



The Royal Australian Navy
LEADERSHIP ETHIC





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Foreword

The Royal Australian Navy (RAN), alongside the Australian Army and the Royal Australian Air Force, is tasked to defend Australia and its national interests. Our service is framed by our preparedness to bear personal and collective risk, and by our resolve to apply force wherever and whenever this is necessary. For the Navy to fulfill this mission, it is essential that we are operationally capable, and crucial that we are ethically dependable.

The Royal Australian Navy Leadership Ethic is written to challenge the reader to contemplate the ethical obligations of professional service, and presents a *way of thinking about leadership*, rather than any prescriptive way of leading. Reflecting upon principles which fill leadership with a sense of moral seriousness and public purpose, the publication explores ideas which anchor professional naval service to the fundamental beliefs of human value and dignity. By doing this, *The Royal Australian Navy Leadership Ethic* initiates an essential professional conversation.

The RAN has not previously sought to examine and articulate the ethical principles which inspire professional naval leadership. This publication conveys the sense of the moral resilience which the RAN's leaders need in order to address the pressing challenges that we face now and in the years ahead.

This first iteration of *The Royal Australian Navy Leadership Ethic* begins the process of examination and discussion of what is required of all members of the RAN to allow us, by the example of our character, to set the highest ethical standards possible. I encourage all readers of this book to engage in this process and embrace this challenge as their own, so that our Navy can continue to achieve its mission and *serve Australia with pride*.



VICE ADMIRAL Russ Crane, AO, CSM, RAN
Chief of Navy

1 June 2010



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Understanding this Publication

The Royal Australian Navy Leadership Ethic is based upon the premise that for the Navy to contribute to the defence of Australia and its national interests it is necessary not only to maintain an operationally capable force but also an ethically dependable force: **one which abides both by the letter and by the spirit of the laws of armed conflict**. For the Navy to be ethically dependable in this way, it must be ethically led at all levels.

This publication is therefore written to provide the fundamental ethical framework that will inform the leadership ideal aspired to within the RAN, and to underpin the leadership training continuum throughout the careers of all of its members. Although the ideas and thoughts contained within are considered to be logically sound and providing a message consistent with the RAN's values it is published in its current form as a conceptual document to be tested, evaluated, discussed and evolved prior to it being released in its final form as doctrine.

THE AIM OF *THE ROYAL AUSTRALIAN NAVY LEADERSHIP ETHIC*

The Royal Australian Navy Leadership Ethic aims to provide a basis for leadership action founded upon knowledge. In so doing it will also provoke thought and conversation about leadership. The publication outlines the ethical basis of leadership in the profession of arms, and frames a way of thinking about leadership, but does not prescribe any methodology.

THE STRUCTURE AND STYLE OF *THE ROYAL AUSTRALIAN NAVY LEADERSHIP ETHIC*

This publication is not policy and does not have legal standing but offers guidance at a philosophical level on the moral matters and ideas surrounding leadership. The ideas outlined here have relevance to the entire Navy community but are for guidance and are not prescriptive. It does not attempt to set down 'one best way' to lead as leadership is understood as a matter of character, which demands individual moral decision. Leadership can never be the mindless application of popular and simplistic formulas.

Chapter 1 – Leaders of Conscience – argues that conscience is central to the leadership ethic of being which is central to naval culture.

Chapter 2 – Leadership and the Profession of Arms – argues that the profession of arms bears an unlimited moral liability which necessitates the leadership ethic of being.

Chapter 3 – Leadership and the Royal Australian Navy Values – shows how the RAN’s values inform conscience and judgment.

Chapter 4 – Leadership and Followership – discusses the concept and responsibilities of ethical followership as a necessary partner to leadership.

Chapter 5 – Leadership and Command – confirms command as legal authority but contrasts it to the moral authority of leadership.

Chapter 6 – Leadership and Power – discusses the responsibility of leadership to use its associated power to good purpose.

A number of examples are provided throughout the text to enhance and amplify the arguments being made. More comprehensive examples are given after each chapter and two Case Studies are provided at the end of the book which serve as a basis for further thought and discussion of ideas central to *The Royal Australia Navy Leadership Ethic*. A glossary of terms and concepts explores some of these ideas in a little more depth, however the glossary does not confer definitive meaning to all terms. Some terms have complex and contested significance and the glossary does not attempt to resolve this sort of debate but tries to inform it.

The style of this publication is deliberate. Key sentences and ideas are emphasised in bold type. Short paragraphs present ideas concisely. The language used aspires to be careful and precise, but also comprehensible to as broad a range of readers as possible.

Finally, this publication does not deal with all aspects of leadership. Aspiring leaders should also read *Leadership in the Australian Defence Force*, Executive Series Doctrine Publication ADDP 00.6, and pursue further research to enhance their understanding. A list of recommended texts to enable this is in the final section of this publication.





Preface

INTRODUCTION

1. This preface outlines themes and ideas considered by this publication.

LEADERSHIP AND THE PROFESSION OF ARMS

2. **Leadership is** ‘the process of influencing others in order to gain their willing consent in the ethical pursuit of missions’.¹ Leadership influence does not derive from positional power or authority² but from character. Leaders inspire others when they are recognised as ethical people who energise trust and commitment in the pursuit of missions by ethical means. Leaders embody the ideals of the profession of arms.

LEADERSHIP AND COMMAND

3. **Leadership amplifies command.** Leaders bring strength of character to command positions. Leaders model professional ideals, reinforce Navy’s values and enrich positions of command with moral insight.

LEADERSHIP DEMANDS CHARACTER

4. As a matter of character, **leadership is an obligation to be borne by everyone** regardless of rank, social circumstance, religious faith or gender. Separating leadership from concepts of command and the giving of orders, this doctrine emphasises character as the core of leadership.
5. **Leadership by the example of an ethical character is compelling** not coercive. Leadership defined by character and ethical purpose *co-opts*, attracting others to follow willingly in response to shared ideals. A person cannot lead another *unless the other accepts that relationship*.³ For this reason, leadership does not require rank, but it does demand an ethical ambition.
6. **Leadership is not about fear or bullying.** Leadership is a matter of the character, which reflects the honourable foundation of the Australian Navy, which builds *esprit de corps*, and which is the greatest of our virtues.

¹ ADDP 00.6 para. 1.8

² ADDP 00.6 para. 1.4, 1.13, 1.15, 2.1

³ ADDP 00.6 para. 1.20, 1.7 (The ethical dimension)

LEADERSHIP DEMANDS AN ETHICAL EXAMPLE

7. Leadership must be ethically disciplined in order to protect the interests and reputation of the Navy and its people, and ultimately to ensure that Navy people given a mandate by Government to take lives, 'take only certain lives, in certain ways, at certain times and for certain reasons; otherwise service becomes indistinguishable from murder and [military professionals] will find themselves condemned by the very societies they serve'.⁴ **The end, no matter how worthy, never justifies unethical means.** People who demonstrate leadership, demonstrate society's ideals, and act in accord with the laws and moral codes which separate the unethical application of force from the ethical application of force.
8. **All military tasks must be accomplished by ethical means.**

⁴ French, S. (2003) *The Code of the Warrior*, Rowman & Littlefield: Maryland. p. 3 (several sentences combined, syntax altered slightly)





1 CHAPTER ONE LEADERS OF CONSCIENCE

INTRODUCTION

- 1.1 This chapter argues that character is defined by conscience, which is the moral sense of right and wrong, central to the leadership *ethic of being*. Discussion considers the relationship between leadership and Navy culture. The chapter emphasizes that leaders model professional ideals, which demand more than mere technical expertise.
- 1.2 **Leadership is defined** as ‘the process of influencing others in order to gain their willing consent in the ethical pursuit of missions’.¹
- 1.3 Leadership theory typically represents leadership influence along two dimensions: one concerned with interpersonal relations, and a second concerned with task achievement.
- 1.4 Discussion of the leadership process typically identifies three elements:
 - a. the leader - who is seen to influence;
 - b. the team - because leadership is a process of influence along the dimensions of task and relationship, and;
 - c. the task - because leadership is typically examined in terms of the influence and process which drives task accomplishment.²
- 1.5 Typically, such discussion about leadership *implies* much to do with character, but does not explore the idea thoroughly. This chapter takes up the challenge, exploring leadership as a concept which demands character.
- 1.6 Character is a common word - it refers typically to the collective qualities and attributes which define people. The term is used here with specific reference to the moral qualities which distinguish people. Hence, in this publication, character describes a moral constitution or *conscience*.

¹ ADDP 00.6 para. 1.8

² For example, ADDP 00.6 para. 1.17 and Annex A to Chapter 1, particularly para 1 a.

- 1.7 **Conscience is a moral sense of right and wrong.** More robust than the ‘competencies’ of ‘emotional intelligence,’³ conscience is an inner feeling as to the goodness or otherwise of behaviour. Conscience guides behaviour. Conscience is more, however, than an ill-defined self-justified, confidence in the rightness of action or judgment. Conscience draws upon the wider environment in which it operates so, in the Navy, conscience is strengthened by a rational appreciation of Navy values, Navy conventions and expectations and by the ideals of Australian professional service. The rational foundation of conscience is important because leaders must be exemplars of the military profession and inspire others to commit to a just cause.⁴
- 1.8 **Conscience demands ethical *mindfulness* or ethical *awareness*.** Leaders of conscience will always realise what they are doing, and why they are doing it. They will work hard to be ethically responsive and aware and to build an organisation which becomes collectively mindful.⁵ Ethical leadership does not depend upon ‘the quality and substance of (organisational) values,’ but upon the strength of character which interprets and applies values to achieve what’s best and what’s right.⁶
- 1.9 The Navy is defined by values yet guided by rules, because Navy’s leaders are defined by professional mastery, conscience and the courage of their convictions.⁷ Leadership epitomises professional ideals, which reflect practical skill, and demand living and fighting according to honourable principles. A leader of conscience does the ‘right thing’ because it is right – not because it is expected or prescribed or easy.

³ Discussed in ADDP 00.6, Annex B to Chapter 1 and listed as self-awareness, self-regulation, motivation, empathy and social skill.

⁴ ADDP 00.6 para 2.14, 2.16, 2.23: Connecting conscience to professional ideals, the present publication has separated ‘character’ from the trait theory, discussed by ADDP 00.6 at para 1.21, and in Annex C to Chapter One, where the four most important traits are identified as self-confidence, adjustment, drive and cognitive ability. The idea of conscience connects to the moral foundations of professional service, and entails the obligation of leadership to make honourable choices.

⁵ Hopkins (2001) pp. 12, 13, 14, 15: Describes mindfulness as an individual and organisational attribute.

⁶ The emphasis upon conscience is less apparent in ADDP 00.6 para 1.17 under the sub-heading ‘ethical leadership’.

⁷ ADDP 00.6 para 4.14: Discussing the RAAF Adaptive Culture Programme, observes that ‘being values-based’ means that our skill as living and thinking people matters more than a set of arbitrary rules. Values are like expectations...(they) shape our behaviour, they do not rule our behaviour’.

Hopkins (2001) pp. 31-40. Describes the limitations of rules.

CONSCIENCE: AN ETHIC OF BEING

- 1.10 **Conscience defines a leadership *ethic of being*.** In other words, leadership is established on the foundation of ‘character’ and reinforced by Navy values. At Annex A, the Royal Australian Navy leadership framework represents this concept. The framework illustrates ‘being’ or conscience as the core of Navy leadership thinking. Conscience is influenced by the Navy values of HONOUR, HONESTY, COURAGE, INTEGRITY and LOYALTY.
- 1.11 **The ethic of being means** that leadership depends upon trust sustained by the personal example of the leader.⁸ For followers to be committed to the goals and values of the Navy, leaders must be a living example of those same goals and values. Once the leader says, ‘do as I say, not as I do’, trust deteriorates. Along with trust, morale and military effectiveness also diminish.
- 1.12 Navy’s ethic is connected to notions of human dignity, not to ideas of worldly power or authority. The ethic acknowledges that as people we are moral equals, each equally deserving the respect which promotes trust and confidence. This ethic is in tune with Australian society, and internationally recognised humanitarian principles, according to which the profession of arms serves in defence of ideals and human rights, as well as in defence of political territory.
- 1.13 The ethic of being also means that there is **no rigid doctrinal way to lead**.⁹ Time and again ordinary men and women display great moral courage and inspire others by their strength of character. Yet, these lessons in leadership often go unrecognised, because military leadership is not usually associated with ordinary people, or junior rank, or inconspicuous service in positions apart from positions of command.
- 1.14 The example of the people – often men of senior rank – who populate Navy’s history, who accomplished great things and personify successful Navy careers should not be discounted in any way. In fact, this publication cites the example of several such personalities. But this doctrine also observes that these examples should not be misinterpreted to encourage a culture which:
- a. considers leadership as typically masculine;
 - b. associates leadership with achievement, or the reporting of achievement;
 - c. associates leadership with high rank; or
 - d. associates leadership with age or length of service.

⁸ ADDP 00.6 para. 1.23
Warfare Officers’ Career handbook p. 122

⁹ ADDP 00.6 para. 1.23

- 1.15 Leadership is neither masculine, nor feminine. Neither is leadership defined by attainment; countless tyrants achieve remarkable feats and many inspirational leaders - being overwhelmed by circumstances - fail to realise their ambitions. Leadership is not defined by high rank - people of junior rank often display inspirational leadership. Leadership is not related to age. In most cases age brings the benefit of experience, yet leadership is enriched more by the quality than by the quantity of experience.
- 1.16 **Character is the foundation of a leadership culture.** Such a culture recognises that commendable personal example generates trust and commitment, rather than compliance and submission. Such a culture appreciates leadership as the ethical expression of 'power with,' rather than 'power over,' and fosters mutually respectful partnerships, united in the ethical pursuit of missions.

LEADERSHIP: A CRUCIAL INFLUENCE ON NAVY CULTURE

- 1.17 **Leadership is a vital influence upon Navy culture,** which is understood as the shared values, beliefs, norms and expectations that guide people in how they approach their service and interact with each other.
- 1.18 As a central element of Navy culture, leadership should develop the character of others. Promoting confidence and self-respect alongside technical competence and procedural expertise, leadership fosters professional pride. In this way, leadership inspires commitment to the obligations and ideals which bind people of all ranks in the Navy.
- 1.19 Leaders demonstrate and encourage courtesy, kindness and tact. By considerate example, leaders foster in others self-respect, dignity and reliability, all of which bring credit to the Navy and to individuals. This does not mean leadership is weak or that leaders seek popularity. **Leaders will never compromise on values, and they will hold others accountable.** Leaders will not allow faults to remain uncorrected. However, correction will be sincere, fair and considerate: aware of the difference between honest mistake and incompetence, between error and malice.
- 1.20 **Leaders inspire commitment by reference to values and ideals,** rather than to rules or technical manuals. Leaders respect, acknowledge and encourage others who make decisions, and sacrifice self-interest, for nothing more than private satisfaction of doing the right thing.

CONCLUSION

- 1.21 The ethic of being means that there is **no rigid doctrinal way to lead**. As a matter of conscience, leadership is not defined by prescriptive patterns of behaviour, but inspired by the professional ethos apparent in the Navy values.
- 1.22 As a matter of conscience, leadership demands more than practical skill and encompasses living, working and fighting according to honourable principles. Such leadership precludes the malicious or vindictive employment of military force and ensures that the Navy is not a brute force – but a force for good.¹⁰
- 1.23 **The moral core of leadership is a crucial element of Navy culture.** Alongside technical competence and procedural expertise, leadership enriches the character of others. Ethical purpose distinguishes leadership; it brings out the best in people and embodies the shared ideals that bind people of all ranks in the Navy.

¹⁰ ADDP 00.6 para 2.14 citing ADDP-D.4 and arguing that 'leadership is about influence rather than compulsion, the end result being a willingness to take up arms for a just cause'. Pender (2002) p. 19 citing Barrie ADML (2002) 'our Defence Force must always act as a force for good'.

THE ETHIC OF BEING: LEADERSHIP WHICH BUILDS TRUST, RESPECT AND COMMITMENT

Even in war, leadership demands more than practical skill and encompasses living, working and fighting according to honourable principles.

The Australian Army had three ‘fragging’ incidents in Vietnam – one was actually a shooting. ‘Fragging’ was the term given to the murder of a fellow soldier, usually an officer or NCO. The term derived from use of the M26 fragmentation grenade which was the preferred murder weapon since it left little evidence of who had thrown it once it exploded. Eventually, all murders of fellow soldiers tended to be called ‘fraggings’ even if a grenade had not been the murder weapon.

Lieutenant Robert Convery of 9RAR was murdered by one of his soldiers about three days before 9RAR was due to return to Australia. The 8RAR advance guard had arrived at Nui Dat and, preparing to relieve 9RAR, was sharing 9RAR’s accommodation. An 8RAR officer was sharing Convery’s tent on the night of the murder.

The next morning the soldier who had murdered Convery confessed and gave a statement. In his statement he said that he murdered Convery because Convery’s leadership had been inconsistent. Convery had charged him for drinking alcohol in the tent lines but had himself held grog parties in his own tent. It seems amazing that such a trivial issue could result in one man’s death and the destruction of another’s moral core.

The incident illustrates the powerful truth in the chapter you have just read, ‘leadership depends upon trust sustained by the personal example of the leader...once the leader says “do as I say, not as I do”, trust deteriorates (and) along with trust, morale and military effectiveness also diminish’.

An equally powerful illustration of this maxim is in the number of ‘messages’ sent by soldiers to their commanders in Vietnam.

Many of these messages took the form of threats. The simplest ‘message’ was to leave a grenade pin in the NCO’s or officer’s bed – or drop it in his boot. Sometimes whole grenades were used – with the safety pin in them. Sometimes much more elaborate arrangements were made. The implication, of course, is that if the target of these messages did not change his ways, a live grenade may be used next time.

Sometimes these 'messages' came with a note that pointed out the officer's particular shortcomings. One 8RAR platoon commander received a grenade pin 'message' with a note reading, 'Go easy. We're not in Australia now'.

These incidents illuminate the importance of ethical example, and the great significance of the leadership 'ethic of being' which is connected to character - not to worldly power or authority. Leaders acknowledge other people as moral equals, equally deserving of the respect which promotes trust and confidence.

These incidents also point to the fallacy of assuming that in time of war or crisis, 'anything goes,' that 'when the heat is on the leader can do anything'. These incidents point to the fact that Australians do not put up with hypocrisy or abuse - in time of war or in time of peace.

Dr. Bob Hall

1968 graduate of RMC and platoon commander with 8RAR in Vietnam.
Queen Elizabeth II Fellow at ADFA.



CHAPTER TWO

2 LEADERSHIP AND THE PROFESSION OF ARMS

INTRODUCTION

- 2.1. This chapter explores the profession of arms, which bears an *unlimited moral liability*, which allows leadership no room to be ethically passive.
- 2.2. **Leadership should exemplify professionalism in arms.** Besides technical mastery, professionalism demands integrity and moral courage, and a commitment to honourable ideals. Therefore, more than technical proficiency, leadership depends upon conscience or moral constitution, and derives from something other than badges or rank. A person may be clever, competent and hard working, but without conscience there is no foundation for trust, which inspires commitment.¹
- 2.3. **Leaders need the strength of character to abide by their conscience.** The nation deserves leaders who strive to live selflessly, honourably and with complete integrity. The nation does not expect perfection, but it does expect moral aspiration. The nation entrusts its young men and women to the armed services in the knowledge that some of them may be required to kill others, or be killed, in defence of our nation. As such, the nation is entitled to demand military leaders who recognise ethical ideals, who resolve to follow a true moral compass, and who accept responsibility for their actions. Anything less cheapens the moral investment of our sailors, soldiers and airmen,² and undermines the special trust bestowed upon the Services by the nation.
- 2.4. Leadership should epitomise professional ideals of which the nation can be proud. Bluntly, **‘the bad person cannot be a good sailor, soldier, or airman’**.³ Bad people have no place in Australia’s armed forces.

¹ ADDP 00.6 para. 1.15, 1.23

² Walzer (2000) p. 39

³ Hackett, (1988) p. 523
 cited by Pfaff, (2005) p. 153
 cited by Wakin (1979) pp. 124-5

THE PROFESSION OF ARMS

- 2.5. **Military service is a profession.** Men and women in the armed forces are professional people. The concept of professionalism is important. Alongside technical knowledge, specific skill and special responsibilities to society, professionalism is defined by self-regulation based upon conscience.⁴ Military professionals must hold themselves accountable to the highest ideals of society.⁵
- 2.6. **The military profession bears an unlimited moral liability,** which allows no room for ethical passivity. Professional service entails constant ethical challenge, particularly with regard to human life. Military professionals must be diligent, ensuring that military tasks are pursued by ethical means and by ethical people. Ethical intent and prudence distinguish professional military leaders, and set professional military service apart from barbarism. For the military profession, *the 'ends' can never justify unethical 'means'*.⁶
- 2.7. **The unlimited liability** distinguishes the profession of arms within society. Professional service personnel are unlike mercenaries or 'hired assassins,' because they bear an unlimited moral liability on the behalf of the nation, and whilst they 'will always be citizens, so long as they serve, (and bear the burden of this liability on the behalf of their nation), they will never be civilians'.⁷

⁴ Hackett, 1962, p. 63

Calvert, 1971

Huntington, 1981

Pender (2002) p.9

ADDP 00.6 para 2.31

⁵ ADDP 00.6 para 2.34

⁶ Hackett (1962) p. 63

ADDP 00.6 para 2.4

⁷ Hackett, (1962) p. 63

Keegan (1993) p. xvi.

THE PROFESSION OF ARMS BEARS AN UNLIMITED MORAL LIABILITY: THE MORAL DEBACLE OF ABU GHRAIB

Abuse of prisoners in Abu Ghraib has been described as a 'moral debacle'.⁸ Yet, because Australians were not involved, we risk dismissing these events as irrelevant; 'no Australian would ever do that'.

The illustration of Abu Ghraib provides significant cause for reflection.

Ethical mistakes were committed by our allies, by military personnel committed to the same cause and mission as the Australian Defence Force.

Together, allied forces represented the ideals of civilised western democracies. These ideals were let down by an ethical lapse.

Whenever the ADF is engaged in operations as a coalition partner, we must remember that each partner is vulnerable to the ethical mistakes of another.

We must remember that allied personnel can be taken prisoner. Were this the case, we would expect and demand fair treatment from our adversary. Yet, when we cannot hold ourselves up as an example of how to treat people with dignity and consideration, we are not in a position to expect our adversary to behave differently.

We must respect the moral perspective of those who serve as our adversaries. They are committed to a cause which they see as just, in exactly the same way that we fight for the ethical accomplishment of missions.

Political or ideological difference does not represent an excuse for us to forget obligations as ethical people. Once we have lost moral authority, we have lost the moral confidence which is essential for nations to build peace after conflict. This is not an obligation which is attached solely to higher command or to senior leaders. The obligations of ethical example and leadership attach to all professional service personnel.

⁸ Snider, D. (2005) p. 151

PROFESSIONAL LEADERSHIP

- 2.8. **In the Navy, leadership is a professional concept** which demands people act in good conscience and do what they believe to be right. This does not mean inconsistent or erratic action in accord with preference or convenience. But it does mean acting as characters of integrity, with moral courage and in accord with the highest ideals of the profession.
- 2.9. To lead in this purposefully ethical way is challenging because **the moral aspect of military service is paradoxical**. Whereas technical competence is cut and dried, moral elements of the profession are not so clearly defined. Yet, ‘almost every facet of every operation involving the ADF is the subject of debate and dissent and scrutiny on moral and ethical grounds...’⁹
- 2.10. Mindful of the enquiring minds and sophisticated understanding which so many people bring to their service in the 21st. Century, those who lead need to embody honourable ideals. They need to **act in good conscience always**, to disown and dismantle anything which is unethical. They need to generate such confidence by their personal example that people commit to the ethical accomplishment of missions,¹⁰ even when risk or hardship is prominent, when liability is demonstrably *unlimited*.
- 2.11. **At all levels, those who lead need to realise what they are doing, and accept responsibility for their actions.**¹¹ Leaders should never be complacent cogs in the bureaucratic machine. Leaders should not follow orders and routines in an unthinking way. Thoughtless obedience is ethically passive and not compatible with leadership. Leadership demands people stand up to be counted as ethical people rather than avoid responsibility or blaming others. Leadership demands people act in good conscience, with proper regard for rules, regulations and established conventions and with equal respect for the consequences of their actions and judgements.

⁹ Frame (2004) p. 1

¹⁰ ADDP 00.6 para 1.8

¹¹ ADDP 00.6 para 3.25

- 2.12. Conscience is an engine of moral authenticity or genuineness, enabling professional decisions from the basis of integrity. Yet, no decision can be the selfish concern of any one person. Conscience is essential, but it is not the only part of acting ethically. Rules, customs, conventions and the consequences of actions and decisions must also play their part. But again, no one of these elements has precedence over another - rules are never applied in an unthinking way. Rules are applied with rationality. Equally, the concerns of others are significant not dominant. Ethical decisions balance competing concerns. Hence, ethical decisions demand strength of will - the ability to stick to a right course in the face of personal hardship or unpleasantness.¹²

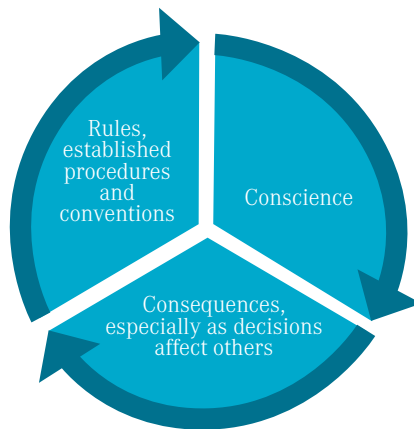


Figure 1. This diagram represents the indispensable part of conscience in the ethical decisions of leaders.

¹² Peters, R.S. (1974) pp. 541-567 particularly at p.555

PROFESSIONAL CODES

- 2.13. **In the profession of arms, service at peace and in war is informed by values and ideals.** Some of these concepts are codified within formal bodies of professional doctrine, ethics and by the international and domestic laws which relate to the responsible exercise of military force. Other principles are part of the cultural fabric of the profession, they are implied, and inherited as conventional and customary elements within an honourable tradition.¹³
- 2.14. **The Geneva Convention, and the Additional Protocols to the Convention, exert a particularly significant influence** on our notions of professionalism. The Australian Parliament has recognised the Convention, which recalls centuries-old ideas of just war,¹⁴ giving life to an ideology which sought to govern war by ‘the laws of humanity and the dictates of the public conscience’.¹⁵
- 2.15. The Convention formalises concepts of professionalism based on military honour codes. These codes differ between cultures, but they exist in all cultures and are among the oldest artefacts of human morality. **Military honour codes define the ‘moral etiquette by which warriors judge themselves to be worthy of mutual respect,’** and acknowledge the paradox that those who fight each other bravely will be united by mutual respect and perhaps joined in death.¹⁶
- 2.16. The Geneva Convention is crucial within a larger system of international law, convention and treaty. **This system is acknowledged in Australian Military Doctrine,** which addresses rules of engagement and the law of armed conflict.¹⁷
- 2.17. Military doctrine, international conventions, treaties and commitments which articulate aspirations of fair combat clarify the explicit ideals of military professionalism. These principles may be honoured as often in the breach as in the observance, but without a sense of professionalism, war is not war – it is slaughter. **There must be morality to war, precisely because war is devastating.** Without an ethic, and without ethically mindful leadership, war is indiscriminate violence.

¹³ Walzer (2000) pp. 44-45

¹⁴ ADDP 00.6 para 2.35

¹⁵ Ignatieff, M. (1997) p. 116 citing the Hague Convention 1907

¹⁶ Ignatieff, M. (1997) p. 117

¹⁷ ADDP 6.4, and 6.1

ADDP 00.6 para 2.35

- 2.18. Explicit law, doctrine and conventions are complemented by the general consistent practice among nations known as **customary international law**. Customary international law informs the profession of arms and applies universally, though some nations refuse to be bound. The informal concept of customary international law, which is the principal source of international law, illustrates the influence and significance of the many unofficial principles which shape the cultural fabric of the profession of arms. Though implied, customary codes exert a powerful effect, and inform our sense of 'honour'.
- 2.19. As a Navy value, **honour guides our actions in a way explicit rules cannot; it shapes our conscience and determines our notions of pride, self-respect and shame.**
- 2.20. In this sense, honour is not a 'suspect,' professional virtue inspiring militarism¹⁸ but a moral ideal. It is a mark of moral ideals that people of good character act not only in accordance with them but also for the sake of them: the just person does just things *because they are just*.¹⁹

LEADERS PERSONIFY PROFESSIONAL IDEALS

- 2.21. Recalling that professionalism is defined by a moral element, and by self-regulation based upon conscience, **leaders promote professionalism by reference to values and ideals not to rules or technical manuals** alone.
- 2.22. **Leaders interpret and apply rules in the most ethical way**, rather than in an unthinking way, because they recognise that members of a profession derive satisfaction when they are trusted to make moral choices 'in good conscience'. Leaders respect that professionals make decisions, and even sacrifice self-interest, for nothing more than private moral dignity.

¹⁸ Osiel, M. (2002). p. 14

¹⁹ Lackey, D.P. (1989) p. 65

CONCLUSION

- 2.23. **In the Navy, leadership is a professional concept.** This means that leadership demands honourable example, which epitomises the profession as a force for good, serving in defence of the nation and the nation's ideals.
- 2.24. **Leaders need the strength of character** to abide by their conscience, to live selflessly, honourably and with integrity. The nation deserves leaders who recognise ethical ideals, who resolve to follow a true moral compass, and who accept responsibility for their actions.
- 2.25. **Leaders bear the burden of unlimited moral liability.** This demands ethical diligence, because military tasks should be undertaken for just reason, and by ethical means.

NO STANDARD ANSWERS. HMAS WARRAMUNGA AND SIEV 3

In 2001 HMAS *Warramunga* was on a south-east Asian deployment, her first since commissioning. Leaving Vietnam and *en route* to Singapore for Exercise *Bersama Lima*, the ship was diverted to Ashmore Reef off Northern Australia in response to events involving MV *Tampa* off Christmas Island.

Whilst the *Tampa* incident (*see glossary*) unfolded, *Warramunga* was directed to board SIEVs, turn them around and set them on a return course to Indonesia. Preparatory to this mission, the ship made a four hour logistics visit to Singapore, arriving off Ashmore Reef a few days later.

Focussing on the mission at hand, the ship worked through a range of “what-if” scenarios and Rules of Engagement issues. Throughout this planning, the Command was very mindful that *Warramunga* had no helicopter embarked and that the ship had not received boarding training as part of the basic mission readiness evaluation in June/July.

Nevertheless, the ship focused on the task at hand. Two boarding party trainers were embarked from Sea Training Group, and an effective operational plan was established.

Upon intercepting SIEV 1, *Warramunga* realised the waters of the task were not merely uncharted – they were very confronting. Following three attempts to turn SIEV 1, the boarding party overcame a riot onboard and eventually managed to transfer people from SIEV 1 to *Manoora*, where they joined illegal immigrants embarked earlier from MV *Tampa* en route to Nauru.

Warramunga reflected upon the lessons of this experience. Command observed the nature of the SIEV, the vulnerable and upsetting nature of the human cargo, and the inexpert quality of the crew. These factors were weighed and built into operational planning.

On the 9 Sep 01, now with HMAS *Newcastle* also in area, *Warramunga* detected SIEV 3 north west of Ashmore. SIEV 3 was tracked covertly as it entered the contiguous zone. (*see glossary*)

SIEV 3 was carrying over 154 illegal immigrants. She was a sizeable vessel with very high freeboard. *Warramunga* boarded as the SIEV crossed into the contiguous zone. After boarding, SIEV 3 was steered towards Indonesia before the boarding party disembarked. After release, *Warramunga* tracked SIEV 3 as she missed Ashmore Island to the west. *Warramunga* was unsurprised to observe the SIEV appeared lost. This opinion was underlined by the facts that during the boarding no navigation

equipment had been observed, and the crew had appeared clearly to be inexperienced and untrained.

As *Warramunga* observed SIEV 3, lessons learned from SIEV 1 were recalled, and “what if” scenarios were considered. The safety of life at sea (SOLAS) emerged as the most significant likely concern - apprehension being amplified by understanding that SIEV 3 carried no lifejackets, and that at least 50 small children were among those onboard.

Warramunga determined the most prudent course of action was to send a boat alongside SIEV 3 and pass her a rough chart indicating their present position, and showing where Indonesia lay.

Rather than laying a course for Indonesia, SIEV 3 turned towards Ashmore. When again she entered the contiguous zone she was re-boarded. In accord with tasking an attempt was made to turn her north, toward Indonesia.

Predictably, a riot erupted as SIEV 3 turned north. Without the benefit of a security team, and unable to retain control, *Warramunga’s* boarding party was evacuated for safety reasons.

By this time SIEV 3 was south of Ashmore. Despite warning of the dangers of the reef which lay on the southern shore, the SIEV ignored all advice and turned north. As darkness fell, SIEV 3 was headed for the dangerous southern shore of Ashmore Island.

Despite the very dark night and the ineptitude of her crew, SIEV 3 persisted in disobeying instruction from *Warramunga*, where the central concern was for SOLAS.

Warramunga’s boats, with the XO embarked, were in the water. The boats were carrying lifejackets and following the SIEV closely. Observations from the boats revealed considerable discord onboard SIEV 3, where the leadership element was seen to be inconsistent and volatile.

Onboard *Warramunga*, scenarios were played out and courses of action formulated. SOLAS remained the single greatest priority, the erratic uncooperative behaviour of SIEV 3, and the vulnerable condition of those embarked, remained the single largest concern.

Planning potential courses of action, *Warramunga* was mindful that the Rules of Engagement did not allow for illegal immigrants to be embarked onboard a warship, or for such people to be disembarked by force. Cognisant of her mission to turn the SIEV toward Indonesia - which was the point of embarkation, the ship observed additionally that the high freeboard of SIEV 3 presented a significant obstacle to reboarding in anything other than a benign situation. Accounting for the riots which

had earlier overwhelmed our boarding parties, this factor weighed heavily against any further attempt to reboard.

Surf hitting the reefs of Ashmore was now clearly visible on *Warramunga's* radar and the sound of surf could be heard onboard. *Newcastle*, north of the Island, launched her helicopter. *Warramunga's* boats continued to warn SIEV 3 of imminent danger.

Heading north at six knots, SIEV 3 refused to stop.

CO *Warramunga* made request ashore to take the illegal immigrants onboard, as command, including the XO who remained with the boats, thought this was the only way to avert disaster. The request was forwarded up the chain, but no reply had yet been received.

Sensing imminent tragedy, and without authority, CO *Warramunga* offered to take the illegal immigrants onboard- if and only if they would stop. The XO, from the boats, passed the message with increasing urgency. SIEV 3 maintained course and speed - principally due to the fact that *Warramunga* was not trusted. *Warramunga* prepared for a SOLAS situation.

SIEV 3 finally agreed to *Warramunga's* offer and stopped.

Warramunga informed shore command of events and received direction to take only half of the illegal immigrants onboard.

The CO did not feel however, given the circumstances with which *Warramunga* was confronted, that conformity with this direction was sensible or ethically prudent. In consequence, all of the illegal immigrants were taken onboard.

By this course of action, an humanitarian catastrophe was avoided by only six cables. Around 100 adults and 50 children were safe. The entire incident had lasted 54 hours.

Reflecting upon this incident I recall a 'whole crew' effort - the XO and the entire team saved these lives and they should be justly proud of their efforts.

I think the incident illustrates how our sense of duty, our readiness to accomplish missions and follow directions and our conscience are in a complex web. We need the courage to make decisions which will likely have very significant consequences. In positions of leadership, we must face the fact that there are no 'staff answers'. The only certain thing is the importance of acting with integrity and in good conscience. I think our nation, our people, and our senior leaders expect this.

R.T. Menhinick
Commodore, RAN.



CHAPTER THREE

3 LEADERSHIP AND THE ROYAL AUSTRALIAN NAVY VALUES

INTRODUCTION

- 3.1. This chapter explains Navy values, which are modelled in the example of good leadership. The values inform conscience and judgement, enabling the ethical interpretation and application of rules, and a moral course in the absence of rules.
- 3.2. **A value is a principle, idea or standard which is held to be significant.** To accept a value is to allow for it in decision-making.
- 3.3. **Values regulate our conscience**, which is a moral sense of right and wrong central to the leadership ethic of being. Through our conscience, we interpret rules and find our moral compass in the absence of rules. Behaviour reflects our interpretation of values.¹
- 3.4. **Values should be interpreted in a disciplined way.** Acknowledging that values are ultimately a matter of individual judgement does not open the door to careless or inconsistent thinking. Navy values should be interpreted within the fabric of the Navy.

NAVY VALUES

- 3.5. The Navy recognises and exemplifies the moral principles and ideas which are highly regarded within society.² Five values the Navy holds to be equally crucial are:

1. HONOUR

Honour is the fundamental value on which the Navy's and each person's reputation depends. Honour reflects our moral and ethical standards. It demands strength of will, and inspires physical effort and selfless service. Honour guides our actions in a way explicit rules cannot; it shapes our conscience and determines our notions of pride, self-respect and shame.

¹ ADDP 00.6 para 2.36: A reliance on rules collapses when rules do not extend to the situation.

² ADDP 00.6 para 2.34

Our sense of honour is framed by inherited traditions. Our honourable tradition is a living tradition, an appreciation of the countless unspecified virtues which have relevance in our Navy.

Persistent ideas of right and wrong inherited from our forebears give stability and coherence to our moral lives – and to our military lives.³ These principles enrich the Navy in ways which are beyond ‘regulations and (the) drill book’.⁴

Ideas of right and wrong shape the way the Navy engages with society, the international community, and our adversary. Our sense of honour enables the Navy to face the world with moral confidence, across the entire spectrum of operations. Hence, it would be ‘a violation of our own values for us to engage in a war with no rules,’⁵ even in the face of a callous adversary.

Our sense of honour helps us identify ‘the proper course,’ when regulations or laws offer uncertain guidance. To contravene the professional honour code is shameful.

2. INTEGRITY

Integrity is being committed to always doing what is right, no matter what the consequences. Integrity is unforgiving: if it’s not right, don’t do it - if it’s not true, don’t say it. Our integrity defines our moral power and underpins our fighting spirit. As people of integrity we confront and overcome wrong, regardless of personal cost.

The sense of integrity is total responsibility and absolute accountability for our every judgement, decision and action. A person of integrity maintains unconditional commitment to moral principle and obligation.

Unless principled men and women distinguish the Navy, the Navy will amount to nothing.

3. COURAGE

Courage is the strength of character to do what is right in the face of adversity. Courage demands unrelenting obedience to moral principles. Courage drives responsibility, loyalty and personal example. No amount of education or experience can overcome a deficiency of courage.

Courage is understood easily as physical ability to disregard fear, to demonstrate physical bravery, and to endure danger, physical discomfort or pain.

³ Walzer, (2000) p. 16

⁴ Clausewitz, (1832, 1982), pp. 257-258

⁵ French, (2003) pp. 233, 234

Yet, the foundation of courage is moral, because thought drives action and the assumption of responsibility. Without moral courage you cannot lead.

Moral courage describes the strength to do the right thing, because it is right. The rewards of moral courage are resolution and self-possession. Moral courage inspires people to accept responsibility, and to act against injustice or wrong-doing, regardless of the personal cost.

4. HONESTY

Honesty is always being true to ourselves, our shipmates and our colleagues. Honesty demands we face our shortcomings. We must be open and upfront with each other and ourselves. Honesty drives personal and professional growth. A lack of honesty hinders improvement, allows incompetence to be swept under the carpet and encourages failings to be ignored. Honesty enables us to serve with a clear conscience, sincerity and selflessness.

Honesty is crucial to leadership. Leaders should never be on guard against the truth. Leaders should call for dissenting opinion and they should preserve and protect those who have the courage and integrity to offer alternative views.

5. LOYALTY

Loyalty is being committed to our duty of service to Australia and to each other. Loyalty is a reciprocal obligation of our shared and mutual commitments to each other and to the nation. It requires we acknowledge commendable effort and that we accept responsibility and accountability for our actions and for those of our subordinates.

Loyalty points to virtues of faithfulness and commitment in the face of adversity and danger. Determination and resilience underline loyalty, which must never be allowed to become blind or misplaced.

- 3.6. The Navy values reflect an ethical and cultural position, which is not based on a definitive standard. People are entitled and expected to interpret values for themselves, and in accord with the situation in which they find themselves. People who strive to do their best, and to act in accord with the best traditions of the Navy and the nation will usually do the right thing in even the most challenging and ambiguous situations.
- 3.7. The Navy values are not absolute. They are explained, but their **meaning is not confined by single-paragraph descriptions.**

- 3.8. **The Navy values should be interpreted and applied on the basis of good conscience** and with good purpose, not irrationally and not aimlessly.⁶ Reasoned descriptions are offered to guide but not confine the interpretation of principles, which are crucial to professional service life where ‘there is no real golden rule for knowing what ought to be done’.⁷
- 3.9. **The Navy values are authoritative, not prescriptive.** Other values inherited from our cultural and societal backgrounds, and not specifically identified, are vital and implied. We should not forget for example, the values of compassion, humility and good humour – to name a few. These values point to the myriad qualities which characterise professional service.⁸
- 3.10. **The Navy signature behaviours give expression to the Navy values.** The signature behaviours describe action in accord with the Navy values and ethos. The signature behaviours do not describe every form of action which is right, but they offer authoritative guidance. While we recognise and accept a broad range of human behaviour, significant deviation from the main line of advance is unlikely to be constructive. The signature behaviours acknowledge that we develop conscience and good character by practicing virtuous behaviour until virtuous behaviour becomes habit.

NAVY VALUES AND THE MORAL FOUNDATION OF SERVICE

- 3.11. Navy values underpin the moral basis of naval service. They pinpoint principles which enrich Navy life – and apply equally in peace as in times of crisis and conflict.
- 3.12. The Navy values articulate ideals held in common by Navy people. In committing to shared ideals we acknowledge the moral equality of the Navy. In the Navy community we are all the same, each committed to serve in good conscience, each giving of ourselves in the service of *our* nation.

NAVY VALUES AND FIGHTING POWER

- 3.13. **Conscience is crucial as the moral core of fighting power.** Besides the physical means and technical proficiency to fight, conscience inspires the ‘will to fight’. Hence, conscience is all-important – because people should commit only to causes and actions which they know in good faith to be right.

⁶ Thus we confront the danger identified by ADDP 00.6 para 5.9, 5.12, 2.40 when values mutate in an unconstructive way, and take on meaning particular to a group.

⁷ ADDP 00.6 para 5.11

⁸ ADDP 00.6 para. 1.17, 1.18 takes a slightly harder line.

- 3.14. **Moral confidence sustains physical stamina** in times of ambiguity and stress. A sense of just cause and worthy purpose is crucial to morale – especially when the Navy’s people often endure physical and emotional hardship and risk.
- 3.15. **Leadership founded upon good conscience fosters the basis for confident followership.** Ethical leadership, which drives courage, resilience and endurance, inspires action in circumstances where moral liability may be unlimited.
- 3.16. **Our Navy values complement the attributes of conscience** that inspire leaders to make sound decisions despite the pressures of fear, confusion and danger.
- 3.17. **Leaders inspire commitment** to the ethical accomplishment of missions. Moreover, leaders should have a mind to the ‘just peace’ after operations.

CONSCIENCE: INITIATIVE, DECISION MAKING

- 3.18. **Navy people, regardless of rank, are expected to demonstrate initiative** and to be accountable for the ethical attainment of the commander’s intent. There is no excuse for ethical laziness. The leadership principle ‘seek and accept responsibility’ respects this logic.
- 3.19. Hence, **judgment, resolution and confidence are qualities of leadership at all levels.** Alert to the Navy values, leaders need to:
 - a. plan carefully,
 - b. understand calculated risk,
 - c. make sound and timely decisions, and
 - d. accept responsibility for their decisions.
- 3.20. **Leaders must be level headed, acting with physical and moral courage, not foolhardiness.** Timely decisions will be informed by the Navy values, and by professional understanding and perspective. The accumulation of experience over the course of a career enables leaders to act with speed and conviction when the moment is right.

- 3.21. **Leaders should demonstrate tolerance for mistakes**, and learn from mistakes. Leaders will correct faults at all times and they will not tolerate negligence, or idleness. Leaders should respond to regrettable lapses with consideration and justice, with regard for the best interests of the nation and the Navy. Tolerance for honest mistakes will help encourage initiative and foster a just culture which manages risk in the pursuit of achievement. Risk aversion stems from anxiety and a lack of tolerance.

KNOW YOURSELF AND SEEK SELF-IMPROVEMENT

- 3.22. The leadership principle ‘**know yourself and seek self-improvement**’ cannot be underestimated. The ethic is one of *being*, which demands development of conscience informed by values. Leaders must develop themselves before they can lead others. Leaders must approach their leadership with humility, listening to others and learning first, leading next.

- 3.23. **Developing conscience and character is a lifelong pursuit, and crucial to leadership.** The view of General Sir John Hackett, that no bad person can be a good sailor, soldier, or airman is supported by the argument of Lord Moran:

Fortitude in war has its roots in morality... war itself is but one more test – the supreme and final test if you will – of character.... **A man of character in peace becomes a man of courage in war.** He cannot be selfish in peace yet be unselfish in war. **Character as Aristotle taught is a habit, the daily choice of right instead of wrong;** it is a moral quality which grows to maturity in peace and is not suddenly developed on the outbreak of war. For war, in spite of much that we have heard to the contrary, has no power to transform, it merely exaggerates the good and evil that is in us, till it is plain for all to read; it cannot change, it exposes. **Man’s fate in battle is worked out before war begins. For his acts in war are dictated not by courage, nor by fear, but by conscience, of which war is the final test.** The man whose quick conscious is the secret of his success in battle has the same clear cut feelings about right and wrong before war makes them obvious to all. **If you know a man in peace, you know him in war.**⁹

⁹ Moran, (1966) pp. 159-60. Emphasis added. Moran was a medical officer in WW I and physician to Winston Churchill during WW II.

MORAL AUTHORITY AND MORAL COMPLEXITY

- 3.24. **Navy values are worthy and important**, but they must be interpreted with rationality and applied with thoughtfulness. Any assumption that the Navy has a mortgage on 'what's right' would be false, and nothing but moral conceit.
- 3.25. **Every individual and every society has a view on morality**. There is no independent objective standard by which any act or opinion can be judged as right or wrong. That which is acceptable for one individual in one particular culture may be improper in other circumstances. Perceptions of right and wrong differ.
- 3.26. **The Australian Navy's approach to all military tasks** is distinguished by integrity, compassion, resolve, and by determination to do what's best and what's right. The moral complexity, which follows social, cultural, political and ideological difference, does not represent an excuse for us to forget our obligations as ethical people, even amidst the turmoil of conflict or disaster.¹⁰

CONCLUSION

- 3.27. **Leadership in the Australian Navy should exemplify a well-developed ethical framework**, because force must be applied or threatened in an ethical fashion, in accordance with the ideals of the Australian nation.

¹⁰ Walzer, (2000) pp. 34, 36

WHAT'S BEST AND WHAT'S RIGHT: THE TAMPA AFFAIR

In 2001, HMAS *Manoora* embarked 438 asylum seekers comprising single men and families of various ages including children. Rescued originally by MV *Tampa*, the unauthorised arrivals (UAs) were dehydrated, malnourished and desperate.

The Government directed the UAs be landed at Nauru.

Using hand held compasses during transit to Nauru, the UAs realised they were not going to Broome or Darwin as expected. As tempers frayed they threatened riot. Within the mess deck where they were contained, the UAs tore away bunk supports to improvise weapons.

After a two week stand-off, and following the unrelated escalation of broader strategic circumstances, the ship was directed to follow-on tasking. Force was authorised to clear the ship of UAs.

The ethical challenge of using force to disembark unarmed civilians, taken on board in response to Government direction and following a maritime rescue was only one test in a complex and morally ambiguous episode.

This event illustrates how, in an ethical dilemma, no answer is obviously 'right'. Significantly, the *Tampa* affair illustrates how important it is to act always with integrity, compassion and with determination to do what you believe to be best. The event underlines how important it is for leaders to act deliberately, to realise what they are doing and to act in such a way that they will have no difficulty accepting responsibility for their decisions and actions.

Several lessons might be learned from reflection upon the complexity of this event, where careful and deliberate thought and planning was the basis for ethical action in difficult circumstances.

Tasking to embark UAs from MV *Tampa*: Tasking to take UAs onboard in the weeks following their rescue by MV *Tampa* was unexpected, and surrounded by political controversy. The first step was to acquire from the command team and specialists (Doctor / Flight CMDR) the state of the ship for embarking UAs, including extra logistic stores, medical staff and stores, humanitarian stores, Government, AFP and NGO representatives, an Army security detachment, interpreters and a military lawyer. Heads of Department were briefed, so as they had an accurate picture. Daily and sometimes twice daily Ops Briefs were initiated - along with concise but detailed planning meetings. Planning meetings focused on specific issues - where would the

UAs be accommodated? What DC and security measures were required? Watchbills were worked out with care – only well-adjusted people whose duties required direct access to the UAs were to have contact with the UAs (medics, security personnel for example). Watchbill planning accounted for inexperienced or insensitive personnel who may inadvertently disrupt the ship's mission. These people were employed away from the UAs. Attention was given to formal records of the operation – both paper and video. Ship's company were briefed not to take photographs or video footage – as this has an impact upon the status of refugee applications.

Uncertainty: There was no evident course ahead, the tasking was unexpected, and the end-state was unknown. The Ship's Company had an acknowledged right to be informed, so daily briefings were established. These were honest – there were never false promises. The importance of the mission was underlined, and so was the importance of constructive attitude – this was an uncertain situation and leadership had a profound influence upon morale.

The right of the UAs to be properly informed about the events and decisions which affected their aspirations and future was also recognised. No false promises were made, and neither was poor news kept a secret from them. Everything which might be passed on was passed on.

Security and Safety: Issues of security and safety were obvious. The ship posted security sentries, and affirmed the right of the sentries to defend themselves, their shipmates and the ship. The means by which this might be accomplished were considered and, where possible, practiced. For example, physical holding techniques were trained and rehearsed. The ROE for the application of force were constantly reviewed, and security personnel were briefed and rebriefed regarding the scope for the use of force.

Disembarking UAs: Whilst some UAs left the ship voluntarily, there were those who refused to be landed in Nauru. Their reluctance was not unforeseen. Hence, careful plans were worked out before the command team and Ship's company were briefed regarding the need to disembark the UAs and regarding the appropriate use of force. Plans were rehearsed so everyone had a clear understanding of expectations. Worst case scenarios were considered, and plans were built and rehearsed.

Mr. Jamie Cullens

The Centre for Defence Leadership and Ethics.



4 CHAPTER FOUR LEADERSHIP AND FOLLOWERSHIP

INTRODUCTION

- 4.1. This chapter explains leadership and followership as a partnership. The chapter recognises followership as an ethical concept, characterised by responsible consent and distinguished by notions of honour and self-discipline.

FOLLOWERSHIP IS AN ETHICAL CONCEPT

- 4.2. **Followership is an ethical concept and followers should be ethical people.** Followership describes the concept of following ethically, not passively. The concept is crucial because, regardless of rank, everyone in the Navy is a follower to some degree.
- 4.3. **Followership should exemplify professionalism in service under arms.** Following carries with it ethical obligations, which prevent blind obedience or ethical laziness. Followership is not subservient or unassertive.
- 4.4. **Followership exists in partnership with leadership.** Leadership is not domination. Leadership is about 'power with,' not 'power over'.¹ The days when the 'power of command' was mistaken for leadership are over, if indeed they ever existed. In the same way, followership is recognised now as much more than blind obedience.² Followership and leadership exist in an ethical partnership, based on professional understanding and mutual respect.
- 4.5. To share the obligations and responsibilities of an ethical partnership with leadership, followers need to be ethically dependable. **Followers need to be ethically strong;** they need to tell people the truth, to give sound advice and honest opinion. Followers should not evade the truth. Telling people what they want to hear, rather than what they need to hear is nothing short of cowardice.

¹ ADDP 00.6 para 2.36, 3.5

² ADDP 00.6 para. 1.20

- 4.6. Followership depends upon conscience. Followers should act responsibly, in good conscience and with moral courage. Ethical followership is obedient, *not servile or mindlessly compliant*. Followers stand up for what is right. Were a follower to have strong reservations or ethical concerns, then these should be candidly and respectfully expressed. Followers should not fall down on matters of principle.
- 4.7. **Followership is loyal.** Leaders may make decisions with which followers disagree. In this case, followers will make representation with tact and, where appropriate, in confidence. Yet, unless circumstances cause a conscientious objection, followers will respect the perspective which the leader brings to a decision, and the responsibility which the leader bears alone. Followers should not undermine leadership.
- 4.8. **Loyalty is reciprocal,** it is not a means of gaining advantage, and not a means of defending oneself. This means that unscrupulous seniors should never exploit the loyalty of followers. Neither should any follower rely upon ‘unquestioning loyalty’ as a defence or excuse for improper action. Loyalty is a two way street, it is not a justification for subservience, and not an obligation borne by junior ranking people alone.
- 4.9. **Loyalty is cultivated by trust,** by mutual respect and by resilience in hard times. Loyal people give honest opinions courteously, and with good will. Loyal people take care not to damage the reputation or character of others. Loyal people appreciate that speaking poorly of others is not ‘plain speaking,’ or a ‘courageous display of integrity’. Speaking poorly of others is ill-disciplined gossip which undermines leadership, unit cohesion and *esprit de corps*.

A THOROUGHLY GOOD INFLUENCE

The two-way street of loyalty is illustrated by the example of Captain Hec Waller, lost in command of HMAS *Perth* on 1st March 1942. Waller was a tough and resilient character who exemplified the difficult blend of courteous, disciplined obedience and outspoken opinion.

As a junior officer aboard HMS *Broke* in 1928, Waller was noted to be:

*Thoroughly reliable and full of grit. Keen and self-reliant. He is always ready for anything and makes light of difficulties. Understands and handles men well and has considerable qualities of leadership. He has a thoroughly good influence and though he speaks his mind, has plenty of tact...Physically as hard as nails.*³

We can learn a lot from this report. Waller was ready for anything, cheerful in the face of hardship, tactful and courteous. But he was not a timid shrinking violet. One has the impression that Waller would have stood up for his principles and for his people. We can suppose that he would not have let those in superior positions press ahead on a wrong course, if he were ever in position to make a difference.

FOLLOWERSHIP: ETHICALLY STRONG

- 4.10. Just as leadership should personify ethical strength, so too should followership be recognised for ethical example. This means that qualities typical of good leadership are equally the attributes of good followership.
- 4.11. In military service, leaders and followers are bound together in complex events which inevitably have serious ethical significance. In these complex events, **leaders and followers share the ethical obligations of unlimited liability equally**. In this way, followership is an ethical concept demanding moral willpower and courage, just like leadership.
- 4.12. If in the course of military action, unlawful or improper acts are committed, one person may be responsible. But moral responsibility is infinitely expandable, so if one person is completely responsible, then other people may be completely responsible too.⁴ **Each individual bears complete responsibility for the decisions they make, and actions which they take.** Were a follower to observe behaviour known to be wrong, yet do nothing, the follower will bear responsibility for an act condoned by ethical passivity.

³ Australian National Archives; File A3978/15.

⁴ Lackey, (1989) P. 83

OBEDIENCE

- 4.13. **Obedience is crucial to the effective functioning of the Navy.** In his seminal text, Huntington argues:

When military people receive a legal order from an authorised superior, they do not argue, they do not hesitate, they do not substitute their own views, they obey instantly. They are judged, not by the policies they implement, but rather by the promptness and efficiency with which they carry them out.⁵

- 4.14. **Obedience is an uncompromising concept**⁶ – but it is also a much more complex idea than this hardnosed reference suggests. In the Navy, everyone has a responsibility to be obedient. *But people are also expected to use their judgment and initiative*, because situations may change to such an extent that obedience becomes foolhardy, or dangerous or in some other way unsound.⁷

- 4.15. **Obedience does not mean blind, unthinking or downright stupid obedience**, this is irresponsible and unethical. Blind obedience of this sort is intolerable – another word for this sort of behaviour is compliance.⁸ Compliance is ethically passive. Military professionals do not avoid moral responsibility merely because they ‘follow orders’. The military professional is not unthinking. The nation expects professional service in defence of the nation’s interests to be undertaken in good conscience and in the cause of a better peace. Our nation expects the military to exercise force ethically.

- 4.16. **Obedience must be characterised by responsible consent and good conscience.**⁹ No military professional will consent to anything which is wrong. Military professionals will often do things they would prefer not to do, but they will do these things obediently, confident that they are doing the right thing, and trusting in the moral constitution of their leadership.

⁵ Wakin, M. (2000). pp. 74-5 *citing Huntington*. Syntax changed to be gender neutral.

⁶ ADDP 00.6 para 2.8

⁷ This logic reflects the ADF doctrine of mission command, discussed in Chap. 5 and in ADDP 00.6 para 2.41, 2.42, 2.43 which recognises mission success under the encouragement of leaders who promote action in good conscience, in accord with the ideals of the military profession and in the ethical pursuit of missions.

⁸ Not regulatory compliance or responsible governance in accord with regulatory frameworks – this is quite a different thing.

⁹ ADDP 00.6 para 1.20

THE IMPORTANCE OF RESPONSIBLE CONSENT

“On 22 June 1893 Vice Admiral Sir George Tryon joined the tragic and exclusive list of British admirals sunk with their flagships. Tryon lost his flagship, the *Victoria*, after he insisted the Mediterranean Fleet, then steaming in two columns, turn inwards together in insufficient space. Ignoring the ineffectual warning of several subordinates, Tryon insisted on the evolution. 358 officers and men died. Many, like the engine room personnel, failed to get away from the ship. Some were caught in still turning propellers. Some were non-swimmers.

At his subsequent court martial; Rear Admiral Markham, formerly flying his flag in the *Camperdown* which rammed *Victoria*, was asked why he complied submissively though he perceived danger and error?”

Markham’s example illustrates the complexity of obedience, and the importance of responsible consent.

Admiral Sir Reginald Bacon goes to the heart of the matter:

“It is extraordinary that although the Captain of the *Victoria* and the Admiral Second in Command who flew his flag in *Camperdown*, and the Captain of the *Camperdown* – that is, three separate officers of rank and experience – although all three knew that if the signal was obeyed then there was bound to be a collision, yet they allowed the helms of their ships to be put over and the collision to occur. Vaguely, we may imagine the reasons that may have obsessed them...but no rational explanation can completely account for the universal dementia that paralysed the minds of the principal actors in the tragedy. The one lesson to be learned is the necessity for every officer to cultivate belief in his own judgement, so as not to be afraid of acting correctly when the day of trial comes. This incident provides the Navy with a lesson of the duty owed by juniors toward seniors that it is well for officers to ponder over and digest.”¹⁰

Markham – and a host of other senior officers - behaved compliantly and wrongly. Their followership was not distinguished by responsible obedience, by strength of character, or by action in good conscience. By their passivity and mindless submissiveness, many senior officers – particularly Rear Admiral Markham - contributed materially to the loss of a ship and hundreds of lives. The lesson here applies to every person serving in the Navy. **Obedience must be distinguished by responsible consent, and good conscience.**

¹⁰ Gordon, G. A. H, (1996) *The Rules of the Game: Jutland and British Naval Command*, Annapolis, MD: Naval Institute Press.

DISCIPLINE

- 4.17. Discipline, like obedience, is crucial to the effective functioning of the Navy. Like obedience, discipline is ethically complex; it is not about the unthinking enforcement of rules, or the heartless imposition of punishments. These habits do nothing very helpful, but they erode the sense of service people bring to the Navy, and damage *esprit de corps*.¹¹
- 4.18. **Discipline is most profound when it finds expression as self-discipline**, which is a dignified responsible and willing commitment to the ethos of professional service articulated in Navy values.¹²
- 4.19. **Self-discipline reinforces followership** and contributes to a culture of cooperation and teamwork. Self-discipline is apparent in the buoyant attitude with which people bear the practical demands of service life. Self-discipline inspires instant, willing and responsible obedience to orders, and removes the need for close-supervision or micro-management.
- 4.20. **Discipline needs to be imposed.** The imposition of discipline needs to be measured. When overused or applied too harshly, discipline encourages followers to become uncooperative, stubborn and resentful, or timid and unlikely to offer proper and responsible consent. The inflexible or excessively rigid enforcement of regulation and the callous imposition of punishment will alienate people and accomplish little but degrade the service *esprit*.
- 4.21. Followers will give earnest attention to the way leaders approach the enforcement of discipline. While the enforcement of discipline must never be shirked, it must not be overplayed. Punishment or sanction must be equitable, with a mind to justice and fairness.
- 4.22. Convictions and punishments do not set examples and inspire followership, but justice, equity and fairness do. The effect of any **punishment must be just and even-handed, never harsh or unreasonable.** By this principle, punishment imposed upon a group following the infraction of an individual is rarely, if ever, warranted.
- 4.23. Unity of behaviour and conviction - enriched by self-discipline and reinforced by responsible imposed discipline, is the spine of *esprit de corps* which sustains followership under the strain and hardship of service.

¹¹ ADDP 00.6 para 6.14, 6.15, 5.20: The unthinking imposition of punishment retards the moral development of followers.

¹² ADDP 00.6 para 2.37: Self discipline is a general goal of military training and education.

INITIATIVE

- 4.24. **Initiative reflects the professional interdependence of leadership and followership.** Initiative will arise when followers are engaged by leaders in the professional partnership of 'power with'.
- 4.25. The essence of naval life is teamwork. Good teams are made up of selfless reliable followers who **fix problems and take action**, without selfish concern for who will receive the credit.

CONCLUSION

- 4.26. **Followership demands people seek and accept responsibility.** The challenges of service life should be grasped, not avoided. Good followers accept their responsibilities even when these are difficult, and they take the opportunity to learn and develop themselves in the process.
- 4.27. **Followership demands responsible consent.** We must always be aware of what it is we are doing, and act always in good conscience, striving to do what's right and what's best. Good followers never follow direction in an unthinking or ethically passive way.



5 CHAPTER FIVE LEADERSHIP AND COMMAND

INTRODUCTION

- 5.1. This chapter confirms command as legal authority which superiors exercise over subordinates by virtue of rank, seniority and appointment. Leaders bring moral insight and awareness to formal positions of command.
- 5.2. **Command is defined by ADDP 00.1 as authority that a commander exercises lawfully over subordinates** by virtue of rank or assignment. Command includes authority and responsibility for using resources effectively and for organising, directing, coordinating and controlling military forces in the accomplishment of assigned missions. It also includes responsibility for health, welfare, morale and discipline of assigned personnel.¹
- 5.3. DI(N) ADMIN 30-1 acknowledges that all Navy personnel exercise command by virtue of rank or position, notwithstanding that command at sea is vested only in Seaman officers, without regard for the rank and seniority of other specialisations borne. Hence, all Navy people should understand the nature of command and the relationship between command and leadership.

¹ ADDP 00.1 paragraphs 1.4, 1.8
ADDP 00.6 para 2.6

- 5.4. **As a military concept, command places primacy on mission accomplishment.** Definitions of command do not include ‘leading’. Nor do definitions of command mention the *influencing* of others, which is a vital component of leadership.² In this sense, **the essence of command is legal authority to order subordinates to pursue assigned tasks.**³ Command requires organisational structure and *obedience*⁴ from subordinates. Command is a war-fighting enabler, which must be unambiguous, flexible and efficient. Yet, command is not repressive,⁵ and it recognises - besides the moral obligations which people owe to Defence⁶ - the moral obligation which individuals owe to themselves.⁷
- 5.5. The nature and scope of command authority varies from appointment to appointment and increases with rank. Authority derived from an appointment is specific and related to the responsibilities of a particular posting.
- 5.6. Leadership, defined as ‘the process of influencing others in order to gain their willing consent in the ethical pursuit of missions,’⁸ includes humility, integrity and moral courage. **Leaders have an ethical claim to the authority of command only by unflagging integrity.** People who are not leaders will, on occasion, be appointed to positions of command. The consequences are usually regrettable.

² ADDP 00.1 paragraphs 1.2, 1.7

³ ADDP 00.1 paragraph 1.7

ADDP 00.6 para 2.7, 3.18 citing AMD 1 “the Captain is the ship...no bullet is fired, no missile launched without specific command direction”.

⁴ The argument that command requires obedience but *not compliance* is at variance to ADDP 00.6 para 2.10 which argues that command requires ‘compliance *and* obedience’. (emphasis added) The present publication suggests a slightly softer line based upon principles of ethically strong followership which are explained in this publication, and which reflect the argument of ADDP 00.6 para. 1.20 that ‘followership is not a passive activity for the meek and submissive,’ and that ‘responsible followers must exercise judgement and not just blindly follow a leader “come what may”.’ Additionally, at paragraph 2.17, ADDP 00.6 argues that ‘all leadership, including leadership in the military, offers a choice to followers – even to the extent that this choice allows for dissent. When constructive dissent is not appropriate...the leader rightfully moves from leadership to command’. This perspective is acknowledged to apply even on the battlefield. The point is that an *insistence upon compliance is unnecessarily rigid* – the door, even the door of command, should be left open for the responsible consent which characterises obedience because this is morally correct.

⁵ ADDP 00.6 para 3.7: ‘ADF leaders are less likely to revert to “command” (organising, directing, controlling) and more likely to use supportive influence...(which) gives a degree of latitude’. Later, at para: 5.15, ADDP 00.6 identifies the dysfunction overuse of autocratic styles of behaviour which operate to suppress the moral development of subordinates.

⁶ ADDP 00.6 para 3.25

⁷ ADDP 00.6 para 5.11 identifies, for example, the importance of integrity – a value which points to the obligation individuals owe to themselves to do what’s best and what’s right.

⁸ ADDP 00.6 paragraph 1.8

COMMAND AND LEADERSHIP

- 5.7. Command is a term of cultural significance in the Navy. There is unquestionable dignity, honour and responsibility attached to the command of Australian officers and sailors. **Yet, a commander may display no leadership behaviour.**⁹
- 5.8. In theory, a commander may ignore leadership principles and rely on command power to achieve military objectives. In reality this is foolish, because leadership inspires *commitment* and *perseverance* in the ethical accomplishment of missions.¹⁰
- 5.9. **Leadership is exercised even in the absence of command authority.** Leadership requires conscience and moral courage. Leadership is not related to positions or appointments, and should not be confused with status, power or formal command authority.¹¹
- 5.10. **Leadership amplifies command authority.** Leaders acknowledge the moral equality of all who serve, and build a climate of mutual respect. In a command position, a leader will not treat people carelessly or off-handedly. Leaders demonstrate consideration and respect for others, which moderates command formality without compromising military effectiveness.
- 5.11. Leaders should ‘keep a strong grip and a loose rein’ in the command environment. The requirement is for a balance of firmness, humour, and the ability to ensure people understand what is expected of them.

⁹ ADDP 00.1 para 1.8
ADDP 00.6 para 2.12, 3.19

¹⁰ ADDP 00.1 para 1.8
ADDP 00.6 para 2.12, 2.13

¹¹ ADDP 00.6 para. 1.13, 1.14: ‘It stands to reason that if **leadership is about inspiring willing commitment**, then coercive and legitimate power are less useful than (the power of a good character)...the use of legitimate authority is not an example of leadership but rather an example of “command”...Confusion between leadership and official authority has a deadly effect on organisations’. (slightly abridged, original emphasis).

¹² LWD 0.0 p. 2-4

LEADERSHIP AND COMMAND HMAS NEWCASTLE

The terms command and leadership mean different things to different people. I understand command to be a legal principle pertaining to the authority which a commander in the military service lawfully exercises over subordinates by virtue of rank or assignment. While command may be exercised by all personnel by virtue of rank or assignment under certain circumstances, in my case (as commanding officer) I can never devolve command nor its associated responsibilities and accountabilities. The buck stops with me.

Leadership is most often associated with the ability to inspire motivate and stimulate others to achieve goals. Communication, empowerment and team building are core principles of leadership. My experiences have led me to believe that leadership can and does exist at all levels in a ship from Seaman to Commander. That is, leadership is not rank dependent. I challenge all members of ship's company to display leadership excellence.

J.G. Jones
Commander, RAN

CO *Newcastle*, Dec. 2008

Command Papers: An ADF Command Philosophy Primer, Centre for Defence Leadership and Ethics.

COMMAND AND LEADERSHIP PHILOSOPHIES

- 5.12. **A command philosophy** sets out expectations and objectives, explaining the commander's aspirations and preferred methods of 'doing business'. A command philosophy is crucial to the shared understanding, which underpins effective working relationships.
- 5.13. A command philosophy derives broad strategic vision from a sense of stewardship, which defines the intent and method by which things will be left in better shape than that in which they were found. Stewardship should inform command at every level.
- 5.14. A command philosophy will be complemented by a leadership philosophy.
- 5.15. **A leadership philosophy**, underlining the moral obligations of leadership in the profession of arms, will acknowledge leadership as a matter of conscience and ethical example. A leadership philosophy may clarify what 'action in good conscience' or 'action in accord with the Navy values' might look like in practice.

- 5.16. A leadership philosophy contributes to the framework within which responsible followers exercise their judgment to interpret rules, and to find their moral compass in the absence of rules or when circumstances are ambiguous or confused.

MISSION COMMAND AND LEADERSHIP

- 5.17. **The ADF command philosophy, known as mission command**, expects subordinate commanders to be given a clear sense of superior command intent – a clear articulation of desired result, tasks to be undertaken and constraints.¹² Mission command doctrine expects flexibility, initiative, and resourcefulness in pursuit of the commander’s intent. Mission command emphasises the importance of individual judgement, and confident delegation. Understanding the concept is crucial as the Navy participates invariably in joint and combined operations.¹³
- 5.18. The doctrine of **mission command requires leaders who acknowledge no rigid doctrinal way to lead**. For mission command to succeed, superior and subordinate commanders must operate within a shared ethical framework - each confident that the other will pursue missions in good conscience, and in accord with the ideals of the military profession. Without an ethical foundation mission command will fail.
- 5.19. Mission command demands confidence and responsible freedom of action. Mission command will be inspired by leadership which applies doctrine intelligently and flexibly but not dogmatically. Leaders cultivate mission command by:
- a. accurate operational evaluation,
 - b. candid capture of lessons learned,
 - c. open-minded discussion of honest mistakes as opportunity for learning and professional development, and
 - d. open-minded consideration of unorthodox ideas.

¹³ ADDP 00.6 para 2.41

¹⁴ Admiralty, 1943, pp. 19-23.

COMMAND, LEADERSHIP AND RISK

- 5.20. Legislative and regulatory requirements can promote conservatism, indecisiveness, risk avoidance and micro-management. Leaders should resist these pressures. Positive control should be sufficient to ensure tasks are safely and professionally carried out. Positive control should never be excessive, and always respectful.

COMMAND, THE ADF MISSION, RESPONSIBILITY AND ACCOUNTABILITY

- 5.21. The ADF mission is 'to defend Australia and its national interests'. The Navy mission is 'to fight and win in the maritime environment'.
- 5.22. These missions are the *raison d'être* of all command authority. Subordinate missions assigned to any commander must contribute to the achievement of the ADF and Navy missions.
- 5.23. These missions frame command responsibility for the successful achievement of missions, and for the safe and efficient employment of people and resources. A commander is accountable for success or failure in the discharge of these responsibilities, the fulfilment of which will be aligned with the Navy's vision to be renowned for excellence in service to the nation.
- 5.24. While a commander may delegate authority in whole or in part, **neither the ethical responsibility of leadership nor the formal accountability of command can be delegated at any time.**

THE DIVISIONAL SYSTEM

- 5.25. The divisional system is all about leadership, and the welfare of people. The divisional system - crucial to success in any command - demands trust and discretion. Trust and personal confidence does not follow from the application of authority, but from the personal example of leadership.

CONCLUSION

- 5.26. **Command is defined as authority that a commander exercises lawfully over subordinates.** In the Navy, command is characteristically associated with the command of ships, establishments, headquarters and the whole Navy. However, command is not the sole preserve of senior officers or any particular specialisation.

- 5.27. **Leadership is the core of command success.** In positions of command, leaders should personify the ideals of the profession of arms and impress themselves in the consciousness of others as ethical people. Loyalty, trust and dedication are inspired by leadership, not by impersonal command authority.
- 5.28. The qualities of leadership are crucial to the application of mission command principles. In practice, mission command gives specialists and subject matter experts freedom of manoeuvre to exercise judgement and initiative. Command is largely 'by veto'. Yet, enriched by the qualities of leadership, command is not ethically careless.
- 5.29. In positions of command and making decisions from a command perspective, leaders trust their judgement, and do the right thing in the right way as they see it. By doing this, leaders meet command responsibilities in good conscience.

CAPTAIN J.A. COLLINS, RAN, AND THE BATTLE OFF CAPE SPADA,

In this vignette, Cunningham illustrates leadership in a position of senior command. Cunningham energised the mission command idea: he interpreted and applied doctrine intelligently and he did not expect morally docile compliance from junior commanders. In a subordinate position, Collins exemplifies leadership by his independent judgement, initiative and by his determination to the right thing.

John Collins, the commanding officer of HMAS *Sydney* (II) left the Egyptian harbour of Alexandria, in company with HMS *Havock*, on the morning of 18 July 1940 with verbal orders to support four British destroyers (under Commander Hugh Nicholson, RN) that were to conduct an anti-submarine sweep north of Crete. Once past Kaso Strait, to the east of Crete, Collins was directed to proceed with *Sydney* and *Havock* northwards towards Piraeus, the harbour of Athens, to search for enemy shipping. Collins, not being bound by written operational orders, decided to remain in support of the destroyers, keeping about 20 miles to their north. As wireless silence was obligatory, unless in touch with the enemy, Collins did not inform Admiral Sir Andrew Cunningham, RN, the Commander in Chief of the Mediterranean Fleet, nor Nicholson's destroyers of his change in plan. At dawn on 19 July *Sydney* was only 20 miles north of Nicholson's destroyers rather than some 150 miles away as it would have been under the original orders.

That morning at 0730 two Italian light cruisers with 6-inch main guns, the *Giovanni delle Bande Nere* and the *Bartolomeo Colleoni*, caught Nicholson's destroyers off Cape Spada. The destroyers, who were outgunned and inferior in speed, reported the enemy contact and their position before rapidly turning north with the Italian cruisers in hot pursuit. Upon receiving the enemy report Collins immediately turned *Sydney* southward and increased to full speed. Although he did not know whether the two Italian cruisers were armed with 6-inch or 8-inch guns or indeed, whether they were supported by a larger Italian force, Collins did know that *Sydney* and *Havock* was heading at high speed towards a superior enemy force. He decided that prompt aggressive action was the best means available to deter the enemy cruisers and to rescue the British destroyers. By maintaining radio silence *Sydney* would surprise the enemy and Collins knew that his well-trained and combat experienced crew, including extraordinarily accurate gunners and dogged technical staff, would not let him down when it came to a stiff seafight. The Italians first knew of *Sydney's* arrival off Cape Spada at 0830 when 6-inch shells rained down upon them. Collins flashed an enemy report to inform the anxious Admiral Cunningham and the relieved Nicholson of his contact. That day the action off Cape Spada was a resounding victory for Collins and the British light naval forces; not only did the Italians lose the cruiser *Bartolomeo*

Colleoni but it confirmed the moral superiority of the British Mediterranean fleet. After this action Italian surface forces did not again venture into or near the Aegean.

Admiral Cunningham came alongside *Sydney* when *Sydney* returned to Alexandria, his first words to Collins were, 'Well done. I was very relieved when your enemy report showed you were on the spot, but how did you get there?' Collins, not wishing to go into too much detail, replied, 'Providence guided me, Sir.' With a smile Sir Andrew replied, 'Well, in future you can continue to take your orders from Providence.'

Cunningham reported to the Admiralty, 'The credit for this successful and gallant action belongs mainly to Captain J. A. Collins, C.B., R.A.N., who by his quick appreciation of the situation, offensive spirit and resolute handling of H.M.A.S. *Sydney*, achieved a victory over a superior force which has had important strategical effects.'¹⁴

Prepared by Dr. G. P Gilbert, SPCA

¹⁴ Admiralty, 1957, Battle Summary No. 2, Action off Cape Spada, Crete, 19th July 1940, pp. 25-35, & 78-9.
Admiralty, 2002, especially Sec. 61-63, pp. 46-9.
Collins, 1965, pp. 84-9.
Collins, 1971, pp. 18-24.
Gill, GH, 1957, pp. 184-96.
Gordon, A. (2003) pp. 38-52.
Hore, P, 2005, pp. 65-72.
Thompson, J, 1997, pp. 58-61.



6 CHAPTER SIX LEADERSHIP AND POWER

INTRODUCTION

- 6.1. **The future of the Navy lies in the hands of its leaders, regardless of rank.** At every level, the Navy's leaders have a responsibility to nurture level-headed professionals with a balanced outlook and a resilient approach. Advice and guidance might be afforded casually, sometimes more formally, but always thoughtfully, with dignity and consideration.
- 6.2. Leaders should afford people the chance to make a real contribution to meaningful objectives, and standards of excellence which are achieved. Dogmatic insistence on unthinking reruns of customary routine is unlikely to match the aspirations which well-educated, well-informed people bring to the Navy in the twenty-first century.
- 6.3. **Leadership builds responsible self-discipline** based on understanding and acceptance of the reasons for orders, instructions and procedures. Consequently leadership expects and inspires willing commitment, not unthinking compliance.
- 6.4. **Leaders exert positive control, not excessive control.** Leaders have an obligation to ensure tasks are safely and professionally carried out, but they do not have a responsibility to micro-manage, and they do not have a responsibility to stifle those who would follow them. Others must be encouraged and inspired to innovate, to use initiative, and to seek and accept the responsibility of leadership.

POSITIONAL POWER

- 6.5. The power in leadership is the power of good character.¹

¹ ADDP 00.6. para 1.2, 1.3, 1.7, 1.8, 1.12, 1.13, 1.15. Considers leadership as an influence relationship. This publication refines this view, and holds influence to be based upon the power of character – a character which strives to *act in good conscience*, and in accord with professional ideals.

- 6.6. Formal sources of power can be blunt instruments. **The abuse of this power is authoritarian**, and it is wrong.² When positional power is abused, others typically endure disquiet or discontent. Though mental suffering of this sort might not be as evident as physical injury, it is equally serious and unwelcome.
- 6.7. At every level, the heavy-handed use of positional power erodes the *esprit de corps* and commitment which are essential to the healthy functioning of the Navy. Leaders at all levels cease to be leaders the moment they resort to abuse of formal authority.
- 6.8. Leadership is unmistakable in the creative and thoughtful expression of personality and character, informed by Navy's values, which provides a role model for others. There is no place in this example for an undignified temper, or for the unkind habits of sarcasm and contempt.
- 6.9. Leadership is daunting, particularly when the obligations of leadership are borne in parallel with the responsibilities of command. Leadership requires humility, integrity and courage. Those who strive to lead must be prepared to be challenged, and to be nervous. Leadership is a constant endeavour that drains all who strive to inspire committed followership. Leadership requires discipline, always. There must be constant mindfulness and constant exertion. No person is more open to criticism than the leader, particularly when the leader is required to exercise the formal demands of command.

LEADERS ENGAGE WITH OTHERS AS MORAL EQUALS

- 6.10. **Leadership is related to an individual's character**, not to rank, position or gender. Notwithstanding the requirement for technical mastery, leadership demands integrity and takes the weight of moral responsibility. Leaders recognise that positions of relative role superiority, which follow from rank and appointment, do not define any relative moral superiority.
- 6.11. **Leaders aspire to a mutually respectful partnership with followers** who deserve material influence. Leaders do not treat others in an off-hand or careless way, but rather acknowledge a shared commitment to the nation. Leaders explain why work is important and enable others to gain a sense of achievement and purpose through meaningful work.

² ADDP 00.6 para 5.16 citing Chief of Navy's Command Guide: 'The abuse of power is overly authoritarian and counter productive'. (Syntax altered)

- 6.12. Recognising others as moral equals *does not mean* leadership is familiar, or that leaders run after popular opinion and fail to hold others properly accountable. But, it *does mean* that leaders cannot be detached. Leaders must be approachable and engaged with those whom they hope to inspire and encourage.

THE ETHOS OF HMAS SYDNEY

At its best, the Navy has always espoused consideration and respect for each other, good manners and abiding courtesy. There will obviously be times when events are moving quickly and personnel are under intense pressure with little time for the niceties of life. It is then that the development of real teamwork and mutual respect bears fruit in allowing all of us to help each other to do the job quickly and well.

The Navy expects a lot from us and it is important that we ensure that all concerned are looked after. It is not only your problems that you need to have an eye out for, but those of your shipmates, particularly the young, inexperienced and newly joined.

James Goldrick
Rear Admiral, RAN

Prepared as: CO HMAS Sydney, 1997

Command Papers: An ADF Command Philosophy Primer, Centre for Defence Leadership and Ethics.

LEADERS INSPIRE OBEDIENCE, NOT COMPLIANCE

- 6.13. **Leaders inspire obedience**, which is crucial to morally accountable service. Obedience entails responsible consent, and differs from morally passive compliance.
- 6.14. **Compliance is a servile response to the abuse of formal power.** That said, compliance is an understandable response. Both leaders and followers must guard against this.
- 6.15. Leaders should acknowledge followership as an ethical endeavour, and foster followers who act in good conscience. Leaders should not expect their followers to be 'yes men'. Rather, leaders encourage and enable followers to speak their mind with tact and candour.
- 6.16. Responding to ethically mindful leadership, ethical followers engage in a partnership of 'power with'. Ethical followers work hard without complaint and without unhelpful or undermining gossip.

LOYALTY

- 6.17. **Leaders inspire and extend loyalty.** Leaders take the weight of moral responsibility, they do not:
- criticise unfairly or pass uncomplimentary remarks about others,
 - indulge in cynical fault-finding or sniping,
 - assume the loyalty of others is an inexhaustible resource, which they might take for granted,
 - let personal loyalty get in the way of integrity, or
 - impose unreasonable demands.

REGULATIONS AND MALPRACTICE

- 6.18. **Leaders approach rules and regulations with care and imagination.** Leaders will never continue a practice, or uphold a rule without proper regard for others, and merely because they are in a position to do so. Leaders interpret rules and regulations with care and apply them only with a mind to the best outcome. Leaders need to explain their reasoning and consult whenever possible, in order to engage followers meaningfully, to confirm the good sense of their approach, and to confirm their position as one of leadership and not dominance.
- 6.19. **Leaders manage unsatisfactory performance with thoughtfulness and dignity.** Failure to correct unsatisfactory performance for fear of causing upset or offence is more than misplaced kindness, it is wrong.

CONCLUSION

- 6.20. **The leader – follower relationship is interdependent.** The relationship is professional and mutually respectful, not a cosy friendship, and not concerned with intra-group stature. Leadership is composed, confident, and empathetic; concerned with leading, not dominating.
- 6.21. **Leaders will be fair and consistent.** The phrase is often repeated that leadership will be firm and fair, but this is not the case. Leaders will be firm only in the interests of fairness and consistency. Leaders are often in positions of significant power – a worldly authority that they use wisely for the right reasons and in the right way.
- 6.22. Leadership is the personification of the ideals of professionalism in arms. Leadership is not forceful. Leadership is morally strong and resolved.

POWER WITH: NOT POWER OVER HMAS *BALLARAT*

When I assumed command of HMAS *Ballarat*, I was determined not to imitate the less constructive habits I have witnessed during my career. I did not want my ship to be one where people spoke only when they were spoken to, nor did I want my people to feel they were taken for granted. I wanted a positive environment (a 'happy ship') where there was a sense of professional pride, accountability, initiative, *esprit* and enthusiasm. My ambition was to build a culture of mutual respect and trust - not fear and anxiety.

The 'command philosophy' I prepared reflected this objective, and it reflected my belief that the way we execute command depends upon leadership.

Leadership is a personal thing - it requires the strength of mind and character, the courage to make decisions, to take action decisively and to inspire other people to follow. Where there is abuse of positional power - when others feel compelled or bullied to toe the line, or they just trail along regardless - then I suspect there's a failure of leadership.

COMMAND PHILOSOPHY

Command of HMAS *Ballarat* is a great privilege and a role I undertake with the commitment of all my energy and experience to ensure the ship and the people who serve in her are led to the best of my ability.

I expect all *Ballarat* personnel to be accountable for their actions and for those of their subordinates. Responsibility and accountability are catalysts for innovation and initiative, which will serve to improve efficiency and effectiveness on board. I will aim to inspire initiative through devolution of responsibility and accountability to all personnel, commensurate with their rank, position and level of experience. I expect to see leadership at all rank levels. You are all imbued with leadership traits and abilities - I aim to draw them out, allow you to learn from your mistakes and ultimately improve your personal and professional standing as well as the collective efficiency and effectiveness of *Ballarat*.

Communication in *Ballarat* is a 'two way street'. Communication is vital for a professional and effective work environment. Good communication promotes cooperation and teamwork; it works against conflict but towards resolution and ensures unity of purpose towards achieving goals. It is about openness and honesty - honesty in you telling me what I need to know, not what you think I want to hear; and courage to represent your convictions. This accords with my goal to keep *Ballarat's* ship's company informed of anything that may impact on anyone personally; this includes

changes to the ship's program or announcements that may affect conditions of service or the ship directly. Effective two-way communication is vital to the establishment of trust, which is an indispensable element of good leadership.

Ballarat is a warship, and life aboard will at times be tough and dangerous. Teamwork is vital if we are to meet our professional obligations. We need to trust each other professionally and personally. Formally, we have the Divisional system to promote and support training, advancement and welfare of our people. It is an integral part of the chain of command and is an excellent tool for managing the professional and personal wellbeing of all on board. Informally, teamwork manifests itself in the form of mateship, or a sense of kinship - serving within the same ship under the same circumstances. This has been part of the spirit of the Australian Defence Forces since the days of the ANZACs and is an effective legacy we need to carry forward.

I depend on all of you to treat each other fairly and consider individual merit, and act to stop discrimination or harassment immediately. I expect your loyalty, even when unpopular decisions have to be taken. In return you will have mine, with a guarantee I will do whatever I can to best serve or represent your interests. Wherever I have discretion, I will aim to exercise that in your favour and support you fully when faced with hardship or difficult circumstances.

J.W. Goedecke
Captain, RAN





KEY POINTS

- For the Navy to contribute to the defence of Australia and its national interests the Navy must be ethically dependable. For this reason the Navy must be ethically led at all levels.
- Leadership is the process of influencing others in order to gain their willing consent in the ethical pursuit of missions. There is no 'one best' leadership style.
- The strength of leadership lies in the conscience, which is informed by values and ideals.
- Values and ideals are codified within doctrine, and by international and domestic laws. Other principles, being part of the cultural fabric of the profession, are inherited as elements within an honourable tradition.
- Leaders exert positive influence not excessive control. Leaders foster the responsible self-discipline and willing commitment of followers.
- Followers should be ethical people. Following carries obligations which preclude ethical laziness. Following is not subservient or unassertive.
- Leaders are often entrusted with significant formal power. The abuse of this power is authoritarian, and it is wrong.
- In the Navy, whether on operations or exercise, whether afloat or ashore, the end never justifies unethical means. People who demonstrate leadership, act in accord with the codes and exemplify the ideals which distinguish the profession of arms.
- Moral authority and example depends upon the choices made by individuals in the Navy.



CASE STUDY

GINO WATKINS**From: Scott, J.M (1946) Gino Watkins, Hodder and Stoughton**

1. In 1927 at the age of 20, Gino Watkins led an expedition to Edge Island, an uninhabited island to the south east of Spitzbergen and 500 miles north of Norway. Edge Island, named after the whaling captain who discovered it in the early seventeenth century, had not been thoroughly explored. A large part of the coast was uncharted, very much of the inland was not surveyed. Gino carried out a demanding survey and scientific expedition with humble and unheroic spirit.
2. He sailed for Edge Island with no first hand knowledge of the conditions. His original plan had been to accompany J.M Wordie – who had been to the Antarctic with Shackleton – and who was a tutor of St. John’s College at Cambridge, where Gino was a student at Trinity. But Wordie had found it necessary to postpone his expedition for a year. Gino’s reaction was original: He wanted to visit the Arctic, there was no-one to take him, therefore he would lead an expedition of his own and he would, more to the point, lead a scientifically valuable expedition.
3. Gino was successful in the Edge Island expedition, and in the several Arctic expeditions which followed because he: was skilled, determined, physically tough, could sum up positions quickly and acted without hesitation.
4. But more than physical toughness and competence, Gino’s success reflected his even temper, his natural courtesy, tact, and humility. Gino was not overbearing or dogmatic, but quite prepared to seek and to act upon the opinions of those in his party, all of whom had some special knowledge to impart. Everyone with whom Gino spoke was gratified by his respectful interest in what they said.

5. As expedition leader, Gino never assumed a detached or superior position, and in this respect was half a century ahead of his time. He led by a method of example and suggestion that could offend no-one and which, if the example were good enough, would prove inspiring. He joined in the routine, the difficult and the menial tasks and gave himself no privileges. Gino was responsible – yet conscientiously equal – no better than anyone else. His equipment, his bed, his clothes were no better than anyone else’s. There was no autocracy or dictating. Gino was successful because his integrity, humility and strength of purpose overcame the self-imposed handicap of equality.
6. Gino’s leadership was established upon the power of his character not upon the power of his position as expedition leader. Gino never allowed his authority to depend upon the fact that he was officially ‘in charge’. He led from within his party as an expeditioner and explorer – just like those who volunteered to go with him. His style was unceremonious and calm, though when crucial decisions had to be made, Gino’s ability to think and to act quickly – developed lead-climbing Europe’s most challenging rock faces – put him naturally in front. Whilst everyone in the expedition was trusted implicitly in their special area of scientific expertise; Gino was obviously the leader, the man who set the pace in action and in morale. He was the man who was embarrassed by praise – for he thought praise belonged to those who planned the program of scientific research – but he assumed all responsibility, and he would have borne any blame.
7. When the expedition was over, his men said; ‘the most extraordinary thing was that Gino gave no orders – we all thought we were doing exactly what we wanted to do. But afterwards, we realised that we had done precisely what he wanted us to do’.
8. Gino put enormous effort into planning and organising, yet his people were unencumbered by over-precise direction. Gino was a pioneer of the mission command philosophy. Unrestricted by strict directions, yet understanding the general objective, Gino’s followers were enabled and expected to use their initiative. People saw that Gino expected each one to be a leader: there were no superiors and subordinates. Gino trusted people to use their judgement and initiative, accepting that if they made a blunder the responsibility would be his just as surely as if he had expressly ordered the unfortunate action.

9. But Gino, though relaxed, was not slack or careless, or indifferent. He was exacting, but not a tyrant. He expected hard work and high standards. He led from the front, being indifferent to small discomforts. He was never at a loss for words. He never exacted blame, but he expected people to learn from their mistakes. He was a splendid leader.
10. In Gino's opinion, initiative and self-confidence were all important - the boy who stood on the burning deck seemed to him nothing but a fool. Once he had gone to see a film about the sinking of a great liner. When he saw the men, who had put the women and children in the life boats, standing to attention and singing "Nearer, my God to Thee," he turned to a friend and said "why the hell don't they build rafts instead of wasting time being heroic?"
11. Gino Watkins had a great inner confidence that allowed him to live on the same level as his people, and to work alongside them. He led from within and not from above. He shared power with his people - but he did not exert positional power over them. Gino was a leader, not a boss.



CASE STUDY

VICE ADMIRAL JAMES STOCKDALE, USN

From: Stockdale, J.B. (1993) Courage Under Fire, Hoover Institution, Stanford University

1. **Introduction:** Vice Admiral Stockdale was on active duty in the Navy for thirty-seven years. As a fighter pilot and carrier air group commander he was shot down over North Vietnam. As the senior naval officer prisoner of war in Hanoi for almost eight years, he was tortured fifteen times, put in leg irons for two years and into solitary confinement for four years.
2. When physical disability from wounds brought about his retirement, Stockdale had the distinction of being the only three star officer to wear aviator's wings and the Medal of Honour. He was additionally, the recipient of two Distinguished Flying Crosses and three Distinguished Service Medals, among numerous other decorations.
3. **Stockdale writes:** On September 9, 1965, I flew at 500 knots right into a flak trap, at tree top level, in a little A4 airplane – the cockpit sides not even three feet apart – which I couldn't steer after it was on fire, its control system shot out. After ejection I had about thirty seconds before I landed in the main street of a little village.
4. As I glide down toward that little town on my short parachute ride, I'm just about to learn how negligible is my control over my station in life, I'm just about to learn that the only real power I've got is the power I've got over myself – we might call it integrity, or character. Apart from my will and my inner strength, nothing is up to me. I'm going from being the leader of a hundred-plus pilots and a thousand men, with goodness knows all sorts of symbolic status and goodwill, to being *an object of contempt*. I'll be known as a criminal, and I will be reduced to a helpless sobbing wreck in a matter of minutes.
5. Floating down in my parachute, I hear shouting, and shots, and bullets are tearing the canopy. The chute hooked a low tree, but it deposited me on the ground in good shape. With two quick release fasteners I am free of the chute and immediately tackled by fifteen or so roughnecks.

6. When the pummelling was over I had a leg broken so badly that I've had a limp ever since.
7. I learned to face fragilities I never believed I could have. After mere minutes - in a flurry of action I was bound by tourniquet-tight ropes, hands behind, and jack-knifed forward and down - and held securely in lugs attached to an iron bar.
8. My station in life was changed from that of a dignified and competent gentleman of culture to that of a panic-stricken, sobbing, self-loathing wreck in a matter of minutes. I learned some valuable lessons, and I learned them the hard way.
9. Consider reputation, for example - I learned a lot about that. Others decide what your reputation is. Try to make it as good as possible, but don't be ravenous for it, and don't get hooked on it and start chasing it in tighter and tighter circles. Don't let reputation - what others think of you - get mixed up with your moral purpose, or your will power - those things *are* important. I learned that if you crave things that are not under your absolute control, you can never be free - you will always be seeking out something which it is in the power of others to control.
10. Now, I know that you can't walk around saying I don't give a damn about health, or wealth or whether I'm sent to prison or not. There are practical problems, and everybody has to play the game of life. But, it is better to play the game with character. It's like playing with a ball - everyone plays the ball, but after the game no one really cares what happens to the ball, but they do care how you played the game. Did you play fairly, courageously and skilfully, or did you cheat or show poor sportsmanship? Win or lose, the way you play is much more important.
11. I learned it's better to face death without fear and guilt, than to live with guilt and to face death ashamed. I learned that if you want to protect yourself from shame or guilt, if you want to set any sort of worthwhile example - then you have to get rid of all your instincts to compromise on principles.
12. As the only air group commander to survive an ejection, I ended up in prison as the senior American prisoner of war. I felt my country and my comrades looked to me and I was determined to play my part well.

13. I knew that a broken shoulder, a bone in my back broken and my leg broken twice under torture – were peanuts compared to the shame I would have felt had I played my part poorly. I knew – but I came to truly understand – that there is no greater harm than destroying the trustworthy, self-respecting well-behaved man within you. I learned that our sense of character and integrity is the essence of ourselves. It's also the essence of leadership.
14. In prison I had nothing. No rank. No control over anything or anyone. But I had total personal responsibility – and I had obligations to myself. Upholding these obligations I could look my interrogators in the face – but more importantly I could face my fellow Americans and my country.
15. **Conclusion.** After the Vietnam War, as a Vice Admiral and President of the Naval War College, Stockdale wrote; in the Navy, we have no place for amoral gnomes. If anything has power to sustain us in peace or war, it is our conviction and commitment to standards of right above wrong. Nothing must take the place of our moral obligation to ourselves, to our Service, to our country. Each person must bring themselves to a point of ethical resolution.



ANNEX A

THE NAVY LEADERSHIP FRAMEWORK

The Navy Leadership Framework makes no distinction between junior people and senior people. The circular Framework represents leadership as a privilege and obligation shared equally by every person serving in Australia's Navy. Leadership is seen to find expression in our being, knowing, doing and ultimately in our achievement

The centre of the framework defines the Navy's ethic of **being**, a leadership ethic established on the foundation of 'character' reinforced by Navy values.

The ethic of being acknowledges that leadership depends upon trust sustained by the personal example of the leader. For followers to be committed to the goals and values of the Service, leaders must be a living example of those same goals and values.

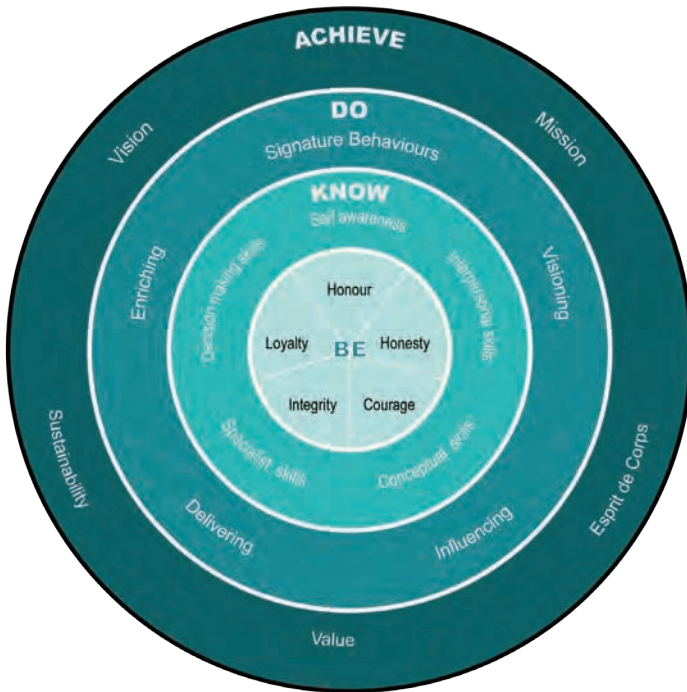
The ethic of being means that there is no rigid doctrinal way to lead. There is, however, an expectation that in the Navy, leaders are people of moral courage, and that leadership is by the example of principled behaviour.

The Framework recognises professional **knowledge** across five domains. First and foremost leadership demands self awareness – intelligent alertness to individual thinking and behaviour, and responsiveness to the impact of these on others. Leadership is observed to demand interpersonal skill – knowledge of people and how to work constructively. The conceptual ability to understand and apply guidance, doctrine and other ideas is recognised, alongside the specialist skill and technical mastery applicable to specific roles and operating environments. Finally, leadership demands decision making skill.

Besides knowledge, the Framework illustrates the importance of what leaders **do**. Navy's Signature Behaviours are fundamental. More broadly, leaders envision – providing direction and establishing a compelling sense of purpose. Leaders build collaborative rapport by constructive influence, and they turn ideas into outcomes. Leadership also entails the enrichment of the Navy. Hence, leaders encourage and build the capacity of others.

Significantly, the Framework acknowledges the outcome of our individual BE-ing, KNOW-ing and DO-ing in Navy’s **achievement**, as a Service characterised by vibrant *esprit de corps*, recognised as a valuable constituent of national power, and positioned for sustainable future success.

THE NAVY LEADERSHIP FRAMEWORK



The Navy Leadership Framework



DANGER
THIS MOUNTING MAY
MOVE WITHOUT NOTICE



ANNEX B

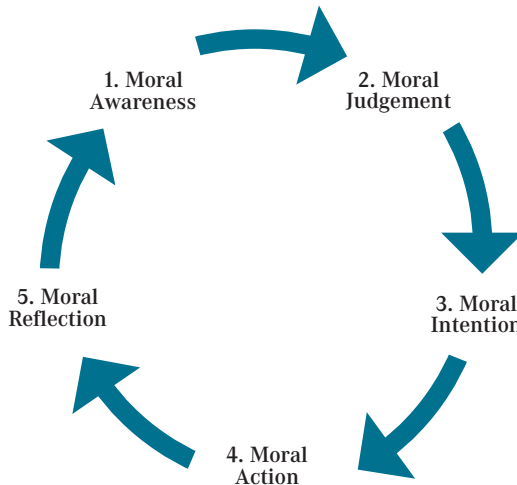
AN ETHICAL DECISION MAKING MODEL

AN ETHICAL DECISION MAKING MODEL

Leadership requires conscience and moral courage – it is all very well to recognise right from wrong and to have good intentions, but leadership requires the moral courage to act upon what we know to be right.

Leadership also requires a sense of how a decision in good conscience might be structured.

The following diagram describes an ethical decision cycle which begins with moral awareness based upon conscience.



Step One: Moral Awareness

- I acknowledge my conscience and then I ask:

We acknowledge our moral obligations to the Service and to our nation, and we acknowledge our obligations to safeguard ideals and to protect those who are vulnerable. We seek to distinguish right from wrong, and to identify ‘what’s best’.

Step Two: Moral Judgement

- I think and come to a moral judgement:

We acknowledge moral decisions require disciplined thought as we navigate between competing ideas of 'what's good or right'. A typical example is the conflict between our loyalty to colleagues and our obligations to tell the truth or to uphold rules which might be to the disadvantage of those who are close to us. In all cases, moral judgement should be informed by:

- a desire to maximize good and minimise harm,
- a respect for rules and established conventions,
- the rights and dignities of yourself and others,
- a desire to treat others fairly.

Step Three: Moral Intention

- I determine the right course of action:

We must act in good conscience and realise what we do, we must never be morally careless. We will make mistakes – making mistakes is part and parcel of being human – but let these not be the mistakes of moral neglect, and let these not be the mistakes of selfishness or cowardice.

Step Four: Moral Action

- I find the moral courage to act in the right way:

Act with moral purpose and with good will. Do not act to deceive, do not act to initiate or perpetuate a wrong. Act as a force for 'goodness and rightness' – act in such a way that you will not be ashamed.

Step Five: Moral Reflection

- Stop and think. The unexamined life is not worth living:

None of us is perfect, what can we do better next time? Do we need to muster the courage to apologise or to accept an apology with good grace? Do we need to correct any wrong?





ANNEX C

ETHICAL DECISION MAKING

INFORMING MORAL JUDGEMENT

1. Frame decisions in broader terms than self-interest
2. Minimise the harm and maximize the good which follows from a course of action
3. Balance competing factors by logical reflection
4. See that actions are prosecuted with moral courage and in good conscience
5. Accept responsibility for your decisions.

SOME COMMON PRINCIPLES

Reflection upon these principles will inform ethical deliberation. A decision which complies with one or more of these principles will not necessarily be the right one - but a failure to comply with any of these principles is likely to prejudice the ethical integrity of a decision.

1. Which alternative would generate the best overall consequences, for example, maximise benefit over harm?
2. Which alternative would make a good general rule for people to follow?
3. Which alternative would help develop and maintain your virtuous character?
4. Which alternative best promotes the common good?
5. Which alternative could you live with if it was done to you?
6. Which alternative would you be prepared to support in public?
7. Which alternative resonates with Navy values?
8. Which alternative best respects established rules and conventions?
9. Which alternative best protects others, especially those who are disadvantaged or vulnerable?

THREE TESTS

1. Imagine someone you hold dearly: for example, your child, lover, mother or best friend - how would you feel if someone else did to your loved one what you're about to do?
2. Would my "hero" choose this option?
3. What would the external and internal "authority" think/suggest?

Dr Simon Longstaff
St. James Ethics Centre

Presentation to CO/XO Desig course on behalf of the Centre for Defence Leadership and Ethics



ANNEX D

PRINCIPLES OF LEADERSHIP¹

1. Be Proficient
2. Know Yourself and Seek Self-Improvement
3. Lead by Example
4. Seek and Accept Responsibility
5. Know Your Followers and Promote Their Welfare
6. Provide Direction
7. Develop the Leadership Potential of Your Followers
8. Make Sound and Timely Decisions
9. Train Followers as a Team and Challenge Their Abilities, and
10. Keep Your People Informed

First Principle: Be Proficient

Leaders must know their stuff. People trust leaders who are proficient. Proficiency can be attained through a combination of formal training, on the job experience and self-improvement. Successful leaders recognise that developing proficiency is a lifelong pursuit which demands self-discipline.

Leaders pursue improvement by learning from the successes and failures of others, by cultivating effective writing and speaking, by working to attain specific goals not ambiguous dreams and by developing technical skills.

A leader is part of the group and must evaluate his or her own performance and contribute meaningfully. However, a technically proficient leader does not interfere in the practical work of followers. Good leadership means *doing less* whilst *being more*. Good leaders exercise positive guidance not excessive control, they involve themselves at the vital point and at the crucial time – but they do not micromanage – they do not have to do everything themselves, but they do need to develop followers.

¹ ADDP 00.6 para .3.32 - 3.42

Second Principle: Know Yourself and Seek Self-Improvement

Self-knowledge and self-mastery underpin leadership. That is to say, beyond technical competence a leader must have character. This means that first and foremost, leaders master themselves, exercising deliberate and thoughtful control over their judgements and actions.

Situational awareness and self-control enable leaders to evaluate circumstances and events, and to apply judgement establishing courses of action. Applying logical balance to circumstances, leaders also apply ethical conscience and in so doing they lay the foundation for leadership by example.

Third Principle: Lead by Example

Lead by Example: No aspect of leadership is more powerful than the leader's personal example. Leaders cannot reasonably expect courage, commitment and integrity from followers unless they demonstrates these qualities. Leaders share the dangers and hardships of followers, setting a role model which inspires *esprit de corps* and resolve.

Leaders lay the foundations of *esprit de corps* and achievement by the example of outstanding conduct, superior performance and well-ordered appearance. The example of leaders should be one others seek to emulate, and one others are proud to follow.

Aspiring to set high standards, leaders should:

- a. Be self-disciplined and in complete control of emotions, judgement and actions;
- b. Be morally courageous, standing by principles, decisions and actions;
- c. Be calm, confident and optimistic in all situations;
- d. Be physically fit, mentally alert, cheerful, and well turned out at all times;
- e. Exercise initiative and encourage it in subordinates;
- f. Be loyal to both seniors and subordinates;
- g. Avoid the development of favourites or cliques among subordinates;
- h. Share the dangers and hardship experienced by followers.

Fourth Principle: Seek and Accept Responsibility

In the absence of orders, a leader will seize the initiative and pursue the action which it is likely a superior would direct. When in subordinate positions, a leader will observe seniors and be prepared to take over if necessary. Leaders are prepared to do what

they believe to be *right*, and accept responsibility for their actions. Equally, leaders stand by the unpopular but *right* decisions of superiors and juniors alike.

Fifth Principle: Know Your Followers and Promote Their Welfare

Leaders who show care and concern for personnel will be rewarded by trust and respect. Failing to acknowledge the needs of subordinates suggests that in battle or crisis little value will be placed upon their lives. Following this principle, leaders will:

- a. Be fair and approachable;
- b. Obtain as much knowledge as possible from personal records and from personal contact, and address people by name;
- c. Be concerned for the living and working conditions of their followers;
- d. Be fair and in the administration of rules and punishment;
- e. Share privileges and opportunities for development equally; and
- f. Demonstrate respect for others.

Sixth Principle: Provide Direction

When an order is required, leaders give clear concise direction. A leader makes certain a task is understood and offers constructive supervision and guidance, not oppressive micromanagement. Leaders give followers every chance to exercise responsible initiative in the prosecution of a general intent. In order to provide meaningful direction, leaders should:

- a. Be sure there is a need for an order;
- b. Use the established chain of command;
- c. Study and practice clear thinking and develop the ability to give clear, simple orders;
- d. Encourage people to seek explanation of anything which is not clear;
- e. By questions, confirm that people understand direction and intention;
- f. Supervise the execution of tasks - but not over-supervise or stifle initiative; and
- g. Make every possible means available to assist people in their task.

Seventh Principle: Develop the Leadership Potential of Your Followers

Leaders delegate authority to subordinates, seeking to develop the potential of subordinates as leaders. Delegation of authority demonstrates faith in subordinates' ability, allows them to use their initiative, and encourages them to accept responsibility. Failure to delegate necessary authority is poor leadership. Leaders who seek to develop the potential of their people will:

- a. Tell subordinates WHAT to do, not HOW to do it and then supervise, intervening only when necessary;
- b. Provide people with every opportunity to perform 'higher duties';
- c. Be quick to recognize the accomplishments of subordinates, being open with praise and correcting errors constructively with tact; and
- d. Have faith in subordinates until convinced otherwise.

Eighth Principle: Make Sound and Timely Decisions

Successful leadership does not mean that the leader made the best decision all the time, but it does mean that the leader made a good decision in good time. A leader is prepared to act when necessary, prepared to make up his or her mind, prepared to take advantage of opportunities as they occur. A leader unable to make a decision will lose the confidence of followers. Leaders develop the capacity to make sound and timely decisions by:

- a. Practising logical assessments before coming to a decision;
- b. Planning ahead and gathering crucial facts, clarifying issues, identifying assumptions and working out answers to possible problems;
- c. When circumstances allow, considering the advice, suggestions and feelings of followers, besides the effect of decisions upon them; and
- d. Keeping followers informed of policies and plans so that they also can plan ahead.

Ninth Principle: Train Followers as a Team and Challenge Their Abilities

Team spirit, mateship, or *esprit de corps* depends upon leadership. Personnel must have confidence in their leader's ability - and in their own ability to perform. Thus, *esprit*, developed in training, is the key to success in operations. A team will perform when individual members share goals and achievements, and when individuals are challenged by fulfilling attainable tasks. Keep the following points in mind:

- a. Design and maintain a training programme which meets the development needs of the team;
- b. Educate people in the duties of other team-members, and the duties of people in adjacent teams;
- c. Let each person know the importance of their contribution to the success of the team, and reward people appropriately;
- d. Seek attainable, challenging tasks for your people; and
- e. Use the talent and capability of your team before requesting assistance.

Tenth Principle: Keep Your People Informed

People informed of the mission, the changing situation and the overall picture, will trust and support their leader. Well-informed people are empowered to make decisions, to use their initiative and to execute plans which give expression to their leader's intent. Informed people are less likely to be distracted by rumour. Also, morale and confidence are higher when people are not "kept in the dark". Keep the following points in mind:

- a. Explain why tasks must be done and how you propose to carry them out;
- b. Check that information is being passed through the chain of command;
- c. Be alert to rumours and replace them with truth;
- d. Pass on news of the activities of other units and services; and
- e. Keep people informed of changes in the conditions of service.

SUMMARY

The enduring principles of leadership reinforce the view that leadership cannot easily be taught, though it can be learned by the lifelong observation of others, by untiring reflection upon the performance of one's self and by a desire to do better.

The Royal Australian Navy achieves results through people - not at their expense. Leading people in the Navy involves accepting responsibility, modelling values by example and developing the technical proficiency and ethical awareness of followers.



GLOSSARY OF TERMS AND CONCEPTS

SOURCES

ADDP: Australian Defence Doctrine Publication

AMD: Australian Maritime Doctrine

DI(G): Defence Instruction (General)

LWD: Land Warfare Doctrine

Macquarie: Dictionary

Oxford: Dictionary

UNCLOS: United Nations Convention on the Law of the Sea

NOTE

Where no source is shown, the origin of the term or concept is *The Royal Australian Navy Leadership Ethic*.

A name refers to an author referenced in the list of further reading.

Where relevant, variation in definition is acknowledged, alongside comment on the reading of a term or concept by this publication.

A.

Authoritarian (*Macquarie*)

Demanding unquestioning compliance with constituted authority.

Used by this publication with reference to abuse or misapplication of positional power.

Authority (*Macquarie*)

The right to command, or control or to give an ultimate decision. The right to determine, adjudicate or otherwise settle issues or disputes.

C.

Character (*LWD 0-2-2: Macquarie*)

The aggregate of qualities that distinguish one person from others. The collective mental and moral qualities that distinguish individuals.

Land warfare doctrine argues that ‘for the purposes of Army,’ character describes ‘those inner qualities of a person that are evident in behaviour that is positive and constructive’.

The present publication relates character to concepts of integrity, moral courage and conscience. The present publication understands that character, which *might* be evident in commendable behaviour, is a *much deeper thing than behaviour*. People of good character sometimes do things which arouse public rebuke – because they have the moral courage to persevere with action they believe to be morally right.

Command (*ADDP 00.1: Horner*)

Command is the authority that a commander in the military service lawfully exercises over subordinates by virtue of rank or assignment. Command includes the authority and responsibility for effectively using available resources and for planning the employment of, organising, directing, coordinating and controlling military forces for the accomplishment of assigned missions. It also includes responsibility for health, welfare, morale and discipline of assigned personnel. With command comes all the power and authority over subordinates that the leader needs to achieve assigned tasks.

Command entails a degree of accountability seldom seen in other professions. Prof. David Horner writes (p.2):

Command is fundamental to a military organisation because it is the means by which the wishes of the government are translated into military outcomes. Ultimately, command is concerned with making decisions and giving orders that risk the lives of the men and women in the Services (and those who fight as our adversary).

Unlike the chief executive of a large commercial company or the secretary of a government department, a military commander gives orders with the force of law (via the Defence Act 1903). If service personnel fail to obey a lawful order they can be punished and, in certain circumstances, imprisoned. Only a military officer can give these sorts of orders, and the power to exercise command therefore places a heavy responsibility on all commanders.

Compliance (*Macquarie*)

Acquiescing or base subservience. Complaisant agreement or accession to the wishes of another.

This publication reads the term to mean ethically passive, unthinking submission. Compliance is dangerous, because military professionals do not avoid moral responsibility when they ‘follow orders’. Ethically passive compliance contrasts with the responsible consent of obedience.

Regulatory compliance - is quite a different thing. Regulatory compliance is an essential component of ‘good governance,’ and speaks to careful, responsible and duly diligent administration.

Conscience (*Macquarie*)

Internal acknowledgement of the moral quality of one’s motives and actions, the sense of right and wrong as regards things for which one is responsible.

This publication holds conscience to be informed by values and moral sense, and applied by moral courage. Conscience is much more than just a whim or a wobbly intent to do well. Conscience is rational and disciplined.

Contiguous zone (*AMD 1: AMD 2: UNCLOS, Section iv of part ii*)

Australia’s contiguous zone is adjacent its territorial sea, extending up to 24 nautical miles from its territorial baseline. In this zone, Australia may exercise control necessary to prevent or punish infringements of its customs, fiscal, immigration or sanitary laws and regulations.

Culture see organisational culture.

D.**Discipline** (*ADDP 00.6: Macquarie*)

A state of order maintained by training and control; a set or system of rules and regulations; training to act in accord with rules.

Imposed discipline is the application of correction, sanction, or punishment in order to maintain cohesion, and unity of purpose and behaviour. Discipline is imposed with a mind to fairness and justice.

Self discipline is a responsible, willing commitment which reinforces followership, and contributes to a culture of cooperation and teamwork. Self discipline is apparent in the buoyant attitude with which people bear the practical demands of Service life. Conscience – reinforced by internalised values – is the foundation for self discipline.

Defence instructions (*ADDP-D*)

Defence Instructions are policy which is prescriptive, and which has legal standing.

Doctrine (*ADDP-D*)

A body of thought, instruction or teaching concerning the nature, role and conduct of armed conflict. Doctrine contains, among other things, the fundamental principles by which military forces guide their actions in support of national objectives. These principles are not unchangeable, and nor are doctrinal principles to be read as rules. Doctrinal principles provide guidance. Doctrine needs to be interpreted and applied intelligently rather than rigidly.

Doctrine hierarchy and publications (*ADDP-D*)

Australian Defence Doctrine Publications (ADDP) and Australian Defence Force Publications (ADFP) are authorised joint doctrine for the guidance of Australian Defence Force (ADF) operations. ADDP are pitched at the philosophical and high-application level, and ADFP at the application and procedural level.

Each single Service produces doctrine publications, consistent with Joint doctrine. Army doctrine is published as Land Warfare Doctrine (LWD). Air Force Doctrine is published as the Australian Air Publications (AAP).

This publication addresses ideas and concepts at the philosophical and high-application level, and from the perspective of the Royal Australian Navy. Navy Doctrine is published as Australian Maritime Doctrine (AMD).

E.**Esprit de corps** (*LWD 0-0: LWD 0-2-2: Macquarie*)

A sense of common interest shared responsibilities, team spirit and regard for honour, traditions and ethos.

Ethic (*Oxford*)

An ethic is a scheme of moral principles.

The Royal Australian Navy Leadership Ethic is concerned with the principles which underpin the practice of leadership in the Navy.

Ethic of being

A leadership ethic established on the foundation of ‘character’ and reinforced by Navy values, which is apparent in the Navy Leadership Framework. The ethic of being acknowledges that leadership depends upon trust sustained by the personal example of the leader. For followers to be committed to the goals and values of the service, leaders must be a living example of those same goals and values. To acknowledge the ethic of being means accepting that there is no rigid doctrinal way to lead.

Ethical mindfulness, ethical awareness (*Aristotle: Nichomachean Ethics Bk. II; 1014-1125*)

The concept that ethical people are not good by accident - they realise what they do, and make a consistent effort to sow the habit of ethical thinking and action. The concept derives from Aristotle who held: “moral excellence comes about as a result of habit...we become just by doing just acts, temperate by doing temperate acts, brave by doing brave acts....some people become temperate and good tempered, others self-indulgent and irascible, by behaving in one way or the other....”

Ethical passivity

Submission or the tendency to submit to another’s will or decision in matters of ethics. Submissiveness, or weakness or the disregard of the obligation to be ethically mindful.

Ethical relativism see relativism

Ethics (*Oxford*)

Ethics is the study of moral principles.

Ethics is concerned with principles of human duty, or the rules of conduct recognised in respect of a certain class of human action - such as medical ethics.

The difference between ethics and morals can seem arbitrary, technical and unduly subtle. This publication uses the terms in a common-sense interchangeable way. Something is seen to be *ethical*, or *moral* or *right* or *good* or something we should aspire to or strive for. Things which are unethical or immoral are seen to be the opposite.

Ethos (*Oxford*)

The characteristic spirit, prevalent tone or sentiment of a people or community.

F.

Followership (*ADDP 00.6*)

The concept of following ethically, not passively. Followers should be ethical people. Followership is not subservient or unassertive. Followers should engage in obedient behaviour which is characterised by responsible consent. Responsible followers exercise judgement, they do not follow blindly, come what may.

H.

Honour code (*Robinson*)

The principles, ideals or understanding of moral etiquette by which people judge themselves to be worthy of mutual respect. Such codes are typically based in communities or professions which share common standards, or cultural beliefs. A code does not need to be formal and explicit in order to be meaningful and effective. The sense of honour guides actions in a way explicit rules cannot; it shapes our conscience and determines notions of pride, self-respect and shame.

I.

Ideal (*Macquarie*)

A conception of something in its highest perfection; a standard of perfection or excellence.

J.

Just (*Macquarie*)

Actuated by truth, justice and a lack of bias. That which is morally right, righteous.

Justice (*Macquarie*)

Righteousness, equitableness, uprightness, the quality of being morally just, the principle of just dealing, just conduct, integrity or rectitude.

Justifiable (*Macquarie*)

Capable of being justified or defended by reference to a law or a rule or an established convention or practice. A justifiable act is not necessarily just – the deportation and extermination of Jews for example, was ‘justified’ by laws of the Third Reich. However, the Nuremberg trials rejected this excuse.

Just cause (*ADDP 00.6: ADPP 06.4: Yoder*)

Australian leadership doctrine observes (*ADDP 00.6 para. 2.14*) the importance of commitment to a ‘just cause,’ and acknowledges the fighting will of ‘men and women convinced of the rightness of their participation’ and because they are ‘a force for good’. A just cause is identified (*ADDP 00.6 para. 2.16*) by a ‘worthy purpose’. Australian doctrine on the Law of Armed Conflict acknowledges the influence of international law and international agreements, commitments or treaties which seek to regulate the conduct of armed conflict.

The term ‘just cause’ is explained traditionally by reference to three conditions:

First condition –

- a. *There must be an ‘offence’* which must be *actual*, not merely possible. The offence must have actually happened – it must be more than merely potential.
- b. The offence must be intentional and not inadvertent, or unintended or an honest error.
- c. The offence must be substantial and not a mere trifle.
- d. The offence must be objective and verifiable as to fact.
- e. The offence must not have been provoked, and must come about by the unilateral action of the adversary.

Second condition –

- a. The offence may be aggression, demanding defence, or a threat demanding deterrence.
- b. The offence may be an injustice demanding reparation.

Third condition –

- a. The offence may be committed against one’s ally in whose treaty of alliance the obligation of defence is embraced. This was the U.S claim in Gulf War One with regard to Kuwait.
- b. The offence may be committed against a third party nation, where there is no treaty of alliance, but where action is demanded on ‘humanitarian grounds’. For example, the European Union in the case of Bosnia.

Just war (ADDP 06.4: *Harries: Yoder*)

The ideas of just war have evolved from the ideas of Augustine in the fifth century, Aquinas in the thirteenth century to the present, where concepts are formalised in ADDP 06.4.

Just war theory presumes war is an inherent component of international politics, and accepts that whilst the abolition of war is a worthy aim, it is a futile ambition. Just war theory is concerned therefore, with two pragmatic goals. The first to make war less frequent. The second, to establish conventions and principles so that when war does occur it abides by rules which contain violence, and prevent uncontrolled savagery.

According to the conventions of just war theory war is judged twice. Firstly, is recourse to war justified? Arguments which consider this question debate the notions of *jus ad bellum* – what makes it right to go to war. War is judged secondly according to the principles of *jus in bello* – what it is right to do in war.

Typical *jus in bello* conditions are: that war may be undertaken only by a legitimate authority, that it may be waged only in a just cause, that it must be a last resort, that there must be a formal declaration of war and that there must be a reasonable hope of success. The two most important criteria for *jus in bello* were that the means employed should be proportional, and that it is not permissible to kill non-combatants.

L.**Leadership** (ADDP 00.6: *LWD 0-2: LWD0-2-2: DI(G) Pers 10-8*)

Joint doctrine defines leadership as ‘the process of influencing others in order to gain their willing consent in the ethical pursuit of missions’.

In contrast, LWD 0-2 and 0-2-2 define leadership as ‘the art of influencing and directing people to achieve willingly the team or organisational goal’. The lack of the ethical component is significant because it opens the possibility of ‘ends justifying means’.

It is a common oversight to associate leadership with group processes and the accomplishment of goals – and to miss the ethical component. For example, at Appendix 1 to Annex D the Defence Instruction describes leadership as:

Harnessing the energy, enthusiasm and skills of a group to achieve assigned organisational objectives in a range of work situations. In a practical sense (leadership is seen to) involve:

- influencing peers and superiors
- motivating and inspiring peers and subordinates, and
- directing and controlling subordinates.

Following Joint doctrine, the present publication underlines that leadership in the profession of arms bears an *unlimited moral liability* (see below) and that leadership therefore demands the moral insight and courage to pursue missions or tasks ethically and only ethically.

Legalism (*Macquarie*)

Strict adherence, or the principle of strict adherence, to law or formulated rules. Contrasts with professionalism.

M.

Military honour code see honour code.

Moral (*Oxford*)

Of or pertaining to character or disposition considered as good or bad, virtuous or vicious or pertaining to the distinction between right and wrong or good and evil in relation to the actions, volitions or character of responsible beings.

Moral courage (*Macquarie*)

Bravery of the spirit which makes possible resistance to temptations, intimidation and any kind of wrongdoing. A person of moral courage will take a stand on principle.

Moral sense (*Macquarie*)

The power of apprehending the difference between right and wrong.

Morale (*LWD 0-2*)

The condition of personnel, a state of mind, a mental attitude of cheerfulness, confidence and well-being in individuals.

O.

Obedience (*ADDP 00.6: Milgram*)

Obedience is characterised by responsible consent and good conscience. This publication contrasts obedience with compliance and argues that obedience involves respect for rules and authority, but it does not involve ethically passive or unqualified submission or the abandonment of moral courage or moral sense.

In his foreword Milgram's *Obedience to Authority*, Philip Zimbardo reminds us of C.P. Snow who held that 'more crimes against humanity have been committed in the name of obedience than disobedience'.

Organisational culture (*Schein*)

Organisational culture may be understood as the shared values, beliefs, norms and expectations that guide people in how they approach their service and interact with each other.

The culture of an organisation shapes the way people believe they have to behave in order to 'fit in,' 'get on' and 'get things done'. Organisational culture; which is the body of shared and basic assumptions about the organisation, is influenced by espoused values and by underlying assumptions and values which might never be spoken about.

P.**Power with / power over** (*Follett*)

The concept acknowledges that whilst people will comply with authority, and decrees and orders – they hardly ever feel commitment to a leader, or organisation when things are always done 'the hard way'. The concept comes from Mary Follett who wrote (pp. 187, 190, 192), 'Imposed power can never persist, arbitrary will cannot, in the long run, take the place of (commitment)'.

Professional mastery (*LWD 0-0: LWD 0-2*)

Professional mastery integrates the components of fighting power. It is an expression of personal competence displayed by an individual's ability to combine character, self-confidence, effective leadership, professional knowledge, professional military judgement and experience. It is measured by performance in battle and is a process of continual learning developed through education, training and experience.

Professionalism (*Calvert: Huntington: Kultgen: Pender*)

Defined by, a body of knowledge, specific skill, special responsibilities and a moral liability. Hence, professionalism requires a capacity for self-regulation and demands integrity and moral courage.

Profession of arms (*Calvert: Hackett 1962: Huntington: Janowitz: Keegan: Matthews: Snider*)

An occupation with a distinguishable body of technical knowledge, doctrine and skill in the ordered application of force, a distinct place in society, and an awareness of moral values and ideals. Some of these concepts are codified within a body of professional ethics and law. Other principles are part of the cultural fabric of the profession, they are implied, and inherited as elements of an honourable tradition.

R.

Rank (*Keegan: Oxford*)

A grade or station in an organised body, position in a command hierarchy, a grade of organisational advancement. Rank, writes Keegan (p. xv), does not relate to leadership, which derives from a person's character.

Relativism (*Oxford*)

The theory that ethical standards are culturally based and that a moral decision can be valid in one system of ethics and not valid in another.

A metaphor clarifies the point: Beauty, for example, is not defined by any absolute standard – beauty is in the eye of the beholder.

This publication is ethically relative, not absolute or prescriptive, and does not set down 'one best way' to think or to act.

This publication considers leadership to be a matter of individual character or integrity, and accepts that the conclusions people draw about right and wrong are not themselves, and not defined by, absolute or unconditional standards. This publication believes that decisions about right and wrong should be made in good faith and in good conscience.

This publication believes that conscience demands ethical *mindfulness* or ethical *awareness*, which means that ethical decisions are not careless or slipshod or matters of preference or convenience. An ethically mindful decision is disciplined and considered within a framework. In the case of this doctrine, ethically mindful decisions are made within the framework of Australian naval service, and within the broader framework of the profession of arms. The moral perspectives of these frameworks is acknowledged to be relative, and known to evolve over time, but within them ethical people make decisions in good conscience – informed by rules, laws, values, convention and customary practice. These elements shape our understanding of professional and honourable conduct, and provide the means for ethical decisions to be more than convenient and more than comfortable personal preference.

Right (*Macquarie*)

In accord with what is just or good. That which is ethically good and proper and in conformity with the moral law: upright or righteous. Contrasts with might and wrong.

S.

SIEV

Suspected Illegal Entry Vessel.

T.

Tampa Incident (*Wilhelm*)

On Sunday 26 August, a 20 metre wooden Indonesian fishing vessel was sinking in the Indian Ocean about 76 nautical miles north of Christmas island. Though the vessel was within Indonesia's search and rescue jurisdiction, Australian Search and Rescue requested MV *Tampa* to render assistance. *Tampa* was guided to the sinking vessel by Australian Customs aircraft, and embarked 438 people, later transferred to HMAS *Manoora* and conveyed to New Zealand and Nauru.

Territorial sea (*AMD 1:AMD 2: UNCLOS, Section ii - iii of part ii: Offshore Constitutional Settlement*)

Australia has sovereignty over waters called the territorial sea which extend up to twelve nautical miles from the territorial sea baseline. The baseline is normally the low water mark.

The territorial sea around certain Torres Strait islands is only three nautical miles wide, in accordance with the Torres Strait Treaty entered into with Papua New Guinea.

Australia's territorial sea is governed by the Commonwealth States and Territories in accordance with the Offshore Constitutional Settlement.

U.

Unlimited moral liability / unlimited liability (*Hackett: Yoder*)

Describes the constant ethical challenges, and the constant ethical obligation of professional service. Bearing unlimited moral obligations, military professionals must ensure that life is risked and taken only for just reason, by ethical means and by ethical people. Military professionals can never afford to be ethically passive or lazy, they must always be fully aware of what they are doing, and always accept total responsibility for their actions.

V.

Value (*Oxford*)

A principle, idea or standard which is held to be significant. To accept a value is to allow for it in decision-making.

Values-based organisation

An organisation in which people do 'the right thing,' because it is right or honourable - rather than to avoid punishment or follow rules. In values-based organisations, rules are interpreted and applied with a mind to outcomes which are 'right,' and 'best'.

Virtue (*Macquarie*)

A personified moral quality. Moral excellence or goodness: conformity of life and conduct to moral laws: uprightness: particular moral excellence - the so-called cardinal virtues are justice, prudence, temperance and fortitude. The sense of virtue is an excellence, merit or good quality.

W.

Wrong (*Macquarie: Oxford*)

Not in accord with what is morally right or good. Not in accord with good morals or a just standard of actions, in a manner contrary to equity or uprightness.



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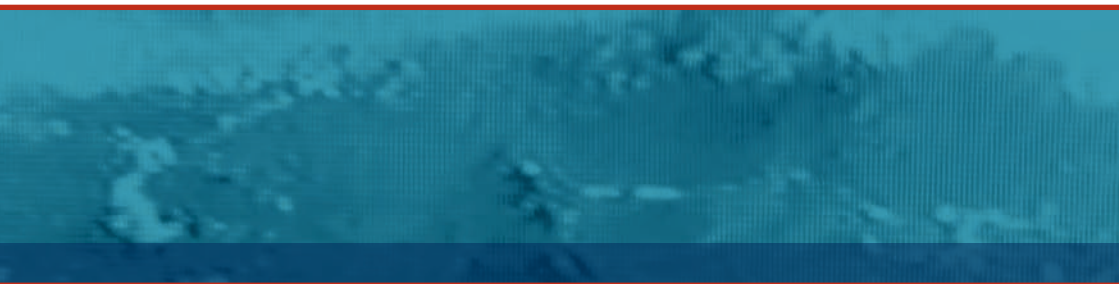
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ERECTED
BY GRATEFUL CITIZENS
IN REMEMBRANCE OF
MEN OF THIS TOWN
WHO AT THE SACRIFICING
GAVE THE WORLD
FREEDOM AND HONOR
TO
THE GREAT WAR
1914-1918



NAVY