and find our mum and dad?" The order from your superior command is to protect the village but does not authorize patrols beyond the former confrontation line (the other side). Moreover, standard operating procedures (SOPs) stipulate that moving forward to the other side of the CFL after dark can only happen with at least two APCs in formation. You only have one APC. Some members of your team feel that the only right thing to do is to divide the group, and that you and the soldier knowing the language spoken by the children, should go with the jeep and look for the parents. The others would stay and complete the APC task.

You radio HQ for authorization. The higher command's orders are clear:

> *"Foxtrot Delta One, you are ordered to continue your task in the village. You do not have permission to move forward passed the CFL with less than two APCs in formation".*

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts

1) You have been in the mission area for several months and can make an adequate and reliable risk assessment.

2) Your soldiers are particularly experienced and have shown great personal courage on several occasions.

3) The local culture is new, but you have put a great lot of time into cultural awareness.

4) If you decide to pass the CFL you must also bring the oldest children to guide you.

Ethical Factors

Individual Variables

1) You are strongly influenced by your unit's values regarding courage and the taking of risks.

2) As the only marine corps officer among army officers, you feel that you must exhibit integrity and never backing down.

Organizational Variables

1) You only have one APC and cannot follow SOPs to move forward at night.

2) The unit to which you belong carries a narrative of great courage and willingness to take risks to uphold human rights.

3) The commander must deny your request and direct you to follow SOPs.

4) The commander is not geographically present and thus cannot make a nuanced risk Assessment of the Situation.

5) You do not know how higher-level leaders will react if you go against SOPs.

Situational Variables

1) A failure to act may cause long-term issues of trust within the local population.

2) You and your soldiers' self-image may suffer if do not take a certain level of risk to save lives.

3) Several of your soldiers have suffered moral stress from previous missions and similar situations.

4) The crying children is a factor that affects you and your soldiers strongly.

Type of Ethical Dilemma

This can be viewed as a *Competing Values Dilemma* (Duty versus compassion/courage). It could also be classed as a *Harm Dilemma*. Do nothing and the parent's lives may be in jeopardy, defy orders and try to find the parents and there may be career consequences for you and your soldiers, or even a risk of physical injury/death.

Possible Options

1) Obey orders and SOPS. Stay at your location and continue your assigned task.

2) Defy orders and SOPs. Leave eight soldiers and the APC at the location and move forward with two soldiers and attempt to find the parents.

Optional Challenge Questions

1) If your troops were all opposed to the rescue mission, how would this affect your decision?

2) What impact would there be on your decision if HQ had added that disobedience would be a court martial offense?

Case Number: NATO 26   **Case Intensity 4/10**   **Harsh Discipline**

You have served in your country's military for fifteen years and have reached the rank of major. Operational deployments and intense training characterized the first ten years of your career. During the preceding five years, you have worked primarily within the army's training environment developing junior officers. Although you have enjoyed the work, you discovered that you have missed the operational aspects of your career. When an opportunity came up for a deployment to work as an instructor with a developing nation, you jumped at the chance.

You have now been in country for about three weeks and are still adjusting to the new role. The work is familiar but the available resources for training are less than you would like. You were surprised to discover that the instructors you are working with are much younger and less experienced. Nevertheless, you view them as hard workers and they quickly started looking to you for advice and guidance. Even though you have embraced this mentoring role, you have been somewhat troubled by the harsh discipline you have observed on occasion. However, you have also accepted that there will be cultural differences that will require some adjustment.

One day, while walking to the Mess Hall, you observe one of trainers, also a major, berating a soldier who had obviously made some sort of error. You are unaware of the nature of the infraction. The yelling caught your attention, so you paused to observe the interaction. When the shouting became more intense you were surprised, but what truly alarmed you was that the major started to punctuate his screams by striking the soldier in the upper arms and shoulders with his pace stick. You judge that permanent damage would not be inflicted by the intensity of the strikes, but you would never tolerate this sort of abuse back home.

What do you do?

<center>**Instructor's Guidelines**</center>

<center>**Assessment of the Situation**</center>

Facts:

1) You are experienced and competent.

2) You have only been in the country for a short period.

3) You sense that you have been quickly accepted by the nation's trainers.

4) The culture is very different from your own.

5) Resources are limited.

6) You have observed what you would view as harsh mistreatment of a soldier.

7) You do not know the nature of the offense.

8) You do not outrank the officer committing the abuse.

9) You have no formal authority to intervene.

<center>**Ethical Factors**</center>

Individual Variables

1) You have a strong sense of values and professionalism.

2) You are still new to this deployment with many months to go.

3) You have been gaining the trust and respect of your fellow instructors.

4) You are unfamiliar with the nation's culture and its expectations.

5) Your ethical alarm bells are ringing, you view this as fundamentally wrong.

Organizational Variables

1) It is apparent that the ethical climate here is very different.

2) You are unable to judge if this is acceptable behavior.

3) You do not know how higher-level leaders will react.

Situational Variables

1) You are not part of the offending major's chain of command.

2) Your responsibility and authority are unclear.

3) Stress levels are highly elevated.

<center>**Type of Ethical Dilemma**</center>

This could be viewed as a *Competing Values Dilemma* (loyalty to fellow instructors versus integrity/duty) or even a *Harm Dilemma* (do nothing, the soldier could continue to be harmed, intervene and the harm may be to your status/respect in this deployment. It could also lead to harm for the abusing major if he receives discipline or loses face in the eyes of the soldiers). However, it is most clearly an *Uncertainty Dilemma*; you simply have no way to judge the correct action to take.

Possible Options

1) Do nothing. Observe the situation and hope to gain some insights later.

2) Do nothing. But, address the situation with the major at a later time.

3) Do nothing. But, report the situation to your chain of command.

4) Intervene. Approach the major and demand that he stop this disciplinary action immediately.

5) Intervene. Approach the major and casually ask for a word in private.

Optional Challenge Questions

1) Would you judge the situation differently if there was a possibility of physical harm?

2) Would your decision be different if you were witnessing a major from the host country treating a soldier from your own country like this?

Case Number: NATO 27   **Case Intensity 4/10**   **Inappropriate Symbols**

You are the commander of your national contingent in a NATO-led counter-insurgency operation. You know by heart that modern counter-insurgency operations are less about fighting the enemy and more about gaining the hearts and minds of the local population. Nonetheless, it is not only about local hearts and minds. Recent scandals of other nations' soldiers have also reminded you that domestic support cannot be taken for granted.

One day, a colleague of yours tells you that a subordinate company commander was seen carrying a symbol of an SS division on his helmet. You realize how potentially damaging this could be. Similar scandals occurred in other contingents, having resulted in a loss of domestic support for the operation.

You immediately visit the company. Upon brief investigation, you find Nazi symbols on two helmets. The company commander displays the sign of SS division *Hohenstaufen* and his deputy the sign of SS brigade *Dirlewanger*. No other Nazi symbols or hard evidence of far-right leaning among the soldiers has been found.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) You are a competent commander who understands the complexity of counter-insurgency operations.

2) Far-right extremism among soldiers is a problem that may seriously damage public trust in the armed forces.

3) Displaying SS symbols is a severe violation of military rules.

4) The symbols displayed on helmets are the only signs of far-right leaning you have found.

5) The officer carrying the SS division's symbol is a seasoned commander, and it will be difficult to replace him during the deployment.

Ethical Factors

Individual Variables

1) You have a strong sense of professional responsibility.

2) You understand the evilness of Naziism and the unacceptability of showing any sympathy to the Nazi ideals.

3) You identify with the armed forces and their mission.

4) You feel responsible for your subordinates.

Organizational Variables

1) Public support is essential for the preservation of military legitimacy.

2) A latent far-right leaning is not uncommon in the military community.

3) The top leadership of the armed forces carries out a no-toleration policy towards extremism.

4) The tradition of your military organization is built on the fight with the Nazis.

5) The informal culture prefers if a commander punish minor disciplinary issues without formal procedures and reporting.

Situational Variables

1) The display of SS symbols has not yet caused any damage.

2) The effective functioning of the company would be seriously affected by the suspension of its commander and his deputy.

3) Your personnel resources are limited.

Type of Ethical Dilemma

This could be viewed as a C*ompeting Values Dilemma.* On one hand, there are formal rules and official policies against any expression of far-right sympathies; moreover, any association with the SS forces is morally unacceptable. On the other hand, you also bear direct responsibility for your soldiers, their well-being and effective fulfilment of their mission; furthermore, as a representative of your armed forces you may feel responsible for the public image of the armed forces.

This is also a *Harm Dilemma* (You may consider either the increased risk that your soldiers may face without their company commander or the risk to the trust and loyalty of soldiers to their superiors if morally unacceptable and illegal behavior seems to be tolerated by the higher command).

Possible Options

1) You report the incident to the operational command in your home country and wait for their response.

2) You immediately put the two soldiers off duty and send them home. Simultaneously, you report the incident to the operational command in your home country.

3) You will order the helmet covers with SS symbols to be immediately destroyed and all pictures of it deleted. You privately reprimand the soldiers but do not press the case further to higher authorities.

Optional Challenge Questions

1) You are aware that the colleague who reported these inappropriate symbols is of the Jewish faith. How does this impact your decision?

2) The company commander and his deputy claim that they were unaware that the symbols were of Nazi origin. Does this change your decision?

Case Number: NATO 28   **Case Intensity 5/10**   **Intoxicated Accident**

You are the commanding officer (CO) of a training unit responsible for specialist training. You train about 1000 students each year. You are relatively experienced, have a good support network, a mentor and sound professional relationship with your superiors. Your armored vehicle organization trains on the cavalry ranges and training areas. The company is well led, and you trust them to get on with delivering a busy program. There is a lead warrant officer, responsible for administration, planning and executing training as well as the career management of new joiners to this career field and to those deployed in other locations. He is an exemplary worker and considered to be the Oracle of all knowledge. He is widely respected and has done 3 tours of Afghanistan over the last 3 years. You have written him up for a national award and for a commission to promote as a lieutenant.

On Saturday morning you take a phone call from the adjutant. The warrant officer has been involved in a dreadful car accident. He has been taken to hospital with serious injuries having driven off the road. On investigation he has been drinking extremely heavily and has driven his car into his married quarters. This may be a drunken error, while he was trying to get home or even an attempt to harm his family. He has a mandatory qualification that cannot be gapped for the next deployment. You have been advised that you must meet the operational requirement for deployment to Afghanistan in two weeks. The warrant officer is a vibrant and sympathetic leader with a completely clear disciplinary record. On investigation he has failed to declare the PTSD he has been suffering since being in a vehicle strike on his last tour. He has a child with Special Educational Needs and he and his wife's marital relationship is under strain. The Brigadier is ringing shortly and wants to know how you are going to deal with this. You know that he will be concerned about the reputational risk for the unit as well as the duty of care for the individual.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) You are an experienced and competent leader and have personal operational experience deployed with the individual.

2) The warrant officer is popular and seen as a hero by the team. He has done 3 tours of Afghanistan over the last 3 years.

3) Your Brigadier is concerned about the reputational risk for the unit as well as the duty of care for the individual.

4) You must meet the operational requirement for deployment in two weeks.

Ethical Factors

Individual Variables

1) You feel conflicted between the harm the individual has caused himself and his family as well as the reputational damage he has done to the unit.

2) He has also set a poor example for younger team members.

3) There is a conflict between your own values and the harm he may have done to the organization.

4) You have a strong sense of professionalism and strong ethical motivation to react correctly.

Situational Variables

1) There is considerable pressure to meet the requirements for an imminent operational deployment.

2) The failure to be transparent could impact on access to shared training facilities and could do long-term harm to the organization's reputation.

Organizational Variables

1) You do not know if you can obtain the appropriate waivers to allow a replacement to be deployed or for the warrant officer to do a short-duration tour.

Type of Ethical Dilemma

This is a *Harm Dilemma* (your decisions will lead to injustice for at least one of the actors). You can deploy the extremely experienced and competent man and risk his mental health and harm his family. Alternatively, you can deploy a replacement at short notice with a personal consequence for them and their family. Common to all options is a risk of reputational harm with other members of Defence and the media.

It could be viewed also as *Uncertainty Dilemma* (you do not know whether to prioritize the operational deployment (Task) over the wellbeing of the warrant officer (Individual) or the effectiveness and morale of the group (Team)).

Possible Options

1) Do nothing. No one has been hurt physically apart from the warrant officer. The medical assessment is his injuries will allow him to deploy, saving face with his peers for what will become known in myth as a 'driving error'. The involvement of alcohol will add to the positive perception of this incident by some members of the team.

2) Minor intervention. Scope a short tour option to reduce the duration of the individual's deployment and seek dispensation for the warrant officer to return after 12 weeks. Set up counseling for him, his wife, and children.

3) Major intervention. Immediately nominate the replacement and seek dispensation to deploy. This is a risk because the replacement will not have time to meet the mandated level of pre-training. Admit the warrant officer to the medical chain for psychological assessment.

4) Major Intervention. Assess the team and engage with medical services to understand their levels of PTSD. Review the pre-deployment preparations and ensure that those at risk are identified by going to the training facility to conduct interviews and focus groups.

Optional Challenge Questions

1) If the accident caused by the warrant officer injured one of his family members, how would this affect your decision?

2) How would you feel about this dilemma if the warrant officer was not intoxicated, but did suffer from PTSD?

Case Number: NATO 29   **Case Intensity 5/10**   **Is Fraud Justified?**

After 20 years of service in various command and staff positions, you became a medical supply depo commander. During your career, you had often experienced how the rigid military bureaucracy can complicate work at all organizational levels. Especially the strict rules of public procurement that could often lead to long delays in transporting essential supplies to soldiers. Nonetheless, your long career had taught you how to get things done despite the bureaucratic obstacles.

Due to a legislative change, the military vehicles must be equipped with a new type of first aid kit, and defibrillators must be installed in every military base. The government selected a supplier after a protracted acquisition process. Your supply depo was assigned to receive the material from the contracted supplier and distribute it to all units.

According to the contract, the material was to be delivered by 30 November. However, on this date, the supplier brought only a small part of the entire order. The manager of the contracted firm was able to explain the reasons for the delay and promised that the rest of the ordered material would be delivered in less than two months, just in time to fulfil the new legal requirements.

Your experience told you that if you report that the supplier failed to deliver the complete order on time, the contract will likely be canceled, and the whole acquisition process would have to start anew. Consequently, it would not be possible to use military vehicles on public roads without violating the new law and lives could be lost because of the missing defibrillators. The only way to avoid these additional delays would be for you to sign as receiving the complete order. You would also have to simultaneously make the false claim that you had to return the missing part of the order (fabricating a justification for the return). This would provide a paper trail and grant the supplier the time required to complete the delivery. The delay would be much smaller than if the acquisition process started anew.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) You are an experienced and competent military administrator.

2) There is a record of an ineffective application of the public procurement rules in the military.

3) You are convinced that reporting the failure to deliver on time will lead to the cancelation of the contract.

4) You believe that the supplier will fulfil their promise.

5) Falsifying the supply documents is a criminal offense.

Ethical Factors

Individual Variables

1) You have a strong sense of values and professionalism.

2) You identify with the armed forces and their mission.

3) You know that strict application of bureaucratic rules hinders the military readiness.

4) You were positively influenced by the public campaign about the usefulness of accessible defibrillators.

Organizational Variables

1) The military organization relies on the strict following of the rules.

2) The informal culture tolerates minor violations of the bureaucratic regulations if it is for the better.

Situational Variables

1) You are in charge only of the reception and distribution of the medical material.

2) You are not responsible for the acquisition process.

Type of Ethical Dilemma

This could be viewed as a *Competing Values Dilemma* (laws and formal rules versus the life-threatening consequences strictly following rules).

Possible Options

1) Report that the delivery is incomplete.

2) Sign the reception form and fictitiously return the missing part of the order. Give a chance to the supplier to deliver the medical material with an acceptable delay.

Optional Challenge Questions

1) How would your reaction differ if a close family member died because a defibrillator was not available?

2) Would you be more willing to sign if you had previous positive encounters with this supplier?

Case Number: NATO 30   **Case Intensity 5/10**   **Civilian Disagreement**

You are major serving as a pilot with a search and rescue squadron (SAR). The mission of your combat wing is to maintain a high level of readiness and effectiveness. You must also carry out air operations at any given time; this is achieved by the appropriate planning and training of personnel along with the maintenance of the available means and systems. Your squadron's main missions are, among others, Search & Rescue in Peace time, Combat Search & Rescue in War time, Emergency Medical Service, Delivery of Supplies to Isolated Areas and Missions for the Common and Social Good. You fly an all-weather, day and night, long range SAR helicopter; with you on board are also a second pilot (1st Lt), an engineer (master sergeant), a rescuer (warrant officer) and a doctor (civilian personnel).

Everything was running smoothly until a couple of months ago when a new civilian doctor joined the team. Since then, every time the helicopter had to take off in harsh weather conditions, you faced difficulties persuading the new doctor to board. Due to the delay, two weeks ago you didn't manage to take off because the weather deteriorated; thank God, the medical emergency was resolved.

You discussed the issue with the colonel in charge of your squadron. He advised you not to file an official report but give the new doctor some extra time to adjust to the new post. You followed his advice, but during the last few days, the situation got worse. Due to another delay, you didn't manage to take off last night and a man died waiting for help on an isolated island. Your crew is also upset: the second pilot and the engineer are extremely disturbed, but the rescuer believes that it was the gravity of the medical condition that led this man to die; they couldn't possibly save him, even if they managed to get to him while he was still alive. The doctor insists that, given the poor weather conditions, the helicopter would never have made it to the isolated island in time. Therefore, there was no way to save the patient; so, why take the risk in the middle of the night by flying during stormy weather for a lost case?

You have reached the end of your patience and arrange to meet with the colonel once more. You are determined to find a solution through the chain of command.

What do you do?

<div align="center">

Instructor's Guidelines

Assessment of the Situation

</div>

Facts:

1) You are not new to the squadron; in fact, you are the most senior member of your crew.

2) This means you bear responsibility for your subordinates' actions, especially if it is proven that you did nothing to prevent something wrong from happening.

3) The difficult crew member who resists obeying orders is a civilian.

4) You have faced the same, serious, problem twice.

5) There are standing rules and legal obligations about the crew members (either military or civilian) who perform SAR missions.

6) You are the pilot in command of the helicopter, and you must demand that your crew members must do their job correctly.

7) You have previously reported this problem situation.

8) You have a duty to solve the issue and make sure this doesn't happen again.

<div align="center">

Ethical Factors

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Individual Variables

1) You have a strong sense of professionalism and an ethical motivation to act in accordance with the regulations.

2) You agree with what the colonel initially proposed, which was to give some time to the new doctor to adjust, but this approach did not work.

3) You believe that you bear responsibility, and you are also liable and accountable for things that could be prevented.

4) You believe that you must demand that your crew (no matter whether military or civilian) obey your mission related orders.

5) You have informed the colonel and you are responsible to enforce the regulations related to the mission.

6) If you fail a mission, you will be held responsible, liable, and accountable.

7) You wish to effectively resolve the situation and make sure that all members of the crew (whether military or civilian) understand the hierarchy during a mission.

Organizational Variables

1) This is a new situation to you and your squadron; no precedent exists to guide you.

2) You want this situation to end, but the new doctor is not military, therefore may not have a clear understanding of the hierarchy in preparation for and during the flight.

3) Your decision and your actions may make you responsible, accountable to your superiors or even liable for acts of your crew members that prohibit the execution of a mission in the future.

Situational Variables

1) The new doctor may be having trouble adjusting to the new post and related duties, given the civilian status.

2) Your crew members don't share the same view on the delay and cancelation of the flight due to a civilian doctor.

3) A previous similar incident is known to your superior, so, now, you have every right to ask for immediate action within the chain of command.

4) If the new doctor doesn't obey your orders related to the flight, then, there is a risk that your squadron will fail to execute its tasks effectively.

5) Because someone has died and investigation about the case is under way, stress levels are high.

Type of Ethical Dilemma

This is a *Harm Dilemma*: do nothing and you will be considered as incompetent, since you cannot handle your crew members; do nothing and people might die; do nothing and you may find yourself accountable for people dying, because you couldn't persuade your crew members to obey your orders concerning the flight; do something and the doctor's career is in jeopardy.

Possible Options

1) Do nothing. Ask Colonel to investigate the issue and take the appropriate steps with the civilian who is causing you (and the squadron) troubles.

2) Intervene moderately. Discuss the issue in private with your crew members. Explain to the new doctor the regulations; make clear that each of your crew members has specific tasks to accomplish; each one must perform his/her duties, so the doctor cannot decide when its good time to flight and the pilot cannot say which is the best way to treat a patient.

3) Intervene moderately. Ask the colonel to discuss the issue in private with the new doctor. Explain to the new doctor the regulations; make clear that each of the crew members has specific tasks to accomplish; each one must perform his/her duties, so the doctor cannot decide when its good time to flight and the pilot cannot say which is the best way to treat a patient.

4) Intervene. Discuss the issue in an unofficial meeting, but openly, with your crew members. Explain to the new doctor the regulations; make clear that each of your crew members has specific tasks to accomplish; each one must perform his/her duties, so the doctor cannot decide when its good time to flight and the pilot cannot say which is the best way to treat a patient.

5) Intervene. Ask Colonel to discuss the issue with the new doctor in an official meeting that you will also attend. Explain to the new doctor the regulations; make clear that each of the crew members has specific tasks to accomplish; each one must perform his/her duties, so the doctor cannot decide when its good time to flight and the pilot cannot say which is the best way to treat a patient.

6) Intervene. Discuss the issue openly with your crew members during an official meeting, which Colonel will also attend. Explain to all the regulations; make it clear that each of the crew members has specific tasks to accomplish; each one must perform his/her duties, so the doctor cannot decide when its good time to flight and the pilot cannot say which is the best way to treat a patient.

7) Intervene. Ask Colonel to discuss the issue openly with all crew members of the squadron during an official meeting. Explain to all the regulations; make clear that each of the crew members has specific tasks to accomplish; each one must perform his/her duties, so the doctor cannot decide when its good time to flight and the pilot cannot say which is the best way to treat a patient

8) Intervene. File an official report to the colonel and ask for an official meeting which will be attended by both the military and the civilian personnel, who serve as crew members in your squadron. Explain to all the regulations; make clear that each of the crew members has specific tasks to accomplish; each one must perform his/her duties, so the doctor cannot decide when its good time to flight and the pilot cannot say which is the best way to treat a patient. To make sure that crew members understand just how important it is to obey the pilot in command during all phases of the flight, lawyers with expertise on the subject are invited for tutoring and counseling.

Optional Challenge Questions

1) Would you feel differently about the situation if you discovered that the civilian doctor served a career as a military doctor?

2) Would you feel differently if the doctor revealed that he survived a plane crash a couple of years ago but still suffers from nightmares associated with this traumatic event?

Case Number: NATO 31 **Case Intensity 5/10** **Removal from Training**

You were recently a basic training platoon commander for a course that was completed about a month ago. Most people in the platoon were satisfied with their training and therefore decided to continue with an employment at the unit. Following the basic training, you were appointed commander for their platoon until the regular platoon commander, temporarily on parental leave, returned. In your team of trainers, you had an experienced sergeant major as a deputy and two petty officers as instructors. They were not part of the platoon during initial training and, for that reason, they did not know the soldiers personally.

During training in combat shooting with your platoon, the company commander and your deputy are present. The company commander noticed on that particular day that a soldier was struggling. Moreover, he did not seem to understand and rectify the points that were given as feedback in the combat shooting evaluations. The soldier seemed extremely distracted when he noticed the company commander.

The soldier in question has worked hard during basic training. In your assessment, he is an acceptable performer, a good team-player and you genuinely believe he has potential. You realize that your company commander and deputy are increasingly scrutinizing the performance of the soldier during the following weeks. They are both keen to point out to you things they think demonstrate the soldier's inability and you do not understand why the soldier is being singled out for additional attention, although you have overheard that the soldier dated the daughter of the company commander while they were in high school.

Three months into the soldier's six months probationary period, you are called to the company commander's office. He informs you that he wants you to terminate the soldier's probationary period, as he is not up to scratch. The company commander justifies his decision by only being able to employ a limited number of soldiers in the next phase of training and therefore soldiers must be at the top of their game. The company commander also notes that the experienced sergeant major agrees with him and has recommended the same action be taken.

The company commander ends the discussion by reminding you that the battalion's policy and attitude when terminating probationary periods involves only informing the person concerned that the decision has been taken and there is no requirement to explain what the justification is for that decision. This avoids any risk of allowing the decision to be challenged subsequently.

What do you do?

Instructors Guidelines

Assessment of the Situation

Facts:

1) You are in a new position and temporarily filling a vacancy.

2) You know the soldier and have respect for him.

3) You know that the soldier has under-performed whilst under scrutiny from the company commander.

4) You feel uncomfortable with the company commander's and your deputy officer's presence, watching over your back.

5) You feel uncomfortable by the company commander and the deputy officer's inclination to try to influence your impression of your own soldiers.

6) You are appalled by and question the motives and justifications of the company commander not wanting you to be transparent with the soldier.

Ethical Factors

Individual Variables

1) You are new in your position.

2) You have a strong sense of values and professionalism.

3) You feel disloyal as you know that the soldier enjoys the military and would be negatively affected if you were to end the probationary period.

4) You feel unsupportive if you were not to be transparent with the soldier.

5) You worry about what the chain of command may think if you challenge their direction and any impact it may have on your future career.

6) You worry about what your soldiers may think of you, in terms of your judgment and integrity if you do as you are told.

Organizational Variables

1) If you advocate on behalf of the soldier, you will be challenging the company commander's judgment in front of the rest of the command team.

2) The company commander leads in a very direct way and can be dominant once they have made their mind up.

3) There is no requirement to disclose the reasons behind any decisions to remove soldiers from training.

Situational Variables

1) You are responsible, yet formal authority appears unclear.

2) If you comply with the wishes of the commander you will be terminating the soldier's prospect of a military career.

Type of Ethical Dilemma

This dilemma includes *Competing Values* (there is conflict between complying with leadership direction and fairness for the solder). Yet, it may also be a *Harm Dilemma* as acting on the will of the superior leader(s) may destroy a career, damage their livelihood and cause psychological harm to the soldier. It may also be a *Test of Integrity* for you.

Possible Options

1) Do as you are told and terminate the soldier's probation without disclosing the reason for ending the probation.

2) Challenge the commander's decision and advocate keeping the soldier at the unit.

3) Terminate the soldier's probation, and tell him the reason for the decision is the commander's assessment and direction.

Optional Challenge Questions

1) The soldier has confided in you that the company commander never approved of the soldier's relationship with his daughter and they only split as a couple because the girl was ordered to break things off. Would this have an impact on your decision?

2) You discover that the soldier is the sole support for his invalid mother. He cannot afford to lose this income. How does this affect your decision-making process?

Case Number: NATO 32   **Case Intensity 5/10**   **Rescue or Not**

You are a major commanding a sub-unit during the counter-insurgency campaign in Afghanistan. You are working with international partners and National army and police partners, building security capabilities, and promoting stability in a highly disputed province where there are several elements of progress but also kinetic confrontation with the Taliban. The operational tour of six months has been extremely demanding and has seen several conventional raids, seeking to distract and deter the Taliban and military as well as civilian casualties have been significant.

There has been a series of raids where friendly forces have made real progress and achieved substantial tactical success. Combat power and combat support resources have been available and appropriately allocated to support planning and the commitment of troops to combat has been deemed appropriate and acceptable by senior commanders. A complex target has been identified and the sub-unit has been committed to an aviation assault. Following success on the target, the group have extracted. However, back at the base, team leaders realize a teammate missing. Shortly after this discovery, there is a sighting of a soldier's body in a small ditch just out of the line of sight of the Taliban compound. There are reports that enemy remain in the area despite the fighting. The injured colleague is not moving, and his lightly concealed position is only accessible across open and extremely exposed ground. You are exhausted. You have no close colleagues to bounce your decision making off and share your concerns.

What do you do?

<center>**Instructor's Guidelines**</center>

<center>**Assessment of the Situation**</center>

Facts:

1) Leaders have seen no movement from the injured man and are desperate to recover him.

2) Your teams are extremely tired, and there is no way of determining if the injured man is dead.

3) You feel an overwhelming sense of pressure to recover the injured, or even dead man.

<center>**Ethical Factors**</center>

Individual Variables

1) You are exhausted. You have no close colleagues to bounce your decision making off and share your concerns.

Situational Variables

1) The loss of other colleagues across the deployed force has had a substantial, unspoken, impact on the determination of the team for further combat.

2) The group have come out of intense close combat and are exceptionally emotional.

Organizational Variables

1) There is intense scrutiny from national headquarters, national political decision-makers, the media, and the public.

2) If found to be dead, there is no appetite or scope to use air-delivered munition to destroy the body and deny it to the Taliban.

<center>**Type of Ethical Dilemma**</center>

This is a *Harm Dilemma*; your perceptions and decisions could lead to injustice for at least one of the actors. There are obvious facets of physical harm, injury or death compounding the complexity of this dilemma.

This is an *Uncertainty Dilemma*; you do not know what the correct course of action is. You may be conflicted as the organizational values of integrity and loyalty suggest you must recover the wounded/dead person but the risk and threat of the mission is so substantial you may be compromising your own integrity by proceeding.

Possible Options

1) Do nothing. There has been obvious cost to the team and the individual may be dead. You cannot meaningfully launch the mission, personnel are exhausted, as are you.

2) Minor intervention. You can appeal to local village elders who claim at a recent Shura to have been disgusted by the Taliban's abuse of dead bodies and there has been some sense of potentially being able to exploit a shared sense of honor.

3) Major intervention. You and the team know the terrain and believe you have the best chance of success by either launching immediately on a direct aviation.

4) Major Intervention. You quickly gather your key commanders and run through possible options. You establish your key success criteria. Mindful of time constraints you plan and prepare the most plausible scenario and seek your senior commander to validate your plan. You record your assumptions and justifications.

Optional Challenge Questions

1) If someone reports movement from the injured soldier, how will this influence your decision?

2) There is evidence that the Taliban are also aware of the injured soldier. Will this have an impact on your decision?

Case Number: NATO 33   **Case Intensity 6/10**   **Political Dilemma**

You are the minister of defence, and you know that deployed military personnel will occasionally have to work with local stakeholders who are likely involved in the sexual abuse of minors. This reality is also well-known by your country's media and parliament. You realize that when you fail to provide guidelines on how to act in such situations, responsibility shifts to the men and women on the ground. Without this guidance the military personnel will then be faced with a dilemma when they become aware of these behaviors by the people they are working with. They will need to decide whether to interfere or not. For many soldiers this creates an unavoidable internal values conflict. They wish to protect human rights and abide by the rule of law. They also desire to improve the situation of the minors in question. All these emotions and values conflict with their feeling that it is not legitimate to impose Western values on members of other cultures. Conversely, if you provide guidelines, for instance proscribing that deployed military personnel should not interfere, this might force soldiers to act against the dictates of their own moral compass. Not intervening can also harm the human dignity and physical integrity of the victims. What complicates matters, however, is that the success of the mission and perhaps even the safety of your personnel to quite some extent depends on good relations with the same local leaders who may be involved in these practices you and your men and women abhor.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) In the country of deployment, the abuse of minors dates back centuries.

2) In the country of deployment, the abuse of minors is illegal.

3) Most people in the country of deployment condemn the practice.

4) You are sincerely concerned about the welfare of your personnel.

5) You are sincerely concerned about the welfare of the potential victims.

6) You also concerned about your own political fate, that of your party.

7) The media are following this but are presently taking a neutral stance.

Ethical Factors:

Individual Variables

1) You are an experienced politician with limited knowledge of the military.

2) Your motivation to become involved in politics was idealistic.

Organizational Variables

1) Whatever policy you decide on will be implemented.

Situational Variables

1) The situation in the country of deployment makes it very difficult to predict how your decision will work out.

Type of Ethical Dilemma

This would be viewed as a *Competing Values Dilemma*: respect for other cultures conflicts with universally held values and basic human rights. Also, the mental well-being of personnel can conflict with the wish to attain mission goals.

Possible Options

1) Issue a guideline that child abuse is a legitimate reason to interfere as that is in the best interest of the child.

2) Issue a guideline that child abuse is not a reason to interfere as it can hamper mission success and is potentially disrespectful to local culture.

3) Do not issue a guideline and leave the decision to the personnel deployed as they are in a better position to know what to do best.

Optional Challenge Questions

1) Would your decision be different if the media stopped taking a neutral stance and started to publish what is going on in the deployment country?

2) How would you react to these circumstances if you had young children at home?

Case Number: NATO 34 **Case Intensity 6/10** **Injured Child**

You have served in the armed forces of your country for over 10 years. You are a captain, and you have been offered an opportunity to be deployed on a crisis management operation for six months before an upcoming General Staff Officer Course. You discuss this with your family and decide to accept the task. You are assigned as a platoon leader.

You have been serving in the area for less than a month now. On a patrolling assignment, driving through a residential area close to the center of a medium-size town relatively calm and friendly to you, a little local boy runs into the road and gets run over by your armored patrol vehicle. You tell the convoy to stop and dismount. A big crowd of local people gathers around immediately. They are not behaving in a threatening way but seem to immediately understand that it is an accident. The driver of the vehicle who ran over the child is shocked, but able to function. Your platoon's paramedic hurries to examine the injured boy and concludes that his injuries are serious, and he needs to be brought to a hospital. Due to a local religious holiday, most of the clinics in the city are closed. The ones that are open are a long distance away and you will probably not be able to skip the line even in cases requiring immediate treatment. In the city, there is also a multinational troops' military hospital, but it is absolutely forbidden to bring local people there to prevent it from turning into a general clinic. It also forbidden to let local civilians into any of your platoon's vehicles. The boy's parents ask for your help, and the crowd of people around you keep watching your every step. You have reported the accident to your base. They insist that force protection must be ensured, and instructions followed.

What do you do?

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Instructor's Guidelines

Assessment of the Situation

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Facts:

1) You have only been in the country for a short period.

2) The culture is very different from your own.

3) Resources are limited.

4) It is an accident.

5) The medical care needed is not easily available.

6) The people around you are watching your team's actions and reactions.

7) The boy's parents ask for help.

8) You do not have the right to take the child to the local military hospital.

9) You do not have the right to transport the child to a local clinic.

10) The child needs medical care.

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Ethical Factors

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Individual Variables

1) You have a strong sense of values and professionalism.

2) You are unfamiliar with the nation's culture and its expectations.

3) As a parent you think it is wrong not to help.

4) Your team was in the accident, so you think it is wrong not to help.

5) You want to follow military instructions.

Organizational Variables

1) You don't know how higher-level leaders will react.

2) You don't know how your platoon will react.

3) You don't know how the local people will react.

4) You don't know how the hospital will react.

5) You don't know how the driver will react.

Situational Variables

1) Your responsibility is unclear.

2) Stress levels are highly elevated.

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Type of Ethical Dilemma

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This is a *Competing Values Dilemma* (military rules and procedures vs. the child's health). You are also concerned about how the local people perceive your platoon and how the coalition will respond to whether you comply with regulations. It is also a *Harm Dilemma*; The child needs medical attention, and the driver may suffer a psychological injury. Finally, it is an *Uncertainty Dilemma* because the clear path is not readily apparent.

Possible Options

1) After the paramedic has treated the child, you leave and urge that the child be taken to medical care.

2) Against the rules, you take the child in one of your vehicles to a local clinic.

3) Against the rules, you take the child to the military hospital.

4) You take the child to his home and ask the doctor of the base to come and examine him.

Optional Challenge Questions

1) The boy's injuries are serious, but the paramedic did not say that they were immediately life-threatening. Would you handle this situation differently if death was a stronger possibility?

2) Would you view the circumstances differently if the injured child was a little girl rather than a little boy?

Case Number: NATO 35   **Case Intensity 6/10**   **Sexual Assaults**

You are an NCO in an operational unit. A soldier discloses to you that they were recently sexually assaulted by another soldier in your unit. The identity of the alleged perpetrator has not been revealed. The victim came to you as a friend to talk about what happened to them and made it very clear that they do not want to report the incident. You are not in a position where you are in a direct line management role for the person who is the victim.

In a separate instance, you hear of a different soldier within the unit who was sexually assaulted. It is unclear if one perpetrator committed both assaults or whether there are multiple perpetrators. You are worried that there may be a pattern of sexual harassment and assault within your unit, but the information about the assaults is not yours to tell. Reporting against the wishes of those who experienced the assaults would betray their trust and further deny them power over the situation, but sexual assault is a crime that undermines unit readiness.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) Another soldier who is a friend has confided in you about an incident where they were sexually assaulted.

2) The assault was committed by another soldier in your unit. You do not know the soldier's identity.

3) Your friend does not want you to report the incident.

4) You heard about a sexual assault on a different soldier but have not heard about it directly from that soldier.

5) You do not know if a single or multiple perpetrators committed the assaults.

Ethical Factors

Individual Variables

1) You value your relationship with your friend and do not want to betray their trust.

2) You are unsure of what to do with this information.

3) You are not in a direct line management role for the soldier who has disclosed the assault.

4) You have always believed in doing what you must do if one's intentions are good.

Organizational Variables

1) You are unsure about what your leadership will think if you start asking questions about sexual assault in your unit.

2) Your unit has avoided being the center of any ethical misconduct scandals.

3) You do not feel comfortable sharing your concerns with your unit.

4) The military is actively working to reduce sexual assault and harassment within the services.

Situational Variables

1) You feel a sense of obligation to your friend, but also to your unit.

2) You have knowledge of allegations of two assaults which is compounding pressure for you to act in case this is a trend.

Type of Ethical Dilemma

One could argue that this is a *Competing Values Dilemma* (loyalty to your friend vs. good of the unit). It could also be a *Harm Dilemma* – do something and your friend may suffer, do nothing and other soldiers may suffer. This is could also be an *Uncertainty Dilemma* because the correct action is unclear. It is also a *Test of Integrity.*

Possible Options

1) Do nothing.

2) Speak to a Chaplain for guidance, as Chaplains are not mandated to report and are bound by confidentiality.

3) Speak to the soldiers who were assaulted to let them know you have heard of assaults other than theirs. Try to convince them to report, as it may indicate a larger problem within the unit.

4) Report to leadership that you think there may be a problem and encourage them to conduct an out-of-cycle survey of troops.

5) Report both incidents anonymously without revealing victim identities. This will safeguard confidentiality and the power of the individuals who were assaulted. It maintains your relationships with the soldier who is your friend but does not guarantee direct action.

6) Report one or both incidents. This will undermine the power of the individuals who were assaulted and potentially hurt your relationships with those soldiers.

Optional Challenge Questions

1) The story of what happened to your friend and the details of the second assault are remarkably similar yet the assaults both seem to have occurred in separate locations; clearly there must be two perpetrators. How would this affect your decision?

2) You are a male NCO and the soldiers that have been assaulted are both males. How does this affect your decision?

Case Number: NATO 36   **Case Intensity 6/10**   **Friendly Fire**

You are a senior major in a busy deployed headquarters in Afghanistan. It is late in the campaign and the deployment will end soon. The initial stability has rapidly descended into high-intensity counter-insurgency and combat operations. The reporting in the media covering the campaign is very different from your experience in the country. You are increasingly aware of the gap in analysis from those on the front line in Afghanistan, those seeking coherence and a long-term approach in the national operational HQ and the political and strategic views of senior leaders in the national government department.

You return from a brief vacation having reflected on the dynamic and sometimes kinetic nature of operations. You receive a briefing on a substantial raid into an area of compounds with reports confirming the presence of senior leadership from the Taliban, tactical war fighters and a large ammunition and materiel stockpile. The raid has been planned at short notice, appropriately resourced and well executed by competent and well-practised troops. There were several casualties, including some with life changing injuries. There has been one fatality whose body has been recovered. You arrive just as the initial investigation is looking at the cause of death and whether there are operational lessons to learn. The individual was shot and killed instantly. An autopsy revealed that the man was killed by a round that was undoubtably from your own country's weapons and not the type used by the Taliban. You are drinking coffee at the end of your first evening back and it is utter chaos. A colleague senior to you approaches you and talks about the raid. He says that for the sake of the family, the mission's domestic support back home and the reputation of the nation in the international community that it might just be better not to expose the detail of the ammunition type and allow people to draw their own conclusions. You recognize he is extremely fatigued, has been carrying immense personal responsibility and is, probably, just sounding you out. You are concerned, however, that the organization is about to make an unrecoverable mistake.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) You are an experienced and competent staff officer and have credibility with the staff and senior leadership of the deployed HQ.

2) The pace of life on this operation is fast and constantly changing – you have been away from the team for several days yet there has been much going on at every level.

3) The deployment will conclude soon and there is already a focus on both surviving the pressure of the deployment and setting the next team up for success.

Ethical Factors

Individual Variables

1) You believe in the reasons why you have deployed to Afghanistan and that your work is making a difference.

2) You have a strong sense of professionalism and strong ethical motivation to react correctly.

3) The staff HQ has become increasingly transactional as people have become more tired and fatigued by their work.

Situational Variables

1) There is considerable pressure at every level on senior leaders. Some are on the verge of being over-loaded.

2) You recognize that this pressure means the decision to be ambiguous over the cause of death from the latest fatality could be taken without considering the potential broader ethical ramifications.

3) The commander of the dead person may be keen to avoid criticism of his people and the emotional impact of his subordinates knowing they have, unwittingly, caused the death of one of their own.

Organizational Variables

1) The senior leadership are directive, transactional and may be setting the ethical climate with a focus on completing the task, regardless of consequence, has ultimate primacy.

Type of Ethical Dilemma

This is a *Harm Dilemma* for the organization (perceptions and decisions could lead to injustice for at least one of the actors). Reporting this as a death by friendly fire will be devastating for family, friends, and colleagues. Reporting the death as being caused by the Taliban would come with the least harm for all. However, if the truth comes out, there will be lasting harm for the family and friends of the deceased, survivors of the operational deployment and senior leaders who have concurred with this option.

It could be viewed also as *Uncertainty Dilemma* for you as an individual. You do not know whether to prioritize the short-term impact of the decision against the long-term risk of the correct facts emerging.

It can also be viewed as a *Competing Values Dilemma* for you as an individual. You are keen on ethical decision making and have a visible set of positive values and standards.

Possible Options

1) Do nothing. This is not your decision. This is a senior command decision, and this has no bearing on your functional area. Wait to see how this decision unfolds.

2) Minor intervention. Offer a balanced perspective of both options and speak actively about whether both options are coherent with the organization's ethos, values, and standards.

3) Major intervention. Book an office call or engineer a discussion around the coffee machine with the deployment commander highlighting the importance of ethical coherence and any concerns you may have in this case.

4) Major intervention. Establish your own position. If it isn't, draft a short summary of where your military might be in two to five years' time that explores what might happen when the truth is discovered and how harmful the deception may be for individuals and the organization. Make your position clear and submit this to the senior leaders.

Optional Challenge Questions

1) What will you do if a witness comes forward and declares that the friendly fire may not have been friendly but deliberate?

2) How would you handle the situation if there is reason to believe that some Taliban fighters have weapons and ammunition from your country in their possession?

Case Number: NATO 37   **Case Intensity 6/10**   **Anti-venom or not**

You are a military nurse and on your first mission abroad. You are confronted with a desperate father who has come to your base with his snake-bitten baby. Unfortunately, your supply of anti-venom is severely limited. There are only two ampules available with the antidote required to save the baby. The medical policy for this deployment is also very clear regarding the use of these supplies. According to the existing policies the anti-venom ampules are to be held in reserve for your military colleagues. However, when you checked the supply records you could not find the last time one of these ampules were used to treat a military member. Given the nature of the deployment environment you are convinced that ampules like this are also in the possession of other coalition forces. Nevertheless, this means that you must choose between following the military policy or helping the father and his baby. It would also mean that sending father and child away would likely mean the death of the child. Conversely, you could take a more lenient view, perhaps acting upon your medical training and education, to help with your decision. Your colleagues will know what you have decided.

What do you do?

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Instructor's Guidelines

Assessment of the Situation

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Facts:

1) The baby will die without treatment.

2) Snake bites that are life-threatening are a rare occurrence.

3) Coalition parties do have these ampules too.

4) Local health care is of no help in this case.

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Ethical Factors

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Individual Variables

1) You value being a nurse as much as you value being a soldier.

2) You became a military nurse to help people, both colleagues and people in need.

3) You have developed strong ties with your military colleagues during this mission.

Organizational Variables

1) Within the organization, the legitimacy of keeping medicine earmarked for military personnel is contested, especially among military medical personnel; it has led to incidents during missions in the 1990s.

2) Your military colleagues expect you to keep the ampules for their benefit and feel that you are a soldier first and a nurse second.

Situational Variables

1) You do not know whether coalition partners will be willing to lend out antidote if a situation arises and it is required.

2) You do not know when new supplies are coming.

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Type of Ethical Dilemma

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This could be viewed as a *Competing Values Dilemma* (loyalty to military values vs loyalty medical values). It is also a *Harm Dilemma*; if you do not help the child he will die. If you do help the child your supplies of anti-venom will be diminished, and this could be disastrous soldiers of your unit are bitten. Finally, it could also be seen as a *Test of Integrity*: your instincts tell you the right choice, but do you follow the existing policy or not?

Possible Options

1) Give the antidote to the baby, acting upon your medical values.

2) Keep the antidote for future use for your military colleagues, acting upon your military values.

Optional Challenge Questions

1) If the desperate father was also a high-ranking local official, like the town mayor, how would this influence your decision?

2) How would you react to these circumstances if you also had young children back home?

Case Number: NATO 38   **Case Intensity 7/10**   **Serial Sex Offender**

You are the warrant officer at a unit responsible for training junior officers. Two junior officers enter your office and proceed to describe details of a sexual assault that occurred to them in the living-in accommodation. The officers do not want to provide the name of the alleged offender as they do not want to be 'that person' and have their name dragged through the mud or be part of a protracted legal fight.

You explain to them the process that will be initiated due to the allegation being reported. Over the following two months another junior officer reports to your office to report alleged sexual assaults that occurred in the living-in accommodation. As on the previous occasions the discloser does not provide the name of the alleged offender.

All allegations are referred to the military police (MP) to be investigated. Whilst statements have been taken, the three junior officers explain that they do not want the allegations investigated any further. With no name provided and due to the victim's wishes the MPs provide reports that state they will not be proceeding with the investigation.

The reporting of alleged allegations has reached the highest levels of the organization who are requesting regular updates as to the progress of the allegations.

Three weeks after the last report of a sexual assault a junior officer reports to you and proceeds to describe a sexual assault that occurred to them at a previous training establishment. The junior officer tells you the name of the alleged perpetrator and that they believe the named person is involved in other reported assaults as well as some that have not been reported. The junior officer then states they will not say which assaults are linked and they also do not want their reported assault investigated.

The MPs interview the fourth discloser who does not provide a name during the interview and repeats they do not want the allegation investigated.

You now have four reports of sexual assault that are not being investigated due to the victim's wishes. The alleged victims are all females. You also have the name of an alleged offender linked to at least two of the alleged assaults. You want to follow the wishes of the victims but realize there is good evidence of a serial sexual offender in the organization that will continue to offend unless they are stopped.

What do you do?

Instructors Guidelines

Assessment of the Situation

Facts:

1) Four women have reported incidents of sexual abuse, potentially, by the same offender.

2) Those who have been assaulted at your unit are reluctant to name the offender because they are afraid of the potential negative repercussions from other members of the unit.

3) All allegations have been referred to the MPs who have interviewed each member and been told the same thing you have, that the assaults occurred but they do not want to report a crime.

4) One of the victims has named the offender as a person who assaulted them at a former training establishment. They inform you there may be other assaults that have not been reported.

5) The reports of sexual assaults have been reported to your chain of command, and you are now aware that there is intense interest in this issue at the most senior level in the institution.

Ethical Factors

Individual Variables

1) You have a duty of care to all other members of the unit.

2) You have a duty of care towards the victims in this case.

3) You believe the assaults have occurred, and you are inclined to believe that the person named could be responsible for all the assaults.

4) You are concerned the women in this case have little faith in the justice system of Defence.

5) You are also concerned the women are worried about being labelled troublemakers or in some other way stigmatized for making a complaint.

6) You are worried there is a real risk of further assaults if the perpetrator is not identified and brought to justice.

7) You may have a duty of care to future potential victims (whether in Defence or not).

8) Because you are aware of the presence of an alleged offender on base it could be argued you did not do enough to protect female employees.

9) You are aware the offender also has a right to justice – e.g., innocent until proven guilty – and this will not occur if he does not clear his name.

Organizational Variables

1) Your unit may not be a safe workplace for women.

2) If you take no action, there is a very real risk that other women could be assaulted.

3) Your institution has a duty of care to provide a safe workplace for all employees.

4) Senior officers at the top of your institution are aware of this case and are very keen for it to be quickly and successfully addressed.

5) This is a real risk of reputational damage to the institution if this issue is leaked to the media.

6) There is a need to establish whether the women's fears about making a formal complaint are legitimate.

Situational Variables

1) All the women involved are junior officers undertaking military training.

2) You are concerned they are reluctant to make complaints because of their roles within the institution – leaving them and others vulnerable to abuse.

3) You wonder if there something wrong with the justice system in Defence that inhibits women from making complaints about sexual abuse.

4) Defence Policy provides mandatory management and reporting obligations to ensure a standardized approach across the organization; it therefore constitutes a General Order and compliance is mandatory.

5) All sexual offense are notifiable incidents therefore must be reported directly to a Defence Investigative Authority, which has occurred. A dilemma occurs when other guidance and policy 'muddies' the waters – e.g., victim centric management.

6) Reporting incidents of abuse is mandatory, including naming perpetrators if they are known. Does this create an obligation on the women to formalize their complaints?

7) Referring the assaults to the civilian police is an option but comes with significant risk of reputational damage.

Type of Ethical Dilemma

This is primarily a *Harm Dilemma*, if you comply with the wishes of the women involved there is a very real risk that an increasingly dangerous offender will continue to abuse women in the military. This person may already be responsible for multiple sexual assaults, and there are four women who could provide evidence to have the person arrested, removed from the military, and eventually incarcerated. The women do not want to give evidence because they believe it will have a detrimental effect on their lives and careers. As Defence's policy is victim centric, you are reluctant to institute the policy that would compel them to name their perpetrator/s. If another woman is assaulted, you are concerned that neither you nor your institution will have done enough to protect them.

Possible Options

1) Do nothing: Focus on counseling the women involved making their wellbeing your priority. Continue to do this until someone comes forward with a formal complaint.

2) Do nothing: Request an inquiry into the management of sexual assaults in the military to uncover why victims are so reluctant to make complaints.

3) Intervene: Put out a warning to all students and staff on base about allegations of sexual abuse at the unit. Insist all personnel move around the institution in pairs until the perpetrator is identified.

4) Intervene: Shut down the unit entirely and send students off-base to conduct their training 'online' until the perpetrator is identified.

5) Intervene: Send each of the women a 'show cause' letter informing them they are in breach of mandatory reporting policy of Defence and face discharge from the institution if they do not name the perpetrator.

Optional Challenge Questions

1) Would you handle this case differently if the victims were males rather than females?

2) What would you do if one of the four women who reported the attacks became pregnant as a result of the sexual assault?

Case Number: NATO 39 **Case Intensity 7/10** **Rescue Mission**

You are serving as a team leader during an operational mentoring liaison team in Afghanistan.

Another team that is composed of both national comrades and Afghan military personnel receives an alarm and must leave the camp in the middle of the night. Halfway through a well-known but unfriendly area, they are caught up in combat. Your team is located approximately one hour away and is called upon for combat support. You and your team move quickly to a place approximately three kilometers north of the combat situation. However, you and your team are not allowed to pass that breaking point due to Rules of Engagement.

You and your team are stranded in the same place for hours. The team in danger repeatedly calls for your help repeatedly and wonder why you do not come to their aid. You and your team become increasingly frustrated as you have the resources requested and are positioned just a few kilometers away. However, because of Rules of Engagement, you are not permitted to launch a rescue mission.

You receive word that authorized military support will be possible for a few days. However, the team taking fire will not last for that long. Moreover, stress levels are highly elevated among the exposed team members, and you expect them to suffer from exhaustion in a short while.

A commander has managed to locate alternative reinforcements from another deployed country's military. He asks you if you want your team to join the rescue operation. This is against rules and regulations, but the decision is up to you.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) You are experienced and competent.

2) Your fellow comrades are under attack.

3) Your fellow comrades are exhausted and stress levels are highly elevated.

4) The resources of the team taking fire will not last for long.

5) You and your team have the resources to come to their aid.

6) You have no formal authority to intervene.

7) It is against prevailing rules and regulations.

Ethical Factors

Individual Variables

1) You have a strong sense of values and professionalism.

2) You are worried about your fellow comrades.

3) You feel obliged to do something.

4) You do not understand why your team is forbidden to go to their aid.

5) You have a strong desire to help.

6) Being loyal to the military you are reluctant to break the rules.

Organizational Variables

1) The Rules of Engagement forbid intervening.

2) You do not know how higher-level leaders will react.

3) Launching a rescue operation may impact your future career.

4) A rescue operation will put yourself and your own team in danger.

Situational Variables

1) Life and death are at stake.

2) Team members taking fire are about to get exhausted.

3) The team members taking fire are about to run out of resources.

4) You do have the resources needed.

5) You are not far from the combat situation.

6) A commander has invited you to join a rescue mission with the troops from another country.

Type of Ethical Dilemma

This could be viewed as a *Competing Values Dilemma* (loyalty to fellow comrades versus rules and regulations) or even a *Harm Dilemma* (do nothing, the other team could be harmed/killed; intervene and the harm may be to your career and physical harm to you and your team members).

Possible Options

1) Do nothing. Abide by the Rules of Engagement and return to camp.

2) Do nothing. Stay and observe the situation and hope that it will pass smoothly.

3) Intervene. Join the rescue operation.

Optional Challenge Questions

1) If the soldiers in danger included members of your own team, how would this affect your decision?

2) If you received word that one of your comrades under attack had already been killed, would this affect your decision?

Case Number: NATO 40   **Case Intensity 7/10**   **Sexual Misconduct**

You are an instructor at an officer-training academy. You have responsibility for a division of 100 cadets spread across the three years of the training cycle. It is week 10 of the new training program and your new First Year cadets have just completed their initial orientation program and commenced the training year. One cadet, a 17-year-old female, has been struggling with the disciplinary requirements of the institution and has already notched up many charges. You have spoken to her on several occasions, but she continues to break rules.

One morning you are informed that a consensual sexual act between two of your First Year cadets has been live-streamed to a room full of male cadets. The young woman involved in this incident is the same young woman who has broken numerous rules over the past 10 weeks. She states categorically she had no idea there was a camera set up in the room where she had sex. There is email evidence between the male protagonists (including the young man she had sex with) that suggests this is true. She believes a criminal offense has occurred and she wants the incident referred to the police. While she is not worried about the sexual act itself, she is understandably angry about the abuse of trust.

That same morning the commandant had started disciplinary proceedings against this cadet, and she will hear the results of her charges tomorrow. The commandant agrees that the filming incident is a criminal act and refers the case to the local police. To everyone's surprise the police say there is no state law about the live-streaming of a consensual sex and decide not to proceed with any charges. When the young woman is told there will be no police investigation she is incensed and contacts a national TV broadcaster to complain about police inaction in her case.

Considering what has happened, the young woman's disciplinary officer suggests it might be wise to stop the charge process against the young woman. You discuss this with her, but she insists the disciplinary hearing should go ahead otherwise the whole academy will assume she went to the media to escape her charges. She assures you she will not discuss the disciplinary issues with anyone in the media, and you believe her given it could reflect badly on her character. You must advise the commandant of the best course of action for all concerned.

What do you recommend?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) You genuinely care about the welfare of the young woman involved.

2) You believe she is telling the truth about the live-streaming issue.

3) You are just as shocked as her that the police did not investigate the incident or press charges.

4) You know there have been accusations about her motivations for talking to the media.

5) You agree that finalizing the charges would silence some critics, but you wonder how relevant this is considering the media interview and the case itself.

6) You are concerned about her safety at the academy considering her media interview.

7) You know the young woman will not be harmed by the punishments from her charges.

8) You believe that progressing with the charges could look bad to the general community if it became known this was done to the 'victim' of the 'offense'.

9) You believe media interest in this story will grow and the reputation of the academy will be negatively affected.

Ethical Factors

Individual Variables

1) You care about the young woman's welfare as a priority.

2) You agree with her stance about the police and feel let down by them.

3) You believe your commandant will take severe action against the young men involved – almost certainly removing them from the academy.

4) You feel caught between the wishes of this young woman and making a decision that meets the expectations of the general community.

Organizational Variables

1) The culture of the academy is driven by loyalty to the institution and the military.

2) By going to the media, the young woman has breached that loyalty, even though she did not complain about the academy directly.

3) The academy has a history of negative treatment of women and this incident is further evidence, even though the young men involved had only been at the academy 10 weeks.

4) Staff and cadets have mixed feelings about the integrity of the young woman.

5) The reputation of all cadets and staff will be tarnished by this event.

Situational Variables

1) You are directly responsible for the safety and wellbeing of the young female cadet.

2) You are also directly responsible for the order and discipline of personnel in your squadron.

3) You believe there are people who blame this young woman for what has happened.

4) You also believe she was specifically targeted because of her undisciplined behavior.

5) You know from experience the academy will soon be brought into a media firestorm and will be blamed for the behavior towards this young woman.

6) Many cadets will be very angry about seeing the academy dragged through this again.

Type of Ethical Dilemma

This is a *Competing Values Dilemma* (loyalty to the young woman versus loyalty to the institution), it is also a complex *Harm Dilemma*; if you stop the charges, you increase the risk of abuse directed at the young woman (you do not have the power to completely prevent this), she may even need to be removed from the academy. There is also uncertainty because you cannot be sure if the academy proceeds with the charges that this won't become a public issue.

Possible Options

1) Proceed with the charges as planned, as this is what the young woman most wants the academy to do.

2) Delay completing the charges on the basis the young woman is dealing with a traumatic event and let this take priority – (in actuality, the traumatic event is the consequences of going to the media) – recommend an announcement to the cadet body from the commandant to this effect.

3) Stop the charges entirely on the basis the young woman is dealing with a traumatic event (the incident itself) – recommend an announcement to the academy from the commandant to this effect.

4) Stop the charges entirely and remove the cadet from the academy for her own safety and welfare.

Optional Challenge Questions

1) How would this situation change if the cadet has become pregnant because of this incident?

2) What if this student is the daughter of a high-ranking military member?

Case Number: NATO 41   **Case Intensity 7/10**   **Flood Warning**

You are lieutenant colonel in command of a mechanized battalion with its garrison in a river-side town. Your garrison is situated near the river. One summer, your region is struck by heavy rains, and the town receives warning of an incoming flood wave. The river is quickly rising. It becomes evident that this flood will be of exceptional intensity. The rising water is expected to drastically affect most of the town, including the local hospital. Without immediate evacuation, many lives will be at risk.

The mayor of the town asks you for help with the evacuation of the hospital and the build-up of improvised flood barriers. You agree without hesitation and send all available men and trucks to assist the rescue effort.

Now, one of your subordinate officers points out that the flood threat is not solely an issue for the town. The military the garrison, including the car park with tracked Infantry Fighting Vehicles (IFVs) and other vehicles, will be flooded. He suggests that all the vehicles and other equipment should be quickly moved onto a hill on the other side of the town.

It is evident that the vehicles will be severely, possibly irreparably, damaged without moving to a higher place. However, you also realize some ways in which you are constrained. First, you do not have trailers to transport IFVs. In peacetime, you need special authorization to drive tracked vehicles on public roads. Despite the coming flood, you have not received such permission. Second, you would have to withdraw a considerable number of your soldiers from the rescue works at the hospital and elsewhere in the town. Consequently, the risk to the lives of vulnerable civilians would increase.

The river is rising very quickly. You need to make an immediate decision.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) You are an experienced and competent battalion commander.

2) The meteorological service issued a warning of extraordinarily intensive and destructive floods.

3) The town is not prepared for floods of this size; lives are at risk.

4) Your soldiers and trucks can considerably contribute to the rescue effort.

5) Your base will be flooded, too; unless moved out of the flood zone, vehicles and other heavy equipment will be severely damaged.

6) It is against the rules to drive tracked IFVs on public roads, and you do not have trailers to transport them.

Ethical Factors

Individual Variables

1) You have a strong sense of professional responsibility.

2) You recognize the importance of rules for the military.

3) You understand your responsibility not only to your battalion and the army but also to the local community.

Organizational Variables

1) The military organization relies on the strict following of the rules.

2) Public support is essential for the preservation of military legitimacy.

Situational Variables

1) Civilian lives and property are at imminent risk.

2) The expensive military material under your direct and indivisible responsibility is at risk of severe damage.

3) Your personnel resources are limited.

Type of Ethical Dilemma

This could be viewed as a *Competing Values Dilemma* (you are supposed to abide by laws and formal rules, you also bear direct responsibility for the battalion's soldiers and equipment, and you share responsibility for the lives of the local community's members).

This is also a *Harm Dilemma* (your decision may cause damage either to the local community or to the essential equipment of your battalion; the latter will also severely hinder the combat readiness of the armed forces as a whole).

Possible Options

1) Let all your soldiers continue their rescue works in the town. You consider the danger faced by the local community to be more important than the risks to military property.

2) Call back enough soldiers to drive all the vehicle and heavy equipment to a safe place. You do not have the permission to move tracked IFVs out of the base, but you consider it an emergency that overrides the existing rules. A greater part of your soldiers would continue their rescue activities in the town.

3) Call back enough soldiers to drive all the vehicle and heavy equipment to a safe place. Since you do not have permission to move tracked vehicles out of the base, you will immediately evacuate only wheeled vehicles with heavy equipment. The IFVs with their drivers would wait for the official authorization.

Optional Challenge Questions

1) How would you decide if the town was also where your family, and the families of most of your troops, resided?

2) What would be the impact on your decision if the military vehicles were scheduled to be deployed soon for an important military mission?

Case Number: NATO 42　　　　**Case Intensity 7/10**　　　　**Risky Informant Situation**

You are a senior intelligence non-commissioned officer working in Afghanistan. Your main role is to gather information to support the targeting of enemy insurgents. You work closely with a captain and Major who are highly experienced and known for collecting good INTEL. INTEL from your section has led directly to many successful contacts – both on the ground and via Unmanned Aerial Vehicles (UAVs) resulting in the deaths of many enemy combatants. One day, during a routine patrol a local man, about your age, approaches you and asks to speak with you in private. You find a place where neither of you can be seen. The man tells you he is the father of three children one of whom (a daughter) needs life changing (and possibly, in the longer term, lifesaving) medical treatment only available in a Western hospital. The man has agreed to become an informant for the captain you work for on the basis that he and his family will be repatriated to your home country, thus allowing access to the medical care his child needs. You can see this man is desperate. He works for a local warlord and would be able to provide excellent INTEL. Of course, if it ever transpired that he was an informer it is certain he, and potentially his family, would be targeted and possibly killed. You know there is no way your country would ever accept this man's family because he has such a sick child. He trusts you and wants your advice on whether he should begin working for the captain. He asks you specifically "Is he a man of his word?" If you tell him the captain is not a man of his word, this is likely to become more widely known and the INTEL currently collected will dry up. However, if you tell him to trust the captain not only will he and his family never come to your home country, but it is also possible his family will end up much worse off.

You must make a choice, what do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) Your team is responsible for collecting credible information about the enemy.

2) It has been hard to find suitable informants due to the serious risk of reprisals for individuals providing this information.

3) The man who has come to you is prepared to be an informant and seems to have access to the kind of information your team would find very useful.

4) No one in your team can authorization migration for Afghan civilians, especially where they have sick family members, and if the story you have been told is true, then the Afghan is agreeing to be an informant (at considerable risk to himself and his family) under false pretenses.

5) Suggesting that your captain has not told him the truth would also have very negative consequences for your team, your captain and yourself.

Ethical Factors

Individual Variables

1) The man you are dealing with is desperate for help to treat his sick child.

2) By becoming an informer there are serious risks to his family, which it seems unlikely his wife is aware of.

3) Because he now believes he will get treatment for his ill child he may not seek help for the child via other avenues.

4) If the story you have been told is true, it is possible your captain has lied to this man.

5) The consequences of such a lie will have few serious ramifications for anyone on your team, but potentially dire consequences for the man and his family.

6) As you now know about the situation you have a responsibility to do something about it, but this could have serious ramifications for you within your team, especially with your captain.

7) You regard yourself as an ethical person and do not approve of techniques that lead to serious harm for others.

8) If true, this behavior also goes against the values of your institution.

Organizational Variables

1) If the man becomes a motivated informant your team will be able to locate more enemy insurgents and achieve your mission.

2) It is unlikely there will be any serious ramifications for your team if this man discovers he has been lied to, as he would then have to admit that he was an informer, and he is unlikely to do this.

3) However, if the Afghan and his family are harmed this could become a scandal for your team and may have negative ramifications for your institution and country.

4) You do not believe lying to locals is a good tactic as it undermines the humanitarian and 'just war' principles and of your mission.

Situational Variables

1) Your team has to rely on information provided by motivated locals who want to support your mission.

2) It has been difficult to recruit people to become informers and as a result your team is beginning to use desperate measures to convince people to be informants.

3) You cannot offer any of these people protection or help. If you pay them too much it might be obvious that they are working as informants.

4) In the bigger scheme of things, your work may eventually make Afghanistan safer for local people. Winning the war may even result in far better medical services than exist in the country now.

Type of Ethical Dilemma

This is a *Competing Values Dilemma*, loyalty to your captain, loyalty to your own values and the values of your institution and your duty of care to the Afghan and his family. It is also a complex *Harm Dilemma*, as it is unlikely the Afghan will seek treatment for his sick child because he believes he will be allowed to migrate to your home country. There is also the real possibility he and his family will be targeted by his own people if they discover he is an informer, and you have no way to protect him or them. There is no real uncertainty about the right thing to do in this case but there are several serious negative ramifications of doing the right thing.

Possible Options

1) Go along with the apparent lie that your captain has told by telling the Afghan he can trust your boss.

2) Stall the Afghan by explaining that you need to discuss this with your boss before you can answer. Discuss the situation with your captain to find out whether the story is true. If he admits it is true, discuss the ethical ramifications with him. Ask for his advice on how to manage the Afghan man's inquiry.

3) Follow all the above steps but explain to your captain that you do not agree with this course of action because it is unethical. Ask him to talk to the Afghan man with other options about how the unit might be able to help his sick child – but not in return for information, just to help him.

4) Tell the Afghan that your captain is trustworthy but might be mistaken in this instance as you do not believe your country will accept Afghan civilians with health conditions. Explain it would be wiser for him to seek treatment for his daughter some other way. Inform your captain of what you have done and why.

5) Follow the same steps as above, but do not inform your captain of what you have done.

6) Go straight to a higher headquarters and inform them of what your captain has done and seek their advice.

Optional Challenge Questions

1) How would your feelings for this situation change if you also have a sick child?

2) What if you address this with your captain and the captain confesses to lying to the man but orders you to not get involved?

Case Number: NATO 43   **Case Intensity 7/10**   **Evidence of Abuse**

You have served the armed forces of your country for over 10 years. As a captain, you have been offered an opportunity to be deployed on a crisis management operation for six months before an upcoming General Staff Officer Course. You accept the task and are assigned to be a platoon leader.

The task of your platoon is to conduct cooperation with the authorities of the local villages and towns. Your duties include, among others, visiting local police stations. About halfway through your deployment, you make a second visit to the police station of a rather small town. Although your visit was arranged hours beforehand, when you arrived at the station you were advised that the chief of police was busy. You decide to wait even though the assistants in the office of the chief of police seemed slightly uneasy. In a short while, the chief emerged from his office accompanied by a little boy with tears in his eyes. The boy's parents seem very anguished as they get the boy. You ask the chief of police what this was all about, but you get no answer. The atmosphere of the meeting is not very cordial. As you are leaving the police station you interpreter tells you discreetly that the chief of police has "that type of interest" in little boys and that it is likely that this was not the first nor the last time the boy would visit the office.

Your team, many members of which are parents of small children, are outraged about the incident and demand that you to do something about it. However, you have no right whatsoever to intervene with the actions of the local police.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) You have only been in the country for a short period.

2) The culture is very different from your own.

3) Resources are limited.

4) You have a strong impression that the child has been sexually abused.

5) You have no real information of what happened.

6) You have no real information about whether the alleged abuse is something that is common or not.

7) Your platoon (at least most of them) expect you to intervene.

8) You are not mandated to intervene with the actions of the local police.

Ethical Factors

Individual Variables

1) You have a strong sense of values and professionalism.

2) Your deployment will still last several months.

3) You have been gaining the trust and respect of your platoon.

4) You are unfamiliar with the nation's culture and its expectations.

5) You think this kind of behavior is fundamentally wrong.

Organizational Variables

1) You don't know how higher-level leaders will react.

2) You don't know how your platoon will react.

3) You don't know how local authorities will react.

Situational Variables

1) Your responsibility is unclear.

2) Stress levels are highly elevated.

3) Several actors must be taken into consideration.

Type of Ethical Dilemma

This is a *Competing Values Dilemma* (platoon, orders, the rights and safety of the child and of his family, values of the society you come from, the values of the local society, continuation of the cooperation with the local authorities). This is also a Harm Dilemma. No matter what you decide, there will be harmful consequences for the family of the child, local authorities, and members of your platoon. Finally, it is an Uncertainty Dilemma because a clear course of action is not readily apparent.

Possible Options

1) Do nothing. (Do not even make a mention in the report).

2) Do nothing, but report the situation as part of your normal daily report.

3) Do nothing, but talk the matter over with your platoon.

4) Intervene. Bring the matter immediately up with the chief of police and demand that this will not happen again.

5) Intervene. Bring the matter up with the leadership of the base and demand intervention.

6) Intervene. Bring the matter up next time you go see the chief of police.

Optional Challenge Questions

1) The boy's father waits for you outside and asks for your help. How does this affect your decision making?

2) When the boy came out of the police chief's office, you also noticed that some bruises were evident. How would this knowledge affect your decision?

Case Number: NATO 44   **Case Intensity 7/10**   **Mandatory Vaccinations**

In 2019, the world experienced a global pandemic following the outbreak of the COVID-19 virus. According to the World Health Organization, the Coronavirus has had a devastating effect. However, there have been very few cases in your country and few deaths because the country has largely locked down all borders, both into the country and within the country. Consequently, there is less direct experience of COVID-19 than in other parts of the world. Even so, the economic and social effects of the virus have been severe, with Federal and State Governments incurring immense debt, businesses failing, and physical and mental health significantly impacted. Because immigration has largely stopped, young people are choosing to find civilian employment rather than join the military, resulting in a growing crisis in recruiting. Your organization is keen to hold onto as many personnel as possible.

In 2020, vaccines were introduced to manage the pandemic. Because they are so new, there is genuine fear about the potential side-effects of using them. There is particular hesitation about using a cheaper, locally produced vaccine because it has been reported that young people have developed blood clots using it (you discover later this is largely a scare-campaign) – and it are now banned for young people. There is greater willingness to use an expensive, imported vaccine that is in short supply in your country. If this vaccine is provided to military personnel, young people in the civilian world will have to delay vaccination for a long time – possibly six months.

You are already aware that vaccinated people are very unwilling to work with people who are not vaccinated. They believe unvaccinated people will spread more virulent versions of the disease, keeping the pandemic going longer and risking everyone's health. This is creating open confrontations in workplaces and dangerously impacting morale.

It is becoming apparent that travel, access, and employment will require a positive COVID-19 vaccine culture; with major national and international companies already indicating a phased, compulsory vaccination requirement for all employees. In your current position, you serve as an advisor to senior military leaders. These leaders are now faced with some challenging decisions:

1) Should COVID-19 vaccination be mandated for all military personnel?

2) Can you afford to discharge those members who will not get vaccinated while recruiting is doing poorly?

3) Should you pressure the government to provide the expensive and relatively rare vaccine for military personnel, even if it means young civilian people will be unvaccinated for longer?

What do you do?

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Instructor Guidelines

Assessment of the Situation

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Facts:

1) The world is in the grip of a crippling pandemic.

2) Vaccinations for Covid-19 are very new and there is considerable scaremongering about the potential side-effects, including amongst military personnel.

3) Even so, already a number of people have been vaccinated and they do not want to work with people who remain unvaccinated, whom they believe will spread the disease.

4) There is an expensive but difficult to get vaccine that you believe military personnel will take.

5) If military personnel are given this vaccine young people in your community will have to wait many months to get vaccinated, increasing their risk of serious disease.

6) Mandatory vaccinations for other conditions have been common in your institution.

7) The culture is very different from when you joined with a more questioning workforce.

8) Recruiting is struggling and it is possible a vaccine mandate could make this more difficult.

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Ethical Factors

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Individual Variables

1) You have a strong sense of values and professionalism.

2) You have strong values and beliefs that a member's individual choices and opinions should be respected.

3) Leader vaccine hesitancy can have a detrimental effect on the workforce. You are also mildly hesitant but not anti-vaccination.

4) You are unsure of the long-term effects of mandating a vaccination that is yet to undergo long-term testing.

5) This problem could be solved if you acquire the expensive vaccine as most people seem to be less hesitant about taking it.

6) You are worried about potential harm to civilian youth if all the vaccine is used by the military – a particular issue as you have two teenage children.

Organizational Variables

1) Defence tasks involve the protection of national interests.

2) A COVID-19 outbreak caused by Defence may undermine public confidence.

3) Defence should never do more harm than good.

4) Unvaccinated personnel reduce operational flexibility and increase risk.

5) Defence personnel know vaccinations are a part of military service.

6) Health support for military members who contract COVID-19 on operations may not be available in the short term.

7) There could be reputational damage if Defence personnel are seen to be privileged over young civilians.

Situational Variables

1) The nation has never seen a pandemic of this nature before.

2) The legality of mandating vaccinations has not been tested in court.

3) This is a highly emotive topic across all areas of the ADF and the nation.

4) Anti-vaccination groups are proliferating and extending their reach through social media.

5) Anti-vaccination has become associated with various political groups.

Type of Ethical Dilemma

This is a largely a *Harm Dilemma.* While COVID-19 has devastated other parts of the world, your country has avoided the worst effects, making it harder to convince people to take the new vaccines. The fact there is any risk at all from the new vaccines is seen as a serious reason not to use them. However, as people get vaccinated deep distrust and animosity is developing between vaccinated and unvaccinated groups and this is quickly disrupting morale in workplaces across the organization. You know most military personnel will take the new, expensive vaccine. However, unless the government deprives the community of the vaccine some Defence members will get it, others will not, and this is causing almost as much anger and frustration. Mandating COVID-19 vaccination will bring this issue to a head, potentially increasing already high wastage in the military as people leave to get the many available jobs in the civilian community.

Possible Options

1) Do nothing. Accept all members have choices, allow them to decide to get vaccinated in their own time, or not. Manage the consequences as they arise.

2) Do nothing. Address the situation with a COVID-19 vaccine education program across the military. Keep a record of the vaccination status of all members but do not make it mandatory to be vaccinated to deploy.

3) Intervene. Request the government get sufficient amounts of the new, expensive vaccine and conduct a Defence wide (including public servants) roll-out. After the roll-out give all personnel six months to get fully vaccinated or face the risk of discharge as non-deployable. Make COVID-19 vaccination mandatory for all new recruits. After six months take steps to discharge members who remain unvaccinated.

4) Intervene. Mandate the vaccination for all Defence personnel (civilian and uniform) using whatever vaccines are freely available. Request the resignation of any members who remain unvaccinated. Mandate vaccination for all new recruits.

Optional Challenge Questions

1) If someone close to you has already died from COVID, how would this affect the advice you provide to the military leaders?

2) Similarly, if someone close to you has suffered a near death adverse reaction that has been attributed to the vaccine, how would this affect the advice you offer?

Case Number: NATO 45   **Case Intensity 8/10**   **Tasers and Assault**

You are the executive officer (XO) of a warship sailing to the Middle East. During a port visit to a foreign port, you receive an anonymous tip that one of your ship's crew has brought tasers on board the ship. You inform the captain, and he orders you to find the tasers and the person responsible as soon as possible. After conducting a thorough search, and finding nothing, you inform the crew that your priority is the discovery of the tasers, you will worry about who is responsible for them later. After a few hours two tasers are found. The captain wants to know who brought them on board, but you think it is unlikely this person will be found. You order your junior officers and NCOs to continue to investigate the issue. Your ship sets sail, as planned.

During a port visit a young woman is viciously attacked and raped by a caucasian man with a taser. In hazy CCT footage shown on local TV, you believe you recognize a tattoo on the rear shoulder of the man being sought for this attack. You talk to the captain about your concerns and he orders you to find the individual, a junior officer, and ascertain if this could have been him. The junior officer denies he had anything to do with the incident and says he spent a quiet evening exploring the city both on his own and with other officers. You speak to these officers, and they back up his story, but there is a significant gap in time when they weren't with him. You advise your captain you cannot be sure of the junior officer's innocence or guilt. The port country has the death penalty for rape and foreign nationals have received this penalty for such crimes. Your ship is about to sail, and your CO wants your view about the right thing to do in this case.

What do you tell him?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) You are an experienced navy officer with a close working relationship with all personnel on your ship.

2) Two tasers were found on your ship, but you did not identify the person who brought them on board.

3) A young woman is viciously attacked by a man with a taser during a port visit while your crew members were ashore.

4) The alleged perpetrator has a distinctive tattoo on his shoulder which looks like the tattoo of one of your junior officers.

5) This person denies being anywhere near where this attack happened, and other officers back up this story – although they cannot account for him for the whole evening.

6) The UAE has the death penalty for rape.

7) Your ship is about to sail.

Ethical Factors

Individual Variables

1) You want to do what is most ethical for all concerned.

2) You are fearful of what might happen to the junior officer if they are handed to authorities in Jabal Ali.

3) You want to believe the junior officer's story because you find it hard to believe he might be guilty.

4) Someone brought tasers onto your ship so there is a chance the perpetrator of this act could be a member of your crew.

Organizational Variables

1) If the perpetrator of this crime is from your ship it will be a major international scandal.

2) If the perpetrator of this crime remains on your ship, then other members of your crew, in particular women, could be at risk.

3) It is possible that other decisions relating to this incident could come under scrutiny – such as the decision to sail out of Singapore without identifying who brought the Tasers on board.

Situational Variables

1) The young woman injured in this attack has a right to justice.

2) The junior officer has a right to the presumption of innocence.

3) You need to find who brought the tasers onto your ship as a matter of urgency.

4) You must ensure the safety of all your crew.

5) You are concerned that the UAE has the death penalty for rape which is very different from your own country.

Type of Ethical Dilemma

This is a *Competing Values Dilemma* involving loyalty to the junior officer on your ship vs the responsibility to hand over a potential perpetrator of a vicious crime. The issue of *Harm* relates to the risk that a member of your crew could face the death penalty if found guilty of this crime in Jabal Ali. This is a very different sentence to the one they would receive in your home country where there is no capital punishment. Perhaps most of all this is an Uncertainty Dilemma because the most correct thing to do is not clear. The young woman has a right to justice and the young officer has a right to the presumption of innocence.

Possible Options

1) Hand the member to the local authorities in Jebal Ali and let them investigate the case. Regardless of the risk of the death penalty if found guilty.

2) Hand the member to international military authorities located in the UAE leaving them to manage the issue while your ship sails (you leave a representative from the ship to provide support).

3) Keep the member on board under guard until the navy receives an assurance the member will not be given the death penalty if found guilty.

4) Assume the member is innocent of any wrongdoing and sail homewards without further action.

Optional Challenge Questions

1) About halfway through their deliberations inform students that someone on the ship posted on social media that tasers were found on the ship. How would this knowledge alter the decision-making process?

2) Would it be appropriate to ask the junior officer under suspicion to voluntarily provide a DNA sample?

Case Number: NATO 46   **Case Intensity 8/10**   **Kinetic Strike**

You are the team leader of a drone command and control hub operating in a Ground Control Station (GCS) undertaking ISTAR collection and kinetic strike operations. You are based in your home country and are conducting overflights in a counter-insurgency campaign 2000 miles away. You have a clear set of Rules Of Engagement (ROE) and have executed a number of kinetic strike operations before with a number of successful outcomes.

You are aware that a High Value Target (HVT) has been identified and confirmed leaving a location on a motorcycle. He is traveling through a quiet mountain pass and he is unaware that the drone your team is operating has identified him and is in range with weapons authorized for use. The team are unusually emotional as one member of the operations room is convinced that what looks like a small backpack on the HVTs back is a small child wrapped in a sheet. They are trying to decide whether they can still strike the target with a child who will definitely be killed alongside the HVT. The team are split and some have been involved in tracking the HVT for 2 months. Others are extremely reluctant to use lethal force and believe now is not the time.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) The HVT has a short window where they can be engaged. The drone has 30 minutes left before it has to lift off the target.

2) The HVT is central to a large network providing lethal aid to the insurgency.

3) The motorcycle is moving through isolated areas where the kinetic strike will not be seen by anyone initially, although locals will find both bodies eventually, if it is a small child, with the HVT.

4) It may only be a backpack.

Ethical Factors

Individual Variables

1) You are an experienced team commander and understand the ROE. There is no doubt this is the HVT.

2) Your team value their integrity and their transparency.

3) You have strong ties with your military colleagues in country and know the impact that the HVT has had causing casualties for the coalition.

Organizational Variables

1) There is an expectation that the removal of the HVT will have an impact on the campaign.

2) There is trust and some freedom of action for drone operations based on your successes to date.

Situational Variables

1) There is substantial time pressure on your decision making.

2) The impact of the kinetic strike will be seen instantaneously by you and your team if the strike kills what may be a child and the HVT.

3) One of the team has been involved in a kinetic strike that has killed children before and a second event could trigger moral injury and the resurgence of PTSD.

Type of Ethical Dilemma

This could be viewed as a *Competing Values Dilemma* (duty value to remove the HVT versus the value of protecting an innocent life). It is also a *Harm Dilemma*; if you do not strike the HVT they will continue to target coalition forces and if you do strike the HVT you may kill an innocent child.

Possible Options

1) Strike the HVT.

2) Delay striking the HVT until you get better target refinement.

3) Abort the strike but continue to track the HVT to build further intelligence.

Optional Challenge Questions

1) You have a small child of the same age and ride a motorbike. How does this affect your decision?

2) Your best friend has been blown up by an IED in the same province as the HVT is providing lethal aid to. What sort of impact would this have on the choice you would endorse?

Case Number: NATO 47   **Case Intensity 8/10**   **Desperate to Escape**

During the evacuation from Afghanistan video footage shows Afghans falling from military aircraft during take-off.

A host of coalition nations were seeking to evacuate their nationals, along with Afghan nationals who have worked alongside them or are visa holders, by 31 August 2021; a deadline imposed by the Taliban. The number of people to evacuate is substantial, and there are significant security and vetting processes established to ensure that eligible people are evacuated, while also ensuring the safety of everyone involved.

Civilians were trying to flee the Taliban, who were now in place around the perimeter, and the Kabul airport was flooded with people wanting to escape the country. Media footage showed a significant number of people running beside and under a Globemaster aircraft as it taxied, preparing to depart from the Kabul international airport. Several civilians were hanging on to the side of the aircraft and sitting on the main landing gear doors. Others were jogging alongside waving and yelling as the throttles advanced to full power for take-off.

Loaded with an estimated 800 passengers, the C-17 soared toward the mountains overlooking the Afghan capital. As the media footage followed the aircraft's departure, two people were seen falling from significant height, first one and then the other. Horrified onlookers left behind on the tarmac were pointing upwards, watching in disbelief. Further human remains are found amongst the aircraft's landing gear upon arrival at its destination.

Assume that you are a C-17 aircraft captain (AC) preparing to depart under similar circumstances. You have been made aware of what transpired during the previous Globemaster departure. The local civilians appear to be undaunted by the disastrous consequences that took place during the earlier flight departure. They remain desperate to flee the country.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) You are the aircraft captain (AC) and responsible for the safety of the aircraft.

2) The aircraft is loaded with approximately 800 Afghans plus crew.

3) The aircraft is below Maximum Take-off Weight (MTOW).

4) The airport is surrounded by armed militants.

5) The runway is crowded with civilians.

6) There are civilians climbing onto the exterior of the aircraft.

7) International media are present.

8) There are no air terminal services at the airport.

9) Evacuation efforts are time critical.

10) A small friendly security element is present, however, they were overwhelmed.

Ethical Factors

Individual Variables

1) Safety of the crew is a genuine concern.

2) Safety of the passengers is a priority.

3) Maintaining the integrity of the airframe (danger of being over-run).

4) Maintaining the integrity of the airfield (incapacitated a/c blocking runway).

5) Internal moral compass may decide whether to take off or not.

Organizational Variables

1) There are clear Rules of Engagement (ROE).

2) The responsibility for the safety of the crew and aircraft belongs to the AC.

3) There is a clear mission to evacuate eligible Afghan civilians.

4) Aircrew are trained and current.

5) The reputation of your air force may be jeopardized.

Situational Variables

1) The aircraft will most likely be over-run and/or damaged/destroyed if parked/shut down.

2) There is a possibility civilians may be seriously injured or killed.

3) The perceived lack of empathy for those on the ground may antagonize an already tense situation.

4) We are uncertain of the intentions of the armed militia.

5) Risk of being overrun is immanent – decision time is minimal and compounding.

6) Level of situational awareness of passengers; do they know what is unfolding outside, and what will their reaction be?

Type of Ethical Dilemma

That this scenario fits into all three of the types of Ethical Dilemma.

Competing Values Dilemma: What is best for the majority (passengers/crew) vs what is best for the few. Success of the mission vs military reputation. *Uncertainty Dilemma*: The scale of the outcome of their decisions is unknown. Damage may be sustained to the airframe if take-off is attempted. This could also happen if the take-off is aborted. *Harm Dilemma*: People may be injured or killed either way. The scale varies, take off and risk a small number of casualties, remain and risk large casualties. Mental health impact of the aircrew. The aspect about this situation which is most likely to keep us up at night is the potential to cause harm.

Possible Options

1) Don't take off. Observe the situation and hope to gain airfield control prior to departure. Risk aircraft being overrun. Seek guidance from CoC.

2) Delay take-off. Engage with the use of force to provide a safety arc around the aircraft and clear a path.

3) Take off. Continue with mission as planned. Risk casualties. Report the situation to your chain of command post take-off.

Optional Challenge Questions

1) The civilians attempting to climb aboard your aircraft appear to be mostly children. What impact does this have on your decision?

2) The Taliban have positioned a force around the perimeter of the airport, but they are not attacking. If the Taliban launch an attack on the airport, how would this influence your decision?

Case Number: NATO 48 **Case Intensity 9/10** **Possible Revenge and War Crimes**

You are a junior officer acting as part of a two-country coalition conducting operations against a hostile state. Your partner-country is directing the strikes and offensive military action with your country supporting. This is your first operational deployment.

You are a junior staff officer in a combined operations room where you have oversight of operations being conducted by your partner-country. In the middle of a tactical operation some of your partners in the operations room start to become more emotional and less professional and detached from tactical actions on the ground. The partner force members are becoming animated and discussing using what you think may be excessive force against opponents from the hostile state. You get a sense from comments by your coalition partner that they are motivated largely by wanting retribution for previous terrorist attacks and they may be operating out of a desire for revenge. They are starting to approach an enclave that may contain non-combatants and they are discussing using massed artillery fire including the use of white phosphorous to burn buildings and suffocate the enemy contrary to the Geneva Conventions. This would raise concerns for you under your Rules Of Engagement (ROE) but the partners are operating under their own national ROE. You are concerned that you may become an unwilling or unwitting participant in a potential war crime. You are providing surveillance, intelligence reporting, medical support and Liaison Officers on the ground but no air strikes.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) You are a junior officer deployed overseas.

2) You are working as a part of a coalition with an allied country against a target country.

3) The coalition partner has expressed wanting retribution against the target country.

4) The military action currently underway could be considered an excessive use of force, but excessive use of force is a gray area during an active operation against militants by a partner nation.

Ethical Decision-Making Context

Individual Variables

1) You are a young officer and do not have prior experience to draw upon.

2) You are focused on your career and want to do the best job that you can.

3) You are steadfast in your commitment to uphold the rules and regulations of the army.

4) You feel that it is important to set a good example as a representative of your country, organization, and unit.

Organizational Variables

1) You trust that your national leadership will respond appropriately to any complaints you file or concerns you raise.

2) You feel comfortable speaking up in your national unit but the next level of command are dislocated from you and hard to get hold of.

3) Your national unit's approach to ethics is generally very respectable.

4) Your international relationships are far more complex. You do not know whether you will damage your relationships with your international partners by questioning their motives or challenging their actions.

Situational Variables

1) In this situation, you do not have any direct authority to control the strikes.

2) Given the cultural and language differences, you may have misinterpreted the motivations, intentions and actions of your allies.

3) Your partners have been the victims of numerous terrorist attacks on innocent civilians in their home territories.

Type of Ethical Dilemma

This is an example of an *Uncertainty Dilemma* given there is no clear course of action in the light of your limited career experience and the limited amount of time before operations start and the ambiguity of how best to raise your concerns. It could also be considered a *Harm Dilemma* given the various negative consequences that the target, your collation partner, and your own country may face due to excessive use of force.

Possible Options

1) Do nothing.

2) Speak to the coalition commanding officer, the coalition partner who is directing the strikes and tactical actions.

3) Raise the issue within your own national chain of command.

4) Look for written guidance from the coalition on acceptable use of force and rules of engagement and, if you are content you meet these, write statements to cover your own involvement in the operation.

Optional Challenge Questions

1) Consider that the offensive military action that is currently underway was initiated by your coalition partner before any terrorist attacks by the hostile state. How would this affect your decision?

2) If there was evidence that the target of the offensive military action was attempting to surrender, yet the bombardment continues, what would you do differently?

Case Number: NATO 49   **Case Intensity 9/10**   **Medical Cover-Up**

You are an experienced combat medic currently employed on a challenging deployment. Although the operation was envisioned as a peacekeeping deployment, the situation in country has deteriorated more quickly than you could imagine. Things have become hostile and the troops you are working with have engaged in some deadly combat situations. Although the company you are attached to has not yet taken any casualties, you have had to patch up some seriously wounded soldiers. You are proud of the work you do and your recent promotion to warrant officer has provided you with more financial security for your young family back home. As a bonus, you are reporting to Henry, a medical officer and military captain who also happens to be one of your best friends. This is your third deployment together and Henry asked you to be his Best Man for his marriage last year. You have great respect for him both personally and professionally.

A recent clash with insurgents had some deadly consequences. A couple of your soldiers received injuries serious enough to require returning them to your home country. Although the injuries were not life-threatening, they will require lengthy hospital stays for full recovery. Three of the insurgents were killed during the skirmish and they are presently in your temporary morgue for post-mortems. The cause of death is easy to determine, but you find one case troubling. Two were killed by bullets with frontal entry points. However, the third man was struck by a bullet to the back of his head. Abrasion marks on his wrists look like rope burns and there is carbon residue around the wound. You can only conclude that the bullet was fired at extremely close range. This does not look like a typical battle wound.

You immediately report your suspicions to your supervisor, Henry, as required. To your surprise Henry does not want to report the specific circumstances of the killing. He argues that the man is already dead and launching an investigation would not bring him back to life. Additionally, Henry stated that he cannot imagine a way to determine who pulled the trigger without implicating other soldiers who may have been present when the killing took place. He says that this would be disastrous for their families and their careers. He also suggests that "whistle-blowing" like this could even have undesirable consequences for your family and his own family.

This situation has made you anxious and uncomfortable.

What do you do?

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Instructor's Guidelines

Assessment of the Situation

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Facts:

1) You are a senior medic on a deployment that has become hostile.

2) The captain you report to is a very good friend.

3) You suspect that a recent insurgent's death is murder rather than a battlefield casualty.

4) You have been advised by your captain that this suspicion should not become public.

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Ethical Factors

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Individual Variables

1) You have a strong sense of values.

2) This is not your first operational deployment.

3) You have great respect for your captain.

Organizational Variables

1) Your unit exhibits strong values and principles.

2) The medical team provides operational support.

3) Your captain reports directly to a senior infantry officer.

Situational Variables

1) The deployment situation has deteriorated.

2) Troops have come under fire and soldiers have already been sent home with serious injuries.

3) Stress levels are highly elevated.

4) Combat resources are becoming stretched thin.

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Type of Ethical Dilemma

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This is a *Competing Values Dilemma*, loyalty to comrades and unit versus organizational duty. It could also be viewed as a *Test of Integrity*; the correct course of action is evident. However, it is most strongly a *Harm Dilemma*. If you do nothing, it is possible that a murderer will go unpunished. Report your suspicions and there will be harmful consequences for one or more unit member as well as an undesirable disgrace for the company.

Possible Options

1) Do nothing.

2) Convince the captain that this incident needs to be reported.

3) Report the incident yourself to your captain's superior.

Optional Challenge Questions

1) If your deployed unit was a coalition force, and the alleged murderer might be from another nation's military, how would this affect your decision?

2) If members of your unit had already been killed by an enemy that did not respect the laws of armed conflict, what impact would this have on your decision?

Case Number: NATO 50   **Case Intensity 9/10**   **Collateral damage**

You are a pilot of multirole aircraft deployed in a multi-nation campaign combatting an insurgency. On a certain day while flying over a particularly hostile area you are informed that a High Value Target (HVT) has been identified and confirmed hiding in a bedroom in a house near your location. You are tasked by the mission commander (of another country) to take out the target. The mission commander states that it is likely that civilians are present in the house but the importance of eliminating the HVT outweighs the potential collateral damage. You realize that firing a laser-guided air-to-ground missile aimed at the bedroom where the HVT is hiding will in all probability be successful in killing the target, but that there is a serious chance that it will also kill or wound some civilians. For you, this is sufficient reason to abort the strike, and you relay this to the mission commander. The mission commander tells you that you do have a right to refuse the request, but if you do not comply, they will command one of their own aircraft flying nearby to do the job. However, unlike your aircraft, this one does not have laser-guided air-to-ground missiles, and thus will have to resort to using a bomb. You know that this would certainly kill all present in the house, as bombing the house is a far heavier and less precise use of force.

What do you do?

Instructor's Guidelines

Assessment of the Situation

Facts:

1) The HVT has a short window where they can be engaged.

2) The HVT is central to a large network providing lethal aid to the insurgency.

3) The pilot of the other aircraft will do as the mission commander requests.

Ethical Factors

Individual Variables

1) You are an experienced pilot and understand the ROE.

2) You do not doubt this is the HVT.

Organizational Variables

1) There is an expectation that the removal of the HVT will have a positive impact on the campaign.

2) There is trust and some freedom of action for you based on your successes to date.

Situational Variables

1) There is substantial time pressure on your decision making.

2) Rising numbers of civilian casualties have diminished support for the coalition forces among the local population.

Type of Ethical Dilemma

This could be viewed as a *Competing Values Dilemma* (duty value to remove the HVT versus the value of protecting innocent lives). It is also a *Harm Dilemma*; if you do not strike the HVT they will continue to target coalition forces and if you do strike the HVT you may kill innocent civilians.

Possible Options

1) Strike the HVT.

2) Abort the strike.

Optional Challenge Questions

1) Your best friend has been blown up by an IED in the same province as the HVT is providing lethal aid to. What sort of impact would this have on the choice you would endorse?

2) You are informed that there is in fact a family with children living in the house. How does this affect your decision making?

STUDENT ETHICAL ANALYSIS

Assessment of the Situation

Facts:

Individual Factors

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Organizational Factors

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Situational Factors

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CRITICAL CONSIDERATIONS

Values Involved

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Type of Ethical Dilemma (Can be more than one)

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POSSIBLE OPTIONS

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DECISION AND CONSIDERATION OF MORAL INTENSITY

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Annex D – GLOSSARY OF TERMS

RTG 304
Factors Impacting Ethical Leadership

Term/Concept	Definition	Reference
360-Degree Leadership	360-degree leadership identifying yourself as a leader who simultaneously influences people at every level of the organization. John C. Maxwell, in his book *360 Degree Leadership*, defined three key principles for middle managers to lead and influence all areas of the organization. The 360 degree leader is not trapped in middle management, but is actually in the best position to influence and become a high impact leader. This is done by implementing the three key principles: to lead up to their leader, lead across with colleagues and lead down with followers.	Maxwell, J.C. (2006). The 10 minute leader. In J.C. Maxwell, The 360 degree leader. Caribe-Betania.
Code of Ethics	A code of ethics is a guide of principles designed to help professionals conduct business honestly and with integrity. A code of ethics document may outline the mission and values of the business or organization, how professionals are supposed to approach problems, the ethical principles based on the organization's core values, and the standards to which the professional is held. A code of ethics, also referred to as an "ethical code," may encompass areas such as business ethics, a code of professional practice, and an employee code of conduct.	Adapted from Hayes, A. (updated 29 June 2022). Code of ethics: understanding its types, uses through examples. Investopedia, https://www.investopedia.com/terms/c/code-of-ethics.asp

Term/Concept	Definition	Reference
Command Responsibility	Additional Protocol 1 (1977), Article 87 – Duty of commanders: 1) The High Contracting Parties and the Parties to the conflict shall require military commanders, with respect to members of the armed forces under their command and other persons under their control, to prevent and, where necessary, to suppress and to report to competent authorities breaches of the Conventions and of this Protocol. 2) In order to prevent and suppress breaches, High Contracting Parties and Parties to the conflict shall require that, commensurate with their level of responsibility, commanders ensure that members of the armed forces under their command are aware of their obligations under the Conventions and this Protocol. 3) The High Contracting Parties and Parties to the conflict shall require any commander who is aware that subordinates or other persons under his control are going to commit or have committed a breach of the Conventions or of this Protocol, to initiate such steps as are necessary to prevent such violations of the Conventions or this Protocol, and, where appropriate, to initiate disciplinary or penal action against violators thereof. *Operating under responsible command is an essential requirement to qualify as a lawful combatant, and is also central to the doctrine of command responsibility. This reveals the inextricable link between the role of the commander and the effective implementation of the International Humanitarian Law (IHL). Understanding this linkage is vital to ensuring that commanders and other military leaders fulfil their obligation to prepare subordinates to navigate the chaos of mortal combat within the legal and by implication moral framework that IHL provides.* (Corn, 2014)	Corn, G.S. (2014). Contemplating the true nature of the notion of "responsibility" in responsible command. International Review of the Red Cross 96, 895-896: 901-17. Doty, J., and Doty, C. (1 February 2012). Command Responsibility and Accountability. Military Review 92(1), 35-38.

Term/Concept	Definition	Reference
Command Responsibility (cont'd)	*A commander can delegate authority but not responsibility. Authority refers to who is in charge, while responsibility refers to who is accountable. A commander is responsible but very often not in control. Commanders have a responsibility to ensure their subordinates are trained and can operate independently based on the commander's intent. Commanders have a responsibility to set a command climate wherein subordinates will act ethically in the absence of leaders.* (Doty and Doty 2012, 36)	
Competing Values Dilemma	When we are faced with a competing values dilemma, it means that we are in a situation where the different possible solutions will cause us to violate one or more of our values. In other words, our basic values are competing during our decision-making process. For example, we may want a solution that maintains our loyalty to a friend or comrade, but our sense of duty compels us to choose differently.	
Concentration of Effect	This is an inverse function of the number of people affected by an act of a given magnitude. Thus, the level of moral intensity is higher when an act has a significant effect on a single individual, as opposed to a modest effect on many people. For example, is a decision will cost one person $1,000.00 this is a higher concentration of effect than a decision that will cost 100 people $1,000.00. The higher the concentration of effect, the higher the intensity.	Jones, T. (1991). Ethical decision making by individuals in organizations: An issue-contingent model. The Academy of Management Review, 16(2), 366-395.
Conflict Management	The process of dealing with (perceived) incompatibilities or disagreements arising from, for example, diverging opinions, objectives, and needs. Effective conflict management techniques limit or prevent negative effects of conflict, while enhancing potential beneficial effects, without necessarily solving the conflict.	de Wit, Frank R.C.: Conflict management. Oxford Bibliographies. DOI: 10.1093/OBO/97801998467 40-0105

Term/Concept	Definition	Reference
Consequences-Based Ethics	See *Utilitarianism*.	
Consequentialism	The consequentialist approach argues that an action should be judged as moral or ethical purely based on its consequences. Although this sounds very similar to utilitarianism there is a fundamental difference. While utilitarianism focuses on the greatest good for the greatest number, consequentialism also pays attention to the nature of the consequence.	
Dehumanization	The process of depriving a person or group of positive human qualities.	Bandura, A. (1999). Moral disengagement in the perpetration of inhumanities. Personality and Social Psychology Review, 3(3), 193-209.
Deontological Ethics	Deontology is an ethical approach that argues that we can judge whether an action is good or bad by examining whether it is consistent with a clear set of rules. The term has its roots in the Greek word *deon* which means duty. When actions are consistent with these sets of rules, they can be judged as ethical while actions that are not consistent with the rules are viewed as unethical. For this reason, deontological ethics is often used interchangeably with duty-based ethics.

See also *Duty-Based Ethics*. | |
| *Duty-Based Ethics (deontology)* | Duty-based ethics stipulates that moral duties are to be followed, not because they are imposed from the outside and backed by sanctions, but because one accepts them by choice | See Kohlberg, L. (1981). Essays on moral development, vol 1. The philosophy of moral development. Moral stages and the idea of justice. New York: Harper and Row. |

Term/Concept	Definition	Reference
Education	The act or process of imparting or acquiring general knowledge, developing the powers of reasoning and judgment, and generally of preparing oneself or others intellectually for mature life. Also the act or process of imparting or acquiring particular knowledge or skills, as for a profession. Throughout its **education** programs, NATO intends to enhance individual knowledge and skills, and to develop competencies to confront a variety of challenges. Philosophically, "education" can be seen as a goal oriented human task	MC 0458/4, NATO Education, training, exercises and evaluation (ETEE) policy. Retrieved 30 August 2023 from https://www.coemed.org/files/Branches/DH/0458-4_20230103_NU_NATO_EDUCATION_TRAINING_EXERCISES_AND_EVALUATION_POLICY.pdf
Ego Depletion	Origins from Baumeister at al. (1998). Their experiments show that the self's capacity for active volition is limited and a range of seemingly different, unrelated acts share a common resource.	Baumeister, R.E., Bratslavsky, E., Muraven M., and Tice D.M. (1998). Ego depletion: Is the active self a limited resource? Journal of Personality and Social Psychology, 74(5), 1252-1265.
Ethical Behavior	Ethical behavior is characterized by demonstrating through actions values (individual or organizational) such as honesty, fairness, courage, integrity, and equity in interpersonal and professional relationships.	Australian Defence Force (2021). ADF-P-O Military ethics. https://theforge.defence.gov.au/sites/default/files/2021-10/ADF%20Philosophical%20Doctrine%20-%20Military%20Ethics.pdf
Ethical Climate	"… general and pervasive characteristics of organizations, affecting a broad range of decisions… that people use to decide if a decision is right or wrong." Ethical climate has an organizational basis, and that groups within organizations develop a unique approach and set of rules with regard to decision-making.	Schneider, B. (1975). Organizational climate: An essay. Personnel Psychology, 28, 447-479. Schneider, B. (1987). The people make the place. Personnel Psychology, 40, 437-453. Schneider, B. (2000). The Psychological life of organizations. In N.M. Ashkanasay, C.P.M. Wilderon, and M.F. Peterson (Eds.), Handbook of Organizational Culture and Climate (pp. 21-36). London: Sage Publications, Inc.

Term/Concept	Definition	Reference
Ethical Climate (cont'd)	Climate is similar to culture; however, unlike culture, which is associated with beliefs and values, climate is usually defined as perceived attitudes towards specific aspects of organizational organization, such as safety, service, or ethical issues.	Victor, B. and Cullen, J.B. (1988). The organizational bases of ethical work climate. Administrative Science Quarterly, 33(1), 101-125.
Ethical Conduct	See *Ethical Behavior*	
Ethical Dilemma	An ethical dilemma refers to a situation where someone is forced to make a difficult choice between two or more courses of action and these actions may be equally undesirable. It could also mean that whatever choice is made it will mean that the person making the decision must violate a moral principle or value. Coleman (2006, p.106; cited in Baker, 2012, p. 211) said: *What I call an ethical dilemma (or sometimes a test of ethics) is a situation where the difficulty lies in knowing what the right thing to do actually is; where a person is faced with several choices, often bad choices, and has to work out what is the right thing to do in that particular situation. What I call a test of integrity is a situation where it is reasonably obvious, or even perfectly obvious, what the right thing to do is, but for whatever reason, it is difficult for the person involved to actually do the right thing.*	Coleman, S. (2009) The problems of duty and loyalty, Journal of Military Ethics, 8(2), pp. 105-15. Baker, Deane-Peter (2012). Making good better: A proposal for teaching ethics at the service academies. Journal of Military Ethics, 11(3), 208-222.
Ethical Leadership	"…the demonstration of normatively appropriate conduct through personal actions and interpersonal relationships, and the promotion of such conduct to followers through two-way communication, reinforcement, and decision-making." (Brown et al., 2005, p. 120) Using the social learning perspective, they proposed that leaders influence the ethical conduct of followers via modeling. They argue that both the personal ethical conduct of the leader, and leaders' expectations of ethical conduct among followers play a large part in promoting prosocial organization in the workplace.	Brown, M.E., Trevino, L.K., and Harrison, D.A. (2005). Ethical leadership: A social learning perspective for construct development and testing. Organizational Behaviour and Human Decision Processes 97, 117-134. Brown, M.E., and Trevino, L.K. (2006). Ethical leadership: A review and future directions. Leadership Quarterly, 17, 595-616.

Term/Concept	Definition	Reference
Ethical Leadership (cont'd)	The authors explored ethical leadership from the perspective of organization members, and argued that leaders are models for ethical conduct and as such, set the standards for emulation by followers, influence ethics-related outcomes, and engage in and reinforce ethical behavior. Research attention on ethical leadership has been devoted to understanding the ethical behavior of leaders (i.e., the moral person) and how leaders' expectations influence their followers' ethical behavior (i.e., the moral manager)	Trevino, L.K., Hartman, L.P., and Brown, M. (2000). Moral person and moral manager: How executives develop a reputation for ethical leadership. California Management Review, 42(4), 128-142.
Ethical Misconduct	Ethical misconduct means unacceptable behavior or conduct (that violates the minimal standards of accepted ethical behavior and professional conduct listed in the standards of professional conduct; it includes discriminatory practice, inappropriate touching, sexual harassment, and behavior intended to induce a child into engaging in illegal, immoral or other prohibited behavior.	Law Insider Ethical misconduct definition. Retrieved 2 June 2002 from https://www.lawinsider.com/dictionary/ethical-misconduct
Ethical Relativism	Ethical relativism consists of an empirical claim, stating that there is deep and widespread moral disagreement, and a metaethical claim, holding that the truth or justification of moral judgments is "relative to the moral standard of some person or group of persons." In stark contrast to universalism, ethical relativism argues that morality is best judged within the norms of the culture in which it is practiced. In other words, an identical action may be viewed as morally repellent in one culture yet be seen as morally correct in another. It is ethical relativism that helps us to understand why a society will incarcerate someone who kills another human yet grant medals and honors to soldiers who do the same thing while engaging in legitimate and morally justified combat situations.	Gowans, C. (2016). Moral relativism. In E.N. Zalta (Ed.) The Stanford encyclopedia of philosophy (Winter 2016 Edition). https://plato.stanford.edu/archives/win2016/entries/moral-relativism/

Term/Concept	Definition	Reference
Ethical Sensitivity	The "…ability to recognize potential ethical conflict in a decision context is a function of an individual's ethical sensitivity . . . and sensitivity precedes judgment." (Chung and Monroe, 2007, pp. 247-248).	Chung, J. and Monroe, G.S. (2007). An exploratory study of counter explanation as an ethical intervention strategy. Journal of Business Ethics, 73, 245-261. DOI: 10.1007/s10551-006-9204-4.
Ethics	The term ethics comes from the Greek *ethos*. It is generally used to refer to a field of philosophy that is focused on an understanding of what is right and wrong. The term often goes hand in hand with being moral which comes from the Latin *mores* because, at its fundamental level, ethics is a study of morality. These terms are often best understood within a specific culture and ethics itself comes in a variety of forms.	
Ethics of Care	*Ethics of care is a normative form of ethics that seeks to maintain relationships by contextualizing and promoting the well-being of care-givers and care-receivers in a network of social relations. Most often defined as a practice or virtue rather than a theory as such, "care" involves maintaining the world of, and meeting the needs of, ourselves and others. It builds on the motivation to care for those who are dependent and vulnerable, and it is inspired by both memories of being cared for and the idealizations of self. Following in the sentimentalist tradition of moral theory, care ethics affirms the importance of caring motivation, emotion and the body in moral deliberation, as well as reasoning from particulars.*	Internet Encyclopedia. Care ethics. Retrieved 2 June 2002 from https://iep.utm.edu/care-ethics/
Ethos	The distinguishing character, sentiment, moral nature, or guiding beliefs of a person, group, or institution. *Ethos* means "Custom" or "character" in Greek.	Merriam-Webster. Retrieved 2 June 2002 from https://www.merriam-webster.com/dictionary/ethos
Four Component Model of Ethical Decision-Making (FCM)	The model provides four conditions or stages that can be used when dealing with ethical dilemmas. The stages are: ethical sensitivity, moral judgment, moral motivation and moral character.	Rest, J.R. (1986). Moral development: Advances in Research and Theory. New York: Praeger.

Term/Concept	Definition	Reference
Groupthink	People conformed in their thinking to such an extent that the decisions they made became dysfunctional or even irrational. Key assumptions were not questioned, even when those assumptions were blatantly false.	Whetham, D. (20 December 2018). Encouraging reasonable challenge and the freedom to speak up. Parliamentary and Health Service Ombudsman. https://www.ombudsman.org.uk/news-and-blog/blog/encouraging-reasonable-challenge-and-freedom-speak
Harm Dilemma	A harm dilemma could be viewed as the most serious type of dilemma. This kind of dilemma occurs when there are different solutions, but no matter which choice is made harm will come to somebody. It is a lose-lose type of scenario, and a choice must be made to do the least harm possible.	
Honor	Charles H. Cooley, an American sociologist from the early twentieth century, defines honor as *a finer kind of self-respect. It is used to mean either something one feels regarding himself, or something that other people think and feel regarding him, and so illustrates by the accepted use of language the fact that the private and social aspects of self are inseparable.* (1922, 184). According to the anthropologist Pitt-Rivers, someone's honor as "the value in his own eyes, but also in the eyes of his society. It is his estimation of his own worth, his claim to pride, but it is also the acknowledgement of that claim, his excellence recognized by society, his right to pride." (1974, 21; see also Cooley, 1922, 238) Pieter Spierenburg distinguishes an extra level: "Honor has at least three layers: a person's own feeling of self-worth, this person's assessment of his or her worth in the eyes of others, and the actual opinion of others about her or him" (1998, 2).	Cooley, C.H. (1922). Human nature and the social order. New York: Charles Scribner. Pitt-Rivers, J. (1974) Honour and social status. In J. G. Peristiany (Ed.) Honour and shame: The values of Mediterranean Society (pp. 19-78) Chicago: Midway Reprint. Spierenburg, P.C. (1998) Masculinity, Violence, and Honor: An Introduction, in: P.C. Spierenburg (Ed.) Men and Violence: Gender, Honor, and Rituals in Modern Europe and America (pp. 1-29). Columbus: Ohio State University Press.

Term/Concept	Definition	Reference
Human Values	Trans-situational beliefs that serve as guiding principles for people's evaluations and behaviors. Schwartz (1994) postulated ten types of values: achievement (pursuit of personal success through demonstrating competence according to social standards); benevolence (concern for and enhancement of the welfare of others in one's life); conformity (restraint of actions and impulses that are likely to upset others or violate social expectations and norms); hedonism (personal pleasure and gratification); power (dominance over others); self-direction (independent thought); security (safety and stability); stimulation (excitement and challenge); tradition (moderation and preservation); and universalism (concern for and protection of the welfare of all people and nature).	Schwartz, S.H. (1994). Beyond individualism/collectivism: New dimensions of values. In U. Kim, H.C. Triandis, C. Kagitcibasi, S.C. Choi, and G. Yoon (Eds.). Individualism and collectivism: Theory Application and Methods, Newbury Park, CA: Sage Publications.
Individual Variables	Variables in the ethical decision making process that are driven by personal values, responsibilities, and authorities.	
Integrative Approach (in IHL training)	*Recognizing that the mere teaching of legal norms will not result, in itself, in a change in attitude or behavior, the ICRC approach has gradually shifted in the past two decades from dissemination of the law to its integration into the doctrine, training and operations of military and police forces. Law is actually a set of general rules, sometimes too general to provide practical guidance in combat or law enforcement situations. The law must there be interpreted, its operational meaning analyzed and its concrete consequences drawn at all levels. In short, the relevant law must be transformed into concrete measures, means or mechanisms at doctrine, education, training, equipment and sanctions to permit for compliance during operations* (ICRC 2015, 56).	Bates, E.S. (2015). Towards effective military training in international humanitarian law. International Review of the Red Cross 96 (September), 795-816. DOI: 10.1017/s1816383115000557 ICRC (2015). Violence and the use of force. Geneva: International Committee of the Red Cross.

Term/Concept	Definition	Reference
Integrity	The quality of being honest and having strong moral principles; someone is thought to possess the virtue of integrity to the extent that he or she upholds moral principles. The state of being whole and undivided. The Latin *integer* stands for "whole" or "complete."	Cox, D., La Caze, M., and M.P. Levine (2003). Integrity and the Fragile Self. Aldershot: Ashgate.
Intensity of Moral Decisions – Six Factors Theory	Jones (1991, p. 372) explains that moral intensity is "a construct that captures the extent of issue-related moral imperative in a situation." This approach explores the intensity associated with ethical decisions rather than the situation itself. Jones presented six factors associated with the intensity of an ethical decision: magnitude of the consequences, social consensus, probability of effect, temporal immediacy, proximity and concentration of effect.	Jones, T. (1991). Ethical decision making by individuals in organizations: An issue-contingent model. The Academy of Management Review, 16(2), pp. 366-395.
International Humanitarian Law (IHL)	International humanitarian law is a set of rules which seek, for humanitarian reasons, to limit the effects of armed conflict. It protects persons who are not or are no longer participating in the hostilities and restricts the means and methods of warfare. International humanitarian law is also known as the law of war or the law of armed conflict. International humanitarian law is part of international law, which is the body of rules governing relations between States.	MC 0458/4, NATO Education, training, exercises and evaluation (ETEE) policy. Retrieved 30 August 2023 from https://www.coemed.org/files/Branches/DH/0458-4_20230103_NU_NATO_EDUCATION_TRAINING_EXERCISES_AND_EVALUATION_POLICY.pdf
Just War Principles	The just war theory answers the question whether to go to war and how to fight that war. The principles (or criteria) for the guidance in that question consists of principles from *jus ad bellum* (right to go to war), *jus in bello* (right conduct in war) and also *jus post bellum* (morality of post-war settlement and reconstruction). The *jus ad bellum* principles are: just authority, just cause, just intention, last resort, proportionality, probability of success and discrimination. The main *jus in bello principles* are discrimination (civilians cannot be targeted) and proportionality.	Walzer, M. (1992). Just and unjust wars. New York: Basic Books.
Leadership	"Leadership is a process whereby an individual influences a group of individuals to achieve a common goal."	Northouse, P.G. (2021). Leadership: Theory and practice. Sage Publications.

Term/Concept	Definition	Reference
Loyalty	"Loyalty, writes Royce, is the devotion of a person to a cause, for instance of a captain of a ship to the requirements of his office. But often loyalty also involves giving priority to the interests of its object, be it an individual, a group, or a country, even when reason dictates a different direction" (Ewin 1992, 406). Loyalty "requires us to suspend our own independent judgment about its object," and "affects one's views of who merits what" (Ewin 1992, 403, 406, 411). According to military ethicist Stephen Coleman, loyalty is" an instrumental virtue, in that loyalty is only good as a consequence of the effects that it brings about and not good in and of itself. This means that the character (or characteristics) of the person or object of loyalty will be extremely important in determining whether loyalty is in fact a virtue at all" (2009, 110).	Coleman, S. (2009). The problems of duty and loyalty, Journal of Military Ethics, 8(2), pp. 105-15. Ewin, R.E. (1992). Loyalty and virtues. Philosophical Quarterly, 42(169), 403-19. Royce, J. (1995). The philosophy of loyalty. Nashville: Vanderbilt University Press.
Machiavellianism	Machiavellianism is a pattern of behavior that includes manipulation, deception, and opportunism in an effort to gain power and control. People high in Machiavellianism are characterized as having a cynical disregard for morality (Muris et al., 2017).	Muris, P., Merckelbach, H., Otgaar, H., and Meijer, E. (2017). The malevolent side of human nature: A meta-analysis and critical review of the literature on the Dark Triad (Narcissism, Machiavellianism, and Psychopathy). Perspectives on Psychological Science, 12(2), 183-204.
Magnitude of the Consequences	This is the sum of the harms imposed on the victims of the decision (or alternatively, the sum of the benefits of the recipients). Thus, a decision that causes the death of a person is more consequential than one that causes a minor injury.	Jones, T. (1991). Ethical decision making by individuals in organizations: An issue-contingent model. The Academy of Management Review, 16(2), 366-395.
Manifest Illegality	*In both international law and the military codes of most states, the nutshell answer to the problem of due obedience is that the soldier is excused from criminal liability for obedience to an illegal order, unless its unlawfulness is thoroughly obvious on its face. The litigated cases generally involve traditional atrocities, that is, the intentional killing of POWs or others who were obviously non-combatants.* (Osiel, 1998, 946)	Osiel, M.J. (1998). Obeying orders: Atrocity, military discipline, and the law of war. California Law Review 86(5), 939-1129. DOI: 10.2307/3481100.

Term/Concept	Definition	Reference
Military Ethics	"Ethics is a branch of philosophy, and military ethics is a branch of (general) ethics but it is also a form of applied ethics and just as most forms of applied are, military ethics, too, arose out of confrontations with ethical questions and dilemmas in daily practice." "Military Ethics, as applied ethics that are part of general ethics and therefore not special ethics cut from the other fields of ethics…" (Elßner 2016). There is a great diversity of activities nominally gathered under the rubric "military ethics." At least military ethics might be a) personal value system, b) ethics of the military profession (or a person who has an order to serve in military), c) organizational ethics, which sets standards for both the military organization as well as personnel) ethics of war. "An ethic which relates to the nature, content, validity, and effect of morals in a military context. As such military ethics refers to both the conceptual creation of scientific theory, as well as applied ethics including casuistry." (van Baarda and Verweij 2006)	Mutanen, A., and Schroderus, J-P. (2017). Introduction. In A. Mutanen, (Ed.), Ethical basis of human security (pp. 6-17). Helsinki. FINCENT Publication series 1/2017. Elßner, T.R. (2016). Didactics of military ethics: From theory to practice. In T.R. Elßner, and R. Janke (Eds.), Didactics of military ethics – From theory to practice (Eds.) Leiden. Brill/Nijhoff. Verweij, D. (2006). Military ethics: A contradiction in terms. In J. Toiskallio (Ed.), Ethical education in the military (pp. 43-62). Helsinki. National Defence University. van Baarda, Th.A. and Verweij, D.E.M. (2006). Military ethics: Its nature and pedagogy. In Th.A. van Baarda, and D.E.M. Verweij (Eds.), Military ethics – The Dutch approach (pp. 1-24). Leiden: Martinus Nijhoff Publishers.
Military Ethics Education • *Functional* • *Aspirational*	"…making people better at their job." "...equipping a member of the armed forces or a unit with such ethical models that the unit can carry out its task appropriately." "turning people into more moral persons"; "developing the character of individual soldiers."	Ficarrotta, J.C. (2008). A higher moral standard for the military. In G.E. Lucas and R.W. Rubel (Eds.) Ethics and the military profession (pp. 49-60). Boston: Pearson Education. Wolfendale, J. (2008). What is the point of teaching ethics in military? In P. Robinson, N. De Lee, and D. Carrick (Eds.), Ethics education in the military (pp. 161-174). Hampshire: Ashgate. Robinson, P. (2008). Introduction. In P. Robinson, N. De Lee, and D. Carrick (Eds.), Ethics education in the military (pp. 1-12). Hampshire: Ashgate.

Term/Concept	Definition	Reference
Moral Character	"…psychological toughness and strong character needed to actually do the right thing" (Johnson in Baker, 2012, p.211).	Baker, D.-P, (2012). Making good better: A proposal for teaching ethics at the service academies. Journal of Military Ethics, 11(3), 208-222.
Moral Courage	Moral courage is the commitment to standing up for and acting upon one's ethical beliefs. According to Ian Miller, "moral courage has come to mean the capacity to overcome the fear of shame and humiliation in order to admit one's mistakes, to confess a wrong, to reject evil conformity, to denounce injustice, and to defy immoral or imprudent orders" (Miller, 2000, 254). Morally courageous individuals act upon their ethical values to help others during difficult ethical dilemmas, despite the adversity they may face in doing so. To be morally courageous means standing up for what you believe even when it means that you do so alone (Murray, 2010).	Miller, I. (2000). The Mystery of Courage Cambridge: Harvard University Press. Murray, J.S. (2010). Moral courage in healthcare: Acting ethically even in the presence of risk. Online J Issues Nurs, 15(3).
Moral Disengagement	The process of internal control at which moral self-censure can be disengaged from reprehensible conduct. The disengagement may center on: a) The reconstrual of the conducts itself so it is not viewed as immoral; b) The operation of the agency of action to that the perpetrators can minimize their role in causing harm; c) The consequences that flow from actions; or d) How the victims of maltreatment are regarded by devaluing them as human beings and blaming them for what is being done to them. (Bandura 1999, p. 194)	Muñoz-Rojas, D., and Frésard, J.-J. (2004). The Roots of behaviour in war: Understanding and preventing IHL violations. Revue Internationale de La Croix-Rouge/International Review of the Red Cross 86(853), 189. Bandura, A. (July 1999). Moral disengagement in the perpetration of inhumanities. Personality & Social Psychology Review (Lawrence Erlbaum Associates) 3(3), 193-209.

Term/Concept	Definition	Reference
Moral Efficacy	State-like personal belief that one is confident in his/her ability to act effectively as a moral person, while persisting the face of moral adversity. It was developed as part of a malleable psychological construct entitled moral potency, which comprises moral courage, moral efficacy, and moral ownership, and is described as a sense of ownership over the moral aspects of one's environment.	Hannah, S.T., and Avolio, B.J. (2010). Moral potency: Building the capacity for character-based leadership. Consulting Psychology Journal: Practice and Research, 62(4), 291-310.
Moral Identity	Trait-based, self-conception organized around a set of moral beliefs, which ipso facto, influences attitudes and behaviors. Although trait-based, Aquino and Reed (2002) argue that moral identity is socially-oriented and, similar to the Aristotelian concept of virtue-based ethics, is based on the behavior of referent others (i.e., known or unknown individuals, or abstract ideals) that a person uses to develop a social self-schema.	Aquino, K., and Reed, II, A. (2002). The self-importance of moral identity. Journal of Personality and Social Psychology, 83(6), 1423-1440.
Moral judgment	"…the capacity to determine which course of action of (more) morally justifiable relative to the alternatives" (Johnson in Baker, 2012, p.211)	Baker, D.-P. (2012). Making good better: A proposal for teaching ethics at the service academies. Journal of Military Ethics, 11(3), 208-222.
Moral Philosophy	The branch of learning that deals with the nature of morality and the theories that are used to arrive at decisions about what one ought to do and why.	
Moral Reasoning	The degree to which people think about and reason what is right in a given situation. Kohlberg and Hersh (1977) described moral development in terms of three broad levels, each comprised of two stages. In the first level (pre-conventional), moral decision-making is based on a punishment and obedience orientation (Stage One), and the hedonistic satisfaction of one's own needs (Stage Two).	Kohlberg, L. (1981). The philosophy of moral development. Cambridge, UK: Harper & Row. Kohlberg, L., and Hersh, R.H. (1977). Moral development: A review of the theory. Theory into Practice, 16(2), 53-59.

Term/Concept	Definition	Reference
Moral Reasoning (cont'd)	In the second level (conventional), moral decision-making is based on the need to "live up to" the expectations of others (e.g., family, peer group, nation), and comprises the "Good-boy / nice-girl orientation" (Stage Three), and the "Law and Order" orientation (Stage Four). The third level of Kohlberg's moral development is the post-conventional level, which involves morality based on abstract principles. Stage Five in this level is the "Social Contract," and is based on the principle of utilitarianism, and Stage Six is the orientation of universal ethical principles.	
Moral Sensitivity	"…is defined by Rest as the awareness of how our actions affects other people" (Johnson in Baker, 2012, p.211)	Baker, D.-P. (2012). Making good better: A proposal for teaching ethics at the service academies. Journal of Military Ethics, 11(3), 208-222.
Organizational Variables	Variables in the ethical decision making process that give constraints due to organizational factors such as rules and regulations.	
Organizational Justice	People's perception of fairness in organizations and consists of three factors: distributive justice, procedural justice, and interactional justice. Distributive justice is the degree to which employees expect their profits or outcomes to be proportionate to their investments. Procedural justice is the degree to which people feel as if the procedures used in decision-making are fair. Interactional Justice deals with the quality of interpersonal treatment people receive as procedures are enacted and is divided into two distinct factors: Interpersonal justice, which refers to perceptions of respect and propriety in one's treatment, and informational justice, which is the perceptions of the adequacy of the explanations given in terms of their timeliness, specificity, and truthfulness.	Colquitt, J.A., Greenberg, J.M., and Zapata-Phelan, C.P. (2005). History of organizational justice. In J. Greenberg and J. Colquitt (Eds.), Handbook of Organizational Justice (pp. 12-20). Mahwah, NL: Erlbaum.

Term/Concept	Definition	Reference
Organizational Trust	"a…psychological state comprising the intention to accept vulnerability based on positive expectations of the intentions or behaviour of another." (Rousseau et al., 1998, p. 395) "…the global evaluation of an organization's trustworthiness as perceived by the employee … that the organization will perform an action that is beneficial or at least not detrimental to him or her." (Tan and Tan, 2007, p. 243)	Rousseau, D.M., Sitkin, S.B., Burt, R.S., and Camerer, C. (1998). Not so different after all: A cross-disciple view of trust. Academy of Management Review, 23(3), 393-404. Tan, H.H., and Tan, C.S. (2000). Toward the differentiation of trust in supervisor and trust in organization. Genetic, Social, and General Psychology Monographs, 126(2), 241-260.
Person-Organization Fit	The degree to which an organizational member feels that their values are congruent with those of the organization in which they belong.	Chatman, J. (1989). Improving interactional organizational research: A model of person-organizational fit. Academy of Management, 14(3), 333-349. Kristof, A.L. (1996). Person-organization fit: An integrative review of its conceptualizations, measurement, and implications. Personnel Psychology, 49, 1-49. Kristof-Brown, A.L., Zimmerman, R.D., and Johnson, E.C. (2005). Consequences of individuals' fit at work: A meta-analysis of person-job, person-organization, person-group, and person-supervisor fit. Personnel Psychology, 58, 281-342.
Practical Wisdom (phronesis)	The concept of *pronesis* is an Aristotle's concept. *Phronesis* means a practical philosophy, practical wisdom. It is a general sense of knowing the proper behavior in all situations.	Aristotle (1962). Nicomachean Ethics. Indianapolis: The Bobbs Merrill Company.
Probability of Effect	This is a calculation that an ethical decision will lead to an action and the probability that the result act will either be harmful or beneficial. Thus, the level of moral intensity increases in conjunction with the probability of an adverse event arising from a decision.	Jones, T. (1991). Ethical decision making by individuals in organizations: An issue-contingent model. The Academy of Management Review, 16(2), 366-395.

Term/Concept	Definition	Reference
Professional Ethics	A professional code of ethics may be viewed as the response of a professional group to the trust placed in it by society at large. It also could (only) be a list ethical norms and values (of the profession) or accepted standards of values and normative principles. "Military ethics is a species of the genus *professional ethics.*"(Cook and Syse 2010)	Mutanen, A. (2007) Deliberation-action-responsibility. Philosophical aspects of professions and soldiership In J. Toiskallio (Ed.), Ethical Education in the Military (pp. 124-147). Helsinki. National Defence University. Cook, M.L. and Syse, H. (2010). What should we mean by military ethics? Journal of Military Ethics (9)2.
Professionalism	The competence or skill expected of a professional. Classical professions are characterized by their scientific background and value-based service ideal. Professionalism requires education and values or science and service. "A profession constitutes a distinctive practice, mastery of specialized knowledge and techniques, unique vocabulary, provide service to the wider public." (Lucas 2016) James Burk, based on a review of relevant literature, defines a profession as a "relatively 'high status' occupation whose members apply abstract knowledge to solve problems in a particular field of endeavor." (2002, 21)	Airaksinen, T. (2004). Professional ethics for professional soldiers: A philosophical study. In J. Toiskallio (Ed.), Identity, ethics and soldiership (pp. 31-46), Helsinki. ACIE Publications. Lucas, G. (2016). Military ethics – What everyone needs to know. New York, Oxford University Press Burk, J. (2002). Expertise, jurisdiction, and legitimacy of the military profession. In D.M. Snider and G.L. Watkins (Eds.). The Future of the Army Profession (pp 19-38). New York: McGraw-Hill Primus Custom Publishing.
Proximity	This is the feeling of nearness, either socially, psychologically, culturally, or physically, that the person has for the victims (or beneficiaries) of the act in question. When there is a high degree of proximity, there is also a high level of intensity.	Jones, T. (1991). Ethical decision making by individuals in organizations: An issue-contingent model. The Academy of Management Review, 16(2), pp. 366-395.

Term/Concept	Definition	Reference
Psychological Safety	Team psychological safety is the shared belief regarding the extent to which team members view the social climate as conducive to interpersonal risk taking (Edmondson, 1999). It can be defined as "being able to show and employ one's self without fear of negative consequences of self-image, status or career." (Kahn, 1990, p. 708)	Edmondson, A. (1999). Psychological safety and learning behavior in work teams. Administrative Science Quarterly, 44, 350-383. Kahn, W.A. (1990). Psychological conditions of personal engagement and disengagement at work. Academy of Management Journal, 33(4), 692-724.
Reasonable Challenge	The term comes from The Report of the Iraq Inquiry (Chailot Report, UK). It refers to the aim to change organizational culture by creating an environment in which people feel empowered to speak up. To do this, it encourages individuals to challenge the prevailing group attitude or behavior where they know or suspect it is wrong.	Whetham, D. (20 December 2018). Encouraging reasonable challenge and the freedom to speak up. Parliamentary and Health Service Ombudsman. https://www.ombudsman.org.uk/news-and-blog/blog/encouraging-reasonable-challenge-and-freedom-speak
Role Models	A leader, such as a commander, or other personnel within a group, can role model ethical leadership. Ethical role models demonstrate those ethical behaviors expected within a team. If any member of the team provides a bad ethical example of behavior, others may reflect these behaviors. Calling out the behaviors of those members takes moral courage but is essential to maintain the team's morale and ethical standards. The actions of a leader in morally intense contexts (such as an operations) not only have the ability to enhance trust among the group (and thus heighten leader influence) but also have the ability to sensitize team members to ethical issues and assist shape the ethical decisions.	Australian Defence Force (2021). ADF-P-O Military ethics. https://theforge.defence.gov.au/sites/default/files/2021-10/ADF%20Philosophical%20Doctrine%20-%20Military%20Ethics.pdf

Term/Concept	Definition	Reference
Role Stress	Work-related stress is defined as the non-specific physiological and/or psychological response of the body to events at work that are perceived to be threatening or taxing to a person's well-being (Riggio, 2003; Spector, 2003). Role stress, an aspect of work stress, is multi-dimensional and is categorized by Glazer and Beehr (2005) as consisting of role ambiguity (i.e., uncertain of one's role in the workplace), role overload (i.e., having many competing demands), and role conflict (i.e., experiencing incompatible demands).	Glazer, S., and Beehr, T.A. (2005). Consistency of implications of three role stressors across four countries. Journal of Organizational Behavior, 26, 467-487. Riggio, R.E. (2003). Introduction to industrial/organizational psychology. New Jersey: Upper Saddle River. Spector, P.E. (2003). Industrial and organizational psychology: Research and practice. New Jersey: John Wiley & Sons.
Situational Variables	Variables in the ethical decision making process that capture the current conditions where the decision maker is operating and may include levels of situational awareness.	
Social Cohesion	Social cohesion refers to the extent of connectedness and solidarity among groups in society. It identifies two main dimensions: the sense of belonging of a community and the relationships among members within the community itself.	Manca A.R. (2014). Social cohesion. In A.C. Michalos (Ed.), Encyclopedia of quality of life and well-being research. Springer, Dordrecht. DOI: 10.1007/978-94-007-0753-5_2739.
Social Consensus	This is the degree of social agreement that an act is either good or evil. When there is a high degree of social consensus, there is little ambiguity about what should be done. Thus, the greater the likelihood that most people would view an act as wrong, the greater the intensity.	Jones, T. (1991). Ethical Decision making by individuals in organizations: An issue-contingent model. The Academy of Management Review, 16(2), 366-395.
Social Psychology	An academic branch of psychology that seeks to understand social interactions, and the effect of these interactions on the individual.	

Term/Concept	Definition	Reference
Socratic Dialogue	"The Socratic method is one of the most famous, least used, and least understood teaching and conversation practices," Maxwell points out. It is a method of teaching and learning through the questioning. In the origins, "in the Socratic dialogues, Socrates only wants short answers that address very specific points and refuses to move on to more advanced or complicated topics until an adequate understanding of basic principles is achieved." (Maxwell) "The subjects of Socrates' conversations often revolved around defining ideas such as, justice, virtue, beauty, courage, temperance, and friendship." (Maxwell)	Maxwell, M. Introduction to the Socratic Method and its effect on critical thinking. http://www.socraticmethod.net/index.html (Accessed 15 October 2018)
Supererogatory Conduct	"Above and beyond the call of duty." Supererogatory acts are morally good although not (strictly) required.	Doty, J., and Doty, C. (1 February 2012). Command responsibility and accountability. Military Review 92(1), 35-38.
Teleological Ethics	While deontological ethics passes judgment on the actions themselves teleological ethics places its focus on the outcome of our actions. Teleology has its root in the Greek word *telos* which means "end," thus we can appreciate its focus on the end state rather than the action.	
Temporal Immediacy	This is the length of time between the present and the onset of the consequences of a moral decision. When the effect is imminent, it is considered to have a higher degree of moral intensity.	Jones, T. (1991). Ethical decision making by individuals in organizations: An issue-contingent model. The Academy of Management Review, 16(2), 366-395.
Test of Integrity	A test of integrity is not really an ethical dilemma because the correct course of action is evident. However, there may be situational factors that are compelling us to choose a course of action that is not in line with our sense of integrity. Even though this is not categorized as a dilemma, the decision process can still be very difficult.	Coleman, S. (2009). The problems of duty and loyalty, Journal of Military Ethics, 8(2), 105-15.

Term/Concept	Definition	Reference
Training	**Individual training** activities focus on the development of abilities necessary to perform tasks and duties, therefore seeking a response for predictable situations. The acquired knowledge is further developed through practical application in the framework of **collective training**.	MC 0458/4, NATO Education, training, exercises and evaluation (ETEE) policy. Retrieved 30 August 2023 from https://www.coemed.org/files/Branches/DH/0458-4_20230103_NU_NATO_EDUCATION_TRAINING_EXERCISES_AND_EVALUATION_POLICY.pdf
Transformational Leadership	A leadership approach where a leader influences a team beyond their immediate self-interests that is directed toward change in individuals and social systems. Ideally, transformational leadership creates valuable and positive change through inspiration and influence. Change is implemented through a strong commitment from the group which has been enhanced by the leader connecting a follower's sense of identity and self to the mission; being a role model for followers that inspires them; and challenging followers to take greater ownership for their work.	Bass, B. (1999). Two decades of research and development in transformational leadership. European Journal of Work and Organizational Psychology 8(1), 9-32.
Types of Ethical Dilemmas	They are: uncertainty dilemma; competing values dilemma; harm dilemma; and test of integrity.	
Uncertainty Dilemma	An uncertainty dilemma is often referred to as the most frequent type of ethical dilemma. This kind of dilemma occurs when the right course of action is not readily apparent. There are equally legitimate reasons to support a variety of solutions but there is no simple choice between right and wrong.	
Universalism	At its purest level universalism is based on the notion that there should be a common system of ethics that would apply to everyone without regard to race, religion, culture, or nationality. In a sense, this is closely related to the golden rule that simply argues that we should always treat others the way we would wish to be treated.	

Term/Concept	Definition	Reference
Utilitarianism	Utilitarianism means that we base our judgment on whether an act is morally right or wrong upon the foreseen consequences. This approach to ethics argues that actions that benefit most people can be viewed as right. For those familiar with Star Trek, this is akin to Mr. Spock arguing that "the needs of the many outweigh the needs of the few, or the one."	Goodin, R.E. (1995). Utilitarianism as a public philosophy. Cambridge: Cambridge University Press.
Values	Values are principles or standards that are considered as important or desirable. They can be defined as "global beliefs that guide actions and judgments across a variety of situations" (Schermerhorn, Hunt, and Osborn, 1997). Virtues and values are not the same, yet are sometimes treated by militaries as if they were. As military ethicist Paul Robinson puts it: virtues represent "desirable characteristics of individuals, such as courage, while values, on the other hand, correspond to the ideals that the community cherishes, such as freedom" (2008, 5)	Robinson, P. (2008). Introduction: Ethics Education in the Military. In P. Robinson, N. de Lee, and D. Carrick (Eds.) Ethics Education in the Military, (pp. 1-12), Aldershot: Ashgate. Robinson, P. (2009). Integrity and selective conscientious objection, Journal of Military Ethics, 8(1), 34-47. Schermerhorn, J., Hunt, J., and Osborn, R. (1997). Organizational Behaviour, 6th ed. Wiley Publisher
Values-Based Conduct/Leadership	Where leaders and followers draw upon their own and others' values for direction and motivation. This also includes the values of the organization or group.	
Virtue Ethics	Virtue ethics is a moral philosophy that has its roots in the work of Aristotle and other ancient Greeks. Rather than focus on a particular action or its consequences, virtue ethics pays more attention to the character and morality of the person engaging in the actions. Consequently, it is character traits like integrity and generosity that makes a person virtuous and moral.	Zalta, E.N. (Ed.). The Stanford encyclopedia of philosophy, https://plato.stanford.edu/entries/ethics-virtue/ (accessed 30 August 2018).

Term/Concept	Definition	Reference
Virtue Ethics (cont'd)	"Virtue ethics is currently one of three major approaches in normative ethics. It may, initially, be identified as the one that emphasizes the virtues, or moral character, in contrast to the approach that emphasizes duties or rules (deontology) or that emphasizes the consequences of actions (consequentialism)."(Stanford Encyclopedia of Philosophy) "…virtue ethics seeks to ensure moral behavior by instilling certain values (loyalty, honesty, and courage) to create good character. The person with character will then behave appropriately because that is the sort of person he or she is." (Robinson, 2007, p. 30)	Robinson, P. (2007.) Ethics training and development in the military. Parameters, Spring, 23-36.
Virtues	*A virtue is an excellent trait of character. It is a disposition, well entrenched in its possessor – something that, as we say, goes all the way down, unlike a habit such as being a tea-drinker – to notice, expect, value, feel, desire, choose, act, and react in certain characteristic ways. To possess a virtue is to be a certain sort of person with a certain complex mindset.*	Hursthouse, R., and Pettigrove, G. (2018). Virtue ethics. In E.N. Zalta (Ed.). The Stanford encyclopedia of philosophy (Winter 2018 Edition). https://plato.stanford.edu/archives/win2018/entries/ethics-virtue/

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14. Abstract

"Factors Affecting Ethical Leadership" shows that the ethical behavior of leaders is the most important factor in shaping an organization's ethical climate. Representatives from ten countries, Canada, Australia, Czech Republic, Finland, Greece, Netherlands, Slovenia, Sweden, United Kingdom and United States of America participated in the research, with six (Canada, Australia, Finland, Netherlands, Sweden and the USA) able to collect data. The goals of RTG HFM-304 included identifying the individual, situational, and organizational variables predictive of ethical leadership, developing a model of ethical leadership, and collating best practice in military ethics education amongst NATO and Partner for Peace (PfP) countries. Findings evidence that ethical leadership is strongly associated with values, in particular with value achievement (e.g., setting high standards and striving for excellence) and person-environment fit. Leaders who have the ability to address an ethical dilemma tend also to be those with high standards, a firm foundation in values (such as helping others and generosity) and belief that their institution shares these values. To engender ethical cultures and attract, train and sustain principled leaders, there is a need for military institutions to emphasize values, reinforce ethical decision-making and promote and value-informed ethical leadership from the beginning.

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